

London Borough of Brent

EXECUTIVE – 12 NOVEMBER 2003

Report from the Directors of Housing and Social Services

SUPPORTING PEOPLE CONTRACTS

For Action	Name of Wards Affected
	All

1.0 SUMMARY

- 1.1 This report asks the Executive to agree that a number of specific Supporting People contracts due to 'good operational and financial reasons' need not be let in accordance with the tendering requirements nor by seeking quotes as ordinarily required by the Council's Contract Standing Orders.
- 1.2 This report asks the Executive to agree that delegated authority should be given to the Director of Housing to assess in future that particular contracts meet criteria which means that there are good financial and/or operational reasons for not tendering Supporting People Contracts and to award the contracts

2.0 RECOMMENDATIONS

- 2.1 That the Executive note the latest version of procedures attached at Appendix 4 to be used for review of Supporting People contracts.
- 2.2 That the Executive agree that in accordance with contract standing order 85(a) that the proposed contracts for services with:
 - Jewish Blind and Disabled
 - RNID
 - Middx Association of the Blind
 - Apna Ghar HAall listed in Appendix 2 need not be tendered nor quotes sought because of 'good operational and financial reasons' set out in Appendix 2 and subject to the conditions set out in the Appendix 2.
- 2.3 The Executive agrees that there are good financial and/or operational reasons for not seeking three written quotes for Supporting People Contracts with a value of less than £150,000 subject to officers ensuring that the Council's best value obligations are met.
- 2.4 For the reasons set out in paragraph 7.7 of the report the Executive agrees that there are good financial and/or operational reasons for not tendering Supporting People Contracts, with a value of less than £1,000,000 over the term of the contract, in accordance with Standing Orders where a contract review has been undertaken in accordance with ODPM Guidance and the review has highlighted that:

- (a) the Council is receiving a Best Value service from the service provider; or
- (b) the disruption caused to vulnerable users of housing support services by tendering would outweigh any benefit that might be obtained by tendering; or
- (c) there is no alternative provider that can provide the particular services required.

and the Executive authorises the Director of Housing (or in his absence the Assistant Director of Strategy and Regeneration) to assess whether a Supporting People Contract falls within (a) to (c) above. Where the contract does not fall within (a) to (c) above and the Director of Housing considers that there are still good financial and/or operational reasons for not tendering the contract the matter must be referred back to the Executive.

2.5 The Executive agrees that the Director of Housing (or in his absence the Assistant Director of Strategy and Regeneration), where the Director of Housing has assessed that a contract falls within (a) to (c) in paragraph 2.4 above, may award Supporting People contracts with a value of less than £1,000,000 over the term of the contract subject to the following restrictions:

- (a) The service is strategically relevant, or the provider has agreed to a contract variation which ensures this; and
- (b) The interim contract compulsory quality standards set by the ODPM relating to Protection from abuse; Fair access, diversity and inclusion, needs assessment and support planning, Health and safety have all been met as stated in Appendix 4,; and
- (c) Service users and stakeholders have expressed satisfaction with the service; and
- (d) The price of the service is in the mid range for other similar services in London or other local benchmarking areas, or the provider agrees to price changes to achieve this; and
- (e) The provider meets accreditation standards
- (f) The maximum length of the contract is 5 years including any extension; and
- (g) The contract price is within the Supporting People Budget.
- (h) The contract being in writing

3.0 FINANCIAL IMPLICATIONS

- 3.1 The proposed exemptions listed in paragraph 2.1.2 above do not have any specific financial implications.
- 3.2 The value of grants allocated to the provider organisations listed in Appendix 2 is £275,384 per annum. Expenditure is currently being incurred through the allocation of Supporting People grant funding to these organisations in the form of contract sums paid monthly as per ODPM instructions and grant conditions for Supporting People grant.
- 3.3 The total value of Supporting People Grant paid to Brent by the ODPM for all contracts is £13.6million per annum for the current financial year. This funding is ring fenced for the provision of housing related support services.
- 3.3 There are no specific financial implications from the recommendations to extend delegated powers listed in the Recommendations in paragraph 2 above. All decisions will be made in the context of the agreed budget for Supporting People

4.0 STAFFING IMPLICATIONS

- 4.1 There are no staffing implications arising from this report. However, if tendering of all services is required, or greater delegated powers are not given, this would have staffing implications in terms of managing change and reporting as significantly more staffing resources within the Supporting People Unit in Housing would be needed.

5.0 LEGAL IMPLICATIONS

- 5.1 There are a wide variety of powers that the Council has to assist and give provision to those in need. Some of this assistance and provision is provided through third party service providers. In the case of Supporting People the award of contracts is subject to the Supporting People Grant Conditions and Directions and other ODPM guidance.
- 5.2 The Council, being a public authority, has to comply with legislation which includes EC Public Procurement Regulations and the Council's own Financial Regulations and Contract Standing Orders in terms of letting contracts.
- 5.3 The services set out in Appendix I are Part B service in accordance with the EC Public Procurement Regulations and therefore not subject to the full application of the regulations with regards to competitive tendering
- 5.4 The Council's Contract Standing Orders provide that contracts with a value of £150,000 and above should be let by inviting competitive tenders. The Council's Contract Standing Orders also provide that contracts with a value of between £20,000 and £149,999 should be let by seeking at least three written quotes which should be recorded.

However, the Council's Contract Standing Orders paragraph 85a states:

'Every contract entered into by the Council shall be entered into pursuant to or in connection with the Council's functions AND shall be procured in accordance with all relevant domestic and European legislation and unless for good operational and/or financial reasons the Executive agree otherwise with Contract Standing Orders and the Council's financial regulations'

Appendix 2 sets out the good operational and financial reasons for exempting the services listed there

- 5.5 Local authorities are given powers to pay out Supporting People funds through s93 of the Local Government Act 2000. Administration of the Grant is subject to Directions and Conditions of Grant issued by ODPM in March 2003 (revised and updated October 03). These refer to carrying out reviews of all interim Supporting People contracts within the terms of ODPM guidance issued in August 03.
- 5.6 The ODPM guidance recognises many possible outcomes to a contract review. These are listed in the Review procedures Appendix 4 section 11.

6.0 BACKGROUND

- 6.1 The Supporting People Grant was introduced nationally by the Government in April 2003. It has been the subject of reports to Executive in March 2002, October 2002 and February 2003.
- 6.2 Over 90 Supporting People contracts with over 50 organisations have been entered into with providers of Housing Support with effect from 1st April 2003, to allow for the transfer of funds under Supporting People on that date. The value of contracts is set out in Appendix 1. The Supporting People Unit within Housing administers the contract and funding.
- 6.3 Organisations funded through Supporting People Grant provide Housing Support services and are an essential element of the pattern of local provision available to meet identified needs. Many of the services are accommodation based, (ie hostels, group homes and supported housing) where the landlord is also the housing support provider.
- 6.4 Supporting People Grant is subject to the Supporting People Grant Conditions and Directions which require that a Commissioning Body is set up by LB Brent to agree on recommendations relating to Supporting People Strategy and funding. The Supporting People Commissioning Body purpose and membership is set out in Appendix 3. This group has considered the recommendations in this report and agrees with the recommendations in paragraphs 2.2-2.5 to Executive.
- 6.5 ODPM guidance states that all Supporting People Services and Interim Contracts should be reviewed by 31st March 2006.

- 6.6 The ODPM have advised that if at the first review certain criteria are met as set out in the procedure referred to below then contracts should be renewed subject to the Local Authorities Standing Orders being met. Furthermore, if more time is needed to meet these criteria then an action plan should be agreed to address this, which may be linked to a short-term contract.
- 6.7 In order to meet the terms of the Supporting People grant conditions and directions the Supporting People team has introduced very robust contract monitoring and contract review arrangements (see Appendix 4), and payment and charging systems. Services are to be reviewed against the following key criteria:
- i. Strategic Relevance
 - ii. Demand for the service
 - iii. Quality
 - iv. Performance
 - v. Cost
- 6.8 The procedure for Supporting People contract reviews (Appendix 4) has been the subject of consultation with providers and piloted during the period May 03 to October 03. It is subject to further refinement and improvement following consultation with service providers and users.
- 6.9 Strategic relevance of services is assessed against the Shadow (interim) Supporting People Strategy. This was agreed by members in October 2002 and has also been signed up to by partner organisations: Brent PCT and Brent Area of the London Probation Service.
- 6.10 Delegated authority is sought for contracts valued over £500,000 to bypass the tendering of those contracts that either meet the key criteria set out in para 6.5 above or could meet them subject to an action plan. Exemption from requirement to seek three written quotes is sought for contracts under £500,000 Further guidance is expected for subsequent reviews.
- 6.11 The team is currently consulting on and developing a 5 Year Supporting People strategy to be recommended to members in October 2004. This will ensure that future allocation of resources and award of contracts is clearly linked to local needs and priorities to be agreed by members as set out in the Corporate Strategy and local related commissioning strategies.

