

11 September 2017

Agenda Item:

**REPORT OF THE SERVICE DIRECTOR, SOUTH NOTTINGHAMSHIRE AND
PUBLIC PROTECTION**

**SUPPORTING THE DELIVERY AND EXPANSION OF ASSESSMENTS AND
REVIEWS**

Purpose of the Report

1. To update Committee on the current position in relation to assessments and reviews, updating the outcomes of Phase 1 of the Targeted Reviews Savings project and to agree the implementation of Phase 2 of this work and associated savings efficiency targets.
2. To agree the new pathway approach to reviews proposed within this paper.
3. To seek approval for the establishment of additional temporary posts to increase the levels of review activity undertaken specifically in relation to Younger Adults and to seek approval to extend the current temporary posts within the review team for the duration of Phase 2.
4. To approve £100,000 funding per year for 2 years for independent agency resource.
5. To approve the delivery of additional savings efficiencies identified as a result of this activity.

Information and Advice

Background

6. There is no national timescale to complete new assessments within 28 days of initial contact, but the Council has a local target to achieve this in 80% of cases. In some cases there is a legitimate reason why an assessment may take longer than 28 days, due to rapidly changing circumstances or an extended period of rehabilitation or reablement. The performance of the Council, as reported regularly to previous Adult Social Care and Health (ASCH) Committee meetings, stands at 73.95% for the period from April 2016 to March 2017, up from 60%. It is worth noting that Nottinghamshire remains a high performing Council in most areas and has been for a number of years.
7. Given that service users' needs change over time and that resources are limited, workers need to ensure that packages of support provided reflect the individual's needs. If social care support is required, workers must ensure it is provided in the most cost effective way possible. This will be achieved by regular reviews of support needs and their Support Plan. This is in line with the Adult Social Care Strategy and the Care Act.

8. There is an expectation within the Care Act 2014 that authorities should conduct a review of a service user's care plan at least every 12 months. Where services users have short term goals, which can increase their independence, it is expected that reviews will be scheduled more frequently to monitor and support progress towards these goals.
9. In addition the Council is also responsible for assessing and reviewing the needs of those who act as carers for those with social care needs.
10. As a result of increased pressures on social care support, demographic changes and finite resources, the demand for assessments and reviews continues to increase, as is the case for a number of councils.
11. The department has to prioritise work requiring an urgent response, such as safeguarding, carer breakdown and Mental Health Act assessments, above more routine, less urgent assessments and reviews. This situation has been exacerbated by increased demand on social care arising from the Care Act 2014.
12. In order to address assessments and reviews out of timescale, the department established a Delivery Group under the direction of the Service Director, South Nottinghamshire and Public Protection, in April 2016 to look at ways of addressing the issues outside of the usual day to day operating procedures.
13. This Delivery Group also oversees the targeted review work of the Central Review Teams, which deliver efficiencies from identifying support no longer required at the point of review.

Current Situation - Reviews

14. A reviewing resource has been established in the Department since January 2011. From 2014 onwards the work of this resource has focused on reducing the backlog of overdue reviews and releasing efficiency savings; this emphasis will continue.
15. Of the 7,692 packages of long term support (over 12 months duration) in existence during 2016/17, 5,562 (73%) were reviewed. Of these reviews 1,311 (23%) were completed by the Central Reviewing Team (CRT), approximately 200 were completed by an external agency (1,200 in total were allocated to the agency for completion but much of this activity took place within 2017/18) and the remaining 4,051 were completed by District Teams. A further 168 carers reviews were completed by the CRT in the same period.
16. Of the 1,511 CRT and agency reviews, 607 (40%) released efficiency savings totalling £1,172,879 (in year) and £2,186,671 (full year effect) against a savings target of £2.5m across the period 2016 – 2019. Predominantly these savings were released within Older Adults.

	In Year £	Full Year Effect £
Older Adults	1,026,308	1,918,491
Younger Adults	146,571	268,181

17. Of the remaining 2,130 packages of care requiring a review at the end of March 2017, 690 are long term care reviews in a residential or nursing setting. Of the remaining 1,440 outstanding community care reviews 897 (62%) are younger adults despite overall younger adults making up only 45% of the total 7,692 packages of long term support.

