



## Notice of meeting of

### Executive Members for Housing & Adult Social Services and Advisory Panel

**To:** Councillors Hogg (Chair), Sue Galloway (Executive Member), Sunderland (Executive Member), Bowgett, Fraser (Opposition Spokesperson), Horton (Opposition Spokesperson), Taylor, Wiseman, Mrs Mildred Grundy (Co-opted Non-Statutory Member) and Ms Pat Holmes (Co-opted Non-Statutory Member)

**Date:** Monday, 16 July 2007

**Time:** 5.00 pm

**Venue:** Guildhall

### AGENDA

#### Notice to Members - Calling In:

Members are reminded that, should they wish to call in any item on this agenda, notice must be given to Democracy Support Group by:

**10:00 am on Friday 13 July 2007**, if an item is called in *before* a decision is taken, *or*

**4:00 pm on Wednesday 18 July 2007**, if an item is called in *after* a decision has been taken.

Items called in will be considered by the Scrutiny Management Committee.

**1. Declarations of Interest**

At this point Members are asked to declare any personal or prejudicial interests they may have in the business on this agenda.

**2. Minutes (Pages 1 - 8)**

To approve and sign the minutes of the meeting held on 4 June 2007.

**3. Public Participation**

At this point in the meeting members of the public who have registered their wish to speak regarding an item on the agenda or an issue within the Panel's remit can do so. Anyone who wishes to register or requires further information is requested to contact the Democracy Officer on the contact details listed at the foot of this agenda. The deadline for registering is Friday 13 July 2007 at 5pm.

**BUSINESS FOR THE EXECUTIVE MEMBER FOR HOUSING**

**ITEMS FOR DECISION**

**4. Housing Strategy/Older People's Housing Strategy 2006-09 Year End Progress Update (Pages 9 - 14)**

This report outlines progress against the Housing Strategy and Older People's Housing Strategy action plans for the fourth quarter/year end up to 31 March 2007.

**5. Annual Housing Satisfaction Survey 2007 (Pages 15 - 20)**

This report asks the Executive Member to consider proposals for changes to the collection of satisfaction data from City of York Council tenants in 2007-8.

## **BUSINESS FOR THE EXECUTIVE MEMBERS FOR HOUSING AND ADULT SOCIAL SERVICES**

### **ITEMS FOR DECISION**

**6. Supporting People Programme (Pages 21 - 40)**

This report advises Members of the progress made within the Supporting People (SP) Programme in York. It identifies key priorities for the programme and the implications of these for the Council. The report invites the Executive Members to refer this to the Executive for their information.

## **BUSINESS FOR THE EXECUTIVE MEMBER FOR ADULT SOCIAL SERVICES**

### **ITEMS FOR DECISION**

**7. Update on Review of Home Care Purchasing and Commissioning Restructure (Pages 41 - 52)**

This report summarises an evaluation of the Home Care restructure, which took place in December 2006, and considers what lessons and implications there are for the future development of Home Care across the City.

**8. Outcome of an Inspection by the Adult Learning Inspectorate into the Workstep Employment Programme (Pages 53 - 74)**

This report provides a summary of the findings from the recent Adult Learning Inspection of the Workstep Programme and seeks support to actively promote the programme and related services within the authority.

### **ITEMS FOR INFORMATION**

**9. Update on Joint Working with North Yorkshire and York Primary Care Trust (Pages 75 - 80)**

This report updates Members on the current position on joint working with North Yorkshire and York Primary Care Trust and the impact of the overall financial position within the local NHS on local authority responsibilities.

**10. Annual Self Assessment Survey for Adult Social Services 2006/7 (Pages 81 - 86)**

This report draws Members' attention to the Annual Self Assessment Survey (SAS) that has been submitted by officers to the Commission for Social Care Inspection (CSCI). This forms a significant part of the evidence that leads to the annual rating of adult social services in the autumn.

**11. Any other business which the Chair considers urgent under the Local Government Act 1972**

Democracy Officer:

Name: Jill Pickering

Contact details:

- Telephone – (01904) 552061
- E-mail – [jill.pickering@york.gov.uk](mailto:jill.pickering@york.gov.uk)

For more information about any of the following please contact the Democracy Officer responsible for servicing this meeting:

- Registering to speak
- Business of the meeting
- Any special arrangements
- Copies of reports

Contact details are set out above.

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- register by contacting the Democracy Officer (whose name and contact details can be found on the agenda for the meeting) **no later than 5.00 pm** on the last working day before the meeting;
- ensure that what you want to say speak relates to an item of business on the agenda or an issue which the committee has power to consider (speak to the Democracy Officer for advice on this);
- find out about the rules for public speaking from the Democracy Officer.

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### **Further information about what's being discussed at this meeting**

All the reports which Members will be considering are available for viewing online on the Council's website. Alternatively, copies of individual reports or the full agenda are available from Democratic Services. Contact the Democracy Officer whose name and contact details are given on the agenda for the meeting. **Please note a small charge may be made for full copies of the agenda requested to cover administration costs.**

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### **Holding the Executive to Account**

The majority of councillors are not appointed to the Executive (38 out of 47). Any 3 non-Executive councillors can 'call-in' an item of business from a published Executive (or Executive Member Advisory Panel (EMAP)) agenda. The Executive will still discuss the 'called in' business on the published date and will set out its views for consideration by a specially convened Scrutiny Management Committee (SMC). That SMC meeting will then make its recommendations to the next scheduled Executive meeting in the following week, where a final decision on the 'called-in' business will be made.

### **Scrutiny Committees**

The purpose of all scrutiny and ad-hoc scrutiny committees appointed by the Council is to:

- Monitor the performance and effectiveness of services;
- Review existing policies and assist in the development of new ones, as necessary; and
- Monitor best value continuous service improvement plans

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- Relevant Council Officers get copies of relevant agenda and reports for the committees which they report to; and
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City of York Council

Minutes

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MEETING	EXECUTIVE MEMBERS FOR HOUSING & ADULT SOCIAL SERVICES AND ADVISORY PANEL
DATE	4 JUNE 2007
PRESENT	COUNCILLORS HOGG (CHAIR), SUE GALLOWAY (EXECUTIVE MEMBER FOR ADULT SOCIAL SERVICES), SUNDERLAND (EXECUTIVE MEMBER FOR HOUSING), BOWGETT, TAYLOR, WISEMAN, SCOTT (SUBSTITUTE FOR HORTON), MRS MILDRED GRUNDY (CO-OPTED NON-STATUTORY MEMBER) AND MS PAT HOLMES (CO-OPTED NON-STATUTORY MEMBER)
APOLOGIES	COUNCILLORS FRASER AND HORTON

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### 1. **Declarations of Interest**

Members were invited to declare at this point in the meeting any personal or prejudicial interests they might have in the business on the agenda.

Cllr Hogg declared a general personal and prejudicial interest as his mother had Alzheimer's and received respite care in City of York Council homes and as his father received homecare assistance.

### 2. **Minutes**

RESOLVED: That the minutes of the last meeting of the Panel held on 26 March 2007 be approved and signed as a correct record.

### 3. **Public Participation**

It was reported that there had been one registration to speak at the meeting under the Council's Public Participation Scheme. Alan Ross read out a statement on behalf of Sally Arnup, who was unable to attend the meeting. The representation related to Agenda Item 10 (Response to petition concerning Yearsley Bridge Day Centre closure) and was made on behalf of users of the Yearsley Bridge Centre.

Mr Ross raised objections to the closure, he confirmed that over 75 people regularly used the Centre, of which 50 were wheelchair users, and that they felt that the existing Centre should be modernised rather than closed. He raised concerns regarding the closure timetable and indicated that a number of staff at the Centre were now leaving. Families were very concerned at what the future held for them as they had relied on the firm reliable base, which they felt the existing Centre gave them.

**4. Housing and Adult Social Services Capital Programme 2006/07 outturn**

Members considered a report which presented the out turn position of the 2006/07 Housing and Adult Social Services Capital Programme and the resources available to support it.

It was reported that the value of the approved Housing Capital Programme was £10,041k with £4,581k funded through the Major Repairs Allowance. There was a total of £160k slippage on the capital funded element of the programme into 2007/08 and an overspend of £176k.

The value of the approved Social Services Capital Programme was £671k of which £205k was grant funded. There had been a total slippage of £16k and a net overspend of £11k.

In relation to the analysis of spending Members questioned details of the following:

- under spend to Foxwood Phase 2 due to delays from United Utilities - it was confirmed was due to the lead in period.
- low take up in relation to Right to Buy - thought to be due to the increase in property prices and valuations.
- £35k overspend on the Morrell House project mainly related to mechanical and ventilation work - this had been considered an appropriate amount in view of the works undertaken.

Advice of the Advisory Panel

That the Executive Members for Housing and Adult Social Services be advised to

- (i) Approve the changes to the Housing and Adult Social Services Capital Programme as set out in the report.
- (ii) Refer the slippage of £16k on Social Services and £160k on Housing to the Executive for approval.

Decision of the Executive Members for Housing and Adult Social Services

RESOLVED: That the advice of the Advisory Panel as set out above be accepted and endorsed.

REASON: To inform the Executive Members on progress on the capital programme.

**Housing Revenue Account Service Plan 2006/07 outturn**

Members considered a report which provided the Executive Member for Housing with an overview of progress on the Housing Revenue Account Service Plan agreed in April 2006.

The report covered the following areas:

- Achievements over the year 2006/2007



- Updates on Critical Success Factors (CSF's)
- 2006/2007 performance on Key Performance Indicators (KPI's)
- New external priorities or demands identified
- Significant organisational issues

Officers reported that the Authority was still on target to meet the decent homes standard by 2010. There was improved performance across all the landlord functions and work was underway to improve tenant satisfaction with additional opportunities for participation by the public. Areas for further improvement were the performance of the repairs partnership and monitoring of staff sickness absence and staff turnover.

Members questioned the following points:

- Staff sickness absence rates but it was pointed out that this was an overall figure which had not yet been broken down.
- Staff survey results it was reported that these would be reported later in the year

The Executive Member for Housing expressed her thanks for the hard work and achievements made by all officers involved.

#### Advice of the Advisory Panel

That the Executive Member for Housing be advised to

- (i) Note the progress and achievements made in delivering the HRA Service Plan at the end of 2006/07;
- (ii) Agree the carry forwards amounting to £39,280 outlined in paragraph 23 of the report and their reference to the Executive for approval;

#### Decision of the Executive Member for Housing

RESOLVED: That the advice of the Advisory Panel as set out above be accepted and endorsed.

REASON: To inform the Executive Member on progress on the service plan and progress against objectives.

## **6. Housing General Fund Service Plan 2006/07 outturn**

Members considered an overview of progress in the General Fund Service Plan agreed in April 2006.

The report covered the following areas:

- Achievements over the year 2006/2007
- Updates on Critical Success Factors (CSF's)
- 2006/2007 performance on Key Performance Indicators (KPI's)
- New external priorities or demands identified
- Significant organisational issues

Officers updated that on the Housing General Fund Service Plan, Annex 1, in the Customer Based Improvements, results of the 2006/07 outturns had now been received for the following areas:  
% of Landlords satisfied with housing regulation enforcement – 76% satisfied and 22% acceptable  
% of Customers satisfied with the grant services – 99.6% satisfied

Officers confirmed that they had managed to reduce the amount of time people spent in temporary accommodation and that the Department were continuing to pursue homeless prevention services. In answer to questions Officers gave details of the 8 rough sleepers listed in the report for 2006/07. Officers also confirmed that the resettlement team, the Salvation Army and the Neighbourhood Policing Teams were providing a combined approach to working with rough sleepers offering support and guidance.

Members questioned the number of affordable housing completions with the approvals given for Derwenthorpe and Germany Beck, Fulford. Officers stated that once the approval details were available for the sites more appropriate targets for future years could be included in reports

The Executive Member for Housing thanked officers for all their hard work in delivering the General Fund Service Plan.

#### Advice of the Advisory Panel

That the Executive Member for Housing be advised to

- (i) Note progress and achievements made in delivering the General Fund Service Plan at the end of 2006/07;
- (ii) Agree the carry forward of £15,000 outlined in paragraph 19 of the report and reference to the Executive for approval.

#### Decision of the Executive Member for Housing

RESOLVED: That the advice of the Advisory Panel as set out above be accepted and endorsed.

REASON: To inform the Executive Member on progress on the service plan and progress against objectives.

### **7. Revised Tenant Participation Compact: York Customer Involvement Compact for Housing**

Consideration was given to a report, which introduced the revised Tenant Participation Compact: 'The York Customer Involvement Compact for Housing'.

Pat Holmes, one of the co-opted Members, stated that the compact had endeavoured to simplify the document and that the Federation and Tenants/Resident Groups had been closely involved with the review and were pleased with the revised document.

Members questioned what had been done to attract young people, BME and other minority groups. Officers referred to the Annual Housing Services Monitor, which identified groups including younger tenants, and to Tenant Expert Panels, which focused on particular groups. Members stated that there was a need to work through the various organisations that used facilities in particular areas. Officers confirmed that a range of engagement opportunities would be offered in the future.

The Executive Member for Housing expressed her thanks to the Federation of Residents and the Tenants and Residents Groups for all their hard work in representing local people and during the review and development of the revised Compact.

#### Advice of the Advisory Panel

That the Executive Member for Housing be advised to note the contents of this report.

#### Decision of the Executive Member for Housing

RESOLVED: That the advice of the Advisory Panel as set out above be accepted and endorsed.

REASON: To inform the Executive Member on the revised Tenant Participation Compact: 'The York Customer Involvement Compact for Housing'.

### **8. Adult Social Services Service Plan 2006/07 Outturn**

Consideration was given to the performance and financial outturns for adult social care in 2006/07.

The reports gave an overall summary of performance of the following service areas and detailed progress in relation to key objectives:

- Corporate Services
- Older People and Physical Disability
- Mental Health
- Learning Disabilities

Officers confirmed that urgent action had had to be taken earlier in the year to bring expenditure back in line with budget following a projected overspend of £1.7m. It was reported that tighter controls had resulted in a small under spend and that great credit was due to staff at all levels in the department for this achievement. Managers for the various departments who were in attendance at the meeting confirmed that it had been felt that performance would suffer but that it had held up well.

Members questioned the following points:

- Spot contracts in the Home Care service (para 12)

- Evaluation by Kendric Ash of transport arrangements for customers, particularly in Learning Disabilities and possible savings (para 18)
- Delayed discharges in relation to intermediate care beds at the Archways

The Executive Member for Adult Social Services confirmed that the outturn figures were a credit to the entire Department particularly following substantial changes in the Home Care contract, which had resulted in some problems. She expressed her thanks to the whole team for their work during the year.

Advice of the Advisory Panel

That the Executive Member for Adult Social Services be advised to

- (i) Note the performance and financial out turns for adult social care in 2006/07;
- (ii) Agree the carry forwards amounting to £26,800, outlined in paragraph 18 of the report and their reference to the Executive for approval.

Decision of the Executive Member for Adult Social Services

RESOLVED: That the advice of the Advisory Panel as set out above be accepted and endorsed.

REASON: To brief the Executive Member on performance and financial out turn for adult social services in 2006/07.

**9. Social Services Complaints Report 2005/06 and 2006/07**

Members considered a report, which detailed the number of complaints made about social care services between April 2005 and March 2007. It was reported that the legislation governing the management of social care complaints had changed on 1 September 2006 and the previous year's report had been delayed to enable the provision of information on this new legislation.

Prior to 1 September 2006 the legislation governing the management of social care complaints had been the NHS and Community Care Act 1990 and the Children's Act 1989. Local Authorities, which provided local social care services, were required to have a procedure to ensure the effective review and investigation of complaints and these had been in place since 1998. This had consisted of two separate procedures one for adult social care complaints and one for children and young people's social care complaints. Details of the changes were listed in the report at Annexes A and B.

