



**Clackmannanshire  
Council**

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**Kilncraigs, Greenside Street, Alloa, FK10 1EB  
(Tel.01259-450000)**

## **Housing, Health and Care Committee**

**Thursday 21 August 2014  
at 10.00 am**

**Venue: Council Chamber, Patons Building, Kilncraigs,  
Alloa, FK10 1EB**

Date	Time
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# HOUSING, HEALTH AND CARE COMMITTEE

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To determine policies for the promotion of housing, health and care in Clackmannanshire within the strategic policy framework approved by the Council in relation to the following:

- children and families services
- adult care
- criminal justice
- housing provision
- homelessness
- community safety
- antisocial behaviour
- health improvement

With the exception of those matters reserved to Council or delegated to a Committee or an officer, advising the Council on social services matters and discharging functions of the Council as social work authority

With the exception of those matters reserved to Council or delegated to a Committee or an officer, advising the Council on housing matters and discharging functions of the Council as local housing authority

In consultation with the Education, Sport & Leisure Committee, the promotion of children's health and welfare (including the preparation, publication and review of a plan for the provision of services for children in Clackmannanshire);

To set standards for service delivery.

To secure best value in the provision of services.

To consider valid petitions submitted which relate to the areas covered by the Committee

To monitor performance in the delivery of services including consideration of:

- quarterly service performance reports
- inspection or other similar reports
- financial performance
- reports on the development and implementation of shared services
- joint working with health services

To keep under review the impact of the Committee's policies on Clackmannanshire

To hear representations on petitions which have been accepted by the Director of Finance and Corporate Services as valid in accordance with the council policy and criteria. The Committee shall report on every petition in respect of which it has heard representations to Council with its recommendations on how the petition should be disposed of, which may include a recommendation that no action be taken.

**13 August 2014**

**A MEETING of the HOUSING, HEALTH AND CARE COMMITTEE will be held within the Council Chamber, Patons Building, Kilncraigs, Alloa, FK10 1EB, on THURSDAY 21 AUGUST 2014 at 10.00 am.**

**Elaine McPherson  
CHIEF EXECUTIVE**

**B U S I N E S S**

	<b>Page No.</b>
1. Apologies	--
2. Declaration of Interests Elected Members are reminded of their obligation to declare any financial or non-financial interest which they may have in any item on this agenda in accordance with the Councillors' Code of Conduct. A Declaration of Interest form should be completed and passed to the Committee Officer.	--
3. Confirm Minutes of Meeting held on 22 May 2014 (Copy herewith)	07
4. Housing and Community Safety Finance Report 2014/15 Quarter 1 - report by the Head of Housing and Community Safety (Copy herewith)	11
5. Housing Need and Demand Assessment - Update - report by the Head of Housing and Community Safety (Copy herewith)	29
6. Private Sector Housing Assistance Scheme - report by the Head of Housing and Community Safety (Copy herewith)	39
7. Strategy and Regeneration Update - report by the Head of Housing and Community Safety (Copy herewith)	49
8. Social Services Performance Report - report by the Assistant Head of Service, Strategy and Performance (Copy herewith)	63
9. Single Case Management System - report by the Assistant Head of Social Services Child Care (Copy herewith)	91
10. Implementation of the Social Care (Self-directed Support) (Scotland) Bill - report by the Head of Social Services (Copy herewith)	97



## HOUSING, HEALTH AND CARE COMMITTEE – MEMBERS (COMMITTEE QUORUM 4)

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### Councillors

### Wards

Councillor	Les Sharp (Convenor)	1	Clackmannanshire West	SNP
Councillor	Tina Murphy (Vice Convenor)	1	Clackmannanshire West	SNP
Councillor	Gary Womersley (Ex Officio; Non-Voting)	3	Clackmannanshire Central	SNP
Councillor	Archie Drummond	2	Clackmannanshire North	INDP
Councillor	Walter McAdam, MBE	2	Clackmannanshire North	SNP
Councillor	Derek Stewart	3	Clackmannanshire Central	LAB
Councillor	Janet Cadenhead	4	Clackmannanshire South	LAB
Councillor	Ellen Forson	4	Clackmannanshire South	SNP
Councillor	Kathleen Martin	5	Clackmannanshire East	LAB





**MINUTES OF MEETING of the HOUSING, HEALTH AND CARE COMMITTEE held within the Council Chamber, Greenfield, Alloa, FK10 2AD, on THURSDAY 22 MAY 2014 at 10.00 am.**

**PRESENT**

Councillor Les Sharp, Convenor (In the Chair)  
Provost Tina Murphy, Vice Convenor  
Councillor Janet Cadenhead  
Councillor Archie Drummond  
Councillor Ellen Forson  
Councillor Kathleen Martin  
Councillor Derek Stewart  
Councillor Gary Womersley (S\*)

**IN ATTENDANCE**

Garry Dallas, Director of Services to Communities  
Ahsan Khan, Head of Housing and Community Safety  
Val De Souza, Head of Social Services  
Jane Menzies, Assistant Head of Joint Social Services  
Stuart McQueen, Solicitor, Legal Services (Clerk to the Committee)  
Liam Purdie, Assistant Head of Service - Child Care  
Chris Sutton, Service Manager  
George Marshall, Accountant

**HHC.094      APOLOGIES**

Apologies for absence were received from Councillor Walter McAdam, MBE.

Councillor Womersley was present at today's meeting as a substitute member for Councillor Walter McAdam, MBE, and was not present in his capacity as a non-voting ex-officio member. As a substitute member, Councillor Womersley was eligible to take part in the vote.

**HHC.095      DECLARATIONS OF INTEREST**

None

**HHC.096      MINUTES OF MEETING: HOUSING, HEALTH AND CARE COMMITTEE  
HELD ON 20 MARCH 2014**

The minutes of the meeting of the Housing, Health and Care Committee held on Thursday 20 March 2014 were submitted for approval.

**Decision**

The minutes of the meeting of the Housing, Health and Care Committee held on Thursday 20 March 2014 were agreed as a correct record and signed by the Convenor.

**HHC.097      SOCIAL SERVICES BUSINESS PLAN 2014-2015**

A report which presented the Committee with the Social Services Business Plan for 2014-2015 was submitted by the Head of Social Services.

**Motion**

That the Committee notes the content of the Business Plan, while commenting on and challenging the priorities, risks and actions.

Moved by Councillor Les Sharp. Seconded by Provost Tina Murphy.

**Decision**

Having commented on and challenged the report, the Committee agreed to note the contents of the Social Services Business Plan 2014-2015.

**HHC.098      CHILD CARE SERVICES PROGRESS REPORT**

A report which updated the Committee of the Transitional Child Care Plan and also provided a summary of the progress from regular reporting of the Social Work developments provided since June 2012 was submitted by the Head of Social Services.

**Motion**

That the Committee:

1. note the progress and developments that have been achieved since June 2012 and comment and challenge as appropriate.
2. note this final report with future performance incorporate into the routine reporting for committee.

Moved by Councillor Les Sharp. Seconded by Provost Tina Murphy.

**Decision**

Having commented on and challenged the report, the Committee agreed to note the progress and developments and noted that this final report with future performance will be incorporated into the routine reporting for committee.

**HHC.099      SELF DIRECTED SUPPORT**

A report which provided the Committee with information about progress with the implementation of the Social Care (Self-directed Support) (Scotland) Act 2013 (the Act) was submitted by the Head of Social Services. The Committee had the opportunity to view a video on Self Directed Support produced by East Renfrewshire Council.

**Motion**

That the Committee agrees the recommendations set out in the report.

Moved by Councillor Les Sharp. Seconded by Provost Tina Murphy.



## **Decision**

The Committee agreed unanimously to:

1. note progress on implementation of the Act Self Directed Support (Scotland) Act 2013 by Social Services and provide comment and challenge as appropriate.
2. approve the revised definition of non-residential services and supports as contained in the Social Services non-residential services charging policy.
3. note the potential financial implications both of the implementation in respect of waiving of charges to carers, currently estimated at £180,000 and the broader potential impact of the move towards individuals accessing a wider range of flexible support options.

## **Action**

Head of Social Services

### **HHC.100 HOUSING AND COMMUNITY SAFETY SERVICE BUSINESS PLAN 2014-2015**

The report which presented the Committee the Housing and Community Business Plan for 2014-15, the associated new three year Community Safety Strategy with delivery plan, and the progress against the targets contained in the 2013-14 service business plan was submitted by the Head of Housing and Community Safety.

## **Motion**

That the Committee agrees the recommendations set out in the report.

Moved by Councillor Les Sharp. Seconded by Provost Tina Murphy.

## **Decision**

The Committee agreed unanimously to:

1. note the Housing and Community Safety Business Plan 2014-15, together with progress against targets in the current plan.
2. recommend to the Council approval of the new three year community safety strategy with delivery plan.

## **Action**

Head of Housing and Community Safety

### **HHC.101 CLACKMANNANSHIRE HOUSING STRATEGY ANNUAL UPDATE**

A report which presented the Committee with the first Annual Update of the Clackmannanshire Housing Strategy 2012-2017(CHS) was submitted by the Head of Housing and Community Safety.

## **Motion**

That the Committee notes the Clackmannanshire Housing Strategy Update 2014 and challenge and comment as appropriate.

Moved by Councillor Les Sharp. Seconded by Provost Tina Murphy.

**Decision**

Having commented on and challenged the report, the Committee agreed to note the Clackmannanshire Housing Strategy Update 2014.

ENDS 12.54 pm

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**Date of Meeting: 21st August 2014**

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**Subject: Housing and Community Safety Finance Report 14/15 Q1**

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**Report by: Head of Housing & Community Safety**

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## **1.0 Purpose**

- 1.1. This report updates Committee on the financial performance for Housing and Community Safety up to the first Quarter of 2014/15.
- 1.2. The report relates to both Housing and Community Safety General Fund and Housing Revenue Account Revenue and Capital expenditure.

## **2.0 Recommendations**

- 2.1. It is recommended that Committee
  - 2.1.1. approves the allocation of up to £30k for structural engineers reports from the energy efficiency capital budget (appendix D) to support a Council bid for up to £250k from the Scottish Government's Green Homes Cashback Scheme.

## **3.0 Financial Performance**

- 3.1. This is the financial monitoring report for 2014/15 for the Housing and Community Services General Fund and the Housing Revenue Account. It follows approval at Council in June 2013 of the Housing HRA Financial Business Plan 2013 - 2018. The process of scrutiny is an integral part of the wider and longer term Budget Challenge process. This report is seen as a positive part of that process aiding scrutiny of service budgetary performance.
- 3.2. This financial year sees the inclusion of the Property Contracts Unit within the Housing and Community Safety Service. At present work is ongoing to establish the 2014/15 budget for Property Contracts Unit taking account of the costs that will be charged to Housing Revenue Account, HRA Capital, Housing General Fund, General Services Capital and General Services Property Maintenance. This work is scheduled to be completed for the next Housing, Health and Care Committee in October. For this June outturn it is assumed that the net costs of PCU will be contained within the appropriate Service's budgets.
- 3.3. The enclosed appendices outline the financial position as at end of June 2014, comparing the actual income and expenditure for this period with the

profiled budget and projecting the likely outturn at the end of the Financial Year. An Appendix is included which updates Committee on the HRA Capital Programme to 2017/18.

- 3.4. Appendix A summarises the expenditure on General Fund Housing and explains the main variances. An under spend of £87k is projected mainly as a consequence of staff turnover.
- 3.5. Appendix B looks at Housing Revenue Account (HRA) expenditure and variances. There is an increase in the projected surplus, now £177k compared to the approved budget. The main reason for this is a saving in employee expenditure as a result of the reduction to the 35 hour week and staff turnover. It is anticipated that this surplus will reduce once the Property Contracts Unit budget is merged with the Housing and Community Safety Service budget.
- 3.6. Appendix C shows that the capital budget including carry forward equates to the total budget of £9,256k. The approved budget of £8,632k at the February Council has been supplemented by a carry forward of £624k from the 2013/14 HRA Capital underspend of £2,306k.
- 3.7. Appendix D shows the updated HRA Capital Programme until 2017/18 including the carry forward of £624k. The programme includes the full HRA match funding to support the Council's new build programme and further details of this are included in the Clackmannanshire Housing Development Update report. In February 2014 it was noted at Special Council that debt was likely to reach £35.073m by 2019/20 and the updated Capital Plan projects the total HRA debt will rise from just under £31m today to £34.829m by 2019/20.
- 3.8. The total outstanding debt is as a result of historic borrowing and funding for the next 4 years of £6.6m for the Council's new build programme as a significant proportion of our investment in current stock is from existing reserves and revenue surpluses.
- 3.9. As noted at Special Council February 2014, the Council is facing significant challenges in meeting the new energy efficiency standard for Social Housing stock, the EESH standard. As indicated the cost of providing external wall insulation to our "hard to treat" homes could be up to £17.5k per property. To assist landlords the Scottish Government are inviting social landlords to bid for funding under the Government's Green Homes Cashback scheme. Grants of up to £250k per organisation are available for solid wall insulation and hard to treat cavity wall insulation. If the Council is successful in the bid process and obtains the full £250k of grant funding, the HRA will need to supplement this with up to £30k on structural engineers reports as the funding for these are not included within the grant allocation. This will enable properties and the occupiers to benefit from improvements in energy efficiency and reductions in fuel bills.

#### 4.0 Corporate Priority Outcomes

The Council is effective, efficient and recognised for excellence

- 4.1. Effective financial control is essential to meet this objective. The financial report allows monitoring and corrective action as required.

#### 5.0 Sustainability Implications

- 5.1. The Clackmannanshire Housing Strategy is subject to a full Environmental Impact Assessment which will incorporate its principle priorities and actions.

#### 6.0 Resource Implications

- 6.1. Financial Details

The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate

Yes ✓

Finance have been consulted and have agreed the financial implications as set out in the report.

Yes ✓

- 6.2. Staffing

There are no additional staffing implications associated with this report.

#### 7.0 Exempt Reports

- 7.1. Is this report exempt?

Yes  (please detail the reasons for exemption below) No ✓

#### 8.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

- (1) **Our Priorities 2008 - 2011** (Please double click on the check box )

The area has a positive image and attracts people and businesses	✓
Our communities are more cohesive and inclusive	✓
People are better skilled, trained and ready for learning and employment	<input type="checkbox"/>
Our communities are safer	✓
Vulnerable people and families are supported	✓
Substance misuse and its effects are reduced	<input type="checkbox"/>
Health is improving and health inequalities are reducing	<input type="checkbox"/>
The environment is protected and enhanced for all	✓
The Council is effective, efficient and recognised for excellence	✓

- (2) **Council Policies** (Please detail)

## 9.0 Equalities Impact

9.1. Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

Yes  No

## 10.0 Legality

10.1. It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

## 11.0 Appendices

11.1. Please list any appendices attached to this report. If there are no appendices, please state "none".

Appendices A - D: Housing Revenue And Capital Financial Performance

Background Papers

11.2. Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

Yes  (please list the documents below) No

### Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Craig Dickson	Service Accountant	2037
Jennifer Queripel	Service Manager	2475

### Approved by

NAME	DESIGNATION	SIGNATURE
Ahsan Khan	Head of Housing & Community Safety	Signed: A Khan
Garry Dallas	Executive Director	Signed: G Dallas

**Appendix A - SUMMARY GENERAL FUND by cost centre to June 2014**

COST CENTRE SUMMARY	Annual Budget to 2014/15	Budget To 30/06/14	Actual To 30/06/14	Projected Outturn to 31/03/15	Variance Outturn v Budget
<b>STRATEGIC HOUSING COSTS</b>					
	789,680	203,283	17,127	687,416	(102,264)
<b>HOMELESS &amp; SPECIALISED ACCOMM</b>					
Homeless Team Admin	651,020	162,100	53,463	683,757	32,737
Backwood Court	49,850	10,013	8,414	(6,310)	(56,160)
Lochbrae	42,310	8,015	4,970	28,198	(14,112)
Katrine Court	(48,110)	(13,840)	(25,503)	(96,070)	(47,960)
Broad Street	0	0	(211)	0	0
Pompee	(49,570)	(13,710)	(22,137)	(70,736)	(21,166)
Chalets	(34,990)	(9,498)	(15,629)	(59,517)	(24,527)
Dispersed HPUs	(432,130)	(108,308)	(81,931)	(350,660)	81,470
Bed & Breakfast	(104,300)	(26,075)	4,729	9,400	113,700
Private Lets	(38,570)	(9,643)	(27,660)	(70,129)	(31,559)
Off the Shelf Purchase	(216,380)	(54,095)	(59,618)	(209,735)	6,645
Pine Grove	45,510	11,378	0	45,510	0
Hallpark	(250)	(63)	0	(250)	0
General Homeless	0	0	(10,664)	0	0
Travelling Persons' Site	25,950	5,513	(3,588)	30,364	4,414
	(109,660)	(38,213)	(175,365)	(66,178)	43,482
<b>HOMELESS STRATEGY</b>					
Homeless Strategy	119,870	4,618	767	118,906	(964)
	119,870	4,618	767	118,906	(964)
<b>Private Sector Housing</b>					
Discretionary Projects	11,500	0	0	11,500	0
Engagement Private Landlords	7,000	0	7,263	7,263	263
Supported Owners Service	75,000	0	0	75,000	0
Repairs	0	0	22	0	0
Mandatory Adaptations	180,000	0	21,528	180,000	0
Minor Disabled Adaptations	25,000	6,250	0	25,000	0
Compulsory Repair	0	0	(1,029)	0	0
Empty Homes	25,000	0	(75,000)	25,000	0
	323,500	6,250	(47,216)	323,763	263

**HOME ENERGY**

Home Energy	0	0	(46,081)	0	0
Home Insulation Scheme	0	0	(11,572)	0	0
Green Homes Cash Back	0	0	47,200	0	0
HEEPS-ABS(1)	0	0	632,495	0	0
HEEPS-ABS(2)	0	0	595	0	0
	0	0	622,637	0	0

**HOUSING LOANS**

Council Tenants	0	0	0	0	0
	0	0	0	0	0

**HOUSING BENEFITS**

Rent Rebates	967,920	362,702	(417,182)	1,136,028	168,254
Rent Allowances	(18,875)	(19,370)	(25,256)	(213,609)	(194,734)
	949,045	343,332	(442,438)	922,565	(26,480)

**HOUSING GRANTS**

Improvement Grants	0	0	(94)	0	0
	0	0	(94)	0	0

**GENERAL FUND HOUSING**

TOTAL	2,072,435	519,270	(24,583)	1,986,472	(85,963)
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CCTV	173,690	43,422	7,098	173,690	0
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Anti Social Behaviour	141,900	35,475	16,450	140,655	(1,245)
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Community Safety Partnership	99,970	24,993	0	99,970	0
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Landlord Registration	(25,530)	(6,383)	(4,986)	(25,530)	0
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**NET EXPENDITURE**

	2,462,465	616,777	(6,021)	2,375,257	(87,208)
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## **1.0 Notes to Appendix A - General Fund Housing Variances**

- 1.1. The main variances on General Fund Housing are as follows:
- 1.2. The total under spend of £102k on strategic housing costs is attributed in large part to current staff vacancies and maternity leave. The filling of these posts is pending the restructure of the Service.
- 1.3. An overspend of £43k on Homelessness and Specialist Accommodation is projected. This is as a result of reduction in income recovered from HRA owned units (Dispersed HPUs). The number of homeless applicants in Bed and Breakfast is in excess of the numbers allowed for in the budget. The use of General Fund owned accommodation units is showing higher than anticipated income at present and is helping off set the above overspend. This is because we are now receiving rents from the Off the Shelf Purchases that are now occupied and this is predicted to bring in net income of £210k this year.
- 1.4. It is anticipated that the Private Sector Housing budget will be spent this year.
- 1.5. A grant claim is currently with the Energy Savings Trust awaiting verification and payment and it is anticipated that there will be no Housing General Fund Costs for home energy this financial year.
- 1.6. Taking into account the inclusion of £176k funding from the DWP and the total of £265k for Discretionary Housing Payments from the Scottish Government, the income from Housing Benefits will be underspend by £26k compared with the budget of £949k.



