



Notice of meeting of

Executive Members for Housing & Adult Social Services and Advisory Panel

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

Date: Monday, 4 June 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 1 June 2007, if an item is called in *before* a decision is taken, *or*

4:00 pm on Wednesday 6 June 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 - 10)

To approve and sign the minutes of the meeting held on 26 March 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 1 June 2007 at 5.00pm.

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

ITEMS FOR DECISION

**4. Housing and Adult Social Services Capital Programme 2006/07
outturn (Pages 11 - 20)**

This report presents the out turn position of the 2006/07 Housing and Adult Social Services Capital Programme and the resources available to support it.

BUSINESS FOR THE EXECUTIVE MEMBER FOR HOUSING

ITEMS FOR DECISION

**5. Housing Revenue Account Service Plan 2006/07 outturn
(Pages 21 - 34)**

This report provides the Executive Member with an overview of progress on Housing Revenue Account (HRA) Service Plan agreed in April 2006.

6. Housing General Fund Service Plan 2006/07 outturn (Pages 35 - 48)

This report provides the Executive Member with an overview of progress on the Housing General Fund Service Plan agreed in April 2006.

ITEMS FOR INFORMATION

7. Revised Tenant Participation Compact: York Customer Involvement Compact for Housing (Pages 49 - 70)

This report introduces the revised Tenant Participation Compact: 'The York Customer Involvement Compact for Housing'. The Compact was approved by Housing Management Team (under delegated authority) on 2nd May 2007 and is brought to the Executive Member for information.

BUSINESS FOR THE EXECUTIVE MEMBER FOR ADULT SOCIAL SERVICES

ITEMS FOR DECISION

8. Adult Social Services Service Plan 2006/07 Outturn (Pages 71 - 106)

This report advises the Executive Member of the performance and financial outturns for adult social care in 2006/7.

ITEMS FOR INFORMATION

9. Social Services Complaints Report 2005/06 and 2006/07 (Pages 107 - 130)

This report includes the number of complaints made about social care services between April 05 – March 06 and April 06 – March 07. This is because the legislation governing the management of social care complaints changed on the 1st September 2006 and the previous year's report was delayed to enable the provision of information on this new legislation.

10. Response to petition concerning Yearsley Bridge Day Centre closure (Pages 131 - 138)

This report advises Members of the petition received relating to the Yearsley Bridge Day Centre closure, and an update of the progress of the closure plan.

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

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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- 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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If you have any further access requirements such as parking close by or a sign language interpreter then please let us know. Contact the Democracy Officer whose name and contact details are given on the order of business for the meeting.

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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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City of York Council

Minutes

MEETING	EXECUTIVE MEMBERS FOR HOUSING & ADULT SOCIAL SERVICES AND ADVISORY PANEL
DATE	26 MARCH 2007
PRESENT	COUNCILLORS GREENWOOD (CHAIR), SUE GALLOWAY (EXECUTIVE MEMBER), SUNDERLAND (EXECUTIVE MEMBER), FAIRCLOUGH, NIMMO, FRASER, HORTON AND HILL MRS MILDRED GRUNDY (CO-OPTED NON- STATUTORY MEMBER) AND MS PAT HOLMES (CO-OPTED NON-STATUTORY MEMBER)

73. 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 Fraser declared a personal non prejudicial interest in Agenda Item 4 (Minute 76 refers) as a council nominee on the board of the Council for Voluntary Services (CVS).

74. Minutes

RESOLVED: That the minutes of the last meeting held on 15 January 2007 be approved and signed as a correct record.

75. Public Participation

It was reported that there had been no registrations to speak under the Council's Public Participation scheme.

76. Financial Support to Voluntary Organisations 2007/08 (Social Services and Housing)

Members considered a report which presented requests received from local organisations for financial support in 2007/2008. The Executive Members for Housing and Adult Social Services were asked to agree the recommendations for Financial Support contained within this report.

The budget for Financial Support for the voluntary sector had been set at £83,810 for social services and £8,420 for housing related services. Applications for Financial Support had been received from 8 social care organisations, totalling £79,499. One application was received from a housing organisation with a request for £8,673.

Members were presented with two options:

Option 1 – To award Financial Support as indicated in paragraphs 46 and 48 of the report to all organisations including Survive.

Option 2 – To award Financial Support to organisations as detailed at paragraphs 46 and 48 of the report with the exception of Survive. The balance of the budget to be utilised for funding small one-off grants during the financial year.

It was queried as to what other sources of funding were available to Survive to enable them to expand. It was reported that they had lost a lot of National Lottery and other funding but had stabilised themselves and were looking to expand again. There were other sources of funding but that they had been turned down so far. Officers would provide support to Survive to help them find alternative funding, although there was no guarantee they would receive any.

Concern was raised about whether there was any overlap in funding to voluntary organisations from the Council and North Yorkshire and York Primary Care Trust (PCT). It was agreed that it would be beneficial to have a joint programme with the PCT for providing financial support to voluntary organisations from 2008/09.

Advice of the Advisory Panel

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

- (i) To agree with Option 2 and award Financial Support as detailed in paragraphs 46 and 48 of this report;
- (ii) To request that officers consult with North Yorkshire and York PCT to find a common pathway for providing financial support to voluntary organisations, for implementation from 2008/09.

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 continue Financial Support to the Voluntary Sector.

77. Housing and Adult Social Services Departmental Plan

Members considered a report which advised the Executive Members of the key strategic issues facing housing and adult social care in the next few years and how these high level issues link the 6 service plans for 2007-10.

Six service plans were produced for approval to cover the period 2007-10 and attached as annexes to this report. However, there was a danger that these were seen as separate plans as the links were not apparent. To try and make this clearer and more explicit the departmental management team had identified 5 High Level themes that summarise the future developments in HASS :

- Long Term Planning for Change
- Independence, Choice and Control
- Preventative Strategy
- Quality and Excellence
- Customer Involvement and Participation

These were set out in more detail in Annex 1 with key examples of work-streams in the 6 service plans that needed to be seen as linking across the department.

Officers reported that Annexes 5 and 6 were incomplete and had information missing from the Resources section. Revised copies would be circulated to Members.

Members queried about whether officers had filled the staffing vacancy for the Approved Social Worker in Mental Health Services which was critical for meeting statutory obligations. It was reported that officers had recruited two new social workers recently.

Members raised concerns about the appointments which were not being filled in the PCT, and that the council needed to watch this closely as a lot of the mental health services were provided by the PCT. Concern was also raised about the PCT not consulting the council in relation to the appointment for an Assistant Director for Mental Health, which had previously been unsuccessful. It was raised that the council would want to be involved in this in future as the post would be managing council staff. The Director for Housing and Adult Social Services reported that he would be writing to the Chief Executive of the PCT to express concern over the lack of consultation about the appointment to that post.

It was queried how officers intended to promote community involvement and generate a sense of community. Officers reported that the Local Area Agreement (LAA) was one area that could be use, along with having a dialogue with ward committees and neighbourhoods regarding any issues of concern, such as health, care of vulnerable people, or food and diet for children. It was suggested that Neighbourhood Watch and other organisations, such as church organisations, could also be used as a source for dialogue on these issues.

Members queried what was being done to improve opportunities for affordable housing in the city in order to achieve the 50% target. Officers reported that they would be working with developers to see how they could increase the amount of affordable housing made available on developments to meet the 50% target. It was raised that the lengthy planning inquiries into proposed developments such as Germany Beck and Derwenthorpe had impacted on the current figure of affordable homes being secured on new developments.

Advice of the Advisory Panel

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

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: So that the Executive Members be briefed on the key challenges facing housing and adult social care in the next few years.

78. Adaptation of Existing Hostel Units (Ordnance Lane Hostel)

Members considered a report which proposed the conversion of a 2 bedroom self contained unit (14 Ordnance Lane) into a 3 bedroom shared unit and convert a 1 bedroom unit (11 Ordnance Lane) into a training facility (primarily for customer use).

Two options were presented to Members:

Option A. To convert unit 14 from one 2 bedroom property into 3 shared units (3 bedrooms, shared kitchen and shared bathroom) and to convert unit 11 into a training facility. This proposal would provide 1 additional unit. Total units at Ordnance Lane would be: 8 bed-sits (shared), 14 self contained bed-sits, 4 self contained 1 bed units, 4 self contained 2 bed units, 1 self contained 3 bed unit, plus existing office space. Unit 14 would primarily be used to accommodate young people in preference to Bed and Breakfast.

Option B. to retain existing units and continue to offer a limited support service.

The proposal to convert unit 14 into 3 shared bed-sits and unit 11 into a training facility would increase the potential weekly income by £34.04 (or £1,770.08 pa assuming 100% occupancy).

Members welcomed the proposal and praised the staff for doing an excellent job.

Advice of the Advisory Panel

That the Executive Member for Housing be advised to approve Option A and convert units 11 and 14 into training facilities and shared accommodation units.

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 improve services for hostel residents by providing a communal area for residents meetings and training facilities.

79. Change to Temporary Tenancy and Licence Conditions

Members considered a report which looked at the need to change the following 'tenancy' conditions: travellers licence conditions; non-secure temporary accommodation agreement (shared hostel and non shared hostel); non-secure temporary accommodation agreement (dispersed); and introduction of a under 18's licence for permanent 'tenancies' to incorporate guarantor and support provider.

The report advised that the current temporary accommodation agreements and travellers licences needed updating to streamline and to incorporate conditions previously omitted. There was a need to introduce a requirement for a guarantor for under 18's in both temporary accommodation and permanent housing as by law a person under 18 cannot be issued with a tenancy or hold an interest in land but can be placed on a licence to occupy or can be granted a tenancy status with a guarantor.

Members were presented with two options:

Option A. To adopt the new agreements in line with legal requirements.

Option B. To continue operating using the old agreements, some of which are not legal.

It was queried who would act as guarantor for someone under 18 leaving council care. Officers reported that for under 18s, the council would be the guarantor, and for over 18s there would be a support package from a third party provider.

Advice of the Advisory Panel

That the Executive Member for Housing be advised to approve option A to adopt the new terms and conditions and that they take effect from 2nd April 2007.

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 streamline conditions of tenancies and licences wherever possible, to include new conditions which are necessary to the safe and effective management of CYC accommodation.

80. Review of Former Arrears Incentive Scheme

Members considered a report which looked at success and value of the former arrears incentive to accepted homeless households and proposed a continuation and expansion of the scheme.

The pilot former incentive scheme was agreed at Housing EMAP on 6th March 2006 and was introduced on 1/4/06. During 2006/7 16 people signed up to the former arrears incentive scheme, of whom 8 made regular payments of 13+ weeks entitling them to an incentive payment. This amounted to £3666.86 arrears recovered and £1080.25 incentive given. It was acknowledged that this was a slow start but that there was significant value in the continuation of the scheme.

Three options were presented to Members:

Option A. To continue with the incentive scheme for accepted homeless only until offer of permanent accommodation.

Option B. To continue with the incentive scheme for accepted homeless and to extend the incentive scheme to those who 'sign up' and are living in hostels / supported housing projects that are actively engaging in the re-settlement programme until offer of permanent accommodation.

Option C. To cancel the scheme at the end of the pilot.

The pilot scheme resulted in £3666.86 arrears being recovered at a 'cost' of £1080.25 in write offs. If the take up of this scheme increased to 100 customers, each paying £5pw then anticipated recovery would be £26,000 pa and 'write off costs' £13,000. If this prevented only 4 customers either requiring or living in temporary accommodation (B&B) for 1 year this could generate a saving of £58,400 per annum.

Members requested that a progress report be brought back in 12 months time to provide feedback on the uptake of the scheme.

Advice of the Advisory Panel

That the Executive Member for Housing be advised to approve Option B, to continue the former arrears scheme and to extend to re-settlement customers.

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 encourage and assist customers to repay any former arrears in order to meet CLG temporary accommodation targets and to prevent blockages in resettlement accommodation.

81. Former Tenants Arrears – Write off

Members considered a report which sought agreement to write off a number of former tenants arrears.

As previously agreed by EMAP, write off reports would be brought to EMAP every 6 months. This would assist officers and members in the

monitoring process and should give a clearer view on performance throughout the year. Details of individual cases were set out in Annex A.

Members were presented with two options:

Option A: Maintain these Former Tenant Arrears (FTAs) on accounts. This would lead to an increase in the bad debt provision and would go against good practice as commented on in the Housing Inspectors report of October 2002.

Option B: Write the debts off on the understanding that if necessary they could be reinstated at a later date.

Members congratulated and thanked the Income Management Team for their efforts in reducing the number of former tenants arrears.

Advice of the Advisory Panel

That the Executive Member for Housing be advised to approve option 2 which involves writing off FTAs of £20450.77 as detailed in Annex A.

Decision of the Executive Member for Housing

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

REASON: In line with the recommendations of the audit report detailed in paragraph 2 and also for the financial implications listed in the report.

82. Creation of a New Security Grant

Members considered a report which revised the grants and assistance policy to include a new security grant for vulnerable residents, which keeps a dwelling secure, against unauthorised entry and enable the maintenance of defensible space.

The proposed security grant would provide a small grant of up to £1000 to carry out prescribed measures. £40,000 of funding would be set aside from the York Repair Grants to fund this type of work. Full details of the new grant were outlined in Annex 1 but Members noted that the criteria for vulnerable persons followed the principles outlined in the existing York Repair Grant.

Members were presented with two options:

Option 1 To revise the existing policy in line with the proposal

Option 2 Maintain the current policy with no revisions

Advice of the Advisory Panel

That the Executive Member for Housing be advised to approve option 1 to revise the grants and assistance policy to include a new security grant which will help vulnerable residents.

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 help vulnerable customers in fear of crime more quickly.

83. 17 Almsford Road – Petition Update

Member considered a report which provided an update on the council's actions to date concerning the above property following the presentation of a petition to Full Council by Cllr D Horton, and the current course of action being followed.

The property, which was initially in reasonable condition, had been the subject of continuous and serious damage by vandals. On a number of occasions, information had been received that the property had become open to trespass, and where this had happened, the Council had enforced Section 29 of the Local Government (Miscellaneous Provisions) Act 1982 to ensure that the building made secure.

After a long history of representations by the Council, the owners confirmed on the 2nd March 2007 that they wished to apply for an Empty Homes Grant to bring the bungalow back into use and lease it to York Housing Association for five years, (a requirement of the scheme). Their application was due to be submitted by 17th March 2007. Once approved the applicant would have 12 months in which to claim the grant, however the Council would be working with the owners to ensure that work was carried out as soon as possible.

Officers reported that they had now received a completed application form and this had been signed by the Housing Association. Members queried whether there was enough funds to renovate the property. It was reported that there was sufficient funds to give the grant which would cover 75% of the costs, up to a maximum of £20 000, and the owner would need to find the other 25%.

The Chair announced that she would be standing down at the council elections and thanked all the staff in Housing and Adult Social Services for their hard work over the years.

Advice of the Advisory Panel

That the Executive Member for Housing be advised to note the contents of this report and the action taken to date.

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.

CLLR SUE SUNDERLAND
EXECUTIVE MEMBER FOR HOUSING

CLLR SUE GALLOWAY
EXECUTIVE MEMBER FOR ADULT SOCIAL SERVICES

CLLR JANET GREENWOOD
Chair of Advisory Panel

The meeting started at 6.00 pm and finished at 7.15 pm.

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HASS28

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

4th June 2007

Report of the Director of Housing and Adult Social Services

**Housing and Adults Social Services Capital Programme – Out turn
Report 2006/07**

Summary

1. This report presents the out turn position of the 2006/07 Housing and Adult Social Services Capital Programme and the resources available to support it.

Background

2. During the year the Executive Members have received reviews of the Capital Programme at first and second quarters, highlighting any major changes in the agreed programme or the resources available to fund it.
3. Staff have reviewed the progress of investment projects during the final 6 months of 2006/07 and the resources needed to fund them. Minor variations have been agreed under officers delegated authority and slippage into 2007/08 identified. Detailed schedules are attached as Annex 1 and 2.
4. The value of the approved Housing Capital Programme is £10,041k with £4,581k funded through the MRA. There is a total of £160k slippage on the capital funded element of the programme into 2007/08 and an overspend of £176k. These are set out in Tables 1 to 4 in paragraphs 9 to 18 for the Executive Member's approval and information.
5. There is an underspend of £190k on the MRA funded element of the programme. These are set out in Table 5 in paragraphs 19 and 20 for the Executive Member's approval and information.
6. The value of the approved Social Services Capital Programme is £671k of which £205k is grant funded. There is a total of £16k slippage and a net overspend of £11k.

Consultation

7. There is no consultation required to complete this report.

Options

8. As this report is for information only there are no options included in this report.

Analysis - Housing

9. **Table 1 – Modernisation of Local Authority Homes (Capital Scheme)**

Scheme	Approved Budget 2006/07 £k	Revised Costs 2006/07 £k	(Under)/Over spend 2006/07 £k	Slippage into 2007/08 £k
Backfills	553	934	381	0
Scooter Stores	49	15	0	34
Demolitions	24	14	0	10

10. The £381k overspend on Tenants Choice Backfills is due to workload issues elsewhere on Tenants Choice schemes, predominantly a delay on the Foxwood programme resulted in a requirement to redirect contractors hence accelerating properties on the backfill list resulting in an increase in properties being modernised. The slippage on Scooter Stores has resulted due to long term staff sickness causing delays in the programme that were unable to catch up and the demolition project was one which only started late in the financial year and has unfortunately over-run.
11. There have been minor variations within officers delegation on various schemes resulting in an underspend of £8k. This is made up of an overspend of £13k on Kitchens, and underspends of £11k on Communal Security Doors, £6k on Burglar Alarms and £4k on Window Replacement.

12. **Table 2 – Repairs to Local Authority Properties**

Scheme	Approved Budget 2006/07 £k	Revised Costs 2006/07 £k	(Under) / Overspend 2006/07 £k
Installation and Replacement of Heating Systems	1673	1453	(220)

13. The Heating Programme is showing an underspend due to programming issues on behalf of the contractor, the overall partnering contract is a 3 year programme which is on course to deliver however at year end has slipped into an underspend. There have been minor variations within officers delegation on various schemes resulting in an overspend of £16k. This is made up of a £1k underspend on the refurbishment of 92 Holgate Road, a £5k overspend on Reroofing Works, a £5k overspend on Communal Access Flooring, a £2k overspend on Security Lighting, a £1k overspend on External Communal Areas and a £4k overspend on Cladding Denis Wilde Homes.
14. **Assistance to Older & Disabled People**, There have been minor variations within officers delegation on various schemes resulting in an overspend of £27k. This is made up of a £40k overspend on Council Adaptations and underspends of £10k on Discus Bungalows and £3k on Occupational Therapy Capitalised Salaries.
15. **Table 3 – Housing Grants & Associated Investment**

Scheme	Approved Budget 2006/07 £k	Revised Costs 2006/07 £k	(Under)/Overspend 2006/07 £k
York Repair Grant	505	565	60

16. The over spend on the York Repair Grant is due to increased demand and a need for emergency works and is offset by the minor variations within officers delegation on various other schemes which result in an underspend of £80k. This is made up of underspends of £11k on Mandatory DFG, £40k on Landlords Housing Grant, £17k on Decent Homes Grants, £9k on Capitalised Salaries and £3k on Energy Efficiency Grants.
17. **Table 4 – Miscellaneous**

Scheme	Approved Budget 2006/07 £k	Revised Costs 2006/07 £k	(Under)/Over spend 2006/07 £k	Slippage into 2007/08 £k
Homeless Hostel	251	139	0	112
Travellers	209	205	0	4

18. Both of the above schemes are 2 year programmes and slippage has resulted due to specific programming issues, they remain on course for completion within 2007/08.

19. **Table 5 – Modernisation of Local Authority Homes (MRA)**

Scheme	Approved Budget 2006/07 £k	Revised Costs 2006/07 £k	(Under)/Overspend 2006/07 £k
Tang Hall Tenants Choice	2,203	2,287	84
Foxwood Phase 2 Tenants Choice	1,229	987	(242)

20. The overspend on Tang Hall has resulted due to an increase in properties modernised due to 100% of residents requesting modernisation. The underspend to Foxwood Phase 2 has resulted due to delays from United Utilities as regards installing a mains gas network to 4 blocks of flats that has yet to be carried out. There have been minor variations within officers delegation on various schemes resulting in an underspend of £32k. This is made up of a £6k overspend on Miscellaneous Backfills, a £17k underspend on Capitalised Salaries, a £4k underspend on Delwood and a £17k underspend on Clifton.

Analysis – Adult Social Services

21. Staff have reviewed the progress of investment projects during the final 6 months of 2006/07 and the resources needed to fund them. Minor variations have been agreed under officers delegated authority and slippage into 2007/08 identified. A detailed schedule is attached as Annex 2.
22. There is £7k slippage on the Modernisation of Windsor House EPH into the 2007/08 programme due to additional works following the major contract and £9k slippage on the relocation of Hebden Rise again due to unforeseen works. There is an underspend of £13k on the Relocation of Hebden Rise project, with other minor underspends of £5k on the Community Equipment Loan Service, £7k on the Modernisation of Oliver House EPH and other minor variations totalling £1k.
23. There is a £35k overspend on the Morrell House project due to an increase in cost of the contract emanating from the requirement for extra works on the main contract.

Corporate Priorities

24. The completion of the Capital Programme contributes to 2 of the Councils Corporate Priorities, namely

‘Improve the health and lifestyles of the people who live in York, in particular among groups whose levels of health are poorest’ and ‘Improve the quality and availability of decent, affordable homes in the city’

Implications

Financial - Housing

25. The final outturn position of the Housing Capital Programme is £9,867k compared to the approved programme of £10,041k. The variation of £174k is due to slippage of £160k and a net underspend of £14k.
26. The number of homes sold under Right to Buy was 36. The average valuation was £110k and the average sales price after discount was £86k. The useable capital receipt totalled £807k.

Financial – Adult Social Services

27. The final outturn position on the Social Services Capital Programme is £666k gross compared to the approved programme of £671k gross. The variation of £5k is due to slippage of £16k and an overall overspend of £11k.

Human Resources (HR)

28. There are no HR implications

Equalities

29. There are no equality implications

Legal

30. There are no legal implications

Crime and Disorder

31. There are no crime and disorder implications

Information Technology (IT)

32. There are no IT implications

Property

33. There are no property implications

Risk Management

34. This report follows due process and presents the current out turn position and does not request decisions from a number of options hence does not contain risk.

