



Llywodraeth Cymru
Welsh Government

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Supporting People Programme Grant (SPPG)

Guidance – Wales



June 2013

Supporting People Programme Grant Guidance: Executive Summary

The Supporting People Programme began on 1 April 2003, bringing together seven housing-related funding streams from across central government. It provides housing-related support to help vulnerable people to live as independently as possible. This could be in people's own homes or in hostels, sheltered housing, or other specialist supported housing. It provides complementary support for people who may also need personal or medical care.

The Supporting People Programme is going through a fundamental process of change. In partnership with local government and the voluntary sector, we are currently implementing 25 recommendations made as a result of an Independent Review of the Supporting People Programme in Wales (The Aylward review) undertaken by Professor Sir Mansel Aylward in 2010.

This Guidance document has been produced by key partners in collaboration with Welsh Government and provides practical advice and guidance to practitioners in this area. It aims to support all those involved in the Programme to put the service user at the heart of the programme by ensuring quality services which are delivered as efficiently and effectively as possible.

This Guidance outlines a new delivery structure for the Supporting People Programme in Wales, which focuses on local, regional and national working to achieve:

- Improvement to services and outcomes to the end user.
- Probity, accountability, transparency and scrutiny.
- Implementation based upon the principles of equality, collaboration and co-production.
- Provision of strategic oversight and direction in line with national, regional and local strategy and Supporting People Commissioning plans.
- A system underpinned by a robust and enforceable regime of governance.

There will be a new Supporting People National Advisory Board (SPNAB) chaired by the Minister to oversee the programme, and new Regional Collaborative Committees with inclusive membership, who will advise on the production of regional commissioning plans and the regional and local collaborative delivery of the Supporting People Programme. Regional Coordinating Officers appointed to work with local authorities and the Regional Collaborative Committees will assist with this.

We have sought to clarify service eligibility and the guidance seeks to find a way forward to address the Review's recommendation on the funding of services to older people.

Good quality commissioning and procurement are central to both meeting the needs of service users and providing the best value for public money. The guidance outlines the responsibilities of local government when procuring services and provides a high level perspective of the commissioning process.

Guidance is provided on the pricing of contracts. The Tariff system was an integral part of the Supporting People Revenue Grant. It ensured that all services were priced at a consistent basis. However, the system was deemed to be a barrier to outcomes-based commissioning. The review recommended that the tariff system should be discontinued.

There is no intention to replace this with an 'alternative' tariff, but rather to achieve a level playing field for all providers and ensure that the costs of services are fully considered when the award of a contract is subject to competition. This element of the guidance is intended to maintain quality in the sector and ensure value for money.

The program provides services to vulnerable people. We want to make sure that the organisations providing services are fit for purpose. We also want to make sure that there is enough information to enable us to evaluate service quality and reduce the current duplication in monitoring. We will use a combination of accreditation, self assessment, datasets and outcomes reporting. Local authority contact with stakeholders at each level will help us to assure quality.

Our aim is to maximise the resources spent on service delivery and make sure that we continually learn and improve from experience. We are expecting Local Authorities to collect outcomes data to enable them to do this. Local projects will be expected to keep project data and both sources will be used to inform longitudinal research. This research will be used to enable partners to improve services.

The old distribution of Supporting People funding across Wales was not based on need and was clearly inequitable. A range of options for a needs based formula has been considered and a new one agreed. It will need further refinement going forward. Moving from the old to the new could potentially destabilise services so the transition needs careful resourcing and management.

Guidance is provided on the financial arrangements that will be in place to support implementation of the new arrangements. It addresses the financial issues that relate to a local authority being the accounting body in receipt of grant, and those relating to other stakeholders in the discharge of their duties. Grant conditions are a key mechanism to achieve the tight financial control needed to maximise the resources for service delivery.

Purpose of the document and implementation of the Aylward review

The purpose of this document is to provide guidance to Local Authorities, Regional Collaborative Committees, Supporting People providers and Supporting People teams during the transition period and will be used at the launch of the new Supporting People Programme from August 2012.

The guidance is the product of the Supporting People implementation programme and seeks to support the Supporting People (SP) community in implementing the recommendations of the Aylward review.

It is expected that, as the SP programme is taken forward through the transition period, many lessons will be learnt and knowledge gained from practical experience with respect to best practice. Additionally, there were a number of issues raised during the consultation process that require further work to resolve. As a result, there are some areas of this guidance that are not fully developed and more detail will be included in later revisions of this document along with modifications driven by experience. This document will therefore continue to remain under review.

The launch of the unified grant and the publication of this guidance takes forward the recommendations but is not the end of the implementation project. The Steering Board will continue to meet and report to the Minister for Housing and Regeneration. The quality Services and Governance Workstream will also continue to meet, these groups will address detail from their work plans which have not been possible to resolve within the first 18 months of the project. Following 12 months of operation of the new Grant, the project will be reviewed in 2013/14 against the 25 recommendations made by Sir Mansel. The review will include an assessment of how the Programme is meeting the requirements of the Welsh Government Single Equality Scheme and action plan.

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Supporting People Programme Grant Guidance

Chapter 1: Introduction

- 1.1 The Supporting People (SP) programme was launched on 1 April 2003. The aim of the programme is to enable vulnerable people, at risk of homelessness, to live as independently as possible, by providing housing-related support services.
- 1.2 Housing-related support is a front line support service which provides essential help with life skills such as managing a tenancy, dealing with other agencies and/or budgeting which are an integral part of living independently. The programme provides £138 million of revenue funding for around 50,000 vulnerable people across Wales. SP is an 'invest to save' programme that often results in savings to other higher cost services including health, social care and criminal justice. For example, preventative services to vulnerable people reduce emergency hospital and residential care use and can also reduce the demand for costly long term adult social care services.
- 1.3 The programme contributes to meeting the aims of 'Improving Lives and Communities – Homes in Wales' the National Housing Strategy and the Ten Year Homelessness Plan, with a strong emphasis on the prevention of homelessness. Its importance is also recognised in the Housing White Paper issued for consultation in May 2012.
- 1.4 At a local level, the programme takes forward a number of strategic aims reflecting Community Safety and Health, Social Care and Wellbeing objectives. The programme aims to deliver high quality and strategically planned housing-related support services that are cost effective, complement existing services and provide service users with the best possible outcomes. Recent research undertaken for Carmarthenshire County Council found that, for every £1 spent on SP services, £2.30 is saved in other service areas.
- 1.5 Since 2003, the Welsh Government has held financial, administrative and commissioning responsibilities for the programme. In December 2009, the Deputy Minister for Housing, Jocelyn Davies AM, announced that a review of the programme would be undertaken to ensure that the programme was still meeting its original objectives.
- 1.6 The Aylward review team interviewed more than 250 people including service users, voluntary sector providers and representatives of local government and housing associations. The team examined a substantial body of evidence. It also considered the provision of housing-related support services across the UK, Europe and the United States.
- 1.7 The report concluded that the 'Supporting People Programme' in Wales was highly regarded throughout the United Kingdom and that there was compelling evidence that the programme in Wales provided

commendable and sorely needed assistance, support and relief for the most vulnerable and disadvantaged people in society. However, if it was to remain a sustainable and successful programme in the longer term, there needed to be some fundamental changes to the delivery of the programme.

- 1.8 The review report was published on 22 November 2010 and made a number of recommendations covering a wide range of issues.
- 1.9 The key recommendations included:
 - Introducing a single unified ring fenced Supporting People Programme Grant.
 - Distributing the ring fenced funding to local authorities, based upon needs which are more equitable at a local population level.
 - Establishing a multi sector committee to ensure a collaborative approach to the administration, commissioning, procurement, quality assurance, monitoring and evaluation of the services.
 - Establishing a Supporting People National Advisory Board chaired by the Deputy Minister providing independent advice.
 - Strengthening arrangements for commissioning and regulating services, including guidance on inspections and accreditation processes.
 - Improving understanding of the effectiveness and value of services to the public purse, including development of outcome measures.
 - Encouraging the development of further cross-boundary working across Wales.
- 1.10 Following the publication of the Aylward review, the Welsh Government accepted the report in full and concluded that the recommendations made should be implemented as quickly as possible.
- 1.11 This guidance is the result of the review and is one of the crucial next steps to implementing the fundamental restructure of the administration, governance and funding arrangements for the Supporting People Programme. It has been written in collaboration with over 40 key stakeholders from voluntary agencies, local government and other parts of the statutory sector in Wales.
- 1.12 The document sets out the guiding principles for the future of the Supporting People Programme and in some areas starts to give detailed guidance on the operational management for commissioning, governance and the provision of services.
- 1.13 It is our intention that the main changes to the programme will come into effect on 1 August 2012, this Guidance document replaces
 - The Supporting People Revenue Grant; Grant Conditions and Criteria (2010),

- The Supporting People Revenue Grant Monitoring and Evaluation Process.
- Guidance to local authorities on the arrangements for the implementation and administration of Supporting People in Wales (2003).

1.14 We acknowledge that elements of the guidance will need further work and clarification during the transition year.

1.15 Finally, the Welsh Government, and in particular the Minister for Housing and Regeneration, are very grateful to all those who have contributed to the development of the guidance. We look forward to continuing to working collaboratively in the future in order to deliver a sustainable programme that is able to secure the best possible outcomes for the most disadvantaged and vulnerable people in our communities.

Chapter 2: The New Delivery Structure

Introduction

- 2.1 The Supporting People Programme needs to be recognised as a major support area assisting some of the most vulnerable people in Wales. It has been recognised that, whilst the programme provides a significant service, a more robust monitoring and governance structure is required that engages all key players at the most appropriate levels. This is to ensure that we are providing the best quality services as efficiently as possible.
- 2.2 The new structures described in this guidance have been established to put co-production and collaboration at the centre of the development and delivery of services. The Welsh Government and its partners believe that higher quality, better targeted public services are delivered when all relevant parties work collaboratively together within a culture that recognises and promotes mutual respect.
- 2.3 The Supporting People Programme has been a unifying force within public services in Wales and has already broken down barriers between internal local authority departments, Health and the Voluntary Sector and Supporting People Providers. It is this sense of true partnership which the structure described in this chapter wishes to promote and improve and in some cases put on a more formal footing. The ethos and spirit of this guidance values the different expertise, intelligence and knowledge that all parties involved – commissioners, providers, partner sectors and crucially service users – bring to identifying what services are needed and how best they can be delivered. The Welsh Government expects all stakeholders involved in the programme to adhere to and promote this ethos and culture.

Governance and accountability

- 2.4 The Aylward independent review recognised that there needs to be appropriate governance at a national, regional and local level. In taking forward the recommendations, the new structure of governance for the SP programme starts with the overarching formally constituted Supporting People National Advisory Board (SPNAB); the role and function of which are detailed in this chapter.
- 2.5 The SPNAB is supported by appropriately constituted Regional Collaborative Committees. The RCCs are responsible for the production of the draft Regional Commissioning Plans, which take account of local priorities, and for advising local authorities and through the SPNAB, the Welsh Ministers on regional and local collaborative delivery of the Supporting People Programme to ensure the most efficient and effective services are delivered. The RCCs will submit their draft Regional Commissioning Plan to the Welsh Government for confirmation of Grant. Where any issues cannot be

resolved by collaboration between the local and regional levels, they will be escalated to the Minister for further examination.

- 2.6 The role of the local authority SP teams in managing the planning, commissioning and procurement of SP services locally is recognised as key to the success of the overall programme. The local authority is accountable for ensuring that the Supporting People Grant conditions are met and that they are collaboratively delivering services aligned to the Regional Commissioning Plan.
- 2.7 The work of RCCs will be supported and supplemented by local arrangements, i.e. Supporting People teams and their local planning groups, which build upon current arrangements and planning mechanisms. The arrangements for RCCs will also need to adhere to the principles of co-production and collaboration in relation to how RCCs operate and conduct their business.
- 2.8 The robust accreditation, inspection and review systems incorporated into other chapters in this guidance will provide further protection for the SP programme and the people whom it is intended to serve.
- 2.9 It is emphasised that it is the intention that management of the SP programme should occur at both regional and local levels. Welsh Government involvement in this interim phase will generally be limited to confirmation of yearly spend plans by officials, and significant change to those plans in year, with any other involvement being the exception. It is the intention that any issues should be resolved through robust collaboration at, and between, the local and regional structures. If, however, any issues cannot be resolved through these processes, they will be escalated to the Minister. Chapter Ten contains the SPPG finance management guide which provides more detail on the roles of the Supporting People teams, RCCs and Welsh Government in the administration of the grant.

High level principles and benefits of the new structure

- 2.10 A set of high level principles and benefits will underpin all activity undertaken by the SPNAB and the RCCs and under the local Supporting People planning/commissioning arrangements. These include:
- Improving services and outcomes to the end user.
 - Ensuring probity, accountability, transparency and scrutiny.
 - Operating on the basis of equality, collaboration and co-production.
 - Providing strategic oversight and direction in line with national, regional and local strategy and SP Commissioning plans.

- Being underpinned by and complying with robust and enforceable grant conditions.
- 2.11 Performance of the SPNAB, RCCs and local Supporting People administration will be assessed against these high level principles and benefits.
- 2.12 In order to progress the recommendations of the Aylward review, the transition period must be seen as an opportunity to build and nurture a collaborative working environment built on trust and respect.

Supporting People National Advisory Board

- 2.13 The aim and overall focus of the SPNAB will be to provide advice to the Minister for Housing and Regeneration, and to make sure that the Supporting People Programme is focused on meeting the housing-related needs of vulnerable people in Wales.

The Board's role

- 2.14 The Board's role, through continual consultation and collaboration with RCCs and other bodies, will be:
- to advise the Minister on Welsh Government policy, and to monitor the national priorities and outcomes, the results of which will be used to feed into future allocations.
 - to examine the performance of, and advise the Minister accordingly, on the performance of the RCCs.
 - to advise the Minister on the appropriate implementation of the new Supporting People Programme, including:
 - receiving annual/regular reports from the Housing, Supporting People governance officials (to be appointed) and RCCs and advising the Minister on progress
 - receiving annual/regular reports from Supporting People Service Users and advising the Minister
 - advising the Minister on the proposed new structures for the distribution of the Supporting People Programme Grant
 - considering whether the administration of the Supporting People Programme is consistent with the high level principles of the programme, including a clear understanding of planning and procurement processes
 - providing independent advice and recommendations to the Minister.
- 2.15 The Minister retains the power to act without reference to the SPNAB.

- 2.16 All members of the SPNAB will also be responsible for:
- Ensuring that recommendations made by the Board are supported by sufficient high quality information and are robust and defensible.
 - Staying abreast of evidence and policy approaches to the Supporting People in other parts of the UK and beyond in order to learn from those and to evaluate Wales' relative performance.
 - Ensuring that the SPNAB operates within its terms of reference.
 - Exercising independent judgement, reasonable care, skill and diligence in undertaking duties.
- 2.17 The Board does not have executive powers or functions. It is advisory only.
- 2.18 The Board advises the Welsh Government within the remit agreed for it by the Minister.
- 2.19 Minutes of the Board will be published.

Membership

- 2.20 The Board will comprise of the following members of the Welsh Government:
- The Minister for Housing and Regeneration as Chairperson
 - Housing Head of Policy Division
- 2.21 Welsh Government officials will provide the Board's secretariat and other officials will attend as required.
- 2.22 The Board will include seven representatives nominated from the following organisations:
- Welsh Local Government Association
 - Association of Directors of Social Services Cymru
 - Public Health Wales
 - Community Housing Cymru
 - Cymorth Cymru
 - All Wales Chief Housing Officers Panel
 - Wales Probation Trust.
- 2.23 The Board will include three independent individuals who will be appointed through the public appointments process. One will act as Vice Chair.
- 2.24 The Minister of Housing and Regeneration will Chair the meetings and may invite other ad-hoc members if necessary.

2.25 The Board will meet twice a year or when required.

Regional Collaborative Committees

2.26 The aim and overall focus of the Regional Collaborative Committees will be to provide advice to local authorities and other local stakeholders, and through the SPNAB, to the Welsh Ministers on regional and local collaborative delivery of the Supporting People Programme to ensure the most efficient and effective services are delivered. The RCCs will inform and advise the Welsh Ministers on the production of proposed Supporting People Commissioning plans for the allocation of grant against agreed priorities.

2.27 The RCCs do not have executive powers or functions.

The Regional Collaborative Committees role

2.28 In detail, the role of Regional Collaborative Committees would include:

To advise on:

- Regional and local delivery and compliance with national Supporting People Programme Grant Guidance.
- Regional and local needs mapping.
- The operation of commissioning and procurement practice.
- The quality of regional and local services in particular against the Supporting People National Outcomes framework.

Make recommendations to the Welsh Government and Minister on:

- Local and regional spend via Supporting People Spend plans against service user group priorities.
- Variation of SPPG between service user groups (over 10% of total service user group allocation) within the local and regional Supporting People plan and within the region.

Planning:

- To produce the Regional Commissioning Plan including a spend plan which is submitted to Welsh Government for confirmation.
- To recommend escalating any issues that cannot be resolved through local and/or regional collaboration to the Welsh Ministers.
 - Develop a mechanism/framework whereby service users can be involved in developing, commissioning and reviewing support services. A range of methods to be developed to give everyone the opportunity to be involved and the barriers to involvement should be identified and addressed.

- To ensure local authorities provide appropriate monitoring information of SP spend including timely identification and reporting of underspend.
- To develop an awareness of local, regional and national SP services in order to identify opportunities to realise efficiencies by coordinated planning and provision of services.
- To liaise with other RCCs in order to identify synergies in service requirements to enable singular commissioning and procurement exercises.
- To liaise with other RCCs to provide advice on coordinating commissioning, procurement and funding of cross-region and national service provision.
- To ensure regional commissioning plans consider local Health Social Care and Wellbeing, Community Safety and Homelessness strategic objectives.

Administration:

- To ensure effective information exchange between local authorities and the RCC and between RCCs (noting confidentiality requirements).
- To receive from the coordinating local authority a register of services that may be commissioned or procured at short notice should funding become available: these may be new services requiring procurement or expansion of existing services.
- To receive monitoring information on complaints and to escalate any issues to Welsh government as appropriate.
- To advise the coordinating local authority and the Welsh Government where the RCC considers that local practice is in breach of the Grant conditions. To also advise Welsh Government on any disputes within the RCC.
- Maintain a record of attendance and correspondence.
- Maintain continuous assessment on the RCC Membership to ensure parity of representation, and awareness of and participation by all SP stakeholders.