**Appendix B - SUMMARY HRA by Cost Centre to June 2014**

<b>COST CENTRE SUMMARY</b>	<b>Annual Budget 2014/15</b>	<b>Budget To 30/06/14</b>	<b>Actual To 30/06/14</b>	<b>Projected Outturn to 31/03/15</b>	<b>Variance Outturn v Budget</b>
<b>Repairs &amp; Maintenance</b>					
Private Contractors	350,000	87,500	34,883	355,000	5,000
Void Houses	1,200,670	300,168	(25,388)	1,200,770	100
General Maintenance	2,219,000	554,750	(124,365)	2,220,000	1,000
Cyclical Maintenance	740,000	185,000	(27,668)	740,000	0
Gas Contract	481,000	120,250	(12,525)	481,000	0
Minor SW Repairs	43,000	10,750	(2,522)	43,000	0
	<b>5,033,670</b>	<b>1,258,418</b>	<b>(157,585)</b>	<b>5,039,770</b>	<b>6,100</b>
<b>Supervision &amp; Management</b>					
Employee Related Expenditure	1,875,460	468,865	133,256	1,676,116	(199,344)
Premises, Transport, Supplies & Services	272,030	68,008	13,422	272,401	371
3rd Party Payments (Investment Team)	532,080	133,020	25,549	504,560	(27,520)
Central Support	1,141,410	0	0	1,141,410	0
Democratic Core	103,000	0	0	103,000	0
	<b>3,923,980</b>	<b>669,893</b>	<b>172,227</b>	<b>3,697,487</b>	<b>(226,493)</b>
<b>Capital Financing Costs</b>					
Interest Payments	1,649,000	0	0	1,649,000	0
Loans Fund Expenses	39,000	0	0	39,000	0
Principal Repayments	1,363,590	0	0	1,363,590	0
	<b>3,051,590</b>	<b>0</b>	<b>0</b>	<b>3,051,590</b>	<b>0</b>
<b>Other Expenses</b>					
Insurance, Stair Lighting, Voids & Council Tax	947,110	236,777	129,578	986,213	39,103
Garden Aid Scheme + Land Maintenance	147,000	36,750	31,923	147,000	0
Special Uplifts	109,590	27,398	31,726	109,590	0
Pest Control	12,700	3,175	1,952	12,700	0
	<b>1,216,400</b>	<b>304,100</b>	<b>195,179</b>	<b>1,255,503</b>	<b>39,103</b>
Insurance Claims	0	0	27,578	0	0
<b>TOTAL EXPENDITURE</b>	<b>13,225,640</b>	<b>2,232,410</b>	<b>240,358</b>	<b>13,044,530</b>	<b>(181,290)</b>
<b>INCOME</b>					
Rents & Interest on Revenue Balances	(17,300,210)	(4,311,802)	(4,457,941)	(17,295,764)	4,446
Other Income	0	0	0	0	0
	<b>(17,300,210)</b>	<b>(4,311,802)</b>	<b>(4,457,941)</b>	<b>(17,295,674)</b>	<b>4,446</b>
<b>NET EXPENDITURE</b>	<b>(4,074,570)</b>	<b>(2,079,392)</b>	<b>(4,220,543)</b>	<b>(4,251,414)</b>	<b>(176,844)</b>

## **2.0 Notes to Appendix B - Housing Revenue Account Variances**

- 2.1. The Housing Revenue Account expenditure main variances are explained below.
- 2.2. Following approval at Special Council in February 2014 of the review and reconfiguration of the Chief Officer Structure, the functional responsibility for Maintenance and Hard FM has moved into Housing and Community Safety. Work is jointly being undertaken by Finance in conjunction with Housing and PCU to realign the service budget. This exercise will seek to remove any remaining profit element from PCU as their status as a significant trading organisation has now ceased. This will bring greater clarity to the expenditure profile and allow for a fuller update to the Housing Financial Business Plan to be presented at a future Committee.
- 2.3. At present we are only anticipating a small overspend on Private Contractors. The remainder of the Repairs and Maintenance Expenditure has been out turned to budget pending conclusion of the exercise to integrate PCU within the Housing Revenue Account budget.
- 2.4. Supervision and Management Costs are at present indicating an under spend of £226k. This is due to the reduction in the working week from 36 to 35 hours (£59k) and for current vacancies (£167k).
- 2.5. Currently void rent loss is projected at £474k, an overspend of £44k against the budget. This is based on the current level of void properties continuing throughout the year. The provision requiring to be made for future bad debts in respect of rent arrears, housing benefit overpayments and Rechargeable Repairs has been out turned on budget at present pending a review of the provision.
- 2.7. In line with the approved Business Plan the current HRA balance of £3,093k will be utilised this year to reduce borrowing. The HRA Reserve at the year end will be kept at 4% of the Rental Income as agreed in the HRA Financial Business Plan (£691k).

<b>Appendix C Housing Capital Programme 2014/15: Period to June 2014 update</b>	<b>Total 14- 15 Budget Including Carry Forward</b>	<b>Budget to 30/06/14</b>	<b>Net Expenditure to 30/06/14</b>	<b>Projected Out-turn 31/03/15</b>	<b>Variance Budget v Projected</b>
<b>SHQS</b>					
<b>Serious Disrepair</b>					
<b>PRIMARY ELEMENTS</b>					
<b>Structural Works</b>	150,000	37,500	21,280	150,000	0
<b>SECONDARY ELEMENTS</b>					
<b>Damp/Rot</b>	200,000	50,000	360	200,000	0
<b>Roofs / Rainwater / External Walls</b>	759,000	189,750	344	759,000	0
<b>Window &amp; Doors</b>	300,000	75,000	13,671	300,000	0
<b>ENERGY EFFICIENCY</b>					
<b>Full/Efficient Central Heating</b>	1,476,690	369,173	860,140	1,476,690	0
<b>MODERN FACILITIES &amp; SERVICES</b>					
<b>Kitchen Renewal</b>	157,000	39,250	(23,552)	157,000	0
<b>Bathrooms</b>	2,450,000	612,500	552,219	2,450,000	0
<b>HEALTHY, SAFE &amp; SECURE</b>					
<b>Safe Electrical Systems</b>	774,350	193,588	29,459	774,350	0
<b>Communal Areas (Environmental)</b>	440,000	110,000	0	440,000	0

<b>NON-SHS ELEMENTS</b>					
<b>Conversions &amp; Upgrading</b>	360,000	136,250	9,760	360,000	0
<b>Disabled Adaptations</b>	50,000	12,500	(46,339)	50,000	0
<b>Water Supply Pipe Replacement</b>	10,000	2,500	0	10,000	0
<b>Demolitions</b>	0	0	4,334	4,334	0
Environmental Improvements - Streetscape	125,000	31,250	0	125,000	0
Village Town Centre Initiative	97,000	0	0	97,000	0
HRA Roads & Footpaths Improvements	100,000	25,000	(753)	100,000	0
MCB Tenant Community Improve Fund	200,000	50,000	0	200,000	0
Standard Delivery Plan	20,000	5,000	0	20,000	0
<b>Other Particular Needs Housing</b>	542,000	111,250	(753)	542,000	0
New Build Alva/Tullibody	60,000	0	2,786	60,000	0
Hallpark New Build	389,000	97,250	366,881	389,000	0
Fairfield School New Build	1,086,000	351,500	(184,318)	1,086,000	0
Off The Shelf Purchase	900,000	150,000	76,124	900,000	0
Off the Shelf Purchase Refurbishment	75,000	16,000	0	75,000	0
<b>New Build Housing (Transforming Communities)</b>	2,510,000	614,750	261,472	2,510,000	0
<b>Housing Business Management System</b>	225,000	56,250	0	225,000	0
<b>TOTAL CAPITAL EXPENDITURE</b>	10,404,040	2,610,260	1,682,936	10,404,040	0
<b>SALE OF COUNCIL PROPERTY</b>	(680,000)	(170,000)	(205,810)	(680,000)	0
<b>SIMCo Balance</b>	(468,000)	0	0	(468,000)	0
<b>NET EXPENDITURE</b>	9,256,040	2,440,260	1,477,126	9,256,040	0

### **3.0 Notes to Appendix C Capital Programme Variances**

- 3.1. The 2013/14 projects that have been carried forward into 2014/15 are set out below.
- 3.2. Within the Secondary Building Elements, £54k in the 2011-15 Roof & Render Programme is now included in the 2014/15 programme.
- 3.3. £348k in the 2013-16 Central Heating Replacement Term Contract is now included in the Energy Efficiency budget line. The contractor is now on site but the start was delayed in 2013-14 resulting in the expenditure last year being only £310k compared to the £658k budgeted. Expenditure in 2014/15 is already over £500k. £191k for the Bowmar Community Energy Savings project has been carried forward to complete the works by British Gas Trading.
- 3.4. £345k in the Electrical Rewiring and Testing programme has been carried forward into the 2014/15 budget. The successful completion of the programme this year will require to be resourced adequately.
- 3.5. £115k has been carried forward to allow for the completion of the conversion of the blocks at Pine Grove.
- 3.6. As a result of the rescoping exercise undertaken to enhance the current housing management system only £75k of the budget for the Housing Business Management System has been carried forward into 2014-15.





### 3.7. Appendix D HRA Capital Programme 2014/15 to 2017/18

	2014/15	2015/16	2016/17	2017/18
	£'000	£'000	£'000	£'000
<b>SHQS ELEMENTS</b>				
<b>Primary Building Elements</b>				
Structural Works	150	150	150	150
<b>Secondary Building Elements</b>				
Damp Proof Course and Rot Works	200	50	50	50
Roof/Rainwater/External Walls	759	620	2,303	2,100
External Doors	50	10	78	80
Windows	250	250	1,819	1,800
<b>Energy Efficiency</b>				
Full/Efficient Central Heating	1,477	1,854	1,854	800
<b>Modern Facilities &amp; Services</b>				
Kitchen Renewal	157	100	300	300
Bathroom Renewal	2,450	2,150	50	20
<b>Health Safe &amp; Secure</b>				
Safe Electrical Systems	775	218	300	200
External Works: Fencing, Gates, Paths	140	20	30	20
Secure Door Entry Systems	300	100	60	20
<b>NON SHQS ELEMENTS</b>				
Pine Grove Conversion	115	0	0	0
The Orchard Demolition	115	0	0	0
Disabled Adaptation Conversions	50	50	50	50
External Lead Pipe Replacement	10	0	0	0
Feasibility Work	20	20	20	0
Council House New Build	3,674	1,630	2,875	2,300
Making Clackmannanshire Better Tenant Community Improvement Fund	200	200	200	200
Housing Business Management System Enhancements	225	0	0	0
Environmental Improvements - Streetscape	125	125	125	125
Misc Conversions & Adaptations	130	150	150	100
HRA Roads & Footpaths Improvements	100	100	100	100
Village and Small Town Centres Initiative (Sauchie Main Street)	97	0	0	0
<b>Total Gross Capital Programme</b>	<b>11,569</b>	<b>7,797</b>	<b>10,514</b>	<b>8,415</b>
Estimated House Sales	(680)	(680)	(150)	0
Less Scottish Govt Affordable Housing Supply Grant	(1,164)	(552)	(1,150)	(920)
Less Income (SIMCo balance)	(468)	0	0	0
<b>Total Net Capital Programme</b>	<b>9,257</b>	<b>6,565</b>	<b>9,214</b>	<b>7,495</b>

## Notes to Appendix D Updated Housing Capital Programme

- 4.1 Appendix D shows the updated HRA Capital Programme until 2017/18. This includes support for the Council's new build programme and further details of this are included in the Clackmannanshire Housing Development Update Report.
- 4.2 At Special Council it was noted that debt was likely to reach £35.073m by 2019/20, thus breaching the total borrowing limit of £35m as agreed by Council in June 2013. The current updated position of the HRA Business plan indicates that the total HRA debt will rise from just under £31m today to £34.829m by 2019/20. As the HRA borrowing is included with the Council's other borrowing, this improved position is in line with the Council requirement to incur no further longer term borrowing over the next three years and is consistent with the approved financial strategy of minimising new borrowing.
- 4.3 It should be noted that the level of debt as a proportion of the revenue stream will be reduced from 18% today to around 17% in 2019/20 although the nominal total debt will still rise. The total outstanding debt increase can be seen as a result of the net HRA contribution of £6.5m for the Council's new build programme to 2018, as a significant proportion of our investment in current stock is from existing reserves and revenue surpluses. A fuller update of the HRA Business Plan will be completed and presented to Committee on approval of the new Housing and Community Safety Service structure.
- 4.4 As noted in the HRA Financial Business Plan the focus of our investment in stock will shift from cosmetic items included in the Clacks Standard to a focus on the structure, fabric and upkeep of our stock. For example, the Capital plan includes the replacement of 450 roofs and 1,300 wall upgrades (render). Within our stock we have a number of roofs where the tiles and roof fabric are well beyond the 65-70 years elemental life expectancy. However, each roof will be individually assessed prior to works proceeding and if a roof structure can last with general routine maintenance then it will not be replaced at that stage. This approach will save on borrowing costs.
- 4.5 The Door Entry Replacement Programme Budget has been left as approved at Special Council in February. Details of this are included in the Private Sector Housing Assistance Report. However, the phasing of this expenditure might to be re-aligned depending upon the Committee's decision on the funding and resourcing of private owner grants in the Private Sector Housing Assistance Report.
- 3.8. The capital plan also includes provision for £97k for the completion of the Village and Small Town Centres Initiative work at Main Street in Sauchie. This aligns with the Private Sector Housing Grant funding documented in the Private Housing Assistance Scheme report to this Committee.

- 4.6 Special Council had approved a further £300k on the Newmills and The Orchard Business case in 2014/15. As is indicated in the Housing Development Report a change is requested to the original scope of that work and it is now proposed that demolition of the block proceeds in 2014/15 to allow for the completion of 12 new build homes in 2015/16. Demolition costs are likely to be in the region of £115k.
- 4.8 A specific part of the Housing Management System enhancements is currently going through procurement and at the time of this report the Council is observing the formal standstill period. Once this period ends, the phasing of the expected spend will be updated and reported to the Resources and Audit Committee on the 25th of September 2014 along with the Council's wider Capital Investment Plan.
- 4.9 In 2016/17 the expected spend of £400k on Bathroom Renewal has been readjusted taking into account the number completed so far and how many we expect to complete prior to the end of 2016. This represents a time improvement for the completion of the Clacks Standard by around 3 months as reported to Council in February. The budget provision of £170k for CO Detectors in 2016/17 has been removed from the Capital Plan. These are now checked and replaced as necessary during gas safety service checks.
- 4.10 The budget for Kitchen Renewal has been uplifted from an expected £250k in each of 2016/17 and 2017/18 to £300k in each of these two years, due to the failure rates of some early kitchen installs.
- 4.11 Following approval by the Scottish Parliament of the ending of the Right to Buy on June 25th, the expected income from sales in 2016/17 has been reduced from £450k to £150k as the deadline for applications will be brought forward by a year after Royal Assent. It is anticipated that by that stage those who wish to exercise this right will do so in time for the deadline. Committee and Council will be kept updated on this income stream as sales progress.



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**Report to Housing, Health & Social Care Committee**

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**Date of Meeting: 21 August 2014**

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**Subject: Housing Need and Demand Assessment - Update**

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**Report by: Head of Housing & Community Safety**

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**1.0 Purpose**

- 1.1. This report seeks to inform Committee of the purpose and process of producing an updated Housing Need and Demand Assessment (HNDA).
- 1.2. It outlines the key evidence identified so far in the HNDA update and the governance and consultation process needed to achieve 'robust and credible' status from the Scottish Government.

**2.0 Recommendations**

- 2.1. Members are asked to note the report and the consultation process outlined.

**3.0 Governance, consultation and timescales**

- 3.1. The HNDA is required at five yearly intervals. The last one was approved by the Council in December 2010. Updated guidance was published by the Scottish Government in June 2014 to streamline the process and give a clearer method of estimating housing need and demand.
- 3.2. The HNDA production, consultation and sign-off is overseen by a 'Housing Market Partnership'. External stakeholders are central to the HNDA consultation process, and the partnership will include a mix of housing developers, RSLs, tenant organisations, estate and letting agents, private landlords and service users.
- 3.3. Consultation will take place from the end of August 2014 and is expected to take around 6 weeks to mid October.
- 3.4. This paper presents the key findings to date, and a final version of the HNDA will be presented to the Committee early in 2015.

**4.0 Background**

- 4.1. The Government provided a new software toolkit to calculate the figures contained within this report. The HNDA is designed to give broad, long-term

estimates of future housing requirements and to provide the evidence base to underpin policy decisions for future Local Housing Strategy (LHS) and development plans.

4.2. The new HNDA guidance states the following core elements are to be included in the completed document:

- Key Housing Market Drivers.
- Housing Stock - profile and pressure.
- Estimate of additional homes required (HNDA Toolkit).
- Specialist Provision.

4.3. The six main processes to achieve a quality output are:

- A Housing Market Partnership (HMP) has been set up to oversee production (in Clackmannanshire, the partnership includes Housing, Planning and members of the Clackmannanshire Alliance).
- Housing Market Areas defined using guidance outlined below and verified by the HMP.
- Methodology, limitations and quality control are given full explanation in the HNDA document.
- Assumptions, judgements and scenarios to be well reasoned and transparent.
- All key findings will be summarised.
- HNDAs are to be signed off by relevant senior officials in Housing and Planning.

4.4. The HNDA toolkit is populated with the Housing Market Areas that local authorities have provided. The boundaries initially derived in 2010, have been updated in line with boundaries used in the Local Development Plan. Forestmill is now in the Dollar HMA rather than Alloa HMA. This has no significant impact on the study due to the current small number of households contained in Forestmill.

#### Housing Market Area (HMA) Explanation

4.5. The origin and destination of house buyers is used to identify migration patterns across settlements. The analysis shows three spheres of market connectivity within the Clackmannanshire boundary, as follows:

#### **HMA 1 (Alloa): Alloa/Clackmannan/Sauchie/Tullibody,**

including the 'adjoining' settlements of:

- Kennet, Cambus, and Fishcross.

## **HMA 2 (Hillfoots): Alva/Menstrrie/Tillicoultry**

including the 'adjoining' settlements of:

- Coalsnaughton and Devonside.

## **HMA 3 (Dollar): Dollar**

including the 'neighbouring' settlements of:

- Muckhart and Forestmill.

## **5.0 Key Housing Market Drivers**

5.1. This section sets out the evidence on key demographic and economic drivers in our local housing markets. The purpose of this is to improve understanding of what the issues are and what evidence is used to estimate housing need and demand. Key facts and issues so far are listed below:

5.1.1. 68% of households in Clackmannanshire are one or two persons.

5.1.2. The 2010 based population projections show a small increase of around 0.5% annually to 2035, which is an average increase of around 280 people a year.<sup>1</sup> This is reduction from the current HNDA based on 2008 population projections of annual growth of 1%.

5.1.3. The 2010 household projections set out a steady rise of around 275 new households every year.

5.1.4. Out-migration from Clackmannanshire is highest among 16-29 year olds (GROS population projections, 2010).

5.1.5. In the owner occupation market house prices rose slightly in 2012 and 2013, after have fallen year on year from 2007 to 2011. The market has been quite flat in Clackmannanshire, meaning there have been no great price drops in the downturn, but at the same time recovery has been slower than in the rest of Scotland (Registers of Sasines).

5.1.6. The lower end of the market, related to first time buyers, is not recovering as well as house prices in the rest of the market.

5.1.7. Unemployment in Clackmannanshire is higher than the Scottish average. Around 9.5% (2,300 people) of the working age population are unemployed, compared to 7.7% average in Scotland (NOMIS).

5.1.8. Households are getting poorer. Unemployment has risen from 6% in 2004 to 9.5% in 2013. The average household income in Clackmannanshire has dropped from £32,472 in 2008 to £28,068 in

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<sup>1</sup> The 2012 based population projections show a small decline in population, so apply caution using 2010 based figures. The 2012 base **household** projections are not currently published (July 2014). To enable comparison between population and households figures the 2010 based figures will be quoted until such time as both updates are published.

2014. More than half of all Council and RSL tenants are claiming housing benefit (59%).

## **6.0 Housing Stock Profile, Pressures and Management issues**

6.1. This section profiles local housing stock and identifies stock pressures, such as the mismatch between supply and demand, or housing management issues such as overcrowding.

6.1.1. The 2011 census data puts the number of households in Clackmannanshire at 22,734. Of these, 62% are owner occupied, 21% rented from the Council, almost 8% other social landlords and 8.3% are privately rented.

6.1.2. Owner occupation in Clackmannanshire and Scotland, rose consistently between 1991 and 2009, then dropped by 4% between 2009 and 2011. (Census 1991, 2001 & 2011, Assessors data, 2009.)

6.1.3. Census information and assessors data, shows that the private rented sector in Clackmannanshire remained unchanged at 5% of stock over the last 20 years then increased by over 3% to 8.3% between 2009 and 2011. The rest of Scotland is showing a similar trend.

6.1.4. There is a high proportion of large properties in the owner occupied sector; 28% have 4 or more bedrooms and nearly 75% of owner occupiers are under occupied by 1 or more bedrooms. Only 2% of owner occupiers are overcrowded. (Private Sector stock condition survey, 2009.)

6.1.5. There are currently 110 social housing applicants, 6.8% of the waiting list, with overcrowding points.

6.1.6. Between 36% and 47% of all Council lets go to homeless applicants, the majority of which are single households. There are around 130 - 160 one bedroom council properties available to let each year. There are currently 558 people on the housing list for a one bedroom property.

