

2017-2020 Financial Planning and Budget Setting Process Business Case for Change

1. Summary

Title	Assess at Home - Review of ASC Customer Journey Pathway (Assessment and Front Door services)
Business Case Number	CF Ass
Service Area(s)	HECS
Member	Cllr Alison Waggott-Fairley
Project Sponsor	Jacqui Old
Project Lead	Ellie Anderson
Council Plan Theme	Our People
Creating a Brighter Future Theme	Cared For
Saving or Income	Saving
Total 17/18 Savings/Income	£884,000
Total 17-20 Savings/Income	£1,084,000

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2. Business Case

Summary

This proposal will seek to reduce the number of staff and change the skill mix for those people who currently carry out social care assessment functions for adults in North Tyneside.

Changes introduced by the Care Act 2014 have provided an opportunity to review the way in which social work and social care assessments function and within this to embed Wellbeing and Prevention at the heart of everything we do.

In line with the Council's Target Operating Model and 3 tier approaches to service delivery, assessment functions in adult social care will review their current pathways and offer to users, carers and parents. The overall aim will be to carry out more personalised and proportionate assessments and offer more solutions to meet need based on existing community resources and an individual's own family and community networks.

In addition the proposal will:

- Provide support early in Tier 2, to avoid escalation to Tier 3
- Where Tier 3 care and support is required, ensure this has an enablement/recovery focus and is delivered in a person and family centered way.
- Use an asset based approach that identifies, develops and uses an individual's own social assets (and that of the community) to meet needs in an outcome focused way.
- Undertake proportionate assessments that focus on outcomes rather than process and make best use of universal services
- Work in partnership with the NHS to provide a multidisciplinary and integrated approach to reablement services for older people
- Promote customers (including other professionals) to self serve
- Introduce a customer portal that allows people to self serve in relation to advice and information
- Ask customers (where possible) to come to us, so reducing the number of home visits needed
- Ensure customers with Personal Budgets remain with a team, thus reducing traffic to Gateway.

This approach builds on the lessons learned and the successes of Care and Connect (C&C) which seeks to provide an earlier intervention as an alternative to more costly social work assessment. It also builds on the "Making Every Adult Matter" approach where working with other agencies allows a support plan to be built around an individual and shares both risk and responsibility. The service will redesign the customer pathway and re-engineer assessment and support planning. The cost of undertaking a proportionate assessment can be assumed as half that of other case management costs, the national average being £455, given that the proposed assessment is shorter/more proportionate, mostly conducted in a community setting and there is less administrative time as we would only broker paid services when universal services cannot meet the outcomes required. The cost of a

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performing a standard assessment in North Tyneside, as currently provided, is at least the national average of £455. Proportionality will be achieved through staff working in the community teams retaining long term caseloads, with customers moving between active and inactive cases as their situation changes. A change in customer circumstances will move the status to active and will prompt an intervention from a member of staff who knows the individual. This avoids a revolving door effect, prevents unnecessary assessment as staff build on what is already known and take on an asset based, problem solving approach.

Working with NHS partners in relation to the Older Person's Pathway, and examining the impact of the opening of the new Emergency Care Hospital, we have reviewed the hospital social work function and are launching a new integrated hospital discharge and admission avoidance service called CARE Point. Again this has afforded the opportunity to re-look at the interaction and potential duplication between community assessment teams and those based at the hospital site to develop the notion of Assess at Home

Assess At Home; the current processes on discharge can be risk adverse and slow. In the first instance this can build in unnecessary cost and in the second, frustrate patients and clinicians. This project will also be developed with the Clinical Commissioning Group and use a single trusted assessor: Where there is no immediate clinical risk, social care assessment will take place at home and will aim to restore the level of independence and quality of life in place before admission. The intention is to pilot this approach in partnership with Northumbria Health Care Foundation Trust using a single Hospital Ward. This is challenging the longstanding orthodoxy to assess in hospital.

Working in a collaborative way with partner agencies such as the police is enabling us to develop a multi agency safeguarding hub (MASH). This will provide a group of co-located professionals who have access to their organisational information about an individual and who are empowered to make decisions about actions to be taken with high level skills in risk assessment and mitigation. This will enable a very responsive decision making model, backed up with a team of staff able to respond very quickly to situations thus ameliorating them at the earliest possible opportunity and preventing the need for long term tier 3 services. We anticipate this model will allow us to realise further savings in 18/19 and 19/20.

The initial proposal is to reduce the staffing complement by 20 posts, and a pilot is currently being undertaken to trial the increased caseloads that this model proposes. The reduction of posts will need to titrate according to the outcomes of this pilot in order to ensure a safe service is provided. If 20 FTE posts are deleted from the current staff establishment responsible for assessment of customers this will be an 18.5% reduction in staff. Achieving the proposed efficiency relies on us being confident that services will be delivered safely. This includes ensuring that the web-based infrastructure to enable self service is available as otherwise the ability for us to reduce demand is compromised. Every calendar month that full implementation is delayed will cost the service £57,000

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Target Operating Model – alignment to key principles	
1. Deal with the causes not consequences	✓
2. Get things right first time	✓
3. Understand and manage demand	✓
4. Enable people to help themselves	✓
5. Target resource at those who need it most	✓
6. Maximise Council income to pay for services	
7. Reduce long term financial cost to the taxpayer	✓
8. Maximise the impact partners have on achieving outcomes	✓
9. Identify and exploit innovation	
10. Use data and knowledge to make intelligent and lawful decisions	✓
11. Use technology to enable delivery and reduce long term cost	✓
12. The right people with the right skills in the right place at the right time	✓

3. Financial Implications

Net Savings / Income	Cost Centre & Subjective	Part year? (months)	17/18	18/19 (£000s)	19/20 (£000s)
Savings			(884)	0	(200)
Total			(884)	(0)	(200)

Financial Analysis 2017/18	
Expenditure/Income Line	Value (£000s)
Employees	(884)
Total	(884)

4. Staffing Implications

Staffing Implications			
<p>This represents a significant reduction in staffing levels and a change in skill mix with less reliance on qualified social workers and a bigger emphasis on preventative work and crisis intervention.</p> <p>Currently staffing levels are being measured against demand and assumptions are being made but there is a likely loss of around 30 – 40 FTE across the time period.</p>			
Affected FTE [Reduction (-), Increase (+)]	2017/18	2018/19	2019/20
	(30)	0	(10)
Total	(30)	0	(10)

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5. Delivery Plan, Risks and Outcomes

Key Milestones		
Milestone	Lead Officer	Completion Date
Analysis of clients, demography and staffing	Ellie Anderson	October 2016
Pilot the model to test the hypothesis	Ellie Anderson	January 2017
Comms to staff	Ellie Anderson	Weekly/fortnightly to March 17
Staffing structure available for consultation	Ellie Anderson	February 2017
Selection processes	Ellie Anderson	March 2017
Implementation of new model April 2017	Ellie Anderson	April 2017
Training and development in asset based approaches	Ellie Anderson	September 2016 – March 2017
Scoping meeting for MASH with partners	Ellie Anderson	September to October 2016
MASH implementation	Ellie Anderson	February 2017

Risk	Risk Score	Mitigating Actions
Redesigning multiple existing customer pathways at the same time	B3	Officers are part of multiple Boards, MASH is being designed with ASC timescales in mind
Developing sufficient community capacity to provide Tier 2 support and alternatives to Personal Budgets.	B4	May need to retain some community development posts within the new structure. The ability to homogenise community development role into assessment role is being tested in the pilot.
Time to integrate different teams. Minimising any disruption to customers	C2	Testing the hypothesis in the pilot.
Staff redundancies – we will aim to utilise existing vacancies where possible but unlikely we can redeploy 30 FTE	B2	We will maximise the use of VR across the service area to retain opportunities for staff who wish to remain within the Council
Reliance on work with other agencies such as the NHS	B2	Work is progressing in relation to CarePoint.
Reliance on continued joint funding from the NHS	B4	We continue to monitor this in relation to packages with issues flagged up with SLT and the CCG
Re-skilling staff	C3	Gaps in knowledge are being