Officers confirmed that lessons were being learnt following resolution of these complaints and that this would be acted on in the future.

Members questioned whether complaints to individual contractors were included in these figures. Officers confirmed that these details were

received quarterly but only included in the figures if it had been unable to resolve the complaint. If a contractor had received a high level of complaints a review of that contractor would be undertaken.

Advice of the Advisory Panel

That the Executive Member for Adult Social Services be advised to note the information in the report and the annual social care complaints and representations report 2006/07.

Decision of the Executive Member for Adult Social Services

RESOLVED: That the advice of the Advisory Panel as set out above be accepted and endorsed.

REASON: To inform the Executive Member on complaints made about social care services.

**10. Response to petition concerning Yearsley Bridge Day Centre closure**

Members considered a report, which related to receipt of a petition containing just short of 2000 signatures in opposition to the Yearsley Bridge Day Centre closure and which gave an update of the closure plan.

Officers confirmed that this was part of an on-going programme of modernisation and re-provision to provide a more flexible and individualised support in line with up to date Government thinking. It was confirmed that the closure of Yearsley Bridge was due to be completed in 2008 and that the programme was detailed in Annex 1 of the report.

Officers stated that the Yearsley Bridge Day Centre was an outdated building, not fit for purpose, which offered users a limited choice. Consultations had been undertaken with individuals, their families as well as individual consultation with each services user and their family and friends. Details of their requirements had been obtained to try and provide individualised support service in the community. It was stated that the dates were not set in stone and that May 2008 was only a target date to work towards.

Members questioned the consultation detailed in Annex 2 and in particular the point that families had been informed that the Centre would be modernised. This had then changed to re-provision and families felt that they had not been able to feed into this process. Officers confirmed that this had been proposed since 2006 and that the Authority were not anticipating any savings from this re-provision nor would there be any cuts in staff or services. It was reported that consultation with centre users was still ongoing.

Members also made the following points

- The provision of an improved service should ensure that clients received a seamless transfer.

- Were there lease back arrangements for the Centre for use beyond May 2008, if required?
- Details of the location for the hydrotherapy pool.
- Reassurances that there would be no enforced redundancies as a result of the changes.
- Support for the Authorities ongoing consultation with users of the Centre.

Officers confirmed that staff at the Centre were highly skilled so there was a wish to retain them and that it was highly unlikely that any staff would lose their job.

Advice of the Advisory Panel

That the Executive Member for Adult Social Services be advised to note the information in the report and receipt of a petition relating to the Yearsley Bridge Day Centre closure.

Decision of the Executive Member for Adult Social Services

RESOLVED: That the advice of the Advisory Panel as set out above be accepted and endorsed.

REASON: To update the Executive Member on progress with this scheme and on receipt of a petition.

CLLR SUE SUNDERLAND  
EXECUTIVE MEMBER FOR HOUSING

CLLR SUE GALLOWAY  
EXECUTIVE MEMBER FOR ADULT SOCIAL SERVICES

CLLR CHRIS HOGG  
Chair of Advisory Panel

The meeting started at 5.00 pm and finished at 6.45 pm.



HASS22

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**Meeting of the Executive Members for  
Housing and Adult Social Services and  
Advisory Panel**

16 July 2007

**Housing Strategy / Older People's Housing Strategy 2006-09 Year  
End Progress update****Summary**

1. The report outlines progress against the Housing Strategy and Older People's Housing Strategy action plans for the fourth quarter/Year End up to 31 March 2007.

**Background**

2. The Housing Strategy and Older People's Housing Strategy (OPHS) were approved in Spring 2006. Critical to the success of the two strategies is that they are not seen as purely something that Housing Services had the responsibility for delivering. This partnership approach was embedded into the action planning process where a number of other council departments and external agencies had lead responsibility for a number of the actions.
3. At the time of writing the strategies it was felt that that they should be aspirational and as such a number challenging target dates were set for key actions. It was agreed the housing strategy manager would provide regular progress updates to Housing Services Management Team (HSMT) and Housing EMAP (Executive Member & Advisory Panel). Monitoring progress improves delivery and enables the department to evidence key successes throughout the year.
4. The Housing Strategy and OPHS contain detailed actions and targets assigned to named lead officers. Lead officers complete a monitoring pro-forma each quarter giving an update on progress for the period. Lead officers are asked to highlight factors hindering progress, suggest ways forward and where necessary propose revised target dates.
5. Together the Housing Strategy and OPHS action plans contain over 100 actions and targets. Around 30 of these can be said to be Key actions or targets as they link directly to wider strategy plans such as the Regional Housing Strategy, Local Area Agreement and the Council Strategy.

## Achievements

### Housing Strategy Action Plan

6. Updates from lead officers for the period up to 31 March 2007 show that 67 of actions/targets within the action plan have been completed/met or are on track to be, just over 60%. Around 37% (41) of actions/targets are currently overdue or have not been met. Some of the targets completion dates have been missed due to things outside of the councils control. Where target completion dates have been missed these have been re-profiled and given new target dates.
  
7. Actions/targets delivered over the past year include:
  - the commissioning of a new housing market assessment to inform future housing and planning policies ,
  - bringing forward development proposals for the discuss bungalows,
  - ensuring that all council assets approved for disposal are assessed for the delivery of affordable housing by the councils Corporate Asset Management group,
  - undertaking refurbishment works on permanent travellers sites,
  - gaining planning permission for the Peasholme Centre and the new direct access hostel (Arclight),
  - monitoring of the homeless strategy in preparation for a new strategy in 2008,
  - implementing a revised allocations policy, a reward scheme for tenants,
  - investigate ways in which resident associations can become more self-empowered and representative,
  - introduce policy to allow for extension of introductory tenancies and demotion of tenancies when tackling anti-social behaviour,
  - introduced a range of incentive options for council tenants,
  - implementation of the new housing, health and safety rating system,
  - a significant rise in the number of homeless preventions,
  - a reduction in the number of non decent homes.
  
8. Two actions within the Housing Strategy have been proposed for deletion. These are:
  - Work with “Golden Triangle” partners to better understand the sub-regional housing market, and deliver more affordable housing. Outcomes will be monitored against the Golden Triangle Partnership Project Plan.

Reason - The action is proposed for deletion because, the sub-regional housing market work is now being picked up by the North



Yorkshire Housing Forum. Monitoring of the Golden Triangle Homebuy Plus scheme picked up in a new action.

- Market test the feasibility and value for money of City of York Council directly managing leased homes from private landlords with a view to this helping to reduce the number of homeless households in temporary council accommodation.

Reason - Change of emphasis in Govt targets (to reduce all temp by 50% by 2010) may be a conflict. It is proposed to delete this action as no significant increase in use of private landlords. Current contracts adequate.

9. Of the 33 overdue actions in the Housing Strategy all except one<sup>1</sup> have revised completion dates.

#### Older Peoples Housing Strategy Action Plan

10. Overall progress in relation to delivering the OPHS action plan shows that 40% (5) of actions/targets have been met or are on track to be with 54% (7) of actions or targets currently overdue/not met.
11. The overdue actions in the OPHS have been given revised completion dates.
12. A full copy of the action plan is available by request from the Planning and Policy Manager.

#### **Summary**

13. There have been significant achievements and successes over the year delivering the Housing Strategy and OPHS. Whilst some slippage has occurred delivering the action plans lead officers have identified revised target dates. Many of these actions were given challenging completion dates at the time the Housing Strategy and OPHS were agreed, and many require the input of other partners. Generally the revised deadlines should be more realistic than those previously set.
14. With the proposed revisions the council is still on track to deliver the key outcomes and broad objectives set out in the Housing Strategy and Older Peoples Housing Strategy by 2009.

#### **Consultation**

15. This report has been written in consultation with lead officers responsible for actions and targets within each of the strategies.
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## Options

16. This report is for information and no options are included.

## Corporate Priorities

17. Delivery of the Housing Strategy and Older People's Housing Strategy contributes to the following council priorities:
- Improve the actual and perceived condition and appearance of city's streets, housing estates and publicly accessible spaces
  - Improve the health and lifestyles of the people who live in York, in particular among groups whose levels of health are the poorest
  - Improve the life chances of the most disadvantaged and disaffected children, young people and families in the city
  - Improve the quality and availability of decent affordable homes in the city

## Implications

- **Financial**

All overdue actions within the Housing Strategy and OPHS have been given revised completion dates so there are no financial implications arising from non delivery expected at this stage.

- **Human Resources (HR)**

There are no HR implications for the authority.

- **Equalities**

There are no equalities implications at this stage.

- **Legal**

There are no legal implications for the authority at this stage.

- **Crime and Disorder**

There are no crime and disorder implications at this stage.

- **Information Technology (IT)**

There are no IT implications for the authority.

- **Property**

There are no property implications for the authority.

- **Other**

No other implications known at this stage.

### **Risk Management**

18. Regular monitoring and reporting of progress should ensure early intervention to minimise non delivery.

### **Recommendations**

That the Advisory Panel advise the Executive Member to:

19. Note the overall progress made to date in delivering the Housing Strategy and OPHS.
20. Agree to the proposed deletions as detailed in para 8.
21. Note that a further progress report will be submitted to them in 12 months time.

Reason: To keep the Executive Member informed of progress and to update the actions contained in the strategies.

### **Contact Details**

**Author:**

Paul McCabe  
Planning and Policy Manager  
Housing Strategy and Enabling  
Group  
Housing and Adult Services

**Chief Officer Responsible for the report:**

**Steve Waddington**  
**Head of Housing Services**

Report Approved  Date 2<sup>nd</sup> July 07

Specialist Implications Officers: Finance – Debbie Mitchell, HASS Finance Manager

**Wards Affected:**

All

**For further information please contact the author of the report**

**Annexes:**

None.

**Background Papers:**

Housing Strategy 2006-09  
Towards an Older People's Housing Strategy 2006-09

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HASS42

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**Meeting of Executive Members for Housing  
and Adult Social Services and Advisory Panel***16<sup>th</sup> July 2007*

Report of the Head of Housing Services

***ANNUAL HOUSING SATISFACTION SURVEY 2007*****Summary**

1. This report asks the Executive Member to consider proposals for changes to the collection of satisfaction data from City of York Council Tenants in 2007-8.

**Background**

2. Every three years all Councils who retain their housing stock are required by the Communities and Local Government (CLG) to carry out a sample survey of tenants using a questionnaire known as the STATUS survey, and a prescribed methodology. The STATUS questionnaire consists of core questions which it is compulsory to ask, which housing providers can supplement with additional questions which are relevant to their local area, or to particular service issues. A national methodology for the survey serves two main purposes:
  - to enable data to be collected to inform Best Value Performance Indicators (BVPI) on satisfaction with the housing service overall (BVPI 74), and satisfaction with opportunities for participation in the housing service (BVPI 75).
  - to enable housing providers and the CLG to benchmark and compare performance.
3. The most recent year in which the STATUS survey was required was in 2006-7 and the Council commissioned a market research company to carry out a survey of tenants using the prescribed methodology in Autumn 2006, the results of which were reported to the Executive Member on 15<sup>th</sup> January 2007. However, City of York Council housing services have historically carried out a survey known as the *Annual Housing Service Monitor (AHSM)* every year since 1990. From 1990 to 2005 the survey was carried out face to face with a sample of customers in their homes. However in 2006 for the first time the CLG insisted that all housing providers used a postal methodology. The change in methodology prescribed by the CLG was reported to the Executive Member on 14<sup>th</sup> August 2006.

4. Given that this represented a break in the continuity of the survey the Head of Housing is recommending a revised approach to the collection of tenant satisfaction information, the options are set out below
5. A full satisfaction survey will again be carried out in 2009/10.

### **Consultation**

6. The proposal to change the way in which Tenant Satisfaction data has been considered by Housing Services Management Team
7. The York Federation of Residents and Community Association's will be discussing the proposal at their July meeting, and the panel set up to oversee the Customer Involvement Compact for York, (Members received the revised document at the June 2007 Housing EMAP meeting) will be a key force in developing new ways of involving tenants, and also in any changes to the way in which we collate customer feedback.
8. Tenants attending the follow up focus groups were asked how they would like to be involved in the housing service in future. Interest was particularly high in being part of Mystery shopping & estate inspections (18 people interested) and 'expert panels' (16 people) out of the 50 tenants who contributed to the focus groups.

### **Options**

9. **Option 1 – Carry out a reduced size annual housing survey in 2007/8 and 2008/9, complemented by focussed research**
10. **Option 2 – Carry out a full Annual Housing Monitor based on the STATUS survey again in 2007**

### **Analysis**

11. Results of the 2006 survey were finalised in January 2007 and it was then decided to carry out additional work in Spring 2007 with focus groups of tenants to elicit additional information about areas where satisfaction levels were falling and/or of concern. Work on designing and commissioning a 2007 survey would the need to begin in August 2007. The sheer volume of information and the cycle of analysis and reporting involved limits the opportunities for Housing Services to make best use of the data. For this reason a reduced questionnaire focussing on questions supplying key BVPI data on satisfaction, and issues which were of particular concern in last years survey results is recommended (Option 1). [Note Councils do not have to supply updated satisfaction figures in the years between 'Status' surveys but can supply a revised figure to the CLG if they have carried out a further survey meeting the methodological requirements of the CLG]
12. Commissioning a less detailed sample survey, supplemented by additional customer consultation on both a rolling basis and to address particular issues, would enable the housing service to better focus on developing services to

respond to tenants needs. Housing Services propose to circulate a reduced survey to a sample of tenants sufficient to achieve 700 responses (of the PI data to be updated by the CLG, a minimum of 625 responses are required). This will be supplemented by existing customer satisfaction surveys such as the *New Homes Questionnaire* sent to all new City of York Council Tenants. Work is underway in refining our approach to the collection of satisfaction information with the responsive repairs service.

13. In addition more detailed focus group work will be carried out. A number of the tenants who volunteered for the follow up focus groups in the 2006 survey have indicated an interest in being involved in further work of this type. We will also be seeking to establish 'Customer Expert Panels' in the coming year, where customers are invited to review, test and inform particular service areas. This represents an additional or alternative way for tenants to be involved in the service. Tenants can become 'experts' in a particular service area and be involved in mystery shopping, reality checks (on estates and reception areas), monitoring performance and developing policy and procedures. There will also be more 'armchair' opportunities for tenants who do not want to be involved in meetings. This approach will enable tenants to better influence the direction of the service. Detailed plans for how the panels and associated feedback mechanisms will work are currently being developed.
14. The housing service also needs to focus efforts on particular areas of declining or low satisfaction such as opportunities for involvement, and getting hold of the right person and anti-social behaviour. The housing service will also be consulting with and involving customers in several major initiatives during 2007-8. These include our response to the Governments 'Respect' Agenda around anti-social behaviour, and an end to end review of the responsive repairs service.
15. Option 2 – continuing with a full postal survey, would enable continuity of data but would be less useful in informing focussed improvement work (see paragraph 12 above) The Audit Commission Housing Inspection 'Key Lines of Enquiry' (KLOE) suggest that an excellent authority should focus on their customers key concerns, and provide them with 'a range of opportunities to put forward their views' which the more detailed approach taken in Option 1 could better facilitate. The intention remains to carry out a wide ranging housing survey in 2009/10 in accordance with STATUS and whatever government guidance is in place at that time.

### **Corporate Priorities**

16. The collection of tenant satisfaction data and its use in informing improvements to the housing service contributes to the Corporate Priority '*Improve our focus on the needs of customers and residents in designing and providing services*'.

## Implications

17.

- **Financial Implications**

The cost of the reduced AHSM survey and mail out sufficient to elicit the 10% response rate which exceeds the statistical base required by the DCLG will be covered from by the existing housing market research budget of £12,800, held by the Service Development Manager. The cost of the reduced survey is estimated at £2,000. Any savings from this budget will be used to carry out additional customer satisfaction work. The exact costs of this are not currently known but will be kept within the budget total. The costs associated with the development and delivery of Customer Expert Panels is currently being worked up and will be reported to members through the service planning / financial monitoring process. The cost of carrying out a full Survey and follow up groups in 2006/7 was £13,101.