Recommendations

35. The Executive Members are requested to

- Approve the changes to the Housing And Adult Social Services Capital Programme set out in the report.
- Refer the slippage of £16k on Social Services and £160k on Housing to the Executive for approval
- Reason: to inform the Executive Members on progress on the capital programme

Contact Details

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Chief Officer Responsible for the report:

Bill Hodson
Director

Report Approved

Date 11/05/07

Specialist Implications Officer(s) *None*

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

All *all*

For further information please contact the author of the report

Background Papers:

None

Annexes:

Annex 1. Housing Capital Scheme Details

Annex 2. Adult Social Services Capital Scheme Details.

HOUSING CAPITAL PROGRAMME 2006/07 TO 2008/09

ANNEX 1

COST CENTRE	START YEAR	RO	TOTAL	PROFILED		TOTAL SPEND	BAL OF ESTIMATE	LATEST	LATEST	LATEST		
			Scheme COST	EXP TO 31/03/06	EXPENDITURE 31/03/07			EXP TO 31/03/07	ESTIMATE 2006/2007	ESTIMATE 2007/2008	ESTIMATE 2008/2009	
			£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000		
CAPITAL SCHEME DETAILS												
A MODERNISATION OF LOCAL AUTHORITY HOMES												
1 Planned Programme to Tenants Choice Standard												
a) Kitchens	F769	04/05	MH	69	1	36	49	49	-13	36	16	16
b) Backfills	F733	06/07	MH	553		553	934	934	-381	553		
2 Safety and Security												
a) Communal Security Doors	F777	04/05	MH	272	136	48	37	37	11	48	35	53
b) Scooter Stores at Sheltered Schemes	F702	05/06	CK	188	43	49	15	15	0	15	130	
c) Burglar Alarms	F704	05/06	MH	69	13	22	16	16	6	22	17	17
d) Window Replacement	F705	05/06	MH	234	158	76	72	72	4	76		
f) Sheds & Garages	F786	04/05	MH	95	11	17	17	17	0	17	25	42
g) Demolitions	F790	06/07	MH			24	14	14	0	14	10	
				1,480	362	825	1,154	1,154	-373	781	233	128
B REPAIRS TO LOCAL AUTHORITY PROPERTIES												
3 Re-roofing Works	F771	RP	MH	1,176		450	455	455	-5	450	350	376
4 Installation and Replacement of Heating Systems	F772	RP	MH	5,965	810	1,673	1,453	1,453	220	1,673	1,707	1,775
5 Communal Access Flooring	F782	04/05	MH	307	119	62	67	67	-5	62	60	66
6 Improved Internal Communal Security Lighting	F787	04/05	MH	439	192	103	105	105	-2	103	70	74
7 External Communal Areas	F727	06/07	MH	174		48	49	49	-1	48	60	66
8 Refurbish 92 Holgate Road	F729	06/07	MH	41		41	40	40	1	41		
9 Cladding Denis Wildes	F710	05/06	MH	0		0	4	4	-4	0		
				8,102	1,121	2,377	2,173	2,173	204	2,377	2,247	2,357
C ASSISTANCE TO OLDER & DISABLED PEOPLE												
11 Adaptations for the Disabled												
Council Adaptions	F760	RP	RA	856	256	200	240	240	-40	200	200	200
Discus Bungalows	F761	06/07	RA	167	0	20	10	10	10	20	120	27
12 Occupational Therapy Capitalised Salaries - Community Services	F736	RP	AT	284	70	76	73	73	3	76	69	69
				1,307	326	296	323	323	-27	296	389	296
D HOUSING GRANTS & ASSOCIATED INVESTMENT												
13 Grants												
a) Mandatory DFG	E702	RP	RA	2,396	523	663	652	652	11	663	605	605
b) York Repair Grant	E720	RP	RA	1,995	520	505	565	565	-60	505	485	485
c) Landlords Housing Grant	E713	RP	RA	220	0	60	20	20	40	60	80	80
d) Decent Homes Grants	E707	04/05	RA	292	76	72	55	55	17	72	72	72
e) Capitalised Salaries - Community Services	E714	RP	RA	329	81	92	83	83	9	92	78	78
f) Energy Efficiency Grant	E701	06/07	RA	330		110	107	107	3	110	110	110
				5,562	1,200	1,502	1,482	1,482	20	1,502	1,430	1,430
E MISCELLANEOUS												
14 Homeless Hostel	E730	04/05	TS	1,323	897	251	139	139	0	139	287	
15 Travellers	E703	06/07	MH	402		209	205	205	0	205	197	
				1,725	897	460	344	344	0	344	484	0
HOUSING CAPITAL PROGRAMME												
				18,176	3,906	5,460	5,476	5,476	-176	5,300	4,783	4,211

HOUSING CAPITAL PROGRAMME 2006/07 TO 2008/09

ANNEX 1

COST CENTRE	START YEAR	RO	TOTAL SCHEME COST	PROFILED EXPENDITURE			TOTAL SPEND	BAL OF ESTIMATE	LATEST ESTIMATE 2006/2007	LATEST ESTIMATE 2007/2008	LATEST ESTIMATE 2008/2009	
				EXP TO 31/03/06	EXP TO 31/03/07	EXP TO 31/03/07						
			£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
MAJOR REPAIRS ALLOWANCE SCHEMES												
A MODERNISATION OF LOCAL AUTHORITY HOMES												
1 Tenants Choice Modernisation												
a) Miscellaneous Backfills	F700	RP	MH	2,463	822	150	156	156	-6	150	731	760
b) Capitalised Salaries - Housing	F793	RP	MH	1,280	290	311	294	294	17	311	336	343
c) Tang Hall	F765	RP	MH	8,254	1,545	2,203	2,287	2,287	-84	2,203	2,080	2,426
d) Delwood	F730	06/07	MH	333		333	329	329	4	333		
e) Foxwood Phase 2	F720	06/07	MH	1,229		1,229	987	987	242	1,229		
f) Clifton	F732	06/07	MH	355		355	338	338	17	355		
g) Tenants Choice Various	TBA	07/08	MH	133				0	0		24	109
h) Askham Bryan	TBA	07/08	MH	52				0	0		52	
I) Nether Poppleton	TBA	07/08	MH	184				0	0		89	95
j) Walmgate	TBA	07/08	MH	466				0	0		334	132
k) Thurston House (part)	TBA	08/09	MH	104				0	0			104
				14,853	2,657	4,581	4,391	4,391	190	4,581	3,646	3,969
GRAND TOTAL CAPITAL & MRA				33,029	6,563	10,041	9,867	9,867	14	9,881	8,429	8,180

CAPITAL SCHEME DETAILS		COST CENTRE	START YEAR	RESP. OFFICER	TOTAL SCHEME COST £'000	EXP TO 31/03/05 £'000	PROFILED EXP 31/03/07 £'000	TOTAL EXP 31/03/07 £'000	TOTAL SPEND £'000	BALANCE OF ESTIMATE	2006/07 £'000	2007/08 £'000	2008/09 £'000
1	Community Equipment Loan Service (committed)	W746											
a)	Purchase of Equipment		RP	SL	344	74	90	85	85	5	90	90	90
b)	Capitalised Salaries				60	15	15	15	15	0	15	15	15
	Total cost of scheme				404	89	105	100	100	5	105	105	105
2	Modernising EPH's to meet national standards (committed)	W751											
a)	Oliver House		04/05	TS	25	-2	20	20	20	7	27	0	0
b)	Windsor House		04/05	TS	283	0	304	298	298	-22	276	7	0
c)	Capitalised Salaries				40	19	7	0	0	21	21	0	0
	Less resources				-97		-97	-100	-100	3	-97	0	0
	Total cost of scheme				251	17	234	218	218	9	227	7	0
3	Morrell House (committed)	W762											
a)	Snagging and Repairs		04/05	TS	5		5	40	40	-35	5		
	Total cost of scheme				5	0	5	40	40	-35	5	0	0
4	Relocation of Hebden Rise Day Centre	W756											
a)	Building Contract		04/05	TS	10		10	-2	-2	3	1	9	0
b)	Fixtures and Fittings and Misc		04/05	TS	10		10	0	0	10	10	0	0
	Total cost of scheme				20	0	20	-2	-2	13	11	9	0
5	Window Replacement at Willow House (committed)	W750											
a)	Number of Windows		05/06	CK	2		2	2	2	0	2	0	0
	Total cost of scheme				2	0	2	2	2	0	2	0	0
6	Information Management Improvements (committed)	W760											
a)	Personal Computers		05/06	PW	108		108	107	107	1	108	0	0
	Less Resources (Capital Grant)				-108		-108	-107	-107	-1	-108	0	0
	Total cost of scheme				0	0	0	0	0	0	0	0	0
7 a)	Disability Support Programme	W761	RP	RA	300		100	101	101	-1	100	100	100
	Total cost of scheme				300	0	100	101	101	-1	100	100	100
TOTAL SOCIAL SERVICES CAPITAL PROGRAMME					982	106	466	459	459	-9	450	221	205
TOTAL SOCIAL SERVICES CAPITAL PROGRAMME: GROSS EXPENDITURE					1,187	106	671	666	666	-11	655	221	205
: INCOME					-205	0	-205	-207	-207	2	-205	0	0
: NET (AS ABOVE)					982	106	466	459	459	-9	450	221	205

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HASS26

**Meeting of the Executive Members for
Housing and Adult Social Services and
Advisory Panel**4th June 2007

Report of the Director of Housing and Adult Social Services

Housing HRA Service Plan Outturn Report 2006/7**Summary**

1. To provide the Executive Member with an overview of progress on HRA Service Plan agreed in April 2006.

Background

2. The Executive Member agreed the HRA Service Plan in February 2006 for the following areas:
 - Housing Revenue Account
 - Housing General Fund
3. The process and structure followed guidelines set out by the Corporate Centre. It was agreed that the Executive Member would receive monitoring reports in September & December 2006. It was also acknowledged that both the creation of service plans and the method of monitoring were an evolving process.
4. This report covers 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
5. There are a number of aspects of the service plan for functions in the Corporate Services element of the Adult Social Services plan that relate to housing, in particular the Supporting People programme. Rather than duplicate here content from another report on the agenda the Executive Member is referred to the companion report for Adult Social Services, in particular to Annex 1- Corporate Services.

Consultation

6. The report is for information and no formal consultation has been undertaken

Options

7. This report is an overview of progress against agreed objectives and a report on the actual expenditure for 2006/7. Specific options are not being recommended to the Executive Member as part of this report.

Analysis

Achievements between April 2006-March 2007

8. There are also a number of specific achievements and improvements underway during the period:
 - A review of the rechargeable repairs process has been completed, fixed charges for the most frequently ordered rechargeable items started at the beginning of April. Further work is being done to improve recovery on the more complex rechargeable repairs.
 - The introduction of reward schemes through a prize draw and the introduction of the Golden Goodbye 'End of Tenancy Incentive Schemes'
 - Development of the DVD for new tenants, outlining tenancy rights and responsibilities, is complete. The intention is that this will be played to new tenants at the start of the tenancy and will provide a consistent message to customers about their rights and responsibilities. It is intended that the DVD will be incorporated into the induction training that estate managers and support workers run for homeless persons.
 - Housing Services agreed its improvements be launched on the councils new website during December 2006
 - Partnering Arrangements have been signed to deliver the Tenants Choice and separate Central Heating Replacement programmes, with external contractors as the main vehicles to achieve the Decent Homes Standard over the coming years
 - The remodeling of unpopular bedsit accommodation into one-bedroom accommodation at the Delwood housing sheltered scheme has been completed
 - A review of gas servicing access procedures has been carried leading to an increase in the number of properties receiving gas servicing to 98%.
 - The 'Respect' standard for housing management has been launched nationally. A landlord who signs up to the standard is making a public commitment to deliver good services to prevent anti-social behaviour and

create a culture of respect. Initial work has been undertaken within Housing Services to identify appropriate actions for York and actions required to sign up for the standard

- Work continues on the re-provision of the Discus Bungalows site with the establishment of the Project Board and the Residents Association. The documentation for the selection of a preferred development partner has been agreed with the Board and published at the end of April. Residents of the bungalows have all completed a housing transfer form and an Occupational Therapy assessment has been carried out with all residents who agreed. This will facilitate finding appropriate housing options for residents
- 100% of staff received an appraisal during 2006/7, following the re-structure of Housing Service during 2005/6.
- Web pages related to Housing Services were reviewed prior to new site going live. Four web authors from housing services have been identified and are undertaking training, regular meetings are held with the CYC web manager to monitor content and explore ideas for improving functionality.
- The customer services module of the i-world system has been developed to improve the monitoring of anti social behaviour. It is being tested at present and will be launched in the summer.
- The Housing Services Improvement Plan was reviewed and updated prior to the submission of the 2007-8 Service Plans during March 2007, including improved systems for monitoring and prioritisation.
- A new and improved complaints system has been introduced across HASS and Housing Services Management Team receive a combined complaints and service improvement report on a quarterly basis to ensure that complaints are used to drive forward service improvements in a planned way.
- Rent arrears for current tenancies have fallen by £140,000 during the year, £10,000 above target. This is reflected in the increasing percentage of rent collected as a proportion of rent due, which has increased to 97.46%.

Critical Success Factors (CSFs)

Remain on Target to meet the Decent Homes Standard by 2010

9. The service remains on target to meeting the decent homes target by 2010. As at 1st April 2006 14.79% of the council housing stock was non decent. By 1st April 2007 this had reduced to 9.80%.

Improved Performance across all landlord functions

10. There are a number of improvements in the performance of the service which should be highlighted;
 - the average re-let time has significantly improved reducing to 24 days from 32 days at end of 2005/06;
 - the number of non decent homes continues to fall;
 - rent arrears, in cash terms has reduced by over 50% in the last 3 years.
11. **Voids review-** The voids review has been completed and a plan has been developed to implement and monitor the process across Housing Services. The new voids procedure will be the vehicle to improve performance against this key target in partnership with Neighbourhood Services.
12. **Repairs-** Urgent repairs are on average taking 1.94 days to complete compared to 3.86 days at end of 2005/06, non-urgent repairs are being completed on average in 9.68 days compared to 13.9 days at end of 2005/06.
 - The percentage of repairs being completed within the target times is also increasing with 89.83% of emergency repairs being completed within target compared to 76.12% at end of 2005/06. 72.55% of P1's are being completed in target compared to 55.67% at end 2005/06 and 86.42% of P2's are being completed in target compared to 82.15% at end 2005/06.
 - Performance has improved significantly in carrying out repairs that are categorised as 'right to repair' Performance in this area has improved to 83.28% from 72.64% at end of 2005/06.

Improve tenant satisfaction and opportunities for participation

13. The revised Tenant Compact, developed in consultation with tenants and in partnership with the Neighbourhood Management Unit will be agreed by Housing and adult Social Services EMAP in June 2007.
 - The Mature Partnership Agreement and work plan underpinning this, between Neighbourhood Pride Unit and Housing Services, has been formally agreed. This will ensure a planned approach to the development of tenant involvement and engagement across Housing Services.
 - Linked to the above Mature Partnership Agreement, planning is underway across all areas of the Housing Service, including the Repairs Partnership to involve tenants in the monitoring and development of services. This is intended to promote a tenant lead approach to planning and delivering services and includes initiatives such as 'Tenant expert panels'.
 - Following the annual tenant satisfaction survey, undertaken during 2006/7, further qualitative research in the form of focus groups has been carried out with a sample of willing participants who showed dissatisfaction with key areas of the Housing Service. Priority actions

identified as a result of these focus groups will be a key focus during 2007/8 to improve satisfaction levels.

- Work is also underway to develop a planned to monitoring tenant satisfaction levels consistently throughout 2007/8 and beyond, to ensure a more responsive approach to service improvement and addressing areas of dissatisfaction.

Areas for Improvement

14. Repairs performance is improving as shown in paragraph 12. The Repairs Partnership Board and Repairs Partnership Operations Group continue to meet on a monthly basis to drive forward strategic and operational agendas to deliver ongoing service improvements. A work plan has been developed and approved by the Board to ensure a planned approach to improvements based on a process of prioritisation. A full systems review of the responsive repairs process will be carried out in the summer months focusing on the customer as well as challenging service standards.
15. HASS is developing an approach to reducing staff sickness absence across the Directorate. Monthly reports will be produced for Housing Services in order for line managers to better manage absence including monitoring trends and initiating action promptly as appropriate.
16. Staff turnover increased slightly to 15% from 13.4%, this is due in part to the restructure which commenced late in 2005.

New External Priorities

17. None

Significant Organisational Issues

18. None

Corporate Priorities

19. The service plan reflects a number of the councils objectives and priorities found in the '13 Improvement Statements'. Specific links can be made to the following:

“Outward facing”

- Improve the actual and perceived condition and appearance of city's streets, housing estates and publicly accessible spaces;
- Reduce the actual and perceived impact of violent, aggressive and nuisance behaviour on people in York;

- 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.

“Improving our organisational effectiveness”

- Improve our focus on the needs of customers and residents in designing and providing services
- Improve the way the Council and its partners work together to deliver better services for the people who live in York

Implications

Financial

20. The table below sets out the variations in accordance with the financial regulations

	Approved Budget £'000	Variation £'000	Variation %
Repairs and Maintenance			
Jobs General			
Repairs Partnership – overspends across various trades due to an increase in jobs posted to FMS within the last 3 weeks of the financial year. (investigations ongoing to establish reasons)	3,065	+321	+10.47
Anti- condensation works – reduction in works due to better informing customers on prevention.	13	-12	-92.31
Customer Compensation – mainly due to delay in introducing scheme to release under occupied housing	48	-40	-83.33
Fire Safety Servicing – very few system renewals have been required	27	-12	-44.44
Subsidence work – only lower value works have been required	87	-26	-29.89
Other variations	<u>1,055</u>	<u>-19</u>	-1.80

	Approved Budget £'000	Variation £'000	Variation %
	4,295	+212	+4.94
Projects – reduction in repair costs resulting from UPVC replacement windows fitted in previous years	902	-40	-4.43
Estate Improvements – lower than forecast requirements from residents	218	-88	-40.37
Decoration Allowance – lower demand than forecast	101	-46	-45.54
Rechargeable Repairs – lower value of rechargeable repairs offset by reduction in accounts raised	46 -46	-35 +35	-76.09 +76.09
General Management			
Job Evaluation contingency – not required in 06/07	155	-155	-100.00
Recharges – Underspends in several areas throughout HASS have resulted in a reduction in the amount charged (-£138k), in addition a higher than forecast amount for RTB administration has been charged to capital pooling (-£20k)	815	-158	-19.39
Housing Operations – saving on staffing due to vacancies and lower expenditure on temporary staff (-£116k). In addition there is an underspend on mobile working/SX3 consultancy due to delays in implementation (-£31k), savings on legal fees (-£27k), postage (-£8k), computer software (-£9k), mobile phones (£-6k) and recharges from other services (-£7k)	2,357	-204	-8.66
Asset Management – saving on staffing due to vacancies (-£70k) offset by expenditure on temporary staff (+£12k), reduction in recharge to the capital programme(+£17k), car allowances (+£6k) and (+£6k) of other minor variations.	483	-29	-6.00

	Approved Budget £'000	Variation £'000	Variation %
Discus Bungalows – expenditure on disturbance/homeloss payments, to be repaid to the HRA from receipt generated from sale of site(s)	<u>34</u>	<u>+93</u>	+273.53
	517	+64	+12.38
Energy Costs – increase in costs due to previous years billing problems	44	+48	+109.09
Temporary Accommodation – mainly due to underspend on staffing (-£52k) offset by expenditure on temporary staff (+£22k), repairs (+£65k) and utilities (+£8k)	672	+48	+7.14
Grounds Maintenance – underspend due to lower demand for garden/day to day service	352	-30	-8.52
Caretaking - saving due to employee vacancy	189	-17	-8.99
Lifts – aging lift stock required increased number of high value repairs	37	+14	+37.84
Housing Benefit Rent Rebate Subsidy Limitation – due to average HRA rents being lower than the limit rent set by government there is no contribution to be made towards rent rebates.	66	-66	-100.00
Provision for Bad and Doubtful Debts – due to rent arrears levels, for both former and current tenant arrears, and write offs being higher than forecast in the budgeted provision (+£26k). In addition an increased provision for rechargeable repairs bad debt is required (+£8k).	145	+34	+23.45
Housing Subsidy Payment – Sum set aside for changes to grant claim after audit not required offset by decrease in subsidy receivable due to lower than forecast interest rate.	4,874	-20	-0.41

	Approved Budget £'000	Variation £'000	Variation %
Rents – additional income due to:- Reduction in RTB sales (-£83k), increased income from Peasholme hostel (-£24k) due to high occupancy levels	-22,880	-107	-0.47
Non dwelling rents – higher than forecast income from garages and shops	-503	-10	-1.99
Supporting People – service reviews still being completed and implemented therefore effect of expected funding reductions not realised in 06/07.	-852	-121	-14.20
Loan interest – reduction in interest payable due to lower than forecast interest rate	1,109	-32	-2.89
Internal Interest – increase mainly due to higher balance brought forward from the previous financial year and higher average in year balance.	-168	-198	-117.86
Revenue Contribution to Capital programme – after financing the 2006/07 capital programme not all of the budgeted contribution is required. It will however be required in 2007/08 to support the capital programme	2,016	-563	-27.93
Other Minor Variations	1,024	-40	-3.91
Net change in working balance	-4,515	-1,475	

21. Summary Position - The original estimated working balance predicted on the HRA at 31st March 2007 was £4,513k. The latest monitoring report presented to the Executive Member on 11th December 2006 predicted a working balance of £4,835k at 31st March 2007.
22. The latest approved estimated balance carried forward of £4,515k has increased by £1,475k to £5,990k at outturn and the main items making up this increase are itemised above. £563k of the working balance will be required to fund the capital programme in 2007/08 and £39k will be required to fund the carry forward requests in paragraph 3 below leaving a net surplus of £5,388k on the HRA. This is an increase of £553k on the balance of £4,835k forecast in the previous quarter monitoring report. Members are reminded that this

surplus is required in future years to meet the decent homes standard in line with the approved HRA business plan.