6.1.7. The majority of Council properties that become available each year have two bedrooms. The stock profile is:-

27% 1 bed,  
45% 2 bed  
25% 3 bed  
3% 4+ bed.

There are only two 5 bedroom properties in the council's stock.

## **7.0 Estimating Housing Need and Demand**

7.1. The software provided uses standard assumptions; a modest increase in house prices, flat income projections and need from the Common Housing Register.



7.2. Demand is split by four different tenures; owner occupation, private rent, mid market rent and social rent. Having run the software model the new figures for Clackmannanshire are shown in table 1, below.

**Table 1. Clackmannanshire Council and Housing Market Areas**

**Annual Estimates of Future Additional Housing, by Tenure, 2012 to 2031**

<b>Number of household who can afford:</b>	<b>Annual<sup>1</sup> estimates of future additional housing</b>			
	<b>Clackmannanshire</b>			
	<b>2012 - 2016</b>	<b>2017 - 2021</b>	<b>2022 - 2026</b>	<b>2027 - 2031</b>
<b>Social rent</b>	118	87	69	71
<b>Below market rent</b>	68	66	51	48
<b>Private rent</b>	59	60	43	36
<b>Owner occupation</b>	131	132	99	90
<b>Total</b>	<b>375</b>	<b>345</b>	<b>262</b>	<b>246</b>
	<b>Alloa HMA</b>			
<b>Social rent</b>	75	56	44	45
<b>Below market rent</b>	44	43	34	31
<b>Private rent</b>	32	33	23	20
<b>Owner occupation</b>	79	79	60	54
<b>Total</b>	<b>229</b>	<b>211</b>	<b>160</b>	<b>150</b>
	<b>Dollar HMA</b>			
<b>Social rent</b>	7	4	3	4
<b>Below market rent</b>	4	4	3	4
<b>Private rent</b>	9	9	6	6
<b>Owner occupation</b>	6	6	4	4
<b>Total</b>	<b>26</b>	<b>23</b>	<b>18</b>	<b>17</b>
	<b>Hillfoots HMA</b>			
<b>Social rent</b>	37	27	22	22
<b>Below market rent</b>	19	19	14	13
<b>Private rent</b>	18	19	14	11
<b>Owner occupation</b>	46	47	35	32
<b>Total</b>	<b>120</b>	<b>111</b>	<b>84</b>	<b>79</b>

7.3. The results in the above table are shown for 5 year time intervals. Results in bold signify the number of additional housing units needed each year. Key findings from the HNDA model are:

7.3.1. 375 new homes are needed per annum, which results in 1,875 over the 5 years to 2016, (and 3600 to 2021).

7.3.2. There is demand for 1,315 owner occupied properties in the period to 2021. This compares with the figure of 950 for owner occupied properties for the same period in the existing HNDA. This rise will be influenced by much reduced housing supply figures in recent years and

house prices have not risen as steeply as had been previously assumed, which will increase demand for market level housing.

- 7.3.3. For private renting the demand over 10 years is for 595 new lets. This is a comparatively healthy private rented market compared with historic trends.
- 7.3.4. The Housing Market breakdown shows that 61% of demand is for the main population centre in the Alloa, Tullibody, Clackmannan corridor. The Hillfoots demand is around half that at 32%.
- 7.3.5. The demand for social rented housing as a proportion of overall demand is broadly similar across all HMA's at around 32%. The demand for new owner occupation is slightly higher at 35%. However, when combined with mid market demand, the total affordable housing demand is just under half overall.
- 7.3.6. The most noteworthy finding from the model is the significant reduction in the projected demand for affordable housing. ('social rent' plus 'below market rent'). Demand is now assessed at 1,695 units (required by 2021. This is reduction of over 3000 units from the current HNDA which projected demand for 4,770 affordable properties to 2020. Whilst this is still a sizeable number and greater than the projected available funding for new affordable housing, it does support the anecdotal evidence reported by officers of demand softening for certain house types and locations, making some properties harder to let. Proposed new build and refurbishment programmes will need to carefully consider such factors, rather than being solely driven by the projected demand.
- 7.3.7. The model also shows the long term demand for additional housing is likely to decline by around a third to 2031, with social renting over the whole model showing a slightly higher decline of 40%. This trend is driven by low or declining long term population projections.

## **8.0 Specialist Provision**

- 8.1. In order to cater for future specialist housing need, the HNDA is asked to provide an estimate of the scale and type of both housing provision and related support required to assist independent living at home.
- 8.2. Additional work in this area is currently ongoing to identify the existing provision and future needs.
  - 8.2.1. The Housing Investment team are due to commence a survey of 437 council properties that are currently adapted to get more information on the nature of the adaptation. The information is due to be complete by January 2015.
  - 8.2.2. A review of Strategic Commissioning is underway, Social services are looking at the need for social care provision into the future. This is intended as a basis for discussion and forming future strategies. The report estimates future needs using current care needs plus population projections and the prevalence of the conditions that lead to the need

for care. Joint working with Social Services will ensure that the HNDA picks up on specialist housing requirements.

- 8.2.3. The current Clacks 1000 questionnaire contains specific questions on housing for older people, included for the express purpose of feeding into the HNDA. The responses are expected to be received by August 2014.
- 8.3. The Strategic Commissioning report; "Capacity Planning for Social Care Needs" (May 2014) makes the following points relevant to housing policy;
  - 8.3.1. The main drivers in emerging need are from an ageing population resulting in more older people who need care (low cost but high volume) and higher infant survival and longevity for those with learning disability (low volume and high cost).
  - 8.3.2. The Social Services model is similar to the HNDA and uses 2012 population projections showing a doubling of people aged 85 and over by 2030. Under 75 groups remain fairly static. This is similar to the existing HNDA.
  - 8.3.3. Physical disability is driven by frailty in old age and the over 75 group will see a steep increase in demand over the next 20 years. Complex care is masked within physical disability trends as they are low in prevalence but high in unit cost. The cost of such services increases with age as clients will have multiple contacts with services such as MECS and support workers.
  - 8.3.4. The 18 - 49 year old group with learning disability will see a substantial cost increase over 20 years in the Model. This reflects an increase in a small number of high cost packages.
  - 8.3.5. The Report notes that increased provision of care at home and care home placements cannot be financially sustained. It compares the comparatively more controllable cost of "preventative" activity such as adaptations, equipment and respite.
  - 8.3.6. The Report finally makes a specific reference to the problems faced by rising number of dementia sufferers.
- 8.4. Even in advance of completion of the studies referred to in section 7.2, these factors all indicate that new build and refurbishment programmes must take into account this increasing requirement for specialist provision.

## **9.0 Sustainability Implications**

- 9.1. The Housing Need and Demand Assessment will be a platform upon which future housing policy is based. The future design, development and supply of new housing will affect the sustainability of communities in Clackmannanshire.

## 10.0 Resource Implications

10.1. Financial Details

10.2. There are no financial implications arising from this report.

10.3. Finance have been consulted and have agreed the financial implications as set out in the report. Yes

10.4. There are no staffing implications.

## 11.0 Exempt Reports

11.1. Is this report exempt? No

## 12.0 Declarations

12.1. The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

(1) **Our Priorities 2008 - 2011** (Please double click on the check box )

The area has a positive image and attracts people and businesses

Our communities are more cohesive and inclusive

People are better skilled, trained and ready for learning and employment

Our communities are safer

Vulnerable people and families are supported

Substance misuse and its effects are reduced

Health is improving and health inequalities are reducing

The environment is protected and enhanced for all

The Council is effective, efficient and recognised for excellence

(2) **Council Policies** (Please detail)

## 13.0 Equalities Impact

13.1. Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

Yes  No

## 14.0 Legality

14.1. It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

## 15.0 Appendices

15.1. Please list any appendices attached to this report. If there are no appendices, please state "none".

none

## 16.0 Background Papers

Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

No

### Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Kenny Hutton	Service Manager, Regeneration	2472

### Approved by

NAME	DESIGNATION	SIGNATURE
Ahsan Khan	Head of Housing & Community Safety	Signed: A Khan
Garry Dallas	Executive Director	Signed: G Dallas



**CLACKMANNANSHIRE COUNCIL**

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**Report to Housing, Health and Care Committee**

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**Date of Meeting: 21 August 2014**

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**Subject: Private Sector Housing Assistance Scheme**

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**Report by: Head of Housing & Community Safety.**

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### **1.0 Purpose**

- 1.1. The purpose of this report is to present an updated position on the Private Sector Housing Assistance scheme, including details of how the Council's SHQS obligations towards door entry system installations may be met.

### **2.0 Recommendations**

- 2.1. It is recommended that Committee
  - 2.1.1. agree to the realignment of the 'supported owners service' budget, and
  - 2.1.2. to note the remainder of the report, and in particular the funding arrangements for the town centre initiative.

### **3.0 Background**

- 3.1. The Council as the strategic housing authority is expected to ensure that house conditions in the private sector are reasonable. The main legislation which covers our obligations is the Housing (Scotland) Act 2006. The "Scheme of Assistance" required under section 72 of the Act, sets out the range and type of assistance available to homeowners and private tenants in Clackmannanshire to adapt, repair and maintain their homes.
- 3.2. The Council's current Private Sector Housing Assistance Scheme was approved in March 2013 and contains a set of priorities for the types of work and geographical areas to which assistance can be targeted.

### **4.0 Private Sector Budget Priorities**

- 4.1. Following the Budget Challenge process, the budget priorities in 2014/15 for private sector housing issues reflect priorities such as Making Clackmannanshire Better; the Village and Town Centre Initiatives; and the requirement to meet the Scottish Housing Quality Standard. In addition, there is a continued need to

provide essential adaptations to enable homeowners to remain in their homes for as long as possible.

- 4.2. The Scheme of Assistance is funded through the Council's Private Sector Housing Budget. The approved funding for 2014/15 is £323,500. As shown in the appendix to the Finance Report on this agenda, and summarised in the table below.

**Private Sector Housing Budget & Spend**

	<b>Annual Budget</b>	<b>Q1 Actual</b>	<b>Projected Outturn</b>	<b>Variance Outturn</b>
Discretionary Projects	11,500	0	11,500	0
Private Landlord Scheme	7,000	7,263	7,263	263
Supported Owners Service	75,000	0	75,000	0
Mandatory Adaptations	180,000	21,528	180,000	0
Minor Disabled Adaptations	25,000	0	25,000	0
Empty Homes	25,000	(75,000*)	25,000	0
<b>Totals</b>	<b>323,500</b>	<b>(47,216)</b>	<b>323,763</b>	<b>263</b>

\* grant funding received.

Major and Minor Adaptations

- 4.3. This budget is demand led and responds to the needs of clients at short notice. Based on previous demand it is expected that this budget will be fully allocated.
- 4.4. The budget for funding minor adaptations is to be transferred to Social Services so that these requests can be dealt with directly and the budget controlled at source.

Private Landlord support

- 4.5. 'Clacks HomeFinder' was recently set up to assist people to find good quality private rented accommodation where social housing is not an option. The Private Sector Housing Team is working with private landlords to encourage them to register their properties through Clacks HomeFinder. The funding allocated for this has been spent, but the team continues to work closely with private landlords to support and encourage the raising of standards in the sector.

Empty Homes Initiative.

- 4.6. This work was brought in-house following the last budget, but due to several long-term illnesses in the team there has been no progress to date.

Supported Owners Service

- 4.7. Given the low level of presentations evidenced in recent years it is proposed to align this budget to more immediate high impact priorities, discussed below. It had been intended to explore partnership with voluntary sector agencies to deliver a 'handyman' service for small repairs but this has procurement challenges and such arrangements are inevitably resource intensive for low client volumes. Members are asked to approve this budget realignment.



## 5.0 Priority projects

### Area Based Initiatives;

- 5.1. In March 2013 Committee approved amendments to the Scheme of Assistance to replace the previous geographic priority areas of Alloa Town Centre, regeneration and local conservation areas, with a statement allowing our resources to be focussed in priority areas designated by the Council. This provides flexibility to support specific Council initiatives. Targeted work to town centres was included in the Scheme of Assistance. The area-based approach is believed to contribute significantly to the desirability of, and hence ability to let, Housing Revenue Account (HRA) properties and generate revenue.
- 5.2. Clarification has been sought on whether General Fund grant could be used to fund the works to the HRA properties. Section 204 of the Housing (Scotland) Act 1987 provides that the Secretary of State may set a limit to the amount of contributions that a Council can make from its general fund to the HRA. There are orders up to 2011 that restrict the contributions to nil, however there have been no orders since that date. In absence of any order since 2011, this would imply that transfers can be made to the credit of the HRA, subject to obtaining the consent of the Scottish Government (para 2(5) of part II, Schedule 15 of the 1987 Act). Such consent could therefore be sought for future programmes but justification would be required as to why the General Fund should support a relatively healthy HRA.
- 5.3. The Housing (Scotland) Act 2006 also permits a General Fund contribution to works on blocks of private housing. The Council set Sauchie as a priority within the scheme of assistance and approved an overall allocation as part of the budget process. The administration of the scheme has been delegated to officers and has been carried out in accordance with the above Council decision and the Housing Acts.
- 5.4. Members are asked to note that to finish the Town Centre initiative in Sauchie, a further £18K of grant funding is to be used for private owners and landlords. This will complement £97K from the HRA to be invested in the area this year, as set out in the Housing Finance Report (Capital Plan Appendix D) on this agenda.

### Mixed Tenure Works;

- 5.5. The Housing (Scotland) Act, 2006 was intended to bring about a culture shift towards owners being more proactive in their responsibility to repair and maintain their own homes. The current Scheme of Assistance is aimed to target resources at mixed tenure properties most in need of repairs and maintenance, particularly in relation to meeting the tolerable standard. However, to date no applications have been received which meet this criteria.
- 5.6. As a means of promoting and monitoring this priority, it is suggested that the policy be amended to direct specific financial assistance towards homeowners in mixed tenure situations where the Council is carrying out priority SHQS work or major investment projects such as roof and render works. Properties which are Below Tolerable Standard (BTS) or likely to become BTS within 12 months if not addressed, will be prioritised within this budget.

## Enforcement and Surveying

- 5.7. A part-time surveyor was previously employed within the Private Sector Housing Team. This arrangement did not always provide the flexibility required or at times provide owners with the assurance of independence when enforcement issues were being considered. The post-holder has recently left the Council and it is intended to use the budget from this post to tender for the supply of surveying and inspection services of private properties. There will be no minimum amount and the maximum value of the annual contract would be £16.5K the same as the cost of the previous post. Given that the budget could be unspent depending on the requirement for enforcement actions during the year the intention would be to have the flexibility to transfer this to other priorities prior to the year end if not required.
- 5.8. This resource will also assist in the development of the Council's Factoring Service to ensure owners understand their responsibilities in mixed tenure situations. This proposal will provide robust independent surveys to support the need for works, if urgent or enforcement action is required, as a factual basis for agreed action, for both the Council and owners in future.
- 5.9. The Committee is asked to note the creation of a £16.5K budget for external survey support, to be taken from the staffing budget.

## **6.0 Factoring Service**

- 6.1. As part of the Property Factors (Scotland) Act 2011 the Council registered as a property factor in November 2012. The service has been mapped out with the relevant Council Services. Some service processes will be developed further and business data management improvements made to existing systems, including those which ensure the charging system is fit for this particular purpose.
- 6.2. The development of the service has involved ensuring that Housing and Property Contracts Unit have accurate block reports which detail Council and private properties. This is currently being populated with information regarding the repair responsibility which each property has in relation to common areas. Training is currently being carried out for all relevant staff and a briefing paper for members will be produced shortly, providing further details of service delivery. All owners of flatted properties affected, i.e. where there is at least one Council property within the block, have been sent a copy of the Council's Statement of Services. This Statement details how the Service will operate and what is expected of owners.
- 6.3. As the Service has been in development, owners were not charged for initial relevant Factoring works until April 2014. The main works affected until this point have been the cyclical maintenance programme which is on a rolling 5 year cycle.

## **7.0 Door Entry Systems**

- 7.1. All fully owned council blocks now have a door entry system. To meet the Scottish Housing Quality Standard (SHQS) commitment door entry systems must also be provided in all mixed tenure blocks.
- 7.2. In March 2013 this Committee approved a new Scheme of Assistance that provided for a one-off grant to be awarded towards the cost of door entry

systems, particularly where this is being done in blocks where the Council is required to meet SHQS.

- 7.3. The mixed tenure blocks are shown in appendix 1. There are 238 properties in 53 blocks in total, of which 129 are in council ownership and 109 privately owned. Of these private properties, 33 flats are owned by 31 private landlords. Of these 31 landlords:-
- 14 landlords let only 1 property
  - 3 landlords let 2 properties
  - 3 landlords let 3 properties
  - 2 landlords let 4 properties
  - 4 landlords let 5-9 properties
  - 4 landlords let 10-15 properties
  - 1 landlord lets 15+ properties
- 7.4. In blocks where the Council holds majority ownership, in terms of title deed conditions and powers within the Tenements (Scotland) Act 2004 works can proceed, and legal action taken to recover costs if necessary. Where the ownership of the block is either an equal split or the Council is in minority ownership, negotiation and majority agreement must be obtained prior to the works proceeding.
- 7.5. To assist in reaching agreement with the owners, Committee is asked to approve offering a grant of a minimum of 50% grant for homeowners, up to a maximum of 100% grant based on each household's financial circumstances. This will be based on the standard means test used for Council Tax benefit, as detailed in the Private Sector Housing Assistance Scheme. Many of the owners are expected to be low income households.
- 7.6. For private landlords, the Committee is asked to approve offering registered landlords who let only one property, with a current gas safety certificate and working smoke alarms, an incentive of a 25% grant towards the cost of the works.. It is also intended that some discretion would be available to officers to allow grants of up to 50% in cases of particular hardship based on individual circumstances.
- 7.7. The estimated total minimum grant funding under this scheme would be £73K and the maximum £144K. A total budget of £178,000 is available for these works, using carry forward from 2013/14 and the 'profit' element gained from the previous accounting method used for the Public Contracts Unit. The intention is for the bulk of the programme to be completed this financial year. However, given the potential for delays while negotiating owner agreement, there may be a need for further carry forward of budget into 2015/16.
- 7.8. To qualify for grant funding all owners would be required to sign an undertaking to contribute to the ongoing maintenance and repair of the door entry systems, and to make an annual upfront contribution to an account held for this purpose. Consultation with owners will be carried out via area based public meetings.
- 7.9. Members should also note that the Council's stock condition survey indicated significant investment will be required in mixed tenure situations, and this will have implications for owners involved in future maintenance programmes.

## 8.0 Sustainability Implications

- 8.1. Assistance given to owner occupiers and in some cases enforcement, to improve house conditions will result in a community environment which is more attractive and safer. In addition, energy efficiency improvements will help reduce fuel poverty and carbon emissions, helping the Council to achieve its carbon reduction targets.
- 8.2. Resources dedicated to helping older people to stay longer in their own homes will help ensure sustainable communities.

## 9.0 Resource Implications

### 9.1 Financial Details

- 9.2 The full financial implications of the recommendations are set out in the report.

Yes

- 9.3 Finance have been consulted and have agreed the financial implications as set out in the report.

Yes

- 9.4 There are no additional financial implications.

### 9.5 Staffing

There are no additional staffing implications arising from this report.

## 10.0 Exempt Reports

- 10.1 Is this report exempt?