- **Human Resources (HR)** There are no HR implications
- **Equalities** The reduced AHSM survey, and other customer satisfaction data collected in housing will be analysed according to ethnic group, disability age and gender.
- **Legal** There are no legal implications
- **Crime and Disorder** There are no Crime & Disorder Implications
- **Information Technology (IT)** There are no IT implications
- **Property** There are no property implications
- **Other** None

## Risk Management

18. There are risks associated with feedback opportunities such as surveys and the Customer expert panels outlined in paragraph 14 above aim to make participation in the housing service more accessible, and in turn to increase levels of satisfaction with participation. Tenant Satisfaction with Opportunities for Participation is a Best Value Performance Indicator and one which has an impact on the Council's Comprehensive Performance Assessment (CPA) rating. Satisfaction among tenants in York with opportunities for involvement is currently 57%. This is an increase on 55% in 2006, but below the bottom quartile threshold of 68.2%.

19. The CLG currently requires submission of data based on a full STATUS survey every three years so collecting data in the way proposed above does not pose any risks in terms of audit compliance. Any major changes to the reporting and



measurement of tenant satisfaction made by the CLG, will be reported back to the Executive member

## Recommendations

20. That the Advisory Panel advise the Executive Member to approve Option 1, adopting a revised approach to the collection of annual housing satisfaction data from CYC housing tenants:

- Option 1 outlined above is adopted

Reason: To enable an approach which better facilitates tenant involvement in service development, and to allow sufficient time to act on findings from survey work.

## Contact Details

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Report Approved  Date 2/7/07

## Specialist Implications Officer(s)

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**Wards Affected:**

All

For further information please contact the author of the report

## Background Papers:

**Housing Services Tenant Satisfaction Survey 2006/7** – Report to Housing EMAP 14<sup>th</sup> August 2006

**Results of the 2006 Annual Housing Services Monitor** – Report to Housing EMAP 15<sup>th</sup> January 2007

Audit Commission – **Key Line of Enquiry (KLOE) 30: Access and Customer Care**

**Annexes**  
**None**



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## **Meeting of the Executive Members for Housing and Adult Social Services and Advisory Panel**

16 July 2007

### **Supporting People Programme**

#### **Summary**

1. This report advises Members of the progress made within the Supporting People (SP) Programme in York. It identifies the key priorities for the programme and the implications of these for the Council. The report invites the Executive Members to refer this information to the Executive for their information.

#### **Background**

2. The Supporting People Programme was launched by the Office of the Deputy Prime Minister (ODPM) in 2003, and enables the provision of housing related support to help vulnerable people maintain or improve their ability to live independently. The programme is expected to contribute to a range of strategies, including reducing re-offending, tackling disadvantage and social inclusion, reducing and preventing homelessness, reducing health inequalities, reducing substance misuse, and increasing choice for older people, people with disabilities and with mental health conditions
3. The programme is delivered locally through a partnership between City of York Council, North Yorkshire and York Primary Care Trust and North Yorkshire Probation Service, with the Council also taking the role of Administering Authority. The partnership operates through the Commissioning Body, with non – executive and executive representatives from all three partners, and operates according to a Memorandum of Understanding.
4. City of York representatives on the Commissioning Body are the Director of Housing and Adult Social Services and two members nominated by Council.
5. The Programme in York is delivered through 125 contracts with 39 supported housing providers. These include charitable organisations, Registered Social Landlords, the Primary Care Trust and the Council. These contracts are reviewed on an annual basis, with service reviews for each customer group

undertaken on a 3 yearly cycle, to ensure that quality, cost effectiveness and strategic relevance are delivered.

6. The customer groups supported by the programme are:
  - Older people
  - People with mental health problems
  - Ex offenders
  - People with drug problems
  - People with alcohol problems
  - Homeless families, single homeless and rough sleepers
  - Travellers
  - People with HIV/AIDS
  - Young People at risk, care leavers, teenage parents
  - People with learning disabilities
  - People with physical and/or sensory disabilities
  - People fleeing domestic violence
  - 'Generic' vulnerability
7. Housing and Adult Social Services works with many of the vulnerable customer groups but the services provided through Supporting People are 'preventive' and not statutory services. Unlike the statutory services the Directorate is responsible for , it is the services that are eligible for Supporting People subsidy and not the individual using the service.
8. The programme impacts on some customer groups and strategies which do not fall within the remit of the Department, or where other Directorates will also have an interest. In particular, Young People, Offenders, and Drugs and Alcohol. Corporate links and links to the Local Strategic Partnership and Local Area Agreement are therefore essential to the success of the Programme.
9. The Programme was inspected by the Audit Commission in August 2004 and the report was published on 11<sup>th</sup> November 2004.
10. The inspection report rated the service in two ways :
  - a) How good is the Service ?  
The inspectors gave the service a Fair or One Star rating
  - b) What are the prospects for improvement ?

The inspectors found the prospects to be uncertain.

11. The Commissioning Body agreed an Action Plan in November 2004. This action plan was reported to the Executive in *January 2005*. By November 2005, all actions bar one were either achieved or partly achieved. Any outstanding actions were included within the Five Year Supporting People Strategy agreed in 2005. Annex A summarises the delivery of the Inspection Action Plan.
12. The Five Year Strategy is currently being refreshed to ensure that new strategic drivers are captured. This provides an opportunity to ensure that the Supporting People Programme is more closely aligned with LAA outcomes, and contributes to the prevention and well being agenda within the city.
13. Updated information on housing support needs within the City, as well as the impact of new services that have been developed within the Programme since 2005, will also be reflected in the strategy refresh. Annex B outlines the key actions within the original strategy, and the progress to date with these.
14. The Programme in York was originally allocated a grant of £9.4m. This was based on the value of 'legacy services' as defined by the grant conditions i.e. eligible services that were already in place. York was very successful in maximising the amount of funding that could be attracted under the transitional arrangements, however the City was identified as a 'high spending' Authority from the outset. Since 2003 York's grant has decreased each year, and for 2007/8 will be £8.2m. Significant work has been required to address the reducing funding within the programme, with a large retraction plan in place for some services.
15. The Office of the Deputy Prime Minister (now Communities and Local Government - CLG) consulted on the future funding arrangements for the Programme in 2005. There remains a high risk that the grant will continue to reduce over the coming years, with any move towards a Distribution Formula likely to disadvantage York. It is now expected that any announcement on the future funding for the programme will be made as part of the Government's Spending Review.

## **Consultation**

16. The Programme has a number of mechanisms for consultation, with customers, providers and other stakeholders.
17. These include a Provider Forum, and a newly formed User Group (York Support). It also includes the Core Strategy Group, which oversees the work of the programme and includes representatives from all partner organisations, and representatives from the Provider Forum. There are plans to increase the membership to include strategic leads for key customer groups, and representatives from the York Support Group.
18. Three yearly reviews of all services are undertaken by the Supporting People team, by customer group. Part of the review process includes consultation

with service users, and with stakeholders to identify any gaps, or issues with the quality of services, and to help develop plans for service development.

19. Both the Strategy, and the Strategy Refresh have been considered by stakeholders through these consultation routes.
20. Consultation over the best forum for regular reports on the programme to Members has been undertaken with the head of Legal Services, and with the Directors responsible for the two key customer groups that do not fall within HASS remit. No views have been expressed over a preferred option.

## **Options**

21. Members are invited to note the progress achieved on both the post Inspection Action Plan and the delivery of the Five Year Strategy. Members are invited to note the new priorities proposed within the Strategy Refresh, and consider referring this report to the Executive for their consideration and information.
22. Members could indicate whether they would wish to receive regular updates on the Programme.
23. An alternative would be to provide copies of Commissioning Body Minutes to be circulated with Council Agendas, allowing members to raise any questions they may have of the nominated representatives to the Commissioning Body.

## **Analysis**

### **Service reviews, eligibility and the retraction plan**

24. The Supporting People Team were successful in meeting the Government's target of reviewing all legacy services by March 2006. As a result of the Service Reviews a number of services agreed to make changes to address value for money issues, improve quality and improve strategic relevance.
25. A small number of services were identified as being not eligible for SP funding, under the local eligibility criteria introduced following the Audit Commission's inspection. A larger number were identified as not being fully eligible for the level of funding they were receiving. This was because the Government had made it clear, once the overall cost of the national programme was known, that the programme was intended to provide 'low level' housing related support. It was expected that the original criteria for identifying legacy services needed to be reviewed at a local level to ensure local priorities could be delivered, and to make sure that care and housing management costs were not being funded through the SP grant.
26. Whilst the general efficiencies and quality improvements identified through the service reviews in York affected all services, the ineligible funding was found mainly in services that were either managed by the Council (for example a contribution to the costs of estate management in Housing

Services), or joint funded between SP and the Council or the Primary Care Trust (PCT) ( for care costs). In particular services for people with learning disabilities and people with physical and sensory disabilities have been affected by the loss of SP funding, because many of these schemes provide support with daily living tasks, which were eligible under the legacy arrangements, but, in line with Government guidance, not under the local criteria.

27. Where customers were also in receipt of care services following a care assessment, and where it is clear that their eligible care needs can best, and most cost effectively, be met by the continuation of a service, the reduction in SP funding will in future be part of the care management costs.
28. The Commissioning Body's retraction plan has allowed funding to be withdrawn over time, up to a four year period, where there would otherwise be a risk that essential support for vulnerable people would be affected. This was agreed to allow alternative funding to be secured. However this does still mean the significant cost pressure for the Council will be a phased pressure until the final retraction for 2009/10.

#### **Financial position and development of new services**

29. At the time of the Audit Commission inspection the Commissioning Body and the Council were criticised for allowing balances to accrue without any plans for investing them in new services. The balances had accrued as a result of some services not being fully operational at the time the programme, together with a caution about making commitments when there was significant uncertainty about the future funding that the Partnership would receive.
30. Following the inspection the Commissioning Body invited the current SP providers to put forward proposals for new services, that they could evidence a need for. These services were funded for an initial period of 18 months, with a review to be undertaken during that time to decide if continued funding would be agreed, taking account of both the performance of the services and the financial position of the programme.
31. Six new services were established, including an outreach service for women escaping domestic violence, a teenage parents support scheme, support for people with mental health needs, and a skills development programme for rough sleepers. All of these services have been awarded further contracts at the end of the pilot period, following successful reviews, and a more stable financial position projected for the programme.
32. A second phase of commissioning new services commenced last year. The retraction plan, to remove ineligible funding from services, has freed up sufficient money to cover the reduction in grant and to leave some funding available for new services. Because of the staging of some of the funding reductions over three & four years, additional money will also become available next year.

33. New services are being commissioned to meet gaps in service for the priority customer groups, identified in the Five Year Strategy. These priority groups are: people with drug problems; people with complex needs (needs relating to three or more of the vulnerable customer groups); people with mental health needs; and young people.
34. To date new services have only been commissioned from our current providers, however we will be inviting other providers to apply to join our accredited provider list this summer, and will then be able to extend future bids for services to a wider market.

### **New priorities**

35. Since 2005 new strategic drivers have continued to emerge. The information from the Long Term Commissioning Strategy for Older People highlights the demographic pressures of an aging population, and the changing aspirations of older people. Mid Year population estimates also indicate that the Black and Minority Ethnic (BME) populations are growing faster in York than elsewhere.
36. The Government White Paper 'Strong and Prosperous Communities' sets out the importance of the Local Strategic Partnership ( LSP ) and Local Area Agreement (LAA) to help shape communities, and local priorities and to deliver joint working. The LAA in York sets out objectives for the local community, and has provided the Supporting People programme with a new set of local outcomes to contribute to .
37. Council Priorities, and Government initiatives are also drivers for the programme. The Respect Agenda, the drive to reduce the number of homeless 16-17 year olds placed in bed and breakfast, and the development of individualised budgets for social care customers are three key areas which have implications for the future priorities for the Supporting People programme in York.
38. Through the refresh of the Five Year strategy it is clear that the development of new services has begun to address some of the gaps that existed at the outset of the programme.
39. Looking again at the current gaps, and the strategic requirements, the revised priority customer groups for any additional investment will be: people with drug problems; young people, vulnerable older people and older people with dementia. There is still a need to understand the housing support needs of BME populations and so it will be a priority to commission research on this during the coming year.
40. Discussions are already underway to explore the possibility of SP funding being used to help commission a new hostel for 16- 17 year olds, as proposed within the Homelessness Strategy, which would help reduce the use of bed and breakfast and provide the appropriate help and support to young people who are very vulnerable if they cannot live with their families.



41. It is anticipated that recommendations for new services for people with drug problems will result from the current service review for this customer group.
42. Older peoples' SP services will be reviewed between September and December 2007, and so it is expected that recommendations for any new or changed services will come from this review. Any changes proposed should help to deliver the Long Term Commissioning Strategy for Older People, and in particular the prevention agenda.

### **Corporate Priorities**

43. By helping vulnerable people to develop the skills and networks to maintain their housing and by working in partnership with a regular review programme of the services commissioned, the Supporting People programme helps the delivery of the following Corporate Priorities:
- Improve the life chances of the most disadvantaged and disaffected children, young people and families in the city
  - Improve the health and lifestyles of the people who live in York, in particular among groups whose level of health are the poorest
  - Reduce the actual and perceived impact of violent, aggressive and nuisance behaviour on people in York
  - Increase people's skills and knowledge to improve future employment prospects
  - Improve the way the council and its partners work together to deliver better services for the people who live in York
  - Improve efficiency and reduce waste to free up more resources

### **Implications**

#### **Financial**

44. There are no specific financial implications to this report. Financial pressures brought about as a result of the reduction in SP funding to essential services have been, and will be, raised through the usual budget monitoring procedures.
45. The future long term funding of the SP programme remains uncertain and no information is yet available on the level of grant that will be received in future years. Any reduction in grant would need to be matched by a reduction in the amount spent on the programme.

### **Human Resources (HR)**

46. Funding of staffing provision to administer the Supporting People Pot is ring-fenced and provided by the CLG. The move towards Market Testing will require new skills and resources within the Supporting People team which may have an impact on the budget or staff structure. A three year waiver is currently in place which will allow time to consider the impact of Market Testing on the team.

### **Equalities**

47. The Supporting People Programme provides support to many disadvantaged customer groups, and has a key role in addressing disadvantage, by providing help to ensure that basic needs such as maintaining a home, accessing services and participating in community life, are achievable.
48. There are outstanding issues to address within the programme to ensure that the needs of the BME communities within the city, regarding housing related support, are understood and met. Plans are now in place to address this during the coming months.

### **Legal**

49. There are no legal implications to this report

### **Crime and Disorder**

50. Supporting People Programme funds housing related support for ex offenders, with a view to reducing the risk of reoffending.
51. The Respect Agenda is one of the new strategic drivers recognised within the strategy refresh for the local programme, and there is a commitment from the Commissioning Body to support family programmes in the city to ensure that housing related support is part of the overall response to anti social behaviour issues.

### **Information Technology (IT)**

52. A new database, Framwork I, will be introduced over the next year which will replace the existing database Supporting People use to administer the programme. This is likely to cause short term disruption but long term administrative improvements.

### **Property**

53. There are no property implications to this report.

### **Risk Management**

54. The programme uses the Council's Risk Management approach, and reports regularly to the partnership on any high level risks.

55. The need to retract funding from services continues to bring a financial risk to the Council, but this risk will be managed through the ongoing review of accommodation and support needs, and through the usual budget management processes.

### **Recommendations**

56. That the Advisory Panel advise the Executive Members to note the information provided within this report, and refer the report on to the Executive for information.

Reason: This will allow a wider strategic understanding of the programme, which extends beyond the usual remit of Housing and Adult Social Services.