23. In order to promote good management, and allow planned 2006/07 projects to proceed, it is proposed to continue the arrangements to permit under spending to be carried forward where the service under spends are due to genuine slippage. The carry forward requests which meet the criteria are as follows:-

		£
i)	To fund fire alarm work at Ordnance Lane committed in 06/07	10,000
ii)	Towards funding Mobile working – delayed from 06/07	25,000
iii)	To fund work with Residents Associations delayed following the introduction of the Mature Partnership Agreement	4,280

24. There are no Human Resources (HR), Equalities, Legal, Crime and Disorder, Information Technology (IT), Property or other implications.

Risk Management

25. The most significant risks that have been managed during the year are:
- increasing budget pressures and the overall financial position

Recommendations

26. The Executive Member is asked to
- Note the progress and achievements made in delivering the HRA Service Plan at the end of 2006/07
 - Agree the carry forwards outlined in paragraph 23 and refer these to the Executive for approval.
 - Reason: to inform the Executive Member on progress on the service plan and progress against objectives

Contact Details

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554198

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554016

Debbie Mitchell
Head of Housing & Adult Social
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554161

Report Approved

Date 14th May 07

Bill Hodson
Director of Housing and Adult Social Services
554000

Report Approved

Date 14th May 07

Specialist Implications Officer(s) Finance as above (co-author)

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

All

For further information please contact the author of the report

Background Papers:

All relevant background papers must be listed here:

HRA Service Plan 2006/07
HRA Service Plan Monitor Q1 2006/07
HRA Service Plan Monitor Q2 2006/07

Annexes

Annex 1 – Housing HRA Key Performance Indicators at Outturn 2006/07

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HRA Service Plan Outturn 2006/7

CUSTOMER BASED IMPROVEMENTS					
Measure	2005/6 outturn	2006/7 outturn	2006/07 Target	2007/08 Target	2008/09 Target
The proportion of non-decent LA homes at start of year	12.78% (1034 homes)	9.85% (793 homes)	10.06% (810 homes)	7.92% (635 homes)	5.61% (448 homes)
SAP ratings of LA dwellings	70	65	71	72	73
Urgent repairs completed within government time limits (%)	72.64%	83.56%	90	93	96
Average time to complete non-urgent repairs	13.9 days	9.68 days	9	8	8
Average re-let times for LA dwellings	32 days	24 days	21 days	18 days	15 days
Compliance with CRE code for rented housing	Yes	Yes	Yes	Yes	Yes
Tenant satisfaction with the Housing Service	78%	80%	86%	89%	92%
Tenant satisfaction with opportunities for participation in management and decision making	55%	57%	76%	76%	78%

PROCESS BASED IMPROVEMENTS					
Measure	2005/6 outturn	2006/7 outturn	2006/07 Target	2007/08 Target	2008/09 Target
Average re-let times for LA dwellings	32 days	24 days	21 days	18 days	15 days
Percentage of rent collected	97.19%	97.46%	98.64%	99.07%	99.4%
Development of a debt protocol (formerly Anti-poverty Strategy)	N/A	In progress	✓	-	-

FINANCE BASED IMPROVEMENTS					
Measure	2005/6 outturn	2006/7 outturn	2006/07 Target	2007/08 Target	2008/09 Target
Percentage of rent collected	97.19%	97.46%	98.64%	99.07%	99.4%
Rent arrears as a proportion of the rent roll	2.81%	2.60%	2.36%	1.85%	1.47%
Rent lost through voids	1.08%	1.04%	1.0%	0.95%	0.90%
Average weekly management cost	£15.39	£13.68	£15.00	£14.50	£14.00
Planned maintenance / responsive repair split	68:32	75:25	60:40	65:35	70:30

STAFF BASED IMPROVEMENTS					
Measure	2005/6 outturn	2006/7 outturn	2006/07 Target	2007/08 Target	2008/09 Target
% of staff who have received full induction programme within 12 months of starting	95%	100%	100%	100%	100%
Staff appraisal in each functional area	46%	100%	100%	100%	100%
% of staff expressing satisfaction with their job *	72%	<i>No survey in 2006/7</i>	90%	92%	94%
Average staff sick days in each functional area meet standard (in days/FTE) *	5.1 (Housing)	<i>17.8 days (HASS)</i>	At or below council wide average	At or below council wide average	At or below council wide average
Staff turnover *	13.4%	15%	At or below council wide average	At or below council wide average	At or below council wide average

Outturn reflects the period from April 2006 to 31 March 2007 inclusive.

Staff measures marked * are departmental figures for Housing and Adult Social Services, rather than Housing Services specifically.

Note – some targets differ from those set out in the service plan reports in February 2006, as they were revised following the finalisation of outturn figures in April 06. Performance against these targets however were reported at end of Quarter 1 and Quarter 2 2006/7.



HASS27

**Meeting of the Executive Members for
Housing and Adult Social Services and
Advisory Panel**4th June 2007

Report of the Director of Housing and Adult Social Services

Housing General Fund Service Plan Outturn Report 2006/7**Summary**

1. To provide the Executive Member with an overview of progress on the General Fund Service Plan agreed in April 2006.

Background

2. The Executive Member agreed the General Fund Service Plan in February 2006 for the following areas:
 - Housing Revenue Account
 - Housing General Fund

The process and structure followed guidelines set out by the Corporate Centre. It was agreed that the Executive Member would receive monitoring reports in September & December 2006. It was also acknowledged that both the creation of service plans and the method of monitoring were an evolving process.

3. This report covers 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
4. There are a number of aspects of the service plan for functions in the Corporate Services element of the Adult Social Services plan that relate to housing. Rather than repeat what is included in another report on the agenda the Executive Member is referred to the companion report for Adult Social Services.

Consultation

5. The report is for information and no formal consultation has been undertaken.

Options

6. This report is an overview of progress against agreed objectives and a report on the actual expenditure for 2006/7. Specific options are not being recommended to the Executive Member as part of this report.

Analysis

7. Achievements between April 2006-March 2007

- The Council adaptations work is now included in the Repairs Partnership with a new Schedule of Rates agreed.
- Peasholme relocation- Plans to relocate the Peasholme re-settlement Centre to 4 Fishergate were approved during April 2007.
- The Housing Strategy and Older Peoples Housing Strategy were published in September 2006. Quarterly monitoring systems have been set up to ensure delivery against the objectives and this is managed through the Housing Services Management Team.
- Year 1 of the refurbishment works programme has been completed on the Travellers Sites with joint funding obtained from Government Office for Yorkshire and The Humber (GOYH).
- Phase 2 of an extensive refurbishment has been carried out to Howe Hill Hostel during 2006/07, 10 units of accommodation have been upgraded or improved bringing additional units into use. When completed the total number of units will have increased from 13 to 27 and will include a wheelchair accessible unit. The homeless hostel at Ordnance Lane has benefited from increased security following the installation of CCTV cameras
- Extensive self assessments against the Audit Commission's Key Lines of Enquiry (KLOE) have been carried out for Strategic Housing, Private Sector Housing and homelessness. Detailed action plans for improvements have been drawn up
- The average time spent in hostel accommodation has almost halved to 5.67 weeks in 2006/7 from 10.71 weeks in 2005/6. No families have remained in Bed and Breakfast accommodation over six weeks, other than those housed under discretionary powers, and these numbers have reduced from last year. The average time spend In bed and breakfast has also reduced from 4.66 to 3.33 weeks, which has also led to a significant reduction in costs.

- A review of the Homelessness Strategy is underway and is due for publication in July 2008
- Resources in the Homelessness Service have been redirected away from casework into prevention services and this has contributed to an increase in the number of cases of homelessness prevented via intervention from the homelessness service. Prevention cases have more than doubled from 126 in 2005/6 to 288 last year.
- The increase in homelessness prevention has also been a significant factor in the service being on track to meet the target to halve the numbers in temporary accommodation by 2010. In 2006/7 numbers reduced from 260 households to 206, and we are on course to meet the 2010 target of 130 households.
- Work has started on the Private Sector Renewal Strategy, with the Private Sector Stock Condition Survey to be commission in summer 2007 depending on funding. This will provide baseline data for the investment decisions for the future and help set priorities.
- 100% of staff received an appraisal during 2006/7, following the re-structure of Housing Service during 2005/6.
- A 'Homebuy Plus' scheme has been developed with Golden Triangle partners and has so far enabled 17 households in York to buy a home. A bid for £3.6m further funding from the Regional Housing Board has been submitted for the period 2008/09 to 2010/11. It is anticipated that this sum will be match funded by a Registered Social Landlord
- The Housing Development Team continue to work closely with colleagues in City Strategy to maximise the delivery of affordable housing. We are monitoring the impact of the new planning policy to secure 50% affordable housing on qualifying development sites and will shortly be presenting proposals to ensure a greater number of developments meet this target.

Critical Success Factors (CSFs)

8. The following actions have contributed to the Critical Success Factors set out in the 2006-7 Service plan:
 - **Reprovision of Arc Light:** Planning application for the reprovision of Arc Light has been approved on Union Terrace car park site. The land has been transferred to York Housing Association and the building contract started at end March. The project is due for completion by end of March 2008.
 - **Housing Act 2004:** Licensing of houses in Multiple Occupation has been successfully implemented with 305 full licences issued and a further 7

licences drafted and sent to landlords in accordance with the legislation. The team is now focusing on:

- Identifying properties which require licensing
 - Carrying out full inspections of the properties to ensure that there are no category 1 hazards as defined by the Housing Health and Safety Rating System- 40 such inspections were carried out 2006/07 and a further 80 inspections are planned for this year
 - Carrying out unannounced monitoring visits to ensure that the licence conditions are being adhered to; 100 such visits are planned for 2007/08
-
- **Housing Needs information (including Gypsy and Traveller Needs):**
The Housing Market Assessment (HMA) is due to report back in June/July 2007. This will include information on housing need in the city and include work with specific groups. Sub regional research, funded by The Regional Housing Board, into the needs and aspirations of Gypsy and Traveller communities across North Yorkshire and East Riding was commissioned during May 2007. The findings will be reported back to the sub regional Board during January 2008.

Areas for Improvement

9. Delivery of 200 affordable homes in 2006/7 has not been achieved due to changes in planning policy (the rush of applications prior to the changes in the affordable housing policy) and delays on major housing schemes due to planning inquiries. It is anticipated that the council could exceed the target in future years given the favourable outcome from two recent planning inquiries for proposed schemes at Derwenthorpe and Germany Beck which will yield a total of 461 affordable units from 2010-16 and the Regional Spatial Strategy which is recommending housing targets of 640 per annum until 2011 and 850 per annum from 2011.
10. However, it is increasingly difficult to identify sites in York for affordable housing due to market pressures on the price of residential land. It is therefore essential that the council takes a central role in maximising all opportunities for affordable housing, which is one of the corporate objectives, and works with sub regional partners on the release of publicly owned land.
11. There have been difficulties agreeing a standard S106 agreement that meet the needs of all parties as borrowing rules, local and regional policies of developers and housing associations do change from year to year and even scheme to scheme. Nevertheless key aspects of S106 agreements have been standardised including a nomination deed with housing associations which is key to ensuring that nominations for those in housing need from the council waiting list are assured in perpetuity
12. HASS is developing an approach to reducing staff sickness absence across the Directorate. Monthly reports will be produced for Housing Services in order

for line managers to better manage absence including monitoring trends and initiating action promptly as appropriate.

13. Staff turnover increased slightly to 15% from 13.4%, this is due in part to the restructure which commenced late in 2005.
14. Work has commenced on updating the formal induction process, initially looking at HASS overall induction as part of the Workforce Development Group. This needs to be complemented with detailed work with housing staff, however this has not been progressed due to the training co-ordinator post being vacant since October 2006. It is hoped that a replacement will be appointed during May and this will be a priority area for work for them.

New External Priorities

15. None

Significant Organisational Issues

16. None

Corporate Priorities

17. The service plan reflects a number of the councils objectives and priorities found in the '13 Improvement Statements' . Specific links can be made to the following:

“Outward facing”

- Improve the actual and perceived condition and appearance of city's streets, housing estates and publicly accessible spaces
- Reduce the actual and perceived impact of violent, aggressive and nuisance behaviour on people in York
- 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

“Improving our organisational effectiveness”

- Improve our focus on the needs of customers and residents in designing and providing services
- Improve the way the Council and its partners work together to deliver better services for the people who live in York

Implications

Financial

18. The original budget estimate for Housing General Fund, approved by Members, was £1,333k. After approval of savings and growth and other approvals including insurance and recharge adjustments, the approved budget is now £1,209k. The net draft outturn is £1,069k. The outturn figure is £140k less than the latest approved budget of £1,209k. The reasons for the main variations between the approved budget and the draft revenue outturn are as follows:-

		Budget £'000	Variance £'000	Variance %
a)	<u>Private Sector Grant Fee Income</u> Increased income due to providing a higher number of grants than forecast	-94	-13	-13.83
b)	<u>Private Sector Housing</u> Saving mainly due to employee vacancies	149	-12	-8.05
c)	<u>Homelessness – Property Leases</u> Mainly due to a lower number of properties than forecast.	64	-17	-26.56
d)	<u>Homelessness – Howe Hill Hostel</u> Mainly employee savings due to vacant posts offset by use of temporary staff (-£29k), decreased expenditure on repairs (-£18k) and increased supporting people income (-£7k)	-13	-54	-415.38
e)	<u>Homelessness - Provision for Bad Debts</u> Decrease in provision for homelessness as bad debt levels are lower than expected.	5	-18	-360.00

		Budget £'000	Variance £'000	Variance %
f)	<u>Bed and Breakfast</u>			
	Lower than forecast number of customers	371	-189	-50.94
	Offset by reduction in income	<u>-321</u>	<u>+185</u>	+57.63
		50	-4	-8.00
g)	<u>Homelessness Casework Team</u>	322	-12	-3.73
	Saving mainly due to employee vacancies			
h)	<u>Strategy and Enabling</u>	254	-24	-9.45
	Employee savings (-£33k) due to vacancies, savings on printing (-£7k), market research (-£4k) contribution to the golden triangle lower than forecast (-£7k) offset by a reduction in the amount recharged to the HRA (+£27k)			
i)	<u>Travellers Sites</u>	-3	+25	+833.33
	Employee savings (-£5k) due to vacancies, rental/supporting people income (-£16k), other minor savings (-£8k) offset by increase in utility costs due to prior year billing problems (+£11k) and increased repairs expenditure across all sites (+£43k)			
j)	<u>Recharges</u>			
	Underspends in several areas throughout HASS, have resulted in a reduction in the amount charged.	276	-17	-6.16
k)	<u>Other minor variations</u>	199	+6	+3.02
	Total	1,209	-140	-11.58

19. In order to promote good management, and allow planned 2006/07 projects to proceed, it is proposed to continue the arrangements to permit under spending

to be carried forward where the service under spends are due to genuine slippage. There is one carry forward request which meets the criteria:-

		£
i)	To fund delayed element of the Housing Market Assessment / Housing Needs Assessment which will focus on the housing needs of specific groups	15,000

20. There are no Human Resources (HR), Equalities, Legal, Crime and Disorder, Information Technology (IT), Property or other implications.

Risk Management

21. The most significant risks that have been managed during the year are:
- increasing budget pressures and the overall financial position

Recommendations

22. The Executive Member is asked to
- Note the progress and achievements made in delivering the General Fund Service Plan at the end of 2006/07
 - Agree the carry forward outlined in paragraph 19 and refer this to the Executive for approval
 - Reason: to inform the Executive Member on progress on the service plan and progress against objectives

Contact Details

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554198

Debbie Mitchell
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554161

Chief Officer Responsible for the report:

Steve Waddington
Head of Housing
554016

Report Approved



Date 14th May 07

Bill Hodson
Director of Housing and Adult Social Services
554000

Report Approved



Date 14th May 07

Specialist Implications Officer(s) Finance as above (co-author)

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

All

For further information please contact the author of the report

Background Papers:

All relevant background papers must be listed here:

Housing General Fund Service Plan 2006/07
Housing General Fund Service Plan Monitor Q1 2006/07
Housing General Fund Service Plan Monitor Q2 2006/07

Annexes

Annex 1 – Housing General Fund Key Performance Indicators at Outturn 2006/07

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Housing General Fund Service Plan

CUSTOMER BASED IMPROVEMENTS					
Measure	2005/6 outturn	2006/7 outturn	2006/07 Target	2007/08 Target	2008/09 Target
Average (3 year) annual number of affordable dwelling completions	149	133	200	200	200
Average (3 year) annual number of affordable dwelling planning permissions	New	139	450	300	1,000
Average time in temporary accommodation – time spent in Bed & Breakfast #	4.66 weeks (BV183a)	3.33 weeks	3.5 weeks	3 weeks	3 weeks
Number of families with children in B&B for more than 6 weeks at end of quarter. Please indicate (in brackets) how many of these have been housed under discretionary powers	Q1 5(5) Q2 3(3) Q3 3(3) Q4 1(1)	Q1 1 (1) Q2 1 (1) Q3 0 (0) Q4 2 (2)	For the only families with children in b&b for more than 6 weeks to be housed under discretionary powers	For the only families with children in b&b for more than 6 weeks to be housed under discretionary powers	For the only families with children in b&b for more than 6 weeks to be housed under discretionary powers
Average time in temporary accommodation – time spent in hostels	10.71 weeks (BV183b)	5.67 weeks	9 weeks	8 weeks	7 weeks
Rough sleeping BVPI 202	2	8	4	4	4
Make homes decent for vulnerable people in private housing	Ongoing	Ongoing	Ongoing	Ongoing	Ongoing
% of private sector homes vacant for more than 6 months	1.16%	0.827%		1.12%	1.12%
Private dwellings returned into use	21	21	21	22	23
70% off vulnerable people living in private housing to have decent homes by 2010	Ongoing	Ongoing	Ongoing	Ongoing	Ongoing
% of landlords satisfied with housing regulation enforcement	80%	<i>Awaiting results of annual survey – results should be returned by 21/05/07</i>	80%	80%	80%
% customers satisfied with the grant service	80%	95.33% (based on 3 quarters. Q4 not available until 14 June)	95%	95%	95%
% of service requests first response with 3 days	99.9%	99.9%	95%	96%	97%
% of minor adaptations installed with 7 days from assessment	97.64%	95.54%	95%	95%	95%

PROCESS BASED IMPROVEMENTS					
Measure	2005/6 outturn	2006/7 outturn	2006/07 Target	2007/08 Target	2008/09 Target
Produce revised five year housing strategy		Strategy Produced awaiting 'fit for purpose' sign off.	✓	-	-
Produce older persons' housing strategy		Approved by EMAP July 2006	✓	-	-
Produce revised housing needs survey	Subject to funding	To be published May 2007	✓	-	-
Repeat homelessness acceptances	15	15	12	11	10
Development of new Arclight hostel	Site identified	Start on site March 2007	✓	-	-
Relocation of Peasholme Resettlement Centre	Site identified	Approved by planning April 2007	✓	-	-
All hostels to be incorporated into a planned maintenance programme	Ongoing	Ongoing	Ongoing	Ongoing	Ongoing
Refurbish and upgrade essential elements across the three travellers' sites	Funding obtained	1st year of programme complete	Ongoing	Ongoing	Ongoing

FINANCE BASED IMPROVEMENTS					
Measure	2005/6 outturn	2006/7 outturn	2006/07 Target	2007/08 Target	2008/09 Target
Av (3 year) annual number of affordable dwelling completions	149	133	200	200	200
Av (3 year) annual number of affordable dwelling planning permissions	New	189	450	300	1,000
Average time in temporary accom. – time spent in B & B	4.66 weeks (BV183a)	<i>Liz/ Becky</i>	3.5 weeks	3 weeks	3 weeks
Implement WISH and other equity release schemes	New	Delegated authority approved for Sheffield to manage	0	6	10

Undertake HMO licensing	Charging system in place	305 Full licenses issued 7 Draft licences issued Estimated number of licences 400	Estimated 400	30	20
Renew council adaptations contract		Included in Repairs Partnership	✓	Review Partnership	-

STAFF BASED IMPROVEMENTS					
Measure	2005/6 outturn	2006/7 outturn	2006/07 Target	2007/08 Target	2008/09 Target
% of staff who have received full induction programme within 12 months of starting	95%	100%	100%	100%	100%
Staff appraisal in each functional area	46%	100%	100%	100%	100%
% of staff expressing satisfaction with their job *	72%	<i>No survey carried out</i>	90%	92%	94%
Average staff sick days in each functional area meet standard (in days/FTE) *	<i>5.1 days (Housing)</i>	<i>17.8 days (HASS)</i>	At or below council wide average	At or below council wide average	At or below council wide average
Staff turnover *	13.4%	15%	At or below council wide average	At or below council wide average	At or below council wide average

Staff measures marked * are departmental figures for Housing and Adult Social Services, rather than the housing service alone.

Note – some targets differ from those set out in the service plan reports in February 2006, as they were revised following the finalisation of outturn figures in April 06.

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CS2309

Meeting of Executive Members for Housing and Adult Social Services and Advisory Panel4th June 2007

Report of the Head of Housing Services

Revised Tenant Participation Compact: York Customer Involvement Compact for Housing**Summary**

1. This report introduces the revised Tenant Participation Compact: 'The York Customer Involvement Compact for Housing'. The Compact was approved by Housing Management Team (under delegated authority) on 2nd May 2007 and is brought to the Executive Member for information.

Background

2. The last Tenant Compact 'Getting on Board' was reviewed in 2003, and ran until 2006. The attached document is a refreshed and revised version, taking into account revised *National Framework for Tenant Participation Compacts* issued by the Office of the Deputy Prime Minister (ODPM) in 2005.

Consultation

3. The tenant compact panel, made up of representatives from Tenants and Residents groups and the Federation of Residents associations were involved in the review and development of the document, and a presentation setting out the proposed changes was made to the April 2007 meeting of the York Federation. Officers from the Neighbourhood Management Unit have also contributed to its development.

Options

4. None: this report is for information only.

Analysis

5. The attached document covers all the minimum core standards set out in the National Framework for Tenant Participation Compacts, and reflects work undertaken with the tenant compact panel to review the existing agreement. Residents were keen to aim for a short, user friendly document, and to this end the attached has been produced. Several parts of the compact will require more detailed procedures to sit behind them containing the detail, and this will

be reviewed as part of the procedure review process. Much of the work in developing tenant involvement further is set out in the Mature Partnership Agreement between Housing and the Neighbourhood Management Unit (NMU). The format of the document is for illustration only: the NMU are currently working on design ideas for the final document.