Local authority coordinating role

2.32 In each region there will be one coordinating local authority that will:

- Collate the proposed regional commissioning plans for the local authorities in that area.
- Organise the RCC meetings.

- Maintain a register of services that may be commissioned or procured at short notice.
- Employ a regional development coordinator funded by Welsh Government.
- Develop and support effective partnership working within the region on Supporting People.
- Support the RCC so that it functions effectively and is appropriately serviced.
- Develop a plan that will incorporate local and regional arrangements and evidence of the outcomes of user involvement to be evaluated and presented to the RCC.
- Ensure dialogue and collaboration between the local and regional levels with the aim to resolve any issues before commissioning and spend plans are put to local authority members.

Membership of the Regional Collaborative Committees

2.38 It is imperative that there is equal representation of key groups. The number of local authority members should be equal to the number of landlord and support provider places. The membership of the RCC will be made up of:

- Local authority Cabinet Members (or delegated officials in their absence).
- Health.
- Probation.
- ¹Providers (representing long term and short term services) elected and supported by Cymorth Cymru and Landlords elected and supported by Community Housing Cymru.
- Service user representation.
- Co-opted members at the discretion of the RCC, but will not have voting rights.
- Appropriate local authority officers, the Regional Development Coordinator and Welsh Government officials will also be able to attend the RCCs, but will not have voting rights.

2.34 The representation on the RCC championing the service users' voice could be a current service user, ex service user or a person chosen by service users to represent them. The representative(s) must be selected by service users. Arrangements need to be made for service user representatives to be supported in a similar manner to landlord and provider representatives.

¹ Note that providers and landlord representatives do not need to be members of Cymorth or CHC.

- 2.35 During the transition year, further consideration will be given as to how the landlord representation will reflect, for example private landlords.

Priority setting

- 2.36 The RCCs will develop up to three year rolling Regional Commissioning Plans, which will set out priorities/spend for the region and be reviewed annually. In the transition year, it will be a one year plan. These plans will be built upon local priorities and the co-ordinating local authority will put together the plans for the RCC to review. The RCC will identify regional priorities and any other changes required and then submit the proposed spend plan to the Welsh Government by the third Monday in January for confirmation.
- 2.37 Local Commissioning Plans must meet the regional priorities identified in the RCC Regional Commissioning Plans. The RCCs will receive sufficient reporting from Local Authorities to enable them to ensure that SPPG is being planned and delivered according to the principles of collaboration. The RCC will be expected, when appropriate, to advise local authorities when the RCC considers that the use of SPPG at the local authority level appears to put local delivery at stake or not meet priorities.
- 2.38 During the transition period, further guidance will be issued to ensure streamlined presentation of information to RCCs to enable them to carry out their function appropriately. It is accepted that during the first year of operation commissioning plans may be in the development stage.

Meetings

- 2.39 Once established, RCCs will meet a minimum of quarterly. During the first six months of the implementation period, they will meet monthly.
- 2.40 The Chair of the RCC shall be one of the local authority members and shall be appointed annually.
- 2.41 The Vice Chair shall be selected from one of the other agencies and shall be appointed annually.
- 2.42 The RCC may set up task and finish groups at its discretion.

Servicing and resourcing

- 2.43 The Regional Development Coordinator will provide administrative support to the RCC.
- 2.44 Local authorities will provide quarterly reports to the RCC via the Regional Development Coordinator. These should reflect the content

of the commissioning plan as well as additional issues the RCC may wish to consider.

- 2.45 SP Managers may attend, participate in and support the work of the RCC.
- 2.46 The Regional Development Coordinator will ensure dialogue and collaboration takes place between the local and regional levels in order to ensure any issues are resolved as early as possible in the planning process.

Communication

- 2.47 The RCC will put in place consultation arrangements with the following stakeholders:
- Service users.
 - Local authority Supporting People Planning Groups.
 - Regional homelessness forums.
 - Provider forums.
 - Other relevant bodies.
 - The SPNAB will expect to see evidence of this.
- 2.48 The individual members of the RCC will be expected to communicate with their own constituency e.g. local authority members, other providers etc.
- 2.49 Minutes of meetings will be produced and hosted on the Welsh Government website (minus any confidential material).
- 2.50 The Welsh Government is considering whether it is appropriate to issue further guidance on procedures for how the RCCs could work and a conflict of interest policy for the RCCs is attached at appendix 7.

Welsh Government role to support the Regional Collaborative Committees (RCCs) and governance role

- 2.51 The Welsh Government will attend the RCCs when relevant, get involved as and when issues arise, in a timely fashion and when these require escalation, and assist in conflict mediation. It will seek to mediate issues informally with relevant officials and will then raise the issue to the attention of the Supporting People National Advisory Board. The Welsh Government will summarise reports received from the RCCs to provide a national picture of service delivery. It will also monitor arrangements in partnership with stakeholders to consider how the governance arrangements are working and how these can be improved.

Local arrangements to support Regional Collaborative Committees (RCCs)

- 2.52 As currently happens, local needs analysis and identified priorities for SP services will be determined at this level by the local Supporting People Planning Group. These will feed in to discussions at the RCCs and then into the three year rolling Regional Commissioning Plans. The Welsh Government has recently announced a rationalisation of statutory partnerships and its replacement with an integrated planning and partnership structure. Local Authorities will need to make and retain links as appropriate to other local needs mapping, analysis, planning and commissioning arrangements.
- 2.53 Local Supporting People Planning Groups will:
- Develop local Supporting People Commissioning Plans.
 - Ensure Commissioners, Service Providers, and most importantly Service Users, are involved in the planning, development and commissioning of services and service responses that meet identified needs and agreed strategic priorities on a local and regional level.
 - Ensure service providers, wider stakeholders and key commissioners are advised and informed on matters relating to the planned development and improvement of services to vulnerable people.
 - Ensure the service user experience contributes to project development and service improvements agreed within the Supporting People Commissioning Plan.
 - Ensure that commissioning decisions have undergone an Equalities Impact Assessment and that service delivery promotes equality and inclusive outcomes for all citizens.
 - Ensure Commissioners, Service Providers and most importantly Service Users assist with the development of local and regional service specifications.
- 2.54 In many areas, links already exist with a wide range of stakeholder groups. Where such links do not exist, local authorities will need to establish and support such arrangements. Where appropriate, for example, where there is limited capacity, local arrangements may be cross boundary with two or more teams working together to maximise resources.
- 2.55 Any future local and regional collaborative arrangements must not lose sight of the option to commission some very local arrangements where these best meet needs. What is essential is that all service developments at local, regional or national level are appropriately aligned to identified local needs and priorities to:
- Aid the development of shared plans and priorities which are supported by evidence of need.

- Aid the development of an integrated and coordinated approach to reduce duplication or fragmentation and help with the development and delivery of high quality, cost effective services.
 - Support the development of appropriate links with other local and national policies, strategies, initiatives and funding streams.
- 2.56 During the transition period, all local authority proposed commissioning plans referred to the RCC will have received prior political approval. This will inform the Minister's decision on how to allocate the SPPG funding. Any in year changes to the agreed spend plans of greater than 10% will need to be referred by the RCC to the Welsh Government having gone through the relevant political processes in the local authority. Close collaborative working between the RCCs and local authority is crucial, to reduce significant changes of greater than 10% to funding for specific user groups.

Structure of the Local Commissioning Plan

- 2.57 Local Commissioning Plans (LCP) will replace the Supporting People Operational Plan and will give a summary of the local authorities commissioning intentions for the next three years. The document is intended to be a summary and is not intended to be an exhaustive analysis of data and evidence.
- 2.58 As well as outlining commissioning and decommissioning intentions, the document will show the evidence used and how these conclusions have been reached. Partnership working with colleagues from the statutory sector, including local authority colleagues from Community Safety Partnerships, Housing and Homelessness teams and Social Services will be important in this respect. The responsibility for the development of the Single Integrated Plan lies with the Local Service Board and their priorities should be reflected in the Local Commissioning Plan.
- 2.59 The foundation of robust partnership working and prioritisation of commissioning decisions is robust evidence which gives an understanding of:
- The experience of people using services.
 - The Single Integrated Plan and local strategic objectives.
 - Existing service supply.
 - Need for housing-related support (met and unmet).
 - An understanding of service gaps.
 - Benefits to be gained from closer regional working.
- 2.60 Each local authority must ensure that service users are given meaningful opportunities to influence decisions at local level and evidence of this is to be reported at a regional level.
- 2.61 To take forward the recommendations from the Aylward review each Supporting People Planning Group will include membership from key

stakeholders, including landlords and voluntary sector providers. The local Supporting People Planning Group will scrutinise the Local Commissioning Plan before seeking political approval and submitting to the Regional Coordinating Authority for inclusion in a Regional Commissioning Plan.

Structure of the Local Commissioning Plan

	Section Heading	Description of Content
1.	Strategic priorities	Themes which have emerged through Local Service Board and Single Integrated Plan this section must make reference to Health and social care, Community Safety, local authority strategic equality plans and Homelessness.
2.	Need, supply and service gaps.	A brief summary of how empirical evidence is shaping service commissioning developments.
3.	Consultation evidence	Information gathered from service user and other stakeholder involvement and consultation.
4.	Priorities for development	Detail of service user groups that are a priority.
5.	Service Development	Proposals for service development, decommissioning and remodelling including details on: <ul style="list-style-type: none"> • Model of service provision, • Number of Units, • User group whose needs are being met.
6.	Equality Impact Assessment	A summary of an equality screening exercise and assessment of the impact of service changes on each equality strands.
7.		The Spend plan for forthcoming year

Structure of the Regional Commissioning Plan

2.62 The structure of the Regional Commissioning Plan will mirror the Local Commissioning Plans with a coordinated Spend Plan for the region.

Chapter 3: Eligibility

Introduction

- 3.1 The purpose of this chapter is to clarify the types of services that are eligible for funding from the Supporting People Programme Grant (SPPG) and to address the recommendation made by the Aylward review.
- 3.2 The chapter provides a framework around which discussions, negotiations and decisions can be made.
- 3.3 SPPG will be used to fund those services identified as priorities by the Regional Collaborative Committees who will advise on regional commissioning and funding.

Housing-related support services (HRS)

- 3.4 Housing-related support is provided to help vulnerable people develop or maintain the skills and confidence necessary to live as independently as possible. It has housing, and preventing homelessness or people living in inappropriate institutional settings, at its core. Support can be offered to anyone eligible, regardless of their tenure.
- 3.5 The principles of housing-related support are to:
 - Support the user to access, maintain and manage accommodation by assisting them to develop or maintain the necessary skills and confidence to live as independently as possible.
 - Prevent the need to move to more dependent forms of accommodation.
 - Prevent homelessness.
 - Provide support to people who are presently, or have a history of, living unsettled patterns of life that may have contributed to chaotic patterns of behaviour.
- 3.6 People eligible for services must be over 16.
- 3.7 Provision of housing-related support services will be based on identified or assessed needs; this assessment must be flexible and person centred. The Programme allows for innovation, e.g. consideration of developments within housing, support and social care. It is accepted by the Welsh Government that the services which go together to create 'housing-related support' are broad and wide ranging. This guidance will not contain a list of 'eligible activities' as contributors to the guidance believed that such an approach may restrict innovation.

Style and approach

- 3.8 Supporting People services should be enabling, and develop a person's independence, i.e. 'doing with' as distinct from 'doing for'. The focus of the service should be to encourage and support the service user to exercise personal choice and self-determination.
- 3.9 Services should be part of a support package that must be based on a written support plan, agreed with the service user and including a risk assessment and risk management measures. The support plan will specify how often reviews of support will take place. It is expected that the support plan will be delivered over a period of time rather than a one-off basis. The length of time people are supported will vary according to individual need and the Supporting People Planning Group will specify appropriate time scales for each service. This may include short term interventions to prevent homelessness.
- 3.10 Guidance on commissioning can be found in Chapter 4.
- 3.11 It is a requirement that there will be a statement of criteria for admission to each Supporting People service and a process of assessing and prioritising potential service users against these criteria.
- 3.12 Questions to be considered when commissioning, reviewing or identifying whether a service will come within the remit of Supporting People Programme Grant are:
- Could the support offered prevent the person from being at risk of losing their accommodation or moving to less independent care or an institutional setting?
 - Could the support offered enable a person to develop their independence, following a period living in an institutional setting or in less dependent settings?
 - Does the support cover key areas that enable an individual to live independently?

Outcomes

- 3.13 Services commissioned must be outcomes focussed, and support plans should focus on what outcomes are to be achieved by the individuals supported. Services should adhere to the core principles contained within the Supporting People Outcomes Framework. Guidance on outcomes can be found in Chapter 7.

Monitoring

- 3.14 Services that receive SPPG will be expected to report regularly to the Regional Collaborative Committees in the format agreed. Details of monitoring and reporting can be found in Chapter 7, although the reporting framework requires further development. The eligibility, i.e. use of the grant will be subject to scrutiny and inspection by the Welsh Government.

What is not eligible

- 3.15 SPPG cannot fund care services. It complements and enhances such services, but its primary aim is to enable, not care for, people using its services.
- 3.16 Similarly, it cannot be used to fund domestic assistance services.
- 3.17 SPPG should not fund services that are a statutory duty which Social Services are required to fund under community care legislation.
- 3.18 SPPG should not fund general housing management tasks which would normally be funded by rents or service charge e.g:
- Setting, collecting and accounting for the rent and service charges.
 - Establishing, issuing and enforcing the licence or tenancy agreement.
- 3.19 However, notwithstanding the above, it may be used, within a SPPG service as part of a Support Plan, to:
- Provide support to help people understand, fulfil and enact the responsibilities of holding a tenancy.
 - Fund a specific activity, e.g. transporting a service user to a Housing Benefit department to make a claim for benefit.

Eligibility requirements for older person's services

- 3.20 The Supporting People Review had a specific recommendation on the eligibility of older people. The Review recommended :
- "...the eligibility criteria for older people receiving Supporting People funds should be based on need rather than age or tenure"*
- 3.21 The Review recommendation is timely and appropriate, and needs to be implemented. We need to ensure the best possible use of scarce resources at a time when the SP Budget is under pressure; when there is unmet need in the community and where need is likely to rise with the projected growth in the elderly population.
- 3.22 In implementing the recommendation, it is acknowledged that this will impact on many services to older people currently funded through SP (alarms and face to face support models). It will also lead to changes

in how we deliver services to individuals who can be anxious of change. Implementation also presents major challenges for some service providers, landlords and Supporting People teams.

- 3.23 Due to the local challenges that are likely to be faced in achieving this objective, it will be taken forward through the RCCs. The RCC is required to establish a time line on how they will ensure that SP services for older people are based on need and not tenure. The RCC will require each local authority to report on how they are working towards the objective and the timescales for achieving it. This will be a standing item on the RCC agenda and will be reported to the SPNAB as a standing item.
- 3.24 During 2012, the Quality Workstream will continue to consider the following matters:
- The advantages/disadvantages of aligning the Care and Repair programme more closely aligned to Supporting People.
 - The eligibility issues for hard-wired alarm systems.
 - The case for more commissioning guidance around the funding of tele-care services.

Chapter 4: Commissioning and Procurement

Introduction

- 4.1 Good quality commissioning and procurement are key to the provision of quality services which meet service user need and provide the best value for public money. Local authorities will need to make judgements, based on their analysis of the existing market, about the most appropriate approaches to market development and procurement in their local area, including different contract forms, grants or in-house provision. This chapter outlines the responsibilities of local government when procuring services and provides a high level perspective of the commissioning process for housing-related support services, Appendix 6 provides further detail on commissioning and procurement.
- 4.2 Definitions:
- Commissioning: the process of delivering services based on an empirical understanding of service user need, local or regional strategic aims and service gaps.
 - Procurement: a process of securing the defined outcomes by the most appropriate service provider, based upon an assessment of; knowledge, skill, experience and cost effectiveness, to provide the most effective service for an agreed funding package.
- 4.3 A collaborative approach, with the needs of service users at the centre of decision making, was identified by the Aylward review, as fundamental to good commissioning. This means:
- Collaboration across strategic themes covered in the local authority Single Integrated Plan, Health Social Care and Wellbeing Strategy and Community Safety Strategy.
 - Collaboration between local authority SP teams and service providers and service users.
 - Collaboration across boundaries to share the resources of SP teams and to ensure that service provision can most effectively meet the needs of the local population, particularly in relation to high intensity services where there is a lower level of local need.
 - Collaboration with service users to ensure accountability regarding the quality of housing-related support services. Local authority SP teams must develop mechanisms through which service users can be involved in developing, commissioning and reviewing support services.
- 4.4 Previous Guidance published by the Welsh Government - The Arrangements for the Implementation and Administration of Supporting People in Wales (2003) - was prescriptive with regard to the commissioning process; this Guidance will be withdrawn in 2012. Despite its withdrawal, the guidance still provides a model of good

practice. One of the main advantages of the 2003 document was that it formed a foundation for flexible and agile commissioning. Where commissioning works best, there is a focus on flexibility prioritising the needs of the community, in addition to value for money.

- 4.5 In the provision of public services, there are frequently opportunities to take advantage of ad hoc pots of money that have become available through one off funding initiatives or slippage from existing projects. With these opportunities in mind, it is essential that local authorities maintain a register of services that may be commissioned or procured at short notice should funding become available. These may be new services requiring procurement or expansion of existing services. These plans may not have established a funding source and may not be fully mature, but they are available to be called upon if funding should become available at short notice.

The legislative framework for procurement

- 4.6 The procurement of social care and housing-related support services is governed by legislation that has been enacted in both Europe and the UK. 'Fulfilled Lives Supportive Communities Commissioning Framework and Guidance' supported by the Value Wales Procurement Route Planner provides guidance on procurement and copies of the relevant key legislation with which local authorities must comply in securing services. It is not intended to be a substitute for legal advice or to provide an exhaustive explanation of relevant legislation, and local authorities should seek further advice as appropriate.