57. That the Advisory Panel advise the Executive Members that in future a report should be provided to the Executive Members and Advisory Panel, on an annual basis, for referral on to the Executive.

Reason: To allow a wider understanding of the progress and issues of the programme, and its links to local strategic priorities.

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**Specialist Implications Officers:** Finance - Debbie Mitchell, HASS Finance Manager

**Wards Affected:** *List wards or tick box to indicate all*

All

### **Annexes**

Annex A – Inspection Action Plan and outcomes

Annex B – Five Year Strategy Action Plan and progress

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## Action Plan in response to the inspection of the York Supporting People Programme

	Issue	Proposed Action	Timescale	Result
1	Plan how the underspend for 2003/4 and resources unlocked from the 2004/5 budget can best be utilised for benefit of the vulnerable people of York.	A report will be brought back to the CB once the final settlement of the SP grant for York is known	By April 2005	<p><b>Achieved</b> Agreed in Jan 05 workshop to look at pilot services.</p> <p>Bids reported July 05 and contracts awarded for 18 months Oct 05</p> <p>Rest used to enable SP funds to be reduced where services ineligible in phases thus not putting vulnerable people at risk</p>
2	Ensure that a framework for delivering the five year strategy is developed, resourced and adhered to	A project plan is in place to complete the 5 year strategy in time for submission	Submission by April 2005	<p><b>Achieved</b> Strategy developed and submitted April 05</p>
3	Implement effective arrangements for involving users, carers and advocacy groups including 'hard to reach' groups who do not currently receive or are underprovided for in relation to housing related support	Key target groups will be HIV/Aids, people with drug dependency, refugees, people from Black & Minority Ethnic groups, - for whom we will work with partner and neighbouring authorities to develop constructive links with user and advocacy groups. All service groups to be mapped to	March 2005	<p><b>Partly acheived</b> Service groups and links mapped. Some gaps – no links yet with refugees ( York is not a dispersal city) and limited links with BME groups</p>

Action Plan in response to the inspection of the York Supporting People Programme

		show how links will be made and maintained. Information provision will be improved by the development of the Council website, and the development of a services directory		Website developed  Service directory (with NYCC) published summer 05.  SP to host a stall at June 2007 Council event for BME communities
4	In relation to the governance of the programme:  a) develop protocols and procedures to resolve disputes should they arise between partners; and  b) review the membership of the Core Strategy Group to ensure it has adequate representation from all stakeholders, including external service providers.  c) Update the terms of reference for the group to reflect its current purpose and relationship with the commissioning body	a) This will be the subject of a separate report to the C.B on a memorandum of understanding  b) CSG has agreed to invite representatives from 2 provider forums. The SP Providers forum is looking at the method of selection and resource within providers.  c) Useful guidance has recently been received which can be used to clarify the relationship which will then be reported to the CB	January 2005   December 2004   January 2005	<b>Achieved</b> Memorandum of Understanding agreed March 05 (Updated arch 2007)   Providers selected representatives January 05 and attended CSG from March 05   TOR updated March 05

**Action Plan in response to the inspection of the York Supporting People Programme**

				Further review 2007 – proposals to extend membership to strategic leads and to User reps
5	Establish a local interpretation of which activities are eligible for Supporting People funding, involving service providers and user representatives.	This will be the subject of a further report to the CB following consultation with local stakeholders	January 2005	<b>Achieved</b> Completed for SP strategy
6	In relation to the service review programme: a) amend the approach to service reviews to ensure that services which are suspected of providing activities ineligible for grant funding, not strategically relevant, high cost or at risk are targeted for early review b) the commissioning body should ensure that the service review timetable is resourced and adhered to, and that services are re-configured, as necessary, to ensure that funded services are eligible and provide value for money c) establish in agreement with service providers a quality assurance mechanism to ensure reviews are	a) The service review programme will be amended from the start of 2005 (see reports on service reviews and eligibility criteria on this agenda)  b) The CB will be receiving updates on progress against the review timetable. A bid has been made for ODPM funding to supplement our resources through the “Value Improvement” programme with service reviews highlighted as the key issue.  c) A Quality Assurance Framework (QAF) is being implemented by the CSG in negotiation with	January 2005          Ongoing (result of the bid to ODPM to be announced on 19 <sup>th</sup> November )  January – April 2005 for	<b>Achieved</b>  PLD services brought forward          Service reviews completed by March 2006. Additional staffing financed through admin grant under spends          Review process

## Action Plan in response to the inspection of the York Supporting People Programme

	consistent and a means of dealing with appeals or disputes that may arise following a service review	provider and following ODPM guidance. A dispute resolution process needs to be agreed.	the dispute resolution agreement to be finalised	reported to CB Feb 05
7	Comply with ODPM guidance and grant conditions regulations by making payments to service providers in advance	This will require a waiver to the Council's Financial Regulations. It will also generate a lot of work on I.T. and admin. Systems, contract variation and housing benefit links.	By April 2005	<b>Not achieved</b> Waiver requested but ODPM advised Head of Finance that it was not a requirement. Providers advised with option to request review of payment arrangements if this caused hardship
8	Develop and deliver services with partners in response to identified need that plugs the gaps in housing related support provision for client groups who are currently not provided for.	The gaps in provision will be set out in the 5 year strategy based on the information we currently have available. This, together with information being built up from service reviews will be brought to the CB to inform decisions on priorities for future commissioning of services.	By November 2005	<b>Partially achieved</b> Pilot services targeted at groups identified as priority within strategy.  Commissioning plan further developed 2006/7 in line with retraction plan
9	Tackle the barriers that are put in place by service provider exclusion policies and the 'silting up' of accommodation based services through shortages of move on accommodation.	This has been identified as an issue for some customer groups – e.g. offenders and people with drug dependency. Contract reviews will examine exclusion policies and	By November 2005	<b>Delayed</b>  Second round of Service Reviews (from April 2006



## Action Plan in response to the inspection of the York Supporting People Programme

		challenge the rationale for them. There will also be work with the provider forum on acceptable principles for exclusion policies. The 5 year strategy should help inform the CB about areas where move on arrangements are not working well.		beginning to explore issues more robustly)
10	<p>Improve planning and performance management by:</p> <p>a) introducing an overarching short to medium term plan which allows the commissioning body to oversee the development and delivery of the programme</p> <p>b) finalising risk appraisal and contingency planning for the Supporting People services in York with an emphasis on the potential for service failure. These plans must be linked to the corporate programme of risk management, should be clearly recorded and agreed by the commissioning body</p> <p>c) considering how performance indicators and other statistical information provided by all the partners can be used to evidence the impact that the Supporting people programme is having in York</p>	<p>a) This will need to be in place for 2005/6 so that the CB can take a more active role in guiding and performance managing the SP programme</p> <p>b) The inspection has called for a more formal system of risk management to be put in place. In the first instance this will be discussed at the CSG.</p> <p>c) This can be considered initially as part of the 5 year Strategy</p>	<p>January to April 2005</p> <p>To be completed by April 2005</p> <p>April 2005</p>	<p><b>Mainly achieved</b></p> <p>Overarching work plan provided or CB and CSG for 2005/6</p> <p>Risk log agreed by and reported to CSG</p> <p>Delayed – first PI report May 06</p>

**Action Plan in response to the inspection of the York Supporting People Programme**

11	Report the findings of this report to the council, commissioning body, staff, partners, providers, stakeholders and users setting out proposals for addressing these recommendations and all other weaknesses in this report within 12 months.	There will need to be communications plan to achieve this. A newsletter has now been set up for stakeholders and reports are going to the council's Executive Members in December 2004.	Already underway	<b>Achieved</b>
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**Annex B  
Supporting People Strategy Action Plan**

**Progress on action plan**

Action area	Action planned	Progress
Needs assessment and strategic relevance for each customer group completed	<p>Specification for needs assessment drawn up</p> <p>Sign up from all named strategic leads</p> <p>Level 5 information on priority groups by 2006</p> <p>Other groups to level 5 ( suitable for specifying service requirements) by 2010</p>	<p>Specification outlined in 2006/7 work plan.</p> <p>Needs information gathered through strategic review elements of service reviews</p> <p>Updated assessments now in place for: mental health ( priority group), homelessness (including information on complex needs – priority group). Drug user assessment still not complete but some progress.</p> <p>Unlikely to achieve Level 5 for all services within original planned timescales</p>
Commissioning new services and utilising balances	<p>New ,or changed services in place</p> <p>Balance utilised</p>	<p>Pilot schemes commissioned from balances in October 2005 for 18 months.</p> <p>Pilot schemes reviewed and agreement to continue funding made April 2007.</p> <p>Balances utilised by these new services</p>

		and by the phased introduction of the retraction plan for ineligible services
Service re-engineering	<p>Process for service change agreed by 2006</p> <p>Services changed according to agreed process 2006-10</p>	<p>Service reviews identify need for change. Changes negotiated with providers. Appeals procedure in place.</p> <p>Services requiring decommissioning to be agreed by CB, and new services to be commissioned to be agreed by CB</p> <p>Changes identified through 1<sup>st</sup> service reviews now in place. Proposals for change all agreed with providers.</p> <p>Retraction plan agreed by CB March 2006.</p> <p>Decommissioning procedure to be in place by May 2007</p>
Commissioning plan needed	Commissioning plan in place by June 2006 for priority groups	<p>Commissioning Plan agreed by June 2006</p> <p>Reviewed and revised January 2007</p>
Assessing Value for Money of all services	<p>Completion of 3 year service review programme by March 2006</p> <p>Improvement areas for process agreed and implemented</p>	<p>Completed on time, and improvement areas agreed with all relevant providers. Services required to change to be reviewed again within a year.</p>

	Continuing review of service review process	CB agreed revised procedure August 2006  2 <sup>nd</sup> round of service reviews now under way using new procedures, with greater links to strategic partners for customer groups
Assessment gateway to be considered to ensure that customers can access the services they need	Feasibility study required	Not pursued. A number of customer groups already have accommodation panels, which provide a gateway to services
Engaging BME communities to understand housing support needs	Project group set up Brief agreed and work undertaken to improve engagement	Agreed not feasible to undertake solely for SP – needs co-ordinating to reduce risk of overburdening communities. CYC event June 2007. Research to be commissioned following this event
Performance monitoring to be developed to allow partnership to monitor the programme	Approach to be agreed and implemented on performance monitoring and reporting	Performance reports received quarterly by CSG To review 2007, once National framework is agreed.
Develop an Outcome based approach for schemes	Agree outcomes for schemes with providers  Monitor outcomes	Pilot under way – roll out delayed to take account of new national framework: National framework for short term schemes due to commence June 2007, Long term schemes due to start July 2007
Outcomes in individual support plans	Support plans are outcome based	Pilot on outcomes in line with regional model  Rollout delayed to take account of

		national framework
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HASS24

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***Meeting of the Executive Members for  
Housing and Adult Social Services and  
Advisory Panel***

16 July 2007

Report of the *Head of Adult Services*

***Update on the Review of the Home Care Purchasing & Commissioning  
restructure***

**Summary**

1. This report summarises an evaluation of the Home Care restructure, which took place in December 2006. The evaluation compared the intentions as set out in the June 2006 EMAP report with the current position of home care services to assess the level of achievement of these planned changes. The evaluation considers:
  - The outcomes – whether the improvements proposed in the report were achieved
  - The process – whether the changes were undertaken in the way they were recommended in the report.
2. This report goes on to consider what lessons and implications there are for the future development of Home Care across the City.

**Background**

3. The Home Care restructure was subject to three previous reports to EMAP (Executive Member & Advisory Panel) before implementation on 4 December 2006. The main drivers for change were identified in these reports as:
  - Projected increase in numbers of older people, and therefore demand for services;
  - Ambition of customers to live at home, with support, for longer;
  - Impetus to develop enabling and re-enabling services;
  - A need to change employment models to improve face to face contact time, and to offer stability in the workforce;
  - Address projected overspends within the domiciliary care budgets;
  - Address fragmentation of provision to individual service users;
4. EMAP gave the final approval to the restructure on the basis of the report presented in June 2006.

In this report the changes to the services as outlined at Appendix 1 were agreed and were to be implemented primarily through:

- Contracting long term care on a locality basis through the independent sector
  - Refocusing the City of York Council (CYC) in-house services to provide a more specialist role in supporting the assessment of individuals when first in receipt of Home Care or for those with dementia or more complex needs (day & night) and for those receiving low level support
5. The new contracts came into place on 4<sup>th</sup> December 2006 and the new/additional CYC provision was started at the same time.

The services have now been in operation for seven months at the time of writing.

6. In putting this report together information has been gathered from the following sources:
- Data from the Home Care services, in-house and external
  - Data from finance, Human Resources and Care management sections
  - Quality assurance surveys of a sample of 25% of customers from each Home Care service
  - Comments and complaints received during the transition
  - Feedback from CYC staff and managers

### **Recommissioning Outcomes**

7. The outcomes required from the restructure had two aspects:
- The required levels of provision of service from CYC and the independent sector.
  - The realisation of the benefits associated with the restructure.

### Service Provision

8. In summary:
- We have successfully established the Independent sector Locality Teams in two of the three areas. The locality provider awarded the contract in the West had not recruited sufficient staff to cover the full contract. This meant that some of the customers for this area were absorbed into CYC services for continued provision and some were subject to additional contracts with other independent sector providers. Part of the Home Care contract in the area has subsequently been re-tendered and is on track for commencement on 23 July 2007. It is therefore anticipated that by the end of July this part of the restructure will be completed.
  - The tighter application in 2006/07 of Guaranteed Minimum standards of Fair Access to Care Criteria as part of the overall savings plan in Housing and Adult Social Care reduced the level of demand on home care and other services. Therefore, the actual hours of home care delivered reduced from the expected 7575 per week projected in the June 2006 report to 6254 per week during 2006/07.



- 90 people decided to take a Direct Payment to continue receiving a service from their existing provider rather than change to a new provider. Some people have opted to pay additional sums in order to do this. The numbers with a direct payment may drop over time. Whilst the extent of this movement was not fully anticipated it does mean that a lot more people now have direct control over their care services, in line with CYC objectives and national policy.
- The CYC in-house services have been established as per the approved restructure. The Promoting Independence Service and Home Support Service are fully staffed, but some adjustments were required to the specialist provision to take account of the fact that approximately 60 staff left the service during the 12 months period leading up to the change. The effect of these vacancies, and the continued high level of sickness combined with the need to allocate some CYC staff to provide services to customers who should have been cared for by the West Locality Team, resulted in contingency plans needing to be put in to place to ensure all customers received a service.

### Benefits

9. The changes were expected to bring about the following benefits, some of which will only be measurable in the longer term:
  - Increase in capacity across services
  - Promotion of independence and re-enabling approach to service delivery
  - Improved quality, through better training, recruitment and retention as a result of guaranteed hours for staff
  - Closer links with care managers and health partners
  - Reduction in in-house non contact time to 25% by June 2008
  - Financial savings delivering a return to balanced budget plus and additional £110k pa savings
  - A reduction in the number of people receiving a service from more than one agency
  - The removal of any waiting list for customers.
10. Whilst these benefits have yet been fully realised, because of the delay in effectively implementing the full service model across all the localities, there is evidence that:
  - These changes to Home Care services played a major part in addressing a projected £1.6m deficit in the Adult Social Services budget and helped deliver a surplus of £205k at 2006/07 year end.
  - Most customers now receive a service that is managed entirely by one agency rather than several

- In the North and South East localities, where the locality teams are working well, capacity is increasing. This is now being reflected in the West area.
  - There is some evidence from the independent sector locality services that recruiting staff has been easier now that they can offer guaranteed hours.
  - Initial transitional problems that caused delays in receipt of home care for people being discharged from hospital have eased and currently there are no acute discharge delays due to home care provision difficulties.
  - The waiting list will shortly be removed for customers other than those requiring EMI (Mental Health) support
11. Priority has been given to ensuring that customers receive an appropriate service, even if the team expected in the original model does not provide it. Although the transition period did not go as smoothly as hoped, significant effort was put in by many staff and agencies to ensure that all customers received the care they required and any problems were actively addressed and managed as quickly as possible. Although there were a number of complaints at the outset of the change process from customers, more recent feedback indicates good satisfaction levels. Where concerns have been raised they have been about the confusion at the time of the changeover, and inconsistent times for visits. This last has been an issue which customers have raised previously and is not thought to be entirely specific to the restructure.
12. Not all of the additional savings have yet been realised, due to the temporary arrangements put in place to secure the care of some customers. The in-house services have not yet been able to fully address the issues to reduce the non-contact time within their services, partly because of the mixed function of the in-house services during the transition. Training for the new specialist services is underway. An evaluation is required following this to identify whether there is evidence that the Promoting Independence Teams are reducing the levels of need for services.