7.0 DETAIL

- 7.1 Supporting People providers have been providing housing support to vulnerable adults in Brent (and nationally) for many years. The new funding regime, Supporting People, introduced in April 2003 has introduced significant changes to the Supported Housing sector, with the introduction of contracts and contract management and the development of local Shadow Supporting People strategies to identify local priorities for funding. In Brent 96 contracts worth about £14.4 million pa were entered into in April 2003.

- 7.2 These contracts are for existing housing support services, identified within the borough over the past 2 years as in receipt of one of the several sources of legacy funding to be transferred to the new Supporting People grant in April 03, and therefore required under ODPM guidance to be issued with a Supporting People interim contract. Over 3000 people are receiving housing support services via these contracts.
- 7.3 In line with Grant Directions, a 3 year programme of contract reviews has been drawn up in order to review all Supporting People contracts over this period.
- 7.4 Between May and September 2003 the Supporting People team reviewed 11 contracts for the provision of services to people with Physical and Sensory disabilities, and those with HIV/Aids
- 7.5 Contract reviews follow the procedures in Appendix 4, they are very thorough and effectively provide a Best value review approach. The main purpose of the service review is to enable Administering Authorities to:
- determine whether services are meeting the strategic objectives for the Supporting People programme at a local level;
 - assess whether there is a continued demand for the service;
 - evaluate the quality and performance of services;
 - assess the extent to which continuous improvement is taking place;
 - risk assess services to inform the future level of monitoring and frequency of validation visits; and
 - highlight whether significant changes should be considered (e.g. service remodelling or decommissioning).

The service review process provides the opportunity, prior to the expiry of the contract, to draw together a wide range of information about the strategic fit of the service and how it is performing. There are five key criteria against which services should be assessed. These are their ability to:

- operate in accordance with the local Supporting People Strategy (i.e. their strategic relevance);
- meet identified current and future demand for the service;
- provide a quality service which effectively meets the needs/preferences of service users and potential users;
- perform efficiently and effectively; and
- be cost effective.

7.2 A wide range of information is considered during contract reviews:

- Evidence of Need for the service and local demand
- Review of policies and procedures and staff training to assess quality of service
- Validation Visit and interviews with service users
- Stakeholder views are considered
- Benchmarking of costs and staffing levels with other similar services using data provided by ODPM London-wide.

7.3 Over the next 5 months the contract review timetable aims for a further 28 Supporting People contracts to be reviewed, with all reviews complete by March 2006. This ambitious target is needed in order to ensure that all contracts are reviewed within the 3 years required by the Grant Conditions. However, the timetable will be kept under review.

7.4 Change to some contracts following review will be required, in order to ensure that resources are directed at corporate priorities, however, there are a range of possible outcomes following contract review, set out in Appendix 4 para 11.

7.5 The ODPM guidance states that “Officers within Administering Authorities may be given delegated powers to make decisions about re-contracting services or remodelling services in line with the Supporting People strategy. Provided that service reviews accord with the Supporting People strategy there should be no need for the Commissioning Body or Elected Members to be notified of individual decisions. However where a service review results in specific plans to close a service, or change a provider, then the Commissioning Body must be notified of this proposal and given an opportunity to advise on it. Elected members should also have some scrutiny of the implementation of the strategy and may need to ratify decisions related to the closure of a service”

7.6 The sheer volume, variety and complexity of contracts managed within the Supporting People mean that it would not be possible for operational resource reasons, to re-tender every contract following review. The ODPM also do not advise this, because of the local disruption in the Supported Housing market it would create, and because of the uncertainty and massive change this would require for vulnerable users of housing support services.

7.7 It is therefore proposed that where there are good operational or financial reasons why some services should not be subjected to the tender process or to the seeking of 3 quotes The operational reasons for this are:

7.7.1 There are more than 96 Supporting People contracts to be reviewed within 3 years, significant resources would be needed to tender and negotiate changes with providers if this was to be achieved.

- 7.7.2 8 officers within the Supporting People unit are responsible for administering payments, carrying out reviews and contract monitoring, consultation, publicising the scheme, negotiating service improvements with providers of services, working with partners in Health, Social Services and the voluntary sector regarding 17 client groups to ensure that Supporting People meets local priorities. The administration required to negotiate contract terminations, specifying and re-tendering for all contracts within a 3 year period would be very significant, and could not be managed within these current staffing resources. Further additional funding from central government for administration of Supporting People is unlikely.
- 7.7.3 Given the vulnerability of service users and the public concern likely over proposed changes to these housing support services, change will need to be prioritised and carefully managed in order to avoid de-stabilising the housing support sector locally. The time-lags involved in tendering all these services would create great uncertainty for vulnerable service users and local support providers.
- 7.7.4 Many of the clients provided with services through Supporting People are very vulnerable, older people in sheltered housing, frail elderly, people with mental health problems and learning disabilities. Subjecting their services to tender is likely to cause distress and disruption in continuity of care.
- 7.7.5 A number of contractors provide specialist services for which there is not a ready market therefore tendering would be administratively costly but not produce viable alternatives.
- 7.8 In addition to the good financial and operational reasons for not tendering or seeking 3 quotes it is proposed that there are good reasons for authorising the Director of Housing to act as set out in paragraphs 2.4-2.5 on the basis that due to the volume of contracts to be reviewed it would not be practical to report back to the Executive for decisions on all Contracts review outcomes.
- 7.9 A breakdown of the value of the current Supporting People Contracts is set out in Appendix 1. This gives an indication of the volume of contracts to be reviewed and the possible value of the new contracts.
- 7.10 All the organisations listed in Appendix 2 have been consulted and are therefore aware of the Department's intention to enter into a contract with them
- 7.11 All Supporting People providers are required to provide monitoring data, this will enable informed decisions to be made about the quality of all services provided by the provider over the period of the contract.
- 7.12 Decisions about future funding for Supporting People contracts will be based on the information gathered through Contract Reviews. At that point Officers will seek to either tender the services or follow the arrangements described in paragraphs 2.3-2.5 above.

8.0 BACKGROUND INFORMATION

- 8.1 Council's Contract Standing Orders and Financial Regulations.
- 8.2 Grant Conditions and Directions ODPM (February 2003)
- 8.3 L B Brent Supporting People Shadow Strategy (Sep 2002)
- 8.4 Monitoring and Review of Supporting People services (ODPM December 2002)
- 8.5 Focus on the Future (ODPM August 2003)

All the above documents are available from:

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Analysis of Supporting People's Contract value over life of contract (2003/4 costs)

		Total Value	Contract Period
<u>Total contract value under £50,000 (14 contracts under £50k)</u>			
Brent Housing Partnership	BHP Young Persons Support Worker Service	47,909	3 years
Brent Mencap(HRA)	Brent mencap(Floating Support)	33,846	3 years
Innisfree H A	Innisfree Move On Support	43,173	3 years
Jewish Care	mental health services	27,955	3 years
Middlesex Association For the Blind	Middx Assoc for the Blind-Floating Support	42,048	3 years
Octavia Housing and Care	Octavia Housing and Care	25,042	3 years
Patchwork Community HA		27,447	3 years
Abbeyfield Camden Society Limited	Abbeyfield Peggy Lang House	7,380	3 years
Abbeyfield Kenton & Kingsbury Society	Abbeyfield Kenton	29,521	3 years
Bnai Brith JBG HA	Bnai Brith Older with Support Needs	40,543	3 years
NetWork H A	Network Physical & Sensory Disability Bob Cameron	18,994	3 years
Spanish and Portuguese Jews	Harris Court for the Elderly	21,222	3 years
Step Forward(Metropolitan)	Stepforward Tookey Close	19,018	3 years
Willesden Free Church HA Ltd	WFC Older People with Support Needs	21,124	3 years
<u>Total contract value between £50,001 - £150,000 (Total of 24 contracts)</u>			
Brent Mind-Lechmere Rd	Lechmere Road	53,918	3 years
Brent Housing Partnership	BHP Sheltered Housing Warden Service	111,643	3 years
Broadway Resttlement Services (HSA)	Brent Mental Health Floating Support	129,384	3 years
English Churches Housing Group	ECHG 210 Willesden Lane	87,437	3 years
Fortunegate Community Housing	Fortungate-Westbury House Floating Support	91,781	3 years
Hillstream Care Ltd	hillstream 2 Lindsay Drive	54,821	3 years
Innisfree H A	Innisfree Move on Support Mowbray Rd	52,152	3 years
NetWork H A(HRA)	Network Homeless Families	63,668	3 years
Network Housing Association	NetworkGeneric Floating Support	120,817	3 years
NetWork H A	Network Mental Health 71 Craven Park	67,578	3 years
PCHA	PCHA Generic Floating Support Service	88,351	3 years
PCHA	PCHA Physical Disability Service	67,576	3 years
PCHA	PCHA Miles House Floating Support	50,456	3 years
RNID	RNID Care Services	54,674	3 years
Step Forward(Metropolitan)	Stepforward brent Mental Health floating support	148,921	3 years
Step Forward(Metropolitan)	Stepforward Brent Move On Lower Park Road	68,002	3 years
St Mungos HA	St Mungos Registered Service	89,409	3 years
Ujima HA	Ujima Mental Health Elms Lane	101,771	3 years
ASRA GreaterLondon HA	ASRA Older Services	119,799	3 years
Hillstream Care Ltd	Hillstream Outreach Service	123,132	3 years
Innisfree H A	Innisfree Elderly Services Clochar Ct	134,044	3 years
Irish Centre Housing	Irish Center Housing St Eugene Ct-Older Persons	96,109	3 years
NetWork H A	Network Learning Disability (Long Term)	118,525	3 years
Willesden Free Church HA Ltd	WFC Disability Scheme	78,842	3 years