Current Situation – Assessments

18. Through formal procurement mechanisms externally contracted agencies have been utilised to assist within Social Work and Occupational Therapy (OT) to reduce the unallocated waiting lists, to keep all assessments within the 28 day target timescale and to reduce the volume of overdue reviews, particularly within long term residential and nursing care. During 2016/17 this intervention has also assisted the Adult Social Care, Health and Public Protection (ASCH&PP) department to introduce and embed new ways of working, for example, the formal scheduling of new work from a central point (Adult Access team). The new ways of working and assistance of the external agencies working alongside the in-house staff group has significantly reduced the unallocated waiting lists across the County. The table below shows the number of assessments that are ongoing and incomplete and that are already outside of the 28 day timescale. For OT assessments in particular this number has reduced over the period shown. Also shown is the number of assessments that are unallocated – these cases have not yet been allocated to a worker and work has not started on these. For care and support assessments in particular this number has reduced over the period shown.

Outstanding and unallocated assessments	As at 4/4/16	As at 1/2/17	As at 6/3/17
Care and support assessments incomplete and late	457	426	487
OT assessments incomplete and late	420	201	242
Care and support assessments unallocated	152	84	65
OT assessments unallocated	117	83	114

19. It is suggested that a reduced level of funding be approved over the 2017/18 – 2018/19 financial years which the Delivery Group can call upon to divert cases to the agency, where demand requires, to support roll out of scheduling across the service and to deal with unexpected peaks in demand, whilst the focus of the CRT remains on reviewing and identifying potential package reductions. Requests for CRT resources to support unallocated assessments diverts this resource from addressing overdue reviews and identifying potential inefficiencies within existing packages of care.
20. The roll out of scheduling to include planned reviews will enable resource and capacity management of peaks in demand.

Phase 2 – Expansion of the activity

21. Phase 2 of the reviewing activity will continue the targeting of Central Review team resource to reviews which are identified as having the potential to yield savings; this approach has successfully delivered savings totalling £2.1 million during the period 2016/17. In order to achieve this, extension is requested for the current temporary posts within this team.
22. It is proposed that an additional temporary team, focused on Younger Adults, with a Team and Group Manager within Younger Adults be established to support the delivery of the more in depth, time consuming reviews required to fully implement the approach and practices within Younger Adults.

23. The success in releasing efficiency savings to date, supported by a recent Institute of Public Care report by Professor John Bolton on Managing Demand in Adult Social Care^{ref1}, provides the evidence base for the assumption that further targeting of reviewing resource within Younger Adults will deliver greater levels of efficiency. It is considered that this cohort of service users has the greatest potential for increased independence:
24. The research by Professor John Bolton indicates that *'66% of younger adults receiving care and support should have decreasing needs since their last review'* ^{ref1}. Initial benchmarking in Nottinghamshire indicates that much lower rates of decreasing needs since last review are being achieved which suggests there is potential for more service users to be supported to be more independent and accordingly have decreasing needs since last review.
25. This report seeks approval to develop and embed a new approach to reviewing across the organisation, enabling more case working and frequent reviewing of individuals whose independence will increase with more focused support, and implements alternative, more proportionate review methods for those individuals whose care needs will remain constant or increase in line with the Care Act.
26. The new approach to reviews will ensure timely reviewing of all suitable packages of care at the point the services users' needs change, rather than annually. More frequent reviews will be scheduled at planned points where changes in need and improvements in independence are expected, based on the short term goals identified within individuals' support plans.
27. Phase 1 of the targeted reviews has released savings efficiencies of £2.1m during the period April 2016 to March 2017. This targeted work will continue alongside the proposed new approach to supporting independence through more frequent reviews and it is anticipated that this new approach will deliver increased savings. Phase 2 of the project has a savings target of £6 million (delivery profile shown below) and new savings of £1m from the £6m for Phase 2 have been profiled in 2017/18 as a result of the achievement to date.