### **The Process**

13. When considering the process the evaluation has looked at:
- The action taken against the recommendation in the June 2006 evaluation report
  - The project management arrangements that were in place. These were based on a project team comprising up to 4 people.
  - The risk management arrangements
  - Feedback from consultation
14. The tendering process for the Locality Team contracts worked well and in accordance with all necessary regulations. As a result of one provider being unable to fulfil the full contract value, a review was undertaken to check whether a different balance between cost and quality within the tender evaluations might have changed the results. The results would have been the same.

15. There were however improvements that could have been made to the overall project planning and delivery. The project was delivered with limited resources and very tight timescales. Because of the tight timescales for delivery of the changes, a discrete improvement plan was not produced for in house services as proposed. Customer communication was not as comprehensive as it might have been, mainly because of the contingency arrangements that had to be introduced to deal with the inability of some providers to offer the service planned.
16. The management of change for staff was undertaken in accordance with Council policy and guidance, but there were delays in the finalising of some contracts. Whilst there were sufficient hours available to provide the in house services, staff did not always want to work the hours and times that were required.
17. Key risks had been identified, and actions were taken to manage these. It was recognised at the outset of the project that there were risks involved in the tight timescales, but the need to deliver savings to bring the departmental budget back in balance meant that these risks had to be accepted. Contingency plans were made, however the impact of one of the external providers, and the in –house services both struggling to deliver the capacity required strained the contingency plans to the limit, and required intensive problem solving and troubleshooting.
18. One risk had not been adequately identified. This was the impact of the poor data quality on current provision at the time of transfer which:
  - Hindered a smooth transfer of care for some people whilst more accurate information was gathered on their patterns of care.
  - Has led to the need to increase projections of the level of demand for dementia services

### **Service specific issues**

19. The inability of the West Locality Provider to deliver the full amount of care hours required by the contract has now been resolved through the re-tendering of part of the contract and the appointment of a fourth provider. A more robust project plan is in place to manage the changes, with improved communication in place with customers and between providers and care managers. The new contract will be active from July 23rd, but transfers of customers will be undertaken on a phased basis leading up to this date.
20. Within in-house services there are some issues which still need to be addressed and which apply across all services:
  - Reduction of non contact time
  - Delivery of agreed objectives for each service
  - Ensuring customers are in the most appropriate service to their needs
  - Recruitment issues and reduction of use of agency staff within the specialist services
21. There are also issues specific to some of the individual services. All of these issues are being addressed through an Action Plan, which will be agreed with the Commissioning and Contracts Team, in the same way that it would be with any external providers.

22. The contingency arrangements which were put in place at the time of transition will be reviewed in line with consideration of services' ability to address the capacity and delivery issues which led to the need for alternative arrangements.

### **Consultation**

23. The key messages from the consultation in preparation for this report were:

- the project planning could have been improved with a greater level of resources available for this. These were however limited due to the projected budgetary position of the Adult services.
- The overall project would have benefited from phasing over a longer period and introduced at a different time. It is recognised this would have been beneficial but not possible within the resources available and in view of the imperative to ensure the social care budgets were not overspent to the extent predicted earlier in the financial year.
- The data on which the changeover was based was not reliable or up to date in all instances. This led to difficulties for customers, as it was not clear in all instances to the new providers what level of care was required.
- That the period of the restructure relied heavily on small groups of staff to troubleshoot due to these deficits
- Specialist services need clearer access criteria and some, such as the in-house home support service, require provision over a seven-day period.
- The communication with customers could have been improved. Whilst the helpline was useful, the number was needed earlier and better communication before the changeover and better information about the new service and stronger transfer arrangements would have improved customer outcomes. This is of course particularly relevant to the West area. In the North and South East areas the transition was smoother as the replacement services were better geared for the changes.
- The quality assurance survey was undertaken across all services. The results of the surveys reflect that there were difficulties for some customers and satisfaction levels did dip, at the early stage of the surveys. More recent results show increasing levels of satisfaction, some in line with the results of the Personal Social Services Customer Survey, undertaken in 2005, when levels of satisfaction with services amongst home care services was 95%. Customers concerns, where they have them, are in respect of:
  - o Inconsistent times of service delivery
  - o Confusion at the time of the change over to the new services.

## Options

24. It is clear that the first phase of the home care restructure will only be completed when:
- the full provision of the hours re-contracted in the West area is available, (now anticipated at the end of July).
  - Council services can function appropriately with minimal short-term arrangements and agency support to supplement them being required. (An Action Plan for the in-house services is being agreed between the Service Provider and the Commissioning and Contracts team to achieve this).
25. There is however other action that needs to be considered to rectify imbalances within the current home care delivery position. Changing needs, and a better understanding of those needs mean that we will need to keep services under review.
26. The impact of these changes has not yet been examined in detail and it is proposed that further work be undertaken to fully understand the impact of any changes on both staffing requirements and customers, and to consult with staff where necessary. It is anticipated that some changes can be made with minimum impact on both staff and customers.
27. The proposal therefore is for the Executive Member to agree that changes be made between the levels of service in line with need and demand, within delegated authority. Where changes require Member approval a further report will be provided.

## Analysis

28. The Review has identified that the demand for some of the services (Home Support and the Promoting Independence Teams) has not been as high as predicted.
29. Demand for specialist services to provide support for people with Mental Health (EMI) has grown to a higher level than the original planned increase.
30. Assuming referral rates do not change significantly, and if service levels remain unchanged, we may be funding services that are not needed and paying additional costs to supplement services that are in high demand.
31. The changes within the PCT may impact on the referral levels to the PIT teams, particularly because of the proposals to develop the health 'Fast Response' services, and an agreement to forge closer links between the team and social care services.
32. The development of a prevention strategy in line with the Health and Social Care White Paper, may have an impact on how staff in particular services need to be utilised
33. We have continued to experience difficulties in recruiting to the High Dependency Team. As a result one of the locality providers provide care to customers with higher dependency needs within their locality contract. This arrangement appears to be offering better continuity of care to the customer than the situation where agency staff supplements the Council in-house service. It also offers the potential to reduce the need for customers to move providers as their needs increase. This model therefore requires further consideration.

34. Further work is needed to scope and plan how any changes would be delivered, with a more robust project management approach. This would be undertaken using a new toolkit, developed within the Directorate to support staff manage medium sized projects. The Toolkit uses the principles of PRINCE2, the project management approach that has been adopted for large-scale projects, but makes the requirements simpler and easier to follow without specialist training.
35. The toolkit has been used to plan the further changes for customers that have been needed as a result of the re-tendering of part of the West Locality contract. These changes have been going smoothly to date.
36. The further work will include consultation with staff and Unions about the impact of any changes to service levels to staffing requirements.

### **Corporate Priorities**

37. The Corporate priorities that are being met through the options considered in this report are:
  - Improving the focus on the needs of customers
  - Improving efficiency and use of resources

### **Implications**

#### **Financial**

38. The restructure and contracting efficiencies delivered a reduction in the projected overspend of £1.6m on home care services in 2006/07. In the four months following these changes from December 2006 to March 2007 the overspend reduced to £416k.
39. The 2007/08 budget for home care is £5.3m and following the restructure of services the projected overspend is £0.44m. This figure and the final 2006/7 figure include all direct payments costs including those that had previously been monitored separately from the home care budgets and which at quarter 2 in 2006/07 projected a £162,000 overspend.
40. Action is ongoing to deliver the service within the available budget and progress on this will be reported to members through the normal budget monitoring process.

### **Human Resources (HR)**

38. Where services are to be further reviewed any changes that affect staff will be consulted upon, and managed in line with the Council's change management policies and procedures. Should there be any proposed changes trade union consultation will commence at the earliest opportunity.

### **Equalities**

39. There are no equalities implications to the report

### **Legal**

40. There are no legal implications to the report. The additional services provided for EMI care and Intermediate Care are contracted to November 2007. All other additional arrangements are 'spot contracts'.

### **Crime and Disorder**

41. There are no crime & disorder implications to the report.

### **Information Technology (IT)**

42. There are no IT implications to the report.

### **Property**

43. There are no property implications to the report

### **Other**

44. There are no other implications to the report

### **Risk Management**

45. There remains a financial risk of overspend, but this risk has been much reduced. The remaining risk will be managed within the context of the overall budgets within Adult Services.
46. Demographic pressures continue to cause a risk, as the growing elderly population will impact on the type and volume of service needed. This risk will be managed through regular review of the trends and demands, with any further changes required to services delivered through managed change.
47. The risks associated with making further changes to services will be managed through the Project Toolkit, referred to in paragraph 34. Changes will be planned more thoroughly and will be phased in, with greater emphasis on timescales, resources needed to deliver the change and effective and consistent communication with customers.

### **Recommendations**

48. That the Advisory Panel advise the Executive Member to agree that changes be made between the levels of service in line with need and demand, within delegated authority. Where changes require Member approval a further report will be provided.

Reason: to ensure better sustainability and cost effectiveness for services, to better reflect the actual demand for the new services and to provide customers with as seamless a service as possible

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**Chief Officer Responsible for the report:**

**Bill Hodson**  
Director of Housing and Adult Social Services

**Report Approved**

**Date** 2/7/07

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**Wards Affected:** *List wards or tick box to indicate all*

**All**

**For further information please contact the author of the report**

**Background Papers:**

Review of Purchasing Arrangements for Home Care Report June 2006

Review of Purchasing Arrangements for Home Care Report January 2006

Review of Purchasing Arrangements for Home Care Report March 2004

Review of Purchasing Arrangements for Home Care Report July 2003

Review of Purchasing Arrangements for Home Care Report June 2002

Review of Purchasing/Commissioning Arrangements for Home Care Report December 2002

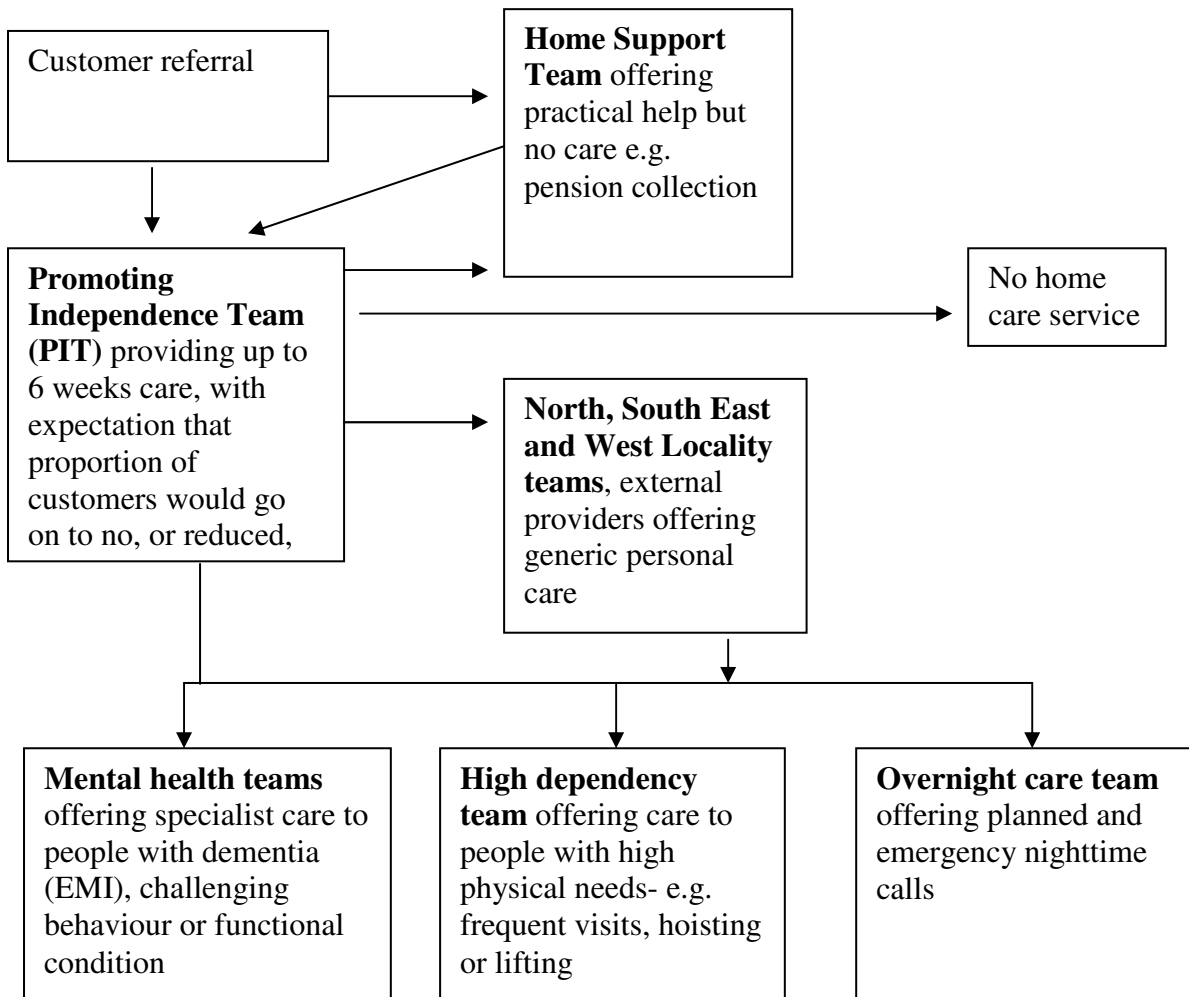
**Appendices**

Appendix 1 Home Care Service Descriptions



## Home Care Service descriptions

The following provides a brief outline of the service model agreed by EMAP in June 2006.



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HASS37

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**Meeting of the Executive Members for  
Housing and Adult Social Services**

16 July 2007

*Report of the Head of Adult Services***OUTCOME OF AN INSPECTION BY THE ADULT LEARNING  
INSPECTORATE INTO THE WORKSTEP EMPLOYMENT  
PROGRAMME****1 Summary**

To provide the Executive Member with a summary of the findings from the recent Adult Learning Inspection of the Workstep Programme and to seek Member's support to actively promote the programme and related services within the Authority.

**2 Background**

- 2.1 The Workstep contract with Job Centre Plus is to provide up to 52 places for eligible participants with a disability to be supported into employment.
- 2.2 The Manager and staff working to support the Programme are based at the Yorkcraft site, on Tadcaster Road York, that also hosts the sheltered workshop. At present there are 44 participants on the Programme, thirty-one of whom hold positions in the sheltered workshop whilst the remaining thirteen have jobs with host employers in both the Private and Public sector.
- 2.3 For participants seeking work, support from the programme can take different forms. Two employment officers are able to offer one to one sessions to help participants search for, find and retain paid employment in positions that are best suited to their skill level and capability. A job coach can spend individual time with a person to help them increase their skills and confidence in their new-found positions and where required staff can offer specific help and advice to devise reasonable adjustments in work environments or tailor systems to the special needs of particular individuals.
- 2.4 For people who are already in permanent positions who then have an illness or accident which causes a disability, similar levels and types of support can be made available through the programme to help retain them in their employment by addressing the difficulties which have arisen as a result of their new disability.