No

## 11.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

- (1) **Our Priorities** (Please double click on the check box )

- |  |                                     |
|--|-------------------------------------|
| The area has a positive image and attracts people and businesses         | <input checked="" type="checkbox"/> |
| Our communities are more cohesive and inclusive                          | <input checked="" type="checkbox"/> |
| People are better skilled, trained and ready for learning and employment | <input type="checkbox"/>            |
| Our communities are safer  | <input checked="" type="checkbox"/> |
| Vulnerable people and families are supported                             | <input checked="" type="checkbox"/> |
| Substance misuse and its effects are reduced                             | <input type="checkbox"/>            |
| Health is improving and health inequalities are reducing                 | <input checked="" type="checkbox"/> |
| The environment is protected and enhanced for all                        | <input checked="" type="checkbox"/> |
| The Council is effective, efficient and recognised for excellence        | <input type="checkbox"/>            |

(2) **Council Policies** (Please detail)

**12.0 Equalities Impact**

12.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations? Yes  
 No

**13.0 Legality**

13.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

**14.0 Appendices**

14.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

Appendix 1 - List of Properties requiring Door Entry Systems

**15.0 Background Papers**

15.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)  
Yes  (please list the documents below) No

**Author(s)**

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Kenny Hutton	Service Manager	Ext 2472

**Approved by**

NAME	DESIGNATION	SIGNATURE
Ahsan Khan	Head of Housing & Community Safety	Signed: A Khan
Garry Dallas	Executive Director	Signed: G Dallas



Appendix 1		Council Majority	TOWN	FLATS	COUNCIL	PRIVATE	TENDER COST	TOTAL OWNER COST	individual owner cost
1	20A-20C	FORBES STREET	ALLOA	3	2	1	£7,774	£2,591	£2,591
2	57-59	MCKINLAY CRESCENT	ALLOA	2	2	0	£8,011		
3	29-32	COBLECROOK GARDENS	ALVA	4	3	1	£6,920	£1,730	£1,730
4	15-18	COBLECROOK GARDENS	ALVA	4	3	1	£7,068	£1,767	£1,767
5	41-44	COBLECROOK GARDENS	ALVA	4	3	1	£6,920	£1,730	£1,730
6	37-39	ERSKINE STREET	ALVA	2	2	0	£3,975	£0	
7	1 to 7	THE NEBIT	ALVA	4	3	1	£5,658	£1,415	£1,415
8	11 to 17	GARDEN PLACE	CLACKMANNAN	4	3	1	£7,231	£1,808	£1,808
9	5-5B	CAIRNTON PLACE	TILlicOUNTRY	3	2	1	£3,975	£1,325	
10	18-28	CHAPELLE CRESCENT	TILlicOUNTRY	6	5	1	£6,821	£1,137	£1,137
11	38-48	CHAPELLE CRESCENT	TILlicOUNTRY	6	4	2	£8,381	£2,794	£1,397
12	75-97	CHAPELLE CRESCENT	TILlicOUNTRY	12	9	3	£7,018	£1,755	£702
13	36-42	HAREBURN ROAD	TILlicOUNTRY	4	3	1	£8,451	£2,113	£2,113
14	35-51	HIGH STREET	TILlicOUNTRY	9	5	4	£9,665	£4,296	£1,074
15	6-22	PARK STREET	TILlicOUNTRY	9	5	4	£8,655	£3,847	£962
16	7-17	PRIMROSE PLACE	TILlicOUNTRY	6	5	1	£8,047	£1,341	£1,341
17	2-8B	RAMSAY TERRACE	TILlicOUNTRY	12	9	3	£6,906	£1,727	£576
18	25-35	MAIN STREET	TULLIBODY	6	4	2	£5,520	£1,840	£920
19	69-75	MAIN STREET	TULLIBODY	4	3	1	£6,213	£1,553	£1,553
<b>Council Minority</b>									
20	16A-16D	FORBES STREET	ALLOA	4	1	3	£6,332	£4,749	£1,583
21	18A-18D	FORBES STREET	ALLOA	4	1	3	£6,332	£4,749	£1,583
22	22A-22D	FORBES STREET	ALLOA	4	1	3	£6,332	£4,749	£1,583
23	24A-24D	FORBES STREET	ALLOA	4	1	3	£7,892	£5,919	£1,973
24	2,4	OCHIL STREET	ALLOA	2	1	1	£4,658	£2,329	£2,329
25	3-5A	OCHIL STREET	ALLOA	4	1	3	£8,449	£6,337	£2,112
26	21 - 24	COBLECROOK GARDENS	ALVA	4	1	3	£7,068	£5,301	£1,767
27	19 - 23	DUKE STREET	ALVA	4	1	3	£6,920	£5,190	£1,730
28	8-14	MANORHOUSE ROAD	DOLLAR	4	1	3	£6,818	£5,114	£1,705
29	12 to 18	STATION ROAD	DOLLAR	4	1	3	£8,603	£6,452	£2,151
30	10,16	WALTON CRESCENT	DOLLAR	4	1	3	£7,988	£5,991	£1,997
31	50-60	CHAPELLE CRESCENT	TILlicOUNTRY	6	2	4	£7,617	£5,078	£1,270
32	51-73	CHAPELLE CRESCENT	TILlicOUNTRY	12	4	8	£8,418	£6,314	£702
<b>Even Split</b>									
33	20-22	ARGYLL PLACE	ALLOA	2	1	1	£6,386	£3,193	£3,193
34	1 - 7	LAMBERT TERRACE	ALLOA	4	2	2	£3,887	£1,944	£972
35	3-3A	NORTH STREET	ALLOA	2	1	1	£5,473	£2,737	£2,737
36	2,4	OCHIL STREET	ALLOA	2	1	1	£4,658	£2,329	£2,329
37	31-33	WHINS ROAD	ALLOA	2	1	1	£6,677	£3,339	£3,339
38	7 to 10	COBLECROOK GARDENS	ALVA	4	2	2	£7,068	£3,534	£1,767
39	97-99	EAST STIRLING STREET	ALVA	2	1	1	£3,828	£1,914	£1,914
40	101 - 107	EAST STIRLING STREET	ALVA	4	2	2	£4,418	£2,209	£1,105
41	79A-79B	QUEEN STREET	ALVA	2	1	1	£4,208	£2,104	£2,104
42	79C-79D	QUEEN STREET	ALVA	2	1	1	£3,760	£1,880	£1,880
43	39-45	CASTLE STREET	CLACKMANNAN	4	2	2	£7,231	£3,616	£1,808
44	16-22	NORTH STREET	CLACKMANNAN	4	2	2	£8,311	£4,156	£2,078
45	20,22	MENABB STREET	DOLLAR	2	1	1	£7,157	£3,579	£3,579
46	17,23	WALTON CRESCENT	DOLLAR	4	2	2	£7,988	£3,994	£1,997
47	117-127	CHAPELLE CRESCENT	TILlicOUNTRY	6	3	3	£6,057	£3,029	£1,010
48	6-16	CHAPELLE CRESCENT	TILlicOUNTRY	6	3	3	£6,809	£3,405	£1,135
49	62-72	CHAPELLE CRESCENT	TILlicOUNTRY	6	3	3	£8,381	£4,191	£1,397
50	44-50	HAREBURN ROAD	TILlicOUNTRY	4	2	2	£7,461	£3,731	£1,865
51	37-43	MAIN STREET	TULLIBODY	4	2	2	£5,269	£2,635	£1,317
52	13-19	MANOR CRESCENT	TULLIBODY	4	2	2	£8,141	£4,071	£2,035
53	29-35	MANOR CRESCENT	TULLIBODY	4	2	2	£8,141	£4,071	£2,035
TOTALS				238	129	109	£357,945	£168,692	£86,891





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**Report to:**                    **Housing, Health & Care Committee**

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**Date of Meeting:**    **21st August 2014**

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**Subject:**                    **Strategy and Regeneration Update**

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**Report by:**                **Head of Housing & Community Safety**

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## **1.0 Purpose**

- 1.1. The Housing Strategy and Regeneration Report of 20th March 2014 provided an update on the housing supply programme. The purpose of this report is to present Committee with an update and to inform the process for agreeing the Strategic Housing Investment Plan 2015/20 for Clackmannanshire.

## **2.0 Recommendations**

- 2.1. Members are asked to APPROVE:-
- 2.1.1. the sale of the garage site at Redwell Place, Alloa to Kingdom HA at a value agreed in consultation with the District Valuers Service.
- 2.1.2. the demolition (and associated costs) of 21-39 The Orchard, in preparation for replacement housing of up to 12 new cottage-type units.
- 2.1.3. working with the developer of the Sauchie West site to provide around 60 affordable housing units to facilitate the wider development of this site in accordance with the section 75 agreement.

## **3.0 Background**

- 3.1. Members should note that the Council is required to submit a SHIP by 28th November 2014 to cover the period 2015/16 - 2019/20.
- 3.2. Following submission of the SHIP a Strategic Local Programme (SLP) is then required by the end of March 2015. The SLP sets the programme of housing projects that will be funded over the next 3 years. Once agreed this will form the basis of individual housing association and local authority programme agreements.
- 3.3. The Scottish Government advised local authorities of their Resource Planning Assumptions (RPA) for the period 2015/16 to 2018/19 in October 2013. This is used as the basis for this Development Update and will be the basis of the forthcoming SHIP. Local authorities are encouraged to "over-programme" by up to 20% from 2015/16 to accommodate slippage or budget change.

- 3.4. The RPA for Clackmannanshire at present is £9.144m including this financial year. The spend identified against projects at this time is £10,756m, which remains within the 20% tolerance recommended by guidance, as identified in Table 1;

Table 1

Affordable Housing Supply Budget RPA		
Year	Budget	Planned Spend
2014/15	£2,818,000	£2,952,000
2015/16	£2,199,000	£2,292,000
2016/17	£1,799,000	£2,600,000
2017/18	£1,379,000	£1,992,000
2018/19	£919,000	£920,000
Total	£9,114,000	£10,756,000

- 3.5. The Council has a commitment to finance a range of projects within the overall programme and the HRA Business plan shows a budget potential on new build within its capital programme of £6.693m. This includes an assumed budget spend for 2013/15 of £3.588m.
- 3.6. The Council is currently working with Kingdom Housing Association to develop a clear programme of activity to establish their presence in Clackmannanshire. The indicative programme includes a housing association private finance contribution of £11,310m, of which £6,373m relates to Kingdom HA over 5 years.

#### **4.0 Housing Supply programme - On site / approved.**

- 4.1. As shown in Appendix 1, in addition to projects already approved or on site, the projects agreed for the financial year 2014/15 contain a unit output of 62 new homes. It is expected that these projects will enable the Council and its partner Kingdom Housing Association to meet the £2.8m grant spend target.

##### Hallpark, Sauchie.

- 4.2. At the time of writing, the 25 units were due for practical completion and handover. The building is to be let in phases to ensure any teething problems with the facility are manageable.

##### The Glen, Coalsnaughton - Coalsnaughton NHT 2012 LLP

- 4.3. The Mid Market Rent project with Hadden Construction through the Coalsnaughton NHT 2012 Limited Liability Partnership (LLP) is nearing completion. The first phase of 16 units has now been fully allocated and signed up and the final phase of 12 units, which are under offer, will be completed and let between 29th August and the 26th of September.

- 4.4. The Council has provided finance to the Coalsnaughton NHT 2012 LLP in the form of a loan. Interest costs are met by the LLP from its rental income and capital is recovered fully when the properties are sold between 5 and 10 years. This loan is secured against the individual units and is further backed by means of a Guarantee from the Scottish Government. In the event of any shortfall or default the Council can draw full repayment from the sale of the units and the Scottish Government
- 4.5. Members should note that the final project account was £86,352 (3%) over the expected cost of £2,889,600 as reported to Council in August 2012. On 8th April 2014, Scottish Ministers gave consent for the Council to borrow the increased amount required to lend to Coalsnaughton NHT 2012 LLP, up to a maximum value of £2,975,952. All other conditions of the consent remain the same.

#### 'Off the Shelf' Acquisitions

- 4.6. As reported to Committee in March 2014, the Council successfully acquired 20 "off the shelf" properties for the HRA in 2013/14. For 2014/15 the target is 15 units, and one property has been acquired to date. A range of properties have been discussed with local estate agents and it is expected that the unit target will be met.

#### Tillicoultry Library

- 4.7. In June 2011 the Council agreed to redevelop the existing Library/CAP in Tillicoultry as '3 social houses for rent'. These works were funded by the General Fund, but the properties will transfer to the HRA. The works are now complete, some months over the original expected handover date. The properties have now been let and the new residents are arranging to move in.

#### Fairfield, Sauchie.

- 4.8. A site start for the Council's next phase of new build at the former Fairfield school site is expected in October 2014. The site will deliver 19 new affordable rented homes by September 2015.

#### Former School Site, Alva

- 4.9. Link Housing Association is finalising arrangements for the development of 48 affordable rented units on the site of the former Alva school, with the developer (Tigh Grian Limited) and the Scottish Government. The project has been significantly delayed whilst negotiations take place between the parties regarding financial risks. The Council is not a direct party to these negotiations, and remains ready to transfer the site when the parties have reached agreement.
- 4.10. The project will deliver homes for both Link and Paragon Housing Association. The 'Greener Homes Initiative' development is benefiting from £2.879m funding from the Scottish Government.

#### Kingdom Housing Association New Build

- 4.11. In accordance with the Council decision, part of the former Tullis site, Tullibody, was sold to Kingdom HA in March 2014. Kingdom has completed

its consultation with local residents and the planning process is underway. It is hoped that a site start can be achieved in November 2014 for completion of the 27 affordable rented homes by October 2015.

- 4.12. In addition to the above, an additional unit is proposed for a family in urgent need of a fully accessible wheelchair property. Major adaptations to their current council-owned property was not considered a viable proposition, and a new build is considered the best solution to meet the family's needs. Kingdom HA has agreed to build the property and the Scottish Government will provide grant support.
- 4.13. A garage site in Council ownership held on the Housing Revenue Account (HRA) at Redwell Place Alloa (see appendix 2) was identified as a suitable location for this new build, meeting the family's needs and making better use of this land. Their existing property will then be available for re-let as mainstream accommodation. This is a highly unusual case, and is not intended to establish a precedent.
- 4.14. The Committee is therefore asked to approve the transfer of the garage site at Redwell Place Alloa to Kingdom HA at a value to be agreed with the District Valuer.
- 4.15. The leases of the 5 garage pitches currently located on the site will be terminated. If possible alternative locations may be offered to the site occupiers.

## **5.0 Future Housing Supply programme.**

- 5.1. The overall potential capacity for the 5 years programme to 2019 shows a total unit output of 224 homes funded from the Affordable Housing Supply Programme (AHSP). These projects are discussed below.

### Pension Fund Investment

- 5.2. The Falkirk Pension Trust has decided to invest £15m in the Housing Fund for Scotland. Castle Rock Edinvar Housing Association has been selected by the Fund as its preferred housing association partner. Early discussions propose that the funding will deliver 203 homes across Forth Valley at 80% benchmark grant support rate. The pro-rata Clackmannanshire share has not been formally agreed but is likely to be 30/40 units. This programme when agreed is part of the SLP and should complete by 2017/18. Committee is asked to note progress and approve inclusion of the development in the affordable housing programme. It should be noted that whilst the private finance comes from the pension scheme, the grant contribution will come from the existing Scottish Government's Resource Programme Agreement for Clackmannanshire and is not additional to that.

### Planning Gain Sites - Sauchie West

- 5.3. The forward programme contains five sites in private ownership with planning obligations under section 75 of the Town & Country Planning Act 1997. The first opportunity is at the Sauchie West site which was the subject of a planning submission in November 2013 from Allan Water Developments for the development of around 800 units. Development of this site requires the

developer to provide a new Primary School, with a Scottish Futures Trust contribution required by 2017.

- 5.4. To support this corporate objective and facilitate site development it is proposed to commit one Kingdom Housing Association development of around 30 units, and the Castle Rock pension fund supported project discussed at 5.2 above, also of around 30 units. This would mean around one quarter of the 224 units planned in the 5 years Affordable Housing Supply Programme being committed to this site. Members are asked to confirm this approach is acceptable.

#### Alva Glen Hotel: Town Centre Housing Fund

- 5.5. The property is subject to a compulsory purchase order (CPO) currently with the Scottish Government. The Report of the Hearing was submitted to Ministers on 1st July 2014. The target time for the decision is two months from that date.

#### Primrose Street, Alloa

- 5.6. The site in Alloa town centre at Primrose Street is owned by the Alloa Development Co Ltd with Planning Permission for 39 residential and 4 commercial units. Development of this prominent brownfield site will contribute to town centre regeneration and meet housing needs. The site may be suitable for both social rented housing and mid market rent housing, possibly developed in two phases. Kingdom Housing Association has been asked to consider if the site can be included in its programme, and is negotiating the acquisition directly with the site owners.

#### Tillicoultry Community Centre

- 5.7. The Former Tillicoultry Community Centre has been demolished and a site investigation is underway. The development feasibility study will consider whether it is worthwhile extending the area for development to include the neighbouring council owned garage sites. The preferred option at this stage would be for a mix of special needs housing, but this is subject to a more detailed demand assessment.

#### The Orchard

- 5.8. As discussed at the March committee meeting, the project at 29-41 The Orchard Tullibody was delayed due to design issues relating to compliance with sound transmission requirements and, in view of this delay, it was intended to reconsider the project appraisal.
- 5.9. As an alternative to refurbishment, a cleared site is estimated to have capacity for around 12 cottage flats similar to those recently developed by the Council adjacent at The Maltings. These have proved very popular with local people. It is proposed therefore that the block at 21- 39 The Orchard be demolished and considered as a Council new build opportunity. As new build the site would have the additional benefit of attracting £552,000 in Government grant if developed for social rented housing and will better compliment regeneration activity. It is also felt that such investment would better complement the proposed Making Clackmannanshire Better initiatives in Tullibody.

Demolitions costs have been estimated to be in the region of £115K and are included in the capital plan.

- 5.10. Members are asked to approve immediate demolition, with associated costs, of the block 21-39 The Orchard, for future redevelopment, currently proposed for next financial year.

#### Mid Market Rent

- 5.11. As well as the standard grant supported social rented homes provided by the local authority or one of its RSL partners, mid-market rented properties can meet the needs of a different proportion of those looking for new housing. This can be seen at Coalsnaughton where the "National Housing Trust" model has proved popular. Mid-market rented housing can achieve a better outcome in providing more units for the financial support offered as well as providing the tenure diversification that can be beneficial for some communities. It is intended to explore the various options available to see if mid-market rent should be recommended for inclusion on any of the sites proposed in the AHSP.

### **6.0 Sustainability Implications**

- 6.1. The supply of new energy efficient affordable housing will assist the Council's commitment to reduce carbon emissions. Every attempt will be made to negotiate enhanced home energy standards with developers and partners. The Government grant rate for greener homes is £4,000 higher per unit for Council's and RSL's as an incentive. The Council, where feasible, will also investigate renewable technologies in the developments it supports.

### **7.0 Resource Implications**

- 7.1. This report confirms that at present the resources committed set out in full for the period 2014/19 at Appendix 1 are;

Affordable Housing Supply Grant	£9.114m
HRA capital	£6.693m*
GF capital	£0.897m
Housing Association private finance	£11.310m
Greener Homes Initiative	£2.268m
Town Centre Housing fund	£0.782m
Total	£30.572

\*HRA Budget figures for 2018/19 not projected at this point.

- 7.2. The shadow programme is set out as part of Appendix 1 and demonstrates a pipeline of potential replacement of 11 additional sites with a gross value of over £30m. It is these sites which will provide an initial replacement option to the programme.

- 7.3. The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate.

Yes

7.4. Finance have been consulted and have agreed the financial implications as set out in the report. Yes

## 8.0 Exempt Reports

8.1. Is this report exempt? Yes  (please detail the reasons for exemption below) No

## 9.0 Declarations

**The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.**

(1) **Our Priorities** (Please double click on the check box )

The area has a positive image and attracts people and businesses

Our communities are more cohesive and inclusive

People are better skilled, trained and ready for learning and employment

Our communities are safer

Vulnerable people and families are supported

Substance misuse and its effects are reduced

Health is improving and health inequalities are reducing

The environment is protected and enhanced for all

The Council is effective, efficient and recognised for excellence

(2) **Council Policies** (Please detail)

## 10.0 Equalities Impact

10.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

Yes  No

## 11.0 Legality

11.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

## 12.0 Appendices

12.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

Appendix 1 - Development Programme

Appendix 2 - plan of Redwell Place, Alloa Garage Site.