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		identified through the pilot.
IT not available to allow agile working and to support the self serve required by web	B1	Risks in relation to this are flagged at every ICT Board and in relation to Customer Journey Board
Tension between exploiting individual's personal assets in terms of family support and meeting our statutory duty under the Care Act to carers	C2	We will proceed with taking an asset based approach. We will also look at how carers are supported in their own right. There is a risk that there may be an increase in relation to paid care packages if people do not agree to support their family member.
Increase in new demand and the reduced workforce is unable to respond	A2	Managing workload is being tested through the pilot. If this appears problematic we may need to titrate the number of posts removed from the service and rear load the savings profile. This will increase the financial pressure for 17/18 but will allow a safe and robust methodology for implementation
Skill mix is not calculated adequately leaving insufficient qualified and registered workers to deal with complex casework , decision making, oversight and accountability	A2	Managing workload is being tested through the pilot. If this appears problematic we may need to titrate the number of posts removed from the service and rear load the savings profile. This will increase the financial pressure for 17/18 but will allow a safe and robust methodology for implementation

Performance Indicators

Indicator	Baseline	Target

6. Other Requirements / Dependencies

Technology Requirements

New web offer allowing people to self serve advice and information must be available for April 2017

Workforce must be able to work in an agile way – therefore remaining front line staff will require the equipment to work and there must be 3g connectivity as we cannot ask customers for broadband passwords. – Laptops will be required. To future proof this we need the ability for gaining signatures from customers out in the field – equipment may need to be touch screen

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This proposal is taking a significant amount of staff out of a critical service providing statutory functions. If the technology is not available to allow demand to be deflected the service will not be able to cope as current demand cannot be managed on the proposed staffing levels

Client / Customer Implications

- The customer pathway will be redesigned to focus on the person and their family.
- Customers will be supported to access community based solutions and seek their own options for support.
- This requires a different conversation with customers who have developed expectations that the Council will do this for them. The message of helping people to help themselves requires a campaign and reinforcement across the Council.

Partner / Stakeholder Implications

- North Tyneside CCG – monitoring of Better Care Fund measures and milestones.
- Northumbria Healthcare NHS Foundation Trust – implementation and evaluation of CARE Point.
- Northumbria Police, NTW Mental Health Trust, Probation Services in relation to development of MASH.
- Partner agencies will be required to self serve rather than discussing every case with a professional in the Council.

Equality and Diversity Implications

The changes aim to provide a more preventative and early intervention approach from the model currently implemented but there is a much greater focus on people helping themselves and using their own networks and assets to meet needs rather than paid care packages. People will be expected to use universal services, and only if they are not successful will there be consideration of a care package. This is a culture change for customers.

Older people are more likely to be affected by the changes as they make up the majority of our customers. This group is potentially more likely to struggle with self service using web based approaches – in mitigation of this there will be a supported self serve offer for people who are unable to access the web independently. Carers of older people are more likely to be affected by changes. Whilst we anticipate that the approach will help people find appropriate solutions and prevents deterioration, we anticipate that asking people to do more for themselves will create some tension and there is a likelihood of an increase in complaints as the system embeds, not because we have failed to get things right first time, but because the model is not popular and people do not want to help themselves and would prefer the Council to take responsibility.

People with a disability (and their significant others) will be disproportionately affected by the changes and the same pros and cons apply.

Females are more likely to be affected by the changes because females live longer than males.

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It is not anticipated that there are any negative impacts on people by reason of religion, sexual orientation, gender reassignment, pregnancy/maternity or race. In terms of religion, although there are no anticipated negative impacts in relation to this protected characteristic, it is felt that taking an asset based approach may represent an opportunity for clients who feel their cultural needs or aspirations are not currently being fulfilled by their placement to voice these concerns and for community based relationships/activities to be explored. It is also believed that the proposal exploits opportunities to identify where there may be gaps in community support, thus allowing different types of appropriate support to be developed.

Is this project also included as a Capital Bid? Yes

7. Sign Off

Mayor / Cabinet Member(s)	Cllr Alison Waggott-Fairley
Head of Service(s)	Jacqui Old
Finance Manager	Alison Campbell

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1. Summary

Title	Value for Money Tested Social Care
Business Case Number	CF VFM
Service Area(s)	HECS
Member	Cllr Alison Waggott-Fairley
Project Sponsor	Jacqui Old
Project Lead	Sheila Watson & Scott Woodhouse
Council Plan Theme	Our People
Creating a Brighter Future Theme	Cared for
Saving or Income	Saving
Total 17/18 Savings/Income	£790,000
Total 17-20 Savings/Income	£790,000

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2. Business Case

Summary

Value for Money Tested Social Care; long term national policy direction in social care has created a situation which is sometimes at odds with realistic outcomes and the financial position. This project will make changes to day to day commissioning and assessment processes to re-set the outcome of funded social care. In partnership with the Clinical Commissioning Group and using a single trusted assessor, outcomes will be shaped by working with individuals to set realistic goals for independence and applying a value for money test to care at home versus other settings. We have to ensure we test the longstanding orthodoxy that Care is always better at home. We have to ensure that the provision of the right quality of care is affordable.

Home Care

The provision of domiciliary care support enables people to live independently in their own homes for as long as possible, often avoiding the need for more expensive, longer-term care.

Demographic pressures and changes in the complexity of need of many older and disabled people means that in a high number of cases social care customers are now routinely being assessed as needing 2 carers (double-handed care) to support them with certain aspects of their care package, particularly in terms of moving and handling issues.

Work has been undertaken in a number of other local authorities to explore this issue and to seek to find alternative ways of support, such as the provision of newer equipment solutions or improved training and support for frontline care workers as a means of reducing some elements of care packages from double-handed to single-handed. This business case and proposals is built around the reported findings and research available, however it does not assume that double-handed care can be removed for all customers, or for all visits throughout the day. It does however propose that all customers are reviewed in terms of their ability to be transferred safely with one carer, through the use of more suitable equipment, or alternative moving and handling techniques, or better training. The results coming from other authorities indicate that potential reductions of around 40% of double-handed care packages are achievable.

This proposal is therefore two-pronged:

1. To review packages of care following hospital discharge, specifically where care packages propose an increase from single-handed to double-handed care, and to ensure a reduction to single-handed care where safe and practicable; and

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2. To undertake reviews of all existing care packages, where double-handed care is in place to ensure a reduction to single-handed care, where safe and practicable to do so.

The business case proposals have many benefits, not just confined to reducing the cost of care packages to the Authority. Re-designing care packages and exploring alternative solutions also provide individual customers with much more autonomy through the provision of more tailor made, personalised care solutions that not only meet assessed needs and outcomes, but importantly maximise independence.

Extra Care

There is extensive evidence from research that demonstrates:

- Extra Care housing is a preventative model, supporting independence and avoiding admissions into residential care; and
- Extra Care housing is a more cost effective model of care delivery than other models, including residential care and care in the community.

Extra care housing is a model of supported living that is based on customers having their own tenancies within a community setting with care and support services available, on site, 24hrs per day. Extra care housing provides a real alternative to residential care and offers older people the opportunity to retain their independence.

The core characteristic of extra care housing is the ability to provide individually tailored, flexible, and responsive care and support services to customers in their own homes within a scheme, cost effectively and efficiently. The presence of on-site care staff over a 24hr period also offers customers additional security and peace of mind, knowing that they can quickly summon help in an emergency situation. Extra care housing is also different from domiciliary services provided to someone living in their own home, in that the facility also provides a range of support functions, as well as daily activities that promote health and wellbeing and alleviate loneliness.

In 2015 the ASC team worked with Housing Strategy to develop a Market Position Statement for supported housing services for older people and other client groups. This identified the need for additional Extra Care units in the Borough to help us more successfully meet the future housing and care needs for older and disabled people, in a way that was affordable to the Council and which helped to promote independent living and reduced the costs of more intensive longer-term care solutions, supporting the delivery of the Target Operating Model.

Extra Care housing has been developed as a service in North Tyneside over the last 18 years. There are currently 6 purpose-built schemes within the Borough, with the latest coming on line in 2014. In addition there are 2 'Very Sheltered' schemes, which were previously residential care homes, but were the subsequently remodelled into independent living units.

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The existing schemes are managed by a number of Registered Landlords (RSLs): Anchor; Hanover Housing; and Housing 21, Home Housing and Riverside North East. Care and support services are provided into each scheme and are commissioned from external providers who are on an agreed Framework contract.