Competitive tendering and re-tendering

- 4.7 ²Services which are secured externally via a procurement exercise are subject to EU Procurement Directives which place a requirement upon the public sector contracting authorities to determine whether the services they procure fall into the Part A or Part B categories of the legislation. The majority of social care services are designated as Part B and are therefore required to comply with only a subset of specific provisions, including (but not limited to) transparency; equal treatment; reporting of contract award notices; and inclusion within spend statistics provided to the Office of Government Commerce (OGC). Part A Services are subject to more onerous requirements than apply to Part B services
- 4.8 Regardless of whether a service is classified Part A or Part B all public sector contracts remain subject to the provisions of the EU Treaty. The obligations of transparency and equal treatment mean that a contracting authority must ensure an appropriate degree of

² Para 4.7 & 4.8 from Fulfilled Lives, Supportive Communities Commissioning Framework and Guidance – Welsh Assembly Government August 2010

advertising sufficient to allow the services market to be opened up to competition and awards to be made on a demonstrably impartial basis.

- 4.9 New services should be subject to normal procurement practice and regulation, but provided that a robust and regular review regime is practised, it would not be anticipated that SP services would be re-tendered on a routine basis and any re-tendering exercises would normally only take place following a service review. This will have established whether a service was not strategically relevant, of low quality or did not reflect acceptable cost guidance and was not able to make the changes to address identified shortcomings. In the first instance, remodelling should be considered as a means of reconfiguring services. However, this may not always be appropriate.
- 4.10 A Supporting People Planning Group may come to the conclusion that a contract requires re-tendering because services in their current form are not fit for purpose. Within the tender arrangements, there will be a need for a decision on the process for switching from an old to a new provider. Wherever there is a potential change of provider, negotiation should take place between the old and new providers and the local authority as to the best arrangements for transferring the service provided to service users.
- 4.11 The continued operation of a range of local providers who have a track record of delivering good quality services which meet community needs is essential for sector stability. Before deciding to re-tender a contract, Supporting People Planning Groups should consider the following key issues:
- The potential disruption and distress that might be caused to service users, providers and their staff. Where complex services are being provided, it is reasonable for this to be reflected in the duration of a contract.
 - The outcome of consultation with key stakeholders, including service users and any implications of re-tendering a contract in relation to related agreements, e.g. tenancy agreements.
 - The potential cost and wider workforce implications of TUPE.
 - Where a provider supplies services across local/regional boundaries, the wider potential implications for those services of the provider being unsuccessful in a re-tender process in one area, particularly if the outcome of the process may impact on the financial viability of the provider. A local authority should ensure that it liaises with those other local authorities in whose areas such providers are operating, so that they can identify any issues arising
 - Potential cost implications. Supporting People Planning Groups should balance the flexibilities afforded by regular re-tendering with the costs and administrative burdens associated with the

process and the time needed for innovation and efficiency improvement under effective provider relationship development.

- Due weight should be placed on continuity of service provision, proven delivery and long-term provider commitment. This should be taken into consideration when evaluating the financial viability of instigating the re-procurement of a service.

4.12 Supporting People Planning Groups and Regional Collaborative Committees should ensure that a range of responsive providers are available to meet the assessed support needs and outcomes required by service users, and should attempt to treat in-house and externally provided services equally, with a view to achieving best value and consistency across the system.

4.13 A business case should be developed for the preferred option and key stakeholders should be consulted to ensure that it is sustainable and realistic in the long-term.

Mapping supply and need

4.14 Needs and supply mapping and a gap analysis should be undertaken on a regular basis. This activity will not need to be undertaken every year for all service user groups. However, where it is identified that there may be a growing priority, for example, in domestic abuse, youth homelessness or substance misuse services, or where there is a gap in provision such as mental health services, then the Supporting People team would gather information on needs and supply.

Stakeholders and strategic priorities

4.15 The engagement of stakeholders is pivotal to the success of matching resources to need. Not all stakeholders will be represented on the Regional Collaborative Committee or the local Supporting People Planning Group. Regional Collaborative Committees will need to work closely with Supporting People teams to identify what stakeholders they wish to engage and how they wish to engage them. As a minimum there should be representation from:

- The Children and Young Peoples services.
- Health Social Care services, including mental health representation.
- The Community Safety Partnership.
- Service Users (Swansea Join In project provides a helpful model for feeding service user views into commissioning decisions).

4.16 The views of these stakeholders may be gathered using a variety of approaches:

- Strategic forums.

- Secondary sources such as strategy documents and research reports.
 - One off meetings with service planners and key officials.
 - Anecdotal information.
- 4.17 The Governance structures for Supporting People Grant Commissioning are covered in Chapter two. It is important to note that in 2010 the Auditor General for Wales heavily criticised the commissioning activity for housing in general and housing-related support in the publication 'Housing Services for Adults with Mental Health Needs' (2010). The report highlighted that national and local government and partner agencies have a responsibility to follow national guidance and service frameworks when planning specialist services.
- 4.18 The views of service users are a fundamental part of the commissioning process, and a number of local authorities have developed service user consultation tools which can be used as good practice models. The fundamental principle behind a service user engagement plan is ensuring that there is a systematic process for gathering views and feeding them into the commissioning decision making process.

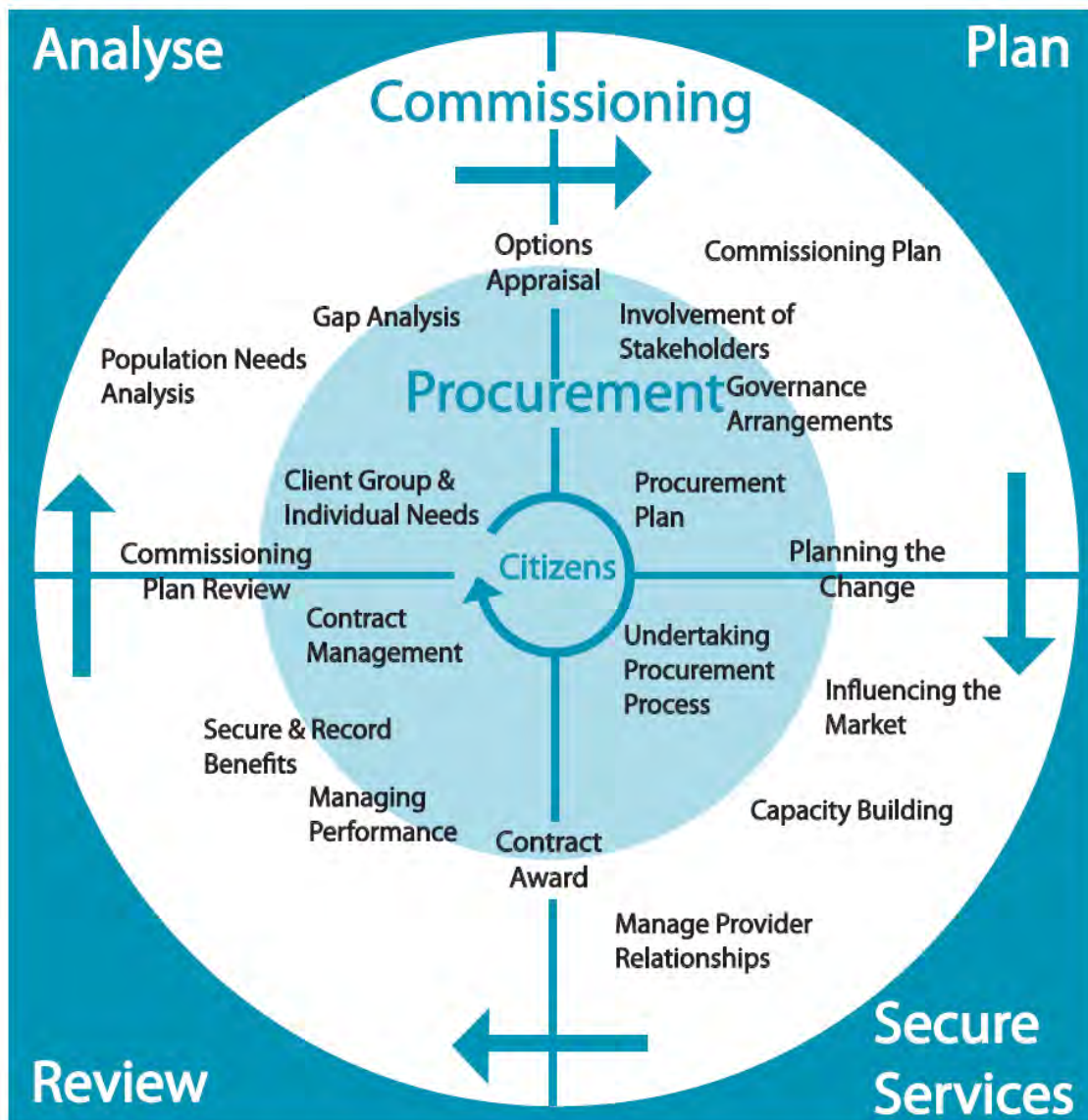
Commissioning timelines

- 4.19 Every year by the third Monday in January the Regional Collaborative Committee will submit a 'three year regional commissioning plan' which will outline their recommendations for commissioning and remodelling for the following financial years. This plan will include a spend plan financial analysis which identifies financial commitments and any future changes to budget levels and how they will be managed. The Regional and local Commissioning Plan will be 'live' documents which will be updated as needed.
- 4.20 The diagram overleaf Fig 4.1, developed originally by the Institute of Public Care at Oxford Brookes University, illustrates the relationship between the activities involved in commissioning and procurement.

Caveat

- 4.21 This chapter provides an overview of the principles of good practice when commissioning services. The Value Wales procurement Route Planner (<https://www.buy4wales.co.uk/PRP/social-care/contents/index.html>) provides detailed guidance which must be followed by public bodies when commissioning and procuring services.
- 4.22 This chapter is not intended to be a substitute for legal advice or to provide an exhaustive explanation of relevant legislation. Please note also that the law is subject to change from time-to-time and local authorities should always seek up-to-date legal advice.

Figure 4.1: The activities involved in commissioning and procurement and their relationship



Chapter 5: Acceptable Cost Guidelines

Introduction

- 5.1 The purpose of the chapter is to provide guidance on the pricing of contracts commissioned under the Supporting People Programme Grant.
- 5.2 The Tariff system was an integral part of the Supporting People Revenue Grant and ends with that grant.
- 5.3 There is no intention to replace this with an 'alternative' tariff, but rather to set guidance which has a focus on creating a level playing field for all providers and ensures that full consideration is given to all essential elements of cost when undertaking the pricing of a service. This guidance is intended to maintain quality in the sector and ensure value for money.
- 5.4 The need for such guidance is to avoid the twin concerns of local authorities being directed down the route of lowest cost procurement and of providers failing to consider the indirect or overhead costs of delivering their service when tendering. Both of these concerns can impact on the quality of service delivered.
- 5.5 The objective of the model is therefore to facilitate commissioning on the basis of the actual costs of delivering the service based on a rational evidence base. Essential to the working of the guidance is the development of constructive dialogue between local authorities and providers in its application.

Context

- 5.6 This chapter needs to be considered in the context of the guidance as a whole and in particular should be considered in conjunction within the following chapters:
 - Chapter 3: Specification of the eligible types of service provision.
 - Chapter 4: Commissioning of services.
 - Chapter 7: Outcomes and monitoring.
 - Appendix 3 Modelling scheme costs.

Methodology

- 5.7 The guidance proposes an underlying formula based on staff time as the core building block of the costing process i.e:
- ($\{FTE\ staff \times benchmarked\ salary\} + \% \text{ staff on-costs}$) + % management on-costs) Plus, elements for: on call, sleep in, children's worker, translation services etc. as appropriate, to be established by negotiation. The averages are based on the results of a comprehensive benchmarking survey with local authorities and support providers.
- 5.8 The benchmarked salary costs, rather than being reviewed on an annual basis, will be Index Linked to ensure future proofing. It is expected that Welsh Government undertake a full review of the benchmarked salaries every 5 years.
- 5.9 As a guide it should be utilised as a reference point applying a flexible approach on an individual or multiple scheme basis. This should be used as a conduit to partnership negotiation and as such the percentages indicated should be approached fluidly encompassing variances where they are required, evidenced and appropriate to the nature of the service.
- 5.10 The fundamental factor in determining funding should be 'actual' and 'reasonableness' of expenditure levels. As such the guide has scope to encompass varying methodologies for costing services and be applicable to all models of service.
- 5.11 The purpose of the guidance is to provide advice on costs and considerations to be made when exploring individual elements of a service. It should be acknowledged within the contracting process that there is the likelihood of variation from the guidance within a number of areas. As a result the guidance should be utilised to provide a transparent rational and evidence base for variation.

Summary of commissioning/pricing process

Planning/Strategic relevance

- 5.12 The commissioned service should be based on evidenced need and strategic priorities outlined in the Supporting People Operational Plan.

Configuration

- 5.13 There should be an outcomes focused design of the Service Specification.

For existing schemes, utilise contract monitoring and review information and provider quality assurance information, complemented by other available intelligence to ensure continued

relevance of intended outcomes and that service user's needs continue to be met.

- 5.14 Regular partnership liaison should continually focus on the configuration of provision, including 'efficiency', 'economy' and 'effectiveness' considerations. Examples of such liaison would be, regular contract liaison, review meetings, desk top and on-site monitoring, service user, staff and stakeholder consultation.
- 5.15 Partnership liaison should also ensure the transparency of financial information enabling open negotiation.

Service costing considerations

- 5.16 In looking at the considerations affecting costing, it is important to determine the most effective way of delivering the required outcomes and to consider whether more efficient models would compromise delivery of outcomes.
- 5.17 Service design will determine the volume of front line staff/supervision and the level of input and intensity of support required. Services will, by design, vary in the levels of staffing intensity in response to support need and risk. There are a wide range of service models demonstrating creative approaches to meeting needs. Broadly however, these are either provided to someone in their own home or where someone moves in to accommodation where the support is available. Traditionally these have been termed 'floating' and 'fixed'.

Floating support

- 5.18 The higher the staff to service user ratios in floating support schemes, the greater will be the flexibility to respond to higher and unpredictable risk/support needs.
- 5.19 Frequency of visits can vary according to need but, intensive staffing levels will have the capacity to deliver more frequent visits where required.
- 5.20 Realistic assessment of probable need is essential at the design stage. Thereafter, a reliance on the scrutiny of monitoring information and provider quality assurance information should be used to justify sustaining higher staffing levels.

Fixed support

- 5.21 Higher staff to service user ratios in fixed schemes will allow flexibility to respond to higher and unpredictable risk and support needs. In 24 hour provision, configuration of night cover and staffing levels will determine the intensity, resulting in a variety of models based on the service user needs and service outcomes.
- 5.22 It is accepted that support in settings that require higher levels of staff cover may be less predictable and may be responding to varying degrees of risk. In these instances, there will be a reliance on

monitoring and review information and provider quality assurance to justify sustaining higher staffing levels.

- 5.23 The first step in the pricing process is therefore determination of the required inputs in terms of staff presence and on call requirements to deliver the outcomes for the service initially. Thereafter, scrutiny of monitoring information and provider quality assurance to justify sustaining higher staffing levels may be appropriate. In addition, contingency funding may be necessary when new tenants move in.
- 5.24 In summary, the process is:
- Determine the desired outcomes.
 - Determine inputs/process/timescale/outcomes.
 - Determine level of on costs/contribution to full cost recovery.

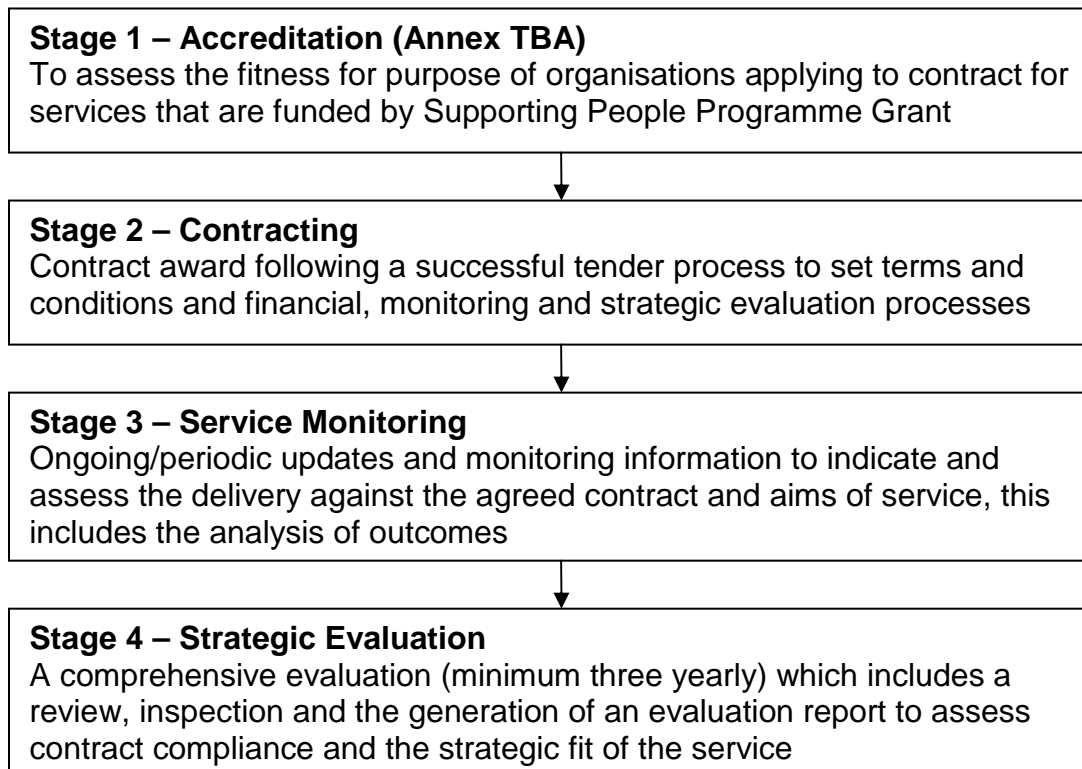
Taking the model forwards

- 5.25 Detailed guidance on scheme costs, as set out in Appendix 3, provides a model for the development of new schemes within the Supporting People Program Grant. It is based on developing schemes from new or on the re-modelling of existing provision.
- 5.26 For existing schemes, please see the information on transition that was issued in the Supporting People Programme Grant Transition Paper published in March 2012. Following transition, existing service models and existing staff salary figures should be used provided that they have been tested for relevance and effectiveness through review. The expectation is that existing services should not be re-tendered on a routine basis and that re-tendering should only take place following a service review which established that an existing service was of low quality and was unable to make the necessary changes to address identified shortcomings.
- 5.27 The guidance has been designed to allow considerable flexibility in its application. It is expected that it will be used in all situations and that if it is not to be followed for a specific scheme, that this be noted by the relevant Regional Collaborative Committee and an explanation provided.