**Total contract value between £150,001-
£500,000 (Total of 39 contracts)**

Arlington Care Association	Arlington Care Alcohol Service	223,551	3 years
Arlington Care Association	Arlington Care Mental Health	151,985	3 years
Arneway Housing Co-Op Ltd	Arneway floating support	215,537	3 years
ASRA GreaterLondon HA	Asra Asian Womens	361,664	3 years
Brent Mental Health Service	BMHS Claremont Rd	180,409	3 years
Brent Housing Partnership	BHP Older Persons Support Worker	158,490	3 years
Brent Mind	Brent MIND Floating Support for Network HA	195,323	3 years
Broadway Resttlement Services (HSA)	Broadway Housing Service Single Homeless	455,522	3 years
Carr Gomm Society	Carr Gomm Hostels	477,894	3 years
Cricklewood Homeless Concern	Haines House	154,232	3 years
Coram Leaving Care Services	Coram Leaving Care	284,212	3 years
Centre Point	Centrepont Floating Support	155,526	3 years
Depaul Trust	Depaul Trust Hostels Single Homeless	114,214	3 years
Eaves Housing for Women	Eaves Housing 3 Riffel Rd	114,704	3 years
Fortunegate Community Housing	Fortunegate Temporary Support for Homeless	452,350	3 years
Hillstream Care Ltd	Hillstream LD Unregistered Service-short term	285,454	3 years
Housing Resource Centre	HRC Floating Support for Single People in TA	214,255	3 years
Innisfree H A	Innisfree Hostels Single Homeless	368,615	3 years
London Borough of Brent Mental Health and Housing Team	Brent Housing Service Mental Health and Housing Team	266,350	3 years
London Borough of Brent Private Housing	Brent Private Housing-disabled facilities	294,138	3 years
NetWork H A	Network Learning Disability Short Term Services	126,918	3 years
NetWork H A	Network Teenage Parents	384,275	3 years
PCHA	PCHA Young Deaf Clients	110,559	3 years
RNID	RNID Harrow Rd	295,505	3 years
RPS Rainer Housing	RPS- Young Mother and Baby	140,503	3 years
RPS Rainer Housing	RPS Young People	288,321	3 years
St Christophers Fellowship	St Christophers Hostels	462,433	3 years
Ujima HA	Ujima Single Homeless	277,243	3 years
Apna Ghar HA	Apna Physical and Sensory Disability	336,893	3 years
Arbours Association	Arbours Association for Mental Helth	248,747	3 years
Brent Mencap	Brent Mencap LD Services	376,169	3 years
Family Housing Association	Family HA- Dean Rd	404,338	3 years
Hillstream Care Ltd	Hillstream Mental Health Support (Long Term)	434,919	3 years
Hillstream Care Ltd	Hillstream Chalkhill Learning Disability	158,567	3 years
Jewish Blind and Disabled	Jewish Disabled Services For Elderly Disabled	179,870	3 years
PCHA	PCHA Older Support Services	421,433	3 years
PCHA	PCHA Hanover Rd MH	274,284	3 years
Strutton HA	Strutton Services	164,509	3 years
The Regard Partnership	The Regard Partnership 122 Wrotesley Road	321,930	3 years

**Total contract value between £500,001 -
£1,000,000 (Total of 9 contracts)**

Brent Housing Partnership	BHP Housing Officer Floating Support	635,842	3 years
Brent Womens Aid	Brent Womens Aid Refuge	530,183	3 years
North West London HA	NWLHA Offenders Services	860,546	3 years
St Mungos HA	single homeless short term	720,219	3 years
Single Homeless Project	SHP Hostels	538,734	3 years
Brent Mind-Dual Diagnosis	Brent Mind - Dual Diagnosis	875,929	3 years
Hillstream Care Ltd	Hillstream LD Unregistered Service (Long Term)	547,042	3 years
St Mungos HA	St Mungos Single Homeless Long Term Services	525,012	3 years
Willow Housing Ltd	Willow Ex-Council Sheltered Housing	753,024	3 years

Total contract value over £1,000,001
(Total of 11 contracts)

Arlington Care Association	Arlington Care for single Homeless	2,983,904	3 years
Brent Mind	Brent MIND Group Homes Short Stay	2,397,408	3 years
English Churches Housing Group	ECHG Homeless Mentally Ill Crown House	1,214,480	3 years
English Churches Housing Group	ECHG Single Homeless	2,817,347	3 years
English Churches Housing Group	Floating Support	1,917,546	3 years
Housing Resource Centre	HRC Floating Support for families in TA	1,585,496	3 years
NetWork H A	Network Homeless Families	1,365,419	3 years
Brent Mental Health Service	BMHS Group Homes	1,474,010	3 years
Learning Disability Partnership	LDP Adult Placement Service	1,362,730	3 years
Lifeways Community Care	Lifeways Accommodation	1,054,058	3 years
Willow Housing Ltd	Willow Sheltered Housing	1,332,269	3 years

Pipeline Contracts:

Total contract under £50,000

English Churches Housing Group	Livingston House Annex	47,520	3 years
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Total contract value between £50,001 - £150,000

Willow Housing Ltd	Morland House	60,366	3 years
English Churches Housing Group	44 London Road	122,250	3 years
Apna Ghar HA	Apna Ghar pipeline scheme	68,580	3 years

Total contract value between £150,001 - £500,000

(Total of 5 contracts)

Willow Housing Ltd	Willow Sheltered Housing - Church Gardens	229,866	3 years
Willow Housing Ltd	Willow Sheltered Housing - Ellerslie House	255,450	3 years
To be agreed	Service for older and disable people	281,775	3 years
St Mungos	Ex-offenders Larix House extension	204,015	3 years
Coram Leaving Care Services	126 Salusbury Road	301,362	3 years

Total contract value over 500,000.00

To be agreed	People with mental health problems	579,798	3 years
Depaul Trust	Depaul Trust 247 willesden Lane	703,211	3 years

APPENDIX 2

ORGANISATIONS TO BE FUNDED BY SUPPORTING PEOPLE WITHOUT FULL TENDERING AND THREE QUOTES

Name	Service Provided	Period of New Contract	Contract Sum over life of contract	Operational and Financial Reasons for contracting without tendering	Conditions
Jewish Blind & Disabled	Sheltered Accommodation for elderly Jewish community	5 years	£300,000 25.62pw/pp	Provides a high quality culturally specific service to very vulnerable service disabled older people. Changing the service provider would be very disruptive, particularly given the high levels of service user satisfaction with current provider. Based on benchmarking with other providers of sheltered housing operating across London, this represents good value for money for a specialist service for older people with disabilities, the London average for similar services is about £50 pw. We are unlikely to achieve better value through tender	Subject to seeking 100% users with a Brent connection
Apna Ghar HA	Apna Physical & Sensory Disability primarily for Asian ethnicity.	3 years	£336,900 £33.22pw/pp	Provides culturally specific service to Asian disabled people. Apna Ghar is a small voluntary organisation which helps the Borough to achieve a variety of Supporting People providers. As we only have 3 specialist BME providers providing Supporting People services at present it would not be appropriate to reduce this number. Benchmarking with other similar services show the service is below the London average of £49.99 for similar services	1. Meet quality standards by Sep 04 2. Service to be made available as "floating support" to people with Physical disabilities nominated by Social Services or Housing or other agreed agencies.