Potential opportunities for North Tyneside Living

Within the original North Tyneside Housing PFI development plan it was identified that there was the potential for North Tyneside to include the development of Extra Care housing in the offer. Three schemes were considered suitable to be developed as 'Hybrid Extra Care', with the potential to change into Extra Care at a later date if required. However, we feel that consideration of an alternative approach should be taken due to the following:

- the changing demographic since the original demand forecasts for the PFI project were undertaken over 10 years ago, specifically in terms of: the increasing numbers of older people, including those with mild to moderate dementia;
- evidenced demand, both in terms of the predicted demand in the Housing MPS and existing demand for Extra Care housing which is outstripping supply;
- the current financial challenges that the Authority faces in terms of budget reductions specifically meeting and managing the costs of social care;
- the increasing move towards supporting people to continue to live independently rather than in residential care; and
- the logistics of managing tenant choice in those schemes originally identified as potential hybrid schemes

The proposal

Work is being undertaken with North Tyneside Homes to identify and consider the use of one of the forthcoming new developments within the PFI project, which could now be potentially considered for the development of Extra Care.

Crossgates

Crossgates has been identified as a potential site. It is a new build scheme in Battlehill and there are currently only 2 of the former tenants who have expressed an interest in moving back. The unit has the potential to provide 47 units of accommodation with one flat being converted for staff and office accommodation. The scheme is due to come on line in late January / February 2017.

Initial conversations with the Homes and Communities Agency (HCA) suggest that converting some of the schemes to Extra Care would be possible within the grant conditions, as the hybrid schemes had been included within the original submission.

Some small capital outlay would be required for the conversion work to one of the flats in each of the schemes, estimated to be under £10k should we propose to proceed in order to provide office and staff accommodation for the on-site care and

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support team. There would also be a loss of income from the rent from those flats, which is estimated to be in the region of £5k per annum and would need to be factored into any savings calculation.

For illustrative purposes and based on the current operating costs for a scheme similar in size to Crossgates, the care and support costs for running the unit would be in the region of £361,904 per annum, which would equate to an average gross cost of £147.67 per flat, per week. This compares to the cost of a residential placement, with an average gross cost of £508.00 per week, or an average community based care package of £49 per week (low needs) and £122.50 (average needs).

Using the accepted model of having a mixed community of those people with high, medium and low needs the average costs of not providing an Extra Care scheme and caring for those people in a care home, or their own homes are estimated to be:

High (10)	cost £508 per week (residential)	£264,886
Medium (25)	cost £122.50 per week (8.75 hours)	£159,688
Low (12)	cost £49 per week (3.5 hours)	£30,660
Total		£455,231
Potential cost reduction		£93,327

Review of Pricing Strategy – ISL Commissioned Services

This proposal is about reviewing the rate paid to external providers for commissioned independent supported living services.

In 2014, work was completed to develop a pricing strategy for ISL commissioned services and to rationalise the varying hourly and overnight rates that were in payment to external providers. Within the strategy, there was the provision to increase the rates to take account of inflationary increases as well as changes to the national minimum wage. There was also the introduction of the National Living Wage for over 25's that came into effect from 1 April 2016.

The current framework agreements all run to 31 March 2017 and work is underway to put in place a new framework agreement. There is therefore the opportunity to review the current pricing strategy and the rates paid for:

- Non-complex hourly rate – daytime
- Complex hourly rate – daytime
- Overnight rate – waking and sleep-in arrangements

An engagement plan will be developed to support this change. Any change in rates will be effective from 1 April 2017 and will have a full year effect into 2017/18.

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Care Call

The Better Care Fund (BCF) provides additional funding to the Care Call Community Alarm and Crisis Response Service for Assistive Technology Solutions (Telecare). This service is available 24/7, 365 days of the year. The team of staff are trained in answering and responding to emergency calls and work closely with the emergency services. Within the first year of providing additional support via BCF the calls to the service increased by 15,420 on the previous year.

There are approximately 3,300 paying customers who live in the community with equipment to which Care Call will monitor or respond. There are three levels of support from the mainstream service that a customer can opt for, all of which carry a charge. There is a weekly increase to this number depending upon hospital discharges and demand for temporary equipment which is funded by BCF.

The BCF funding has provided the opportunity to use Assistive Technology to support those who are discharged from hospital, feel vulnerable and may require a call or visit in the absence of a carer or family. The equipment can also determine what level of support a person requires or tell us when they are most at risk. On discharge from hospital the customer receives the equipment free of charge for the period of their reablement which offers security and mitigates risk. There have been a number of successes whereby the customer has gone on to become independent without the need for a care package, however they have signed up to become a customer of care call for peace of mind.

All of the equipment can be recycled therefore the service offers value for money by being able to use the alarms and equipment again when it is no longer needed by the customer. If this were not the case the service could not sustain demand.

As technology changes on a daily basis there is a team of staff who are trained to identify new equipment and solutions in order to support with the assessment and keep the customer safe.

Although the service meets the wellbeing needs of predominantly older people, the service is currently not at a break even position.

There is a deficit of £0.370m assuming the service will continue to retain £0.249m of Better Care Fund income in 2017/18. The Better Care Fund agreement for 2017/18 will be negotiated in the last quarter of 2016/17.

The service is not statutory in its own right although it does help meet our statutory duty towards promoting wellbeing. A number of other services (envirolink, emergency duty social work, housing and highways calls) are also taken through the call centre as well as emergency planning..

To assist in reaching breakeven Care Call would need to attract additional customers through a targeted marketing campaign, increase charges to partners and promote

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the service to businesses The authority might also consider increasing charges to customers across the borough. Additionally the service is reviewing the support provided to North Tyneside Living, the monitoring and response currently provided by care call is at no additional cost for some of the residents whilst others contribute, which is inequitable

Target Operating Model – alignment to key principles	
1. Deal with the causes not consequences	✓
2. Get things right first time	✓
3. Understand and manage demand	✓
4. Enable people to help themselves	✓
5. Target resource at those who need it most	✓
6. Maximise Council income to pay for services	✓
7. Reduce long term financial cost to the taxpayer	✓
8. Maximise the impact partners have on achieving outcomes	✓
9. Identify and exploit innovation	✓
10. Use data and knowledge to make intelligent and lawful decisions	
11. Use technology to enable delivery and reduce long term cost	✓
12. The right people with the right skills in the right place at the right time	✓

3. Financial Implications

Net Savings / Income	Cost Centre & Subjective	Part year? (months)	17/18 (£000s)	18/19 (£000s)	19/20 (£000s)
Home care & Extra Care	03469-2921		(300)		
ISL Pricing	03092-2922		(240)		
Carecall income			(250)		
Total			(790)	0	0

Financial Analysis 2017/18	
Expenditure/Income Line	Value (£000s)
Third party payments	(540)
Fees and charges	(250)
Total	(790)

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4. Staffing Implications

Staffing Implications			
<p>There are no direct internal staffing implications attached to this business case proposal. Services are commissioned from providers in the independent and voluntary sector and therefore the proposal will have a direct impact on the staff that they employ, who will need to be appropriately trained to use specialist equipment, if required, or to adopt safe single handed transfer processes. Reducing the number of care workers required for individual care packages, has the potential to release additional and much needed capacity within the sector.</p>			
Affected FTE [Reduction (-), Increase (+)]	2017/18	2018/19	2019/20
Home care	0	0	0
Extra care	0	0	0
ISL pricing	0	0	0
Carecall income	0	0	0
Total	0	0	0

5. Delivery Plan, Risks and Outcomes

Key Milestones		
Milestone	Lead Officer	Completion Date
Establish project groups	<ul style="list-style-type: none"> • Sheila Watson /Ian Lane / Pauline Costello / Karen Robinson, Marissa Woodward (reviews senior) Barbara Kemp • Sheila Watson & Paul Worth 	October 2016
Home care Identify double-up-packages of care for review	Ian Lane / Pauline Costello / Karen Robinson/Marissa Woodward	November 2016
Commence reviews of care packages. Identify dedicated OT resource	Karen Robinson	Commencing November 2016
Work with internal and health OTs and CARE Point to secure appropriate assessments for hospital discharge	Jacqui Culley Eleanor Binks	November / December 2016 onwards
Work with care providers to ensure appropriate training for care staff	Sheila Watson Leanne Fairbairn Pauline Costello	December 2016 onwards