Chapter 6: Monitoring and Strategic Evaluation

A Overview

The purpose of this Guidance is to provide a framework for a Strategic Evaluation to enable Supporting People Teams to consider a range of approaches when evaluating contract compliance regarding the quality, effectiveness and cost of Supporting People funded services. This Guidance incorporates Stage 4 of the Supporting People Programme Grant (SPPG) Process – as below.



This Guidance sets out the process to be followed for the purpose of evaluating contract compliance and quality to be completed on a cyclical basis of a minimum of three yearly. When carrying out a strategic evaluation of Supporting People services, there are significant opportunities for collaboration between local authorities and service users accessing Supporting People services. This guidance forms part of the move to six Regional Collaboration Committees (RCCs), as recommended during the implementation of Sir Mansel Aylward's recommendations. It was agreed that this approach would enhance co-production and co-design of services.

This Guidance cross-references and relates to other aspects of the Supporting People programme, specifically:

- Supporting People Programme Guidance;
- Welsh Accreditation of Supporting People providers (Annex TBA);

- Costing of services;
- National Outcomes Framework.

B Strategic Evaluation Aims

The development of a strategic evaluation should include the following aims:

- Ensure that services funded through SPPG meet identified and projected needs and the strategic aims of the Local Authority and the RCC;
- Ensure that services are working towards achieving identified outcomes of service users, from individual support plans and the national framework;
- Ensure that services are meeting all legislative and statutory requirements including Equality, Welsh Language, Health and Safety, the Framework for Action on Independent Living, Data Protection and Environmental requirements etc;
- Identify areas for improvement and enable providers to respond to these;
- Assess the quality and cost effectiveness of the service within the context of the contract specifications;
- Assess the effectiveness of the service compared to similar services from within the region or from across Wales;
- Ensure that the service is meeting the aims of independent living and facilitating a move on from support;
- Encourage a proportional approach and reduce unnecessary duplication in the provision of information;
- Identify, promote and develop good practice;
- Enable service users to comment on the service they receive and enable service providers to act on this feedback;
- Enable staff to comment on the support they provide;
- Enable stakeholders to provide an opinion on the service they are involved in;
- Develop an Action Plan following evaluation, which can be monitored.

C Strategic Evaluation Process

Supporting People services vary in size, nature and culture in order to meet the diverse range of support needs of vulnerable people. As such, the approach taken for a strategic evaluation should utilise a variety of approaches to maximise the effectiveness of the process and enable well informed conclusions (including future funding, service/ quality improvements and overall strategic fit).

One of the main aims of evaluating services is to assess whether and how the outcomes of service users are being achieved against agreed support plans and identified outcomes for the individual - and to ensure that these are being achieved in a timely manner when compared to similar projects within the area and throughout Wales. Services may be achieving this in a variety of ways which the evaluation process should consider. In doing so, smaller organisations which lack the support of a well developed infrastructure would not be disadvantaged.

The spirit of the guidance is to focus on the intended and unintended consequences of service delivery, i.e. the benefits to the individual as well as local and regional objectives. Whilst policy and procedure are necessary to ensure consistency, minimum standard and to provide rationale for actions, the purpose of the strategic evaluation is to consider these in relation to achieving outcomes for service users. In doing so there should be an appropriate balance of document review and conversation with key stakeholders, namely people currently using services, former service users, staff and external stakeholders. The outcome of impact assessments such as routine Equality Impact Assessments should also feed in to the evaluation process.

Supporting People Teams should be identifying how to make best use of service user experience in the evaluation of services.

The Evaluation should aim to reach informed conclusions whilst ensuring that the process does not become too burdensome and bureaucratic. Key to these conclusions is the feedback of service users and their experiences of Supporting People services.

D Proportionality and Prioritisation

To ensure proportionality and to determine in what order services are to be strategically evaluated, the following factors should be considered:-

- Last Evaluation/Service Review date;
- Information available from last accreditation;
- Vulnerability/needs of service user,
- Size and cost of Scheme(s);

- Knowledge of Scheme/Provider including information from monitoring/contract liaison meetings;
- Information provided within self appraisal/outcomes/data set;
- Projects already scrutinised by other bodies, eg. CSSIW;
- Service's own internal Quality Assurance Systems
- Strategic relevance/void levels;
- Financial Viability of the Scheme;
- Known concerns/previously assessed quality;
- Equality Impact Assessments.

In an attempt to reduce bureaucracy, duplication of effort and to ensure proportionality, Supporting People Teams should also consider collaboration with additional internal/external funders and with other local authority areas where the organisation operates. This is particularly relevant where providers have systems and procedures in place at an organisational level.

Following the prioritisation process, a schedule can be drawn up. This should be shared to allow local authorities with Providers operating in a number of local authority areas to consider a joint approach with other local authorities or scheduling their timetabling so that it does not result in unnecessary bureaucracy. Information sharing is essential where separate strategic evaluations are undertaken by individual local authorities and should follow agreed information sharing protocols.

The report, action plan and monitoring arrangements will be agreed by the local authority and the service provider. Where there is dispute or where serious risk is identified, the local commissioning appeal process can be invoked by either party. Failure to resolve the issue could result in a referral to the RCC for advice.

Any identified risks should be notified to the local authority responsible for accrediting the service provider. The accreditation process outlines when action should be taken.

E Outcomes / Standards / Contract Compliance

In order to determine the quality and effectiveness of services, a number of factors will need to be considered:

- Information generated by the use of the National Outcomes Framework;

- Contractual information (which may include service numbers, average time supported, voids, financial information, agreed aims, outcomes etc);
- Consideration of policies and procedures.

The Strategic Evaluation process therefore includes a mix of hard and soft information requirements to enable an appropriate balance of quality and contract compliance validation.

The Strategic Evaluation has been structured into a number of areas in order to complement the National Outcomes Framework and ensure that policy and procedure is considered in an outcomes focused way. The Strategic Evaluation is structured around the following areas:

- Strategic context/contributing to strategic outcomes;
- Cost effectiveness/financial viability of service;
- Four Outcomes (from National Outcomes Guidance):
 - Promoting Personal and Community Safety;
 - Promoting Independence and Control;
 - Promoting Economic Progress and Financial Control;
 - Promoting Health and Wellbeing.
- Ensuring participation and consultation contributes to achieving outcomes;
- Safeguarding;
- Ensuring staff are equipped to support service users in achieving outcomes;
- Ensuring accommodation is conducive to achieving outcomes;
- Ensuring staff have the necessary housing management training. This is so that they can provide effective advice and support which enables people to live independently and provides them with the necessary skills and understand to keep their home and, where people have other needs, they are signposted/supported in accessing other services where necessary.

F The Strategic Evaluation is divided into three stages. This approach is supported with the documents within the appendices:

Stage 1 - Initial Meeting with Provider (See Appendix 1 and 2)

Prior to the provider meeting, a meeting of the Supporting People Team (and Social Care if Joint Review/other Supporting People Teams if Regional approach) is needed to scope the focus of the evaluation, discuss any concerns, strategic planning and financial considerations etc.

A Notification letter and Evaluation pack will be sent to the Provider.

An initial meeting will be undertaken between the Supporting People Team and the Provider to discuss how the Strategic Evaluation process will take place. It should cover a number of areas including timing, information required within the Provider Self Assessment Form and consultation. How service user views will be identified should also be considered (see section G for further guidance). This meeting will allow the Provider to highlight any issues/ask questions while also allowing the Supporting People Team to alleviate concerns. An element of co-production is essential to ensure that full advantage is made of the Strategic Evaluation. This meeting should be recorded in writing and a copy forwarded to the Provider for reference.

Stage 2 – On-Site Strategic Evaluation (See Appendix 2, 3, 4 and 5)

The on-site part of the Evaluation will include validating information provided within the Provider Self Assessment Form.

The time spent on-site will be proportional to a range of factors which include: other methods of validation undertaken by Regulatory Bodies; the number of service users supported; the number of schemes and range of models; and needs which are funded via SPPG.

Contact with staff, service users and stakeholders is an important part of the on site Evaluation (see section G for further guidance).

Stage 3 – Strategic Evaluation Report

A report is completed by the officer undertaking the Evaluation, which records findings of the evaluation, conclusions and recommended areas of improvement.

A draft Evaluation Report is sent to the Provider with an invitation to meet in order to discuss any areas which need further clarification and resolve any inaccuracies.

If requested, a meeting between the Provider and the Supporting People Team will be convened to discuss the draft Evaluation Report and agree a final version.

If a meeting is not requested, then the Report is deemed concluded and issued to the Provider as a final Report.

G Service User Consultation

Service user consultation is an essential part of the Evaluation process and service users will be invited to talk about their experience of support and how it has helped them achieve their personal goals. Supporting People teams need to ensure that service user consultation is tailored to meet the needs of the individual related to their protected characteristics.

The Welsh Government would propose that Supporting People Teams obtain further advice on engaging with service users from Tai Pawb, the Tenant Participation Advisory Service (TPAS) and Welsh Tenants.

In order to understand how the service has contributed to achieving personal outcomes it is useful to explore the service users 'journey'. This will encompass their experience of accessing services, how they value the support they receive and their view on how this has impacted on their life in general. Service user 'journeys' should focus on the whole experience, from identifying support needs to achieving their goals. Service users who are participating should be reflective of the protected characteristics of service users of the support organisation.

As an aide memoire, Supporting People Teams should include the following areas:-

- To what extent services are meeting expectations;
- What outcomes are most important to service users;
- How service user views are fed into shaping future services;
- The barriers to achieving goals/outcomes;
- The impact of services on individuals;
- Flexibility of support;
- Are service users able to live more independently as a result of receiving support;
- Whether their quality of life has improved and in what ways;
- What is working, and what is not;
- Depending on individual needs, what support has been provided to access alternative accommodation or keep their current accommodation.

Methodology for seeking service user views

Whilst the focus of the Evaluation should be on the experience of service users, it may be appropriate to broaden this feedback by including people who may not have been successful in accessing the project. Further consideration in relation to ensuring the service user views are fully taken into account as part of the Evaluation will include seeking the views of:

- Current and ex service users;
- Short and long-term recipients of support;
- Those with low level and those with more complex needs;
- Service users whose support outcomes have not been achieved as well as those who have.

In addition, consideration will need to be given to the literacy levels, individual confidence levels and availability of service users as well as the result of risk assessments.

Participants should be selected on a voluntary basis and clear boundaries should be communicated by Supporting People Teams to service users/ex-service users in relation to:

- Confidentiality;
- Use of information/verification;
- Protection of Vulnerable Adults and Child Protection procedures.

Proportionality - a proportionate approach should be taken to determine the number of service users asked to participate. Service users will be selected by the Supporting People Team, which will be informed by the Outcomes Framework information based on the range of outcomes achieved.

Background information in the form of pen pictures/support plans may be requested beforehand with the agreement of the service user.

Whilst discussions will be undertaken as informally and flexibly as possible, it will be important to consider the outcomes for individuals in each of the four Core National Outcome areas (as above).

As well as gauging how service users feel they have progressed in the Four Core National Outcome areas, it will be important to ask service users whether support has impacted on them positively in other ways. This may include increased confidence and self esteem, better understanding, involvement or control of their issues, a better understanding of their tenancy rights and responsibilities, increased skills in being able to access and/or keep

their home and also whether they feel better able to manage independently when support has ended.

It will be equally important to consider what service users see as the barriers to achieving positive outcomes and whether any external factors - eg hate crime, anti-social behaviour or community safety - prevent them from achieving improvements.

Other considerations may include what differences service users had wanted to make in their lives and whether that has happened, their expectations of support, what was good and what could be done better.

Supporting People Teams will be required to be flexible in approaching consultation and mindful of the issues and support needs of vulnerable people and how this may impact on their ability to participate in the consultation process, using advocates where appropriate. Teams will need to be responsive and work with the Provider to plan how best to approach this aspect of the Evaluation process. This should be considered within the Pre-Evaluation meeting as part of the scoping exercise.

For those service users unable to participate in face to face consultation, there should be consultation on alternative opportunities such as using outcomes focused questionnaires and taking into consideration accessibility of information, considering use of easy read, braille, audio arrangements etc.

The Staff Perspective

It is essential that staff are fully involved in the process to support service users if this is what the service user wants and to ensure that staff feedback is sought. Staff may be able to supplement and validate information gathered during consultation with service users. The staff perspective may also identify gaps in provision and barriers to positive outcomes for service users.

As part of the consultation process with service users, staff may be required to:

- Support potential participants to identify themselves;
- Act as a liaison point between the service user and review/monitoring officer;
- Provide an outline of the process to service users and answer any questions;
- In agreement with service users, provide pen pictures/copies of support plans prior to consultation;
- Provide information on risk.

Summary

In summary, consultation with service users should be multi-layered, providing a range of opportunities and methods for people who use services to have an input into the Strategic Evaluation of services.

H Strategic relevance

In addition to an assessment of quality, it is essential that services continue to meet the strategic needs of the local and regional population and, as such, the Strategic Evaluation process should seek confirmation of this. This is not a straightforward process and no single information trail will be sufficient in providing this clarity.

At a strategic level, Supporting People Teams should be using a range of source information that will provide a sense of current and future demand. For example:

- Needs mapping information;
- Formal service user consultation mechanisms;
- National data sets, eg Census, Daffodil;
- Analysis on trends and patterns;
- Outcomes Framework analysis;
- Information from Providers, professionals and other stakeholders;
- Anecdotal information from a variety of sources.

It is the role of the Supporting People Team to co-ordinate this into a meaningful analysis of data, which will inform the local and regional Commissioning Plans.

The Evaluation process should focus on the strategic relevance of the project in meeting the objectives set out in the Commissioning Plan. In order to do this, it would be relevant to consider specific performance information. For example:

- Workbook data (includes performance data on utilisation etc);
- Project specific Outcomes Framework information (quantitative returns);
- Project specific Outcomes Framework information (qualitative information);
- Case studies;

- Comments/complaints/concerns.

A range of other information may be requested and this should be agreed in the Pre-Evaluation meeting with the Provider.

I Ongoing monitoring, support and accreditation

The Strategic Evaluation Guidance sets out the process to be followed for the purpose of evaluating contract compliance, quality of service and cost effectiveness. To ensure consistent quality and continuous improvement, it will be appropriate to maintain interim contact and monitoring (in the form of contract liaison and on-site visit) between Supporting People Teams and Providers for a range of factors, for example:-

- Monitoring and evidencing the progress of the Evaluation Action Plan;
- Providing project support and development;
- Co-production and design of services;
- Awareness of emerging concerns, risks and developing shared solutions;
- Receiving updates on progress/status on any outstanding issues or ad hoc matters;
- Identifying and sharing best practice;
- Responding to contract compliance issues;
- Considering comments/complaints/concerns.

The above list is not exhaustive but it sets out the types of contact that would be essential to positive partnership working, transparent service provision and informed commissioning. The frequency of contact will be agreed between the parties but should be flexible and needs led. Frequency of meetings may increase or decrease as required by the Evaluation Report, or when risk is identified.

Monitoring (Stage 3) and Strategic Evaluation (Stage 4) will feed into the accreditation process (Stage 1). Where a local authority has concerns about a service provider and/or the service provider is under investigation, the local authority should advise the accrediting local authority and the Welsh Government. Where there is cause for concern, the accrediting local authority should instigate an early review of the service provider's accreditation.

List of Annexes – See Appendix 4

The paperwork to undertake the Evaluation is made up of the following documents.

Please note that only the mandatory document within the pack is the Provider Self Assessment Form. All other documentation can be used flexibly as appropriate/necessary.

Annex 1 - Initial meeting with the Provider Form

On completion, this will identify what information and evidence is required of the Provider and provide an initial plan of how the Evaluation will be undertaken. This will also include discussion on which consultation processes will be undertaken with service users, staff and stakeholders. A Lead Officer from the Provider organisation will need to be identified for issues relating to co-ordination of the on-site review and consultation.

Annex 2 - Provider Self Assessment Form (PSAF) (MANDATORY)

To be completed by the Provider. The form can be completed and returned electronically. The purpose of this document is to gather information from the Provider on the service provided, financial viability and outcomes achieved. Any additional evidence/information can be returned with the PSAF. The information will be utilised to make a plan for the on-site phase of the evaluation.

Annex 3 - Outcomes Qualitative Summary Sheet

An opportunity for Providers to give further explanation and context further to analysing the data provided on their Outcomes Spreadsheet.

Annex 4 - Service User Questionnaire

A questionnaire template and accompanying letter sent with the Notification Pack for distribution to service users which receive a service. A proportional approach may need to be considered for schemes with large numbers of service users. Individual envelopes are also provided to ensure privacy

Annex 5 - Staff Questionnaire

A questionnaire template with accompanying information sent with the Notification Pack for distribution to Staff within each Scheme. Individual envelopes are also provided to ensure privacy.

Annex 6 - Stakeholder Letter

An invitation letter which notifies Stakeholders that the Supporting People Team would like to seek views regarding an identified service.

Annex 7 - Stakeholder Telephone Interview Template

Prompts for information collected via telephone/face to face discussion with stakeholders. Optional use.

Annex 8 - Evaluation Report Template

Report template to record the findings of the Evaluation Process. The template is divided into the 10 areas identified in section E of this guidance. The report aims to assess the quality of the service, how the service is meeting the strategic priorities of the local authority, how the service is meeting outcomes for service users, highlight good practice and identify recommendations for improvement.

Chapter 7: Outcomes and Monitoring

Introduction

- 7.1 The purpose of this chapter is to offer guidance on how we will monitor the effectiveness and utilisation of the services provided.
- 7.2 The chapter aims to provide a model that allows us to understand services but keeps resources targeted at the frontline. The aim is to 'keep it simple'; so that time spent on supporting service users can remain at an optimum level. However, we also need to understand what services are achieving so that we can learn and improve. This Chapter explores how we can most effectively achieve this.