6. Several strands in developing customer involvement in the housing service are already underway: the NMU are undertaking a programme of work designed to assess the current capacity of resident associations (RA's) and the Federation, raise ambitions and establish firm objectives, and support new development. To date this has included :

- Supporting the Federation through a series of 3 workshops in which they set themselves key objectives, re-wrote their constitution in line with these, and drafted an action plan which will begin to fulfil the objectives.
- In collaboration with the Federation, undertook a capacity audit of the RA's (modelled as 'The Big Stocktake') which established the current level of activity, ambition and capability for RA's; and identified a set of shared objectives for raising the capacity, level of activity, and engagement with tenants and residents in their areas. The exercise culminated in the 'The Big Stock-take's Big Feedback', a event in which just under 50 residents participated.
- An 'Every Action Counts' workshop on sustainability actions which landlords, tenant organisations, and tenants at large can support.
- An ongoing programme of training, and visits to see best practice; which will be reviewed shortly in the light of the capacity audit exercise.
- Some of the benefits of this work to date include:
 - a raised level of interest from RA members, and a focus on next steps and new development;
 - early signs of 'new blood' in RA committees, and a wider age range represented (as reflected in the attendance at the 'Big Feedback' event;
 - re-engagement and interest in the Federation, from RA members who had previously lapsed in involvement, and from RA members not previously taking a consistent interest;
 - partnership links with Future Prospects, Adult Education, and Learning and Culture, which will go to support objectives around training, and engagement with young people
 - A more 'outward looking' perspective from RA's and Federation alike, with plans for public meetings, better communication, and local projects.

Corporate Priorities

7. The compact links to the corporate objective to improve focus on the needs of customers, and to improve the way the council and its partners work together. Customer involvement is also pivotal to the objective to improve the quality and availability decent, affordable homes in the city, particularly in developing clear service standards for what tenants can expect, and consultation around modernisation works.

Implications

8. The implications associated with this report are:
- **Financial** - The cost of design and print of the document, can be met from the Service Development Printing Budget.
 - **Human Resources (HR)** - None
 - **Equalities** - The compact covers many of the areas central to an equalities impact assessment in terms of accessible meetings and communications. In so far as representation is concerned, it is known that participation in the service is mainly by older, white residents, and part of the work in taking the compact forward will be to expand the methods of involvement on offer, and to look to involve hard to reach groups. Residents groups funded by the council are expected to be non-discriminatory in their activity.
 - **Legal** – None, the National Framework for Tenant Participation is good practice, rather than a legal document.
 - **Crime and Disorder** - No Crime and Disorder Implications
 - **Information Technology (IT)** - No IT implications
 - **Property** - No Property Implications
 - **Other** - None

Risk Management

9. The revised Compact and associated action plans 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%.

Recommendations

10. That the Advisory Panel advise the Executive Member that:
- The Executive member notes the contents this report.
- Reason: To inform the Executive Member

Contact Details

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Housing Services

Tel No. 01904 554362

Chief Officer Responsible for the report:

Steve Waddington – Head of Housing

Services

Report Approved

Date 10/05/2007

Specialist Implications Officer(s) Financial – Jayne Close, Housing Accountant

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

All

For further information please contact the author of the report

Background Papers:

Getting on Board – Tenant Compact 2003-6

ODPM – National Framework for Tenant Participation Compacts (March 2005)

Notes of Tenant Compact Panel Meetings.

Annexes:

Annex A Draft Tenant Compact Document

ANNEX A

HOUSING SERVICES

CUSTOMER INVOLVEMENT COMPACT

3RD edition 2007-2010

Contents

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Foreword

Introduction

- **The Six Themes**
- **Background Information**
- **The Involvement Ladder**

Objective 1: Improving Services: Involving Customers

Objective 2: Supporting Involvement

Objective 3: Meetings that work

Objective 4: Communication

Objective 5: Effective tenants' and residents' groups

Objective 6: Delivering our promises – monitoring the compact

Interested in being involved – how to contact us

Foreword from the Executive Member for Housing

These are exciting times to be a tenant of City of York Council housing. Tenants have increasing power to become involved in the planning and running of Housing services. Involvement means that tenant and their representatives are to be encouraged and supported by the Council to influence and shape the running of the housing service. It also means that they share responsibility for improvements with Councillors and Council officers

York is at the forefront of Tenant Involvement and has been for some years. Principles agreed in the TENANTS' COMPACT 2003-2006 have helped us deliver outstanding results like the continuing success of local agreements (such as Bell Farm and Foxwood) as well as an independent and strong Federation of Residents' and Community Associations with a revised updated constitution and an agreed plan of future action (called "business plan"). Recently a 'stock take' has taken place which has enabled Residents Groups to identify their strengths and weaknesses and has used a new format of 'cluster meetings' with groups of Residents associations meeting together to share good practice and ideas. groups of Residents associations meeting together to share good practice and ideas. Residents have also been involved in an environmental workshop to look at how their own actions and their influence can contribute towards protecting and improving their environment.

As Executive Member for Housing, I aim to continue the excellent work done under the previous TENANTS' COMPACT 'Getting on Board' 2003-2006 and welcome (and encourage) all tenants to become involved in monitoring and reviewing the housing service to help it improve. This agreement is about action to make this happens. Therefore, I am pleased to endorse it.

Executive Member for Housing

This document can help housing tenants and other customers see how they can be involved (as much or as little as they wish) in developing the housing service, and in being part of effective community groups.

The Compact was prepared by Federation members on the Tenant Compact Working Group alongside officers from Housing Services and the Neighbourhood Management team.

It is an important part of making sure that the council and tenants work together to deliver improvements in housing services. We look forward to working with the council to develop action plans and initiatives to ensure tenants and other customers of the housing service are at the heart of improving services.

Pat Holmes
Chair of York Federation of Residents and Community Associations

What is the Customer Involvement Compact?

This agreement is between City of York council Housing Service (the landlord) and York "Tenants". "Tenants" means:

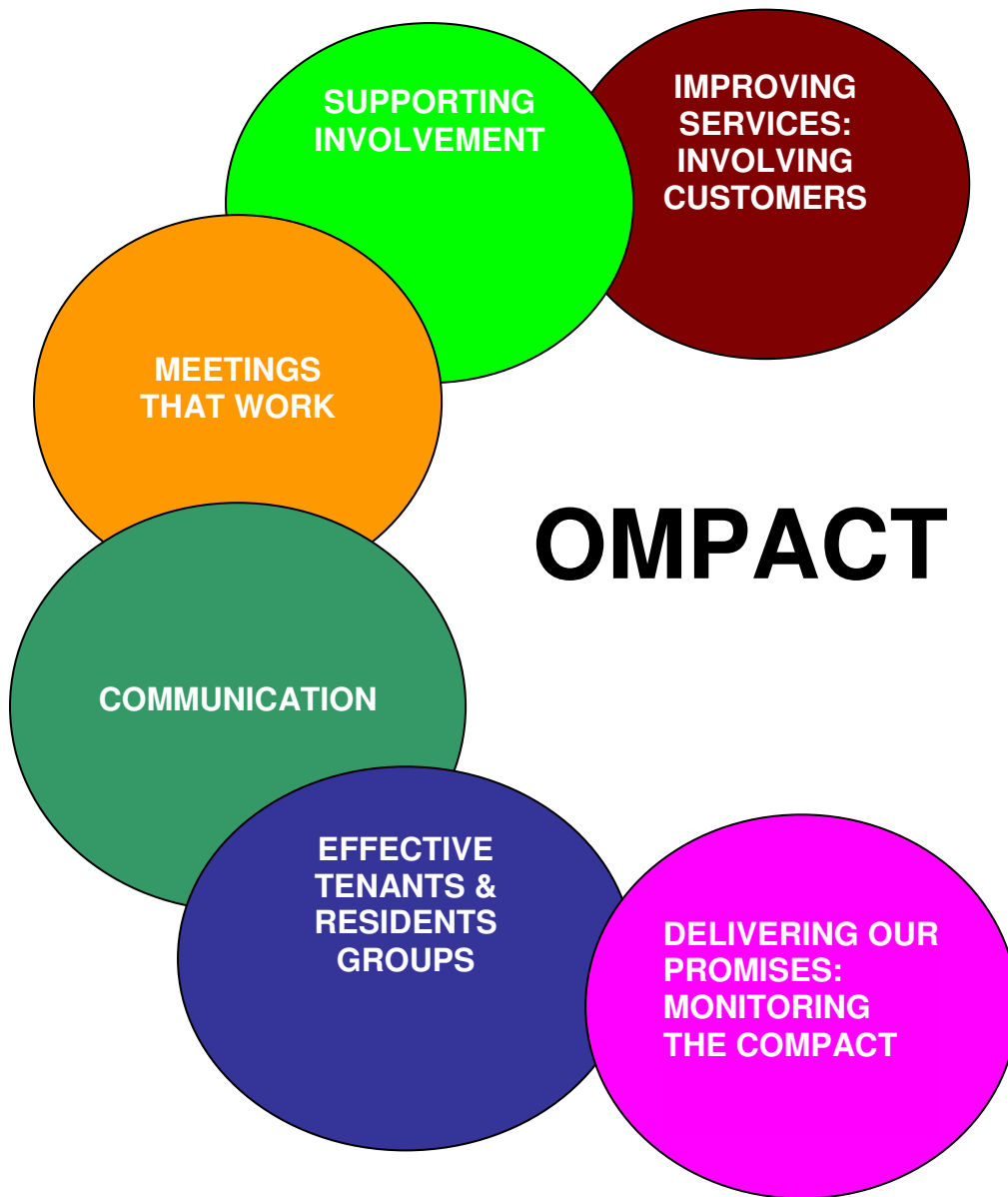
- secure tenants,
- council leaseholders,
- tenants with introductory tenancies,
- sheltered or supported housing tenants
- people living temporary housing owned by City of York Council
- any groups who represent tenants.
- Residents Associations umbrella groups such as the York Federation for

The agreement sets out the principles based on how we will involve housing customers in

- decisions made by CYC Housing Services affecting their homes and communities
- being able to influence service improvements
- monitoring the housing service
- community and neighbourhood issues

The benefits of the Compact are

- Sets out clearly the responsibilities, of the council, customer and residents associations in relation to tenant involvement
- Helps raise awareness of how customers can be involved in the housing service
- Sets standards for participation and involvement, which will be regularly monitored



To accompany this agreement we are developing an **Action Plan setting out how we will ensure that the standards set out in the document are met**

Detailed procedures for officers and residents groups will also be produced and updated to ensure we have clear guidance for staff and residents associations on how to deliver each of the themes this Compact

This is the 3rd City of York Council Compact – the Agreement runs until April 2010.

In the meantime the agreement will be regularly monitored and the action plans updated to reflect progress.

FACTS

Council housing in the City of York

- At 1 April 2007 council owned housing stock totalled 8054 dwellings.
- Just less than half the housing stock comprises of houses, the remaining 51% being flats, maisonettes and bungalows.
- The council has 14 sheltered schemes, 4 of these being sheltered with extra care.
- Most council housing is in very high demand, however, there are a few streets and types of accommodation which are less popular.

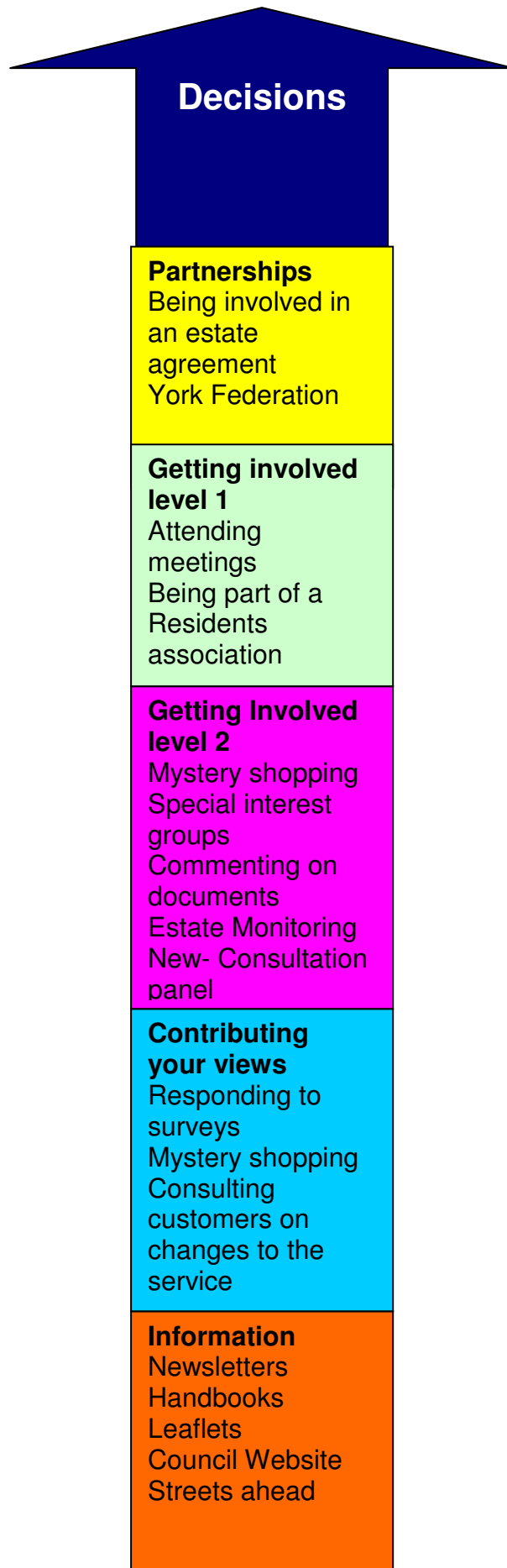
Tenant and resident involvement in York so far

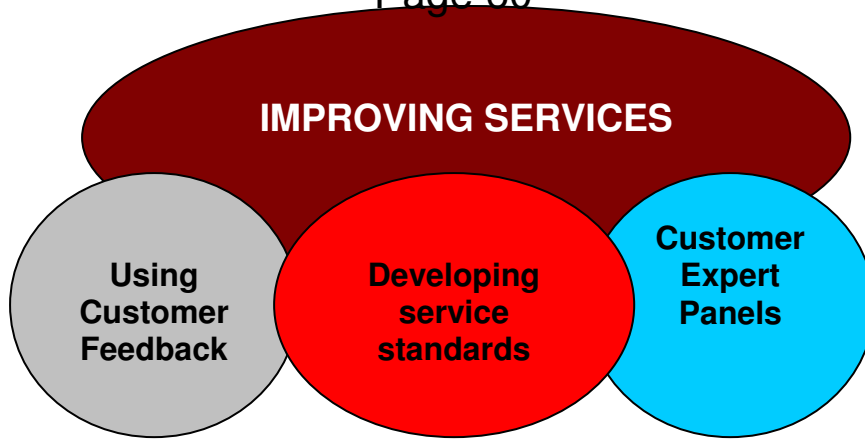
- York has a strong tradition of tenant and resident involvement, with its Federation of Residents' and Community Associations comprising of nineteen groups, covering 76% of council tenancies.
- Two tenant representatives sit on the Executive Member for Housing and Advisory Panel in a non-voting capacity. This agreement will make tenant involvement stronger .

Achievements Since the last tenant compact include:

- A thorough Audit of the skills and capacity of residents associations known as 'The Big Stock Take'
- Environmental workshops
- Revision of the federation constitution
- Follow up interviews with residents following the 2005 Annual Housing Survey, and focus groups following the 2006 survey

This compact sets out how customers can be involved – from decision making down to the information you can expect to receive.
In between there are lots of ways you can be involved....

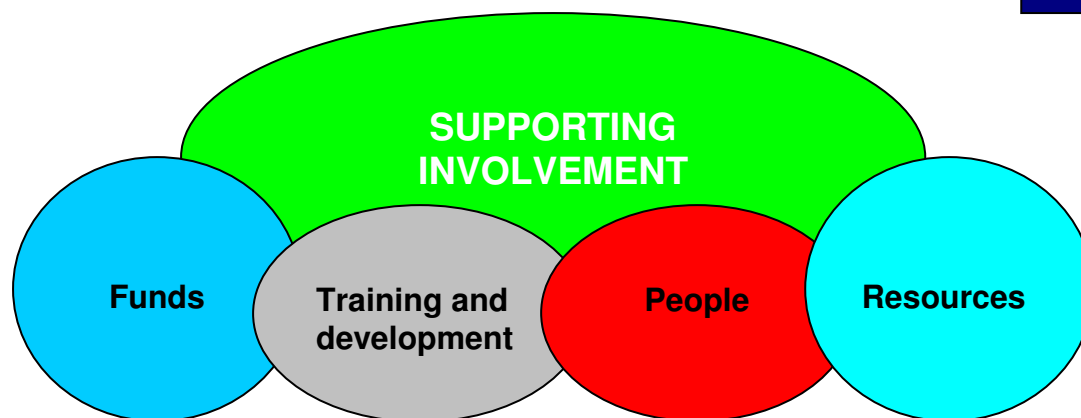




- Policies and procedures - We will consult with customers on changes to policies and procedures which directly affect customers via the Federation, Streets Ahead and 'Armchair Feedback' as appropriate
- We will continue to meet regularly with residents to monitor the Foxwood and Bell Farm estate agreements
- We will consult with customer on major policies and strategies including the business plan and housing strategy when these are reviewed .
- Consult tenants about key changes to budgets affecting housing service provision

From 2007

- CYC Housing will offer tenants the opportunity to be part of an 'armchair' feedback panel, commenting on documents or offering feedback on services via phone, email or post
- During 2007 we will develop 'Customer Expert Panels' who will specialise in a particular service area, and work on monitoring performance, helping us develop policy. This might include mystery shopping, or being a customer inspector, by checking out a particular area of our service
- Develop involvement methods for our customers living in temporary accommodation
- Review the leaseholder handbook and our approach to involving leaseholders in the housing service



This section sets out the resources (both money and people – available to help customers be involved and the responsibilities of the council, tenants, and residents associations

Overall Tenant Participation Budget

The Tenant Participation budget is held by the Neighbourhood Management Unit who deliver support for resident involvement through a 'partnership agreement' with Housing Services. The budget supports all kinds participation and consultation work including specific funding for Residents Groups – set out below

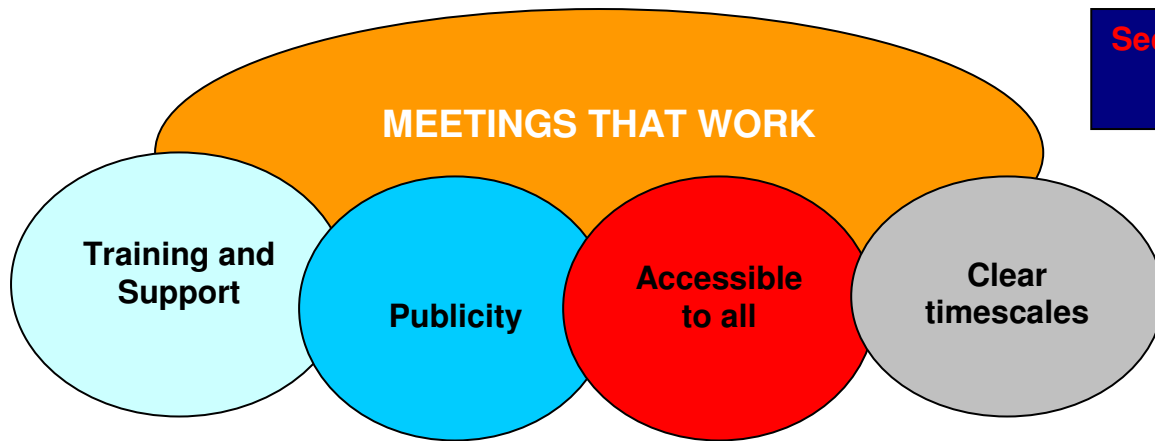
Financial assistance to Residents Associations (RA)

The Council Will	Residents Associations Will
Make money available for Resident Associations' to meet, communicate, attend relevant meetings and learn skills that will help them operate successfully – These are called RA Support Budgets	Add to the RA support budget by fundraising activities or making grant applications
Make budgets available to fund Estate Improvements . These will be called Estate Improvement Grants (EIG)	Work with the council & local tenants to decide the priorities for spending EIG in their areas
Pay for insurance to help tenant associations, subject to budget limitations	

Non Financial Assistance - facilities, equipment and officer support & Advice for Residents Associations

The Council Will	Residents Associations Will
Make meeting venues available for the Federation and the group which will monitor this Agreement	Use facilities equipment and other support provided responsibly and with due consideration to equality of opportunity
Ensure that officers attend meetings which help tenants exercise their right to become involved	Use the support to become independent self-managing groups Let officers know in advance of any particular topics they will be questioned on at RA meetings
Offer Secretariat support for the Federation and its associated groups until such time as tenants do not require it	Actively encourage tenants in their areas become involved by being open inclusive and proactive

Within budget and staff time limitations, offer access to IT training and equipment for RA Committees	Recognise that CYC officer time is limited and needs to be spread equitable amongst all tenant groups
Make time-limited officer support available to help RAs develop and improve. The amount and nature of support needed will be agreed individually with each RA at the beginning of each financial year. The essence of this support will be to help RAs become independent self-managing organisations with active involved members	Work towards and maintain independence and self-management
Whenever possible provide in-house training for RAs or provide information about external training providers for RAs to use	Offer peer support



It is important that any meeting held between the council and tenants allows for everyone to be able to participate in the decision-making process.