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Develop an outline business case for Extra Care Development	Project group	November 2016
Gain SLT and political approval to progress	Project group	November / December 2016
Identify potential cohort for Extra Care	Project group	November – January 2017
Commission care and support service	Commissioning team	November – January 2017
Commission service	Project group and commissioning team	January 2017 onwards
Review ISL Pricing Strategy model	Scott Woodhouse	December 2016
Consult / engage on proposals	Scott Woodhouse	February 2017
Implement new pricing strategy	Scott Woodhouse	1 April 2017

Risks		
Risk	Risk Score	Mitigating Actions
Home care service is demand led and is based upon the assessed needs of individuals receiving the service at any particular point in time. The potential saving is based on information about customers who are currently receiving the service, which may change.	D2	Monitor care packages to assess impact
Service users are put at risk due to care workers being inappropriately trained to undertake single-handed care – Due to the high turnover and poor retention rates in the independent.	B2	<ul style="list-style-type: none"> Ensure that system is in place to facilitate free, cascade (train-the-trainers) training for providers. Ensure better handovers from Reablement Support to independent sector.
Additional workload for OT team, at a time when the service is being reviewed and staff numbers may be reduced.	B2	<ul style="list-style-type: none"> Prioritise the review of individuals identified and identify dedicated resource.
Some assessments (for people in hospital) are undertaken by Health OTs, who unless involved in the project may continue to ‘prescribe’ double-handed care packages.	C2	<ul style="list-style-type: none"> Work with Northumbria Trust to ensure involvement of health staff in the project from outset

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The project will require major changes to working practices and assessment staff (OTs) and providers may be slow or reluctant to embrace changes.	D2	<ul style="list-style-type: none"> Secure involvement of OT staff and provider representatives on the project group Ensure standardized /streamlined documentation is in place to facilitate cross-agency working Keep up-to-date with what new equipment is available
Customers / and or carers may resist changes	D2	<ul style="list-style-type: none"> Keep service users involved / engaged
Extra Care -HCA do not agree to proposed change of use	D1	Initial discussions indicate this is not likely
Failure to obtain SLT or political agreement	D1	There is evidenced need for the service and potential cost reductions for the Council
There are insufficient customers identified to live in the scheme	D2	Market Position Statement analysis demonstrates a demand for this service in this area. We will adopt a robust marketing strategy and build on the existing waiting list for Extra Care
Timescales prove too tight to achieve	C2	Dedicated project resource would ensure that scheme could become operational by February 2017
Inability to secure care and support provision within the required timescales	D2	Framework contract is already in existence. Mini-competition would enable a provider to be identified in a short time-frame.
Current lettings policy for Sheltered Accommodation is for people aged 60 years plus. Extra Care is usually for those age 55 years plus	C2	Work will need to be undertaken with North Tyneside Homes to consider how we overcome this
Current lettings policy precludes anyone with in excess of £100k capital from renting. This could prove problematic for those older people who choose to sell, albeit modest properties to secure Extra Care accommodation.	C2	Work will need to be undertaken with North Tyneside Homes to consider how we overcome this
There is resistance to revised rates from Providers	C3	Engagement and consultation with providers on new rate to be paid. Benchmarking with other local authorities

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There is resistance to revised rates from family carers	B2	Engagement with Learning Disability Care Forum on new rate to be paid.
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Performance Indicators		
Indicator	Baseline	Target
Proportion of adults with a learning disability who live in their own home or with their family	90.59	90.5
Proportion of clients who are supported in permanent residential/nursing care	73.38%	75%
Permanent admissions to residential and nursing homes, per 100,000 population	207.04	190.41

6. Other Requirements / Dependencies

Technology Requirements
<p><u>Home care</u> In order to ensure the safe transfer of customers, through the provision of single-handed care it may be necessary to utilise new types of equipment. The research available from existing projects demonstrates that investment is modest and that costs can usually be recovered within a period of 6 weeks.</p> <p><u>Extra care</u> All of the PFI schemes have been designed to incorporate Assistive Technology solutions, which will need to be optimised to reduce care and support needs.</p>

Client / Customer Implications
<p>The Home Care proposal represents a significant change for existing customers, many of whom may have had double-handed packages in place for some time. To ensure the success and to bring customers onboard with the proposals it is essential that customers, their carers and their care providers are involved at all stages of the review process.</p> <p>Early identification of potential Extra care customers and effective marketing will need to be undertaken. As the scheme is a new build the offer will provide modern and attractive housing options for older and disabled people</p> <p>For ISL Pricing, as identified above in the risk section, a programme of engagement will be developed with providers, family carers, service users, the Clinical Commissioning Group to develop a new pricing strategy to come into effect from 1 April 2017 (aligned to the start date of the new ISL framework agreements)</p>

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Partner / Stakeholder Implications

Home care

- Northumbria Healthcare Foundation Trust – in relation to assessments for hospital discharge
- Care providers and front-line staff
- Internal Care Management and Occupational Therapy and Reablement staff

Extra Care

Requirements for consultation and engagement

- Elected members
- North Tyneside Homes
- Health Partners
- Independent care and support providers

ISL Pricing Strategy

For ISL proposal a full stakeholder analysis has been completed. All identified stakeholders will be involved in the consultation process and their views considered as part of any changes / proposals.

The main stakeholders include:

- Users
- Family carers
- Service Providers
- North Tyneside Clinical Commissioning Group (CCG)

The CCG will be consulted as they currently contribute towards the cost of shared funded services and they will also be included in the reviews of individual clients where they are making a funding contribution.

Equality and Diversity Implications

The changes proposed in the Home Care & Extra Care business cases seek to provide a more personalised, less intrusive way to support older and disabled people who need domiciliary support to help them to maintain independent living.

The changes will impact upon all adult age groups, but primarily older people who represent the majority of customers who receive domiciliary care support or go into residential care.

Many of the home care customers may have had doubled-handed care in place for some considerable time and may be anxious about the proposed changes. The changes will also impact upon the carers of older and disabled people, who may equally be anxious about change. Work will be undertaken throughout the reviews of customers to ensure that customers and their carers are fully engaged in the process and to ensure that they are confident with the proposed changes.

The Extra Care proposal will provide a more positive option to enable older, disabled people to continue to live independently. The changes will also impact upon the

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carers of older and disabled people, however again it will provide a housing option / solution which will provide peace of mind. Work will be undertaken throughout the reviews of customers to ensure that customers and their carers are fully engaged in the process and to ensure that they are confident with the proposed changes.

Females represent the highest proportion of domiciliary care/ residential customers and therefore it is likely that they will be more affected by the changes.

We do not anticipate that there will be any negative impacts on people by reason of religion, sexual orientation, gender reassignment, pregnancy/maternity or race.

An Equality Impact Assessment has been completed for the ISL Pricing Strategy proposal.

Is this project also included as a Capital Bid? Yes

7. Sign Off

Mayor / Cabinet Member(s)	Cllr Alison Waggott-Fairley
Head of Service(s)	Jacqui Old
Finance Manager	Alison Campbell

2017-2020 Financial Planning and Budget Setting Process Business Case for Change

1. Summary

Title	Fit for Purpose – Customer Journey
Business Case Number	Fit Cust
Service Area(s)	Deprivation of Liberty
Member	Cllr Alison Waggott-Fairley
Project Sponsor	Jacqui Old
Project Lead	Sue Wood
Council Plan Theme	Our People
Creating a Brighter Future Theme	Fit for Purpose
Saving or Income	Saving
Total 17/18 Savings/Income	£50,000
Total 17-20 Savings/Income	£50,000

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2. Business Case

Summary

Optimise the customer journey and introduce self-service for our routine transactions; the Authority still has a significant cost invested in serving relatively routine transactions. This project builds on work already done by the Authority to ensure our customers serve themselves wherever possible. As part of the development of our Community Hubs this will also involve the creation of effective gateways that make sure only those most in need make direct contact with more specialist services

North Tyneside Council – Deprivation of Liberty (DoL)

This proposal relates to the assessment of individuals who lack the mental capacity to decide where they live or whether to remain in hospital, and who are being deprived of their liberty within a care home or a hospital setting. The undertaking of these assessments by North Tyneside Council, (NTC) referred to as the supervisory body, is a statutory duty and the process of assessment is prescribed in law. We have little discretion as to how we fulfil this duty.