Outcomes

Why collect outcomes?

- 7.3 The purpose of different services is set out at the commissioning phase and within the contract. We can evaluate how well they achieve their intention by collecting outcomes information which can be used to improve services and inform future commissioning decisions.

How will we collect outcomes?

- 7.4 Local authorities, housing-related support providers and the Welsh Government have been working in partnership to develop an outcomes framework. The recent pilot process was broadly welcomed and the move towards an outcomes approach received positive feedback in Professor Sir Mansel Aylward's Review of the Supporting People Programme in Wales.
- 7.5 The Welsh Government will expect all local authorities in Wales to adopt a consistent approach to collecting outcomes data from SP providers; this approach must be one that adds value for the service user.
- 7.6 Welsh Government Guidance published in April 2012 reflects findings from the pilot exercise carried out in 2011/12.

What should be done with the outcomes collected?

- 7.7 The outcomes collected by local authority SP teams will inform on-site reviews, develop their understanding of what all SP services in their area are achieving, be used to help inform Members and other stakeholders of the purpose of different projects, and promote a culture that focuses the measurement/monitoring of services on what is of value to the service user.
- 7.8 We expect RCCs to use this information to advise on whether service delivery has improved across the SP programme in the relevant areas.

- 7.9 The purpose of having a national framework is to drive behaviour towards what is of value to the service user. Over the longer-term, we want to use the national outcomes framework to measure what the Supporting People Programme is delivering and how it contributes to policy objectives.

How will we collect data?

- 7.10 A National Supporting People Workbook that will need to be completed at project level by all providers is currently being developed through 2012/13 by the data sub group of the Quality Services work stream.
- 7.11 Between 2012 and 2014 a database, (the National Supporting People Workbook), will be completed by all providers to allow the Welsh Government, Regional Collaborative Committees and local authority Supporting People Teams to analyse the information, some of which will be available locally, some regionally and some nationally.
- 7.12 Local authority SP teams will also report on what the services they provide are primarily commissioned for, i.e. whether they are focussed on those experiencing domestic abuse, mental ill health, or are generic, etc. and how much they are spending on each area.

What will be done with the data collected?

- 7.13 Through analysing this information, all parties will be able to compare supply to demand and service usage to inform commissioning decisions, service improvement and remodelling.

On-going research

Why commission an external research programme?

- 7.14 The SP Programme is one of the biggest revenue streams funding services in Wales and contributes to a range of policy initiatives. As the Aylward Review flagged up, we have some way to go to be able to fully evidence its effectiveness and value for money.
- 7.15 Therefore, sitting alongside the Outcomes Framework and 'Headline Data' information we are considering how to use external researchers to look at the programme and what it provides.
- 7.16 When commissioned, the purpose of this research will be two fold. Firstly, to explore the effectiveness of the programme, but also to help develop a greater understanding of how it works, who it works for/fails, and explore which models of support offer the best outcomes and value for money.
- 7.17 It will also be used to help raise the profile of the programme, safeguard the support being delivered and help those both working within and outside the programme understand the purpose and impact of housing-related services across Welsh public services.

How will the research be conducted?

- 7.18 Stakeholders will propose a research brief to commission a longitudinal study reviewing the impact of services over a 3-5 year period.

What will be done with findings?

- 7.19 The findings will be shared with all those working within the programme and the relevant parties outside of this. It is anticipated that the findings will help illuminate the impact of the Programme, as well as develop a deeper understanding of what works and what does not.

Chapter 8: Distribution Formula

Introduction

- 8.1 This chapter sets out the arrangements for the distribution of the Supporting People Programme Grant (SPPG), as recommended by Mansel Aylward's independent review. This has been agreed by the Minister for Housing and Regeneration and, for completeness, is contained within this guidance. It also sets out the transition arrangements from the existing funding arrangements the new Grant to help smooth the transition.

Background

- 8.2 In the report published in October 2010, the review team identified that the current formula for distribution of the Supporting People Grant to local authorities was in need of urgent adjustment. The existing distribution is largely provision-based and should move to a distribution based on needs which is more equitable at a local population level.
- 8.3 The review team recommended:
- That serious consideration be given to the introduction of a distribution formula in which the weighting reflects a small number of items which are robust, transparent and include appropriate adjustments for measures of deprivation or its component parts. The sources of data for the proposed formula should be readily retrievable.
 - That the following geographically based measures and their weighted contribution to the allocation (per cent), should constitute a new formula for distribution in the short term
 - Welsh Index of Multiple Deprivation (WIMD) [20%];
 - Social Fragmentation Index (SFI) [20%];
 - Number of people in receipt of at least the middle rate of the care component of Disability Living Allowance (DLA) [10%];
 - Age structure of the population (the proportion of older people living alone) [20%];
 - Local measures of homeless people [30%];
 - That the introduction of a new formula for distribution should take a phased and tapered transition approach to avoid net negative impacts and abrupt changes in the levels of funding to individual local authorities.

Modelling the formula

- 8.4 It is unlikely that there is a perfect solution, but the formula should deliver a distribution arrangement which is more reflective of the current needs base, as well as being more transparent than the current allocation of funding.
- 8.5 The work stream considered and modelled three options:
- The original proposal from the Aylward Review.
 - Alternative weightings which reduced SFI and Homelessness measures with increased WIMD and DLA measures.
 - The weightings as in option (ii) with alternative homelessness data. The original homelessness data within the formula only included unintentionally homeless priority cases. The work stream concluded that a potentially fairer option, because of the different ways in which local authorities collect their data, was to use the data collected for all homeless presentations as this gave a more rounded picture of need. This data was then weighted by reference to local authority population similar to other elements within the formula.
- 8.6 The work stream recommended that option (iii) should be adopted and the Minister for Housing and Regeneration has approved the formula as follows:
- Welsh Index of Multiple Deprivation (WIMD) [30%]
 - Social Fragmentation Index (SFI) [10%]
 - Number of people in receipt of at least the middle rate of the care component of Disability Living Allowance (DLA) [20%]
 - Age structure of the population (the proportion of older people living alone) [20%]
 - Local measures of all homeless presentations [20%]

Future formula refinement

- 8.7 During the work to recommend a formula and suitable transition mechanism to be introduced from 2012/13, it has been proposed that there needs to be further refinement of the recommended formula in 2014/15. This includes additional data on disability and homelessness and the impact of rurality and consideration of the impact of a formula on each of the seven equality strands.

Transitional redistribution arrangements

- 8.8 The review recommended that the introduction of a new formula should take careful account of transition effects that could have significant negative impacts on levels of funding to some individual local authorities. It strongly advocated a phased and tapered approach.

- 8.9 Numerous options have been considered, all of which comprise percentage rises/reductions over a number of years. The potential negative impacts on local authorities that may lose funding must be balanced with the need for reinvestment in local authorities that will gain sufficient to develop new services.
- 8.10 The Minister has indicated that a speedy transition would allow for development of services in areas of need in order to mitigate against potential negative consequences of the UK Government planned welfare benefit changes. Several options have been put forward for Ministerial approval including options for use of additional short term income to minimise the impact. The Minister will make the final decision regarding the scale and pace of change.

Chapter 9: Fairer Charging (For Recipients of Supporting People Services)

Introduction

- 9.1 In April 2011, the Welsh Ministers introduced new Guidance on charging arrangements allowing local authorities to use their discretion to charge for non-residential social services (Introducing More Consistency in Local Authority Charging for Non-Residential Social Services (2011). This Guidance was issued under the Social Care Charges (Wales) Measure (2010). The aim of the 2011 Guidance was to introduce more consistency in charging.
- 9.2 As a consequence of the 2011 Guidance, the Welsh Government is considering how to make arrangements for the future of charging for Supporting People funded services to ensure that there is an appropriate fit with charging for social services.

Background

- 9.3 Over the past three years, the Welsh Government has undertaken two surveys of local authorities' charging arrangements for Supporting People funded services and the Welsh Local Government Association (WLGA) has undertaken one survey.
- 9.4 The results of the three surveys show that there is inconsistency in charging activity across local authorities. The information gained from each survey is widely different implying that we do not have a complete and accurate picture from the questionnaire responses.

The future of charging for Supporting People funded services

- 9.5 The status quo on charging is not an option. The introduction of the 2011 Guidance has created a separation and inconsistency between the charging guidance for social care services and that for Supporting People funded services.
- 9.6 Consideration therefore needs to be given to how we move forward on this complex area to ensure equity for service users across Wales and an assessment of the financial impact of such a policy change will need to be carried out.
- 9.7 The detail around fairer charging will be the subject of further work during the transition period by the RCCs and a Steering Board Work Stream Sub Group. Further Guidance will be published as it is available. In consequence, this work will be taken forward by the Supporting People Steering Board and Workstreams.

Chapter 10: Financial Management

Introduction

- 10.1 This chapter provides detailed information on the roles of Supporting People teams, Regional Collaborative Committees and the Welsh Government in management of the Supporting People Programme Grant. This chapter is intended to assist in the efficient and sustainable delivery of high quality housing-related services via the Supporting People Programme Grant.
- 10.2 It seeks to capture the spirit of partnership working, co design and co production enshrined within the Aylward Review of the Supporting People Programme so that all stakeholders can collaborate as effectively as possible to achieve the aim.
- 10.3 This chapter does not cover all eventualities, but is a summary of the key stages involved in the financial administration of the Supporting People programme.

General principles

- 10.4 The successful development and delivery of an effective Supporting People Programme will, to a large extent, be dependent on the quality and effectiveness of collaborative arrangements between local authorities, service providers, probation, health and other stakeholders.
- 10.5 Strong and positive collaboration at all levels whether local, regional or national will mutually enhance our work and bring direct benefits to service users and the community in general. As a set of underlying principles, all stakeholders should work together to build and develop partnership through:
 - Developing regular and open communication at all levels of the organisations.
 - Improving the understanding of each others roles, responsibilities and cultures.
 - Focussing together on the needs of the existing and potential service users.
 - Being open to opportunities for collaborative working at all levels.
 - Demonstrating in a practical way the benefits that can be gained.
 - Building a joint vision of partnership and the benefits it will deliver.
 - Nurturing a culture to ensure that leadership and engagement are encouraged.

- Ensuring the active participation of the service users in the collaborative administration.
- Celebrating and sharing the success of partnerships.

Roles

Role of Local Authority

10.6 Effective delivery and local management of the Supporting People programme will be the responsibility of local authorities through:

- Bringing forward realistic Supporting People services to meet local as well as regional strategic aims.
- Ensuring that services meet the cost guidelines, provide value for money and comply with current grant Guidance.
- Developing in partnership with stakeholders robust local strategies to identify needs and priorities.
- Managing commissioning and procurement of services in accordance with relevant legal requirements, the Authorities' standing orders and having regard to the Supporting People Programme Grant Guidance and any other relevant guidance.
- Prioritising schemes on the basis of established and transparent criteria including carrying out Equality Impact Assessments on how Supporting People Programme Grant is allocated.
- A Local Commissioning Plan to present realistic spend proposals, by spend category/service user group, for local multi-year programmes.
- Selection of service providers for schemes based on transparent criteria.
- Implementation and management of the outcomes framework.
- Preparation of a Spend Plan for submission to the RCC as part of the local commissioning plan.
- Managing any slippage/variance in the Supporting People Programme Grant programme if under 10% of spend category/service user group budget.
- Seeking the approval of the RCC for variances above 10% of the spend category/service user group budget or virements between local authorities.
- Agreement of appropriate performance monitoring measures with the Welsh Government.
- Ensuring that all documentation relating to Supporting People Programme Grant funded schemes is available for the Welsh Government if required.

- Ensuring the Spend Plan within the commissioning plan reflects levels of need within the local and regional area.

Local Authority Coordinating Role

10.7 In each region there will be one coordinating local authority that will:

- Ensure dialogue and collaboration between the local and regional levels with an aim to resolve any issues before spend plans are put to local authority members.
- Collate the proposed Regional Commissioning Plans for the local authorities in that area.
- Organise RCC meetings.
- Maintain a register of services that may be commissioned or procured at short notice.
- Employ a Regional Development Coordinator funded by Welsh Government.
- Develop and support effective partnership working within the region on Supporting People.
- Support the RCC so that it functions effectively and is appropriately serviced.

Role of Regional Collaborative Committees (RCCs)

10.8 The full role of the RCCs is detailed in Chapter 2. The roles listed below are those linked specifically to aspects relating to Financial Management which include:

Recommendations to the Welsh Government and Minister on:

- Local and regional spend via Supporting People Plans against service user group priorities.
- Any variation of over 10% of the funding for a service user group for the current financial year compared to the previous financial year within the Local and Regional Supporting People Plan and within the region.

Planning

- To produce the draft Regional Commissioning Plan, including a Spend Plan which is submitted to the Welsh Government for consideration.
- To recommend escalating any issues that cannot be resolved through local and/or regional collaboration to the Minister.
- To ensure that the opinions of service users are actively considered as part of recommendations made to Welsh Government.

- To ensure local authorities provide appropriate monitoring information of SP spend including timely identification and reporting of under spend.
- To develop an awareness of local, regional and national SP services in order to identify opportunities to realise efficiencies by coordinated planning and provision of services.

Role of the Welsh Government

10.9 The Welsh Government will:

- Receive plans submitted by RCCs, for consideration.
- Manage the escalation of issues that cannot be resolved by collaboration between the local and regional levels to the Minister for further examination.
- Provide indicative budget allocations for up to 3 years, subject to appropriate caveats.
- Allocate Supporting People Programme Grant resources to local authorities based on the agreed formula taking into account Regional Commissioning Plans.
- Administer the payment of grant to local authorities.
- Monitor and evaluate the Supporting People Programme Grant programme.
- Carry out sample checks on project applications and grant payments and where necessary claw back grant if there are areas of non-compliance with Supporting People Programme Grant procedures.

Supporting People Programme Grant Budget

10.10 The Welsh Government publishes its overall Budget in January of each year. This will include the amount of Supporting People Programme Grant available.

10.11 For planning purposes, the Welsh Government will provide indicative budget allocations to local authorities for up to 3 financial years, based on future planned Supporting People Programme Grant provision. This will mean that local authorities will have a firm budget for the first year based on the allocation formula. The budget for the following 2 years will be indicative and therefore provisional because the Welsh Government's own budget is only set one year in advance. Amounts may be subject to change either upwards or downwards in line with overall budget pressures and reviews of the Supporting People Programme Grant funding distribution formula. In addition, the Welsh Government reserves the right to review allocations to individual local authorities.

Allocations

- 10.12 The Welsh Government will allocate the Supporting People Programme Grant based upon the new distribution formula and the Regional Spend Plans by spend category/service user group.
- 10.13 A needs based funding distribution formula, as recommended in the Aylward Review, has been adopted. The formula weighting has been adjusted in consultation with stakeholders and this formula will be subject to review. The use of a formula will stimulate a desirable emphasis on the identification and gathering of data which more accurately and properly reveals the nature and extent of needs of citizens requiring support under the programme than the system that has been used in the past. More detail about the formula is included in Chapter 8.
- 10.14 Letters notifying indicative Supporting People Programme Grant allocations for the forthcoming financial year will be issued to local authorities each December.
- 10.15 Following the approval of the Welsh Government budgets in January/February, each local authority will receive a Supporting People Programme Grant grant offer letter in March of each year for commencement of the grant in April.
- 10.16 The offer will take the form of a firm allocation for the financial year which begins in the following April and indicative allocations for the 2 years thereafter. This will enable local authorities to effectively plan over a 3 year period.

Putting in place Local and Regional Commissioning Plans

- 10.17 It is the responsibility of the local authority to develop a proposed Commissioning Plan which will be collated by the coordinating authority into a proposed Regional Commissioning Plan for submission to the RCC.
- 10.18 In addition, the local authority will present spend and development proposals for discussion to the RCC in order to inform and develop the short and long term regional plans.
- 10.19 In developing their Commissioning Plans, authorities must work with local partners and RCCs to ensure that the plans are realistic, deliverable and aligned with the regional strategy, recognising any identifiable obstacles to delivery, having regard to the likely level of resources available within each year and period covered by the plans.
- 10.20 In developing and agreeing their proposed Commissioning Plans, local authorities should have mechanisms for ensuring appropriate

regard to the views of local authority members; this includes formal agreement to the proposed Spend Plans to be submitted to the RCC and corporate sign-off arrangements which ensure that the plans are in place in time to appropriately support and facilitate delivery.

- 10.21 Local authorities will prepare their Spend Plans to ensure that their full allocation is committed to deliverable services which meet the local priority needs as well as the local and regional strategic aims.
- 10.22 The plans should be regularly reviewed and updated, and should be amended in consultation with the RCCs and Welsh Government as appropriate to reflect any significant changes to circumstances affecting any of the services

Supporting People Programme Grant Spend Plans, Monitoring and Grant Process

- 10.23 The Spend Plan proforma specifies the local Supporting People Programme Grant spending plan intentions for year one of the Local Commissioning Plan. LA's will submit their Spend Plans for consideration by the RCC who in turn will submit it, as a part of the collated Regional Spend Plan and Regional Commissioning Plan, to the Welsh Government for consideration and allocation of grant. Where any issues cannot be resolved by collaboration between the local and regional levels, they will be escalated to the Minister for further examination within two weeks of receipt.
- 10.24 It is recognised that programmes are fluid and will be subject to change. Local authorities should submit quarterly updates of their Spend Plans to the RCC by the end of the first month in each quarter. The RCCs will then submit these to the Welsh Government . .
- 10.25 The timetable for the submission of the Commissioning Plans including Spend Plans and the associated payments is attached at the end of this chapter (Annex A). Up until March 2013, payments will be monthly in arrears and for 2013/14 onwards, payments will be made to local authorities quarterly in arrears. For the transition year Commissioning plans will focus on the spend plan and commissioning information will be passed on the 2012/13 Supporting People Operational Plan.
- 10.26 A pro-forma for the Spend Plan which shows the level of detail required is at Annex B.
- 10.27 The Welsh Government will consider the Spend Plans. The performance of the RCCs and local authorities will be judged according to the extent to which schemes are delivered according to the agreed plans.