Before Meetings:

The Council will ensure that: -

- All meetings have a clear purpose.
- The purpose is communicated clearly to tenants and their representative
- Tenants and their representatives are clear of what is required of them during the meeting and where appropriate have the opportunity to influence the agenda
- All meetings are publicised well in advance and in areas and media which are easily accessed by tenants
- Papers for meetings are available in good time with executive summaries in plain English to help non-professionals understand the topic
- The possibility of inviting co-optees or tenant expert-witnesses is examined where appropriate
- Tenants are actively supported to attend, for example by making available transport costs, child and relative caring costs, etc
- It has considered whether tenants attending need payment in lieu of their time and expertise. Payments (if any) will be made in accordance with rules agreed by the Federation

During Meetings:

The Council will ensure that :

- The agenda is followed
- The meeting runs within agreed times
- The rules guiding the meeting are understood by all
- Tenants understand the proceedings and topics for discussion and feel comfortable and able to participate as required
- Decisions taken are arrived at and recorded clearly explaining the reasons for the decision when appropriate
- Everyone attending has the opportunity to participate equitably

Customers of the Housing Service who attend meetings will ensure that:

- They arrive on time, having at their disposal all relevant information and material they need to participate actively and fully
- Act within the rules of the meeting
- Follow the agenda and do not bring unrelated matters up for discussion
- They have consulted with those whom they represent in advance and are able to bring a representative point of view to the meeting

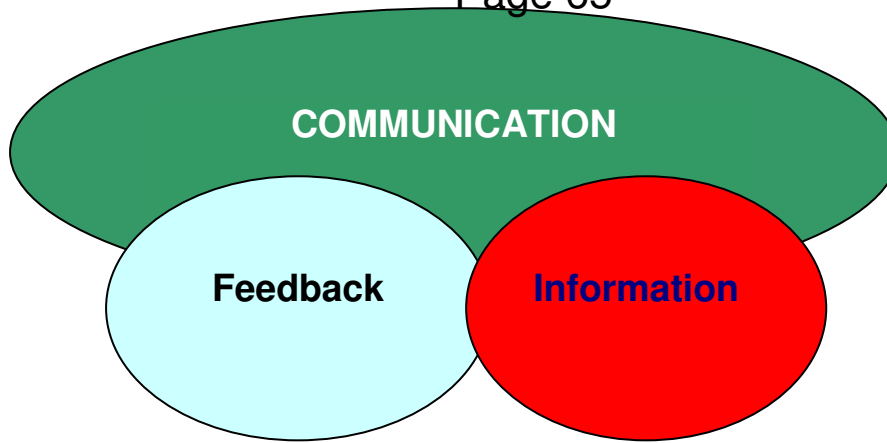
After the meeting:-

The Council will:

- Communicate the outcome and its implications clearly to those affected
- Issue notes and/or minutes within 20 days of the meeting
- Explain the implications of any decisions clearly and where appropriate offer the opportunity for decisions to be re-examined

Customers will:-

- Ensure that information gained at the meeting including decisions reached is communicated to those affected

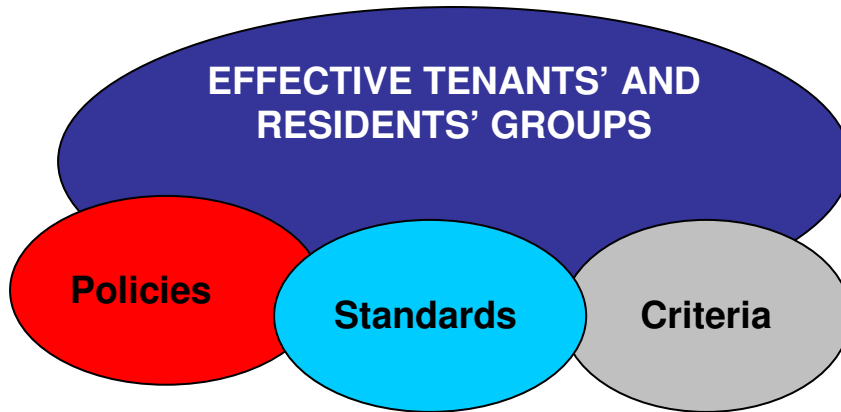


The Council will

- Use a variety of ways to communicate with tenants
- Make sure all documents sent to tenants and provided at meetings and consultation events involving tenants are:
 - Accessible i.e.
 - in plain and clear language
 - available in large print, Braille, audio tape, and languages other than English on request
 - Good quality and timely
 - All papers published and distributed 10 working days before meeting date
- Make sure that That information is readily available in the following areas:
 - The compact itself
 - A summary of the tenant participation compact
 - How to get involved, the benefits of being involved and support available
 - Information and advice about tenant participation and involvement opportunities, including the estate improvement grant programme.
 - Housing strategies, policies, plans and programmes
 - Accessible summary documents of existing and new strategies, policies, plans and programmes.
- All tenants receive regular information and communication
 - via Streets Ahead, the magazine for CYC tenants and leaseholders published four times per year
 - Our web pages, which we will keep up to date and include information on how tenants can be involved

Tenants will

- Use appropriate information and communication channels
- Use communication to share their experience of services done well as well as those which need improvement
- Share information they have gained elsewhere with other tenants and CYC officers, especially in areas that need improvement



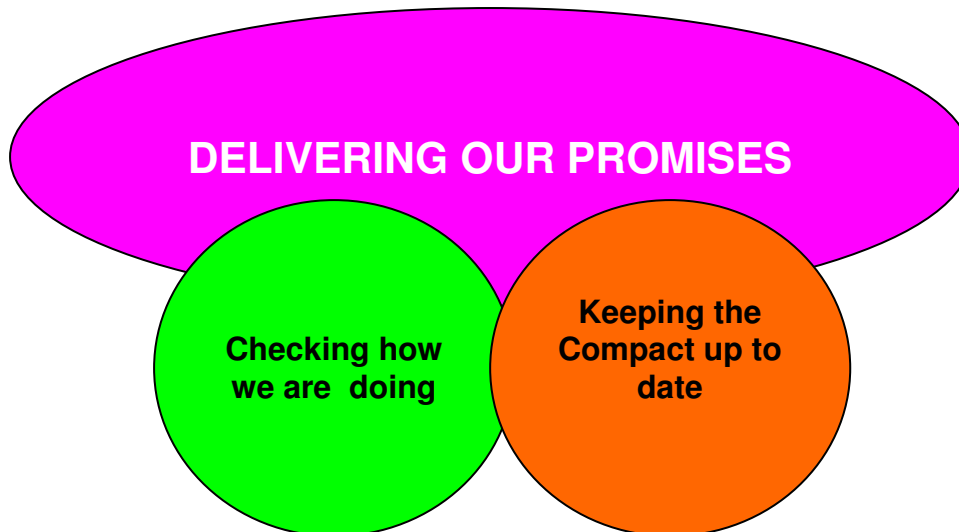
Tenants' and residents' groups and associations (RA) operating under this agreement need to meet the council's criteria for formal recognition.

For groups to have a formal role in decision-making they must show that they are democratic, accountable and have:

- A written constitution
- Membership open to all tenants and leaseholders in locality
- Equal opportunities policies, which are followed
- Regular elections
- Financial records
- Regular meetings, including an annual general meeting
- Agreed level of active membership
- Procedures on making information on the RA available including promoting membership and events
- Regular newsletters (or similar) with members
- Evidence that they meet their aims and objectives
- The skills to work effectively as a residents group – undertaking training and development where improved skills are needed

CYC will help tenants meet these standards by providing resources (see section 2) – Supporting Involvement including training, development and capacity building work with groups.

As well Tenants and residents groups see Section 1 for other ways you can participate in the housing service



Action plans to make sure that the Council continues to deliver and develop this Agreement will be drawn up by CYC and Tenants each year in May for the next year.

These will be drafted and monitored by the Customer Involvement Compact Panel (CICP) and agreed with the York Federation. The CICP will make sure that the council can demonstrate where customers have been involved in improvements to the service, The CICP will be accountable to the Federation and will be chaired by tenant or leaseholder. CYC will provide secretariat support to the CICP until such time as the Group states it does not need it.

How is the CICP made up: -

Two thirds of the group will comprise tenant-representatives elected through the Federation at the beginning of the lifetime of this Agreement. The Chair of the Group will be elected from amongst these tenants.

One third of the Group will comprise “expert witnesses” and co-optees selected by the Federation Chair, CICP Chair, the Executive Member for Housing and the Assistant Director for Housing.

Expert witnesses and co-optees can include:

- Councillors
- Council officers
- Tenants
- Tenants and residents from areas outside York
- Individuals from community and voluntary groups
- Tenants who represent hard to reach groups

Monitoring Arrangements

- The group will meet at least quarterly to monitor progress. Where we have new projects to work on extra meetings and the establishment of sub-groups may be necessary.

- The CICP Chair will update progress with this Agreement every quarter at Federation meetings, including the AGM where an annual report on progress will be submitted.
- The yearly Action Plan will encompass standards targets and deliverables.
- The Agreement will be comprehensively reviewed every three years by the AMG and council officers. The next review will begin in January 2010

INTERESTED IN GETTING INVOLVED ???

For more information on how you can be involved in any of the ways set out in this compact contact the Neighbourhood Management Team at 2 Blake Street York (Tel. 01904 551289) or use the reply slip

Also look out in Streets Ahead and your local Residents Association newsletters for other ways you can be involved.

Remember – involvement is not just about meetings –we are interested in hearing from you if you can help in other ways – for example making checks on your estate, mystery shopping, or ‘armchair involvement’ commenting on documents sent to you by post or email or responding to consultation or feedback surveys

BUSINESS REPLY TEAR OFF SLIP

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HASS 29

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

4th June 2007

Report of the Director of Housing and Adult Social Services

Adult Social Services Outturn 2006/7

Purpose of Report

1. To advise the Executive Member of the performance and financial outturns for adult social care in 2006/7.

Director's Overview

2. This report gives an overall summary of performance with the details for each service plan area set out in the annexes. These cover:
 - Corporate Services
 - Older People and Physical Disability
 - Mental Health
 - Learning Disabilities

The annexes show progress in relation to the key objectives (Critical Success Factors) and the performance targets as well as the detailed breakdown of expenditure. (Members should note that some targets were set three years ago for 2006/7 and therefore may be out of line with the outturn for 2005/6 if performance had already exceeded target.)

3. At the start of 2006/7 the department faced a major challenge in terms of balancing its budget and maintaining levels of performance to customers. There was an overspend of £793k in 2005/6 and by the end of the first quarter of 2006/7 there was a projected overspend of £1.7m. The greatest cost pressures related to home care services and services to people with learning disabilities.
4. It was therefore imperative that action was taken to bring expenditure back in line with budget. The main actions taken were:
 - Strict application of the council's eligibility criteria for services which required a review of all customers' needs
 - A complete restructuring of in-house home care services and the tendering of 3 locality based home care services
 - Tight control of recruitment
 - Seeking further efficiencies wherever possible
5. A more detailed financial analysis is set out later in this report but the main message is that these measures have been successful and that an

under-spend has actually been achieved. Great credit is due to staff at all levels in the department for this achievement. It is important to acknowledge the support from the council as a whole to this turn-round in performance. As well as the very significant savings in the department, over £900k was made available corporately during 2006/7 to support adult social services. However, only £400k of this is recurring (this sum relates to actual increases in new, complex care cases) and so the department still faces significant financial challenges in 2007/8 albeit on a much more manageable scale.

6. Because priority had to be given to redressing the overspend in 2006/7 there were concerns that there would be an impact on performance especially in relation to staff involved in re-assessing customers' needs. In fact, performance has generally held up well in 2006/7 with improvements to the speed with which assessments are completed and services provided. However, members should note the reduction in the overall number of older people directly supported at home - which is attributable to the tighter application of eligibility. This does not mean that those people have no support at home but that it is not care managed or arranged by the council. It is too early to say whether these changes will affect the annual performance assessment for 2006/7 that will be carried out by the Commission for Social Care Inspection in the Autumn.

Financial overview

7. The original revenue budget for Social Services for the financial year 2006/07 was approved at Council on 1st March 2006. The approved budget was £31.726m. During the year a number of changes to this figure were approved. The major injections to the budget were £400k for complex transitional care cases and a £536k non-recurring injection to assist the budget pressure within the Home Care Service. The latest approved budget after these changes is £32.279m.
8. Monitoring reports have been made during the year, informing of expenditure and income trends during 2006/07. The latest report presented to the Executive Member 11th December 2006 indicated the overall Social Services budgets would outturn at £1,170k over budget (prior to any injections from the centre) unless action was taken. These actions were intended to draw back the overall Departmental Overspend to £694k. £936k was injected into the Department's budget and along side the actions identified at Qtr 2 and since achieved they have contributed to the Department under spending by £205k.
9. Financial regulations require a detailed explanation of any budget variation in excess of £50k and those above £10k where the variation is greater than 2% above the budget heading. The draft outturn expenditure is £32.524m, which is £205k below the latest approved budget and represents 0.6% of the gross turnover of the portfolio area. There are significant reasons across service areas for the main variations between the approved budget and the draft revenue outturn. These are itemised in the annexes to this report and any impact on 2007/08's budget position is discussed in the paragraphs below.
10. Corporate Services has under spent considerably in 2006/07 due to holding back spend to assist the Department overall. This was to do to

uncertainty over whether the new Home Care service would deliver the savings initially identified (See annex 1).

11. A major restructure of the Home Care service (which incorporates the Internal Home Care service, block contract payments to external providers, spot contract payments to external providers and Direct Payments to customers) took place in 2006/07 and the full effects of this restructure are still being analysed and evaluated. The financial performance of this service was key to the Department's overall position and will be again for 2007/8. Early indications are that the 2007/08 budget for this service is between £250k and £500k overcommitted. A report will be brought to members in July 2007 that will identify actions to bring the service back in line with the approved budget. An internal Working Group is dissecting the process that was undertaken in implementing and running this service and their suggestions and recommendations should have a positive financial impact on this expected overspend.
12. Despite very significant savings being achieved Home Care has overspent in 2006/07 against the budget provision. This overspend would have been much higher if the restructure had not taken place. The restructure has not yet delivered the full volume of savings anticipated and this is due to a number of factors such as:
 - A number of customers have opted to take Direct Payments. As in-house staff are no longer on banded hours it has not been possible to reduce their hours sufficiently in order to fully offset the increase in Direct Payment customers costs.
 - The volume of spot contracts has been greater than anticipated due to one of the locality providers being unable to fulfil their full contracted hours. (A second provider is being brought in from July to address that capacity issue.)
 - Difficulty in recruiting and retaining specialist in-house home care staff
13. Residential and Nursing Care has under spent in 2006/07 due to a lower than expected number of admissions plus a reduction in the Transitional care beds purchased. This trend is not expected to continue given the national and local indicators pointing to a rising elderly and infirm population.
14. There is also pressure from the Independent Care Group, a body representing the interests of Care Homes within the Authority's area, to increase care prices above the 2.3% inflationary increase given in 2007/08. The Department's decision not to award a higher increase could jeopardise the placement of individuals as homes refuse to accept customers at the 2007/08 rate. A small raise over inflation was given half way through 2006/07 in recognition of a similar scenario last year.
15. The Department has performed particularly well in recovering PCT income in 2006/07 and needs to continue this trend in 2007/08 given the expanding number of customers eligible for Continuing Health Care funding and the PCT's financial situation.

16. Transportation of customers, particularly in Learning Disabilities, continues to be a pressure on the Departmental budget. A corporate exercise was undertaken to evaluate the transport arrangements and a firm of consultants, Kendric Ash, are working within the council to lead an improvement plan that will realise future savings. The department will have to divert resources/review transport arrangements if this overspend is to be reduced next year and beyond.
17. Many pay budgets were under spent in 2006/07 as only posts approved by the HASS Departmental Management Team for release were appointed to, in order to bring the Department's spend back in line. This has had the desired financial effect as can be seen from several staffing under spends and the reduction in staff advertising costs. As the Department moves closer to financial balance some critical posts that have been deferred will be recruited to in 2007/08.
18. In order to promote good management, and allow planned 2006/07 projects to proceed, it is proposed to continue the arrangements to permit under spending to be carried forward where the service under spends are due to genuine slippage. The following carry forward requests meet the criteria:-

£

- i) Due to staffing vacancies project work within IT has not been completed. 13,800
- ii) Due to staffing vacancies redecoration and refurbishment work has not been completed at all of the Elderly Persons Homes. 13,000

Consultation

19. There has not been any specific consultation on this report but elements of the service plans (set out in the annexes) will have been consulted upon.

Options

20. Options are not part of this report which is intended to set out the summary outturn for 2006/7.

Corporate Priorities

21. 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."

Implications

Financial

22. These are set out in paragraphs 7-18 above.

23. **Other Implications**

Human Resources (HR)

None arising specifically from this report.

Equalities

None arising specifically from this report.

Legal

There are no immediate implications to report.

Crime and Disorder

There are no immediate implications to report.

Information Technology (IT)

None arising specifically from this report.

Property

None arising specifically from this report.

Other

None

Risk Management

24. This report focuses on high level issues that the Executive Member should be aware of and therefore does not analyse more detailed risks that would be dealt with through service planning.

Recommendation

25. That the Executive Member
- notes and comments on the content of this report and
 - agrees the carry forwards outlined in paragraph 18 and refer these to the Executive for approval.

Reason : So that the Executive Members are briefed on performance and financial outturn for adult social services in 2006/7.

Contact Details:

Author:

Bill Hodson
Director of Housing and Adult
Social Services
Tel. 554001.

Chief Officer Responsible for the report:

Bill Hodson
Director

Report Approved

Date 11th May 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:

- Annex 1 – Corporate Services
- Annex 2 - Older People and Physical Disability
- Annex 3 – Mental Health
- Annex 4 – Learning Disabilities

Corporate Services

Achievements

The following areas should be noted.

- The HASS contribution to the LAA was completed in September as planned and the overall LAA has been positively rated by Government office.
- Re-focussed internal resources to provide more capacity in the Complaints team to respond to a 20% increase in numbers of complaints.
- Benefits advice team, who moved from Resources to HASS in the summer have increased the income of customers who are receiving non-residential services by a total of over £800k in 06/07.
- Dedicated HR support to managers in addressing long term sickness absence has reduced the overall levels of absence in the last 3 months.
- Introduced a Project Management Toolkit and Programme in HASS to manage large and medium size projects
- Produced a Long Term Commissioning Strategy for Older People 2006-2021 that identifies the impact of demographic changes and a required change from reactive services to providing proactive services to help deliver better outcomes for the people who receive them.

Critical Success Factors (CSF)

The following are the CSF identified in the service plan and a comment on their current position. Some of the CSFs relate to social service areas.

Replacement of Social Care recording system

The project is still on target for the new implementation date of the end of June 2007. There have been no new delays to the project

Improved partnership with internal and external stakeholders

High level discussions are in progress with the new Primary Care Trust to establish shared processes to support joint commissioning. The PCT Financial Recovery Plan actions are being monitored for potential social care impacts and joint working is underway on the key shared agendas.

Supporting People programme

Retraction plan for ineligible Supporting People funding has now been agreed and is being implemented

Shifts in budget spend towards agreed priority customer groups are beginning.

Current projections suggest the Programme will remain within balance for the next three years if the ineligible funding is retracted as planned.

Improving attendance in Department

The dedicated HR time is being increased to support managers and staff in service areas with higher levels of non attendance following the success of the work on addressing long term absence.

Easy@york - Ensuring a effective engagement and transition

To date we have achieved all that has been required by the Programme, within the set timescales. We are seeking to include our Customer Advice Centre in 10-12 George Hudson Street in the proposed Phase 2 for the programme.

Adult Services changes supporting and responding to the modernisation agenda

The tendering exercise for three locality home care providers was successfully completed in August, as planned. A re-tendering of one of the contracts has just been completed.

Commissioners and finance staff continue to support the 'In Control' project for People with Learning Disabilities, which will pilot 'individualised budgets', a key part of the Governments White Paper.

Gershon and efficiencies

The control of vacancies in 06/07 contributed to the overall efficiency savings in HASS and a year end budget under spend of £435k in Corporate services.

Business Benefit realisation work continues for the Social Care Replacement Programme

Process improvement work in the Charging, Benefits and Financial Assessments Teams has brought these together into one team and a new structure is set to make a saving of £25k in 2007/08 whilst improving the service to customers.

Organisational Development

The toolkit for medium and small projects has been introduced across HASS and is now in use.

Areas for Improvement

More time and resource is required to complete an overall Workforce Development Plan in 07/08 as this was not possible in 06/07. There has been some progress on improving induction but the various working groups outputs now needs to be brought together in one prioritised plan as our efforts have been spread too thinly.

We did not achieve the 06/07 target of 70% of complaints being dealt with within timescales. More detail is given in the Annual Complaints report elsewhere on this agenda.

New external priorities or demands

- The delay in the Primary Care Trust appointing to its management structure in 06/07 and their focus on producing a financial recovery plan had a negative impact on joint working arrangements that is now being addressed.

- The work on reducing overspends and supporting major service changes in line with national policy drivers continues to present a challenge to Corporate Services priorities when providing additional time from finance, management information and IT staff.

Significant organisational issues

The following issues have impacted on the achievement of the service plan.

- The HR team supporting HASS has experienced staff turnover and vacancies which has reduced their ability to support business areas and complete developmental work in year of big projects requiring support such as home care and job evaluation.
- There was no Policy and Planning capacity in 2006 until Feb 07 due to sickness and the loss of a post through budget savings and this reduced the support available to the business to plan and prepare for service change and development.

Prospects for next 12 months

The agenda is large, and capacity stretched. Prioritisation will be essential to delivery of key actions that are outlined in the 2007/08 Corporate Services Plan.

Work is required on an implementation plan for the Longer Term Commissioning Strategy for Older People and a review of eligibility criteria will form part of this plan.

We are close to the go live date for the introduction of the Framework the electronic social care record system. This will require considerable support during this phase of implementation.