In March 2014 the Supreme Court ruling – in the cases of *P v Cheshire West and Chester Council* and *P&Q v Surrey County Council* – threw out previous judgements that had defined deprivation of liberty more restrictively. This resulted in an increase in Deprivation of Liberty requests from Managing Authorities. (Care Homes and Hospitals)

For information, we had 1,006 active DOLs running during 2015/2016.

See the following table for the number of applications and authorisations for this year and the previous year.

Year	No applications received	No applications signed off	No applications granted	Proportion of applications granted
Applications received in 2015/16	1,205	692	653	94%
Applications received in 2014/15	553	511	477	93%

This increase in requests for assessment has resulted in the service struggling to deal with the increased demand; staff workload was becoming unmanageable and the team continue to struggle to meet statutory timescales.

A strategic risk review for September 2016 is A2 (R)

The Commercial & Business Redesign Team were approached to observe the current Deprivation of Liberty process and improve it. Workshops to determine the As-Is process and the future To-Be process with frontline staff were held.

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The Redesign team felt it was possible to go one step further than simply “leaning” the process. The To-Be process is being designed to be automated with a single information repository for relevant information. The number of steps in the process will be drastically reduced. There will be an online system that will host the referral process. The Managing Authority will log in and submit an electronic referral, assessments will be submitted online, documents will be available to be viewed by relevant persons and the system will generate electronic correspondence. Allowing partners to self serve is a fundamental objective of North Tyneside’s Target Operating Model.

Having an automated process will make it easier to align Adult Social Care reviews with the Deprivation of Liberty process so both assessments and reviews can be carried out at the same time to avoid the client having to go through multiple assessments on separate occasions.

We are now applying an ‘agile’ approach to the design and delivery of the solution. The methodology used in the redesign work has fostered a real team effort between the Redesign team and the Deprivation of Liberty service to drive through positive change; the outcome will be quick deployment of a system that works for everyone involved in the DOL process as well as releasing cashable savings for the service. We are aiming to implement this in early June 2017.

Target Operating Model – alignment to key principles

1. Deal with the causes not consequences	√
2. Get things right first time	√
3. Understand and manage demand	√
4. Enable people to help themselves	√
5. Target resource at those who need it most	√
6. Maximise Council income to pay for services	
7. Reduce long term financial cost to the taxpayer	√
8. Maximise the impact partners have on achieving outcomes	√
9. Identify and exploit innovation	√
10. Use data and knowledge to make intelligent and lawful decisions	√
11. Use technology to enable delivery and reduce long term cost	√
12. The right people with the right skills in the right place at the right time	√

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3. Financial Implications

Net Savings / Income	Cost Centre & Subjective	17/18 (£000s)	18/19 (£000s)	19/20 (£000s)
DOLS Staffing	04362	(50)	0	0
Total		(50)	0	0

Financial Analysis 2017/18	
Expenditure/Income Line	Value (£000s)
Staffing	(50)
Total	(50)

4. Staffing Implications

Staffing Implications
DoL Coordinator has been appointed to another post and this 0.5 post will be deleted. There will be a reduction in the administrative post resulting in a redeployment opportunity.

Affected FTE [Reduction (-), Increase (+)]	2017/18	2018/19	2019/20
• DoLS Admin Assistant – 0.86 FTE	(0.9)		
• DoLS Co-ordinator – 0.5 FTE	(0.5)		
Total	(1.4)	0	0

5. Delivery Plan, Risks and Outcomes

Key Milestones		
Milestone	Lead Officer	Completion Date
Deletion of posts	Sue Wood	November 2016

Risks	Risk Score	Mitigating Actions
<p>Following the Cheshire West ruling in the Supreme Court we have been unable to respond to the increased number of referrals for Deprivation of Liberty requests being received from care homes and hospitals.</p> <p>Consequences</p> <ul style="list-style-type: none"> Risk of unlawful deprivation of liberty for vulnerable adults. (173 DoL assessments awaiting allocation and 102 in the process of being assessed. 	A2	<p>The Business Re-design team are currently undertaking a review of the full DoL process with a view to streamlining the process using increased technology. Recommendations have already been made which are aligned to the Target Operating Model. Outsystems team are on sight and progressing redesign work "at a pace"</p> <p>Benchmarking is ongoing with other</p>

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<ul style="list-style-type: none"> • <i>130 cases waiting for documentation to be sent to care homes and families following assessment. This backlog of correspondence is approximately 3 months.)</i> • Potential for claims from individuals or their families • Potential for inspection from regulator • Adverse impact on the Council's reputation • Impact of delays in documentary evidence of assessments being completed and correspondence being sent to interested parties resulting in an increase in complaints. • Delays in appointing appropriate advocacy support for individuals. • Increase in risk of challenge <p>Additionally new case law for DOLs for children and service users who are Continuing Health Care (CHC) in their own homes will impact further on the team's ability to cope with demand.</p>	<p>Local Authorities.</p> <p>The Care Quality Commission are responsible for monitoring the way hospitals and care homes operate the Deprivation of Liberty Safeguards. They do this by undertaking visits in accordance with their existing programme of inspections and reporting on findings annually.</p> <p>If they find that the Safeguards are not being used correctly, they can take action against providers under the Health and Social Care Act 2008.</p> <p>Risk of legal challenge.</p> <p>An action plan has been developed and Legal Services as well as the DoL Coordinators are supporting Children's Services to prepare approximately 20 cases of Children thought to be deprived of their liberty who will have to be authorised through a court process</p>
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Performance Indicators		
Indicator	Baseline	Target
Regional comparison with NTC as one of 12 LAs	<ul style="list-style-type: none"> • Eight LAs Performing better than NTC • Three LAs Performing worse than NTC 	Improve performance and meet legal timescales.

6. Other Requirements / Dependencies

Technology Requirements
Dependant on Outsystems platform that will provide the front end interface and will link the back end with existing systems. Development has begun by Outsystems who will produce the system and in future will be maintained by IT. Costs are borne centrally within the Council and the Outsystems platform will be used for other

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Council services.

Client / Customer Implications

Under the Mental Capacity Act, DoLS are compatible with Article 5 of the European Convention on Human Rights (the right to liberty and security of person). At this time Safeguards to protect vulnerable adults are not meeting legal timescales – there is a risk that a breach of Human Rights could occur.

The majority of the clients being assessed do not have the Mental Capacity to engage in consultation.

Partner / Stakeholder Implications

The business redesign team have facilitated meetings with Managing Authorities, doctors and other stakeholders to ensure “buy in” to the new process.

Equality and Diversity Implications

Main client groups affected are:

- Elderly Care
- Learning (Intellectual) Disability and or Autism

The Mental Capacity Act 2005 – notably the Deprivation of Liberty Safeguards (DoLS) which aim to help people who lack capacity to maintain their independence, dignity and right to freedom. The DoLS aid vulnerable individuals to maintain their right to dignity and equality.

Is this project also included as a Capital Bid?

Yes

7. Sign Off

Mayor / Cabinet Member(s)

Cllr Alison Waggott-Fairley

Head of Service(s)

Jacqui Old

Finance Manager

Alison Campbell

2017-2020 Financial Planning and Budget Setting Process Business Case for Change

1. Summary

Title	Fit for Purpose – How we are organised
Business Case Number	Fit - How
Service Area(s)	All
Members	All Members and the Elected Mayor
Project Sponsor	All
Project Lead	All Heads of Service
Council Plan Theme	Our People
Creating a Brighter Future Theme	Fit for Purpose Organisation
Saving or Income	Saving
Total 17/18 Savings/Income	£3,495,000
Total 17-20 Savings/Income	£4,660,000

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Business Case for Change

2. Business Case

Summary

As services change the organisation must change with them. This project aims to ensure the organisation is reshaped to reflect changes in services and reductions in resources. In addition to changes in service delivery, it also aims to ensure the organisation's infrastructure is changed and shrinks in line with the rest of the organisation with resultant changes in overheads and recharges. This will include taking opportunities to streamline the Council's decision-making infrastructure and processes where appropriate. In addition the Authority will make sure that infrastructure is tested against best practice, the priorities of the Mayor and Cabinet and the market.