- 10.28 Any material changes to a service which represent a change of greater than 10% of the total for a spend category/service user group in the Spend Plan must be notified by the local authority to the RCC for consideration. The RCC will provide advice to the Welsh Government who will consider for approval. This is a condition of the Grant and failure to observe this will result in the local authority being in breach of the grant conditions.
- 10.29 It is accepted that in the case of services yet to be commissioned, the amounts of spend shown against individual spend category/service user group in the Commissioning Plan may be indicative only.
- 10.30 The RCC will advise the Welsh Government of outturn expenditure quarterly and at the end of the financial year. Expenditure monitoring throughout the year will be an integral component of the local authority programme management role.

Managing slippage and spend

- 10.31 Local authorities will be able to exercise the necessary programme management control through the selection of SP services that balance regional and local priorities, needs and deliverability. Services need to be within the context of the agreed Spend Plan approved by Welsh Government – with local authorities having the ability to move funding between service user groups at up to 10% of each service user group budget.
- 10.32 Where a local authority recommends a movement of funding between spend categories, declared on the approved Spend Plan, represents a change of 10% or greater to that category, then agreement should be sought with the RCC who will submit a recommendation to the Welsh Government for consideration and approval.
- 10.33 Where there is a need to undertake virement of funding within region but across local authorities, then the proposal must be agreed by the local authorities. The RCC will then submit their recommendations to the Welsh Government for consideration and approval.

Performance

- 10.34 During 2012/13, options will be considered for measuring local authority and provider financial performance.
- 10.35 An evaluation of these finance management processes will be undertaken in 2013/14.

Annex A

Supporting People Spend Plan Timetable for the Transition Year – 2012/13

Please note: Commissioning Plans including the spend plan will need to be prepared on an annual basis.

Date	Action	Actionee
August 2012	Local authorities SP Teams prepare proposed Spend Plan in consultation with stakeholders for August 2012 – March 2013 based upon indicative figures given.	LA SP Team
August 2012	Local authorities SP Teams finalise local SPPG proposed Spend Plans for the transition year for local authority political approval.	LA
August 2012 (and monthly thereafter)	First payment of SPPG to local authorities (1/8 th of remaining grant) on or near the final working day of the calendar month.	WG
September 2012	Local authorities forward proposed Spend Plans to the co-ordinating local authority for their RCC.	LA
September 2012	Co-ordinating local authority collates each proposed Spend Plan and produces a draft Regional Plan.	LA
September 2012	RCC consider draft Regional Plan. RCC forward draft Regional Plan to Welsh Government for consideration, advising whether agreed by RCC or in exceptional cases advising of areas of contention.	RCC
Sept/Oct 2012	Welsh Government considers Regional Spend Plans and decides on allocation of funds.	WG
	<i>The Welsh Government recognise that this is a challenging timeframe. Whilst delays may occur, Regional Spend Plans should be agreed and in place no later than mid October 2012</i>	

Supporting People Spend Plan Timetable – 2013/14, 2014/15 and 2015/16

Date	Action	Actionee
Oct/Nov 2012	Local authorities SP Teams prepare proposed Spend Plan in consultation with stakeholders for the next three financial years (2013/14, 2014/15 and 2015/16).	LA
December 2012	Welsh Government to issue indicative forward allocations to local authorities.	WG
December 2012	Local authorities SP Teams submit local SPPG proposed Commissioning Plans, including spend plan, for the following three year period for local authority political approval.	LA
December 2012	Following political approval, Local authorities forward proposed Commissioning Plans to the co-ordinating local authority for their RCC.	LA
January 2013	Co-ordinating local authority collates each proposed Commissioning Plan and produces a draft Regional Plan.	LA
January 2013	RCC consider draft Regional Commissioning Plan. RCC forward draft Regional Commissioning Plan to Welsh Government for consideration advising whether agreed by RCC or in exceptional cases advising of areas of contention.	RCC
February 2013	Welsh Government budgets are confirmed.	WG
February 2013	Welsh Government considers Regional Spend Plan and decides on allocation of funds.	WG
March 2013	Welsh Government issues 2013/14 offer packs to local authorities.	WG
	For the 2013/14 Spend Plan, the timescales above should be adhered to.	

Annex B

Spend Plan Pro-Forma 2012-13

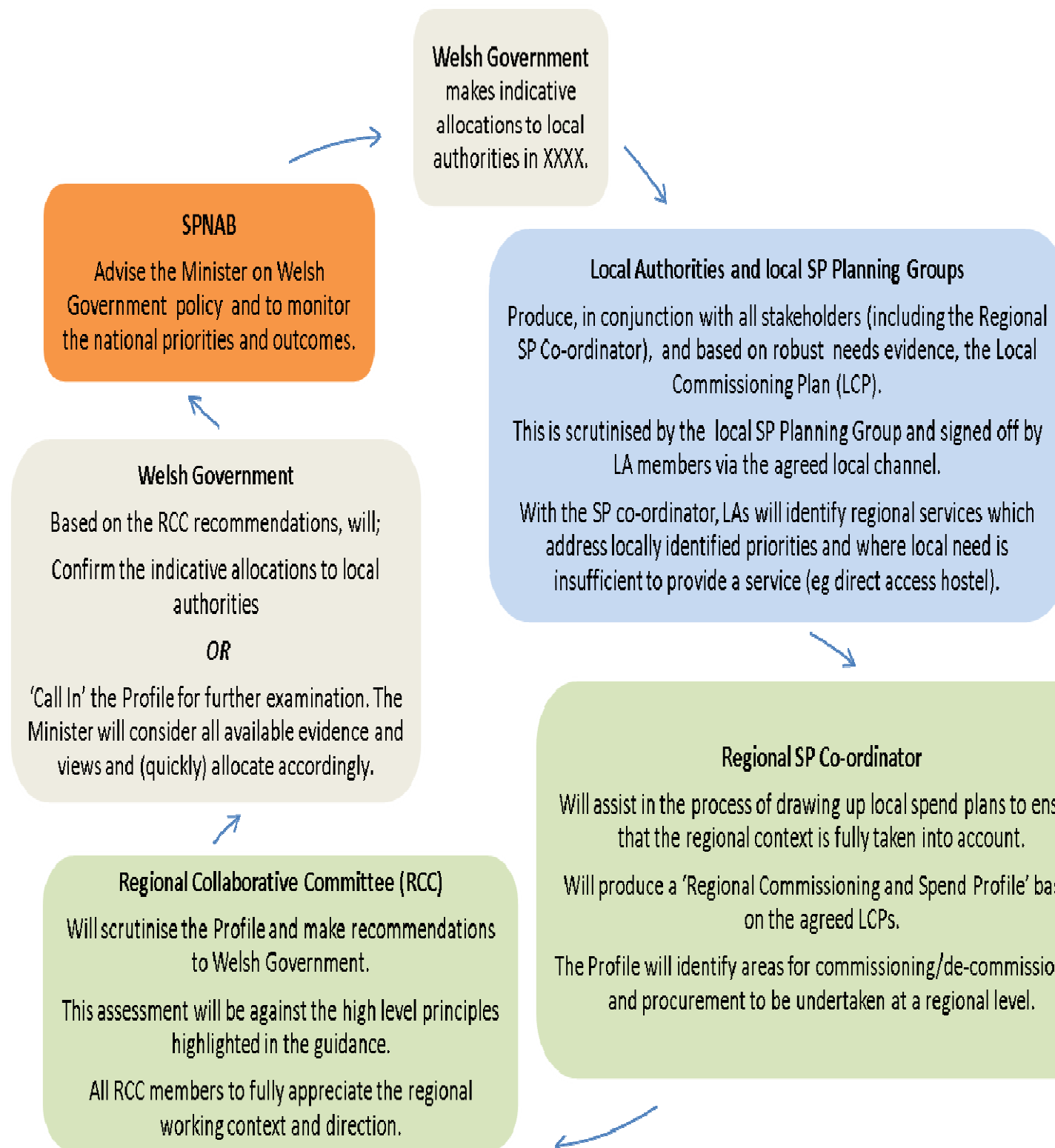
Regional Collaborative Committee:	
Local Authority:	
Annual Allocation:	

The Total SPPG must not exceed the Annual Allocation

Client Spend Category (The category to which the service is primary focused)	Service Type												Total	Local Authority Contribution	Proposed (Reserved) Service Plans		
	Fixed Site (Accommodation Based)						Floating (Community Based)								Client Units	Cost	Comments
	Client Units	Less than 6 Months	Client Units	6 to 24 Months	Client Units	24 Months plus	Client Units	Less than 6 Months	Client Units	6 to 24 Months	Client Units	24 Months plus					
Numbers	£	Numbers	£	Numbers	£	Numbers	£	Numbers	£	Numbers	£	£	£	Numbers	£		
Women experiencing Domestic Abuse																	
Men experiencing Domestic Abuse																	
People with Learning Disabilities																	
People with Mental Health Issues																	
People with Alcohol Issues																	
People with Substance Misuse Issues																	
People with Criminal Offending History																	
People with Refugee Status																	
People with Physical and/or Sensory Disabilities																	
People with Developmental Disorders (i.e. Autism)																	
People with Chronic Illnesses (including HIV,Aids)																	
Young People who are Care Leavers																	
Young People with Support Needs (16 to 24)																	
Single Parent Families with Support Needs																	
Families with Support Needs																	
Single People with Support Needs not listed above (25 to 54)																	
People over 55 years of age with Support Needs (this category must be exclusive of alarm services)																	
Generic/Floating Support/Peripatetic (tenancy support services which cover a range of user needs)																	
Alarm Services (including in sheltered/extra care)																	
TOTALS																	

**Please do not alter the format of this document.
Deviations from the prescribed format will not be accepted.**

Appendix 1: Supporting People Resource Allocation Governance Flowchart



Appendix 2: Procedure for Regional Collaborative Committees

Agenda

Standard agenda for RCC meetings should include:

1. Accreditation
2. Financial position against budget
3. Needs mapping (on a regional basis including a gap analysis)
4. Outcomes and performance management (including service reviews)
5. Proposals for strategic remodelling
6. Commissioning and procurement
7. any other issues

Selection and de-selection of members

- Each agency shall nominate their own representative/s but with the aim of achieving overall representation of interests identified.
- Members shall serve for a term of three years, after which time they must stand down but may offer themselves for reselection. During the first 5 years of operation, interim arrangements will be made so that there is a staged process and not all members resign in the same year.
- Representatives are expected to attend at least 75% of meetings. If they fail to do so, the agency that nominated them will be asked to provide an alternative representative
- All stakeholders are encouraged to ensure that they are fully represented and continued failure of any agency to ensure representation will be reported to the National Board

Conduct of RCC

Members of the RCC will be expected to work at all times according to the Nolan principles of public life..

The RCC is advisory only and, whether collectively or through its individual members, may not: in particular -

- a) Incur expenditure;
- b) Enter into agreements or contracts;
- c) Make decisions or purport to take any action on behalf of the Minister or the Welsh Government or any other body; or

- d) Make any statements or engage in any press or media coverage without the written permission of a named official of the Welsh Assembly Government.
- e) The RCC and its members are asked not to make statements without first consulting with the Welsh Government.

Code of Conduct

RCC members agree to:

- Contribute time, expertise, and enthusiasm to ensuring effective operation of the Regional Collaborative Committee
- Attend at least 75% of RCC meetings
- Contribute in an open and honest manner
- Recognise, respect and draw upon the contributions of each member
- Ensure principles of equality and diversity underpin the work of the Group
- Positively promote the work of the RCC and raise the profile of Supporting people
- Facilitate opportunities for discussion/debate in their own organisation/network and ensure effective 2-way communication
- Seek to influence the aligning of other resources to the work of the SP Programme, where this is appropriate.
- Be accountable for their actions and decisions observe confidentiality
- Make recommendations based on merit and in the interests of the SPPG work programme
- Adhere to the 'Conflict of Interest Policy' and complete an annual Declaration of interest form.
- Accept majority recommendations
- Prepare appropriately for RCC meetings.

Responsibilities of the Chair and Vice Chair

The Chair (and in their absence vice chair) of the Regional Collaborative Committees have particular duties and responsibilities. The Chair should always remember that he or she is acting on behalf of the RCC and the Supporting People Programme and not in isolation.

The essential duties of the Chair are to:

- (a) Ensure the efficient conduct of the RCC's business.
- (b) To ensure the RCC operates in line with all SP guidance.
- (c) Ensure that all RCC members are given the opportunity to express their views before an important recommendation is taken
- (d) Ensure that any conflict of interest on the RCC is dealt with correctly.
- (e) Take decisions delegated to the Chair with the advice of the Regional Development Worker represent the RCC when necessary.
- (f) Ensure good and effective communication with the other RCCs.
- (g) Develop positive relationships between the RCC and the constituent local authorities including with elected members and act to resolve conflict.
- (h) Establish a constructive relationship with, and provide support for, the Regional Development Worker.
- (i) In partnership with the RCC and the Regional Development Worker to recommend the regional development priorities
- (j) Review the composition of the RCC and the skills of its individual members.
- (k) Review the attendance of the RCC's members and bring to the attention of the RCC if individual attendance or conduct of members is not in line with the SPPG guidance.
- (l) The Chair will be required to delegate their duties to the Vice Chair if there they have a conflict of interest about a matter that is being discussed.

Decision making and reporting

1. The expectation is that the RCC will try to reach a decision with which all members can agree
2. The quorum shall be one half of the RCC membership and should include at least one LA representative and one representative from either providers or CHC. Deputies will be allowed to attend but only if identified and formally approved on deputy register – to be reviewed and updated once annually. Where financial matters are being decided if there is a significant conflict of interest it is expected that relevant members would leave the room when these matters are being discussed.
3. Each Regional Collaborative Committee will be expected to demonstrate to the SPNAB that they have developed and fully implemented a voting and decision making system that upholds the High Level Principles of the programme in particular the principle of equality of ownership, co production and collaboration.
4. Where a majority decision is made, the minutes will make clear the voting and will describe the reasons for the dissent.
5. Summary reports of RCC decisions that were not unanimous will be provided to the SPNAB if required.
6. Where an issue of importance arises which necessitates formal discussion in order to reach an urgent decision, an additional meeting of the RCC may be called by the Chair (in consultation with the Vice Chair and other Board members).
7. An annual report on the operation of the RCC will go to the National Board.
8. All reporting of the RCC will be public except for confidential or business sensitive information, for clarity service reviews will be public information.
9. The RCC will work in partnership with the Regional Development Worker to prepare the agenda, in addition to programmed business, and to discuss any changes to the programme of work of the RCC and/or meeting dates.
10. Minutes of meetings shall be circulated to each member, present or not.
11. Minutes of meetings will be produced and hosted on the Welsh Government website (minus any confidential material).

12. Conflict of Interest

The Chair will establish at the beginning of each meeting whether any conflict of interest exists and how it should be dealt with. The Conflict of Interest procedure is attached.

For clarity the following parties have a responsibility to ensure that the operation of the RCC is not compromised by any conflicts of interest:

- The individual RCC member
- The Chair
- The stakeholders which has selected the member, e.g. providers forum which may deselect representatives who do not behave appropriately.

With specific regard to commissioning and procurement, it is the role of provider members to not represent that interest, for example by giving information on the impact on providers of different procurement models.

Once a project has been proposed by the RCC it will be managed by the SP teams in the region. The RCC will receive information through the budget monitoring function of spend. The provider representatives (and this may include local authority representatives where they are also providers) should not be privy to any detailed procurement information where this might give them an unfair advantage over other providers. It is not anticipated that Regional Collaborative Committees would discuss detailed procurement information. However, where there is a conflict of interest, this should be declared and registered the Chair should ensure that the affected representatives are not part of that discussion.

The Conflict of interest guidance will be reviewed as a part of the review of the Supporting People Implementation Project review.

Problem Solving and conflict management

Problem Solving

Where an RCC considers there are issues locally on performance, the chair of the RCC will take the following steps:

Step 1. Arrange an informal meeting of the Regional Development Worker and the Welsh Government Governance officer, with the local authority and relevant stakeholders to identify the issue and agree a common way forward.

Step 3. Raise the matter formally with the Chair of the Supporting People Planning Group of the local authority.

Step 4. Refer the issue to the Welsh Government and the SPNAB.

Step 5. If the local authority persistently fails to operate effectively or to comply with guidance, it will be the responsibility of the Welsh Government to consider appropriate action. Options will include the withdrawal or reduction of grant and the possible reallocation of funds to other local authorities.

Conflict Management

Where there is a disagreement between the RCC and one or all of the constituent local authorities, the following process will be adopted:

Step 1. The Chair will attempt to facilitate a solution.

Step 2. The Chair will request assistance with the Regional Development Worker and from the Welsh Government officials to informally meet with the local authority(ies) and agree a way forward.

Step 3. If the disagreement has not been resolved; it will be referred to the Supporting People National Advisory Board. The Welsh Government will consider whether there is compliance with the Grant Conditions, and take action accordingly.

Appendix 3: Modelling Scheme Costs

Introduction

The costs associated with schemes should be a conclusion of a clear commissioning process, based upon the services required to achieve the agreed outcomes and provide a quality service to users.

This guidance contains some information which reflects average costs of current schemes. These are not intended to be a tariff, but a benchmark to aid discussion about costs.

Both local authorities and providers are expected to work together to optimise the grant available to provide the best services to the most people.

It is recognised that, depending on a number of factors, different schemes are likely to incur different (higher or lower) costs. Where costs deviate from the norm, a clear rationale with supporting evidence to explain the deviation should be used to arrive at agreement where possible.

If agreement cannot be reached, the Supporting People team should raise the issue with the Supporting People Planning Group and the Regional Collaborative Committee.

Guidance on the various elements of costs is set out below.

1. Staff costs considerations

When developing the core staff costs the following elements need to be taken into consideration.

- 1.1. The number of support staff required and the Support Worker benchmark salary of £21,500. Consider the variance in salary where there is a significant increase / decrease from benchmark due to for example, level of expertise, level of responsibility and skill set. Consider the appropriateness and need for higher salary. Consider the proposed structure and the use of Support Assistant roles where appropriate.
- 1.2. There should be a clear outline / demarcation of responsibility between the Support Worker (and equivalent) and Support Assistant (or equivalent) e.g. level of accountability in relation to the support planning and risk assessment process and general level of responsibility.
- 1.3. In traditional SPG funded schemes the same process should be used, looking at level of responsibility in terms of support planning and risk assessment. A survey to benchmark salaries in these schemes will be undertaken and will be included in this Chapter when complete. Staff costs for existing SPG schemes will be assessed on the basis of their

current salaries. New schemes will be assessed in the context of the average costs for these scheme types.