Name	Service Provided	Period of New Contract	Contract Sum over life of contract	Operational and Financial Reasons for contracting without tendering	Conditions
RNID	RNID Harrow Road for deaf with different secondary needs. 6 bedsits	3 years	£280,000 315.71pw/pp	Provides a high quality service specialist supported by all stakeholders. The service users are very vulnerable deaf young people with mental health problems. It would be disruptive to these service users to change the provider, particularly given high levels of support from all stakeholders. As resources within the Supporting People team are inadequate to re-tender all contracts high quality services such as this need to be extended without tender and other poorer quality services prioritised for change. The costs are in the upper quartile of Benchmarked costs for London, however this is a specialist service which has no direct comparison	<ol style="list-style-type: none"> 1. subject to seeking 100% users with a Brent connection 2. Subject to a fuller benchmarking assessment of unit costs
Middx Association for Blind	Middlesex Association of the Blind Floating Support (MAB)	3 years	£31,000 38.51pw/pp	This service was set up in March 2003. It would be disruptive for vulnerable clients to change the arrangements so soon. The price represents good value, it is close to the average cost of floating support in London for single people, which is £38.64 pw. We are unlikely to achieve better value through tender, this is based on benchmarking of similar services across all London Boroughs. The provider is a small voluntary organisation unlike any other locally. This helps to achieve a range of Supporting People providers within the borough.	1. Subject to meeting all quality standards by Sep 04

APPENDIX 3

Purpose of the Brent Supporting People Commissioning Body

The Supporting People Commissioning Body has strategic responsibility for the Supporting People Programme within Brent. It will agree and recommend to members a Supporting People strategy for Brent, an annual plan, identify and allocate revenue resources and prioritise capital allocation.

In June 2001 Members agreed that Brent Senior Management Group (now Brent Health and Social Care Partnership Board) should take responsibility for the Commissioning Body role for Supporting People. This group has now set up a sub group in order to meet the Supporting People Grant Conditions and Directions.

The Body does not have statutory powers, it is a partnership body to ensure consensus in the allocation of Supporting People resources within Brent. All partners will be asked to provide written agreement to the Supporting People strategy.

Subject to para 2-5 and schedule 1 of the Supporting People Grant Directions (March 2003) which are attached as Appendix 1 the Commissioning Body may regulate its own proceedings

Membership of Brent Supporting People Commissioning Body

The membership will come from the three statutory agencies of Brent Council (where there will be a representative from Housing and Social Services), Probation and Health. Where a partner agency fails to nominate a representative LB Brent (the Administering Authority) shall inform the Secretary of State immediately. The group may also invite others to attend meetings as appropriate but they will have no decision-making powers.

Housing

Director of Housing – Martin Cheeseman

(In Attendance)

Supporting People Manager - Helen Duckworth

Social Services

Assistant Director - Janet Palmer (Asst Director- Quality and Support)

Health

Commissioning - David Walton (Head of Joint Commissioning)

Probation

London Probation Service - Douglas Stephenson (Senior Probation Officer)

APPENDIX 4**SUPPORTING PEOPLE REVIEW PROCEDURE****No: SP03 Date: Sept 03 Issue: DRAFT 09 Page 2 of 44****Approved By:****CONTENTS PAGE**

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APPENDICES

Appendix 1	Details of services to be reviewed in 2003/2004
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1. Purpose

To ensure the service review processes carried out by the Supporting People Unit are consistently applied and comply with ODPM requirements, with good practice guidance and the terms of the contract. This procedure defines the procedures to be followed in the formal service review process. Routine contract monitoring/performance management issues are addressed within a separate Procedure Note (SP03).

2. Scope

ODPM has published a considerable amount of guidance about performance monitoring and service review within services funded by Supporting People (SP) Grant. The procedure note summarises the guidance and addresses all issues connected with the formal Supporting People service review, including agreeing and implementing the outcome of a review. Note that the procedure note is modified in some parts to address the special arrangements for service reviews that are being undertaken in year one of the programme i.e. during 2003/2004. These arrangements have been put in place because certain performance indicators and monitoring tools required by ODPM will not be finalised in time for first year (2003/2004) reviews.

3. Responsibilities

3.1 Reference is made within this procedure to the following:

Designation	Location
SP Providers	Internal/External
Performance Monitoring Officer (PMO)	SP Team
Service Development Manager (SDM)	SP Team
Service Development Officer (SDO)	SP Team
Supported Housing Policy Manager (SPHM)	SP Team
Finance Officer (FO)	SP Team
Joint Commissioners	Social Services/Brent Primary Care Trust
SP Commissioning Group	<i>Brent Health and Social Care Partnership Board</i>
SP Steering Group	<i>Reps. from Health, Social Services, Probation, support providers and SP team</i>
Contract and Quality Sub Group	<i>A sub committee of the Steering Group</i>
Joint Planning Groups	Various e.g. Mental Health Implementation Team; Learning Disabilities Partnership; Drug Action Team
JCSHR	Joint Council for Scottish Housing Research

4. Definitions

4.2	SP Providers	Supporting People Providers
4.3	QAF	Quality Assessment Framework issued by ODPM
4.8	Client Record Forms	Providers must complete Supporting People client record forms for each new service user and return these to the Joint Council for Scottish Research (JCSHR).
	Performance Framework	The Performance Indicators that can be used both to assess the performance of services on a regular basis and for formal Service Reviews.
	HUB	HT The proposed national IT framework. It will link authorities, providers, referral agents, service users and government.

5. References

5.1	ODPM guidance	Monitoring and Review of Supporting People Services Overview – ODPM December 2002
5.2	QAF	Quality Assessment Framework (ODPM December 2003) and Procedure Note SP02
5.3	Interim Contract	Clause 11 - Service Review Clause 16 - Records & Information Clause 23 Disputes

6. Background

The Council has a large number of Supporting People services provided for vulnerable adults. The service is specified within the schedules of Supporting People Interim Contracts. The schedules include information against which performance will be measured. Every service must undergo a review during the first three years of the programme. This service review is aimed at improving the quality of service, assessing its strategic relevance, and challenging its value for money.

Service reviews may also be triggered as an outcome of routine performance monitoring. If action is proposed that may result in the termination of the contract, a service review process should be brought forward so that any major changes are considered within a broader strategic context.

Some contracts cover several similar services provided by the same provider. Some contracts provide services to people from other local authority areas and are known as Cross Authority services.

The Office of the Deputy Prime Minister (ODPM) has set a framework for Reviews within guidance issued in “Monitoring and Review of Supporting People Services” and “Focus on the Future” issued between December 2002 and July 2003, which can be referred to for additional detailed implementation guidance on the spkweb at <http://spkweb.org.uk>. Guidance includes a Quality Assessment Framework (QAF) and Key Performance Indicator workbooks. These are described below and detailed in appendices 3 and 4.

The review process must be rigorous and disciplined to ensure that the services purchased through Supporting People are necessary, give good value for money, and are on a stable and appropriate contractual basis. ODPM has advised that local authorities that do not carry out proper reviews, or who provide insubstantial evidence of the benefits and strategic relevance of services, may not receive continued levels of funding in future.

A three-year service review timetable has been agreed by the SP Commissioning Group and publicised widely to providers and within the SP strategy. Appendix 1 provides details of schemes to be reviewed in 2003/2004. Appendix 2 outlines the broad timetable for these service reviews, by generic group.

7. Purpose of the Review

The main purpose of a service review is to enable Administering Authorities to:

- determine whether services are meeting the strategic objectives for the Supporting People programme at a local level;
- assess whether there is a continued demand for the service;
- evaluate the quality and performance of services;
- assess the extent to which continuous improvement is taking place;
- risk assess services to inform the future level of monitoring and frequency of validation visits; and
- highlight whether significant changes should be considered (e.g. service remodelling or decommissioning).

The service review process provides the opportunity, prior to the expiry of the contract, to draw together a wide range of information about the strategic fit of the service and how it is performing. There are five key criteria against which services should be assessed. These are their ability to:

- operate in accordance with the local Supporting People Strategy (i.e. their strategic relevance);
- meet identified current and future demand for the service;
- provide a quality service which effectively meets the needs/preferences of service users and potential users;
- perform efficiently and effectively; and
- be cost effective.

In addition, the SP team must be satisfied that the service is being provided by an organisation that offers a reasonable likelihood of remaining in business in the foreseeable future. The accreditation process will therefore run in parallel with the service review (Para 8.5 refers).

Generally, services should meet all the accreditation criteria for a contract to be renewed. However, the review process can result in an agreed action plan that allows services to achieve improvements over a mutually agreed timescale. These improvements may be linked to granting a short-term contract.

8. Service Review Requirements

Formal service reviews, will involve all of the following:

- Requirements of the Interim Contract
- The Quality Assessment Framework (Core Objectives only)
- Performance Indicators
- Supporting People Client Record Form
- Accreditation Process
- Validation Visits
- Client Involvement
- Stakeholder Input

8.1 Requirements of the Interim Contract

The Interim Contract defines the service to be delivered. It establishes the price for the contract. The service is specified within the specification and within the terms and schedules of the Supporting People Interim Contract. Both provide information against which performance will be measured.

Schedule 111A sets out the number of users the service is for and the number of staff dedicated to the service (divided into paid managers; paid front line staff and unpaid/volunteer staff). The staffing levels are expressed as a whole time equivalent figure. This figure should be the number of staff employed to provide support (not the total staff of the service, since the latter may include other staff e.g. those providing housing management support).

8.2 Quality Assessment Framework (QAF)

The Quality Assessment Framework (QAF) has been developed by ODPM as a tool to enable providers to self-assess their services against nationally defined standards. It also aims to encourage and facilitate the raising of standards within the support services sector.