The changes include :-

- **Human Resources (HR)** - Moving towards a Target Operating Model for HR where service managers can do more for themselves via self service and a gradual reduction in the workforce development budget based on reducing headcount over the 3 years.
- **Business & Economic Development (BED)** –Proposal is a mix of increased income into a ring fenced budget together with capital spend at Swans that can accrue revenue savings by reducing the security revenue costs of Swans, together with some council staff costs being attributed to this ring fence budget. There is also a proposal to make savings in both the Business Factory and overall marketing costs in Business and Enterprise budgets.
- **Environment, Housing & Leisure (EHL)** - Reduce staffing costs in the Housing Strategy Budget, reduction in housing growth budget, reduction in business support team and reduce hours for bio-diversity officer, reduced housing advice and homeless prevention grant
- **Commissioning & Investment (C&I)** These proposals reflect the service restructure proposals within Commissioning and Investment Service: Staffing reductions across the following services:
 - Independent Assurance and Review
 - People Based Commissioning Service
 - Facilities and Fair Access
 - Internal Audit, Risk , Procurement
 - Strategic Property & Investment
- **Law & Governance(L&G)** These proposals:-
 - restructure the senior management team
 - reduce the Legal Services and the Statutory Services teams and remove reliance on recharges and capital funding for key areas
 - reduce the printing costs within Governor Services
- **Corporate Strategy(CS)** Set out below are proposals for

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- Staffing Reductions across all areas of Corporate Strategy
- Reduction in supplies budget & Secure additional Income
- **Health Education and Children's Services(HECS)** The Service currently has funding streams which support in year (no more than one year committed at any one time) service developments and community support as part of preventing or delaying the need for social care support. The proposal has two key strands:
 - Service development – Service development money will be reduced by £100k by utilising internal skills and resources from the HECS Transformation and Development team
 - Good Neighbour Project - The Council currently commissions this community support service from VODA. The intention is to review a wider range of prevention activity in Adult Social Care and re-commission this service along with others supporting similar needs. (£42k)
- **Finance (F)** Set out below are proposals to:
 - Use appropriate grant funding to support Welfare reform work during 2017/18
 - Reduce subscriptions to CIPFA during 2017/18
 - Reduction in the External audit fee 2017/18
 - Negotiate work returning to the council in 2018/19 from Engie therefore fee reduction
 - Remodel Finance team in 2019/20 and reduction of post.

- **Commercial & Business Redesign(C&BR)**

The Commercial and Business Redesign team are focusing their efforts on supporting the organisation to move towards the TOM. Some of the teams work is focussed on delivering the Customer Journey Programme, working with the business to redesign processes then design and deliver working solutions (using the Outsystems platform the Council has procured, along with other tools) that enable the business to improve customer outcomes and reduce cost. The proposal is to charge some of this time to the Customer Journey capital investment budget as members of the team are directly supporting the creation of an asset (the solutions that are being delivered via Outsystems). In addition, there will be a 1 FTE reduction in the C&BR team.

The Information Systems Team supports the development and usability of the systems used in Adults Services, Children's Services, and Housing. The team will continue to shift focus and role as the ICT systems infrastructure changes. 2017/18 will bring the implementation of a replacement Adults Services and Children's Services case management system. This is a significant change but, along with other ICT developments, should lead to a system that is easier to use and support, enabling more staff self-service and

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reducing support costs. The proposed change in the team (a 1 FTE reduction for each year) reflects this move towards a slicker ICT environment

- Services consuming their own element of the pay award and pension uplift. Services are identifying how they will consume the additional costs from the pay award and pension uplift – this will be through a mixture of ways including, but not limited to , review of working hours , not filling vacancies, review of non-essential spend and efficiencies in working
- Service reviews during 2017/18 leading to restructuring savings in last 6 months. Service reviews starting now will identify additional savings that can be implemented by 30 September 2017

Target Operating Model – alignment to key principles	
1. Deal with the causes not consequences	✓
2. Get things right first time	✓
3. Understand and manage demand	✓
4. Enable people to help themselves	✓
5. Target resource at those who need it most	✓
6. Maximise Council income to pay for services	✓
7. Reduce long term financial cost to the taxpayer	✓
8. Maximise the impact partners have on achieving outcomes	✓
9. Identify and exploit innovation	✓
10. Use data and knowledge to make intelligent and lawful decisions	✓
11. Use technology to enable delivery and reduce long term cost	✓
12. The right people with the right skills in the right place at the right time	✓

3. Financial Implications

Net Savings / Income	Cost Centre & Subjective	Part year? (months)	17/18 (£000s)	18/19 (£000s)	19/20 (£000s)
HR -training	P5151 2416		(25)	(25)	(30)
HR -staffing	P5151		(128)	0	(70)
BED – Swans	01952		(35)	(28)	(20)
BED staffing	01716		(40)	(40)	(13)
BED – reduced marketing	01716		(62)	0	(35)
EHL -Staffing	various		(99)	0	0

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EHL – Prevention Fund & Housing growth budget	02137 & 03138		(21)	0	0
C&I – Reduced employee costs across the service	various		(555)	(88)	(95)
L&G -Reduce printing costs –Gov services	00410-2051		(7)	0	0
L&G Restructure management team	various		(38)	0	0
L&G Reduction Legal & Stat services teams	various		(301)	(46)	(92)
L&G – income & cap recharges fall out	various		235	0	0
CS –staff reduction			(182)	0	0
CS –reduction supplies and services			(11)	0	0
CS –increased income			(70)	0	0
CS - future years			0	(160)	(160)
HECS – service development			(100)	0	0
HECS – Good neighbour			(42)	0	0
F– external audit fee			(50)	0	0
F – CIPFA subs			(4)	0	0
F – welfare reform work funded by grant			(57)	0	57
F -Work delivered by Engie returned to authority			0	(75)	0
F - restructure			0	0	(60)
F – income from charges to trading companies			(40)	0	(15)
C & BR Capitalisation of posts	01939		(113)	(50)	(50)
C & BR Reorganisation	01939/ 3032		(88)	(35)	(35)
Services consuming their own element of the pay award and pension uplift			(1,255)	0	0
Service reviews during 2017/18 leading to restructuring savings in last 6 months BED			(14)	0	0
Service reviews during 2017/18 leading to restructuring savings in last 6 months CEO & DCEO			(8)	0	0
Service reviews during 2017/18 leading to restructuring savings in last 6 months C & BR			(17)	0	0
Service reviews during 2017/18 leading to restructuring savings in last 6 months C & I			(39)	0	0

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Service reviews during 2017/18 leading to restructuring savings in last 6 months Corp Strat			(29)	0	0
Service reviews during 2017/18 leading to restructuring savings in last 6 months EHL			(216)	0	0
Service reviews during 2017/18 leading to restructuring savings in last 6 months Finance			(15)	0	0
Service reviews during 2017/18 leading to restructuring savings in last 6 months HR			(19)	0	0
Service reviews during 2017/18 leading to restructuring savings in last 6 months Law & Gov			(50)	0	0
Total			(3,495)	(547)	(618)

Financial Analysis 2017/18	
Expenditure/Income Line	Value (£000s)
Supplies	(46)
Employees	(3,088)
Recharges	(245)
Third party	(280)
Fees	164
Total	(3,495)

4. Staffing Implications

Staffing Implications			
<p>The details are shown below. Staff will need to be more flexible and more importance will need to be placed on monitoring and managing workloads.</p> <p>Where possible reductions will be made through voluntary redundancy. However, where this is not achievable, the appropriate processes, including consultation with staff will be followed. Any necessary changes to job descriptions to reflect changes in responsibilities will be subject to appropriate consultation.</p> <p>The implementation of a finance reporting tool during 2017/18 will allow for a change to working practices and therefore the capacity to return some elements of work from Engie in 2018/19. Further staff efficiency to be made in 2019/20</p> <p>Structure changes will be required (reduction in substantive posts)</p> <p>Management posts will be reviewed with the aim of moving post-holders on to generic JDs. Consideration will need to be given to the longer term Comm & Bus Redesign team changes that might be required once the Customer Journey funding is not available.</p>			
Affected FTE [Reduction (-), Increase (+)]	2017/18	2018/19	2019/20
HR	(3)	0	(2)
BED	0	(1)	0

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EHL	(2.8)	0	0
C & I	(15)	(2)	(2)
L & G	(9.9)	(1)	(2)
CS	(4.4)	0	0
HECS	0	0	0
F	0	0	(1)
C & BR	(2)	(1)	(1)
Services consuming their own element of the pay award and pension uplift	(50)	0	0
Service reviews during 2017/18 leading to restructuring savings in last 6 months	(86)	0	0
Total	(173.1)	(5)	(8)