- 1.4. Where a Support Worker also provides care, it is only the support element of their role that should be funded under the Supporting People Programme.
- 1.5. A Project Service Specification including scheme specific outcomes should continue to drive the nature and intensity of the staffing structure including differing grades of Support Worker.
- 1.6. Local authorities should consider within the Service Specification the nature and intensity of the scheme which should be reflected in the level of skill and qualification required. This will assist with determining level of appropriate salary costs / need and nature of staff and management structure.
- 1.7. Staff on costs as an average percentage are 35% of staff salaries, which include tax, pension, national insurance, holiday and sickness.
- 1.8. Again, consider any variance. This figure is dependent on the levels of full and part time staff. On costs should be determined by 'actual costs' which can be verified via project expenditure information.
- 1.9. Training and travel can be included as a staff cost for the purpose of determining proportion of salary to overhead cost.
- 1.10. The delivery of support may in some schemes generate higher costs e.g. translation services or child worker costs.

2. Management/supervision

- 2.1. In designing the scheme there is a need to explore the level and appropriateness of management / supervision required. This should reflect the nature and intensity of the service provision, the level of required expertise and the perceived risk. Benchmarking with similar services may provide a guide. There will be a need to consider the point at which the management function should be considered 'central management rather than part of the specific scheme costs. For example, where there is clear separation of day to day management of service delivery from the management function that supports infrastructure. Where so identified, such costs would move over to the management overheads section for consideration of cost.

3. Staffing on-costs: consideration of variations from the benchmark

3.1. Travel:

- Consider the nature of service i.e. lower costs would usually be expected in fixed schemes.
- Consider the nature of support i.e. floating support will generally generate higher travel costs.

- Consider distances involved i.e. Rural travel may involve higher costs and benchmark with other similar services to guide levels.
- Look at the proportion of travel directly linked to the transport of service users linked to support plan goals.

3.2. Training:

- Consider the nature of the service, the level of expertise required, core and non-core training expectations. This should relate to the outcome focused service specification and job descriptions.
- Explore the possibility of inter-agency collaboration where appropriate which may facilitate a more cost effective and flexible model to meet the training requirements. Consider a role in the coordinating this especially where there are multiple small schemes.
- In-house training will still generate cost e.g. development of packages, personnel etc.

3.3. 24 hour provision

- All of the above considerations will apply; in addition there will be scheme specific requirements that will need to be considered to establish the reasonable cost of the project:

3.4. Sleep-in shift allowance

- Fixed provision can take a variety of forms and it is logical that the higher the levels of staff the greater the degree of risk or unpredictability and complexity of support need.
- The following is a reference point to suggest the volume of staff that may be necessary in some settings. It does not imply that staffing levels should in every instance be fixed and consideration should be given to flexible working where appropriate e.g. baseline staffing with targeted intervention utilising higher levels at certain times of the day as well as off-site or community based support sessions to meet service users' needs.
- One person cover (wakeful) – 168 hours – minimum 4.8 staff
- One person cover (sleep – in) – 98 hours – minimum 2.8 staff plus sleep-in (based on 70 hours = 10 hr. shift)
- Two person cover (wakeful) – 336 hours – minimum 9.6 staff
- Two person cover (sleep – in plus wakeful) – 266 – minimum 7.6 staff plus sleep-in (based on 70 hours = 10 hour shift)

3.5. On - call

- Consider the need for on-call provision. Consider the need for payment of a shift allowance.

3.6. Handover

- Consider need to build in additional hours for shift handover. This will depend on the nature of service, minimum staffing levels and pattern of the rota, where for example, staggered or overlapping shifts can enable handover.

3.7. Housing Management and maintenance costs

- These are usually integral to the individual tenant's rent, most of which is eligible for Housing Benefit. There should be an expectation of greater degree of wear and tear, cyclical redecoration, replacement and refurbishment in 24 hour high staff schemes.
- The analysis of staffing hours should identify the additional housing management requirement which will form part of the rent attributed to the tenant and housing benefit (subject to eligibility).
- Consider an allowance for those on restricted single room rents regarding eligibility for housing benefit.
- Depending on the outcome of the consultation into the payment of Housing Benefit in supported housing projects, how housing management and maintenance costs are covered may need to be reviewed.

4. Central Management Overheads

- 4.1. Average x % (to be established by benchmark exercise).
- 4.2. There should be a general understanding that realistic full cost recovery principles should apply.
- 4.3. These will include for example, office costs, stationary, rent, advertising, communal furnishings, cyclical repair and redecoration etc.
- 4.4. Consider economies of scale.

5. Central Management Governance

- 5.1 Average x % (to be established by benchmark exercise).
- 5.2 In consideration of these costs there should be a general understanding that realistic full cost recovery principles should apply.
- 5.3 These will include central finance, human resources, and central managers. This should be appropriately apportioned to the scheme where multiple schemes exist. This would also include Directors remunerations for smaller organisations, or a return on investment. Consideration should be given to economies of scale where appropriate.

Appendix 4 – Monitoring and Strategic Evaluation Annexes

Annex 1 - OPTIONAL

INITIAL MEETING WITH THE PROVIDER	
Service for evaluation	
Date of on site visit	
Officer undertaking the evaluation:	

Notes to accompany table below:

- As part of the evaluation the SP officer (s) should meet with the manager / lead person responsible for the project /scheme
- The Supporting People team officer who is undertaking the evaluation may require sight or copies of documents, statistical information and policies and procedures outlined on the following pages
- Please compile any additional information you want to illustrate the points you want to make e.g. case studies, notes of tenant meetings, details of trips or social events, things that have worked really well and any feedback/letters from residents or other stakeholder
- Many thanks, ([name and contact details of officer undertaking the Evaluation](#))

Contact	Issues to be covered (as appropriate)	Date	Approx time required
Meeting with manager responsible for the scheme/project	<ul style="list-style-type: none"> • General questions relating to the organisation and how the service fits into the organisation and the strategic aims of the Regional Collaborative Committee and overall Supporting People strategy • Agree timetable for the evaluation 		
Additional information	<p>Examples of other information which may be required during the on site part of the evaluation if not already provided as supporting evidence within the PSAF:</p> <ul style="list-style-type: none"> ▪ Training matrix for all project staff ▪ Quality assurance records (including latest annual review) ▪ Business plan ▪ Team meeting minutes ▪ Service user meeting records (if applicable) ▪ Complaints / comments / compliments ▪ Day book / daily diary (if applicable) ▪ Health and safety records ▪ Safeguarding information (adult / child) ▪ Tenant / service user handbook ▪ Complaints system ▪ Challenging incident records ▪ Evidence that CRB undertaken ▪ Policies & procedures ▪ Evidence of service user involvement 		
Meetings with staff	<ul style="list-style-type: none"> • We need to hold interviews with a maximum of 25% of staff (take a proportional approach) working in the service and this should cover different roles. 		

Staff files	<ul style="list-style-type: none"> We will need to see some of the staff files – a minimum of 4 – <i>(take a proportional approach)</i> You will need people’s permission for SPT to do this - we only want to see files where people have agreed to this. 		
Meetings with service users	<p>A proportional approach will be taken to staff and service user consultation and file sampling</p> <ul style="list-style-type: none"> We will need to see a maximum of 10% (of the number of units). The questions asked will relate to the service they receive covered by the SPPG service specifications and national outcomes framework – it will be made clear that they do not need to answer questions if they wish not to. Service users will be told that they can be accompanied if they wish. 		
Service users files	<ul style="list-style-type: none"> We will need to see some of the service users support files You will need to seek service user’s permission to do this and we only want to see files where people have agreed to this. 		

Annex 2 – MANDATORY

**Supporting People
Provider Self-Assessment Form (PSAF)**

1. Contractual Information

Name of Provider:	
Name & Address of the service :	
Project / Scheme title:	
Number of Units: (baseline if variable)	
Person completing the form	
Date form completed	

2. Strategic Context

Please outline referral, access and assessment procedures

Details of project structure	
Details of partnerships and stakeholders	
Describe how the project links with strategic plans at a local, regional and national level.	

3. Finance

**Please note that the requirements listed below may have already been provided to the Supporting People Team prior to the Evaluation e.g. via Contract Liaison Meetings, regular financial / returns monitoring.*

Please detail financial information as indicated below for each Project.

Additional information will be sought either prior to, or during the on-site visit (see list). For further information, please contact

Please provide financial information relevant to the provision of this housing related support service

List of support staff, salary rates & hours worked. Please refer to cost guidance (Supporting People guidance document)

Evidence that the service is financially viable.	Please indicate if attached / provided	Reason if not provided
Report on project expenditure		
Annual budgets for each project prior to the start of the year		
Details / breakdown of Management Charges		

4 Service User Consultation

Please list all consultation and participation processes	
Provide information on how these processes have resulted in change / improvement to service provision	
Provide information on how potential service users and stakeholders are made aware of the scheme	

Further comments (if required)

5. Outcomes

Please provide a completed Outcomes Spreadsheet for each scheme for the six month period

Please provide the qualitative information within the Outcomes Summary Sheet (Appendix 3) for the corresponding outcomes collation period.

6. Ending Support

Do you collect information on service users whose support has ended (move on monitoring)?	
Yes (please provide details)	
No	
Describe processes for the provision of post cessation support	

7. Safeguarding

Provide information on how the scheme ensures that risks to service users/ staff are assessed and managed appropriately

[Empty response area for providing information on risk assessment and management.]

8. Ensuring Staff are equipped to support Service Users to achieve outcomes

<p>Describe arrangements for supporting & supervising staff</p>	
<p>Other training and development opportunities provided</p>	

9. Ensuring Accommodation is conducive to achieving outcomes

<p>Does current accommodation meet the needs of the service user?</p>	
<p>Is the accommodation appropriate for the service user?</p>	

10. Reviewing quality to ensure that the service can deliver outcomes

<p>Provide a written description of the methods used to review the quality of the service under the following areas; (This should include information on how you plan, monitor and evaluate service provision, also providing information on action for improvements if identified).</p>	
<p>Please provide a copy of the following:-</p>	<p>Please tick to indicate return</p>
<p>Recent quality assurance review</p>	<input type="checkbox"/>
<p>Most recent annual review which include plans for the service over the next 12 months</p>	<input type="checkbox"/>
<p>Current business plan</p>	<input type="checkbox"/>
<p>Complaints / concerns / compliments /</p>	
<p>Number of complaints received since the last service review</p>	<input type="checkbox"/>
<p>Provide information on any changes made as a result of a complaint / concern / suggestion</p>	<input type="checkbox"/>

11. Stakeholder Identification

Please list a minimum of three relevant stakeholders. Please note that as part of the review process the Supporting People team will make contact with individuals listed and may also contact other relevant stakeholders to seek their views.



Annex 3 - PSAF

**SUPPORTING PEOPLE SERVICES PROVIDER
OUTCOMES SUMMARY SHEET**

The outcomes spread sheet is a small part of a range of information on the outcomes of a scheme. We therefore need to supplement this with other information from providers to gain further understanding of outcomes information and the general conclusions you are able to draw from the outcomes spread sheet.

It is vital that providers analyse the information within their outcomes spread sheet and provide further explanation and context on the outcomes whether they are met / partially met/ or not met. This information could be supplemented by case studies to further demonstrate emerging themes and /or barriers in achieving outcomes.

We are therefore requesting that on return of the outcomes spread sheet to the Supporting People team you could also provide in detail an analysis of your conclusions in each of the following areas under each outcome heading:

- Emerging themes for completed outcomes
- Emerging themes for partially / not met outcomes
- Internal and external barriers for partially / not met outcomes
- What you feel worked and what didn't
- Any other relevant information

Name of provider:						
Project / scheme title:						
Please indicate length of service	UP TO 6 MONTHS		UP TO 2 YEARS		OVER 2 YEARS	

Promoting Personal and Community Safety	
Feeling safe	
Contributing to the safety and well being of themselves and of others	

Promoting Independence and Control	
Managing accommodation	
Managing relationships	
Feeling part of the community	

Promoting Economic Progress and Financial Control	
Managing money	
Engaging in education / learning	
Engaging in employment / volunteering opportunities	

Promoting Health and Wellbeing	
Physically Healthy	
Mentally Healthy	
Leading a healthy and active lifestyle	

Date

Dear <<<service user name>>>

We are currently looking at <<<provider name>>> and would like to know what you think about them.

We have attached a questionnaire and would be extremely grateful if you would complete it and return it in the envelope provided.

Anything you tell us is confidential and we will not share it with anyone outside the council without your permission.

Yours sincerely

**Evaluating Officer
Supporting People Team**

CONTACT THE ABOVE FOR THIS INFORMATION IN YOUR PREFERRED
FORMAT
CYSYLLTWCH A R UCHOD I GAEL WYBODAETH YN Y FORMAT O'CH DEWIS

Data Protection Act

Any communication will be deemed unrestricted unless you mark your reply 'Restricted Information'

Deddf Diogelu Data

Ystyrir pob cyfathrebu yn anghyfyngedig os na Nodwch ar eich 'Hwybodaeth Gyfyngedig'.

Service User Questionnaire

What type of help do you receive?	
Where do you receive it?	

1. **How long have you been receiving it?** Please tick ✓

0-6 months

up to 2 years

2 years+

2. **Has <<<provider name>>> helped you with any of the following:**

	Please Tick ✓		If yes, as a result of support do you feel the same, better or worse? (please ✓)		
	Yes	No	Same	Better	Worse
Feeling safe in your home or your community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contributing to the safety and wellbeing of yourself and others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managing your accommodation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managing relationships	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Feeling part of the community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managing your money	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Engaging in education / learning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Engaging in employment / volunteering opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Being physically healthy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Being mentally healthy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leading a healthy and active lifestyle	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. Has there been anything that has stopped you achieving your outcomes?

--

	Yes	No	Comments
4. Were you fully involved in deciding the goals on your support plan?			
5. Is support available to you when you need it?			
6. Has support helped you to achieve the things you wanted to?			
7. Has support met your expectations?			
8. Do you feel more able to access services or advice as a result of receiving support?			
9. Do you feel more able to live independently as a result of receiving support?			
10. Does your support provider ask for your views on the service you receive?			
11. What has changed for you as a result of receiving support?			
12. What do you feel didn't work?			
13. Do you have any other comments?			

The Supporting People team would like to thank you for completing this form. If you would like there is an opportunity to leave your name and address below, information will remain confidential unless any potential risk to your self or someone else was identified.

NAME:

ADDRESS:

Staff Questionnaire

Date:

We would like to invite you to complete this confidential questionnaire which seeks your views in relation to your work. The purpose of asking for your feedback is to encourage continuous improvement of services.

The individual contributions of staff will be confidential. The exception to this would be if any potential risk to yourself or someone else was identified. All comments will be collated to inform the evaluation process and may be used within the final evaluation report. We have enclosed a stamped addressed envelope and we look forward to your reply, please could you return the questionnaire within a week of receiving it.

Organisation and Project Details and Address:

About Your Contribution:

Q1: What do you feel is the most significant difference your work has made to your clients?	
Q2: What outcomes have clients experienced that they have found useful?	
Q3: What are you most pleased and proud of in your work with clients?	
Q4: What is it that you have done that you feel has contributed to successful client work?	
Q5: What has worked so well, you will actively be doing more of it in the future?	
Q6: What support do you get that is most useful to you in your work?	

Q7: What training or professional development experience have found most useful?	
Q8: What impact has this had on how you work with clients?	
Q9: What do you think would make your work even more effective?	

About the project:

Q10: On a scale of 1-10 [when ten is excellent and 0 the complete opposite] where would you place the overall performance of your project/service?	
Q11: What things help to keep it at that number and not lower down?	
Q12: If you were to move a point up that scale what would you be pleased to see that would have changed?	
Q13: How would you overcome any barriers that you are aware of which prevents successful support outcomes?	
Q14: What are the top five things you think your project/service does well?	1 2 3 4 5
Q15: If you were to make only one improvement in your service, what would you be most pleased to see change?	
Q16: If this improvement were to be made, what difference would this make to clients who use the service?	

About the projects relationships

Q18: What positive effect would you hope this would have on the client's experience?	
---	--

Thank you for completing this questionnaire, your views are valuable and may influence the outcome of the review.

Contact details can be left blank, however if you would like to be consulted as part of the review please complete the following section

Name	
Job Title	
Telephone Number	
Email	

Annex 6 - OPTIONAL



Insert name

Direct Line:
Llinell Uniongyrchol:

E-Mail:
E-Bost:

Date:
Dyddiad: **Insert date**

Please ask for:
Gofynnwch am:

Dear

Supporting People Service Review

As part of our programme of evaluation of services in receipt of Supporting People funding, we are about to undertake an evaluation of **name of project**. The evaluation will involve an assessment of the service in a number of respects including:

- To what extent are services meeting expectations?
- What outcomes are most important to service users?
- What are the barriers to achieving goals / outcomes?
- What is the impact of services on individuals?
- Is support available to people when they need it?
- Are service users more able to live independently as a result of receiving support ?
- Has quality of life improved for service users, and in what ways?
- What appears to be working, and what is not?

The purpose of the evaluation is to encourage continuous improvement of services and ensure that a renewal of funding is appropriate

You have been identified as an important stakeholder in the service. As the Local Authority is the responsible funding body for Supporting People resources, we would like to invite you to contribute to the evaluation by commenting on the performance of the service.

We would like to conduct a telephone discussion to seek your views about the service and will contact you shortly to agree the most convenient time. If you would prefer a face to face meeting, or you have any queries, please don't hesitate to contact us on the above number.

Yours sincerely,

Insert Name
Supporting People Team

Annex 7 - OPTIONAL

**Supporting People
Stakeholder Telephone Interview
Guidance**

Name of organisation:

**Relationship with project or
service user:**

Date/s Contacted

Details of person being interviewed

Name:

Designation:

Place of work:

Telephone number:

Email:

Details of person conducting interview

Name:

Designation:

Guidance Notes:

- This check list can be used when undertaking a stakeholder telephone consultation exercise
- Highlight the areas that relate to the stakeholder you are consulting with
- Adapt questions to relevant interview/project/person
- Explain the purpose of the interview and that discussion may influence the outcome of the review, and comments may be included in the review report etc.