Budget

Corporate Services spans both social services and housing functions and also includes Supporting People. The main variations between the approved budget and the draft revenue outturn are as follows

CORPORATE SERVICES	Budget £'000	Variation £'000	Variation %
Staff Advertising – due to staff vacancies being held to assist overall Department position	196	-26	-13.3
Finance – staffing under spends partially offset by cost of business process re-engineering work	493	-18	-3.7
Short Breaks for Carers – under spend on Carers Grant	21	-21	-100
IT hardware – spend restricted to assist overall Departmental position	11	-9	-81.8
Mediation Service – increase in contributions to the service	70	-26	-37.1
Expenditure deferred to offset budget pressures across the department		-395	
Other minor variations	1,179	+60	+5.1
Total Corporate Services	1,970	-435	-22.1

Balanced Scorecard - Corporate Services

Customer based improvements	06/07 outturn	2005/6 outturn	2006/07 Target	2007/08 Target	2008/09 Target
All: % of visitors seen by an officers within 10 minutes	90%	92%	92%	92%	95%
% of visitors referred to the correct officer within a further 10 minutes	90%	92%	92%	92%	95%
(All) answer external calls in 20 seconds or less	96.5%	98.3%	95%	95%	95%
(All) respond to external emails and correspondence within 10 working days	96%	93.6%	95%	95%	95%
(Complaints) Increased number of customer complaints dealt with within time ¹	75%	64%	93%	80%	82%
(Complaints) Increased number of Ombudsman enquiries dealt with on time ¹	56%	22%	70%	60%	65%
Department meets key milestones established by easy@york programme	Achieved	N/A	Respond in agreed timescales	Respond in agreed timescales	Respond in agreed timescales
(SP) Service users who are supported to establish and maintain independent living	Average 98.%	N/A	Average 96.24%	97%	97%
(SP) Service users who have moved on in a planned way from temporary living arrangements	Average 72.8%	N/A	Average 77.8%	75%	75%
(SP) Fair access to people who are eligible for SP services ²	N/A	New	N/A	To be set	To be set
(IT)Key milestones in the implementation and embedding of social care system are	Procurement delayed 3 Months No further delays	New	As project plan	As Project Plan	As Project Plan

¹ These figures include complaints for Children's social care services as well as Housing and Adult Social Services

² Information on this indicator is collected by DCLG and at present it is not known when we will receive feedback from them.

met					
(HR)Workforce strategy in place	In progress, behind plan	New	31/3/07	30.09.07	-
(HR)The department has clear standards for induction programmes.	Induction programme drafted, requires final approval and launch	New	1/9/06	30.09.07-	-
(HR)A system for monitoring that each staff member has completed the induction programme	See above , Process designed	New	1/9/06	30.09.07-	-
(HR)There is an effective mechanism for monitoring that appraisals are completed	Delayed Draft Process designed, requires approval and implementation	New	1/6/06	01.10.07-	-
(HR)There is an effective mechanism for collating the results of the appraisals to inform training and development programmes	Delayed Draft Process designed, requires approval and implementation	New	1/6/06	01.10.07-	-
(HR)Levels of staff absences have reduced (targets to be set dependent on work of internal audit)	17.87%	19.82%	To be set	To be set	To be set
(Train) Domiciliary Care - relevant qualification National Vocational Qualification (NVQ) 2 or above	43%	32%	40%	50%	50%
(Train) Learning Disabilities -relevant qualification NVQ 2 or above	60%	28%	35%	50%	50%

Process Based improvements	06/07 year to date	2005/6 outturn	2006/07 Target	2007/08 Target	2008/09 Target
(A&I)Mutually agreed expectations between A&I and other divisions exist	In progress Children's Services agreed	New	31/3/07	Dec 07	-

Finance based improvements	06/07 year to date	2005/6 outturn	2006/07 Target	2007/08 Target	2008/09 Target
Overall variation from		Budget	√	√	√

Corporate Services budget within the department less than 1%		structure new for 2006/7			
Measure	06/07 year to date	2005/6 outturn	2006/07 Target	2007/08 Target	2008/09 Target
Staff appraisal completed in year in Corporate Services	100	82%	80%	100%	100%

Older People and Physical and Sensory Impairment (See Annex 1)

Achievements in the full year

The final outturn reflects improved performance on key indicators relating to the provision of Assessments and Care packages within the proscribed times, Direct Payments, statement of needs and further reductions in the supported admission of older people into registered care homes. The increase in support to carers has now shown an increase of over 20% since March 2006 with the flexible services on offer. The performance on provision of equipment and reviews undertaken has dropped slightly as has the recording of ethnicity and numbers supported at home. The reduction in this indicator figure reflects action taken to bring budget commitments in line with resources available..

The main achievements are as outlined below:

- The number of older people and people with physical disabilities admitted to supported registered care continues at a low level.
- The delivery of services to carers has improved significantly with the introduction of the flexible services, 275 carers having received a service by the end of the financial year, (an additional 30 on the previous year).
- Windsor House opened for admissions to people with dementia in January 2007.
- The reduction of intermediate care beds at Grove House and the Archways, due to the PCT financial recovery plan, was compensated to an extent by use of the Delay Discharge grant to provide home based intermediate care. The overall use of community based Intermediate care has as a result increased during the year.
- The delivery of assessments and care plans within 28 days has improved.
- The project for the modernisation of day services at Huntington Road has commenced with consultation with customers starting on a group and individual basis. Staff consultation has started.
- Work to deliver assistive technology continues with important progress being made to improve disaster recovery arrangements. A demonstration flat has now been developed and equipment has been purchased. The assessment and response processes are currently being put in place.
- The long-term commissioning plan for older people has been finalised in its initial form and is now published. The authority was involved in disseminating the outcome from this project through DoH seminars. Further consultation has commenced on how this should be implemented.
- The next phase of the Accommodation & Support strategy was reported to members and further work is underway to develop specialist roles for the Local Authority Elderly Person's Homes and other service redesign.

- Customer outcomes have been further enhanced with 36 people with ill health or a disability, benefiting from the Dispensary Fund administered by the Directorate, including support for respite holidays, furniture, bedding, carpet, mattresses, cookers, fridges and washing machines.
- The achievement of financial performance within budget was a major challenge. However performance improved significantly in the latter end of the year through a combination of actions including applying criteria for the provision of services against previously approved guaranteed minimum standards and the re-commissioning of home care to reduce inefficiencies in the contracting and delivery of home care. This has further to go before full efficiencies are realised.
- There was a successful inspection of the Workstep programme with the direct services rated as good.

Critical Success Factors (CSF)

The following are the CSF identified in the service plan and a comment on their position at the end of the year.

Fair Access

Implementing fair access to care according to the agreed threshold and guaranteed standards has continued. Services have been withdrawn where these did not warrant provision under the guaranteed standards. This work has enabled the authority to be confident in the delivery of services consistently to a large customer group. It has also enabled the authority to release resources for distribution to others who meet the criteria. This has been a major project for the Assessment and Purchasing Teams and it is of significant credit to those teams that the changes have been managed without any risks to customers or significant rise in complaints.

Improve staff retention and workforce planning

Staff retention remains a critical factor and during the year there have been a number of care staff leaving the service and consequent difficulties in recruitment.

The adult services section is heavily involved in a new Directorate workforce planning initiative. This is designed to promote much stronger links between the appraisal and staff development processes for what is a very large and diverse staff group with constantly changing requirements from national and local drivers.

Alternative approaches to recruitment have been considered and will be reported on at a later date.

The work with Active Health Partners continues and the average monthly sickness absence level in the final quarter has reduced considerably, compared with the rest of the year.

Improve performance for Assessment Timescales and Care Package delivery

These are 2 of the key performance indicators which contribute to a council overall Performance Assessment. Both are slight improvements on the targets.

Improve joint planning and working with key partners.

There is current involvement with the PCT on workstreams designed to reduce the impact across the health and social care community of the bed reductions at YDH that are part of the current financial recovery plan. Involvement earlier in the year concentrated on the previous financial recovery plan. The PCT restructuring has caused uncertainty in forward planning.

Joint planning with a range of organisations during the earlier part of the year focussed on producing the Local Area agreement objectives and agreeing the performance measures.

Joint planning has continued through the partnership structures that include mental health for working age adults, older people's mental health services and the Older people's Partnership Board.

Planning has also been initiated with the PCT to develop stronger links at a primary care level with social care and preventative services.

Develop a more robust business planning approach

The work on the long-term commissioning plan for older people has produced a document that delivers a more effective needs assessments and match of service model and investment to needs.

The capacity for planning within the section remains low, with little planning time available to support the section and posts being held vacant due to the financial pressures. A newly appointed planning officer is now supporting the section to develop a strategy for people with physical and sensory impairments and with a preventative strategy.

A business change group has overseen the improvements needed within Adult services in readiness for the introduction of the new social care data base and electronic social care record policy. Staff have been receiving training as required.

The home care restructure and re-commissioning of external services was implemented from December 2006. Final stages of completing this are underway. The restructure is currently being evaluated and will be reported to the July EMAP.

The specialisation of elderly person's homes through the Accommodation & Support strategy will improve outcomes for customers and give further efficiencies as the strategy develops.

Areas for Improvement

The following areas are ones where performance has not met targets set or projects have slipped against their predicted timescale.

- Delayed discharges for social care reasons have increased over the previous year with an average of just under 3 per week. This was over the target. The reasons for this were pressures on the care system and lack of appropriate registered care facilities for people with dementia and unavailability of home carers available across all hours of the day and week.
- The number of people helped to live at home has dropped across the older people and adults with disability group. This is a direct result of action taken during the year to ensure service provision is made against the guaranteed minimum standards for the Fair Access to care criteria. This effect has been compensated to an extent as many of those who were no longer eligible for personal care services have been offered and taken up alternative forms of support.
- The number of people receiving intensive home care has decreased slightly from 2005 on the October sample week. This is due to the same factor of tightening service provision against criteria.
- The delivery of equipment has not achieved the target figure, although the delivery performance is still in the highest quartile in the country. The reason for the drop in performance against last year and target has been with staffing problems at times of the year. The Equipment service is a jointly funded service with the PCT and the Financial Recovery Plan for the new NY&Y PCT meant that there were delays in getting partners agreement to recruit to vacant post or provide agency cover.
- The provision of reviews has not met the target due to a number of reviews during the year being targeted at people where the Fair Access criteria was in need of tighter application. Some people will therefore have had more than one review.
- There remain concerns being expressed in respect of public information that is available on social care services not being fully comprehensive and up to date. This is being included in the review of Advice & information functions.

Prospects for the next 12 months

There will be opportunities during this year to improve the joint commissioning and provision of more integrated service models and pathways of care, working closely with Health partners on key area including, community response & rehabilitation services, primary care and older people's mental health services.

The continued move from registered care to community alternatives will be possible if additional efficiencies can be realised through the continued implementation of the restructuring of home care.

Moves to secure the registered care market will need to be considered made through contracting mechanisms and further moves towards a fair fee structure.

Self directed care will be sustained through further increases in the numbers of people encouraged to take up Direct payments for home care as well as preparation for the introduction of individual budgets.

The programme to provide alternative day services from Huntingdon road will begin to ensure that there are a wider range of options for future customers.

A low vision service pilot to start shortly will enhance the preventative nature of sensory impairment services.

The home care restructure should be embedded with the full recruitment to all the CYC services and external providers.

There will be risks within the section associated with:

- o Ongoing difficulties with recruitment & retention in a competitive area
- o financial pressures on partners such as the PCT that may divert resources and capacity from the improvements.
- o The resources available for community care are subject to pressures of demographics and changes in funding from other sources such as the Supporting people programme. The section will need to keep under review how it will meet the demands and how to ensure there is capacity to manage the change programmes that are required.
- o The capacity of the Assessment and Purchasing sections to maintain performance requirements in respect of assessment, care planning and review, given the time staff will need to commit to training for and implementation of:
 - o The introduction of the new customer data base and IT systems and
 - o the associated move to meet the requirement that all records will be kept electronically

Budget

The main variations between the approved budget and the draft revenue outturn are as follows

ADULT SERVICES	Budget £'000	Variation £'000	Variation %
Residential and Nursing Care – Under spend on care	6,470	-286	-4.4

ADULT SERVICES	Budget £'000	Variation £'000	Variation %
costs of £490k partially offset by underachievement of income (£190k) due to lower than anticipated admissions and also reduction in number of Transitional care beds contracted for			
Community Support Budget	1,812	+445	
Internal home Care Service	4,059	-330	
Direct Payments	38	+301	
Please see paragraphs below for a full explanation of the budget variation concerning the Home Care and Direct Payment service	5,909	+416	+7.0
Repairs & Maintenance - New partnering arrangements with Neighbourhood Services have led to an increased in cost of work	153	+41	+26.8
Registration fees – Fees have risen significantly more than inflation	17	+13	+76.5
Meals Service – The service has stopped and customers are now signposted to other organisations providing meals. This overspend is the effect of doing this part way through the year and customer income in particular dropping faster than associated costs dropping out.	-19	+60	+315.8
Warden Call service – Overspend on pay (£111k) due to increased demand for the service partially offset by increased income (£48k). However, £135k withdrawal of Supporting People funding has also affected this service's budget position.	133	+215	+161.7
Elderly Persons Homes – An overspend on staffing due to cover for staff sickness and increased staffing levels in order to comply with CSCI standards	4,613	+147	
Offset by additional income from customers	-2,454	-310	
	2,159	-163	-7.5
Gas and Electric – Large increase in cost of Gas and Electricity reflects volatility of the global market for these commodities.	123	+76	+61.8
Telephones – increase in usage of telephones and lines with particular regard to IT and use of internet	30	+11	+36.7
Yorkcraft– Underachievement in contracts/sales generated (£49k) given to Yorkcraft as impact of losing the basket contract continues plus lack of resources to market the business more effectively to generate more	-258	+28	+10.8

ADULT SERVICES	Budget £'000	Variation £'000	Variation %
sales. The shortfall of income has not been fully compensated by a drop in pay (£21k).			
Equipment – Spend on Equipment was held back to assist overall Departmental position	112	-62	-55.4
Business Support – Vacancies held in this service throughout 2006/07 to assist overall Departmental position	58	-57	-98.3
Community Equipment Loans Store (CELS) – Income realised over budget from NYCC re Handling charge (£41k) for issuing equipment allied to year end stock adjustment (£18k) has resulted in under spend on this service. This has been partially offset by a staffing overspend (£10k)	336	-51	-15.2
Pay – various under spends over both provider and purchaser teams due to vacancies	3,560	-132	-3.7
Other minor variations	1,494	+47	+3.1
TOTAL OLDER PEOPLE & PHYSICAL DISABILITY SERVICES	20,277	+156	+0.8

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Annex 1 Balanced Score Card Older People and Physical Disability 2006/7 outturn

Measure	2006/07 target	2006/07 outturn	2007/08 Target	2008/09 Target	2009/10 Target
Number of people over 65 receiving direct payments	12	45	44	46	47
Local: reported numbers of delayed discharges which attract reimbursement	0	3	2	2	2
BV 54, C32 (PAF) – number of people aged 65+ whom authority helps to live at home, per 1,000 adults aged 65+	92	86.51	92	160*	
C29 (PAF): numbers of people (18-64) with physical/sensory impairments help to live at home	4.8	4.58	45.5*	46*	46.6
BV53, C28 (PAF) - households receiving intensive home care per 1,000 pop 65+	9.7	9.3	9.7	9.9	10.0
%age of adult users assessed and/or reviewed in the year that had ethnic origin missing or not stated	Less than 10%	8.42	Less than 10%	Less than 10%	Less than 10%
* From 2007/08 the balance sheet measure will reflect the LAA indicator that is a combined measure of care and non-care managed services provided to support people at home.					
Measure	2006/07 target	2006/07 outturn	2007/08 Target	2008/09 Target	2009/10 Target
BV 195, D55 (PAF) - % people aged 65+ receiving assessment within specified time scale (2 days)	76.5	80.46	76.5	76.8	77
BV 196, D56 (PAF) % of new customers aged 65+ receiving package of care within specified time scale (28 days)	85	87.98	91	92	93
BV56 – D54 (PAF)% items of equipment and adaptations delivered with 7 working days	96	93	96	95	95

BV58 (PAF D39) %age of people receiving a statement of their need and how they will be met (all customer groups)	92	92.21	93	93.5	94
D 40 (PAF) %age of people receiving an annual review or re-assessment	70	66.13	70	80	82
Measure	2006/07 target	2006/07 outturn	2007/08 Target	2008/09 Target	2009/10 Target
B12 (PAF) Cost of intensive social care for adults DIS return		£505	£517	N/A	N/A
B13 (PAF) Unit cost of residential and nursing care for older people DIS return		£408	£417	N/A	N/A
B16 (PAF) Unit cost of residential and nursing care for people with physical disabilities DIS return		£589	£603	N/A	N/A
Measure	2006/07 target	2006/07 outturn	2007/08 Target	2008/09 Target	2009/10 Target
CP 14 - percentage of staff appraisals completed	90%	90%	90%	94%	
BV 12 - days lost per year per FTE due to sickness absence	9%	End of year	9%	8%	
Percentage of staff registered social work staff receiving on average 30 hours post qualification professional development each year (90 hours over 3 years)	100%	End of year	100%	100%	
BV 16a - percentage of staff with a disability (Community Services as a whole)	5%	End of year	5%	5.5%	
BV 17a - percentage of staff from and ethnic minority (Community Services as a whole)	2%	End of year	2%	2.5%	
Local CP58 - percentage of voluntary turnover of staff	2.8	End of year	2.8	2.7	
S3: numbers of new staff undergoing Induction training (CM Review) newly employed staff within the first 6 months of employment	100%	End of year	100%	100%	

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Mental Health

Achievements in 2006/07

The following should be noted.

- The Partnership Board has been revised to match the formal Partnership agreement. The Board has now had two meetings.
- Service remains on target with the main NSF service development objectives.
- The provision of Statement of needs and reviews are well within target for the year.
- The implementation of plans to restructure the rehabilitation and recovery services. This included the replacement of Redroofs with a supported living service, the opening of a recovery unit within Bootham Park, the movement of residents from Stray Garth to Acomb Gables
- The reprovision of New Lane as a supported living scheme run by a Housing Association will follow when plans are complete.

Critical Success Factors (CSF)

The following are the CSF were identified in the service plan and a comment on their current position.

Strengthen partnership arrangements with PCT

The Mental Health Partnership agreement has been revised and approved by Members. Protocols covering specific aspects of the policy are currently being put in place and the constitution of the Partnership Board being revised. The new agreement became operational on 1st April 2006.

Review & Improve financial management information systems

Revised financial arrangements were included in the revised partnership agreement and financial management arrangements have been put into place for 2006/07 budget management and reporting.

Improve staff retention and workforce planning i.e. Approved Social Workers (ASWs)

The average sickness level in the last quarter has remained at the same level of 4.44% as with the first quarter. This is lower than the average level for Adult services overall.

Staff have completed ASW training which has eased the issue of the overall complement of ASWs available. Two vacancies have been recruited to, one with an ASW. The other post will be filled by a non-ASW with training planned for later in the year. Generally, recruitment of ASWs remains difficult, though retention of staff at present is good.

Annex 3

Improve performance information

As with other areas of the adult services progress with information systems remains dependent on replacement to ISIS and introduction of Electronic Social Care Record (ESCR). Data entry is still reliant on dual entry for a majority of social care information.

Progress continues with the ISIS replacement and agreements have been reached regarding the issues around recording of management and clinical information. Once the new system is in place the recording and monitoring of this will be improved, with a higher ratio of staff with the relevant training and access to systems, and a reduction to the bare minimum of dual inputting.

Direct Payments

There has been an improvement in achievement against target with three mental health service users who have moved to Direct payments

Work continues to try and increase this number. Customers are being asked about direct payments but thus far without a high take-up.

Areas for improvement

The following areas are ones where performance has not met targets set or projects have slipped against their predicted timescale

- The recording of ethnicity is currently well below the target and will need corrective action.

With the introduction of the new IT system this target should be met – the information is known but issues around dual inputting have affected this target

- An awareness raising day took place regarding Direct Payments and as above, work ongoing in relation to improving the uptake of this.

Prospects for the next 12 months

The following issues may have an impact on the implementation of the service plan in the next twelve months.

- Budgetary problems within both PCT and in social care services.
- Planning for the next stage of the Mental capacity act to be introduced in October 2007.
- Planning for the Mental Health Act amendments due to be introduced in 2008.

The following organisational issues may also have an impact on the achievement of the service plan.

- Changes in the PCT and Strategic Health Authority infrastructure.
- Building on the formal Partnership arrangements within a changing PCT structure;

Annex 3

- Financial planning for medium term in context of budget pressures in 2007/08 period and the impact of changes in the Supporting People services.
- Developing clear Pathways of care
- Reconfiguration of the Community Mental Health Teams to 4 areas.
- The capacity of the social care staff to maintain performance requirements in respect of assessment, care planning and review, given the time staff will need to commit to training for and implementation of:
 - The introduction of the new customer data base and IT systems and
 - the associated move to meet the requirement that all records will be kept electronically

Budget

The main variations between the approved budget and the draft revenue outturn are as follows

MENTAL HEALTH SERVICES	Budget £'000	Variation £'000	Variation %
Residential and Nursing Care – customer deaths at start of year without those places being subsequently filled resulted in year end under spend	1,252	-85	-6.8
CSB – continued unavoidable and volatile expenditure incurred – examples of use of this budget are kennelling of dogs and retrieval of broken down vehicles	25	+29	+116
MH staffing – difficulty throughout the year in recruiting to certain posts such as the ASW posts resulting in significant under spend	1,392	-110	-7.9
Supporting People funding for 22 The Avenue – reduction in Supporting People funding in 2006/07	-276	+18	+6.5
Other minor variations	-249	-8	-3.2
TOTAL MENTAL HEALTH SERVICES	2,144	-156	-7.3

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Measure	2006/07 outturn	2006/07 target	2007/08 Target	2008/09 Target	2009/10 Target
BV 201, D56 (PAF) number of people with a mental health problem receiving direct payments	3	2	4	5	6
C31 - Adults with mental health problems helped to live at home per 1000 population 18-64	2.37	2.5	2.5	4.0*	4.0*
%age of adult users assessed and/or reviewed in the year that had ethnic origin missing or not stated	9.16	Less than 10%	Less than 10%	Less than 10%	Less than 10%
* includes non-care managed services within LAA agreement					
Measure	2006/07 outturn	2006/07 target	2007/08 Target	2008/09 Target	2009/10 Target
BV 195, D55 (PAF) - % people receiving assessment within specified time scale	67.1	76.5	80.0	85	90
BV 196, D56 (PAF) % of new customers receiving package of care within specified time scale (28 days)	75	85	80	85	90
BV58 (PAF D39) %age of people receiving a statement of their need and how they will be met	93.68	94	94	95	96
%age of people with MH problems receiving an annual review or re-assessment	81.13	82	82	82	82
Partnership management agreement signed off	In place 1.4.06	31/3/06	N/A	N/A	N/A
New or revised local policies and protocols required by Mental Capacity Act	In place 1.4.07	As per timetable for Act	As per timetable for Act	N/A	N/A
Measure	2006/07 outturn	2006/07 target	2007/08 Target	2008/09 Target	2009/10 Target
B15 (PAF) Unit cost of residential and nursing care for adults with mental illness DIS return	£524		£536	N/A	N/A

Measure	2006/07 outturn	2006/07 target	2007/08 Target	2008/09 Target	2009/10 Target
CP 14 - percentage of staff appraisals completed (adult services as a whole)	94% annual	90	90	90	90
BV 12 - days lost per year per FTE due to sickness absence (adult services as a whole)	End of year figure	6.5	To be set	To be set	To be set
Percentage of staff registered social work staff receiving on average 30 hours post qualification professional development each year (90 hours over 3 years)	End of year figure	100%	100%	100%	100%
BV 16a - percentage of staff with a disability (Community Services as a whole)	End of year figure	5%	To be set	To be set	To be set
BV 17a - percentage of staff from and ethnic minority (Community Services as a whole)	End of year figure	To be set	To be set	To be set	To be set
Local CP58 - percentage of voluntary turnover of staff (adult services as a whole)	End of year figure	To be set	To be set	To be set	To be set
S3: numbers of new staff undergoing Induction training (CM Review) of newly employed staff within the first 6 months of employment	End of year figure	100%	100%	100%	100%

Learning Disabilities

Achievements

The following area should be noted.