2.5 The programme is managed by the Disability Services and Employment Manager who, with his deputy, currently manages the Workstep Programme, sheltered workshop at Yorkcraft, day services for people with a disability and the transport service for Housing & Adult Services.

2.6 **The recent Adult Learning Inspection Feb 2007**

In February this year a planned Inspection of the Workstep Program by the Adult Learning Inspectorate (national level) took place. Three inspectors visited the site for three days and interviewed several participants, support staff, external employers, scheme and senior managers and other CYC staff. They also made a thorough inspection of the sheltered workshop area and interviewed the Operations manager, employment officers, job coach and supervisors. The Inspectors made visits to other host organizations talking to both participants and employers.

The results of their findings were, in the main encouraging and overall the management of the program was assessed as “good” although corporate weaknesses were again identified similar to those they had found in their previous inspection visit of 2003. These related to:

- o the need for the authority to develop a corporate marketing strategy for the Workstep Programme.
- o raising the general awareness of the Workstep Programme throughout the authority

Specifically the key findings from the inspection related to two components:

**1 Preparation for life & work- training; - grade 2 good**

The operational management of the Workstep Program was assessed as “good” and Inspectors agreed with most of the judgments in the self-assessment report prepared earlier by the Manager and his staff. They noted that there was progress for the majority of participants and that participants and employers were actively involved in the self-assessment process. The promotion of work-based qualifications was seen as “very good” as for many participants this was the first time they had achieved a formal qualification thus giving them confidence and work-based skills in different occupational areas. The placements met the aspirations of participants, who took pride in their work. Participants with host employers, using the additional support of a job coach, had well-structured objectives and clear tasks broken down into manageable elements of learning.

The Inspectors went on to praise the effective promotion of literacy and numeracy skills and acknowledged the good use of the review process, which encouraged appropriate challenges for the participants.

*“ Support is very well planned to sustain participants in work. The Workstep team is active and responsive in meeting individual needs. Very good use is made of job coaching to develop a variety of personal and work skill. Good communication and partnership working successfully uses the professional skills of all involved with the delivery of support. Where necessary, contact and practical help is frequent and regular. Workstep staff will adapt their working schedules to meet the needs of participants and provide practical support to employers.”*

The only weakness in this area was the need for the new quality assurance system to be fully implemented.

## 2 Leadership and management - grade 3 satisfactory

Although Inspectors acknowledged the progress made by CYC towards promoting equality and diversity, the lack of an overall clear strategy for:

- o the progression of Workstep employees into unsupported employment and
- o insufficient promotion of the scheme to under-represented groups

These were identified as a weakness during the previous Adult Learning inspection in 2003. The Workstep Programme at present is running at 80% of capacity and requires an effective supported strategy to be able to increase the participating numbers and to encourage its business use both within and outside the Council.

Informally Inspectors also wished the authority to consider how a clearer differentiation could be made between the Workstep programme as a Job Centre Plus funded scheme and the sheltered workshop as a CYC subsidised service

### 2.7 The opportunities to develop the services exist through:

- o special contract arrangements held at the Yorkcraft sheltered workshop, which gives authorization for preferential consideration to be granted when the sheltered workshop submits estimates for CYC work.
- o Recent amendments to the City of York’s policy and procedures for recruitment, selection and retention that recognise the potential for the Workstep scheme to promote and support potential and present CYC employees with a disability.
- o Wider strategic partnerships

## **3 Consultation**

The findings of the report were shared with the employees who agreed with and were pleased with the overall conclusions. Employees would

welcome raising the profile of the Workstep contract within CYC and look forward to a more opportunities for different work settings.

The full report has been shared with host employers.

Early discussions have taken place with staff in the Corporate Human Resources unit to implement the revised HR policies. Details about the Workstep contract will be incorporated into city of York literature and given prominence in Disability Awareness Workshops for Managers

## **4 Options and analysis**

4.1 An action plan is being developed to respond to those issues raised by the inspection. This action plan will need to reflect:

- o The completion of the quality assurance programme.
- o the promotion of wider opportunities within Council departments. Compared to the general population of York, people with a disability are under-represented in the Council workforce. The Council, as a large employer, has the opportunity to use the scheme to demonstrate good practice through effective use of the revised policies to support recruitment and retention.
- o The development of a realistic marketing strategy. The factory element of Yorkcraft is at present locked into declining industries, and requires a stronger strategy to enable it to diversify into other more profitable areas. New opportunities for work, which would reflect the needs of the local market as well as the needs of the workforce, must be sourced. .
- o Utilising the Workstep programme as an integral part of the modernisation of day services. The employment service needs to become an integral part of the continuum of options, which can be made available to people with a disability who are referred for services. To this end new information leaflets informing both potential employers and participants about the Workstep Programme have been produced and the CYC web site has been updated to reflect this new information.

## **5 Corporate priorities**

The role of the Workstep program supports the corporate priority aim to increase people's skills and knowledge to improve their future employment prospects.

## **6 Implications**

### **6.1 *Financial Implications***

The financial implications of production of information and materials can be absorbed within current budgets. The financial implications of any component of the action plan that cannot be met through existing budgets

will be considered through the normal budget processes as they are identified.

## **6.2 Human Resources**

Discussions have begun to consider the implementation of the Policy and Procedural changes and the potential for:

- o job applicants with a disability to be given support through the programme
- o the programme to be used to support the retention of staff with a disability.

## **6.3 Equalities**

The Director of Housing & Adult Social services will be pursuing relevant corporate components of the programme through his Leadership role with the Equalities objectives.

### ***Legal***

There are no legal implications to the report

### ***Crime and disorder***

There are no crime and disorder implications to the report

### ***Information Technology***

There are no information technology implications to the report

### ***Property***

Any property implications from consideration of a more distinct separation of Workstep from Yorkcraft will be dealt with through delegated authority and reported to members as required.

### ***Other.***

There are no other implications to the report

## **7 Risk management**

There are no known risks should the recommendations of the inspection be adopted/accepted. The risk of not implementing the recommendations could be the ultimate loss of the contract and consequent financial risks of maintaining current commitments

## **8 Recommendations**

That the Advisory Panel advise the Executive Member to note the content of this report and support officers to implement the recommendations required.

*Reason.* To make further improvements to the service for current and future customers.

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Report Approved  Date 2/7/07

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**Wards Affected:** *List wards or tick box to indicate all*

All

**For further information please contact the author of the report**

**Background Papers:**

Full Allreport Feb 2007

**Annexes:**

None



# INSPECTION REPORT

## **City of York Council (Workstep)**

**15 February 2007**



ADULT LEARNING  
INSPECTORATE

### **Adult Learning Inspectorate**

The Adult Learning Inspectorate (ALI) was established under the provisions of the *Learning and Skills Act 2000* to bring the inspection of all aspects of adult learning and work-based learning within the remit of a single inspectorate. The ALI is responsible for inspecting a wide range of government-funded learning, including:

- work-based learning for all people aged over 16
- provision in further education colleges for people aged 19 and over
- **learnirect** provision
- Adult and Community Learning
- training funded by Jobcentre Plus
- education and training in prisons, at the invitation of Her Majesty's Chief Inspector of Prisons
- adult information, advice and guidance services (**nextstep**).

Inspections are carried out in accordance with the Common Inspection Framework by teams of full-time inspectors and part-time associate inspectors who have knowledge of, and experience in, the work which they inspect. All providers are invited to nominate a senior member of their staff to participate in the inspection as a team member.

### **Pre-inspection analysis**

The resources allocated to a cycle 2 inspection are primarily determined by the findings from the previous inspection. Account is also taken of information about achievement and retention obtained from the funding body, and any significant changes in the size or scope of the provision.

Where a provider has received good grades in cycle 1, the cycle 2 inspection is relatively light. If the provider offers a number of areas of learning, a restricted sample is inspected.

Where a provider has received satisfactory grades in cycle 1, the cycle 2 inspection is less intensive and it is possible that not all areas of learning are included.

Where there are significant unsatisfactory grades from cycle 1, the intensity of the cycle 2 inspection is broadly the same as cycle 1, and all significant areas of learning are inspected.

Providers that have not previously been inspected will receive a full inspection.

## Overall effectiveness

The grades given for areas of learning and leadership and management will be used to arrive at a judgement about the overall effectiveness of the provider.

An **outstanding** provider should typically have leadership and management and at least half of the areas of learning judged to be a grade 1. All area of learning grades will be graded 1 or 2.

A **good** provider should have leadership and management and at least half of the area of learning grades judged to be a grade 2 or better. A good training provider should not have any grade 4s, and few grade 3s in the areas of learning.

A **satisfactory** provider should have adequate or better grades in leadership and management and in at least two thirds of the area of learning grades. An adequate provider might have a range of grades across areas of learning, some of which might be graded 4.

Provision will normally be deemed to be **inadequate** where more than one third of the area of learning grades and/or leadership and management are judged to be inadequate.

The final decision as to whether the provision is inadequate rests with the Chief Inspector of Adult Learning.

## Grading

Inspectors use a four-point scale to summarise their judgements about the quality of provision in occupational/curriculum areas and Jobcentre Plus programmes, as well as to summarise their judgements about the quality of learning sessions. The same scale is used to describe the quality of leadership and management, which includes equality of opportunity and quality assurance. The descriptors for the four grades are:

- *grade 1 - outstanding*
- *grade 2 - good*
- *grade 3 - satisfactory*
- *grade 4 - inadequate*

# INSPECTION REPORT

## City of York Council (Workstep)

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## INSPECTION REPORT

### DESCRIPTION OF THE PROVIDER

1. The City of York Council (CYC) is a unitary authority and offers Workstep training for the residents of York and North Yorkshire. Workstep is part of the Housing and Adult Social Services Department and is based at the Yorkcraft supported business. The disability services and employment manager has overall responsibility for Workstep, and is supported by a deputy disability services and employment manager, an operations manager, two supported employment officers and six supervisor/coaches.

2. Most of the participants are based at the Yorkcraft site working on commercial contracts including bulk mailing, contract packing, sign-making, archiving of council documents, and warehousing and distribution. Other participants have external placements with host employers throughout York and North Yorkshire.

### OVERALL EFFECTIVENESS

**Grade 3**

3. **The overall effectiveness of the provision is satisfactory.** CYC's leadership and management are satisfactory, as are its arrangements for quality improvement. Its approach to equality of opportunity is good, as is its provision in preparation for life and work.

4. **The inspection team was broadly confident in the reliability of the self-assessment process.** The self-assessment process is thorough and comprehensive. The views of participants, staff and employers are collected through questionnaires and taken into consideration, although there is little contribution from external partners. The self-assessment report is analytical and self-critical and most of the strengths and weaknesses identified matched the inspectors' judgements.

5. **The provider has demonstrated that it has sufficient capacity to make improvements.** Managers have a good understanding of the actions necessary to improve the Workstep programme. The quality assurance arrangements are near completion and are becoming established within the organisation. Actions to further improve the provision and increase the number of participants are awaiting council approval.

### KEY CHALLENGES FOR CITY OF YORK COUNCIL (WORKSTEP):

- implement an effective strategy to improve rates of progression into open sustainable employment
- ensure quality assurance arrangements are integral to all stages of the Workstep programme
- maintain and develop the high profile and activity levels of education and training within the programme
- implement an effective strategy to increase participation, particularly by groups that are currently under represented

## CITY OF YORK COUNCIL (WORKSTEP)

**GRADES**

grade 1 = outstanding, grade 2 = good, grade 3 = satisfactory, grade 4 = inadequate

Grades awarded at inspection

<b>Leadership and management</b>		<b>3</b>
Contributory grades:		
Equality of opportunity		2
Quality improvement		3

<b>Preparation for life and work</b>		<b>2</b>
<b>Contributory areas:</b>	<b>Number of learners</b>	<b>Contributory grade</b>
<i>Employability training</i>		<b>2</b>
Workstep	44	2

**ABOUT THE INSPECTION**

6. The inspection took place during February 2007 and only covered the Workstep programme. Other elements of the council's publicly funded learning, including adult and community learning and work-based learning programmes, were not inspected during this visit.

Number of inspectors	3
Number of inspection days	9
Number of learners interviewed	21
Number of staff interviewed	28
Number of employers interviewed	9
Number of locations/sites/learning centres visited	9
Number of partners/external agencies interviewed	2
Number of visits	1

## **Leadership and management**

### **Strengths**

- good and effective strategy to improve literacy, numeracy and language provision
- steady improvement of management systems
- good strategy to identify barriers to employment

### **Weaknesses**

- no effective strategy to improve uptake of Workstep places and progression into unsupported employment
- incomplete quality assurance system
- insufficient promotion of Workstep to under-represented groups

## **Preparation for life and work**

### ***Employability training***

#### *Strengths*

- good promotion of work-based qualifications
- very good development planning
- active and very well-planned support to sustain participants in the workplace

#### *Weaknesses*

- low progression rates into unsupported employment

CITY OF YORK COUNCIL (WORKSTEP)

**WHAT LEARNERS LIKE ABOUT CITY OF YORK COUNCIL (WORKSTEP):**

- 'the security and safety of the job'
- 'it's the first job I've ever had'
- 'the manager talks to us all and asks us how we are'
- 'the specialist facilities have made all the difference to me'
- 'it's such a friendly environment'
- 'good support to help me stay in work'
- 'Workstep works for me'
- 'a national vocational qualification helped me put learning into practice'
- 'it focuses on abilities, not disabilities'

**WHAT LEARNERS THINK CITY OF YORK COUNCIL (WORKSTEP) COULD IMPROVE:**

- 'I would like more work to do'
- 'more jobs at the council'
- 'let more people know about what we do'



## DETAILED INSPECTION FINDINGS

### LEADERSHIP AND MANAGEMENT

**Grade 3**

#### Strengths

- good and effective strategy to improve literacy, numeracy and language provision
- steady improvement of management systems
- good strategy to identify barriers to employment

#### Weaknesses

- no effective strategy to improve uptake of Workstep places and progression into unsupported employment
- incomplete quality assurance system
- insufficient promotion of Workstep to under-represented groups

7. The organisation has devised and implemented a clear, relevant and successful strategy to improve participants' employment-related literacy, numeracy and communication skills. Regular reviews take place with the college that provides the literacy, numeracy and language training, and the review records show that the strategy is being developed further in the light of experience. At first, training took place at the Yorkcraft supported business, but now participants have gained in confidence they travel to the college's premises. Most participants are in a class specifically for the supported business, but a small number have progressed to open classes. Participants value the certificates they gain, and are showing the benefits of their learning in their working life. They are also gaining enormously in confidence, and CYC joins in celebrating their success. Further courses to improve participants' speaking and listening skills are scheduled to take place in the summer.

8. Managers based at the Yorkcraft site have a thorough understanding of Workstep and other employment programmes for people with disabilities. They are highly committed to promoting Workstep but currently have a limited influence over future developments.

9. CYC has the well-developed and consistent staff management systems expected of a local authority. Members of staff have an induction, staff handbook, objectives, an appraisal system, and regular meetings. A new annual appraisal system was recently introduced that concentrates on personal development. Staff development is satisfactory. Training requirements are identified by the management team and there are some good training activities to support the individual needs of participants.

10. Health and safety arrangements are satisfactory and involve supervisors and participants. Production and packing areas in the supported business are well maintained with circulation areas kept clear and potentially dangerous areas cordoned off. Risk assessments are appropriate and revised as necessary. All participants have received awareness training in dealing with hazardous substances and in back care where appropriate.

CITY OF YORK COUNCIL (WORKSTEP)

11. Communication within the supported business is satisfactory. Managers and supervisors have professional and supportive relationships with participants. There are formal and informal opportunities for staff to express their views, and managers keep all staff and participants informed of developments, particularly those relating to the future of the factory site. Participants are well represented by the relevant trade union and receive regular briefings from their trade union representative.