2017/18 (£000s)	2018/19 (£000s)	2019/20 (£000s)	2020/21 (£000s)
1,000	2,000	2,000	1,000

28. In order to deliver this pathway approach to reviews, a redesign of the reviews workflow within Mosaic (the social care management system) will be required. This work will be undertaken in conjunction with the Adults Transformation Team as the next stage in developing business processes which embed the Adult Care Strategy, following the recent redesign of the Support Plan.
29. The newly re-designed Support Plan encourages the establishment of short term goals and enables the tracking of these. Through this improving independence will be tracked across those service users identified as active within the "pathway to independence".
30. This will support the aims of the Council's Adult Social Care Strategy to ensure services are focused on supporting individuals to learn or re-learn skills that help them to be more self-reliant and independent, reducing long term reliance on services.

31. In order to achieve this, approval is sought to recruit an additional, temporary CRT resource, initially focused on Younger Adults (YA) cases. This will be managed centrally but in the first stage working closely with the YA district teams, to embed the successful approach evidenced in the CRT work to date.
32. Historically the time required to undertake a review of a complex younger adult package of care has been prohibitive to the CRT picking up these cases, but with more capacity and resource to enable more detailed, time consuming reviews with frequently scheduled follow ups, both by CRT and by District Team, this should no longer be the case. This will ensure reviews are undertaken which reflect and embed the principles of the Adult Social Care Strategy.
33. The current two CRT Permanent Teams comprise 22 full time Reviewing Officers and 2 Team Managers. In addition, there is a third, temporary funded team comprising 10 Reviewing Officers (7 Care Act Funded, 3 funded to undertake transport reviews) and an additional temporary Team Manager.
34. Approval is sought to extend some of these temporary roles from their current end date of March 2018 until March 2020 to ensure the continued focus of the targeted reviews alongside the expanded work in Younger Adults: 7 Reviewing Officers at Grade 5 at a cost of £229,418 per annum including on costs and 1 Team Manager at Band D at a cost of £55,865 per annum including on costs.
35. In order to support the additional commissioning required as a result of the increased levels of reviewing activity, the 4 DIT (Data Input Team) Business Support posts at Grade 3 approved in November 2016 will also require extension from December 2017 to March 2020 at a cost of £93,648 per annum including on costs.
36. An additional 10 Reviewing Officers at Grade 5 at a cost of £327,740 per annum including on costs and 8 Reviewing Officer Assistants (ROAs) at an indicative Grade 3 (the grade and tasks associated are currently being evaluated) at a cost of £187,296 per annum including on costs are requested to support this expanded work, creating a fourth Reviewing Team and providing 2 ROAs per team to undertake the more light touch work not requiring a face to face review. These workers will also address any data input and commissioning errors identified, again diverting these tasks from Reviewing Officers and enabling a greater focus on the active reviewing activity. A further fourth Team Manager is also requested at Band D at a cost of £55,865 per annum including on costs.
37. In order to embed the double to single approach comprehensively within reviewing activity, extension of the current OT allocation seconded to double to single for a further 2 years from March 2018 is requested at a total cost of £137,328 per annum to March 2020.
38. Additionally, a dedicated YA focused OT resource, at Band B at a cost of £91,552 per annum, is requested to work with the newly established fourth reviewing team; these roles will also ensure that all OT options are explored to offer alternative methods of support and to enable the younger adults reviewed to reach more independent outcomes.
39. Discussions are currently underway with health to secure the services of a physiotherapist seconded to this work to further develop alternative solutions to provision of care and to support enabling and improving independence.

40. The current targeted work identified that significant efficiencies were realised by the more administrative element of reviews and adjustment of the commissioned packages to reflect the care received, rather than working with individuals to reduce the support required. It is reported that as much as 60% of the savings from 2016/17 were achieved by such administrative actions. It is intended that these more administrative adjustments would be undertaken by the ROAs, releasing capacity for Reviewing Officers to provide more face to face reviews. These are new roles and job evaluation prior to recruitment with the Job Evaluation team will be undertaken to confirm the grade; indicative grade 3 has been used to costs these posts within this report.
41. Whilst the percentage of reviews undertaken within timescale increased considerably last year from 46% the previous year to 73% in 2016/17, a target of 80% of reviews within timescale is proposed.
42. The additional capacity requested will support the Council to reach and maintain the target for reviews within timescale.
43. Once all existing service users are assessed and their appropriate pathway identified the use of alternative methods of review such as telephone or clinic based reviews will create capacity internally to maintain these levels, once the temporary resource ceases.
44. In order to ensure that both Social Work and Occupational Therapy assessments can be maintained within timescale and to provide additional resource to deal with reviews where limited potential for improving independence is identified, an additional £100,000 per annum for 2017/18 and 2018/19 is requested to cover costs of an independent agency.
45. Going forward, this approach to reviewing will become an integral part of the enabling and increasing independence programme offered, facilitated by case-working time to support service users in achieving greater independence. This case-working may be checking individuals' progress whilst supported by services, such as Reablement, Notts Enabling Service (NES), and may be undertaken by providers, family or other people involved in providing support or by the social care worker themselves.
46. A programme of training and communication across the service will ensure the approach proposed is rolled out successfully and is fully embedded in practices across the organisation. This will be integrated within the culture change work currently underway, led by the Adults Transformation Team.
47. A new suite of reporting will be developed to ensure that all service users are considered against the pathways and identified appropriately.