- Further detailed improvements have been completed within the service to ensure best practice compliance locally with all areas outlined in the National Health Care Commission and CSCI joint report on failings in Learning Disability Services – (July 06 “The Cornwall Report”). The Integrated Partnership measured well against this audit.
- We have exceeded our 06/07 target on :
 - i. the number of people helped to live at home (although this is a slight reduction compared to 2005/6 – 3 people less).
 - ii. %age of adult users assessed in the year that had ethnic origin missing or not stated (although this is also not as good as 2005/6)
 - iii. The percentage of people receiving a statement of their needs
 - iv. The number of staff trained to NVQ2 or above (60%)
 - v. The number of staff appraisals taken place
 - vi. The number of staff undertaking induction training in their first 6 months
- There has been an improvement in performance in the number of reviews of service that have been undertaken as the year has progressed, although further improvement is needed
- Stricter adherence to the application of eligibility criteria has continued.
- A Learning Disability Commissioning Strategy (draft) has been pulled together that looks at a long term plan for the service
- Building on the successful Carers day held earlier in the year in the City, for carers of people with Learning Disabilities, local actions have been formulated to assist carers to get relevant supports.(One of the CSCI inspection recommendations)
- Work is progressing on the next phase of modernisation of day services within the city, particularly with Yearsely Bridge centre.
- A dementia pathway has been developed by the team for those customers with Learning Disability and dementia.
- We have begun work on a planned programme of “bringing people back home” from out of area where this is appropriate
- A joint programme of modernisation of Joseph Rowntree Accommodations in the city has begun in conjunction with the Joseph Rowntree Housing Trust

Critical Success Factors (CSF)

23. The following are the CSF identified in the service plan and a comment on their current position

The discharge of in-patients from the long stay units in Health

Over 60% of people have been discharged from NHS inpatient care- with a plan in place for the remaining in-patients through the next 18 months-2 years. The last phase of closure is within the project plan timescales and outcomes

To increase the number of people in work

There continues to be a modest rise in the number of people with a learning disability in work. This is both paid and voluntary employment situations. A new work scheme opened in 06 is currently being evaluated

Increase the number of people using individualised budgets or direct payments

Whilst the direct payment numbers has steadied, this has been offset by people using individualised budgets (these are currently not counted as a performance target)

Review & improve financial management information systems

Regular monitoring of budgets and performance indicators with service managers in situ. Regular liaison with finance support in place. The tracking systems and monitoring arrangements within the team have improved significantly and we are able to track spending effectively. Concerted efforts by all members of the LD team and the Commissioning team, has resulted in some savings (as targeted) being realised. In addition a dedicated drive to realise continuing care income has resulted in over £287,000 of money being bought back into the system.

Improve joint planning and working with key partners.

The future of the Integrated service within the new PCT structure has been confirmed, with a re-signing of the Partnership Agreement, continuing City of York Council as the Lead Agency for Learning Disability Services. Whilst we are still awaiting an appointment to the liaison manager for the Governance arrangements to the service (through the LD management Board) liaison remains positive with existing staff in post within the PCT.

Areas for Improvement

- To continue to develop the way reviews are undertaken, based on a significant pressure area for maintaining numbers of reviews required as a performance indicator – ongoing discussions with key stakeholders
- Continued monitoring of financial pressures
- Further work is required to improve a range of home based respite services- preliminary work has begun on this with a range of different options being costed and reviewed.

Prospects for next 12 months

The following are the key opportunities and risks facing the service.

- The budget position continues to pose a significant challenge. This is coupled with the demographic changes in younger adults with significant support needs entering the adult care system.
- The continued modernisation of resources and systems- in particular the next phase of day service modernisation and respite services, and the use of individualised budgets will pose a significant opportunity in improving outcomes for people.
- The continued work on In Control linked to individualised budgets, will continue to challenge us in terms of systems thinking and design, but offers good improvements for customers in influencing and taking charge of their own support plans.
- The continued progress towards the closure of the NHS campus accommodation in the area will improve the lives of people with high support requirements.
- The opportunity to engage fully and support the Joseph Rowntree accommodation project will offer more fit for purpose housing options for people with a learning disability in the city.

Budget

The main variations between the approved budget and the draft revenue outturn are as follows

LEARNING DISABILITIES SERVICES	Budget £'000	Variation £'000	Variation %
Community Support Budget - £389k overspend on expenditure partially set off by over achievement of customer and PCT income (£77k). Overspend is continuation of previous year's position and will continue into next year – this service was outside the scope of the Home Care Service restructure	535	+312	+58.3
Residential and Nursing Care –increase in expenditure due to number of customers but offset by recovery of additional income	3,948	-15	-0.4
Direct Payments – take up above budgeted level but offset by Continuing Care income	177	-6	-3.4
Cost of Transporting Clients – continuation of previous year's pressures	118	+114	+96.6
Head of Service – expenditure deferred to offset budget pressures across the service	16	-15	-93.8
Pay – Under spent across the service with main variances in Independent Day Services (£20k), Pine Trees (£16k) and Park View (£16k)	2,099	-78	-3.72
Other minor variations	1,445	-82	-5.7
TOTAL LEARNING DISABILITIES	8,338	+230	+2.8

Balanced Score Card Learning Disabilities 2006/7 final monitor

Measure	Outturn 06/07	2006/07 Target	2007/08 Target	2008/09 Target
C30 - Adults with learning disabilities helped to live at home	2.23%	2.0%	2.5%	
BV 201, D56 (PAF) number of people receiving direct payments - change of definition in 2005/	14 for LD	15	15	15
%age of adult users assessed in the year that had ethnic origin missing or not stated	8%	Less than 10%	Less than 10%	Less than 10%
Measure	Outturn 06/07	2006/07 Target	2007/08 Target	2008/09 Target
BV58 (PAF D39) %age of people receiving a statement of their need and how they will be met	94.97%	94%	95%	95%
D40 (PAF) %age of people aged 18 - 64 receiving an annual review or re-assessment	69.26%	80%	80%	80%
Measure	Outturn 06/07	2006/07 Target	2007/08 Target	2008/09 Target
B14 Unit cost of residential and nursing care for adults with LD.	£819	2004/5 + inflation		
F3 Gross expenditure on day care as a % of expenditure on all non-residential care. (DIS)	47%	Not yet set	Not applicable	Not applicable
F4 Proportion of expenditure on day and domiciliary services for adults with LD to expenditure on residential provision (DIS)	55%	50%	Not applicable	Not applicable
F5 Total amount spent on advocacy services for learning disabled people (DIS)	£52k	£52k	£52k	£52k
Measure	Q4 06/07	2006/07 Target	2007/08 Target	2008/09 Target
CP 14 - percentage of staff appraisals completed	90%	50%	90%	90%
BV 12 - days lost per year per FTE due to sickness absence	End of Year Figure	6.5	6.5	6.5
Percentage of staff registered social work staff receiving on average 30 hours post qualification professional development each year (90 hours over 3 years)	End of Year Figure	100%	100%	100%
BV 16a - percentage of staff with a disability (Community Services as a whole)	End of Year Figure	5%	5.5%	5.5%
BV 17a - percentage of staff from and ethnic minority	End of Year	1.6%		

	Figure			
Local CP58 - percentage of voluntary turnover of staff	End of Year Figure	2.7%	2.7%	2.7%
Numbers of new staff undergoing Induction training for newly employed staff within the first 6 months of employment	100%	100%	100%	100%
Percentage of staff working in learning disability services achieving at least NVQ Level 2	60%	35%	60%	60%

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HASS21

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

4 June 2007

Report of the Director of Housing and Adult Social Services

**Social Care Complaints Report April 05 – March 06 and March 06 –
April 07****Summary**

1. This report includes the number of complaints made about social care services between April 05 – March 06 and April 06 – March 07. This is because the legislation governing the management of social care complaints changed on the 1st September 2006 and the previous year's report was delayed to enable the provision of information on this new legislation. Further information is available in annex A.

Background

2. Prior to the 1st September 2006 the legislation governing the management of social care complaints was the NHS and Community Care Act 1990 and the Children's Act 1989. This required local authorities which provided social care services, to have a procedure to ensure the effective review and investigation of complaints. These procedures for the City of York Council had been in place since 1998 and consisted of 2 separate procedures. A) adult social care complaints. B) children and young people's social care complaints. Reports have been supplied to members on an annual basis since 1998. See annex B for additional information about the changes to the legislation.

Social Care Complaints Procedure

3. There are three different stages of the social care complaints procedure.
4. Stage one, allows the complaint to be remedied as close as possible to the point of service delivery.
5. Stage two, the adjudicating officer (head of service or group manager) appoints a senior manager within their directorate to undertake a full investigation. The investigating officer (IO) will have had no prior involvement in the complaint nor have responsibility for the service under investigation. Where an appropriate person is not available, or the complaint is serious or complex, an independent investigator may be commissioned. On receipt of

the IO's report, the adjudicating officer will respond in writing. They may also offer to meet with complainant either before or after completing their final response.

6. If the complaint relates to children's services or a complaint about adult services is complex or the complainant is vulnerable then an independent person (IP) is also appointed to provide the statutory independent element to the investigation.
7. The complainant will also be offered support to assist them in making their complaint, this may be through the use of an advocate, translation or other support as appropriate.
8. If the complainant is dissatisfied with the stage two outcome, they can request their complaint is heard at a complaint review panel. The review panel consists of an independent chair (not employed by CYC), another IP and either a councillor or third IP. The panel will judge whether the complaint has been properly investigated and make recommendations to the Director. They are not empowered to overturn the professional decisions of officers.
9. If the complainant remains dissatisfied, then the matter can be referred to the Local Government Ombudsman. The Ombudsman may decide to investigate the complaint and the council will abide by their direction as appropriate.
10. The time scale for the completion of each stage of the procedure is:
 - Stage one 10 working days.
 20 working days in exceptional circumstances with the complainants agreement.
 - Stage two 25 working days, can be extended to 65 working days.
 - Stage three 30 working days to hold the panel
 5 working days for the panel to send the report to the complainant and Director
 15 working days for the Director to send their final response.
11. The complaints team writes to complainants at the conclusion of every stage to ensure that they are satisfied and aware of their rights to pursue their complaint and to request feedback on the complaints service.
12. After every stage the manager who had responsibility for providing the response completes an action plan for service improvements to ensure that lessons are learnt and acted on effectively.

Consultation

13. Not applicable.

Options

14. This report is for information only.

Analysis

Total Number of Complaints

15. In 2005 – 06 the total number of complaints received for adult services included learning disability services. Due to a re-structure of departments this is recorded separately in 2006 – 07.

Stage One

	Children 05/06	Adult 05/06	Children 06/07	Adult 06/07	L.Dis. 06/07
Total received	19	55	16	72	6
Total pursued	12	47	10	63	6
Total in target	7	41	8	53	5
Total resolved did not progress	18	49	16	66	6

Stage Two

	Children 05/06	Adult 05/06	Children 06/07	Adult 06/07	L.Dis. 06/07
Total received	1	11	0	15	0
Total pursued	1	10	-	15	-
Total in target	0	5	-	4	-
Total resolved did not progress	0	0	-	13	-

Stage Three

16. The complaint heard for adult services at this stage in 05/06 was heard at stage two in 04/05. 2 stage three complaints for children's services were held in 05/06. 1 was requested in the previous year.

	Children 05/06	Adult 05/06	Children 06/07	Adult 06/07	L.Dis. 06/07
Total received	2	1	0	2	0
Total pursued	2	1	-	2	-
Total in target	0	0	-	1	-
Total resolved did not progress	1	0	-	Not known	-

LGO Enquiries

	Children 05/06	Adult 05/06	Children 06/07	Adult 06/07	L.Dis. 06/07
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Total received	1	1	0	2	0
Total in target	0	0	-	2	-

MP Enquiries

	Children 05/06	Adult 05/06	Children 06/07	Adult 06/07	L.Dis. 06/07
Total received	4	26	0	28	2
Total in target	4	22	0	20	2

Councillor Enquiries

	Children 05/06	Adult 05/06	Children 06/07	Adult 06/07	L.Dis. 06/07
Total received	2	14	0	34	1
Total in target	2	13	0	28	1

Compliments

17. It is accepted that many more thank you letters are received by staff and the complaints team are working to raise awareness of the importance of having these recorded and reported upon, to enable a more accurate picture of the quality of services provided.

	Children 05/06	Adult 05/06	Children 06/07	Adult 06/07	L.Dis. 06/07
Total received	1	5	4	12	1

Corporate Priorities

18. The production and acceptance of this report complies with the council's responsibilities to provide a publicly available report on complaints relating to its social care services.

Implications

- **Financial**

The new legislation introduced in September 2006 has increased the need for the use of independent people. This will result in an increased cost to the department of approximately £7K per annum. This small increase in costs will be managed within the overall departmental budget.

- **Human Resources**

There are no implications

- **Equalities**

There are no implications

- **Legal**
There are no implications
- **Crime and Disorder**
There are no implications
- **Information Technology**
There are no implications
- **Property**
There are no implications
- **Other**
There are no implications

Risk Management

19. There are no specific risks associated with this report.

Recommendations

20. That members note the information in this report and the annual social care complaints and representations report 2006/07.

Reason: To inform the Executive Member.

Contact Details

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Complaints Manager
HASS
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Chief Officer Responsible for the report:
Graham Terry
Head of Corporate Services

Report Approved **Date** 11 May 2007

Specialist Implications Officer(s) N/A

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

All N/A

For further information please contact the author of the report

Background Papers: Not applicable

Annexes

Annex A – Table of legislation timescales

Annex B – Annual Social Care Complaints and Representations Report 2006 – 2007

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Annex A – Table of legislation timescales

Legislation prior to 1 September 2006

Stage	Action	Timescale
One	Problem Solving Stage- Attempt to resolve the complaint without a formal investigation. (In children's services the complainant can elect to move immediately to a stage two investigation.)	Initial contact within 10 working days. Full response within 28 days.
Two	Formal Investigation Stage- Where the customer is not happy with the initial response to a complaint, they can request that a formal investigation is conducted which will be responded to by the head of service. Appointment of an independent person must be made for complaints about children's services.	Initial contact within 10 working days. Full response within 28 days. Within 48 hrs.
Three	If the customer is dissatisfied with the outcome of a stage two investigation, a request can be made within 28 days that the complaint be considered by a complaints review panel.	Panel to be convened within 28 days of the customer's request. The panel to record a decision within 24 hours of the end of the hearing. Director writes to the customer within 28 days of the panel's recommendation.
	The customer can also contact the Local Government Ombudsman (LGO) after the council's procedure has been exhausted.	

Legislation implemented on 1 September 2006

Stage	Action	Timescale
One	Problem Solving - attempt by the first line manager to resolve the complaint without a formal investigation.	Full response within 10 working days. Can be extended to 20 working days in exceptional circumstances with the customers agreement
Two	Formal Investigation - if the customer is not happy with the response at stage one, or the response was not in time, they can request a formal investigation. This will be investigated by a senior manager who has no management responsibility for the service being complained about, or a person independent of the council. Where the complaint is about children's services or in adult services is complex, or the complainant is vulnerable, an independent person must oversee the investigation. The head of service will then send the complainant their written response.	Full response within 25 working Days. Can be extended to 65 working days in exceptional circumstances.
Three	If the customer is dissatisfied with the outcome of a stage two investigation, a request can be made within 20 days for the complaint to be considered by a complaints review panel.	Panel to be held within 30 days of the customer's request. The panel will send a copy of their report to the director and complainant within 5 working days of the panel meeting. The director will then write to the customer within 15 working days of receiving the panel's report.
	The customer can contact the LGO after the council's procedure has been exhausted.	

Annual Social Care Complaints and Representations Report for Period 2006 - 07**1. Context**

This report provides information about complaints made during the twelve months between 1 April 2006 and 31 March 2007 under the complaints and representations procedures established through the Local Authority Social Services Complaints (England) Regulations, 2006, the Representations Procedure (Children) Regulations, 2006.

This legislation was introduced part way through the reporting period on the 1st September 2006 and this changed the timescales for stage one, two and three of the procedure. Response times have therefore been given under the timescales relevant prior to September 2006 where complaints were received before this date and under the new timescales where the complaint was received after this date.

All timescales contained within this report are in working days except for those relating to the period prior to September 2006.

In addition to the information given in this report about the number of complaints received there were:

1 commendation received in this period within children's services.
thank you letters recorded were:

- | | |
|--------------------------------|----|
| • adult services | 12 |
| • learning disability services | 1 |
| • children's services | 3 |

The team is also aware that many more letters of thanks are received and is actively working to encourage staff to forward these to ensure they are recorded so that a true picture can be gained regarding our customers experience of the services they are receiving.

The new legislation makes it clear that people should be able to provide feedback and have this responded to without this being seen as a complaint therefore comments and requests are now also being logged and a request may for example be from a customer who is not happy with the service provided and requests a meeting or reassessment, but does not want to make a complaint in the first instance.

The number of requests and comments received in this period were:

- | | |
|--------------------------------|----|
| • adult services | 16 |
| • learning disability services | 5 |
| • children's services | 4 |

1.1 What is a Complaint?

A complaint is an expression of dissatisfaction or disquiet about the actions, decisions, or apparent failings of a local authority's social services provision which requires a response.

If it is possible to resolve the complaint immediately this does not need to be logged through the complaints procedure.

Representations may be a positive remark, idea or request about the availability, delivery or nature of a service which requires a response.

Where the representation is not resolved to the persons satisfaction they will be entitled to make a complaint at stage 1 of the procedure about the failure to resolve things.

1.2 Who can make a Complaint?

Adult Services

Someone who:

- The local authority has a power or duty to provide or secure the provision of a social service for him/her and
- His/her need for such a service has (by whatever means) come to the attention of the Authority.

This definition also applies to a person acting on behalf of someone who meets the above requirements.

A complaint can be made by a representative where the complaints manager receives permission from the eligible person, usually in writing, giving their permission for the representative to make the complaint on their behalf. A representative will also be able to make a complaint where the eligible person is not capable of making the complaint themselves, this includes where they have died.

The complaints manager will decide if a person is suitable to act as a representative, if it is decided they are not acting in the eligible person's best interests the complaints manager will inform them in writing of the reasons for this.

If a customer is not eligible under the terms of the Act, they will always be able to have their complaint looked at under the council's corporate complaints procedure.

Children's Services

- Any child or young person (or a parent, or someone who has parental responsibility) who is being looked after by the local authority or is not looked after by them, but is in need.
- Any local authority foster carer (including those caring for children placed through independent fostering agencies).
- Children leaving care
- Special Guardians
- A child or young person (or parent) to whom a Special Guardian order is in place.
- Any person who has applied for an assessment under section 14F(3) or (4).
- Any child or young person who may be adopted, their parents and guardians.
- Persons wishing to adopt a child.
- Any other person whom arrangements for the provision of adoption services extend.
- Adopted persons, their parents natural parents and former guardians and such other person as the local authority consider has sufficient interest in the child or young person's welfare to warrant their representations being considered by them.

Where a complaint is received from a representative on behalf of a child or young person, the local authority will, where possible, confirm that the child or young person is happy for this to happen and that the complaint received reflects their views.

The complaints manager in consultation with relevant operational managers will decide whether the person is suitable to act in this capacity and has sufficient interest in the child's welfare. If it is decided that a person is not suitable to act as a representative for a child, they will be informed of the decision in writing by the complaints manager and that no further action will be taken.

Complaints may also be made by adults relating to a child or young person, but are not being made on their behalf. The complaints manager in consultation with operational managers will decide whether the person has sufficient interest in the child's welfare for the complaint to be considered. The child may also be consulted as part of the decision making process.

2. Stages of the Complaints Procedure and statistics

The complaints procedure has 3 stages.

Stage One. This is the most important stage of the complaints procedure. The department's teams and external contractors providing services on our behalf are expected to resolve as many complaints as possible at this initial point.

The council's complaints procedure requires complaints at stage one to be responded to within 10 working days (this can be extended for a further 10 working days in some circumstances where further time is needed to arrange an advocate, or where staff may be away from work. This can only be extended with the agreement of the complainant).

Stage Two. This stage is usually implemented where the complainant is dissatisfied with the findings of stage one. Stage two is an investigation conducted by either an internal manager or an external investigating officer. The head of service adjudicates on the findings, although on occasions this can be delegated to a group manager.

The council must appoint an independent person to oversee the investigation process for all stage two complaints in children's services and in adult services where the complaint is considered to be serious or the customer considered to be vulnerable.

Stage two complaints falling within the social services statutory complaints procedures should be dealt with in 25 days, although in certain cases this can be extended to 65 days.

Stage Three. The third stage of the complaints process is the review panel.