### 13.0 Background Papers

13.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

Yes  (please list the documents below) No

#### Clackmannanshire Housing Strategy 2013 - 18

##### Author(s)

NAME	DESIGNATION	TEL NO / EXTENSION
Kenny Hutton	Service Manager	452 472
Ahsan Khan	Head of Service	452 473

##### Approved by

NAME	DESIGNATION	SIGNATURE
Ahsan Khan	Head of Housing & Community Safety	Signed: A Khan
Garry Dallas	Executive Director	Signed: G Dallas



**appendix 1**

2014/15	Project	Developer	Sub area	Rented Units	General Needs	Particular Needs	LCHO/mid rent Units	Unit size	Total Units	AHSB	Private Finance	HRA	other capital	Total Cost	Site Acquisition	Site Start Date	Practical Completion Date	
<b>Sites to Progress</b>																		
2014/15	Fairfield School	Council	Sauchie	19	19	0	0	1,2,3 bed flats & houses	19	£874,000	£0	£1,286,000	£0	£2,160,000	complete	Oct-14	Sep-15	
2014/15	Delph Road	Kingdom HA	Tullibody	27	20	7	0	1,2 bed flat, 2,3 bed house	27	£1,566,000	£1,450,000	£0	£0	£3,016,000	complete	Nov-14	Oct-15	
2014/15	Redwell Pl	Kingdom HA	Alloa	1	0	1	0	3 bed specialist	1	£62,000	£88,000	£0	land	£150,000	Oct-14	Jan-15	Aug-15	
2014/15	Off the Shelf	Council	Clacks	15	15	0	0	1,3 bed flat/houses	15	£450,000	£0	£975,000	£0	£1,425,000	n/a	Apr-14	Mar-15	
AHSP 2013/15									<b>62</b>	<b>£2,952,000</b>	<b>£1,538,000</b>	<b>£2,261,000</b>	<b>£0</b>	<b>£6,751,000</b>				
												<b>GF Capital</b>						
2013/15	Pine Grove	Council	Alloa	20	10	10	0		20	£0	£0				on site		Sep-14	
2014/15	Alva School	Tigh Grian/Link HA	Alva	48	46	2	0	1,2 bed flats/houses	48	£0	£2,879,000	£0	£2,268,000	£5,147,000	Delayed	Delayed	Oct-15	
2014/15	Alva Glen Hotel	Council	Alva	17	0	17	0	1,2 bed flats	17	£0	£0	£897,000	£782,000	£1,679,017	CPO	Mar-15	Aug-15	
Local Programme 2013/15									<b>85</b>	<b>£0</b>	<b>£2,879,000</b>	<b>£897,000</b>	<b>£3,050,000</b>	<b>£6,826,017</b>				
Total programme 2013/15									<b>147</b>	<b>£2,952,000</b>	<b>£4,417,000</b>	<b>£3,158,000</b>	<b>£3,050,000</b>	<b>£13,577,017</b>				

appendix 1

2015/19	Project	Developer	Sub area	Rented Units	General Needs	Particular Needs	LCHO/mid rent Units	Unit size	Total Units	AHSB	Private Finance	HRA	other capital	Total Cost	Site Acquisition	Site Start Date	Practical Completion Date
<b>Sites to Progress</b>																	
2015/16	Parkhead	Kingdom HA	Sauchie West	30	20	10	0	1,2,3 bed flats/houses	30	£1,740,000	£1,710,000	£0	£0	£3,450,000	Apr-15	Jan-16	Dec-16
2015/16	The Orchard	Council	Tullibody	12	12	0	0	1, 2 bed flats	12	£552,000	£0	£828,000	£0	£1,380,000	tbc	tbc	tbc
2016/17	Tillicoultry Community Centre	Council	Tillicoultry	25	0	25	0	1, 2 bed specialist	25	£1,150,000	£0	£1,725,000	£0	£2,875,000	Jun-15	Mar-16	Mar-17
2016/17	Primrose St	Kingdom HA	Alloa	25	25	0	*tbc	1,2 bed flats	25	£1,450,000	£1,425,000	£0	£0	£2,875,000	Sep-16	Jul-17	Jun-18
2017/18	Primrose St 2	Kingdom HA	Alloa	20	0	0	20	1, 2 bed flats	20	£600,000	£1,700,000	£0	£0	£2,300,000	tbc	tbc	tbc
2017/18	Parkhead	CastleRock HA	Sauchie West	30	20	0	10	1,2,3 bed flats	30	£1,392,000	£2,058,000	£0	£0	£3,450,000	tbc	tbc	tbc
2018/19	Lock up sites	Council	Various	20	10	10			20	£920,000		£1,380,000					
AHSP 2015/18									<b>162</b>	<b>£7,804,000</b>	<b>£6,893,000</b>	<b>£3,933,000</b>	<b>£0</b>	<b>£16,330,000</b>			

**AHSB RPA**

2014/15	£2,818,000
2015/16	£2,199,000
2016/17	£1,799,000
2017/18	£1,379,000
2018/19	£919,000

**Spend Cumulative**

£2,952,000	-£134,000
£2,292,000	-£227,000
£2,600,000	-£1,028,000
£1,992,000	-£1,641,000
£920,000	-£1,642,000

**HRA 2013/15**

£2,261,000	
<b>HRA 2015/18</b>	£3,933,000
<b>Total HRA</b>	£6,194,000
GF 2014/15	£897,000
<b>RSL</b>	£11,310,000

Per unit

RSL social	£58,000
RSL greener	£62,000
Council	£46,000
Council greener	£50,000

**HRA Budget**

2013/15	£2,261,000
2015/16	£1,350,000
2016/17	£1,280,000
2017/18	£1,280,000
	£6,171,000

**RPA 15/19 £9,114,000**

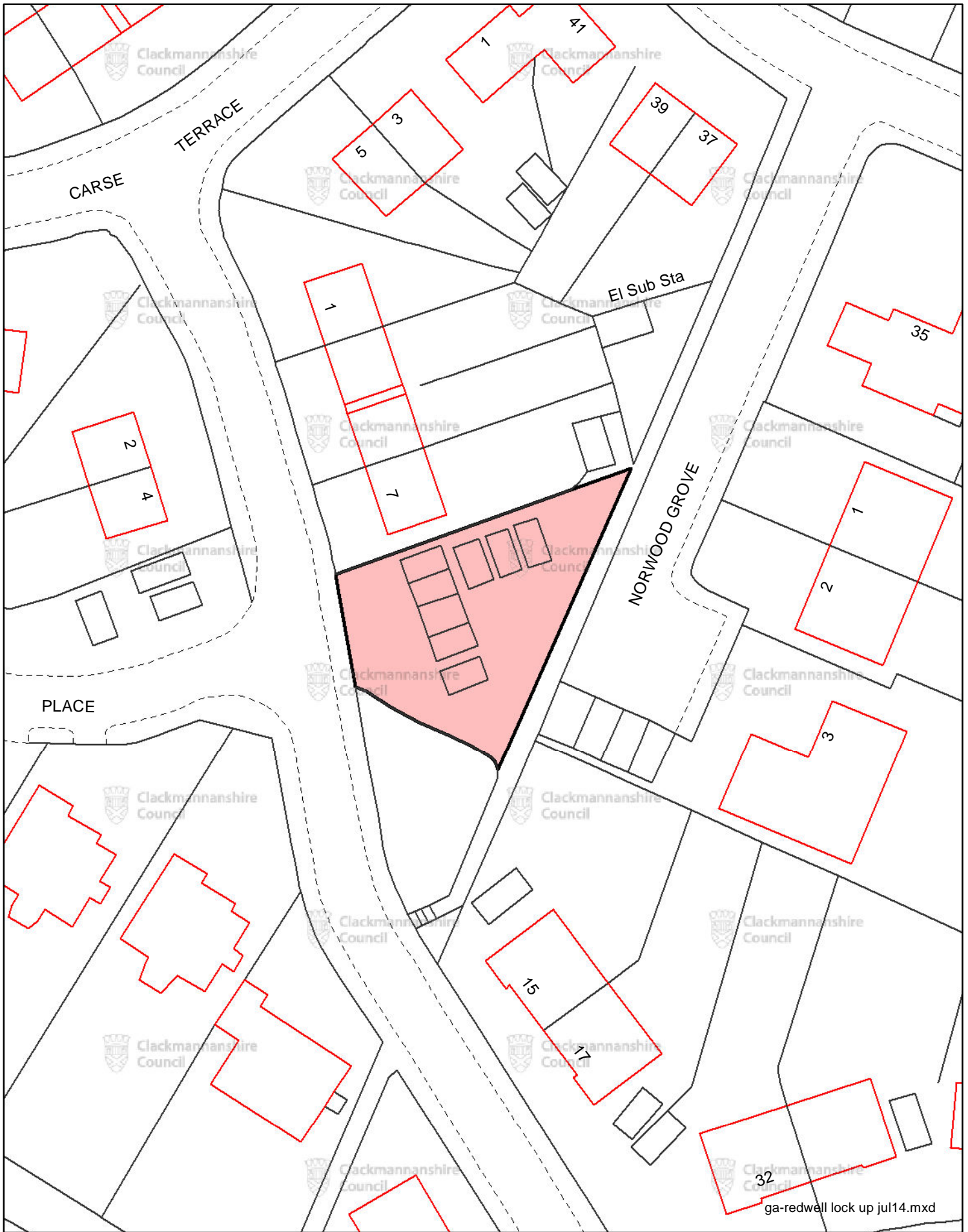
**Spend 15/19 £10,756,000 Net Budget 15/19 -£1,642,000**

Additional Programme opportunities

**appendix 1**

2014/18 SHIP	Project	Developer	Sub area	Rented Units	General Needs	Particular Needs	LCHO/mid rent Units	Unit size	Total Units	AHSB	Private Finance	HRA	other capital	Total Cost	Site Start Date
	2017 Forrestmill 1	Private	Rural	30	20	10			30	£1,740,000	£1,710,000			£3,450,000	2017/18
	2018 Forrestmill 2	Private	Rural	30			30		30	£900,000	£2,550,000			£3,450,000	2018/19
	2017 Todds Yard 2	Ochil View HA	Sauchie	14	10	4			14	£812,000	£798,000			£1,610,000	2017/18
	2018 Elm Grove	Ochil View HA	Alloa	40		10	30		40	£1,480,000	£3,120,000			£4,600,000	2018/19
	2016 Coalsnaughton North	Private	Coalsnaughton	30	15	5	10		30	£1,320,000	£2,130,000			£3,450,000	
	2017 Branshill Road	Private	Sauchie	10	10				10	£460,000		£690,000		£1,150,000	2017/18
	2016 Lower Mill Street	Private	Tillicoultry	18			18		18	£540,000	£1,530,000			£2,070,000	2016/17
	2016 The Glen Phase 3	Private	Coalsnaughton	25			25		25				£2,875,000	£2,875,000	2016/17
	2017 The Shore	Private	Alloa	20			20		20	£600,000	£1,700,000			£2,300,000	
	2018 Earlsfield West	Private	Alloa	30			30		30	£900,000	£2,550,000			£3,450,000	
2015/18	HRA lock ups	Council	Various	20	15	5			20	£920,000		£1,380,000		£2,300,000	
									<b>267</b>	<b>£9,672,000</b>	<b>£16,088,000</b>	<b>£2,070,000</b>	<b>£2,875,000</b>	<b>£30,705,000</b>	





ga-redwell lock up jul14.mxd

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**Council Garage Site**  
**Redwell Place**  
**Alloa**  
**FK10 2BT**

Site Area = 463 sqm or 0.11 acres

**Clackmannanshire Council**  
[www.clacksweb.org.uk](http://www.clacksweb.org.uk)  
 Services to Communities  
 Kinlraigs  
 Greenside Street  
 Alloa  
 FK10 1EB  
 Tel: 01259 450 000 Fax: 01259 727 452  
[propertyservices@clacks.gov.uk](mailto:propertyservices@clacks.gov.uk)



**CLACKMANNANSHIRE COUNCIL**

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**Report to:           Housing, Health and Care Committee**

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**Date of Meeting: 21 August 2014**

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**Subject:             Social Services Performance Report**

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**Report by:         Assistant Head of Service, Strategy and  
Performance**

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**1.0 Purpose**

- 1.1 The purpose of this report is to update Committee on Social Services' performance for Quarter 1 of 2014-2015.
- 1.2 This report incorporates financial performance data alongside reports against agreed priorities and target measures for the Service. The narrative provides detail about the performance information in the context of service developments over the course of the first quarter of 2014-2015.

**2.0 Recommendations**

- 2.1 It is recommended that the Housing, Health and Care Committee note this report and provide comment and challenge as appropriate.
- 2.2 It is recommended that the Housing, Health and Care Committee note the financial projections and the actions that are being taken and are proposed to address the financial challenges.

**3.0 Considerations**

- 3.1 This report to the Housing, Health and Care Committee provides an update on agreed target measures and priority actions as set out in the Social Services Business Plan. The financial performance information includes actual spend and the projected position at the end of the first quarter of 2014-2015.
- 3.2 This report provides more service specific detail than the overall Council budgetary position that is reported to Resources and Audit Committee. Outturn positions included in this report are based on rigorous reviews of service spending activity by accountants and service managers. Specific actions that the Service are taking to address the budgetary pressures are included.
- 3.3 Performance information is recorded on covalent and verified by Service Managers and Assistant Heads of Service. This recording mechanism enables members to identify and scrutinise trends in performance against agreed targets. Strengths and areas for improvement are highlighted in the commentary. Specific improvement measures taken forward by the Service are included in the narrative section of the report.

## **Considerations**

### **Partnership, Strategy and Performance**

- 3.4 Clackmannanshire Council agreed in June 2014 to progress with the Body Corporate model as the preferred governance arrangement for implementation of the Public Bodies (Joint Working) (Scotland) Act 2014. Planning for the integration scheme has commenced and a draft scheme will be presented for Council's consideration in October 2014. Work streams are established to inform the production of the integration scheme.
- 3.5 Developing joint commissioning strategies for all adult care groups, focusing on the way need will be met, and outcomes and standards improved, is a core element of the delivery of the Government's policy objectives for integration. There is a requirement for each partnership, in collaboration with the third and independent sector, to produce strategies for all adult care groups by April 2016. This will require leadership and commitment from all four sectors. The Joint Improvement Team are currently providing input to the managers and key officers from across the partnership, to ensure that the key elements are in place to support the development and delivery of effective joint commissioning strategies in line with statutory requirements.
- 3.6 Eight Staff Engagement events took place across Social Services in June and July, 401 staff from all areas of the Service were in attendance. Updated information was provided by Senior Managers about the findings from the Joint Inspection of Children's Services, developments across Shared Services, Self-directed Support and Health and Social Care integration. Staff were encouraged to provide feedback and share their views. This will be collated with key themes and agreed actions will be embedded in Service plans.
- 3.7 The Strategy Service oversees case file audits across all service user groupings to quality assure case management, recording and review activity. It is a requirement that these are carried out by both Team Managers and Service Managers with supervisory responsibilities. The findings from these audits are presented at the Performance Forum and required improvement actions overseen. There is evidence that the percentage of cases with both regular review and supervision of care and support arrangements is increasing, but this continues to be below target, with further work to be done.
- 3.8 Attendance management continues to be a priority for the Service and is being addressed on a number of levels. Monthly meetings are held with Human Resources, training is available corporately and focus is being placed on both short and long term absence. Rates of absence are consistently above the corporate target. Current priorities are to challenge some of the issues associated with repeated pattern of absence, where there is no underlying health problem. The service recognises that the return to work interview following a period of absence is crucial in managing absence levels. This activity is now being given a high priority at both service manager and team manager levels. The Service also recognise the link between attendance and staff morale. There is a requirement for meaningful staff engagement at all levels and across all service areas. This is embedded in all service plans.

### **Childcare Services**



- 3.9 The Childcare Service are making good progress with planning the implementation of the Children and Young People (Scotland) Act. The Services have agreed key actions to support the implementation of staged models of intervention in partnership with all other key agencies and children and their families. This places a focus on prevention, family support and ensuring that children and families receive appropriate support at an early stage. There has been substantial training to support the use of the Integrated Assessment Framework across all services. Together with Education, the Service are developing a screening and referral pathway for use by frontline staff. Good progress has been made in the first quarter of 2014-2015 in communicating these priorities to partners and agreeing a programme of work to support this.
- 3.10 Following the Integrated Children's Inspection a multi agency action plan is being developed to address the actions over the next year. Three multi agency meetings have taken place to develop the plan. A final draft plan has been evaluated at the end of July and circulated to all agencies for sign off. Social Services are in the process of finalising a single agency action plan to support the multi agency plan. The multi agency plan will be monitored through a newly developed Children's Services Strategic Partnership Group. This is a senior officers group co chaired by the Heads of Service for Education and Social Work. Agencies will be held to account individually and collectively through this forum with updates of progress throughout the year. Political oversight will also be in place to review progress on delivery, through Council, the Service Committee and the Resources and Audit Committee.
- 3.11 Workshops to progress the implementation of a single case management system for children's services have fully engaged a range of front-line staff in agreeing roles, responsibilities, standards and processes across key areas. This will be used to develop revised practice guidance and procedures for children's services in line with legislative requirements, improved work will be required with partner agencies and other stakeholders to clarify and agree where there are joint responsibilities.
- 3.12 The percentage of reports submitted to the Children's Reporter within target timescales continues to be above target percentage and the national standard. The percentage of core groups that have taken place in respect of children on the Child Protection register continues to improve. There has been a decrease in the percentage of children recorded as having been seen by the supervising officer within 15 working days of the Children's Hearing for this quarter. This was a relatively small number of children and related to one individual worker where contingency arrangements were not in place. This has now been addressed and is being monitored.
- 3.13 A joint strategy and three year action plan is now in place for Corporate Parenting across Clackmannanshire and Stirling Council areas. A joint steering group will monitor implementation. There is evidence of action to ensure that pathway plans are in place for all care leavers in accordance with their needs.

### **Adult Services**

- 3.14 Adult Services continue to perform well with the percentage of older people with intensive care needs receiving support at home rather than in an institutional setting. The Service has consistently exceeded the national standard of 30% and the local target of 35%. The ongoing development of intermediate care assessment services will support this, enabling more older people to be supported to remain in their own homes, wherever possible.
- 3.15 The Service continued to report zero delayed discharges from hospital throughout this quarter. This is a significant achievement, taking into account the increased

pressures on the Service in this area. The Service continues, in partnership with NHS Forth Valley, to build on the availability of short term assessment options for older people at risk of hospital admission as well as those who are being discharged from hospital, to address some of these challenges.

- 3.16 The adult care redesign work will support an increased focus on prevention in partnership with primary care, other Council services and third sector support services. The review of all commissioned services is designed to identify and promote those services and supports that are most effective in meeting agreed outcomes and service priorities. Information has been collated about the wide range of services, activities and supports in local communities and will be made accessible to ensure that individuals are able to access informal support options where appropriate.
- 3.17 Implementation of the above work will be supported by engagement with locality based staff across the partnership including links with primary care services. This will be taken forward alongside the implementation, if agreed by Committee, of the proposed, revised eligibility framework for non-residential social services to ensure fair and equitable access to services for those who do require to access formal support or care services.

### **Financial Position**

- 3.18 The service is projecting a Revenue budget overspend of £1,647K and a balanced Capital budget.
- 3.19 There is a staffing overspend showing for the Strategy Service. This is due to transfer of staffing from Adult Assessment and Care Management. The budget lines require to be adjusted to ensure accurate reporting of expenditure in each service area.

### **Adult Care**

- 3.20 The population projections based for Clackmannanshire on the GRO national records of Scotland 2010 indicate a steep rise in the number of older people for the period 2010-2035 . In Clackmannanshire this equates to a 95% increase in the 65-74 age group and 210% increase in the over 85 population.
- 3.21 Since April 2012 there has been a 37.47% increase in care at home hours, this equates to an increase from 7,094 of care at hours being provided per week in March 2012 to 9,752 hours per week in July 2014. Conversely the number of care home placements during that same period has remained fairly static with only a 5.54% increase in the total number of placements being 262 in March 2012 rising to 276 in July 2014. The service is also delivering a number of care packages which are significantly above the cost of a care placement. As part of the budget recovery plan we propose to manage this cost in the future through the introduction of the reviewing of eligibility criteria based on targeting resources for substantial and critical risk.
- 3.23 The main area of overspend relates to care management and assessment and the provision of care at home services. Adult Assessment & Care Management is showing an overspend of £860K. This is an increase on last years outturn overspend of £707K. Taking into consideration the £525K worth of savings to be made this year it shows a downward trend in expenditure of £372K on last year. A budget recovery plan is in place to reduce spend further to come in line with budget. The plan focuses on a review of high cost care packages the implementation of eligibility criteria and a review of commissioning arrangements. (See table 2).

- 3.24 A more detailed budget recovery plan has been developed by Adult Care and Finance. This is monitored on a weekly basis by the Assistant Head of Service through a resource panel and a budget monitoring meeting.
- 3.25 The main factor contributing to the increase in care at home hours is the rise in cases where there are issues of co-morbidity leading to complex health and social care needs in particular dementia and long term conditions with an anticipated rise in prevalence of 9% between 2013-16 and an increase of 113% in dementia by 2035.
- 3.26 To manage this level of demand the service proposes to introduce eligibility criteria. The starting position will mean that all new referrals to social services will be assessed under an eligibility framework for adult social work services based on risk. This process is based on the principles of transparency and equity. Staff and the public will be clear about how their support is assessed and how resources are allocated to meet agreed outcomes. Eligibility will be linked to managing levels of risk. In recognition of the level of resources available to the Council a ceiling for the level of resources available will be set at the same level as the national care home rate where applicable. This currently only applies to older people. For other care groups the ceiling will be set at the average cost of equivalent residential provision used in the previous financial year. This measure has been set in the absence of a National Care Home Rate for care placements for adults under 65. This figure was benchmarked against other local authorities' eligibility criteria.
- 3.27 The areas of highest spend are identified within care at home and are linked to the team purchasing budget in care management and assessment. In addition to the savings targets outlined in table 2 and the demographic pressures outlined above, the service has implemented a number of management actions to reduce the projected overspend. These include;
- the introduction of a financial limits for levels of spend for managers linked to the scheme of delegation.
  - Reviewed the resource panel and financial authorisation process.
  - Reviewed the process of invoice authorisation levels below service manager to ensure compliance.
  - Initiated a programme of reviews for all care groups linked to the rollout of intermediate care with a focus on reducing long term dependency on care at home.
  - Initiated a programme of reviews for Service Level Agreement for all providers to ensure best value and the delivery of outcomes.
  - Development of a budget recovery plan and weekly scrutiny of progress.
- 3.28 Child Care is showing an overspend of £707K. The main areas of overspend are External Fostering £590K and Residential Schools £394K. There is also an increase in client travel which is £81K overspent. This is in relation to children being placed outside of the authority area. There is an underspend of £360K due to vacancies, mainly within the Childcare Resourcing budget, which offset these overspends. It should be noted however that these vacancies are rolling vacancies due to turnover of staff and not held vacancies.
- 3.29 There has been a national increase in the use of foster care placements of 12% since 2009. This has resulted in local authorities competing with independent providers for foster families. The Scotland Excel national contract for purchased providers has now resulted in a consistent charging policy with a list of approved providers and Clackmannanshire has committed to the use of the providers on the contract. The External Fostering overspend is due to the increase in numbers from this time last year of 23 to 37 children placed. This is an increase in spend of £630K per annum. The current budget equates to 24 children in placements.