12. The lack of an overall strategy for Workstep was a weakness at the previous inspection in 2003. Despite this, there is still no clear strategy for the role of Workstep within the council, or for the supported business. Following recent reorganisation, the entire day-service provision for adults is consulting on modernisation, and the Workstep programme is just one part of this provision. The Workstep programme is running at 80 per cent of capacity, and has been for some time, with no effective strategy either to increase the numbers coming onto the programme, or to progress those who have been on it for a long time. Many long-term participants transferred from the previous supported employment programme. There have been discussions with the council about using Workstep to help with its management of long-term absences, but progress has been slow, and no council employees have so far been transferred to Workstep. The factory element of the supported business is locked into declining industries, and there is no strategy to enable it to diversify into other more profitable areas which would reflect local employment opportunities or meet the needs of the workforce. Managers have discussed the need for a marketing strategy, both within the council and to the wider community, but no such strategy has yet been devised. Employers and participants now have a leaflet about Workstep, and say they now understand the programme. Information about the Workstep programme is available on CYC's website but it is not easy to find.

**Equality of opportunity**

**Contributory grade 2**

13. CYC's strategy to identify and overcome barriers to employment is good. All participants' personal files provide a good analysis of their disabilities and the effect these have on their employability. Good use is made of information gained from participants who have previously followed the work preparation programme. The Workstep training grant is used very effectively to develop specific employability, personal and social skills through accredited vocational training, including lift truck training and driving instruction.

14. The checking of participants' awareness and understanding of equality of opportunity has improved since the previous inspection and is now good. Employment advisers and supervisors reviewing participants' development plans adapt their discussions on equality of opportunity to the participants' level of understanding. For participants with learning difficulties there is a strong focus on ensuring safety in the workplace and that individuals know what to do if they feel they are being bullied or harassed. Within the supported business, decisive action is taken if cases of bullying or harassment are reported. CYC encourages a strong culture of mutual respect and the valuing of all employees regardless of disability or ethnicity.

15. The disability services and employment manager works well with the council's equalities manager and human resources corporate development manager. They have developed a strategic approach to raise awareness of Workstep to support the council's aspiration to increase the number of people with disabilities it employs. The 'Pride In Our Community' strategy identifies the under-representation of disabled people in the council's workforce and proposes a way to ensure equality in all aspects of the council's

activities. In particular, this means ensuring departmental heads have a good awareness of the support available through access to work and Workstep, the implications of disability discrimination legislation, and the potential effect on attendance management and staff retention of supporting staff with undeclared disabilities. The strategy is at an early stage and at the time of inspection had not had a significant effect on increasing the number of participants progressing into council employment.

16. The monitoring of equality in the workplace is satisfactory. There are appropriate arrangements to ensure that host employers have equal opportunities policies. If an employer does not have an appropriate policy they are offered a model policy to adapt. All workplace reviews include a check of equality of opportunity.

17. Staff are appropriately trained in equality and diversity. Some have received up-to-date training in supporting participants with communication difficulties, and use the skills they have developed to increase their effectiveness with participants who have hearing impairments or other communication difficulties.

18. Access to the production areas at Yorkcraft is satisfactory. A recent accessibility audit identified the need for some improvements, but managers quickly took action and most of the recommendations have been carried out.

19. The factory environment is not stimulating and does little to encourage an understanding of equality and diversity. Although the qualifications of staff and Workstep participants are prominently displayed, the walls in most production areas and the canteen are bare with no positive images of people with disabilities or examples of other achievements by participants.

20. Data on equality of opportunity is collected satisfactorily and analysed by the management team. However, it is not routinely used to set targets to increase participation from under-represented groups.

21. The self-assessment report correctly identifies the lack of a strategy to encourage referrals and recruitment from groups currently under-represented on the programme. Women in particular are significantly under-represented in the supported business. The strategy drafted by the disability services manager is currently awaiting approval. Although occupancy figures are sent monthly to Jobcentre Plus there has been no increase in the number of referrals.

### **Quality improvement**

### **Contributory grade 3**

22. The management systems for the Workstep programme have steadily improved since the previous inspection and are now good. Much effort has gone into analysing and improving some of the key Workstep processes, particularly the development plan. The development plan is now seen much more as a 'living document', and employees are interested enough in its content to want to refer to it between reviews. CYC has spent considerable time improving the form which is used to record the plan, as well as the formal review process employees undergo with their supervisors. The supported employment officer who developed the new form referred to examples from other providers in the region to make the best use of existing good practice. The disability services and employment manager oversees all the goals on the development plans, and feeds back helpful comments on them to the supervisors who drew them up, to provide

## CITY OF YORK COUNCIL (WORKSTEP)

ongoing training and support. CYC has also worked hard to improve its management information system. One of the Workstep employees, supervised by his supported employment officer, has combined several pre-existing spreadsheets of employee information, into an overall database. Managers had tried unsuccessfully to use a commercial Workstep-specific information system, but then felt that it would be better to design their own. They find it much easier to produce reports on activities through this system, and combine information about individual employees.

23. CYC has recently designed a comprehensive quality improvement system. At the previous inspection there was criticism of its lack of such a system. The introduction of formalised quality assurance was delayed by restructuring and reorganisation in the council. The system is not yet complete and some procedures are still being written. There is a monitoring system, but it has not yet been used, as the procedures have only just been written. There are no clear timescales for when the system should be reviewed. The system is capable of identifying where CYC is falling short of its targets, or where procedures are not being adhered to, but it is too new to have had a systematic effect on the quality of the provision.

24. The self-assessment process has been developed over the past five years. It is now very inclusive, with inputs from staff, both formally and informally, and from employees and employers. During the time it has been carrying out self-assessment, CYC has been looking for ways to improve the feedback it gets from employers, both in terms of the response rate to questionnaires, and the quality of the information derived from them. It used the services of a university student on secondment to help with questionnaire design and with the interpretation and presentation of information. The student produced a report with detailed recommendations for improvement, all of which the Workstep managers adopted. The most recent self-assessment report has much more detailed information about employers' views than previous reports. It is generally helpful and accurate.

## AREAS OF LEARNING

### Preparation for life and work

### Grade 2

Contributory areas:	Number of learners	Contributory grade
<b>Employability training</b>		2
Workstep	44	2

25. CYC's Workstep programme is contracted to provide 52 places. There are 30.5 places at Yorkcraft supported business and 11.5 places in supported employment in host organisations. At present, there are 44 participants, 40 of whom work full time and four part time. External placements are in the private and public sectors. Thirty participants transferred from the supported placement scheme, representing 68 per cent of the total. Seventy-five per cent of the participants are men, as nearly 90 per cent of the participants at Yorkcraft. Just over 2 per cent of the participants are from minority ethnic backgrounds.

26. About a third of participants have a learning difficulty. Others have neurological conditions, mental health needs, sensory impairments or conditions restricting mobility or dexterity.

27. There are opportunities for on-the-job training in the workplace and off-the-job training with a variety of providers.

### **Employability training**

#### *Strengths*

- good promotion of work-based qualifications
- very good development planning
- active and very well-planned support to sustain participants in the workplace

#### *Weaknesses*

- low progression rates into unsupported employment

### **Achievement and standards**

28. The promotion of work-based qualifications is very good, both in the supported business and in host employer provision. Participants are encouraged to obtain work- and leisure-related qualifications and may also receive financial support to fund learning. For example, the achievement of a qualification in basic food hygiene helped to promote employment opportunities in a catering company. The achievement of appropriate qualifications is promoted positively at progress reviews and nearly two-thirds of participants have achieved a work-related qualification since 2001. The achievement of targets is good. In 2005-06, nearly three-quarters of participants achieved their targets. Individual achievement is celebrated at the Yorkcraft site in displays of qualifications and by noting successes at workforce meetings. For many participants this is the first time they

CITY OF YORK COUNCIL (WORKSTEP)

have achieved a formal qualification. Participants develop good levels of confidence and work-based skills in different occupational areas. Initial assessment leads to the appropriate identification of workplace development and support requirements.

29. Placements meet the aspirations of participants, and they take a pride in their work. Appropriate, challenging targets are set at progress reviews, and progress made between the reviews is checked to support progression. In a few cases, there is insufficient consideration of how targets will be broken down into milestones of learning or how outcomes will be measured. Participants with host employers, using the additional support of a job coach, have well-structured objectives and clear tasks broken down into manageable elements of learning. For example, for a participant working as a cleaner, a daily work sheet clearly sets out a routine of activity stating a precise sequence to be followed. This identifies the room number, the type of product to use, and the areas for cleaning. Reminders about health and safety are also identified and promoted. Literacy, numeracy and language are promoted very effectively at reviews. Participants are increasingly enthusiastic about developing literacy and numeracy skills as the partnership with the college develops and they understand the relevance of such skills to their daily activities. Some targets contextualise learning opportunities to job roles and promote the development of literacy skills through information and communications technology. Achievement and retention are good.

30. Most of the participants transferred from the previous supported employment programme, and for many, progression into sustained unsupported employment is not appropriate. The rate of progression from the supported business and host employer provision is low. Seven participants have progressed since 2001. No-one progressed in 2005-06. This weakness was recognised in the self-assessment report. Strategies are being developed to improve progression into open employment. For example, better use is being made of the supported business to provide short-term work experience to support the development of a work ethic, improve motivation and increase confidence. However, it is too early to predict the effectiveness of this initiative. Referrals to the programme from Jobcentre Plus are currently very low.

### **The quality of provision**

31. Development plans are used and managed very well. The current document is now well established following trials and reviews. Participants value the document and are able to identify how the development process supports their attainment of employment and personal skills. Targets are becoming increasingly specific, and in the best development reviews individual participants are setting their own objectives. Employment officers and supervisors are becoming more skilful at managing reviews and providing appropriate challenges to participants. Progress is recorded well and good use is made of interim reviews to keep participants motivated.

32. Support is very well planned to sustain participants in work. The Workstep team is active and responsive in meeting individual needs. Very good use is made of job coaches to develop a variety of personal and work skills. Job coaches structure their support very effectively providing intensive activities in the early stages and gradually reducing the level of support as the participant becomes more confident and competent. Employers and supervisors are given good advice and guidance to ensure placements are sustainable. Target-setting at reviews effectively identifies participants' development needs. For example, participants who lack confidence have a carefully managed programme agreed

with the employer, their colleagues and the Workstep team. Good communication and partnership working successfully uses the professional skills of all involved with the delivery of support. Where necessary, contact and practical help is frequent and regular. Workstep staff will adapt their working schedules to meet the needs of participants and provide practical support to employers.

33. The organisation has an inclusive approach to meeting individual needs. A profoundly deaf participant has regular contact with a British Sign Language interpreter to convey information in an appropriate format to co-workers and supervisors. Appropriate use is made of the Access to Work fund to ensure equal access to resources and support independent working.

34. Jobsearch arrangements are satisfactory and in some cases good. Appropriate use is made of relevant job vacancy websites and other sources. Supported employment officers work well with individuals to encourage independent job seeking skills and support the application process. Jobsearch participants are well motivated to return to employment.

35. Health and safety practice in the supported business and with host employers is satisfactory. Statutory training is timely and participants understand basic rules and practices. Reviews check participants' understanding and knowledge of health and safety and remind them of any change. Several participants have gained additional job-related qualifications.

### **Leadership and management**

36. The operational management of Workstep is good. Staff morale and the management of performance have recently improved considerably. Regular audits of assessment and development plans are used to report on the quality of initial assessment and development planning. Data is used effectively to record achievement of targets and qualifications. Inspectors agreed with most of the judgements in the self-assessment report. Participants and employers are actively involved in the self-assessment process but CYC's feedback on the outcome of the process is insufficient. There is no executive summary of the report's outcomes shared with employers. Staff are well qualified, motivated and have relevant industrial and supported employment experience. Communication with the supported business participants is satisfactory. Managers hold regular meetings with participants to keep them informed of business developments, health and safety arrangements, training and development opportunities and other items of interest. Participants can suggest agenda items in advance. Minutes of the meetings are displayed on the canteen notice board but their format is not accessible to all.







HASS33

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**Executive Members for Housing and Adult Social Services and Advisory Panel**16<sup>th</sup> July 2007

Report of the Director of Housing and Adult Social Services

**Update on joint working with North Yorkshire and York Primary Care Trust****Purpose of Report**

1. To update the Members on the current position on joint working with North Yorkshire and York Primary Care Trust (NYYPCT) and the impact of the overall financial position within the local NHS on local authority responsibilities.

**Background to NYYPCT**

2. North Yorkshire and York Primary Care Trust (NYYPCT) came into being on 1<sup>st</sup> October 2006 as part of a national re-organisation of the NHS and replaced 4 predecessor PCTs – one of which covered the York, Selby and Easingwold area.
3. Selby and York PCT was known to be in substantial financial difficulties and had been the subject of intense scrutiny. A 'turn-round' team had been brought in to work with the interim Chief Executive and a programme of savings and efficiencies identified during the Summer and early Autumn of 2006.
4. In fact, NYYPCT inherited historic debt from all four predecessor PCTs – all of which were operating in financial deficit. According to an answer given at the January 2007 meeting of the NYYPCT board meeting the 4 predecessor PCTs were operating at £36m over their revenue resource limit at the end of 2005/6 – of which £23m was attributable to the former Selby and York PCT.
5. At one point NYYPCT were facing an overspend of about £78m for 2006/7 but a combination of in-year savings and one-off support from the Strategic Health Authority meant that the final outturn was an overspend of approximately £32m. For 2007/8 NYYPCT is facing a net gap of about £48m and has consequently announced savings programmes to achieve approximately £33m and projected savings from targeted commissioning of approximately £15m.

**Context of joint working with NYYPCT**

6. The reorganisation of the NHS is intended to make it more patient-centred with commissioning being the driving force behind change and

improvement. The Government has a vision of what patient-led services actually look like from a patient's point of view:

*“Everyone involved in a patient-led service makes sure they:*

- respect people for their knowledge and understanding of their own clinical condition and how it impacts on their life;*
- support them in using this knowledge to manage their long-term illnesses better;*
- provide people with the information and choices that allow them to feel in control and fit their care around their lives;*
- treat people with dignity and respect, recognising them as human beings and as individuals, not just people to be processed;*
- ensure people always feel valued by the health and care service and are treated with respect, dignity and compassion;*
- understand that the best judge of an individual's experience is the individual;*
- ensure that the way clinical care is booked, communicated and delivered is as trouble free as possible for the patient and minimises the disruption to their life; and*
- explain what happens if things go wrong and why, and agree the way forward.”*

7. PCTs are at the forefront of this change and their main focus should become commissioning for health and health care and improving their ability to support practice based commissioning. By implication this means that PCTs should review their direct provision and ensure that, if it remains within the PCT, it is in line with the commissioning priorities.
8. PCTs are therefore highly important partners to work with the council to improve health in York and to commission effective health and social care services. The core roles of the PCT are to:
  - Improve and protect the health of the local population.
  - Secure, through effective commissioning, a range of safe and effective primary, community, secondary and specialised services which offer high quality, choice, and value for money.
  - Reduce health inequalities.
  - Develop and sustain strong relationships with GPs and their practices and implement a system of Practice Based Commissioning.
  - Work closely with local authority partners and other commissioners to ensure integrated commissioning of health and social care, including emergency planning.
  - Provide appropriate clinical leadership in a system of diverse providers.
  - Develop robust communication and involvement systems to manage relationships and engage with their local residents and communities.

9. At the local level the key issues for the council arising from NHS restructuring were set out in the formal response to the consultation in early 2006 that resulted in the creation of NYYPCT. These are still relevant:
- Maintaining the important partnerships set up with Selby and York PCT and their transition to NYYPCT
  - Ensuring that NYYPCT's work in York is characterised by strong local governance and accountability arrangements that relate well to the City of York Council and the needs of its citizens
  - Ensuring that City of York has an active role in commissioning health and social care services jointly with the PCT. The White Paper "Our Health, Our Care, Our Say" set out a prominent role for local authorities in health improvement with a lead role for the statutory post of Director of Adult Social Services (DASS) working with the Director of Public Health (DPH). The key structural link will be through the Local Strategic Partnership and by means of the Local Area Agreement which came into effect in April 2007.
  - Ensuring a strong voice in the re-shaping of provider services for mental health, learning disabilities, children's services and community health care generally. This also means playing a strong role in strategic planning and commissioning.