5. Delivery Plan, Risks and Outcomes

Key Milestones		
Milestone	Lead Officer	Completion Date
HR Structure	AL	31 March 17
HR Policy plan	AL	31 March 18
HR ICT systems requirements	AL	31 March 18
HR Training plan for managers rolled out	AL	31 March 18
BED Security fencing and CCTV – capital spend	Graham Sword	31 March 2017
BED Reduce manned security presence on Swans	Graham Sword	1 April 2017
BED Ring fence income from Swans CFI – staff costs realigned (Receptionist, part Estate Manager, and part Regen Officer	Graham Sword	1 April 2017
BED Revised Marketing Strategy to reflect reduced budget	Sean Collier	1 February 2017
Design and implementation of re-organisation	Jackie Laughton	March 2017 for full implementation
HECS Carry out a review	Haley Hudson	March 2017

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of current ASC prevention activity		
HECS Re-procure Good Neighbour project	Sheila Watson	March 2017
Finance – implementation of Reporting tool	Janice Gillespie	March 2018 for full implementation
Finance – reorganisation consultation	Janice Gillespie	Summer 2019
Prepare for formal staff consultation	Lisa Clark	Now – Mid-Nov 2016
Begin staff consultation	Lisa Clark	5 December 2016
End staff consultation	Lisa Clark	Early January 2017
Begin selection process (if required)	Lisa Clark	Mid January 2017
End selection process (if required)	Lisa Clark	End January 2017
New structure is live	Lisa Clark	1 April 2017

Risks		
Risk	Risk Score	Mitigating Actions
Workforce planning	C3	Transition plan for management development, systems and processes approach
Income – tenancies in the Swans CFI may reduce , thereby impacting on income	C4	Ensure Centre is managed in a professional manner, and rental fees represent excellent value for money
Security- Reduced security presence overnight	C3	Target hardening and remote surveillance put in place
Lack of inward investment in borough	C2	Focused marketing strategy to ensure that we maximise the available budget
Legal Services -There is an inherent risk that there will be insufficient staff resources to continue to meet demand if it does not reduce following the introduction of gateways and the increased 'self serve' approach.. There is a risk that as Authority officers are required to 'self serve' to a greater degree and legal input is reduced, appropriate advice may not be accessed at the appropriate time to mitigate risk to the Authority.	C3	It will be necessary to manage demand for the service and prioritise to focus on key Council priorities (inc safeguarding the vulnerable, regeneration and value for money procurement). The introduction of gateways to limit direct access to Legal Services; other service areas to 'self serve' to a greater degree in accordance with the Target Operating Model.

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Statutory Services -A reduction in the team may impact upon its ability to undertake the range of duties.	C3	Restructuring of the Service, ensuring skills and effort are focussed on key areas will minimise any risk from staffing reduction.
Risk that a reduction in Corporate Strategy leads to a reduction incapacity to deliver the additional income.	B1	A transition plan will be developed to maintain essential skills
Risk that a reduction in the Commercial and Business redesign teams delays delivery of the Customer Journey Programme and the Social Care replacement systems.	C3	Consultation with SLT and other key stakeholders.
Risk that resource to support change reduces at a time when there is significant change taking place in the organisation	C3	Consultation with SLT and other key stakeholders.
Risk that additional service reviews are delayed and savings are not achieved in full in 2017-18	B2	Consultation with SLT and other key stakeholders.

Performance Indicators

Indicator	Baseline	Target

6. Other Requirements / Dependencies

Technology Requirements

HR

BMS reporting tool in place to enable more HR self service (in plan now with ENGIE)
LMS system in place (links to ENGIE and in plan)
New intranet up and running

BED

CCTV cameras to be installed and monitored remotely from Killingworth by March 2017

L & G

The roll out of appropriate ICT devices and solutions (including lap tops and electronic court bundles) will support the team to work with greater agility and efficiency. Use of an intranet page and forms to channel requests for advice required.

Corp Strategy

Technology to enable staff to work flexibly, tools to manage budgets, staffing and performance information

Finance

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Implementation of Reporting Tool by Engie currently being procured- no additional cost the authority as part of the unitary charge currently in place.

Client / Customer Implications

Managers will need to do more for themselves in terms of HR case management
Potential reduced visibility of Business enterprise service due top reduced marketing budget.

It will be necessary for officers across the Authority to observe new formalised protocols in relation to accessing Legal Services. The informal access that is currently in place will be restricted to ensure that further self service for service areas is promoted and the legal officer time is focussed upon legal issues.

HECS – Good Neighbour project will be re provided, supporting similar client group and level of needs.

Finance - Budget managers/holders and HOS currently expected to manage budgets, the tool should enable easier access to financial and staff data enabling decision making. The finance service can then add different value

Comm & Bus redesign - Potential impact on breadth of service offered to organisation from Commercial and Business Redesign Team and Information Systems Team.

Partner / Stakeholder Implications

Reduced service to businesses through reductions in staff number will lead to a more focused service provision and small businesses may not receive as much assistance

It will be necessary for partners to observe new formalised protocols in relation to accessing Legal Services. The informal access that is currently in place will be restricted to ensure that further self service for service areas is promoted and the legal officer time is focussed upon legal issues

HECS – potential new provider for Good Neighbour project

Finance - Reduction in the 2018/19 Engie fee with associated reduction in resource requirement. Dialogue already commenced.

Comm & Bus Redesign

- SLT (on role of the C&BR team moving forward)
- Adults, Children's, Housing Management teams on potential reduction of service following reductions in teams.

The impact on customers and partners will be considered as an integral part of the service reviews.

Equality and Diversity Implications

Equality Impact Assessments will be undertaken for of the proposals where an impact is expected.

2017-2020 Financial Planning and Budget Setting Process Business Case for Change

Is this project also included as a Capital Bid? Yes

7. Sign Off

Mayor / Cabinet Member(s)	All Members and the Elected Mayor
Head of Service(s)	Alison Lazazzera, Paul Buie, Phil Scott, Mark Longstaff, Viv Geary, Jacqueline Laughton, Jacqui Old, Janice Gillespie
Finance Manager	Alison Campbell

2017-2020 Financial Planning and Budget Setting Process Business Case for Change

1. Summary

Title	Develop Specialist Housing Products and Services
Business Case Number	GP Spec
Service Area(s)	Housing, Children Young People Learning & Adult Social Care
Member	Cllr Harrison, Cllr Grayson & Cllr Waggott-Fairley
Project Sponsor	Roy Marston
Project Lead	Martin Bewick
Council Plan Theme	Our Places, Our People
Creating a Brighter Future Theme	Great Place
Saving or Income	Saving
Total 17/18 Savings	£275,000
Total 17-20 Savings/Income	£296,000

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2. Business Case

Summary

Develop Specialist Housing Products and Services; early work on the Cabinet's Affordable Homes Programme has demonstrated the Authority's ability to deliver specialist housing which supports independent living and reduces costs. This project aims to shape our housing growth plans to include specialist housing products and services for children and adults with additional needs, Looked After Children and older people. We aim to create a joint team with commissioning, housing and social care expertise to make that a success building on existing pilot work to deliver at scale. This links to the Government's ambition to deliver more homes.

These proposals centre on Housing and Social Care working together to provide suitable housing to accommodate various client groups. This will reduce the care costs for various clients groups. Specifically the project will:-

- Utilise and make better use of existing Council housing stock,
- Reduce costs via increased joint working between Housing, CYPL and ASC,
- Reduce the cost of out of Borough placements by creating housing based solutions which allow clients to return and be cared for in the Borough,
- Provide a higher standard of accommodation, via new-build and refurbishment to meet clients needs and enhance livability,

Housing Solutions in Partnership with Children Young People & Learning

A review of how the Council provides accommodation and support to vulnerable young people. This included those leaving care, aged 16+ and 18+.

The review has examined the current model of provision and the current and projected client base with a view to developing a new and fundamentally different model of service, focused on a 'housing' based solution which will enable revenue savings to be generated. By considering a variety of housing options inline with placement needs, young people will be empowered to live independently, with minimal on-site support.

- 1) The current cost of accommodating high need clients leaving care 16+ is approximately £647k pa. This is based on the average cost over the year, which accommodated an average of 5 clients at any one time. Part year costs make it difficult to provide a fixed average cost per client, however it's anticipated that this new model will negate the need for high cost external placements.