The QAF details 17 Core service objectives. These are divided into four “Core” and thirteen “Supplementary” objectives. Core objectives are minimum standards and are compulsory for Interim Contract formal Service Reviews. Supplementary objectives define good practice service objectives. Current ODPM guidance is that the supplementary objectives, together with the core objectives, are for use in subsequent service reviews – i.e. reviews of services operating under “steady state” service contracts.

The compulsory standards (2003/2004) are:

- Health and safety;
- Protection from abuse;
- Fair access, diversity and inclusion and
- Needs assessment and support planning.

Under the Q.A.F., service performance is self-assessed by the support provider by examining evidence of the way in which services are provided against each objective and then awarding a performance level (A to D). Level D indicates that the service does not meet the required level in relation to that objective, level A = excellence. All requirements of each objective must achieve the given standard to achieve that level for the service objective overall.

New services (from 1st April 2003) must achieve level C against all objectives from the date of opening and achieve level B within a timetable agreed when the service is commissioned. The self-assessment self assessment will be validated by the review lead officer.

Providers of existing services that achieve level C in the course of a service review must agree a timetable for working towards level B.

Appendix 3 provides further details of core service standards, together with the related provider assessment form.

Providers, in the first instance, are responsible for assessing their own standards using the framework. This assessment will be checked through the service review and by Validation visits (see Para 8.6 below).

8.3 Performance Indicators

A description of ODPM's approach to Performance Indicators is provided at Appendix 4.

The Performance Indicators that will be monitored by Brent SP team during 2003/2004 are:

Local PI Number	Area	Collected	Notes
1.1	Service Availability (Accom. based services)	Quarterly Quarterly	Compulsory Interim Contract PI at borough level Provider returns direct to SP team Local PI at service level
1.2	Service Availability (Out of hours)	Quarterly Quarterly	Compulsory Interim Contract PI at borough level Provider returns direct to SP team Local PI at service level
2.1	Utilisation levels (Accom. based services)	Quarterly	Compulsory Interim Contract PI at borough level Provider returns direct to SP team Local PI at service level
2.2	Utilisation levels (Support Services)	Quarterly Quarterly	Compulsory Interim Contract PI at borough level Provider returns direct to SP team Local PI at service level

3	Staffing levels	Quarterly Quarterly	Compulsory Interim Contract PI at borough level Provider returns direct to SP team Local PI at service level
4	Fair Access	Quarterly and Annually Quarterly	National KPI (borough info) Providers send info. To JCSHR who provide returns to SP team quarterly and annually Local PI at service level
5	Service users moved on in planned way	½ Yearly	National KPI – not compulsory for Interim Contracts Local PI at service level
6	Price of Service	One off	
7	Support Plan	Annually	National KPI at borough level but not compulsory for Interim Contracts Local PI at service level
8	Support Plan reviews	Annually	National KPI at borough level, but not compulsory for Interim Contracts Local PI at service level
9	Complaints	Annually	National KPI at borough level, but not compulsory for Interim Contracts Local PI at service level

Where there is a gap in information available for providers whose services are to be reviewed early in 2003/2004, they will be asked to provide information in relation to their service for the year 2002/2003.

A link to the web based ODPM workbooks to be used to provide electronic returns, is provided at the end of Appendix 4. Related returns from providers can be submitted electronically or by hard copy.

Performance indicators provide useful information for service reviews, but provide just a part of the picture. The service review involves consideration of a range of management information; client and stakeholder feedback and the validation visit report. Performance indicators provide an indication of where a problem may exist and point to areas where further investigation may be required.

8.4 Supporting People Client Record Form

A Client Record Form must be completed by providers for every new client. All providers have received copies of the form and related guidance. Returns are sent to the Joint Centre for Scottish Housing Research (JCSHR).

This form will monitor take up of SP services and include the following information about new service users:

- Economic Status
- Ethnic Origin
- Level of Risk
- Client Group
- Level of Support Provided
- Source of Referral
- Type of Referral
- Last settled accommodation

The form does not provide information on current users prior to 1.4.03 or on people who exit services.

In addition to the return of this form, providers of accommodation based services located in RSL properties must continue to complete CORE returns on new lettings for the Housing Corporation. The Supporting People Client Record Form will merge with the CORE return in April 2004. JCSHR will provide regular summaries to Administering Authorities.

8.5 Accreditation

The underlying purpose of the accreditation process is to ensure that providers are suitable organisations to hold a contract for the provision of support services and to receive funding in accordance with this contract. All organisations providing Supporting People services under an Interim Contract will be automatically accredited. Accreditation lasts for a three-year period or until the next service review, whichever is the longer. Appendix 5 provides an overview of the Accreditation process.

Each non-statutory service provider will have to be accredited before a Steady State Contract can be issued. Accreditation will be carried out as part of the first service review for each service provider. If awarded, accreditation will then last for five years or until the next Service Review, whichever is the later.

If the SP team wishes to contract with a provider that fails to meet some of the accreditation requirements, the issuing of the contract must be delayed until the criteria are met. If the provider is already in receipt of Supporting People funding, the existing contract can be extended on an interim basis, with a duration of no more than one year, to allow the provider to achieve the criteria. If at the end of this time the criteria are still not met, no further contracts can be issued to the provider.

The criteria for accreditation require that providers:

- are financially viable;
- have competent administrative procedures that are able to properly handle and account for Supporting People grant;
- have effective employment policies to cover staff development, staff supervision and the health and safety of both staff and service users;
- have sufficiently robust management procedures to provide Supporting People services; and
- are able to demonstrate a track record of competence to deliver services.

Local authorities, Health Authorities, Primary Care Trusts, and Probation services do not need to be accredited in order to provide Supporting People Grant funded services. Registered Social Landlords will be passported from several, but not all, the Accreditation criteria. (Criterion 3 'effective employment practices and Criterion 5 Competence/Track record are not covered by such registration and there are some caveats on the passport in respect of the criterion 'financial viability'). Providers accredited under other regimes (e.g. Investors in People) can be passported through some or all of the accreditation requirements, in line with ODPM guidelines

Accreditation by other local Supporting People authorities will be accepted, subject to receiving the details from those local authorities about their Accreditation criteria and an assessment of whether these procedures are sufficiently robust. Over time, a list will be drawn up of authorities whose accreditation would automatically passport the provider. This list will be formally reviewed every 5 years.

Organisations subject to accreditation who are not passported from the requirements will be asked to complete the questionnaires set out in the ODPM guidance, in addition to a range of information including the following documents:

- *Latest Organisational Business Plan*
- *Financial projections/annual budgets for the period covered by the Business Plan*
- *Latest set of Annual Accounts*
- *Latest Organisational Risk Map*
- *Latest Auditor's Report and Management Letter.*
- *Banker's references*
- *Referees for other areas in which the provider works (only relevant if not already known to Supporting People*
- *Providers' Governing Instrument*
- *Details of Governing Body and a description as to how accountabilities work within the organisation e.g management structure, role of Board etc.*
- *Confirmation of person/s responsible for all financial administration in relation to Supporting People.*
- *Current delegated authority schedules*
- *Equal Opportunities Policy*

The Administering Body reserves the right to ask for further evidence of providers if the evidence provided is not sufficiently comprehensive.

An accreditation framework, which responds to the above issues and considers the position of very small providers, is currently being developed.

To pursue the potential for a co-ordinated approach to accreditation and avoid duplication, the West London Housing Group is examining the potential for cross borough collaboration on the accreditation process.

8.6 Validation Visits

Validation visits are intended to 'check' the quality of services that are being delivered by a provider. The aim of the process is to collect information to gain an understanding about the quality of the services, the experience of staff, clients and other stakeholders and how providers are working towards continuous improvement.

Validation visits to services are prioritised as a result of risk assessment. The risk assessment takes place as a part of on-going performance monitoring.

All service reviews of Interim Contracts will include a validation visit. In the longer term, services that are assessed as high risk will be visited more frequently than those assessed as medium or low risk. For high performing services, visits will only be required on a 'spot' basis, so adopting a lighter touch to monitoring of these services.

A validation visit protocol has been developed for use by the Supporting People team to ensure a consistent approach to validation visits.

To enable continuous improvement, following a validation visit, a feedback form will be sent to the provider seeking comments on the visit and any suggestions of change necessary to achieve improvements.

8.7 Stakeholder Involvement

It is important that the views of all identified service stakeholders are obtained as part of the review process and that they are encouraged to provide both positive and negative feedback, where appropriate, in order to establish a balanced view of a service. Whenever possible, feedback should be shared with providers so that they can comment upon it and, if necessary, act upon it. Stakeholder involvement will be at:

Stage 1

At the pre-review meeting, details of all stakeholders will be confirmed. Subsequently all stakeholders will be asked for their views on the service to be reviewed; about the ability of the service to meet national and local strategic objectives and about current and future demand for the service. The letter and form at Appendix 6 can be used for this purpose.