Other Options Considered

48. Maintaining the staffing structure at its current levels was discounted as it would not give sufficient capacity to deliver the volume of reviews needed to achieve the savings efficiencies required.
49. Not securing the additional independent agency funding to address out of timescale assessments and reviews will increase the pressures on operational teams and will result in the service not meeting its statutory requirements for reviews and its internal targets for assessments within timescale.

50. Not implementing the pathway approach to reviews will result in all services users requiring the same method and frequency of review, despite the significant variances in need. If those with more constant levels of need are not moved to the light touch pathway there will be insufficient organisational capacity to support those service users with the potential to increase independence.
51. Without increased capacity to more frequently review those service users identified as active within the “pathway to independence” approach, the opportunity to maximise their independence potential and decrease dependence on services will be missed. Ultimately this will result in higher cost packages than needs require.

Reason/s for Recommendation/s

52. The additional temporary resource will support the service to maintain and improve its levels of activity around assessment and review.
53. The implementation of a new approach to reviews will enable the service to differentiate and allocate resources and responses more appropriately, creating capacity to undertake more focused work and ensuring the service meets the aims of the Adult Social Care Strategy to maximise individuals’ potential for improved independence.
54. The costs of the recruitment will be offset by savings efficiencies identified through the new approach and more frequent reviews.

Statutory and Policy Implications

55. This report has been compiled after consideration of implications in respect of crime and disorder, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, sustainability and the environment and ways of working and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

56. The table below summarises the extensions and additions to funding requested within this report. Funding will be required from Adult Social Care & Health earmarked Transformation reserve.

Savings, Operational or Transformational Posts	Quantity	Band/Grade	Extend or Create post	Assumed Annual cost	Start Date	Expected End Date of Posts (assumes end of month applies)	Cost 2017/18	Cost 2018/19	Cost 2019/20	Total
Team Manager	1	D	Creation	55,865	Oct-17	Mar-20	27,933	55,865	55,865	139,663
Team Manager	1	D	Extension	55,865	Apr-18	Mar-20		55,865	55,865	111,730
Reviewing Officer (inc two DP posts)	10	5	Creation	32,774	Oct-17	Mar-20	163,870	327,740	327,740	819,350
Reviewing Officer	7	5	Extension	32,774	Apr-18	Mar-20		229,418	229,418	458,836

Savings, Operational or Transformational Posts	Quantity	Band/Grade	Extend or Create post	Assumed Annual cost	Start Date	Expected End Date of Posts (assumes end of month applies)	Cost 2017/18	Cost 2018/19	Cost 2019/20	Total
Independent social work / OT agency support		N/A	Extension		Jul-17	Mar-19	100,000	100,000		200,000
Business Support	4	3	Extension	23,412	Dec-17	Mar-20	31,216	93,648	93,648	218,512
Reviewing Officer Assistants **	8	3	Creation	23,412	Dec-17	Mar-20	62,432	187,296	187,296	437,024
Occupational Therapist	2	B	Creation	45,776	Oct-17	Mar-19	45,776	91,552		137,328
Physio	1	B	Creation	45,776	Oct-17	Mar-19	22,888	91,552		114,440
Occupational Therapist	3	B	Extension	45,776	Apr-18	Mar-20		137,328	137,328	274,656
							454,115	1,370,264	1,087,160	2,911,539

** these roles will initially be recruited for four months, a decision will then be taken, based on outcomes, whether beneficial to extend the duration.