Initial calculations suggest that a saving of circa £412k could be generated by using a block of six flats for high cost placements, thus preventing the future use of costly external provision. This block of 6 units, (at Matten Gardens), would house office and sleep-over space, (in 1 flat), leaving 5 units for leaving care 16+ clients.

Of the overall £412k projected saving, £246,000 is already included within the HECS Business Case, leaving **£166k**. These savings would be reduced in the first year due to the repair costs associated with setting-up the properties. These costs

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are estimated at £26k for homeless payments, plus £65k for repair works. Savings of £75,000 for 2017/18 and an additional £91,000 for 2018/19 are included below.

Housing Solutions in Partnership with Adult Social Care

1. Enable the development of 13 apartments for persons with a learning disability at Charlton Court, Whitley Bay. Projected savings are **£130k pa** from 2018/19.
2. Development of 20 new-build properties, by our partner Mariner Care at Backworth Park, agreed within the section 106 agreement for the site. Twelve of these are dementia specific and eight for clients with learning disabilities. The units for LD will produce a saving of £80k pa

RISKS

Housing Solutions in Partnership with CYPL

- The options proposed are reliant on approvals being given by the individuals concerned and family members. People have the right to be consulted on how their care is provided and may think that the revised options are not the most suitable way to receive their care.
- Inability to identify, decant and refurbish a suitable block of flats for leaving care 16+ clients.
- Failure to secure capital resources to make the necessary alterations.
- Repair costs become very high and reduce savings produced.
- Any delay in the project will delay the realisation of savings.
- That Portfolio Holders and local Ward Councilors do not agree to proposals.
- Need for high cost placements increases over time.

Housing Solutions in Partnership with ASC

- The options proposed are reliant on approvals being given by the individuals concerned and family members. People have the right to be consulted on how their care is provided and may think that a revised option is not the most suitable way to offer their care.
- The inability to identify land and capital required to development new build housing.
- Reluctant of Portfolio Holders and local ward councilors to agree with proposals.
- Landowner at Backworth Park, (Northumberland Estates), may not agree terms regards section 106 and provision of supported housing on their site
- Landowner of Backworth Park site may choose to sell the site to another housing provider.
- Mariner Care may decide not to proceed.

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Target Operating Model – alignment to key principles	
1. Deal with the causes not consequences	✓
2. Get things right first time	✓
3. Understand and manage demand	✓
4. Enable people to help themselves	✓
5. Target resource at those who need it most	✓
6. Maximise Council income to pay for services	
7. Reduce long term financial cost to the taxpayer	✓
8. Maximise the impact partners have on achieving outcomes	
9. Identify and exploit innovation	
10. Use data and knowledge to make intelligent and lawful decisions	
11. Use technology to enable delivery and reduce long term cost	
12. The right people with the right skills in the right place at the right time	

3. Financial Implications

Net Savings / Income (NB excludes elements included in HECS business cases)	Cost Centre & Subjective	Part year? (months)	17/18 (£000s)	18/19 (£000s)	19/20 (£000s)
Savings in HECS			(275)	(21)	0
Totals			(275)	(21)	0

Financial Analysis 2017/18	
Expenditure/Income Line	Value (£000s)
Third party payments	(275)
Total	(275)

4. Staffing Implications

Staffing Implications			
Seven support worker posts at grade 4 will be needed from April 2017.			
Affected FTE [Reduction (-), Increase (+)]	2017/18	2018/19	2019/20
CYPL 1	+7		
Total	+7		

5. Delivery Plan, Risks and Outcomes

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Key Milestones		
Milestone	Lead Officer	Completion Date
Identify, decant and refurbish a block of 6 flats at Matfen Gardens	M Bewick	March 2017
Recruit support staff in line with new model	T Hopps	March 2017
Identify, prioritise and occupy 5 flats from April 2017	T Hopps	April 2017
Establish additional 5 flats attached to Matfen to reduce use of NEST / New Key	T Hopps	April 2017
Ensure Home Housing secure approval for development at Charlton Court	M Bewick	April 2017
Ensure Home Housing complete build at Charlton Court	M Bewick	June 2018
Identify site and resources for New Build Respite Centre	M Bewick S Woodhouse	April 2017
ASC 2B Other New Build	On-going	On-going
Ensure successful agreement of section 106 agreement at Backworth Park	M Bewick	May 2017
Ensure Mariner Care complete development as planned	M Bewick	Summer 2018
Allocate units at Backworth Park	S Woodhouse	Summer 2018

Risks		
Risk	Risk Score	Mitigating Actions
The options proposed are reliant on approvals being given by the individuals concerned and family members. People have the right to be consulted on how their care is provided and may think that the revised options are not the most suitable way to receive their care	D4	<ul style="list-style-type: none"> Individuals and family members will be consulted at the earliest opportunity and the benefits of new accommodation options outlined
Inability to identify, decant and refurbish a suitable block of flats for leaving care 16+ clients	D4	<ul style="list-style-type: none"> Various blocks of flats are being considered to widen the choice and increase chances of securing suitable accommodation Consultation will be undertaken with local residents and ward members to identify and overcome any concerns Potential Homeloss payments and other costs have been factored into calculations. The potential total for five properties is £26k

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Failure to secure the estimated capital of £55k - £65k required to make the necessary alterations	F4	<ul style="list-style-type: none"> • The cost has been estimated by examining previous similar works. This has allowed an estimate to be included in the calculation. • Further work will take place w/c 7 November to establish actual capital cost • This will allow exploration for the capital resource required • Could consider using the savings generated in year one to cover the capital cost • Bid for capital funds to the DoH's Technology Fund may provide capital for works at Edwin House
Repair costs become very high and reduce savings produced.	D4	<ul style="list-style-type: none"> • To explore and confirm position.
Any delay in the project will delay the realisation of savings	A4	<ul style="list-style-type: none"> • Work will be prioritised to enable swift progress on these projects and able savings at the earliest convenience
Reluctance of Portfolio Holders and local ward councillors to support with proposals	D4	<ul style="list-style-type: none"> • Consultation will be undertaken with local residents and ward members to identify and overcome any issues
Need for high cost placements increases over time	D4	<ul style="list-style-type: none"> • CYPL and ASC to undertake work to assess up-coming demand and negate the need for high cost assistance by securing alternative accommodation and support.
The inability to identify land and capital required to develop new build housing	C4	<ul style="list-style-type: none"> • Specialist housing group will be made aware and will explore options for development • Support will be given to a Partners to secure external capital funding
Landowner of Backworth Park, (Northumberland Estates), site may choose to sell the site to another housing provider	C4	<ul style="list-style-type: none"> • Liaison and dialogue has commenced with Northumberland Estates to ensure identification of any such issues
Landowner at Backworth Park, (Northumberland Estates), may not agree terms regards section 106 and provision of supported housing on their site	C4	<ul style="list-style-type: none"> • Liaison and dialogue has commenced with Northumberland Estates and Mariner Care • Delivering specialist housing has been agreed by the Council in place of general needs housing, something which is also agreed by Northumberland Estates • Watching brief required

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Mariner Care may decide not to proceed	D4	• Comfort given to Mariner Care regards need for dwellings and retained Council support
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Performance Indicators

Indicator	Baseline	Target

6. Other Requirements / Dependencies

Technology Requirements

Specialist technology will be installed in two of the schemes; these are Edwin House and Charlton Court. The cost for installation of this technology has been included in the Council's bid to the DoH's Technology Fund. If successful it will be cost neutral to the Council.

If this is not successful, the Council can choose not to include the technology or seek to fund it from elsewhere. The absence of the technology may affect the savings expected.

Client / Customer Implications

None noted

Partner / Stakeholder Implications

Consultation and engagement with Portfolio Holders and ward councillors will be required.

A partnership with Home Housing is already established and there is much confidence that this partnership will deliver the housing required at Charlton Court. The partnership with Northumberland Estate, (land owner at Backworth Park) and Mariner Care, the proposed developer is much less established. Although it appears that this development suits all parties, a watching brief is required to ensure this development progresses.

Equality and Diversity Implications

An IEA has been completed

Is this project also included as a Capital Bid? Yes

7. Sign Off

Mayor / Cabinet Member(s)	Cllr Harrison, Cllr Grayson & Cllr Waggott-Fairley
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Head of Service(s)	Phil Scott
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Finance Manager	Alison Campbell
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