- 3.30 The profile of the increased number of children have been accommodated through children's hearing decisions where children are assessed as not safe to remain within the family home or following decisions from Child Protection Case Conferences based on multi agency assessments and Child Protection Orders granted by a Sheriff due to significant harm.
- 3.31 Clackmannanshire's use of foster placements reflects the national increasing trend however and demand is currently outstripping supply in terms of provided resources. There are currently 17 provided carers in Clackmannanshire and to address the current number of purchased placements it is estimated that a further 17 carers are needed. The national trend is a year on year increase in the use of foster care provision. The costs of provided placements based on the same figures will still show a financial overspend based on current figures however significantly lower. Work is also being undertaken within the service to project the actual budget requirements based on current demand and projected growth.
- 3.32 An action plan is in place to increase our own Foster Carers and reduce the future reliance on external placements. The recruitment of foster carers has been a challenge for Clackmannanshire who are also competing with neighbouring local authorities. We have recently secured our first approved new foster carers in several years. We also have 5 carers currently identified for assessment and are looking to recruit sessional Social Work assessors to ensure the carers assessments are completed and concluded in an appropriate timescale. This is a practice used by other local authorities and independent providers to ensure carers are assessed within an appropriate timeframe to maintain motivation and commitment of the prospective carers. The assessors are paid per assessment approximately £1700 per report which is more cost effective in terms of finances as well as maintaining timescales.
- 3.33 The overspend in client travel is mainly due to taxi costs for contact and taking children from outside of the local authority area to school. These costs have trebled over the last 2 years. This is a reflection on the increased number of children accommodated in foster placements. There is an action plan in place to review all travel and ensure that this is a need for the child in order to reduce costs.
- 3.34 The Residential Schools overspend is in relation to two high cost secure placements made in November 2013 at a cost of £714 per day each. The annual cost of these placements is £260K each. One young person now remains in a secure placement under compulsory measures. This is subject to review and will return to the Children's Hearing with recommendations. The other young person has moved to a step-down placement from the secure unit and plans for transition are in place.
- 3.35 There is an overspend showing for Social Services Management. This is in connection with a temporary increase in Management Team.
- 3.36 Appendix 2 to this paper contains a detailed analysis of variances in respect of each service area.

Table 1

<b>Service</b>	<b>Annual Budget 2014/15</b>	<b>Actual Spend to 30/06/14</b>	<b>Projected Outturn to 31/03/15</b>	<b>Variance Outturn V Budget</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
<b>Revenue</b>				
Partnership	1,019	176	1,021	2

Strategy	304	70	325	21
Adult - Assessment & Care Management	9,893	1,659	10,753	860
Adult - Provision	4,570	427	4,587	17
Child Care - Clacks Locality	2,072	369	2,263	191
Child Care - Resourcing, Disability, TCAC	7,739	1,584	8,322	583
Child Care - Protection, Early Intervention, Youth Justice	446	34	379	(67)
Criminal Justice Service	(13)	100	0	13
Social Services Management	510	621	536	26
<b>Total</b>	<b>26,539</b>	<b>5,039</b>	<b>28,186</b>	<b>1,647</b>
<b>Capital</b>				
Telecare	75	16	75	0

### Progress in Delivering Planned Budget Savings in 2014/15

- 3.37 The 2014/15 budget incorporated savings agreed in 2012/13 of £0.134m and 2013/14 of £0.496m for Social Services through a combination of budget challenge savings, management actions and specific Council decisions. After three months of the year we are able to report that 82% of these savings have been secured totalling £854k. However the service is aware that it requires to monitor and pursue the full year's savings. Table 2 below summarises the position.

Table 2

<b>Planned Budget Savings 2014-15</b>	<b>Saving 2014-15</b>	<b>Progress</b>	<b>Comment</b>
<b>Description of Saving</b>			
	<b>£ '000</b>	<b>£ '000</b>	
<b>2013/14 savings</b>			
Introduce charge for MECS Service.	33	33	Introduced October 2013. Full year saving 2014/15
Increase Respite Care Charges	10	10	Introduced December 2013. Full year saving 2014/15
Introduce Charge For Day Care Services	33	33	Introduced April 2014. Full year saving 2014/15
Unpaid work from Community Payback.	12	0	No cash saving is made directly from Criminal Justice due to funding model. However all services can access the value of this saving to undertake activity e.g. painting, repairs. This would offset the commercial cost of these activities. Consideration requires to be given to re-allocating this budget to ensure accurate and appropriate recording of the relevant savings.
Other Shared Service	45	45	New management structure in place in

Structure Savings.			Adult Care
<b>Total 13/14 Savings</b>	<b>133</b>	<b>121</b>	
<b>Policy Savings 14/15:</b>	<b>£ '000</b>	<b>£ '000</b>	
Review of high cost care packages	139	0	Review programme in place
Reduce costs through further roll out of intermediate care services.	121	0	Reablement programme in place for older people and under 65yrs with physical disability with further rollout to other care groups during 14/15.
Childcare Financial Support - Section Payments	13	0	Section payment use has been revisited to ensure it is in line with set criteria. Guidance is now in place to ensure standardised practice. Budgets being devolved to Team Mangers to ensure closer control.
Redesign of adult care provision.	58	0	A review of all commissioning processes to meet the principles of SDS. Contracts are then being risk assessed using the ADSW model.
Community Care Health Plan Lease	50	50	Negotiation with NHS complete, date for move to kilncraigs agreed as 28 March. Comms strategy in place for staff and public. Space agreed to support service need.
Reduction of 3 Child Care Team Leader posts across shared service. From Duty, Residential, &EEI. Absorption of roles within current establishment	50	0	Of the three posts identified, Business case for Duty post has been agreed, with October as the target date for the teams to merge to one Team Leader across the shared service. EEI post is also October. A steering group for this has been established across the shared service to manage the change across the area with October also the date for completion. Clarification of terms and conditions and HR route to finalise timescale needs to take place. Negotiations with the Care Inspectorate need to take place for the residential posts to ensure compliance

			with minimum standards.
Reduction of 2 Adult Care Team Leader posts across shared service. Absorption of roles within current establishment	35	35	Restructure now complete. Saving should be realised
VS savings	13	13	Saving achieved, budget reduced
Vol Orgs & Subscriptions corporate savings	18	18	Savings achieve, budget reduced
<b>Total Policy Savings</b>	<b>501</b>	<b>116</b>	
<b>TOTAL SOCIAL SERVICES SAVINGS 2014-15</b>	<b>634</b>	<b>237</b>	

## Conclusions

- 3.38 This is the first performance report of 2014/15. This report sets the overarching performance data for Social Services alongside the data on budgetary expenditure.
- 3.39 This report identifies where progress has been sustained or has improved in line with agreed targets and measures. Where this has not been achieved, a commentary is provided, indicating the actions that will be taken to secure improvements.

## 4.0 Sustainability Implications

- 4.1 Not implications

## 5.0 Resource Implications

### 5.1 *Financial Details*

- 5.2 The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. Yes
- 5.3 Finance have been consulted and have agreed the financial implications as set out in the report. Yes
- 5.4 Staffing - no implications.

## 6.0 Exempt Reports

6.1 Is this report exempt? No

## 7.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

### (1) Our Priorities (Please double click on the check box )

- The area has a positive image and attracts people and businesses
- Our communities are more cohesive and inclusive
- People are better skilled, trained and ready for learning and employment
- Our communities are safer
- Vulnerable people and families are supported
- Substance misuse and its effects are reduced
- Health is improving and health inequalities are reducing
- The environment is protected and enhanced for all
- The Council is effective, efficient and recognised for excellence

### (2) Council Policies (Please detail)

## 8.0 Equalities Impact

8.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations? No

This report is for information only. No policy changes or changes to service provided are recommended.

## 9.0 Legality

9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

## 10.0 Appendices

10.1 Please list any appendices attached to this report. If there are no appendices please state "none"

Appendix 1 Social Services Business Plan 2014-15 Report from Covalent

Appendix 2 Detailed Outturn Variance Analysis

## 11.0 Background Papers

11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

None

**Author(s)**



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**Approved by**

<b>NAME</b>	<b>DESIGNATION</b>	<b>SIGNATURE</b>
Val de Souza	Head of Social Services	Signed: V de Souza
Elaine McPherson	Chief Executive	Signed: E McPherson



Quarter 1 Progress Report













KEY TO SYMBOLS













PIs					
Status		Short Term Trends		Long Term Trends	
Compares actual performance with target		Compares actual performance with most recent previous		Compares actual performance with previous over the longer term	
	Alert		Performance has improved		Performance has improved
	Warning		Performance has remained the same		Performance has remained the same
	OK (performance is within tolerance limits for the target)		Performance has declined		Performance has declined
	Unknown		No comparison available - May be new indicator or data not yet available		No comparison available













ACTIONS	
Expected Outcome	
	Meet target/complete within target dates
	Will complete, but outwith target
	Fail to complete or cancelled

RISKS		
Current Rating = Likelihood x Impact (1 - 5)	Status	
		Rating 16 and above
		Rating 10 to 15
		Rating 9 and below
<p>The likelihood of a risk occurring, and the impact if it does occur are each scored on a scale of 1 to 5, with 1 being the least likely or the least significant impact. Detailed guidance on scoring is provided in the Risk Management Policy and guidance.</p>		

## 1 HIGH LEVEL SUMMARY

Our communities are more cohesive and inclusive								
PIs		0		1		3		0
Actions		0		0		2		0
Risks		0		0		0		0



Our Public Services Are Improving								
PIs		1		0		1		3
Actions		0		1		7		0
Risks		0		4		4		0




Our communities are safer, Substance misuse and its effects are reduced, Health is improving and health inequalities are reducing, Vulnerable people and families are supported								
PIs		3		1		5		0
Actions		0		7		5		0
Risks		0		1		3		0


\* Does not include 'Data Only' or annual indicators.

## 2 DETAILED REPORT





### Priority Outcome 2 - Our communities are more inclusive and cohesive






Covalent Code	ACTION	By When	Lead	Progress	Expected Outcome Icon	Latest Note
SOS SSS 026	Deliver the Stirling Corporate Parenting Strategy and Action Plan following approval in January 2014 and ensure a joint approach is taken with Clackmannanshire	Jan 2015	Liam Purdie	50%		Joint steering group meeting for the first time in August 2014. Elected members from both Stirling and Clacks have been invited to attend. Joint strategy agreed and modified to reflect joint approach - 3 year plan.
SOS SSS 027	Identify service relationship management	Mar 2015	Jane Menzies	40%		Joint initiative regarding Third sector commissioning underway Strategy in development for 'hard to reach' groups Annual staff and client perception surveys Health and social care Integration Scheme incorporating communication and engagement underway A multiagency communications and engagement strategy will need to be devised for integration prior to April 2015








Code	Description	2011 /12	2012/ 13	2013/ 14	2014/ 15	Q1 2014/15		Latest Note	Lead
		Value	Value	Value	Target	Value	Short Trend		
ADC ADA 01a	% of people aged 65 and over with intensive care needs receiving services at home	43%	42%	45%	35%	43%		Performance is less than the previous quarter (45%) but still well above local target. The service has also exceeded the national standard of 30% for the balance of care. This has been achieved through the continued rollout of intermediate care and reablement service.	Phillip Gillespie
ADC ADA 006	Delayed hospital discharges over 4 weeks	0	0	0	0	0		Performance has remained static (1). The target in this area continues to be met however the new targets in this area are challenging. The service is undertaking a review with Health to look how the partnership continues to develop integrated care pathways to support timely and appropriate hospital discharge and prevention of hospital admission.	Phillip Gillespie
CHC LAC 05d	Percentage of looked after children who remain in their communities	88%	82%	75%	80%	72%		Performance has improved on the previous quarter (70%). The quarterly total of those noted under place of residence for 'at home', 'related care', 'foster care provided by LA', 'LA residential unit'. As a percentage of the quarterly total of those looked after and accommodated.	Liam Purdie

Code	Description	2011 /12	2012/ 13	2013/ 14	2014/ 15	Q1 2014/15		Latest Note	Lead
		Value	Value	Value	Target	Value	Short Trend		
CHC TCA 002	% Care leavers aged 16+ with a pathway plan	21%	29%	29%	75%	92%		This is a new quarterly indicator and there is no comparison with previous quarter. This Q1 figure relates to 35 out of 38 possible eligible cases have a pathway plan, 2 young people do not have a plan but access support. Assessments to create pathway plans are due to be completed by end of August 2014. Advice and guidance is available to the remaining young person, however, the individual is not currently choosing to access this. The annual figure is useful for benchmarking purposes. National average for 2012 (75%), 2013 (82%).	Liam Purdie



**Priority Outcomes.- Our communities are safer, Substance misuse and its effects are reduced, Health is improving and health inequalities are reducing, Vulnerable people and families are supported**

Covalent Code	ACTION	By When	Lead	Progress	Expected Outcome	Latest Note
SOS SSS 028	Develop a staged model of intervention that defines a tiered pathway of support and intervention	Mar 2015	Liam Purdie	20%		Implementation plan for Children and Young Persons Act. Social Work and Education developing a screening and referral pathway for frontline staff. Protocol to be developed by August. Increasing use of GIRFEC paperwork and single child's plan across all agencies.
SOS SSS 029	Ensure early intervention to improve outcomes for children and their families is prioritised	Mar 2015	Liam Purdie	20%		Staged Intervention approach will identify trigger points for intervention and multi agency screening. A systems approach to GIRFEC will identify earlier those families in need. Dependent on the progress of the Staged Model above. Early Years Collaborative identifying effective early intervention approaches.
SOS SSS 030	Clearly define the multi agency and single agency roles and responsibilities	Mar 2015	Liam Purdie	20%		Staged Model of Intervention will highlight roles and responsibilities as part of the CY Persons Bill for Named Person and Lead Professionals as part of the process. Social Work are clear of the roles and responsibilities however communication of roles and responsibilities needs to be clarified between and with other stakeholders.
SOS SSS 031	Improve the quality and consistency of assessment, decision making and timescales around permanency planning. Improve the medium and long term outcomes for children in permanency planning.	Mar 2015	Liam Purdie	50%		Launched a permanency process in May across Stirling and Clacks, this was developed in partnership with CELCIS and over the next year the service will be looking to evaluate effectiveness and use of the process.







SOS SSS 032	The development of an evidence based outcomes focussed adult care pathway with Health	Dec 2015	Jane Menzies	60%		The social work developments have been incorporated into a multiagency pathway, this will ensure all activity is focussed and meeting legislative demand. The detail is subject to agreement by the Partnership Board. Internal redesign work continues and makes good progress, a priority is to maximise the involvement of social care staff.
SOS SSS 033	Develop a multiagency prevention focussed pathway of care	Dec 2015	Jane Menzies	60%		The framework referred to above will offer clarity and complement our work with Third Sector Partners in how we deliver and commission adult services. Work is also underway with GPs to focus on localities as required by the Health and Social Care legislation. A second workshop is taking place to further consider work with libraries, advice services and web based supports. This will inform the eligibility criteria to be presented at Committee. A renewed emphasis is being placed on Telecare to maximise both personal choice and independence.
Covalent Code	ACTION	By When	Lead	Progress	Expected Outcome	Latest Note
SOS SSS 034	Shift the balance of care towards effective care at home	Dec 2015	Jane Menzies	36%		New models for short term care and assessment continue to be developed alongside therapeutic day support. This emphasis is supporting a decrease in long term care and more people cared for in their own homes. A tension continues to exist in implementing these measures whilst managing increasing client demand.
SOS SSS 035	Oversee design and business case development (Stirling Care Village)	May 2015	Val de Souza	75%		The General Manager of the Community Health Partnership is now chair of the Project Board following the departure of the previous incumbent. A full review of progress, timeframes and priorities is to take place in July
SOS SSS 036	Oversee project implementation (Stirling Care Village)	May 2015	Val de Souza	0%		The governance structure has been revisited. Operational progress in terms of the care model progressing well with a high level workforce plan having been agreed. In July the Programme Board will revisit priorities to ensure progress remains on track.
SOS SSS 037	Establishment of a shared development team to progress the work of the Joint Management Team, with regard to formal Health integration arrangement for adult services	Dec 2014	Jane Menzies	50%		A proposal is in development and is being discussed with the Partnership Board. Current resources will be repositioned to ensure local knowledge is not lost. Where appropriate current managers will be backfilled to support the agenda.
SOS SSS 038	Establishment of preferred governance model for the partnership, with regard to formal Health integration arrangement for adult services	June 2014	Val de Souza	100%		Stirling and Clackmannanshire councils have agreed that the Body Corporate model should be progressed. An event was held on July 10th with NHS partners to commence the Integration Scheme, within this legal, governance and financial implications will be considered.
SOS SSS 039	To progress a joint commissioning strategy for adults with complex needs	April 2016	Jane Menzies	45%		Services to be included in the Body Corporate model are yet to be confirmed and ultimately this will inform the commissioning strategies. The Older Persons strategy exists and will built upon, good progress is being made in both mental health and learning disability services. The Council is receiving ongoing support from the Joint Improvement Team to achieve this objective by April 16.

Code	Description	2011/ 12	2012/ 13	2013/ 14	2014/ 15	Q1 2014/15		Latest Note	Lead
		Value	Value	Value	Target	Value	Short Trend		
CHC SCR 002	% of children requiring supervision seen by supervising officer within 15 working days	100%	80%	86%	100%	62.5%		Performance has improved on the previous quarter (40%). 5 out of 8 children were seen within timescale. Other children were seen but not within the 15 days because worker was on holiday after the hearing. Judgement is exercised in these circumstances to determine whether it is appropriate to delay visit pending allocated worker's return from leave.	Liam Purdie
CHC SCR 01a	% Reports submitted to the Children's Reporter within 20 working days	64%	48%	90%	75%	100%		Performance has maintained the 100% achieved in the last quarter. Above target which is a national standard.	Liam Purdie
CHC CPR 078	Children on the Child Protection Register with at least one Core Group in the past month	n/a	80%	86%	90%	93%		Performance is less than the 99% achieved last quarter, but is still above target.	Liam Purdie
CJS ADP 001	% of Criminal Justice reviews of high risk offenders that took place by scheduled date	n/a	100%	100%	100%	100%		Performance continues to meet the 100% achieved over several quarters. On target.	Val de Souza
CHC CPR 029	Children on the child protection register visited weekly and seen	n/a	100%	100%	100%	84%		New method of recording is giving a more detailed picture of activity.	Liam Purdie
ADC ADA 018	% of Adult Support and Protection investigations that have an outcome of an initial case conference	n/a	12%	25%	Data only	75%		Activity has increased on previous quarter (66%). This percentage will vary in accordance with the needs and risks of individuals and this is why there is no set target for this measure. A substantial amount of work has been completed by the operational Lead Officer which is supporting increased use of formal procedures, wherever this is required. This However, the increase in the use of formal procedures will ensure the direct and active involvement of the individual adult and their family in decision-making.	Phillip Gillespie
ADC ADA 019	% of Adult Protection IRD/planning meetings held within 24 hours of referral	n/a	66%	68%	75%	59%		Performance has improved on the previous quarter (50%). It is recognised that actions are required to ensure IRDs are scheduled more timeously. In the case of all referrals where immediate action was required to protect adults at risk this was happened. In the case of the referrals where the planning meetings were delayed, this was to enable the gathering of data from all relevant agencies which was time-consuming. This ensured all needs were addressed.	Phillip Gillespie
CHC LAC 18a	% Children looked after away from home with 3+ placements	n/a	7%	6%	Data			This is a new quarterly indicator and there is no comparison with previous quarter. However it is an improvement on the	Liam Purdie




Code	Description	2011/ 12	2012/ 13	2013/ 14	2014/ 15	Q1 2014/15		Latest Note	Lead
		Value	Value	Value	Target	Value	Short Trend		
					only	0%		year end figure. Although the annual figure was above the Scottish average for 13/14 (5%) it was a reduction on the previous year. The figure for 13/14 relates to 12 children out of a total of 186.	
CHC TCA 003	% Care leavers aged 16+ with a pathway co-ordinator	21%	29%	29%	50%	100%		This is a new indicator and there is no comparison with previous quarter. However it is an improvement on the year end figure. Not all young people need a Pathway Coordinator. Where it is identified that additional support is required they are prioritised and allocated a coordinator. National average for 2013 (79%)	Liam Purdie

### Priority Outcome - Our Public Services Are Improving

Covalent Code	ACTION	By When	Lead	Progress	Expected Outcome	Latest Note
SOS SSS 040	Ensure effective budget management arrangements are in place and are effectively reported	Mar 2015	Val de Souza	60%		Weekly meetings remain in place to manage budgetary challenges. An action plan exist for both adults and childcare services overseen by the relevant Assistant Head of Service. Regular meetings take place between Service Mgrs and Service Accountants.
SOS SSS 041	Ensure effective customer standards are in place	Mar 2015	Val de Souza	30%		Process mapping has taken place with customer service colleagues to establish a more efficient and effective route into social care. It is anticipated that this will be finalised before the end of the year and will have accompanying standards to inform users.
SOS SSS 042	Ensure customer standards are effectively reported and managed	Mar 2015	Val de Souza	0%		When the reviewed customer journey has been established a performance management framework will be established to support it.
SOS SSS 043	Ensure consistent application of attendance support and capability procedures across service	Mar 2015	Val de Souza	30%		The last three months have shown an improvement in attendance management following considerable support by HR and work with managers at all levels. Training is available and is being accessed from July – August 2014.
SOS SSS 044	Undertake employee engagement activities, report results, agree and implement improvement actions	Mar 2015	Val de Souza	55%		Engagement events have taken place during the last month within social care with high levels of attendance. Outputs from these sessions are being collated and will be discussed within the Senior Management Team and actions are either taken across the service or embedded within service development plans
SOS SSS 045	Ensure effective risk and resilience management arrangements at service level	Mar 2015	Val de Souza	85%		Risk management plans in place for social services and risk escalated to corporate level where appropriate. Areas where improvement is required

are within the service development plans. Progress within each service area is monitored via a service performance forum.