Stage 2

Feedback considered (chased if not received).

Stage 3

Supplementary questions to stakeholders, as the need arises.

Stage 4

If there are proposed changes to service currently provided, the provider is to change or the service is to be decommissioned; stakeholders' views will be required as part of the process of establishing detailed evidence on future service provision. This will enable the Commissioning Body to make informed decisions when considering any changes.

Who are the Stakeholders?

Figure 2

Feedback required	Examples of stakeholders
General, on all aspects of performance	<ul style="list-style-type: none"> • Other local statutory funders • Providers working in partnership • Lead officers in health or social services for client group concerned (where appropriate) • Main referral source
Strategic relevance	<ul style="list-style-type: none"> • Other local statutory funders • Providers working in partnership • Lead officers in health or social services for client group concerned (where appropriate) • Allocations/homelessness manager for housing authority
Demand	<ul style="list-style-type: none"> • Lead officers in health or social services for client group concerned (where appropriate) • Allocations/homelessness manager for housing authority • Referral sources
Quality of service	<ul style="list-style-type: none"> • Providers working in partnership or with same clients • Lead officers in health or social services for client group concerned (where appropriate) • Other funders that monitor quality of service • Local advocacy agency working with service users • Other agencies, as applicable, e.g. BME specialist support agencies, Connexions service, the Police
Outcomes for service users	<ul style="list-style-type: none"> • Providers working in partnership or with same clients • Lead officers in health or social services for client group concerned (where appropriate) • Other funders monitoring outcomes for service users • Others, as above
Value for money	<ul style="list-style-type: none"> • Other funders monitoring outcomes for service users

8.7 Client Involvement

Clients are the real experts on the quality of service and no review is complete without the involvement of service users. The SP team will work with commissioners and providers to identify and implement the most appropriate method of achieving client involvement in each review. For most client groups this will be through personal visits and/or discussion with a representative group. A postal or telephone survey may supplement this approach. In some instances, there will be a need to arrange special support for involvement, such as advocates, signers or translators. Service Development Officers will also try to attend house meetings, where the cycle of meetings/review timetable permits.

It is essential that feedback be provided to clients detailing how the views that they have expressed have been taken account of within the review process. A summary of the comments received and the resultant action taken will be sent to all clients who have contributed to the review.

An example of the questions that will be asked during client consultation is provided at Appendix 7.

Providers will be required to advise all clients of the service being reviewed of the timetable for the review and will be asked to provide the Supporting People team with details of all client feedback on service quality.

9 Information Required for Service Reviews

A comprehensive range of information is required to enable service reviews to proceed. This includes management information (the bi-product of collecting information on performance) and other strategic information. The range of information needed includes:

Information	Responsibility	Updating Intervals	Comment
SPLS data on supply	IA		SP3s/Contracts
Contractual information	SDO	Quarterly	Includes: minutes of monitoring meetings/ log of discussions/ records of default actions/ complaints
Performance information	SDO/IA	Quarterly	Returns – electronic and manual from providers and JCSHR
Summary of provider QAF self-assessments	SDO	Annual	
Validation visit reports	SDM	As/when required	May be undertaken by independent assessor
Cost/price assessments	FO		One-off exercise at 1/4/03 then re-calculate following each review

Feedback: Service users/other stakeholders	SDO		ODPM guidance awaited Includes landlord, where not support provider
Baseline data from ODPM cross authority survey	SPHM/IA		
SP Strategy	SPHM	Annual	
Outcome of related BV review(s)	SPHM	As/when	
Report following Audit Commission inspection	SPHM	As/when	Where this has taken place (report available of Audit Commission web site)
Joint Commissioning Plans	SPHM/SDM	Annual	
Data on needs of BME communities	SPHM/SDM		
ONS population data on BME groups	SPHM	10 years	(ODPM require same population figures as used for the PAF for Personal Social Services)
DOH Performance Assessment Framework for NHS	SPHM		
Home Office data on re-offending rates	SPHM		
Research Studies	SPHM	As/when	
Data on Housing Register	SPHM	ongoing	

10. Procedures to be followed

A service review is the point at which all the evidence from performance monitoring process is gathered together. All services must be reviewed within three years of the start of the programme. Once a service has been reviewed it will move onto a steady state contract. These contracts may have a term of up to 5 years, although some steady state contracts may need to be short term and linked to an action plan for service improvement.

10.1 Overview of the approach to the Review/ Summary of Stages

- It is the Commissioning Body who establishes priorities/agrees significant change. The SP team should not make any commitments or promises to providers during the review.
- All decisions must be evidence based. They must be based on evidence that is transparent and auditable.
- All information obtained during the course of the service review is confidential. It cannot be shared with others, e.g. owning RSLs, unless there is agreement to do so (for example through a FLAP protocol).

10.2 Stages of the Review

There are four stages to the review process. The assessment at each stage must be evidence based. An overview of the 4 stages is provided at Appendix 8.

These stages are summarised as follows:

Stage 1 – Strategic assessment

- To check that the service is in line with strategic requirements and that there is demand for the service.
- If there are concerns about the strategic relevance of the service then discussions should take place with the provider and /or relevant stakeholders and clients about possible changes to the service, including remodelling.
- If there are concerns about the demand for the service then discussions should take place with the provider and /or relevant stakeholders about possible changes to the service, including remodelling.
- At Stage 1 there is also a thorough review of the nature of the support services provided, to ensure that SP Grant is only paying for eligible housing related support services to eligible vulnerable client groups.
- At Stage 1 the accreditation certificate of the provider must be checked and, where it is out of date/there has been no accreditation, the process for re-accrediting the provider must begin.

Stage 2 – Desktop review of quality and performance

- Examination/investigation of quality, performance and cost-effectiveness.

Stage 3 – Further evidence/reality check

- Examination of additional information, where this is required.
- Validation visit, to check service quality and verify evidence of Q.A.F. self-assessment. This visit will include discussion with clients, service managers and front line support staff.
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Stage 4 – Outcome of a service review

Following the stages above, the review report will be drafted. The following are possible outcomes to the review process:

- renewal of contract, including negotiations over the contract term and contract conditions;
- an action plan to improve performance, linked to service changes;
- an agreement to remodel the service, working with the provider to carry out the remodelling;
- changing the provider and retaining the existing service (for instance where the provider has not been re-accredited); or
- closure of the service and the activities involved with closure (including consultation with service users, addressing the future use of a building where the service is accommodation based etc).

Where a decision has been made substantially to change (i.e. remodel) a service, it will be treated as a new service and not be subject to a detailed performance and quality assessment until a subsequent review. The service will need to be subject to regular contract monitoring, to ensure that the changes required are achieved according to the agreed timetable.

No outcome of a review will be considered in isolation. The review must embrace consideration of the knock-on impact of change within the service in question on the remainder of the SP programme.

In reviewing Interim contracts, all reviews of a particular client group, for example of services for those with physical disabilities, will be completed before decisions on significant change within any one service, are pursued.

The stages of a service review can be summarised as follows:

Stage 1 Strategic Review	Stage 2 Desk Top review of Quality and Performance	Stage 3 Further evidence/ Reality check	Stage 4 Outcome of the Review
Assessment of strategic relevance	Quality of service Performance of service	Further evidence sought	No changes
Demand for the service	Cost effectiveness	Meetings with provider and stakeholders (if required)	Minor changes
Verification of eligibility of support services and client group for SP Grant	(Validation visits should be undertaken to a proportion of services, according to risk)	Service visit (if required)	Remodelled Contract terminated

10.3 Preparation for the Reviews

Note: Providers should in all instances make contact with their named review lead officer. References under “WHO” below are for the reference of members of the SP team only).

No:	Action- Preparation for Reviews	WHO
1.	By end January each year, produce list of all schemes scheduled for review in coming financial year. Include any services to be reviewed early due to non-compliance, breach of contract or high levels of risk.	SDM
2	Circulate report to Steering Group/Joint Commissioners/Commissioning Body. Comments made will influence content of list or timing of review.	SPHM
3	Where nature of service is specialist, consider/recommend specialist staff to do reviews.	SDM
4	Training Session for SP providers included in the review programme by end February. Obtain feedback on the training and ensure any queries are resolved prior to April 1 st . Repeat training later in the year, as required.	SDM
5	Ensure that a lead officer within the SP team is identified for each service review.	SDM/ SDO
6	Once review timetable is approved and by April 1 st , contact all providers of services to be reviewed in the coming financial year, advising of the timetable for the review, of the name of their lead officer and confirming the information that will be required. Use the standard letter provided at Appendix 9. This letter also requests that providers advise their clients of the timetable for the review/invite their feedback on service quality.	SDO
7	Advise that a “pre-review” meeting will take place to confirm the content of and approach to be taken to the review.	SDO
8	If the service review is being undertaken early, as a consequence of the outcome of routine performance monitoring, the notification must provide detail/s of the reason for the early review.	SDO
9	Assemble all management information to be used in the reviews (see Para 9 above).	SDO
10	Send out Q.A.F and Stage 1 questionnaire. Check P.I. returns have been received.	PMO

Stage 1

Strategic Relevance and Demand for Service (See Appendix 9 for overview)

The key questions that will need to be asked in relation to strategic relevance are:

- to what extent do the needs being met by the service reflect those prioritised for Supporting People?
- to what extent does the type of service reflect those prioritised for Supporting People funds?
- does the service contribute to the LB Brent's agenda on regeneration/employment and education/crime reduction/health improvement?
- does the service contribute to LB Brent's preventative agenda (i.e by reducing or delaying the need for more costly services)?
- does the service contribute to the strategic objectives of other stakeholders (e.g. on hospital discharge)?