57. These resources will deliver efficiency savings of £6 million pounds as detailed below:-

2017/18 (£000s)	2018/19 (£000s)	2019/20 (£000s)	2020/21 (£000s)
1,000	2,000	2,000	1,000

Human Resources Implications (SJJ 07/08/17)

58. The temporary contracts of the existing staff will be extended to cover the additional period no recruitment will be necessary. At the end of the extended period the Council's redeployment policy will apply if applicable. The grade of the posts of Reviewing Officer Assistant is an indicative grade pending a formal job evaluation process. The temporary posts will be recruited to using the County Council's recruitment procedure and staff will be appointed on fixed term contracts.
59. The recognised trade unions have been consulted and are supportive of the proposals. They have made some observations about the identified funds for agency workers which will be discussed at the next Joint Consultative & Negotiating Panel meeting with them.

Safeguarding of Children and Adults at Risk Implications

60. Service users with changing needs will receive a timely assessment and review of their care and support needs, reducing the potential of safeguarding concerns being missed.
61. Service users with more stable needs will receive light touch reviews. Any risks associated linked with these alternative review methods will be mitigated by utilising a decision matrix, to determine the most suitable method of review, taking into consideration when and how the individual was last reviewed, their care setting and other issues impacting their care, for example recent safeguarding and Deprivation of Liberty Safeguards (DoLS) assessments.

Implications for Service Users

62. Service users will receive a timely assessment. Some service users will receive more frequent reviews of their care and support needs, whilst those with low level or constant needs will receive more light touch, less intrusive, proportionate reviews of their care and support needs.

RECOMMENDATION/S

That the Committee:

- 1) notes the current position in relation to the number of assessments and reviews completed within the Adult Social Care, Health and Public Protection department during Phase 1 of the Targeted Reviews project and agrees the extension of the work into Phase 2 as detailed within this report.
- 2) approves the implementation of the pathway approach to reviewing across Adult Social Care, Health and Public Protection.
- 3) approves the establishment of the following additional temporary posts to help manage assessments and reviews, and to realise efficiency savings:
 - 10 Reviewing Officers at Grade 5 at a cost of £327,740 per annum including on costs.
 - 8 Reviewing Officer Assistants (ROAs) at Grade 3 at a cost of £187,296 per annum including on costs.
 - 1 Team Manager at Band D at a cost of £55,865 per annum including on costs
 - 2 OTs at Band B at a cost of £91,552 per annum including on costs.
 - 1 Physiotherapist at a cost of £45,776 per annum including on costs.
 - Extension of 3 OTs from March 2018 to March 2020, at Band B at a cost of £137,328 per annum including on costs.
 - Extension of 7 Temporary Reviewing Officers from March 2018 to March 2020, at Grade 5 at a cost of £229,418 per annum including on costs.
 - Extension of 1 Team Manager from March 2018 to March 2020, at Band D (£39,660 - £41,551) at a cost of £55,865 per annum including on costs.
 - Extension of 4 FTE Business Support Administrators (Data Input Team), Grade 3 from December 2017 to March 2020 at a cost of £93,648 per annum including on costs.
- 4) Approves the additional £200,000 funding, £100,000 for 2017/18 and £100,000 for 2018/19, to secure additional Independent Agency support for reviewing and assessments.
- 5) Approves the delivery of additional efficiency savings of £6 million for the period 2017 – 2021.

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Constitutional Comments (LM 10/08/17)

63. The recommendations in the report fall within the Terms of Reference of the Adult Social Care and Public Health Committee.

Financial Comments (KAS 11/08/17)

64. The financial implications are contained within paragraphs 56 and 57 of the report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

Providing Adult Social Care Assessments and Reviews – Update – report to Adult Social Care and Health Committee on 14 November 2016

Providing Adult Social Care Assessments and Reviews – report to Adult Social Care and Health Committee on 18 April 2016

Savings and Efficiencies Update and Proposal to Maximise the Income Available to the Council's Directly Provided – report to Adult Social Care and Health Committee on 10th October 2016.

Electoral Division(s) and Member(s) Affected

All.

ASCPH480