### **Progress on joint working and key issues**

10. Recruitment to key posts at NYYPCT took longer than expected (due to the need for the financial situation to be confirmed) and this has meant it has been difficult to make progress on joint working issues. However, most staff appointments should have been completed by the end of June and we have been able to move some issues forward in the interim.
11. Good contact was made from the outset with the two non-executive Board members who live in York and there are regular meetings with the Director of HASS and the Executive Member for Adult Social Services. NYYPCT have also nominated Jane Marshall, Director of Commissioning and Service Development, as the link Director for York. Regular meetings are also now in place for the Director of HASS to meet with Janet Soo Chung, NYYPCT Chief Executive.
12. At an early stage NYYPCT identified that expenditure with York Hospitals Trust (YHT) was to be a focus in their Financial Recovery Plan. This was based on the view that more referrals were being made to YHT than could be met within the PCT budget. The premise was (and still is) that effective alternatives to hospital admission could be put in place that would reduce referrals and admissions and therefore reduce costs. The debate has therefore not been about the principle of reducing hospital admissions but rather about the speed of change, the readiness of community based services to support more people and the funding needed to facilitate this change.
13. Near the end of 2006/7 NYYPCT and YHT came to an agreement about the level of activity to be carried out by YHT that NYYPCT was able to pay for. This resulted in reductions in the level of YHT provision and the

closure of 95 beds. This in turn has led to intense local discussion about the impact of bed closures on the local health and social care economy.

14. Staff in Adult Services have been fully engaged in these discussions. There has been additional pressure to ensure that delayed discharges are kept to a minimum and that patients with non-acute needs are discharged from acute beds as soon as possible. (Members will probably be aware that NYYPCT also transferred some patients to Selby from York pending their discharge.)
15. Weekly meetings take place to manage these issues and some of the initiatives agreed include:
  - The creation of a Fast Response Team able to provide care to maintain people in their own home
  - Developing a more effective Falls prevention service
  - Bringing GP expertise into decisions about admissions to York District Hospital (YDH)
  - Additional PCT staffing in YDH to assist in managing timely discharges
16. Staff from HASS have been actively supporting the work with NHS colleagues to bring the local health economy within financial balance although we have emphasised this cannot be achieved by transferring risk or cost to the council. We have been advocating a long term, joint commissioning approach in line with recent work on older people presented to this EMAP earlier in the year. Such an approach would focus on options for community-based initiatives e.g. to support people with dementia and to provide rehabilitation and recovery services outside hospitals. The use of more sophisticated assistive technology in the home is also beginning to have an impact.
17. Good contact has been made with the York Practice Based Commissioning Consortium. (Practice Based Commissioning is a national initiative about GP practices taking on delegated indicative budgets from their PCT to become more involved in commissioning decisions for their patients. Practices then have the opportunity to redesign services that better meet the needs of their patients, and reinvest resources freed up in further patient care.) We are working with the government's Care Services Improvement Partnership to develop practical ideas about joint working with primary care staff.
18. Promoting health and well being is a key partnership activity and a lot of work has been done with NYYPCT to develop the Healthier Communities and Older People block of the Local Area Agreement for York. For example, joint planning is underway for a campaign to promote awareness and improve standards of nutrition and hydration for older people by exploring publicity, commissioning, assessment and staff training opportunities. An appointment has now been made to the Associate Director of Public Health post that will be a joint post between NYYPCT and CYC. This post will be key to providing the leadership, advice and support to move forward on health improvement issues in York.

19. Partnership working remains central to the council's relationship with NYYPCT, which inherited two formally constituted partnership agreements for Mental Health and Learning Disability services. In relation to Mental Health (where the PCT is the lead partner) NYYPCT has now restructured to set up a provider 'arm' for the whole PCT area with separate arrangements for commissioning. Discussions have now begun through a reconstituted Mental Health Partnership Board (chaired by the Director of HASS) on updating the partnership agreement to reflect the changed organisational arrangements and to focus on long term goals and managing performance. In relation to Learning Disability services the council remains the lead commissioner and provider of health and social care in what was the former York/Selby/ Easingwold PCT area. Different arrangements exist in the rest of NYYPCT. The Director of HASS chairs the Learning Disabilities Management Board that oversees the partnership agreement.
20. Complaints services staff are working together to examine a new Department of Health publication "Making Experiences Count: A new approach to responding to complaints". This consultation paper provides a set of proposals to unify and reform the current arrangements for making complaints across health and social care. As well as fulfilling the commitment in "Our health, our care, our say", it proposes a new approach to joint complaints handling which is more flexible and supports organisational learning.

### **Consultation**

21. There has not been any specific consultation on this report.

### **Options**

22. Options are not part of this report, which is intended to provide updated information.

### **Corporate Priorities**

23. The strongest link is to the corporate priority to:
  - Improve the health and lifestyles of the people who live in York, in particular among groups whose levels of health are the poorest.

### **Financial Implications**

24. There are no financial implications arising from this report but the cost pressures on adult social services and the financial deficit within the local NHS economy remain matters of great concern.

25. **Other Implications**

#### **Human Resources (HR)**

None arising specifically from this report.

#### **Equalities**

None arising specifically from this report.

**Legal**

None arising specifically from this report.

**Crime and Disorder**

None arising specifically from this report.

**Information Technology (IT)**

None arising specifically from this report.

**Property**

None arising specifically from this report.

**Other**

None

**Risk Management**

26. The major risk relates to the financial position (see para 24 above)

**Recommendation**

27. That the Advisory Panel advises the Executive Member to note and comment on the content of this report

Reason : So that the Executive Member is briefed on the current position in terms of the partnership with NYYPCT.

**Author:**

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Tel. 554001.

**Chief Officer Responsible for the report:**

Bill Hodson  
Director

Report Approved

Date 21<sup>st</sup> June 2007

**Specialist Implications Officer(s)**

None

**Wards Affected:** *List wards or tick box to indicate all*

All

**For further information please contact the author of the report**

**Background Papers:** None

**Annexes:** None



HASS40

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**Meeting of the Executive Members for  
Housing and Adult Social Services and  
Advisory Panel**16<sup>th</sup> July 2007

Report of the Director of Housing and Adult Social Services

**Annual Self Assessment Survey for Adult Social Services 2006/7****Summary**

1. This report draws members' attention to the Annual Self Assessment Survey (SAS) that has been submitted by officers to the Commission for Social Care Inspection (CSCI). This forms a significant part of the evidence that leads to the annual rating of adult social services in the Autumn.

**Background**

2. The SAS is a lengthy and somewhat technical document that covers the key service areas and reviews performance against national targets as well as the delivery of agreed objectives. As such it is an authoritative guide to the performance standards of adult social services in York.
3. CSCI uses the SAS as the main evidence to assess the rating of adult social services. Performance in York will be compared to the level of performance by other social services authorities and thresholds are set for certain key performance indicators (e.g. speed of completing assessments and delivery timescales for equipment). As reported to the June meeting performance in York is within the threshold level on all these indicators.
4. The CSCI have asked for the SAS to be reported to a public meeting of the council. The full report should be available by the end of this month on the Council's website.

**Summary**

5. Much of the detailed outturn on performance was covered in the report to this meeting in June on the departmental service plans. That information is therefore not repeated again here. Instead I have attached the Director's summary, which is part of the SAS submission, that sets out my appraisal of performance in 2006/7 and the prospects for the future.

**Please summarise any challenges to delivering services for all service groups in 2006-07, and any action that was taken to mitigate the risks:**

- Older people
- People with learning disabilities
- People with physical and sensory disabilities
- People with mental health problems
- People with HIV/AIDS
- People with drug/alcohol problems
- Carers.

**Please summarise any challenges in the additional following areas in 2006-07 and action that was taken to mitigate the risks:**

- Workforce planning
- Resource management including best value
- Economy, efficiency and effectiveness
- Performance management.

**Older People**

- **Availability of EMI services.** Mitigated by opening second EMI residential home (Windsor House) and expansion of the specialist home care team.
- **Sustainability of home care services.** Longer term, locality based contracts let from December 2006 to give stability and clarity to providers.

**People with learning disabilities**

- **Positive inspection in 2006** with action taken on areas for improvement e.g. setting clearer targets and increasing advocacy.
- **Need to continue modernisation of day services.** Project Manager appointed to de-commission Yearsley Bridge and to commission new range of services by Summer 2008. Person Centred plans being undertaken for all users of Y.B.
- **Need to increase number of individualised budgets.** York is signed up to the "in Control" model with a project to implement this over the next 1-2 years. 10 people are piloting individual budgets.

**People with physical and sensory disabilities**

- **Need to continue modernisation of day services.** Project Manager appointed to de-commission Huntington Road and to commission new range of services by Summer 2008.

**People with mental health problems**

- Need to set up an Independent Mental Capacity Advocacy (IMCA) service to be in place by 1/4/07 – this was achieved by jointly commissioning one with NYCC

**Carers**

- **Improvement in the number of carers breaks** (*area for improvement from 2005*) with dedicated project worker in place during 2006

**Workforce planning**

- **High sickness absence levels especially in front line care posts** – dedicated support from Active Health Partners has helped reduce



levels but not yet to acceptable levels.

**Resource management including best value**

- **An overspend of about £1.7m was forecast at the end of 1<sup>st</sup> Quarter** which has been reduced very significantly largely by stricter application of existing eligibility criteria and more effective contracting and management of home services. Outturn for 2006/7 now expected to be close to budget.

**Economy, efficiency and effectiveness**

- **York is a low spending social services authority but some of our unit costs are high in our comparator group.** Overall costs in home care have been reduced but this has not reduced that unit cost – probably because of a reduced customer base (see above).

**Performance management**

- **The principal challenge was maintaining good performance across the board during a year when reducing overspends was a pressing priority.** We have generally succeeded in this.

**Please summarise any anticipated challenges to delivering services for the following groups in 2007-08, and any planned action to mitigate the risks:**

- Older people
- People with learning disabilities
- People with physical and sensory disabilities
- People with mental health problems
- People with HIV/AIDS
- People with drug/alcohol problems
- Carers.

**Please summarise any anticipated challenges in the additional following areas in 2007-08 and planned action to mitigate the risks:**

- Workforce planning
- Resource management including best value
- Economy, efficiency and effectiveness
- Performance management.

**Older people**

- **Rising demographic needs.** The long term commissioning strategy for older people is now out for consultation on the responses required to meet future needs. The strategy provides quantifiable data on the likely increase in the number of older people with dementia and long term disabilities who will require health and social care. The strategy provides a secure knowledge base upon which discussions about implementation of “Our Health, Our Care, Our Say” can be based.
- **Capacity issues for home care and nursing care.** A formal review of home care changes is being undertaken before any further phase of changes.
- **Initiatives to improve patient care, improve efficiency and ensure appropriate use of the hospital bed base have included plans to reduce bed capacity at YDH and to invest in community services.** Part of the improved efficiency approach is to reduce

inappropriately long lengths of stay and 'excess' bed days. CYC is advocating a 'systems approach' to joint commissioning in terms of measures to create sustainable capacity in the community to reduce avoidable admissions and inappropriate lengths of stay. This needs to be influenced by the long term commissioning data (see above).

#### **People with learning disabilities**

- **Rising demand from people with complex needs** – mainly from children moving into adult services – leading to cost and capacity pressures. A comprehensive, outline joint commissioning strategy has been drawn up to guide future planning work and CYC has taken part in the regional commissioning work sponsored by the Centre of Excellence.
- **Coming forward with a range of alternative day activities for people who currently use Yearsley Bridge day centre** including individualised budgets using the In Control model where appropriate.

#### **People with physical and sensory disabilities**

- **Coming forward with a range of alternative day activities for people who currently use Huntington Road day centre** including individualised budgets where appropriate.

#### **People with mental health problems**

- **PCT restructuring of provision services.** Not finalised as yet but an 'arms length' provider arm is being set up by the PCT as a precursor to alternative structures. CYC will use the existing S31 partnership agreement to ensure a full part in these discussions.

#### **Carers**

- **An opportunity exists to carry out a fundamental review of carer support services within the PCT** and bring in best practice from elsewhere in terms of commissioning 'third sector' service models.

#### **Workforce planning**

- **Competitive labour market – particular issues about availability of staff for out-of-hours working.** A recruitment campaign will take place locally in partnership with other providers including introductory skills sessions to help people prepare for care work.

#### **Resource management including best value**

- **Rising community transport costs.** CYC have built on regional funding to bring in consultants Kendric Ash as transformation partners. A 30 month service improvement plan is being put together to bring in considerable savings across adult social care (as well as children's services). There is also potential for partnership work with NHS agencies on this.

#### **Economy, efficiency and effectiveness**

- **Implementation of the new social care records system – Frameworki.** This will be done in 3 phases to be completed by March 2008. A programme team is in place with benefit realisation plans signed off by the management board. There could be short term impacts on performance as the system 'beds in' (see below)

#### **Performance management**

- **As in 2006/7, it is expected that the tight budgetary position of the Council and the PCT could impact on some areas of**

<p><b>performance.</b> Regular management and monitoring of key performance indicators will be maintained by the HASS management team.</p>
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## **Annual Assessment of Performance**

6. The process for determining the 'star rating' for adult social services has changed for the assessment of performance in 2006/7. Two judgements will be made:
  - Delivery of the seven outcomes for adults as set out in the White Paper "Our Health, Our Care, Our Say". The overall performance will be rated at one of 4 levels – Poor, Adequate, Good or Excellent
  - A judgment on the capacity to improve based on performance in relation to Leadership and Commissioning/Use of Resources. This will be assessed at one of 4 levels – Poor, Uncertain, Promising or Excellent.

Taken together these will then be translated into the star rating – which ranges from 0 to 3 stars. The assessment will not be published until 29<sup>th</sup> November. York's current rating is 2 star.

## **Consultation**

7. The SAS is a submission of activity and plans and is not, in itself, subject to consultation. However, the Director's summary statement has been endorsed for submission by the Executive Member for Adult Social Services and by the Chief Executive of North Yorkshire and York Primary Care Trust.

## **Options**

8. This report is provided for information as required by CSCI and so options are not applicable.

## **Analysis**

9. See paragraph 5 above.

## **Corporate Priorities**

10. Adult social services cuts across several priorities but most relevantly:
  - Improve the health and lifestyles of the people who live in York, in particular among groups whose levels of health are the poorest

## **Implications**

11.
  - **Financial**  
None arising directly from the SAS submission
  - **Human Resources (HR)**  
None arising directly from the SAS submission
  - **Equalities**  
None arising directly from the SAS submission although members should note that high priority is given by CSCI to accurate ethnic monitoring and

the changing social make up in York will have an increasing impact on adult social services.

- **Legal**  
None arising directly from the SAS submission
- **Crime and Disorder**  
None arising directly from the SAS submission
- **Information Technology (IT)**  
None arising directly from the SAS submission
- **Property**  
None arising directly from the SAS submission

### **Risk Management**

12. See the Director's statement for a summary of key risks

### **Recommendation**

13. That the Advisory Panel advise the Executive Member that the summary of the Self Assessment Survey and the process for publicising the full submission is noted.

Reason: To ensure that information on the performance of adult social services in York is available to those who want to see it

### **Contact Details**

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**Report Approved**  **Date** 5<sup>th</sup> June 2007

Bill Hodson  
Director of Housing and Adult Social Services

**Report Approved**  **Date** 5<sup>th</sup> June 2007

**Specialist Implications Officer(s)**

Not applicable.

**Wards Affected:**

All

**For further information please contact the author of the report**

**Background Papers:**

Self Assessment Survey