Where the service is clearly not of strategic relevance, the SP team will need to explore, in discussion with the provider, whether the service can be changed.

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| 1 | Where a service is strategically relevant, the review will need to assess the demand for the service before moving on to Stage 2 of the process to assess quality, performance and cost-effectiveness. | SDO |
| 2 | Meet with Social Services Service Unit Managers and Joint Commissioner for each service to discuss strategic aims and ensure that the current SP Strategy reflects local priorities | SHPM/
SDM |
| 3 | Confirm strategic priorities with Joint Planning Group for each client group. | SHPM |
| 4 | Hold the pre-review meeting with provider. At this meeting; <ul style="list-style-type: none"> • Issue providers with summary of strategic priorities • Confirm Lead Officer • Overview of returns for Stage I questionnaire, QAF and Performance Information (if returns are incomplete request missing information, with related timetable) • Agree approach to service user involvement. • As applicable, check whether information-sharing protocols are in place with scheme landlord. • Agree stakeholder list, for feedback on service quality. | SDO |

5	Examine the SP strategy to confirm strategic relevance of the service.	SDO
	Examine the demand data to confirm the need for the service and other Management Information, as appropriate.	SDO
	If there is an excess supply, check that the service may not be duplicated elsewhere. If so, a decision must be made (based on outcome of further review stages) over the future need for the service	
6	If there is an excess supply, check that the service may not be duplicated elsewhere. If so, a decision (based on the outcome of further review stages) on the future need for the service maybe necessary.	SDM/ SDO
7	Whilst a decision can be taken in principle that the service does not meet with a strategic objective and/or there is no demand for the service, no service will be recommended for closure/re-modelling at this stage, unless this is in the agreement of the provider. All services must proceed to Stage 2.	SDO
10.5	Stage 2	
	Assess Quality and Performance and Cost Effectiveness (See Appendix 9 for overview)	
8	Quality Assessment Framework paperwork sent out to providers for return within 4 weeks, according to timetable.	PMO
9	If service is accom. based and provider is not landlord, send standard form at Appendix 6 to owning RSL for feedback on performance. Request feedback from all stakeholders (using letter at Appendix 6). Chase if not received/consider responses, probe, as required..	SDO/ PMO
10	Chase up QAF, if not returned within 4 weeks. If, after a further 2 weeks, forms have not been returned, issue standard warning letter at Appendix 10 to named contract contact and advise SDM of action taken.	SDO
11	Desktop review of cost effectiveness through comparison with like services and review of staffing levels. Examine against all benchmarking data for similar schemes. Pass information to the lead for each review.	SDO
12	Prepare data report from SPLS on Performance Indicators for each provider being reviewed and pass to the lead for each review.	PMO
13	Desktop review of Performance Indicators for signs of problem areas. As required, contact providers by telephone or email and try to address concerns before the process moves onto the more detailed Stage 3.	SDO SDO
14	Prepare initial report/list of identified areas of concern/issues to be pursued at validation visit or in other meetings with provider. Note: It is essential that Stage 2 is completed as thoroughly as possible, before the letter is sent to the provider with details of the validation visit, so this letter can specify what further information is required at the meeting and which staff are to be seen. This also enables the validation visit to focus on service quality and service impact on clients.	SDO

10.6 Stage 3

Further Check of Quality and performance and Validation Visit

Stage 3 involves a more detailed assessment of the quality, performance and cost-effectiveness of the service. It is also at this stage that validation visits will confirm details of information submitted/interview a selection of support staff/seek clients' views of the service. All interim contract reviews will progress to Stage 3.

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|----|---|-----|
| 15 | If a service only meets a proportion of the level C requirements in QAF, ie the service does not fully meet level C, but is not level D, agree draft Action Plan with provider and pass to SDM for approval. Similarly, where a service achieves level C, but not level B, agree an action plan to move the service to level B. | SDO |
| 16 | All reviews of Interim Contracts will include a Validation Visit. A separate protocol describes the approach to be taken to Validation visits. This protocol also covers the processes for obtaining clients' views on the service being reviewed and on providing feedback to clients about the outcome of their involvement. | SDO |
| | Agree validation visits and meetings with providers. Carry out validation visits, in line with protocol. | |
| 17 | Assess the quality of the service and the extent to which the core service objectives are met, assessing each of the 4 service objectives in categories A-D (Appendix 3). | SDO |
| | Obtain service users' views on the quality of service and change/improvements needed. Talk to a sample of service users at the validation visit/attend house/other meetings; arrange focus group/involve advocates/signers/translators, as required and appropriate to the client group. | SDO |
| 18 | Examine other documentation, as required/identified as being in need of verification at stage 2. | SDO |
| 19 | Send thank you letter/confirmation of feedback received and resultant action taken to all clients involved in the consultation – send a copy of this feedback to the provider | SDO |

10.7 Stage 4 Outcome of Service Reviews

At Stage 4 adopt a strategic overview - the outcome of an individual service review should not be implemented in isolation. All services within a generic group must be reviewed before final recommendations for individual services are drafted, since the impact of change in one service may impact on others. For instance, the review may conclude that service should be closed because of poor performance. However, monitoring data may indicate that other similar services are performing less effectively. This may result in a decision to agree a short-term contract for the service to allow the other services to be reviewed, before final decision is made.

Stage 4 of the service review process will need to balance a number of issues:

- The impact of change in one service on the total provision for the client group
- the diversity of providers (both in size and in the nature of the service offered);
- the needs of BME service users;
- re-commissioning high risk services; and
- the issue of residential care homes.

20	Accreditation must be concluded (cross ref 8.5 and see Appendix 5 for overview). Where a provider is not re-accredited, an opportunity should be given to the provider to achieve the required standards within a year. A short-term extension to the contract can be made, or the notice period served on the provider.	SDO
21	Use findings of stages 1-3 above to prepare the draft report (following the pro-forma at Appendix 12.) for each service being reviewed, within timescales set out in timetable. The report will recommend one of the courses of action outlined in (11) below. Pass report to SDM.	SDO
22	Check draft report and pass to SHPM	SDM
23	Amend report, approve for dispatch to provider for comment.	SDO
24	Draft report recommendations passed to Service providers for comment. Allow at least 7 days for response.	SDO
25	Comments from providers considered. Report revised, as appropriate.	SDO
26	Provide copy of full report to, and meet with, Joint Commissioners and Service Unit Manager for relevant client group to discuss and agree proposed outcomes of reviews.	SDM/ SHPM

27	Summary report with final recommendations and outcome of review to Steering Group.	SHPM
28	Full report to Commissioning Body*	SHPM
28	Outcome of review notified to provider.	SHPM/ SDM
29	If no changes are required or changes are agreed with provider, prepare and sign new contract, according to financial authorisation limits set out in Financial Standing Orders.	SDO
30	If changes are required action, prepare/agree action plan with provider	SDM
31	Monitor implementation of action plan. *Where the recommendation relates to significant change, there must be full consultation with clients, with the landlord (where the latter differs from the support provider) and with other key stakeholders.	SDM

11. Outcome of Service Reviews

Following a service review, any of the following actions may be taken:

- A steady-state contract could be entered into on the same basis as the Interim Contract
- A steady-state contract could be entered into on the same basis as the Interim Contract, except that the contract sum and/or numbers receiving the service have been renegotiated.
- A steady-state contract could be deferred for up to 12 months, pending resolution of one or more of the following circumstances:
 - An Action Plan is required to improve Service Standards (any Performance Level D on core service objectives)
 - An Action Plan is required to improve service occupancy / take up/other performance related targets.
 - Capital / property based changes are necessary
 - A failure to agree terms of new Steady State contract
 - A failure to meet the accreditation criteria
- A Steady State contract could be entered into with the same provider but with a variation in the service provided with/or a variation in target client group. This will need to be agreed with the service provider.
- A decision could be taken to continue with the same service or a variation in the existing service and an alternative provider sought. In such circumstances a competitive tender exercise will be undertaken before a Steady State contract is drawn up. The criteria for taking this path are set out in (11.1) below.
- A decision could be taken to terminate the Interim Contract without a Steady State Contract to replace it.