SOS SSS 046 Ensure the most vulnerable clients needs are represented, Mar 2015 Val de Souza 80% 

The most vulnerable clients are seen by social services as a matter of course. A focus on prevention as we move forward will ensure we can make contact at an earlier stage, through a variety of routes and prevent issues from escalating.


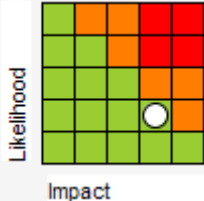
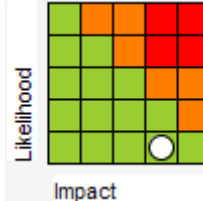

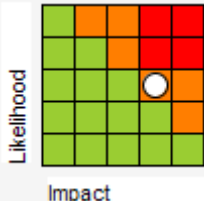
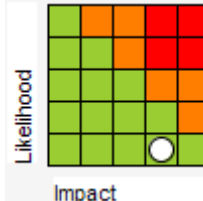
Adult Support and Protection and Child Protection process exist where we have a duty to safeguard those most at risk.

SOS SSS 047 Manage public protection risks Mar 2015 Val de Souza 85% 


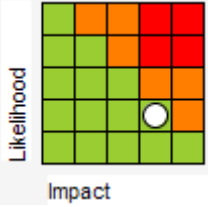
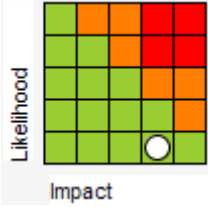
The MAPPA process is well established. The Child Protection Committee is in the process of reviewing its role, remit and priorities and to ensure it aligns with the community planning agenda. The Adult Support and Protection agenda is well established and following a recent audit, improvement work is underway to review best practice. The G5 group is currently disaggregating. A transitional plan to transfer overview to the Alliance is under development.


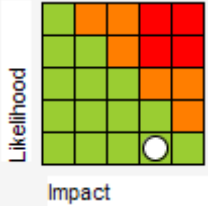
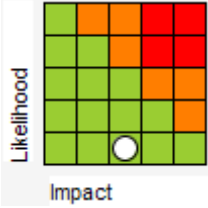
Code	Description	2011/ 12	2012/ 13	2013/ 14	2014/ 15	Q1 2014/15		Latest Note	Lead
		Value	Value	Value	Target	Value	Short Trend		
SOS CUS 001	Number of complaints received	5	3	3	Data only	0		This is a reduction on the previous quarter (2). This indicator is for data only.	Jane Menzies
SOS CUS 002	% Social Services who achieve Care Inspectorate evaluation scores of 4 and above across residential and day services	n/a	94%	64%	90%	n/a		No inspections published in quarter.	Val de Souza
GOV SAB SOS	Staff sickness absence throughout social services (days lost)	n/a			Data only	1328.5		This equates to 5.69%. Actions around attendance management are detailed above. This requires ongoing attention.	Val de Souza
ACC BUV SOS	Projected variance as % of actual budget	-6.66%	+0.88%	+3.11%	+/-2.55%	+6.3%		See narrative in main report.	Val de Souza
SOS IBP 009	Social Services Assessments completed within timescale	78%	71%	70%	75%	77%		This is an improvement on the previous quarter (71%) and above target.	Val de Souza
SOS IBP 008	% of case files audited where there is evidence of regular review of care or supervision	n/a	100%	71%	80%	75%		This is a new indicator based on each Team Manager completing 4 case file audits per month as per the Quality Assurance Framework introduced in October 2013. Previous annual figures related to one-off thematic audits undertaken within the service. The quarter 1 figures relates to 12 out of 16 case files audited which showed evidence of review. This enables more regular review by front line managers and timely feedback to staff members to ensure any improvement actions are progressed.	Jane Menzies


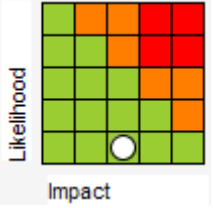
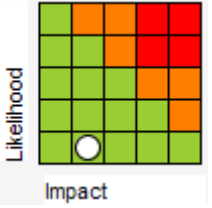
## Social Services Risk Register 2014-15


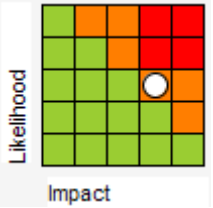
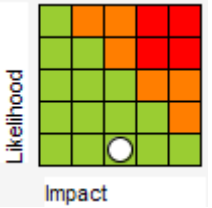
Covalent Code	Risk Description		Status	Current Rating	8	Target Rating	4
STP SOS 014	We may fail to work effectively in partnership with NHS Forth Valley						
<b>Potential Effect</b>	Failure to; <ul style="list-style-type: none"> <li>▪ meet Scottish Government objectives</li> <li>▪ meet Council objectives</li> <li>▪ deliver the required services</li> </ul>						
<b>Related Actions</b>	SOS RIS 001	Joint action plans and commissioning strategies		<b>Internal Controls</b>	Corporate Management Team meetings STP SOS CMT Health & Social Care Joint Management Team meetings STP SOS JMT		
<b>Latest Note</b>	Planning for developing an integration scheme is now well underway and agreement to proceed with body corporate model for integration of adult health and social care services.			<b>Managed By</b>	Jane Menzies		
Covalent Code	Risk Description		Status	Current Rating	12	Target Rating	3
STP SOS 015	Lack of a sufficiently robust strategic planning framework across all care groups						
<b>Potential Effect</b>	Impact on financial expenditure, failure to deliver efficiencies, impact on the sustainability of services and ability to meet future needs						
<b>Related Actions</b>	SOS RIS 002	Joint commissioning work plan in place		<b>Internal Controls</b>	Joint Commissioning Strategy for Older People STP ADC JCS Health & Social Care Joint Management Team meetings STP SOS JMT Programme for capacity planning and commissioning activity in place for Social Services . STP SOS CPP		
	SOS RIS 003	Additional resources in place to progress and deliver on efficiencies in line with strategic objectives for commissioned services.					
<b>Latest Note</b>	Work to progress Making Clackmannanshire Better and Priority Based Budgeting is ongoing. This work is closely monitored to			<b>Managed By</b>	Jane Menzies		

	assess progress on delivering efficiencies and target savings. Ongoing budget monitoring and action plans in place and updated on a weekly basis.		
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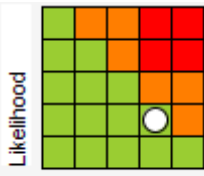
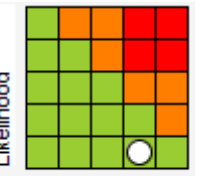
Covalent Code	Risk Description	Status	Current Rating	8	Target Rating	2
STP SOS 016	There is a risk that procedures are not up-to-date and easily accessible by staff					
<b>Potential Effect</b>	Failure to: <ul style="list-style-type: none"> <li>meet Scottish Government objectives</li> <li>meet Council objectives</li> <li>deliver the required services</li> </ul> Risk of harm to current or potential service users					
<b>Related Actions</b>	SOS RIS 004	Work has commenced to develop action plan and allocate resources to review operational procedures and guidance.	<b>Internal Controls</b>		Service Plans STP SOS SPM	
<b>Latest Note</b>	Workshops to inform the implementation of a single case management system across children's services have been used to agree changes to processes and will form the basis of consistent procedures. Procedural guidance has also been developed to meet the requirements of the Social Care (Self-directed Support) (Scotland) Act 2013		<b>Managed By</b>		Liam Purdie and Phillip Gillespie	


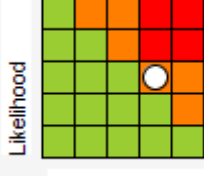
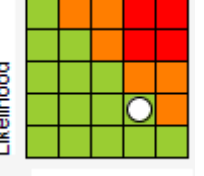
Covalent Code	Risk Description	Status	Current Rating	4	Target Rating	4
STP SOS 017	Information system may be unavailable due to lack of controls					
<b>Potential Effect</b>	Negative impact on the smooth running of the service					
<b>Related Actions</b>	SOS RIS 015	Review Disaster Recovery and Business Continuity arrangements for shared Social Services	<b>Internal Controls</b>		Joint IT Governance Group STP SOS IGG	
	SOS RIS 016	Develop an implementation plan for the migration to SWIFT from CFIS for Childcare Clacks.			Business Continuity Plans FCS CUS BCP	
<b>Latest Note</b>	Single case management system business processes being developed and programme manager appointed. Work well underway for implementation 2015.		<b>Managed By</b>		Matt McLay/John Allan	


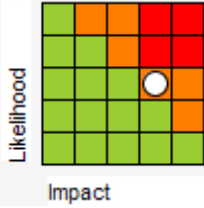
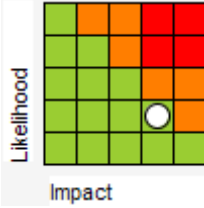
Covalent Code	Risk Description		Status	Current Rating	3	Target Rating	2
STP SOS 018	Criminal Justice Services may fail to meet the outcomes expected by the Community Justice authority, particularly in relation to a reduction in re-offending						
<b>Potential Effect</b>	Negative impact on the smooth running of the service. Reputational damage						
<b>Related Actions</b>	SOS RIS 005	Service plan to be updated incorporating practice governance.		<b>Internal Controls</b>		Social Services Business Plan (performance Information) STP SOS BUP	
						CJ Performance Management Group STP CJA CPF	
						Fife and Forth Valley Community Justice Authority Area Plan 2011-2014 (Performance monitoring Framework) STP CJA ARP	
						CJ Service Plan STP CJA SRP	
						MAPPA guidance STP CJA MPA	
<b>Latest Note</b>				<b>Managed By</b>		Stuart Landels	

Covalent Code	Risk Description		Status	Current Rating	12	Target Rating	6
STP SOS 019	We may fail to have full contract monitoring procedures and compliance in place for Social Services						
<b>Potential Effect</b>	Pressure on contract compliance staff Paying for services not provided Non compliance with statutory reqs Critical services may not be supplied						
<b>Related Actions</b>	SOS RIS 006	Strategy service redesign to provide additional capacity for contract management and monitoring.		<b>Internal Controls</b>		Corporate Procurement Strategy STP SOS PRO	
						Corporate Contract Standing Orders STP SOS CSO	
<b>Latest Note</b>	Additional temporary resources allocated to address contract compliance for Social Services.			<b>Managed By</b>		Jane Menzies	


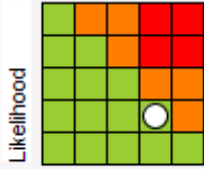
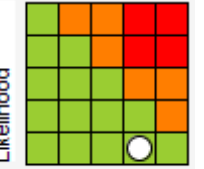



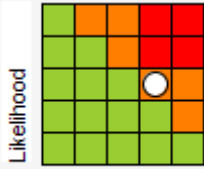
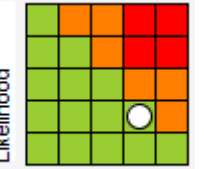
Covalent Code	Risk Description		Status	Current Rating	8	Target Rating	3
STP SOS 020	Failure to meet targets on processes, requirements and service standards including administrative processes						
<b>Potential Effect</b>	We may fail to deliver the required services Risk of harm to current or potential service users						
<b>Related Actions</b>	SOS RIS 007	Review of key processes is in progress		<b>Internal Controls</b>		Social Services Business Plan (performance Information) STP SOS BUP Senior Social Services Management Team STP SOS SMT	
<b>Latest Note</b>	During the development and implementation of single case management systems, these requirements will be reviewed and updated.			<b>Managed By</b>		Val de Souza	


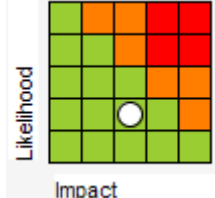
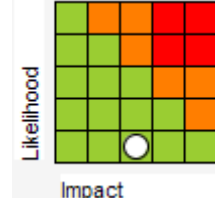
Covalent Code	Risk Description		Status	Current Rating	12	Target Rating	6
STP SOS 021	We may fail to have sufficient staff capacity to undertake core duties						
<b>Potential Effect</b>	We may fail to deliver the required services Lack of effective support to staff Risk of harm to current or potential service users We may fail to meet statutory requirements						
<b>Related Actions</b>	SOS RIS 008	Focussed interventions in service areas i.e. recruitment, attendance, support, supervision and PRDs.		<b>Internal Controls</b>		Recruitment & retention policy STP SOS RTP Attendance Support Policy STP SOS ASP Supervision policy STP SOS PRD Business Continuity Plans FCS CUS BCP	
	SOS RIS 009	Increased focus on Workforce Planning and Workforce Development					
<b>Latest Note</b>	There continue to be challenges with recruitment and also with the rates of absence in some key service areas. Treatment actions are ongoing and managers have access to full range of information to ensure actions are taken to address any deficits.			<b>Managed By</b>		Val de Souza	

Covalent Code	Risk Description		Status		Current Rating	12	Target Rating	3		
STP SOS 022	We may fail to have competent, confident staff and managers to undertake core duties									
<b>Potential Effect</b>	Failure to deliver the required services and meet statutory requirements. Lack of effective support to staff Risk of harm to current or potential service users									
<u>Related Actions</u>	SOS RIS 010	Risk Assessment and Risk Management Training Programme			<u>Internal Controls</u>	Corporate health & safety policies FCS GOV H+S	Clacks Supervision policy STP SOS PRD	Learning & Development Strategy STP SOS LDS	Staff engagement plan STP SOS SEP	Integrated Children's plan - FV GIRFEC agenda STP CHC ICS
	SOS RIS 011	Performance Forums in place across all service areas				FV risk assessment model - child & adults STP SOS RAM	Child protection procedures STP CHC CPP	MAPPA guidance STP CJA MPA	Workforce Learning & Development Strategy, Plan & Framework (Clacks) STP SOS WLD	
<b>Latest Note</b>	Quality Assurance Framework in place setting out expectations of line managers and actions that require to be taken to ensure services are delivered in line with statutory requirements. Outputs from case file audits completed are collated by Performance and Quality Assurance Team and shared in performance forums. Themes are used to inform improvement actions which will be incorporated in service plans and workforce development planning.				<b>Managed By</b>					



Covalent Code	Risk Description		Status	Current Rating	8	Target Rating	3
STP SOS 023	Failure to meet standards and deliver action plan improvements in line with Care Inspectorate requirements for internally and externally commissioned services						
<b>Potential Effect</b>	Potential for service closure Reputational damage to Service & Council						
<u>Related Actions</u>	SOS RIS 012	All services to have service specific forums focused on performance management		<b>Internal Controls</b>		Care Inspectorate Improvement Plan STP SOS CIP	Performance Forum STP SOS PER
						Annual Plan for Audit Activity STP SOS AUD	PSIF programme STP SOS PSF
<b>Latest Note</b>	Planning and Commissioning team monitoring externally commissioned services to ensure adherence with required standards. Reviews scheduled of all commissioned services and supported by engagement with third sector providers.			<b>Managed By</b>		Jane Menzies	

Covalent Code	Risk Description		Status	Current Rating	12	Target Rating	6
STP SOS 024	Instability in the external care home market						
<b>Potential Effect</b>	Potential for service closure Deterioration in service standards Reputational damage to service						
<b>Related Actions</b>	SOS RIS 013	Contingency Plans in place.		<b>Internal Controls</b>		Contracts Monitoring Framework STP SOS CMF	
	SOS RIS 006	Strategy service redesign to provide additional capacity for contract management and monitoring.					
<b>Latest Note</b>	Resources allocated to review care arrangements where concerns identified around viability or quality of an individual service.			<b>Managed By</b>		Jane Menzies	

Covalent Code	Risk Description	Status	Current Rating	6	Target Rating
STP SOS 025	Industrial relations may deteriorate				
<b>Potential Effect</b>	Disruption to service delivery. Negative impact on Employee Morale, Risk of harm to service users or potential service users				
<b>Related Actions</b>			<b>Internal Controls</b>		Industrial relations meetings. STP SOS INR Staff engagement plan STP SOS SEP
<b>Latest Note</b>	Schedule of meetings in place with Trade Unions.		<b>Managed By</b>		Val de Souza

**Social Services - Budget v Outturn**

	Budget 14-15 £'000	Outturn 14-15 £'000	Variance £'000
<b>Social Services Variance</b>	<b>26,539</b>	<b>28,186</b>	<b>1,647</b>
<b>Partnership</b>			
IMHS Pooled Budget - Staffing overspend due to auto enrolment			5
Misc Small Underspends			(3)
<b>Partnership Total</b>	<b>1,019</b>	<b>1,021</b>	<b>2</b>
<b>Strategy</b>			
Contracts, Commissioning & Planning staffing overspend			10
Workforce development - overspend in relation to training not purchased centrally			8
Change Fund residual balance.			3
<b>Strategy Total</b>	<b>304</b>	<b>325</b>	<b>21</b>
<b>Adult Assessment &amp; Care Management</b>			
£331k of 14/15 savings not yet achieved, initially estimated to be implemented start of September 2014. Previous year overspend of £819k has reduced to £613k when excluding current year savings target. Care @ Home hrs continuing to increase year on year, with long term placements remaining pretty static.			944
Staffing			0
CES - Equipment Purchases slightly up on previous year			4
Adult Support & Protection - Vacant post and Other Local Authority underspend.			(88)
<b>Adult Assessment &amp; Care Management Total</b>	<b>9,893</b>	<b>10,753</b>	<b>860</b>

**Social Services - Budget v Outturn**

	<b>Budget 14-15 £'000</b>	<b>Outturn 14-15 £'000</b>	<b>Variance £'000</b>
<b>Adult Provision</b>			
Comms Centre - Shared costs greater than budget			6
Menstrie House - Staffing overspend in Agency staff due to problems recruiting relief and Supn because of auto enrolment.			18
Homecare - Reablement posts funded by changefund.			(26)
MECS - Staffing overspend			10
Eld Prov Mgt Unit - Overspend in Agency staff			6
Ludgate House - relief staff overspend and supn because of auto enrolment			115
MOW - £7K staffing saving and £5K equipment saving			(12)
Day Services - Staffing Underspend due to vacancies.			(97)
Advocacy etc - small saving on sheltered housing			(2)
<b>Adult Provision Total</b>	<b><u>4,570</u></b>	<b><u>4,587</u></b>	<b><u>17</u></b>
<b>Child Care - Clacks Locality</b>			
Safeguarders- underspend predicted in legal expenses.			(25)
Duty Intake Team - staffing underspend due to vacancies in first quarter			(14)
Long Term Team - Staffing overspend due to agency staff in WH case and Temp. Lawyer. £85K overspend in client travel due to taxiing children for contact and school.			224
Intensive Support - Underspend in Includem contract			(17)
Review Officers etc. - Staffing overspend			22
<b>Child Care - Clacks Locality Total</b>	<b><u>2,072</u></b>	<b><u>2,263</u></b>	<b><u>191</u></b>
<b>Child Care - Resourcing, Disability TCAC</b>			
Residential Schools - overspend due to two high cost placements in Secure Accommodation.			394
Kinship Care - increase in children in Kinship Care			19
Fostering & Adoption - Staff vacancies & reduction of internal foster care.			(31)
External Foster Care - 5 more children placed with external agencies this month bringing total to 38. Only have budget for 24			590
Throughcare Aftercare - underspend in staffing			(51)
Woodside - staffing underspend and recharge to Stirling for child placed.			(120)
Disability Team - Staff vacancy in early part of year			(8)
Early Years - Staff vacancies problems recruiting enhanced Social Workers			(203)
Vol Orgs - underspend in CCSF			(6)
<b>Child Care - Resourcing, Disability, TCAC Total</b>	<b><u>7,739</u></b>	<b><u>8,322</u></b>	<b><u>583</u></b>

**Social Services - Budget v Outturn**

	<b>Budget 14-15 £'000</b>	<b>Outturn 14-15 £'000</b>	<b>Variance £'000</b>
<b>Child Care - Protection, EEI &amp; Youth Justice</b>			
Youth Justice - Staffing Vacancies			(24)
Child Protection - Budget transferred from locality teams to HUB but staff not in place yet.			(43)
<b>Child Care - Protection, EEI &amp; Youth Justice Total</b>	<u>446</u>	<u>379</u>	<u>(67)</u>
<b>Criminal Justice Service</b>			
Section 27 Grant - Staffing overspend will reduce with change to 35 hours			13
<b>Criminal Justice Service Total</b>	<u>(13)</u>	<u>0</u>	<u>13</u>
<b>Management Support</b>			
Management Team - Overspend due to temporary increase in management team.			13
Facilities Management - Overspend in Telecomms			14
<b>Management Support Total</b>	<u>510</u>	<u>536</u>	<u>26</u>
<b>Social Services Total</b>	<u><u>26,539</u></u>	<u><u>28,186</u></u>	<u><u>1,647</u></u>



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**Report to**    **Housing, Health and Care Committee**

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**Date of Meeting:** 21 August 2014

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**Subject:**        **Single Case Management System**

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**Report by:**     **Assistant Head of Social Services - Child Care**

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## **1.0 Purpose**

- 1.1 The purpose of this report is to provide elected members with an update of the progress made to date in the development and implementation of the Single Childrens Case Management System (CCM) across Stirling and Clackmannanshire. The new system will replace the current SWIFT system in Stirling and the CFIS system in Clackmannanshire.