Support

Are the positive support outcomes generally being achieved for the service user you are connected to?	
What are the benefits to Service Users?	
Are there any unmet support needs that you are aware of?	
Are there any barriers are to achieving positive support outcomes?	
Do the service Users you are connected to benefit from the support they have received?	
How well do you think the organisation include your care plans/ risk assessments in support plans? (Where applicable)	
What are the possible consequences for the service user if they didn't receive Supported Housing/ Tenancy Support?	

Accommodation

If living in a Supported Housing project, how would you describe the quality of accommodation?	
Do the service users have privacy?	
Are housing management functions undertaken?	

Communication

How would you describe communication between the project and yourself?	
Do they keep you informed of changes with the service user, key worker etc	
If you have needed to, raise a concern or make a complaint, was it dealt with satisfactory?	
How effective is the project at partnership working?	

Project

Does the service alleviate the pressures/burden (save time, manpower, money) for your service?	
Do you consider the project to be value for money?	
Does the project complement the work of your service? (Help to achieve your aims, objectives strategic targets)	
Do you know of any there any staffing problems/issues in the project?	
What areas do you think the project could improve in?	
What do you think the project does well?	
What is your overall impression of the project?	
Do you have Any Further comments?	
Have the project ever consulted with you on their service	
a) How have you found this consultation? b) Is there anything else you feel we should be asking?	

Thank you, etc.

Annex 8 – OPTIONAL

Supporting People

Evaluation Report

Name of provider:

Name of projects included:

Address of project:

Date:

Supporting People Team

Email:

INTRODUCTION

The purpose of this report is to enable the Local Authority to evaluate the effectiveness of the support service based on the following criteria:

- The service is delivering successful outcomes in line with the principals of the Supporting People programme
- The service is delivering outcomes that are preventative and represent value for money
- The service contributes to the overall aims of the Local Authority and the Welsh Government

OVERVIEW

INTRODUCTION / EVIDENCE DOCUMENTATION

1. STRATEGIC CONTEXT / CONTRIBUTING TO STRATEGIC OUTCOMES

2. COST EFFECTIVENESS / FINANCIAL

3. OUTCOMES AREA – Promoting Personal and Community Safety

4. OUTCOMES AREA – Promoting Independence and Control

5. OUTCOME AREA – Promoting Economic Progress and Financial Control

6. OUTCOME AREA – Promoting Health and Wellbeing

7. ENSURING PARTICIPATION AND CONSULTATION

8. SAFEGUARDING

9. EVALUATION QUALITY TO ENSURE THE SERVICE CAN DELIVER OUTCOMES

10. SERVICE USER / STAFF / STAKEHOLDER FEEDBACK

11. SUMMARY / CONCLUSIONS

REPORT STRUCTURE

PROJECT	
ADDRESS	
MANAGER	
NUMBER OF UNITS	
PROJECT TYPE	
DATE OF ON-SITE VALIDATION VISIT(S)	

DATE OF FIRST EVALUATION	
NAME / DESIGNATION OF SP OFFICER	
DATE OF REPORT	

INTRODUCTION

Brief description of Scheme

This is the _____ evaluation report under Supporting People; the _____ evaluation was carried out in _____.

As part of the evaluation process, preparatory documentation was issued. To permit a more comprehensive evaluation additional supporting evidence was also requested. This report describes conclusions about the quality of the service based on previous monitoring information as well as the evaluation itself.

The first evaluation undertaken in _____ focused heavily on policy and procedural issues. Within this evaluation emphasis has been placed on the outcomes which have been achieved by examining the impact that the support has had on service users. Policy and procedure matters have been addressed where they affect the quality or safety of the service.

Outcomes achieved for service users have been considered under the following headings:

- Promoting Personal and Community Safety
- Promoting Independence and Control
- Promoting Economic Progress and Financial Control
- Promoting Health and Well Being.

EVIDENCE DOCUMENTATION

1. Strategic Context / Contributing to Strategic Outcomes

2. Cost effectiveness / financial

Summary of Findings

Conclusion and Recommendations

3. Promoting Personal and Community Safety

Summary of Findings

Conclusion and Recommendations

4. Promoting Independence and Control

Summary of Findings

Conclusion and Recommendations

5. Promoting Economic Progress and Financial Control

Summary of Findings

Conclusion and Recommendations

6. Promoting Health and Wellbeing

Summary of Findings

Conclusion and Recommendations

7. Ensuring Participation

<p>Summary of Findings</p>
<p>Conclusion and Recommendations</p>

8. Safeguarding

<p>Summary of Findings</p>
<p>Conclusion and Recommendations</p>

9. Evaluating quality to ensure the service can deliver outcomes

Summary of Findings

Conclusion and Recommendations

10 (i) Summary of Stakeholder Feedback

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10 (ii) Summary of Service User Feedback

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10 (iii) Summary of Staff Feedback

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11. SUMMARY / CONCLUSIONS

Future monitoring

Acknowledgements

SUGGESTED PROCESS

STAGE 1 Prepared by SP Team

STAGE 3 Submit for consultation

STAGE 4 Report amended

STAGE 5 Final Report completed

Appendix 5 - Timetable for grant arrangements

Transition Year

	Welsh Government (WG)	Local Authority (LA) (including co-ordinating LA)	Regional Collaborative Committee (RCC)	Supporting People Planning Group	Wales Audit Office
July	Issue SPPG Offer of Grant.				
August		Prepare Spend Plans.			
August		Submit acceptance of Grant Offer to the WG			
August		Commence expenditure under the new unified grant			
August (Last Week)	Payment of SPPG to LAs (monthly hereafter).				
September		Submit Spend Plan to RCC co-ordinating authority.	Submit Regional Spend Plan to WG for consideration.	Aid in the development of Regional Commissioning Plans prior to submission to the WG	
September	Escalate any unresolved Spend Plan disputes to the Minister				
Sept/Oct	Consider and agree firm Regional Spend Plans				

October/November		Prepare Spend Plans in respect of the next three financial years (2013/14, 2014/15 and 2015/16)			
December	Issue indicative forward allocations to LA's for next three financial years (2013/14, 2014/15 and 2015/16)				
December		Submit Spend Plans to the co-ordinating LA of the RCC in respect of the next three financial years (2013/14, 2014/15 and 2015/16)			
January			Submit Regional Spend Plan to WG for consideration in respect of the next three financial years (2013/14, 2014/15 and 2015/16)	Aid in the development of the Regional Spend Plans prior to submission to the WG	
January		Prepare outturn against spend plan (5 month; August to December)	Receive outturn against spend plan (5 months; August to December) and pass to WG		
February	Receive outturn against spend plan				
February	Consider Regional Spend Plans for				

	2013/14 and escalate any unresolved Spend Plan issues to the Minister.				
March	Issue SPPG Offer of Grant for 2013/14.	Submit acceptance of Grant Offer to the WG			

2013/14

	Welsh Government (WG)	Local Authority (LA)	Regional Collaborative Committee (RCC)	Supporting People Planning Group	Wales Audit Office
April		Prepare annual outturn against spend plan for previous financial year.	Submit annual outturn against spend plan for previous financial year and pass to WG		
April		Submit quarterly Spend Plan update to the RCC	Submit revised Regional Spend Plan to the WG		
May	Receive annual outturn against spend plan for financial year.				
July		Submit quarterly Spend Plan update to the RCC	Submit revised Regional Spend Plan to the WG		
July		Prepare 1 st quarter outturn against spend plan.	Accept 1 st quarter outturn against spend plan and pass to WG		
August	Review 1 st quarter outturn against Spend Plan.				

August					Conduct audit of the SP Grant on behalf of WG
September					
October		Prepare half yearly outturn against spend plan	Accept half yearly outturn against spend plan and pass to WG		
October	Receive and consider WAO Audit Report				
Oct/Nov		Prepare Spend Plans in respect of the next three financial years (2014/15, 2015/16 and 2016/17)			
December	Issue indicative forward allocations to LA's for next three financial years (2014/15, 2015/16 and 2016/17).				
December		Submit Spend Plans to the co-ordinating LA of the RCC in respect of the next three financial years (2014/15, 2015/16 and 2016/17)			
January			Submit Regional Spend Plan to WG for consideration in respect of the next three	Aid in the development of the Regional Spend Plans prior to submission to the WG	

			financial years (2014/15, 2015/16 and 2016/17) on the 3rd Monday in January		
January		Prepare 3 rd quarter outturn against spend plan.	Accept 3 rd quarter outturn against spend plan and pass to WG		
February	Receive outturn against spend plan				
February	Consider Regional Spend Plans for 2013/14 and escalate any unresolved Spend Plan issues to the Minister.				
March	Issue SPPG Offer of Grant for 2014/15.	Submit acceptance of Grant Offer to the WG			

2014/15

	Welsh Government (WG)	Local Authority (LA)	Regional Collaborative Committee (RCC)	Supporting People Planning Group	Wales Audit Office
April		Prepare annual outturn against spend plan for previous financial year	Submit annual outturn against spend plan for previous financial year to WG		

Appendix 6 - Commissioning and Procurement

Transition

1. As far as practicable, to minimise disruption to services and ensure ongoing availability of resources, transition to Local Government administration initially replicates current payments, terms and conditions.
2. Transition must consider sustainability of provision, including the future operation of competitive markets. Due consideration must be made of the effect on providers, and consequences to society. This to include all relevant factors such as Full Cost Recovery (See Appendices).
3. Process should be initiated for periodic review and challenge to ensure grant funded and contracted operations continue to be valid going forward.
4. All arrangements should be recognised for their part in delivering the business of Supporting People and related provision such as Social Services and Health. These are to be considered in developing future joined up services.

Procurement Practice

It is recommended that this service area seeks user responsive provision with better collaborative working.

Procurement rules are often cited as restricting these objectives. They do however allow considerable latitude for authorities to operate. Basic procurement processes are the same for Supporting People Services as procurement processes in other service areas across local government.

The Welsh Purchasing Consortium and North Wales Procurement Partnership, have the necessary expertise and governance to advise on, and if required undertake collaborative procurement arrangements. This can enable the locally responsive commissioning recommended here.

Findings and Recommendations

The procurement characteristics for Supporting People were applied to the models within the generic guidance. We found that:

- Buyers and suppliers are balanced in power, each with an interest in the success of the other. Often similar organisational or business objectives. Advantage in co-determination and collaboration to mutually beneficial outcomes.
- There is no advantage in adversarial relationships from either side. There is little advantage to be derived from competitive rivalry and significant new entry is unlikely at the present time.
- There is threat for all operators in substitution e.g. if suppliers choose to do something else; or buyers choose to support people in another way, there would be immediate and damaging consequences for the abandoned business partner. Threat can be mitigated by co-working, clarity of intent and adoption of long-term contracts where long term need occurs. Importantly, this is about valued long term partnerships with a shared interest in efficiency and positive client outcomes. Contractual enforcement should not be necessary.
- Sustainability would be helped by maintaining some positive competitive rivalry and local diversity of supply. Public sector procurement rules need not be a barrier. We recommend a competitive framework or Dynamic Purchasing System within which long term contracts may be awarded. The Welsh Purchasing Consortium or North Wales Procurement Partnership have the necessary expertise and would be ideal partners in this exercise.
- Operational tactics should also consider non-financial currencies which are important to providers. Efficiency can be improved by removal of noise³ factors at source. It will also assist long term procurement outcomes to normalise provision where possible, making substitution more viable. New entrants may also be encouraged if provision is less specialised - mainstream accommodation for example.

Strategy should be to collectively improve the ability to meet current (known) and future (unpredictable) needs of users efficiently and flexibly.

This requires that a platform of resources be available in direct response to business need, as the need arises. Finance methods, organisational labels, matter less than availability and effectiveness in response to ongoing need and avoidance of more expensive intervention at a later stage.

Provision can be joined up, as recommended by Aylward and in line with Welsh Government and Local Government policy for re-ablement. This should be coordinated in cross sector service provision:

“The potential which would be offered by a consortia approach to administration, commissioning and procurement would also underpin an

³ Lean Supply terminology for process, delay, cost or activity which does not add value

enhanced collaboration between health and social care services. Fractured pathways between health and social care services are frequently encountered as obstacles to achieving seamless and comprehensive support services.”

Professor Sir Mansel Aylward CB October 2010

Rationale

Procurement Characteristics:

**Outlines and characterises the current supply environment:
Arguable as likely to vary with time, place, and specific need.**

Example characteristics are:

- Competitive opportunities are few, costs and risks in substitution high.
- Mature, perhaps altruistic providers in the main with strong motivation for the welfare of users.
- A High degree of compatibility in organisational objectives for most agents. Long term business need.
- A History of insufficient funding with providers making much of the limited funds available.
- Costs are frequently subsidised from other sources, including community funding.
- Unpredictable and lumpy demand requiring responsive, reactive commissioning.
- Weakening legislative framework in procurement.
- Very high return on investment in terms of social outcomes. Very high cost avoidance in related services.
- Supportive of enablement and independence in individuals with subsequent relief on public services and benefits to society as a whole.
- Worthy occupation.
- Politically civilised behaviour.
- Morally valuable. Reaches deep into society.
- Authority and provider staff know each other and do interchange.
- Often split between accommodation and floating support.
- Frequently bundled by providers.
- Services can be wholly funded by the state, though different parts of state infrastructure.
- Non-statutory for Local Government.
- Sometimes subsidised by income from public & users, though not by much.

- Inter related with social services & health including tele-care with some duplication and recognition of need for joined up management and operation.

Strategic Positioning

Determines the nature of the commercial relationship between the parties.

Considers previous draft procurement guidance by Welsh Government led Transition group that featured contribution by providers and local authorities.

Also considers Aylward's findings. That Supporting People in Wales had been comparatively well served by providers. Note that Prof Aylward's expert advice consistently referred to the positive role of collaboration by authorities and providers.

Appendix 7 - RCC Conflict of Interest Policy

The aims of the policy

1. The aim of this policy is to set out the procedure for handling conflicts of interest for the members of the Regional Collaborative Committee. It defines:
 - What constitutes a conflict of interest?
 - The register of interests.
 - The procedures for handling conflicts of interest within RCC meetings.

Defining a conflict of interest

2. Anyone who is in a position to directly or indirectly influence the outcome of the RCC business must ensure that their external interests do not compete with their role on the RCC.
3. Examples of interests which would be regarded as relevant are:
 - Directorships, including non-executive directorships held in private companies or Private Limited Companies (with the exception of those of dormant companies) and Registered Social Landlords;
 - Ownership or part-ownership of private companies, businesses or consultants likely or possibly seeking to do business with a participating County Borough Council, Health Board and the Probation Service;
 - A position of authority in a charity or a voluntary body in the field of health and social care;
 - Any connection with any person contracting for Supporting People services including spouses, relatives, etc.

Register of Interest

4. Regional Collaborative Committee members are required to complete an annual Declaration of Interests form which is attached at Annex A. These will be reviewed by the Chair and used to avoid potential conflicts during the year.

5. The Regional Collaborative Committee Regional Development Worker or administrator will hold the Register of Interests. The Register will be updated on an annual basis and will be made available for internal audit.

Procedure during RCC meetings and the handling of matters where a conflict of interest may arise.

6. At any meeting where the subject matter leads a participant to believe that there could be a conflict of interest, this interest must be declared at the earliest convenient point in the meeting.
7. Declarations of interest must be clearly identified within the minutes of the meeting, including any need to withdraw and the reasons for doing so.
8. The chair of the meeting must take a decision as to the need for the member of the meeting to withdraw or not from the proceedings. Where this may involve the chair, the Deputy Chair will take the decision.
9. If the chair of the meeting is the person to whom the declaration of interests relates the chair should vacate the seat and the meeting for that item. If there is no Deputy Chair present at the meeting, the meeting must first elect a chair by a show of hands.
10. Members of the meeting who are employed by any County Borough or County Council are subject to the Council's Constitution and Code of Conduct.

Appendix 8; Annex A

Declaration of Interest for the period *insert date* to *insert date*

I,(Name), being a member of the
Regional Collaborative
 Committee and employed by
hereby declare that I have the
 following / no interests (delete as appropriate) to declare that are
 relevant or material to
Regional
 Collaborative Committee.

Signed.....

Date

Print name

List of interests:

Name of organisation where interest is held	Position held / interest held

If you have additional interests, please enter these below, (please note that if your circumstances change, you must notify the Regional Development Worker or Administrator of the Regional Collaborative Committee).

.....

Annex B

Declaration and register of interests

I, (name) understand the guidance
detailed in the Regional Collaborative Committee Conflict of Interest
policy August 2012.

Signed

Dated

GLOSSARY	
Accreditation	An assessment of a service provider which is required to demonstrate its competency to provide housing related support services.
Aylward Review	Professor Sir Mansel Alward's Review of the Supporting People Programme in Wales published in November 2010.
Equality Impact Assessment	A formal review of a policy document, decision or plan which considers the impact on the seven equalities strands
Local Commissioning Plan	A plan produced by the local authority and approved by the supporting People Planning Group which outlines proposed grant spend and commissioning proposals for the fourth coming three years.
Local Service Board	Local Service Boards are the body where the leaders of local public and third sector organisations come together to take collective action to ensure public services are effective and citizen focused.
Outcome	The result or change, for a service user, which has come about as a consequence of support.
Regional Commissioning Plan Spend Plan	A plan produced by the Regional Collaborative Committee and approved by the supporting People Planning Group which outlines commissioning intentions and proposed grant spend for the fourth coming three years.
Supporting People Planning Group	A local authority Supporting People Commissioning Group which must include membership from Probation, the Local Health Board and a Supporting People service provider who is also a member of Cymorth Cymru or Community Housing Cymru.
Transition year	Twelve months following the

	implementation of Supporting People Programme Grant
Single Integrated Plan	Produced by Local Service Boards, the single integrated plan is based on an outcomes methodology, replacing and building on existing statutory plans and strategies. A Single Integrated Plan should identify the priority outcomes for people and communities in each area of Wales. A Single Integrated Plan is shared by public service organisations, through the local service board, and should pay particular attention to the needs of vulnerable groups and disadvantaged communities, with a strong focus on early intervention and prevention.
Wales Audit Office	The public service watchdog for Wales. Its mission is to promote improvement, so that people in Wales benefit from accountable, well-managed public services that offer the best possible value for money.

END