11.1 Competetive Tendering

The criteria for entering into a competitive tender exercise as opposed to granting a Steady State Contract to an existing provider are as follows:

- It is considered impossible for providers to meet the QAF core service objectives within the required 12 month period (of they fail to do so within the period allowed for)
- In line with the Supporting People strategy, a change in the service provision or target client is required, but cannot be agreed with the existing service provider
- The current cost of the service is more than 10% above the norm for other comparable services, and the provider cannot provide suitable justification for this, and is unwilling to enter into a steady-state contract on a reduced contract sum.
- It is not felt that the Service can be provided on a economic basis because of the size of the Service
- The service provider does not meet the accreditation criteria.

11.2 Decommissioning the Service

The criteria for de-commissioning the service are as follows:

- The service does not meet the support or client group criteria set out in ODPM Grant conditions and directions.
- The service is not of strategic relevance
- There is no longer sufficient demonstrable local or cross authority demand for the service being offered and it is neither economic to scale the service down or feasible to vary the service within the existing premises.

The de-commissioning of a service will require the explicit approval of the Commissioning Body. The Commissioning Body will wish to know the full implications of such de-commissioning and, as with other significant service changes, where such a recommendation is being considered there will be a need to consult existing clients about the proposed changes and to guarantee provision of on-going support that reflects needs. In addition, where the support package is part of the tenancy agreement, there will be a need also to consult with the landlord, where this is not the support provider, about the ramifications of proposed changes in support arrangements and to ensure that services are changed in a manner that is compatible with the contractual responsibilities of the landlord, under the Conditions of Tenancy.

The results of Service Reviews will be reported to the Steering Group and to the Commissioning Body, for approval, in accordance with the related timetable. Where a significant change to the contract is proposed as a result of the Service Review, the Commissioning Body's approval will be sought before the result is notified to providers. The definition of significant change is as follows:

- A proposed change in funding level of 10% or more
- A change in the numbers of contracted service users, by more than 20%
- Any proposal to re-tender the service
- Any proposal to de-commission the service.
- A proposal to re-model the service or to move from an Accommodation Based to a Floating Support service

There will be a formal process of notifying providers of the outcome of the Service Review. Providers will have a right of appeal against closure, the requirement to put the Steady State Contract out to tender, or the proposal to defer the award of a Steady State Contract.

12. Appeals

Appeals by service providers against the outcome of a service review can only be made on the following grounds:

- The Administering Authority has failed to follow the published Service Review procedure
- The Administering Authority has failed to consider all relevant facts
- The Administering Authority has not taken into account the wider strategic considerations for the Service and the consequences that will therefore follow from the decision taken.

Any appeal against the outcome of the review must be sent, in writing, to the Chair of the Commissioning Body, with a copy to the Supported Housing Policy Manager, within 20 working days of the formal notification of the outcome of the review. An acknowledgement of receipt will be sent within 5 working days.

Appeals will be considered by one or more representatives of the Commissioning Body, with advice being sought, as necessary, from The London Borough of Brent's Corporate team.

13 Records

All records relating to the procedure will be retained within the Supporting People Team for a period of seven years. Procedures will be implemented to enable, as far as possible, electronic storage of information.

APPENDIX 1 DETAILS OF SERVICES TO BE REVIEWED IN 2003/2004

	Service Review dates for Year 1	
Service Provider Name	Contract ID	Bedspaces
Strutton HA	Strutton Services	13
Apna Ghar HA	Apna Physical and Sensory Disability	75
Jewish Blind and Disabled	Jewish Disabled Services For Elderly Disabled	65
Arneway	Floating Support	
Centre Point	Centrepont Floating Support	7
Octavia Care	Floating Support	
NetWork H A	Network Physical & Sensory Disability	7
PCHA	PCHA Physical Disability Service	6
PCHA	PCHA Miles House Floating Support	5
PCHA	PCHA Young Deaf Clients	6
PCHA	Genesis Floating Support	
RNID	RNID Care Services	6
RNID	RNID Harrow Rd	6
Willesden Free Church HA Ltd	WFC Disability Scheme	8
Middlesex Association For the Blind	Middx Assoc for the Blind-Floating Support	10
NetWork H A	Network Homeless Families Press House	48
Brent Mencap	Brent Mencap LD Services	19
Hillstream Care Ltd	Hillstream LD Unregistered Service (Long Term)	32
Hillstream Care Ltd	Hillstream LD Unregistered Service	4
Hillstream Care Ltd	Hillstream Chalkhill Learning Disability	8
Learning Disability Partnership	LDP Adult Placement Service	30
NetWork H A	Network Learning Disability (Long Term)	10
NetWork H A	Network Learning Disability Short Term Services	12
NetWork H A	Network Generic Floating Support	

The Regard Partnership	The Regard Partnership	6
NetWork H A	Network Teenage Parents	20
Fortunegate	Floating Support	
Fortunegate	Floating Support	
Arbours Association	Arbours Association for Mental Health	8
Arlington Care Association	Arlington Care Mental Health	3
Brent Mental Health Service	BMHS Group Homes	51
Brent Mental Health Service	BMHS Claremont Rd	5
Brent Mind	Lechmere Road	1
Brent Mind	Brent Mind - Dual Diagnosis	11
Brent Mind	Brent MIND Group Homes Short Stay	60
Brent Mind	Brent MIND Floating Support for Network HA	20
Broadway Resttlement Services (HSA)	Brent Mental Health Floating Support	15
English Churches Housing Group	ECHG Homeless Mentally Ill Crown House	20
Family Housing Association	Family HA- Dean Rd	6
Hillstream Care Ltd	Hillstream Outreach Service	5
Hillstream Care Ltd	Hillstream Mental Health Support (Long Term)	5
Hillstream Care Ltd	Hillstream	16
Jewish Care	Jewish Care Mental Health Services	10
London Borough of Brent Private Housing	Brent Private Housing-disabled facilities	420
Lifeways Community Care	Lifeways Accommodation	16
London Borough of Brent Mental Health and Housing Team	Brent Housing Service Mental Health and Housing Team	40
NetWork H A	Network Mental Health	6
PCHA	PCHA	10
Step Forward	Step Forward Brent Mental Health Floating Support	10
Ujima HA	Ujima Mental Health	10

APPENDIX 2 REVIEW TIMETABLE 2003/2004

DATE	ACTION	WHO
REVIEW OF SERVICES FOR PEOPLE WITH PHYSICAL AND SENSORY DISABILITIES AND HIV/AIDS		
28 th April 2003	SEND OUT QAF FOR PD REVIEWS	SP TEAM
26 th May 2003	RETURN FORMS	PD PROVIDERS
May/ June	Validation Visits and user views	SPTEAM Providers
June/July	Reports drafted and initial findings discussed with Joint Commissioners	SP Team
15 th June	SP Quality and Contract sub group review progress and process and timing	Sub Group
July	Draft Reports sent to PD providers	SP Team
July and August	Discussions with providers	Providers SP team
By end August	Comments from Providers received	Providers
11 th September	Report to Steering Group on PD reviews	Lead Officer
End September 2003	Report to Commissioning Body	Lead Officer
REVIEW OF SERVICES FOR PEOPLE WITH LEARNING DISABILITIES		
1 st JULY 2003	SEND OUT QAF FOR LD REVIEWS	SP TEAM
3 RD AUGUST 2003	RETURN FORMS	PD PROVIDERS
August	Validation Visits and user views	SP TEAM Providers
By Mid September	Reports drafted and initial findings discussed with Joint Commissioners	SP Team
7 th September 2003	SP Quality and Contract sub group review progress and process and timing	Sub Group
By Mid October	Draft Reports sent to LD providers	SP Team
September and October	Discussions with providers	Providers SP team
By end October	Comments from Providers received	Providers
6 th November	Report to Steering Group on LD reviews	Lead Officer
End November	Report and recommendations on LD reviews to Commissioning Body.	Lead Officer

DATE	ACTION	WHO
REVIEW OF SERVICES FOR PEOPLE WITH MENTAL HEALTH PROBLEMS		
6 th October 2003	SEND OUT QAF FOR LD REVIEWS	SP TEAM
3 rd November 2003	RETURN FORMS	PD PROVIDERS
November	Validation Visits and user views	SP TEAM Providers
By Mid December	Reports drafted and initial findings discussed with Joint Commissioner	SP Team
Early December 03	SP Quality and Contract sub group review progress and process and timing	Sub Group
By Mid December	Draft Reports sent to MH providers	SP Team
December and January 2004	Discussions with providers	Providers SP team
By Mid January 04	Comments from Providers received	Providers
Mid February 04	Report to Steering Group on MH reviews	Lead Officer
End February 04	Report and recommendations on MH reviews to Commissioning Body	Lead Officer

Reviews for other client groups will be by agreement with the providers, with similar timescales allowed.

Further appendices are not attached but are available from the Supporting People team on 020 8937 2303