Where complainants wish to proceed with complaints about statutory social service functions, the council is required to establish a complaints review panel. The panel makes recommendations to the director who then makes a decision on the complaint and any action to be taken. Complaints review panels are made up of 3 independent panellists for children's services, in adult services the panel will have a maximum of one elected councillor and must have an independent chair and at least one independent panellist, with the third person either being an elected councillor or another independent person. There are various timescales relating to stage three complaints. These include:

- setting up the panel within 30 days;
- producing the panel's report within a further 5 days; and
- producing the local authority's response within 15 days.

A further option for complainants is the Local Government Ombudsman (LGO) who is empowered to investigate where it appears that a council's own investigations have not resolved the complaint. Complainants can refer their complaint to the LGO at any time, although the ombudsman normally refers the complaint back to the council if it has not been considered under our procedure first.

3. Activity

The complaints service recorded 111 complaints during the year, compared with 89 last year. This figure is the total number of complaints that the complaints services handled for social care services. Some of these complaints are still live (having entered our monitoring system before 31 March and are not yet concluded).

Total complaints made:

Between 1 April 2006 and 31 March 2007, we received 111 complaints and closed 107. At stage two 4 complaints are ongoing.

Of the 94 complaints at stage one, 6 progressed to stage two, however 1 was heard at stage one in the previous year and the rest of the complaints moved directly to a stage two either because of their complexity, or because managers who would have responded at stage one had already been involved in attempting to resolve the issues concerned with the complaint.

Of the 15 complaints heard at stage two, 2 proceeded to stage three.

There was also 1 LGO enquiry received and closed although this was heard at stage three in a previous reporting period.

3.1 Comparison with the preceding year

This indicates a 20% increase in complaints from last year within the department.

The reasons for an increase include greater promotion of the right to complain, budget reductions that affect all services and a significant change in the way home care services are delivered as well as the introduction of a waiting list for people who require new or additional home care services.

3.2 Outcomes of complaints:

2005 – 2006		2006 - 2007	
Upheld	18	Upheld	25
Partly Upheld	26	Partly Upheld	33
Not Upheld	20	Not Upheld	31
Withdrawn	18	Withdrawn	16
No response	7	No response	2
Ongoing	0	Ongoing	4
Total	89	Total	111

A key requirement of the reform of our complaints procedures has been the importance of informing our service users of the outcome of their complaints.

3.3 Response Times

It is essential that all teams delivering services (including the department's contractors) formally capture and record complaints. It is only by doing so that complaints can be tracked and where things have gone wrong managers can ensure that matters are put right. Senior managers and the complaints team therefore regularly encourage teams to recognise and record complaints and report these to the complaints service.

Stage One Complaints 2006 – 07

Social Care Service	Adults Purchasing	Adults Providers	Mental Health	Learning Disability	Children's Services 0-10	Children's Services 11+	Children's Services Health & Dis	Children's Services QA	Total	
Number of complaints	no 35	no 32	no 5	no 6	no 7	no 8	no 1	no 0	no 94	% 100

Stage One Response Times 2006 – 07

	Adults Purchasing	Adults Providers	Mental Health	Learning Disability	Children's Services 0-10	Children's Services 11+	Children's Services Health & Dis	Children's Services QA	Total	
	no	no	no	no	no	no	no	no	no	%
Within 28 days (prior to Sept 06)	10	3	0	N/A	1	1	1	0	16	17
Within 10 days	14	13	1	5	3	1	-	0	37	39
Within 20 days	3	8	1	0	-	1	-	0	13	14
Outside of timescale	2	7	1	1	1	1	0	0	13	14
Withdrawn	6	1	2	0	2	4	0	0	15	16

Stage One Outcomes 2006 - 07

	Adults Purchasing	Adults Providers	Mental Health	Learning Disability	Children's Services 0-10	Children's Services 11+	Children's Health & Dis	Children's QA	Total	
	no	no	no	no	no	no	no	no	no	%
Upheld	6	12	0	1	2	1	1	0	23	24
Partially Upheld	9	10	0	2	2	1	0	0	24	26
Not Upheld	14	7	3	3	1	2	0	0	30	32
Not Pursued	6	1	2	0	2	4	0	0	15	16
No response	0	2	0	0	0	0	0	0	2	2

Stage One Nature of complaint 2006 - 07

	Adults Purchasing	Adults Providers	Mental Health	Learning Disability	Children's Services 0-10	Children's Services 11+	Children's Health & Dis	Children's QA	Total	
	no	no	no	no	no	no	no	no	no	%
Attitude of staff	0	1	0	0	0	1	0	0	2	2
Disagree with Policy	4	7	3	4	0	3	0	0	21	22
Disagree with Assessment	6	2	1	0	1	0	0	0	10	11
Discrimination	0	0	0	0	0	0	0	0	0	-
Inappropriate Action	10	9	1	2	5	1	0	0	28	30
Lack of Action	2	1	0	0	1	1	1	0	6	6
Quality of Advice/Communication	3	1	0	0	0	2	0	0	6	6
Home care change	10	11	0	0	0	0	0	0	21	22

Complaint made by:

Following the guidance produced by the Department of Health and the Department for Education and Skills, we are identifying who is making the complaint to get a greater understanding of our complainants. However as the team only began looking into this in more detail after the new legislation had been implemented, further information including ethnic origin is not available for this report, but will be included in future.

4.2 Equalities Information – Service Users

Gender of Service User at Stage One

	Adults Purchasing		Adults Providers		Mental Health		Learning Disability		Children's Services 0-10		Children's Services 11+		Children's Health & Dis		Children's QA		Total	
	no	%	no	%	no	%	no	%	no	%	no	%	no	%	no	%	no	%
Male	8	9	12	13	1	1	3	3	1	1	1	1	1	1	0	-	27	29
Female	27	29	20	21	4	4	3	3	6	6	7	7	0	-	0	-	67	71

4.3 Stage Two Complaints

There were 15 Stage two complaints during the year, compared to 12 last year.

10 stage two complaints required investigations undertaken by external independent investigating officers.

4 complaints are still ongoing. Reasons for delay include arranging advocates and difficulties arranging appointments with both staff and complainants.

Stage Two Complaints 2006 – 07

	Adults Purchasing	Adults Providers	Mental Health	Learning Disability	Children's Services 0-10	Children's Services 11+	Children's Health & Dis	Children's QA	Total	
	no	no	no	no	no	no	no	no	no	%
Number	7	8	0	0	0	0	0	0	15	100

Stage Two Response Times 2006 – 07

	Adults Purchasing	Adults Providers	Mental Health	Learning Disability	Children's Services 0-10	Children's Services 11+	Children's Health & Dis	Children's QA	Total	
	no	no	no	no	no	no	no	no	no	%
Within 28 days (prior to Sept 06)	0	2	0	0	0	0	0	0	2	13
Within 25 days	0	1	0	0	0	0	0	0	1	7
Within 65 days	0	2	0	0	0	0	0	0	2	13
Over timescale	4	1	0	0	0	0	0	0	5	33
Withdrawn	1	0	0	0	0	0	0	0	1	7
ongoing	2	2	0	0	0	0	0	0	4	27

Stage Two Outcomes 2006 – 07

	Adults Purchasing	Adults Providers	Mental Health	Learning Disability	Children's Services 0-10	Children's Services 11+	Children's Health & Dis	Children's QA	Total	
	no	no	no	no	no	no	no	no	no	%
Upheld	0	2	0	0	0	0	0	0	2	13
Partially Upheld	3	4	0	0	0	0	0	0	7	47
Not Upheld	1	0	0	0	0	0	0	0	1	7
Not Pursued	1	0	0	0	0	0	0	0	1	7
No response	0	0	0	0	0	0	0	0	0	-
ongoing	2	2	0	0	0	0	0	0	4	27

Stage Two Nature of Complaint 2006 – 07

	Adults Purchasing	Adults Providers	Mental Health	Learning Disability	Children's Services 0-10	Children's Services 11+	Children's Health & Dis	Children's QA	Total	
	no	no	no	no	no	no	no	no	no	%
Attitude of staff	0	1	0	0	0	0	0	0	1	7
Disagree with Policy	0	1	0	0	0	0	0	0	1	7
Disagree with Assessment	4	1	0	0	0	0	0	0	5	33
Discrimination	0	0	0	0	0	0	0	0	0	-
Inappropriate Action	2	2	0	0	0	0	0	0	4	27
Lack of Action	0	0	0	0	0	0	0	0	0	-
Quality of Advice/Communication	0	1	0	0	0	0	0	0	1	7
Home care change	1	2	0	0	0	0	0	0	3	20

A number of complaints were generated as a result of a significant change in the way home care services are delivered as well as the introduction of a waiting list for people who require new or additional home care services. The level and quality of service was effected for a number of customers during and after the changes took place, partly due to unavoidable staff shortages when one agency was unable to provide the services previously agreed. However it is also considered that there were some areas where the organisation of these changes could be improved should this be necessary in future. Many of the complaints were about the disagreement with policy, or the outcome of an assessment where services may have been reduced. However it is considered that some of these complaints may have been avoided with improved communication, as many of these complaints were resolved at stage one with further explanation from a line manager therefore managers have reminded staff of the importance of good regular communication with customers.

5. Stage Three Complaints

There were 2 Stage Three complaints this year. This compares with 3 complaints at this stage last year. Timescales relating to statutory social services Stage three complaints include:

Prior to 1 September 2006

- A panel to be held within 28 days.
- The council's response and panel's recommendations to be sent to the complainant within 28 days of the panel meeting.

After 1 September 2006

- A panel should be held within 30 working days.
- The panel is required to produce a report within 5 working days of the panel meeting detailing its recommendations.
- The local authority should send a response within 15 days of the panel's report.

5.1 Stage Three complaints by Service Area, Timescales and Outcome.

	Number received	Setting up Panel (28 day timescale)	Setting up Panel (30 day timescale)	response & panel report (28 day timescale)	Panel report produced (5 day timescale)	Council Response (15 day timescale)	Outcome
Adult Purchasing	1	1	0	1	-	-	Partly Upheld
Adult Providers	1	1	-	1	1	1	Partly Upheld
Mental Health	0	0	-	-	-	-	-
Learning Disability	0	0	-	-	-	-	-
Children Services	0	-	-	-	-	-	-

The panel meeting which was not held within the timescale, was delayed partly as a result of accommodating the complainants needs.

6. Ombudsman complaints and enquiries.

During the year, 2 complaint was considered by the LGO. The conclusions reached by the Ombudsman are detailed below.

Service Area	Total	Outcome of Ombudsman Consideration	
		Ombudsman Discretion – no or insufficient injustice	Premature Complaint
Adults Purchasing	2	No evidence of maladministration.	-

7. Percentage escalation (last year's figures are in brackets)

The following table indicates how many complaints have escalated from stage one to stage two and how many have progressed from stage two to stage three. By measuring these figures as a percentage we are to gauge customer satisfaction with our responses to their complaints.

Stage 1 to Stage 2	6 (6%)
Stage 2 to Stage 3	2 (100%)

8 Expenditure

There are ongoing costs attached to delivering an effective complaints service for the department. These costs should be seen against the inherent costs of not providing this service. These may include customers dissatisfaction escalating and compensation awards being recommended by the LGO, increased judicial reviews and non compliance with legislation.

8.1 Cost of delivering the complaints procedure:

	£
Investigating Officers	7003.46
Independent Persons	740.64
Review Panel	906.49
Training	305.00
IP contract	4776.40
Children's free phone & team mobile	222.23
Freepost & recorded post	293.18
Leaflets & posters	2427.00
Transport for home visits	74.00
Compensation (service budget)	£1000
Service Budget	£1000
Total	£16748.40

8.2 Compensation Payments

The council provides a compensation and if, after a complaint has been investigated or as part of an LGO's investigation, it is concluded that:

- the LGO would find that there has been maladministration by the council causing injustice to the complainant; and
- he would recommend that compensation should therefore be paid to the complainant.

During the year no compensation was paid following consideration of complaints, at Stage 1, 2, 3 or following an LGO enquiry.

9 Alternative Dispute Resolution

The council is always happy to consider appropriate ways of resolving a customer's complaint. Some of the types of action the council has undertaken to resolve complaints have been: issuing apologies, meeting with customers to hear their concerns and suggestions for improvements and putting these improvements into place. This has been particularly relevant in the case of communicating effectively with customers and putting strategies into place to ensure that people are kept up to date. The council also offers a re-assessment of needs where possible, to ensure that nothing has been missed or that circumstances have not changed. In addition to this Direct Payments have been offered as a means of enabling a customer to have more flexibility around how their needs are provided for.

10 Complaints dealt with by the local authority and NHS Bodies

The complaints team works with contracted agencies and statutory agencies to identify the main themes concerned in a complaint. Informal agreements are in place to provide the customer with a co-ordinated response with the agency responsible for the provision of the main areas of complaint taking the lead with co-operation from the other agencies as required.

11 Learning Lessons/Practice Improvements

Complaints provide senior managers with useful information in respect of the way that services are delivered. The consideration of complaints has resulted in agreement to undertake the following actions:

- Review practice around the care planning process to ensure that carers have the opportunity to be fully briefed and prepared before and during planning and decision making meetings and processes.
- Review the policy about the approach to disability related expenditure. Recommending to Councillors the need to be clear on the position of this authority in respect to items referred to as discretionary and those that are mandatory and consider whether we have right balance between the automatic disregard at a higher level and ability to take into account individual circumstances within the current policy.

- Consider how we can make public information about the Fairer Charging Policy more clear and have greater transparency on financial assessments.
- For staff to ascertain preferred contact methods from service users and their representatives.
- Have clear and written procedural guidance on the timely provision of information about care homes and homes lists should form a part of this.
- Have guidance and remind staff of the need to explain third party top up arrangements.
- Risk factors be made explicit in assessment documentation.
- When significant changes are made to the outcomes of assessments, such assessments should be reconsidered and documented.
- Have written to Care Managers to reinforce the requirement for care plans to be agreed and signed by customers and carers and for these to be received by care homes prior to a person's admission. In addition to this have asked the Quality and Performance Officer to review the systems in place for checking that these standards are being adhered to.
- Have written to all staff to reinforce customer files be kept up to date and recorded clearly and systematically. In addition managers have been asked to identify where staff may benefit from additional training in this area and make the referrals for this and have also asked the Quality and Performance Officer to review the systems in place for monitoring standards.
- To review the terminology used in the list of accredited homes to ensure that it accurately represents the registration of homes.
- To review how we can provide more useful information to customers about the services and standards of care within individual homes, without bias or prejudice and ensure that work to review these issues takes place in partnership with our key providers of care.
- Design a letter with a section for customers to complete and return indicating whether they agree with the outcome of their assessment and care plan, or whether they would like a meeting to be able to ask questions and discuss concerns and for this to be sent to customers with the copy of the assessment and care plan.
- Check how people want to be contacted as next of kin if an emergency occurs during the night
- Ensure that people can access emergency call systems in care homes.
- Send written confirmation to private agency when services to individual customers are discontinued.
- have written to Service Managers asking them to ensure that when they become aware that someone with specialist needs is about to have an assessment, then someone who has experience of that specialism is identified to carry out the assessment, or if that is not possible then the person who completes the assessment should seek guidance from a person with the relevant specialism.
- Design a leaflet for customers to explain the eligibility criteria and assessment process.
- Review the procedure for allocating properties with warden call.
- Review the way information is recorded by home carers about times and length of visits.
- Ensure that staff are reminded of the importance of good communication and keeping customers updated and implement a system to ensure this happens when the provision of care is delayed.

Cath Murray
Complaints Manager

Date:27 April 2007

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HASS30

Meeting of Executive Members for Housing and Adult Social Services and Advisory PanelJune 4th 2007

Report of the Director of Housing and Adult Social Services

Petition relating to the closure of Yearsley Bridge Day Centre**Summary**

1. This report advises Members of the petition received relating to the Yearsley Bridge Day Centre closure, and an update of the progress of the closure plan.

Background

2. A petition was received on 12th April 07 handed into Councillors at the Council meeting. It is just short of 2000 signatures and relates to opposition against the closure of Yearsley Bridge Centre. Yearsley Bridge is a large day centre in the Huntington area of York. It supports 73 different people with learning disabilities on Monday – Friday. Its closure is part of an on-going programme of modernisation and re-provision to more flexible and individualised support in line with up to date Governmental thinking. This re-provision programme obtained Council support in 2002, and began with the closure and replacement of Hebden Rise Centre in 2005, followed by the programme for Yearsley Bridge. The closure of Yearsley Bridge is due to be completed in 2008. Details of the dates of committees and discussions relating to the day service modernisation programme can be found at Annex 1.
 - 2.1 The plans for the reconfiguration and modernisation of day services in York came initially as a response to the Government paper “Valuing People” published in 2001. This paper and subsequent guidance and support from the National Valuing People Support team (the Government Learning Disability advisory team), supported the Day Services Modernisation plan that York submitted for vetting. The programme of changes also received support from inspectors from the Commission for Social Care Inspection where they commented “in modernising the day services, the Council was offering more appropriate alternative options to the majority of people who had been using larger day centre services.”

Consultation

3. Consultation is focussing on the options for new services to replace Yearsley Bridge Centre. This is being done through meetings for all users and families as well as a programme of individual consultation with each services user

and their family/friends. There has been extensive information and opportunities for people to influence the outcomes for individuals who use the centre, in planning the future supports for customers that need ongoing support. Details of information sent can be seen in Annex 2.

- 3.1 Notably, meetings began in December 2006, with three sessions where all families and carers were invited to hear about the plans for Yearsley Bridge customers. The notes of these meetings were sent to every family and carer. Each family member was invited to advise the Council on the way in which they wanted to be kept informed of developments or how they wanted to be contacted i.e. newsletter/ meetings etc.
- 3.2 This information includes letters to people using the centre, family members and others that support them. This information has been sent directly to families and to the homes where people live and are supported (as over 50% live outside of the family home). In addition, each person has already undertaken (or dates are planned) for their 'person centred' review. This is the mechanism by which individual's views, aspirations and needs are captured to form the commissioning of alternative supports for their future day provision. The outcomes from these will be known in totality by September or October 07 and at that stage we can advise people of possible options for their future supports.
- 3.3 This opportunity to influence outcomes continues to be the case because the process of re-provision is on-going and these opportunities will continue until the Autumn of this year, when the commissioning plan will commence.
- 3.4 There is a full time project manager dedicated to supporting the re-provision of Yearsley Bridge, and part of his role is to continue to try and engage families in the positive outcomes that we expect for customers. It is entirely understandable that families have anxieties about a re-provision programme, as this signals a large change in the traditional way supports have been delivered previously. Some of the concerns expressed have been relating to the re-provision of generic services that have been provided previously from the Yearsley centre, and work is being done on establishment of alternative provisions that we already know will be required (e.g. non specific for one individual) such as Hydrotherapy supports/ light room/changing spaces etc.
- 3.5 The officers of the Council will continue to offer support and opportunities for engagement with the family group, as well as sending out information, as and when it is available, relating to the progress of the re-provision.

Options

4. The petition is presented for Members comments and consideration only.

Analysis

5. The move away from large day centres and replacing them with smaller, more individualised support services in the community is well established as national

good practice. Remaining at Yearsley Bridge would run counter to this and leave the council with a building that is not fit for purpose.

Corporate Priorities

6. 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 healthy are the poorest.”

Implications

7. There are no Financial, HR, Equalities, Legal, IT, Crime and Disorder, Property or Other implications arising from this report.

Risk Management

8. Sadly, Yearsley Bridge Centre is often attacked by vandals overnight as it is in a relatively isolated and vulnerable situation. The building is also not designed to meet modern standards of care and some of the facilities there (e.g. the hydrotherapy pool which is over 20 years old) are in need of replacement. If the services remain at Yearsley:
 - There will be significant financial implications in order to bring facilities there up to standard and to protect the building
 - There may be an impact on the performance rating of the council’s learning disability services as we will not be following best practice.

Recommendations

9. That Members note the information in this report and consider the petition.

Reason: To inform the Executive Member

Contact Details

Author:
Anne Bygrave
Head of Learning Disabilities
554045

Chief Officer Responsible for the report:
Bill Hodson
Director of Housing and Adult Social Services

Report Approved **Date** 11th May 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

Annex 1 - Dates for Committee meetings and information relating to Day Service modernisation programme

Annex 2 – Information sent to families etc

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Annex 1

Dates for Committee meetings and information relating to Day Service modernisation programme

March 2001 – “Valuing People” paper published by Government. One of key objectives in the paper was the modernisation of day supports for people with a learning disability and the move away from large institutionalised settings

On 23rd December 2002, the Executive Member endorsed the vision for the future of Day Services, following Government guidance in the Valuing People White Paper, local consultation, and the support of the Valuing People Partnership Board.

Jan 06 report to Executive Member re outcomes of Hebden and plans for future modernisation. One of the recommendations was to “Receive further reports detailing progress toward other elements of the agreed local work plan for the modernisation of day services”

Yearsley Re-provision

Initial report referenced above in 1 related to all day service modernisation

Reports to Learning Disability Partnership Board dated September 05 relating to day services modernisation and again in March 2006 where Yearsley reprovision explicitly mentioned in both

22nd Nov 05 report to Executive relating to admin accommodation project (Hungate) identified Yearsley Bridge as a possible site for sale. Paper agreed at Exec.

CSCI report published citing positive outcomes for the modernisation of Hebden Rise and for future plans for modernisation. Presented to meeting of Council in Summer 06

Briefing report to members October 2006 relating to next phase of day services modernisation.

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Annex 2

Information sent to families etc

1. Initial consultation with a section of customers/ families took place in late 2002 (as referred to in point 1 Section 1 above)
2. Letters to families from Head of Service: 9th November 05, 22nd December 05 and 14th February 06 relating to Yearsley Bridge modernisation.
3. Nov 06 - letters sent to families, carers and staff inviting them to meetings to go through the details of the process of re-provision (meetings in Dec 06).
4. December 06 3 x “public” meetings undertaken with customers /families and staff reps regarding re-provision plans. Families advised of timescales and processes. This included timescales and processes for individualised person centred reviews and commissioning timescales. This included asking families etc if they would like the opportunity to meet regularly with officers relating to the re-provision.
5. Update briefing to families/customers etc – March 07

Further Consultation:

6. Consultation about individual supports required is done through each individual review- this is ongoing
7. Consultation about detail in relation to hydrotherapy options and light rooms etc will be done with a representative group of users/ interested parties as we firm up plans for these generic facilities
8. As part of the commissioning process, consultation about individual proposed supports will be undertaken.

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