## **2.0 Recommendations**

- 2.1 It is recommended that the Housing Health and Care Committee note the progress of this work. Elected members will be updated as the work moves to implementation.

## **3.0 Considerations**

- 3.1 The implementation of the Single CCM System will help to facilitate the management of information, workflows and caseloads at various strategic and operational levels within the Children's Service. This will assist the Children's Service in being more responsive to the changing economic and legislative environment, whilst at the same time ensuring the desired outcomes for our most vulnerable children are being met.
- 3.2 Further updates will be provided for elected members and it is also planned that a communication strategy will be developed around this area of work. This will ensure that staff, partner agencies and service users are kept informed of the developments being made.

## **Background**

- 3.3 Following the approval of the Shared Services Project Board to move towards a Single Case Management System for the delivery of Children's Services in Stirling and Clackmannanshire, a specific Project Board was convened in August 2013, which is chaired by Jane Menzies, Assistant Head of Services.

- 3.4 Subsequently, in September 2013, a Project Team was set up. The team is led by Michael Grassom (Service Manager) and consists of staff across the Shared Service area including operational managers, frontline social work practitioners, admin support staff, business support staff and training staff. A series of workshops were arranged and these have now taken place. The purpose of the workshops was to identify a single set of business processes for the delivery of Children Services, which in due course will inform a single set of procedures across the Shared Service area.
- 3.5 These workshops have been undertaken with colleagues from Northgate, who are responsible for the delivery of the new CCM application, which will then be constructed around a single set of procedures across the shared service area.
- 3.6 It should be noted, that at the present time Children's Service across Stirling and Clackmannanshire, whilst following national guidelines, have a varying set of policies and procedures in the delivery of their services. Therefore, in order to ensure that the new children's service Case Management System was fit for purpose, a significant piece of work has had to be undertaken to align ourselves to a single set of policies and procedures across the Children's Services.
- 3.7 Once this new set of operational policies and procedures have been approved, we will then be in a position to put in place the new Children's Services Single CCM application, which will ensure an equitable service across all areas of children's services and consistency in relation to standards and performance management.

### **Progress to date**

#### Workshop Activity

- 3.8 The first of these workshops took place in November 2013. The staff involved have had the opportunity to review existing policies and procedures across the Shared Service area, whilst at the same time coming to an agreement on a set of proposals for a new single set of policies and procedures, which the new Single Case Management System will support.
- 3.9 To date the following workshops have been completed:
- Assessment, Care Planning and Review
  - Initial Assessment Function
  - Child Protection
  - Looked after Children
  - Permanence
  - Children affected by Disability
  - Throughcare/Aftercare
  - Fostering & Adoption
  - Early Years
  - Youth Justice
- 3.10 There is one further planned workshop to complete, which is in relation to our own Residential Services, and it is scheduled for this to be undertaken in September 2014.



- 3.11 As well as the core Project Team contributing to these workshops, additional professional and relevant support staff have fully participated in each workshop, so that the development of future service delivery is informed from both a live operational perspective, as well as a more over-arching strategic perspective.
- 3.12 Through the course of these workshops a range of 'other issues' were identified. Some of these issues can be resolved within the service, however other issues we have had to bring to the attention of more Senior Management, as they tended to be issues which were more related to the Shared Services Agenda, rather than just the new Single Case Management System. A list is proved below however issues such as data governance and cross council subject access requests and roles and responsibilities in terms of roles and job descriptions.
- 3.13 A meeting was convened in March 2014 with the Chief Executives (CE's) and senior officers of both Stirling and Clackmannanshire Councils, in which the progress of the work to date was shared. The 'other issues' that had arisen were also communicated to the CE's. These issues related to the wider Shared Service Agenda and the impact that these are having in the implementation of the new system.
- 3.14 It should be noted however that recent Committee reports of the 26th of June in relation to the Shared Services have agreed to a series of actions which will alleviate a significant number of issues raised with the CE's at this time, and as such, it is anticipated that this will negate the concerns identified.

#### **Workstream Activity**

- 3.15 As noted above, the workshops have also identified a number of different areas of work, ('other issues') that even though they do not necessarily impact directly on the business processes, they do present issues that need to be resolved if we are to successfully embrace a single model of service delivery.
- 3.16 These issues include:
- Transport arrangements
  - Section payments
  - Eligibility criteria
  - Roles/Responsibilities - Job descriptions
  - Assessments
  - Structure/Capacity
  - Role and remit of para-professionals
  - Contact arrangements
  - Financial management and controls e.g. (pooled budgets, processing of transactions)
  - Data governance
  - Statutory and local reporting
  - Data migration

- 3.17 Staff within the project team have been identified to take forward these issues, and we are aware that this will complement work already being undertaken elsewhere in the service in relation to both the PBB/MCB processes.
- 3.18 In line with the increased activity surrounding this project we now have two staff members, Lindsay McRae and Matt McLay identified to work as the Implementation Managers for Children's and Adult's Case Management.

**Way Ahead**

- 3.19 Current activity is now moving away from an emphasis on the workshops, to a schedule of work which will ensure that the proposals being generated through the Project Team are now being brought to the Project Board for signing off.
- 3.20 Once each area of practice captured within the workshops have been signed off by the Project Board we will then be in a position to formally draw up a new single set of policies and procedures for each area of service delivery within the Children's Service.
- 3.21 It is anticipated that the signing off process through the Project Board will be completed by the end of 2014, and that we will be in a position to roll out a training programme for all staff in relation to these new policies and procedures.
- 3.22 With regard to the more technical, IT related issues, work has started by members of the Project Team in scheduling the activities needed to ensure that the migration, translation and quality of data is fit for purpose. This work will recommend the level of migration to be taken from the older case management systems.
- 3.23 It is envisaged that we would wish to rollout the training of the new policies and procedures, as well as the use of the new system from early 2015, and are currently working to a 'go live' date of July 2015.

**4.0 Sustainability Implications**

- 4.1 Activity to improve service delivery assists in achieving a sustainable service for the future.

**5.0 Resource Implications**

5.1. *Financial Details*

- 5.2 There are no financial implications associated with this report.  
Yes  No

- 5.3 Finance are part of the steering group and previous financial commitments from both local authorities are governed through the steering group.  
  
Yes  No

5.4 *Staffing*

There are no staffing implications at this stage.

## 6.0 Exempt Reports

6.1. Is this report exempt? Yes  (please detail the reasons for exemption below) No

## 7.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

(1) **Our Priorities** (Please double click on the check box )

The area has a positive image and attracts people and businesses	<input type="checkbox"/>
Our communities are more cohesive and inclusive	<input type="checkbox"/>
People are better skilled, trained and ready for learning and employment	<input type="checkbox"/>
Our communities are safer	<input type="checkbox"/>
Vulnerable people and families are supported	<input checked="" type="checkbox"/>
Substance misuse and its effects are reduced	<input type="checkbox"/>
Health is improving and health inequalities are reducing	<input type="checkbox"/>
The environment is protected and enhanced for all	<input type="checkbox"/>
The Council is effective, efficient and recognised for excellence	<input checked="" type="checkbox"/>

(2) **Council Policies** (Please detail)

None.

## 8.0 Equalities Impact

8.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations? N/A on this occasion. Yes  No

## 9.0 Legality

9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

## 10.0 Appendices

10.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

None

## 11.0 Background Papers

11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

Yes  (please list the documents below) No

**Author(s)**

<b>NAME</b>	<b>DESIGNATION</b>	<b>TEL NO / EXTENSION</b>
Liam Purdie	Assistant Head of Social Services, Child Care	01259 225192

**Approved by**

<b>NAME</b>	<b>DESIGNATION</b>	<b>SIGNATURE</b>
Val de Souza	Head of Social Services	Signed: V de Souza
Elaine McPherson	Chief Executive	Signed: E McPherson

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**Report to Housing, Health & Care Committee**

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**Date of Meeting: 21 August 2014**

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**Subject: Implementation of the Social Care (Self-directed Support)  
(Scotland) Bill**

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**Report by: Head of Social Services**

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**1.0 Purpose**

- 1.1. The purpose of this report is to update Committee about progress with the implementation of the Social Care (Self-directed Support) (Scotland) Act 2013 (the Act). This is the second of a series of reports will be presented to Committee throughout the course of 2014-2015, focusing on different aspects of implementation.
- 1.2. This report focuses on Self-Directed support (SDS) in adult social care services. The Act introduces a duty on the local authority to offer those with eligible needs greater choice and control and greater flexibility over the types of support that they receive. In this context it is essential that there is a clear and consistent framework to identify the needs that are eligible for local authority funding. This report sets out this framework.

**2.0 Recommendations**

- 2.1. It is recommended that Committee:
- 2.1.1 Note progress on implementation of the Act (paragraphs 3.3-3.9).
- 2.1.2 Recommends to Council to approve the revised eligibility framework, including the introduction of financial thresholds and appeals process, for operational implementation. The framework will apply to all adult care groups and carers, utilising any of the four SDS options. (paragraphs 3.10-3.16)
- 2.1.3 Note that the service will continue to monitor and review the implementation of SDS.

### **3.0 Considerations**

- 3.1 The Committee Report presented to Housing, Health and Care Committee in May 2014, set out the approach to SDS implementation. It outlined the development of outcomes based approaches, the method for allocating resources through SDS, adjustments to the charging policy and considerations around financial risks.
- 3.2 The challenges and issues associated with the implementation of SDS include the following:
- A change in culture and practice
  - Traditional understanding and expectations of the public and stakeholders of local authority provision
  - The requirement to promote access to a wider range of natural and community-based supports and the development of more flexible models of support and care
  - Financial viability during transition. There are specific risks if individuals elect to use their budgets differently and move away from using service directly provided by the Council. This could entail double running costs until resources can be released from current service models.

The Service is addressing these challenges through a broad programme of redesign. We have reviewed and revised the assessment process and are actively working with partners to develop capacity in community-based services. These developments are reflected in sections 3.3-3.7 of the report.

- 3.3 Working with a range of partners, including our own staff, service users, carers, NHS Forth Valley, support providers and advocacy organisations, the Service continues to raise awareness of Self-Directed Support (SDS). The core message is focused on embedding outcomes based approaches that make imaginative use of all the resources available.
- 3.4 There is a clear emphasis on improving the ease of access to informal and community based supports with the aim of maximising a preventative approach to health and wellbeing and reducing dependency on formal services. This is a key component of the redesign work in adult social services (see Appendix One, Adult Care Pathway). The revised eligibility framework (see Appendix Two) has been developed in the context of promoting and improving access to local, community based supports.
- 3.5 The Service is working with the third and independent sectors to ensure an appropriate range of suppliers and providers, equipped to deliver flexible services that will meet the needs of service users and carers. We hosted two workshops in 2014 with care and support providers to assist with implementation. These events have provided information about the Service's approach to implementing the Act, sought feedback about what would be of assistance to provider organisations and facilitated learning and sharing across the sectors. The Service is now collating profiles from providers and suppliers of services and supports and planning for the information to be updated electronically. This will enable individuals and carers, as well as staff, to have ready access to current information about a diverse range of

community provision. This will also be instrumental in identifying strengths, weaknesses and any gaps within the local social care market and will inform our overarching approach to commissioning services for care groups.

- 3.6 There are positive case examples that demonstrate how SDS has helped to introduce more flexible and innovative approaches to designing and delivering care and support services. For example, an older man with advanced dementia was resident in a nursing home. The admission to care took place at a time when his wife was finding the caring role particularly stressful. By using a personal budget and designing services at times that suit them and that support his wife to continue in her caring role, the individual has been able to return to live in the family home.
- 3.7 The Service proposes developing a framework for evaluation of the implementation of SDS. It is suggested that this will include assessment of the following:
- The skills and competence of staff in applying SDS
  - The information available to assist and support individuals and the wider public about SDS
  - The promotion of choice and control
  - Impact and analysis of the outcomes for individuals and their carers
  - Financial impact of SDS

It is proposed that this will be conducted at the end of 2014/2015 and will incorporate feedback from service users across all client groups, their carers and families and staff members. It will also include an audit of documentation and case file records.

#### Eligibility for Social Services

- 3.8 SDS can consist of a range of innovative arrangements that meet the agreed eligible outcomes, provided that their needs are met and risks are addressed within legal requirements. To address the increasing demands on social care services and the significant budgetary pressures, it is proposed that the Service adopt a revised eligibility framework.
- 3.9 The eligibility framework currently used by Clackmannanshire Council Social Services is based on the National Eligibility Criteria. The National Eligibility Criteria for free personal care was introduced by Scottish Government in 2009 as a policy requirement for all Local Authorities to implement locally. Central to the National Eligibility Criteria is the requirement for those staff conducting assessments to consider how each individual's needs match against eligibility criteria in terms of severity of risk and urgency of intervention. The eligibility framework prioritises risks into five distinct bands: critical risk, substantial risk, moderate risk, low risk and no risk. It is proposed that service delivery will be prioritised critical and substantial risk. It is the responsibility of the local authority to ensure that local eligibility criteria are compatible with the national definitions set out above. The introduction of SDS legislation means there is a requirement for the Council to review the application of the National Eligibility Criteria to ensure it is compatible and consistent with the implementation of SDS locally.

- 3.10 The revised eligibility framework will apply to all adult social care services and will include adult carers and to where service users elect to use any one of the SDS options. The framework will provide for one mechanism for consistent resource allocation. The framework is an integral element of the model for adult care redesign. The introduction of the framework will be underpinned by improving access to community based services and supports, prevention and early intervention strategies to ensure that individuals receive the services and supports they need at an early stage.
- 3.11 The starting position will mean that all new referrals to social services will be assessed under an eligibility framework for adult social work services based on risk. This process is based on the principles of transparency and equity. Staff and the public will be clear about how their support will be assessed and how resources are allocated to meet agreed outcomes. Eligibility will be linked to managing levels of risk. Under the revised framework, some needs currently assessed as eligible for social services funding may not be assessed as eligible for funding to be allocated. Where service users are subject to review, there will be consideration of alternative options to meet care needs through use of community based resources to maximise independence.
- 3.12 It is proposed that through the assessment or review process, the worker will explore all potential assets available to the individual. Wherever appropriate, the individual will be offered an assessment that will now include advice and support about how to enhance their own skills and increase their independence e.g. reablement, rehabilitation or self-help/recovery type services and supports. This will be completed prior to the identification of the outcomes that are eligible for funding by the local authority.
- 3.13 Eligible outcomes for local authority funding will be those that are assessed as **critical** or **high**. Eligibility is therefore clearly linked to managing levels of risk within a framework that supports individuals to be as independent as possible.
- 3.14 In recognition of the pressures on the local authority budget, a threshold for funding for non -residential services will be set at the same level as the National Care Home rate, where this applies. From June 2014, the National Care Home rates are:
- £587.00 per week with nursing care
  - £499.38 per week without nursing care

At present this only applies to adults over the age of 65. For all other care groups the threshold will be set at the average cost of equivalent residential provision for that care group in the previous year. This will vary according to care group.

- 3.15 In exceptional circumstances, consideration will be given to allocating resources outwith and above this threshold through the Resource Panel chaired by the Adult Care Service Manager. Any decisions made will be in accordance with financial regulations. An appeals process will be available.
- 3.16 It will be clear to individuals, their families and other stakeholders including the wider public how resources are allocated to meet agreed outcomes.



Public information including factsheets will be updated to incorporate information about the eligibility framework.

#### **4.0 Sustainability Implications**

- 4.1 SDS requires a significant shift in approach to ensure that services and supports commissioned and provided are significantly flexible and diverse to meet evolving needs and requirements within available resources. It should be noted that no additional resources were allocated to Local Authorities for the implementation of this legislation. As set out in the Committee Report presented to Housing, Health and Care Committee in May 2013 there are potential financial risks associated with implementation of the legislation, specifically in relation to waiving charges for carers as set out in the Carers (Waiving of Charges for Support) (Scotland) Regulations 2014. The additional cost implications of increased demand for assessment and a wider range of types of support being made available cannot be quantified at this stage. There is an ongoing requirement for comprehensive financial analysis, monitoring and review, the development and review of financial and business processes to support the implementation of Self-directed support, the continued scrutiny of care packages and the review and redesign of internal services. The implementation of the eligibility criteria and associated financial thresholds are fundamental to achieving this. It is not possible at this stage to identify the impact of the eligibility framework on service spend. This will require to be robustly monitored.

The likely impacts of this report's recommendations on the Council's sustainability objectives have been identified. Through the focus on early intervention and prevention and the introduction of greater flexibility and enhanced choice and control for individuals with social care needs, it is assessed that there will be a positive impact in respect of the following:

Improve quality of life in Clackmannanshire

Reduce social exclusion

Reduce health inequalities

Encourage community participation in decision making

#### **5.0 Resource Implications**

##### *5.1. Financial Details*

- 5.2. The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. Yes

- 5.3. Finance have been consulted and have agreed the financial implications as set out in the report.

Yes

#### 5.4. Staffing

No staffing implications

### 6.0 Exempt Reports

6.1. Is this report exempt? Yes  (please detail the reasons for exemption below) No

### 7.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

(1) **Our Priorities** (Please double click on the check box )

The area has a positive image and attracts people and businesses	<input type="checkbox"/>
Our communities are more cohesive and inclusive	X
People are better skilled, trained and ready for learning and employment	<input type="checkbox"/>
Our communities are safer	<input type="checkbox"/>
Vulnerable people and families are supported	X
Substance misuse and its effects are reduced	<input type="checkbox"/>
Health is improving and health inequalities are reducing	<input type="checkbox"/>
The environment is protected and enhanced for all	<input type="checkbox"/>
The Council is effective, efficient and recognised for excellence	X

(2) **Council Policies** (Please detail)

### 8.0 Equalities Impact

8.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

Yes  No

### 9.0 Legality

9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

### 10.0 Appendices

10.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

Appendix One: Adult Care Pathway

Appendix Two: Eligibility Framework

## 11.0 Background Papers

11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

Yes  (please list the documents below) No

Social Care (Self-directed Support) (Scotland) Act 2013

### Author(s)

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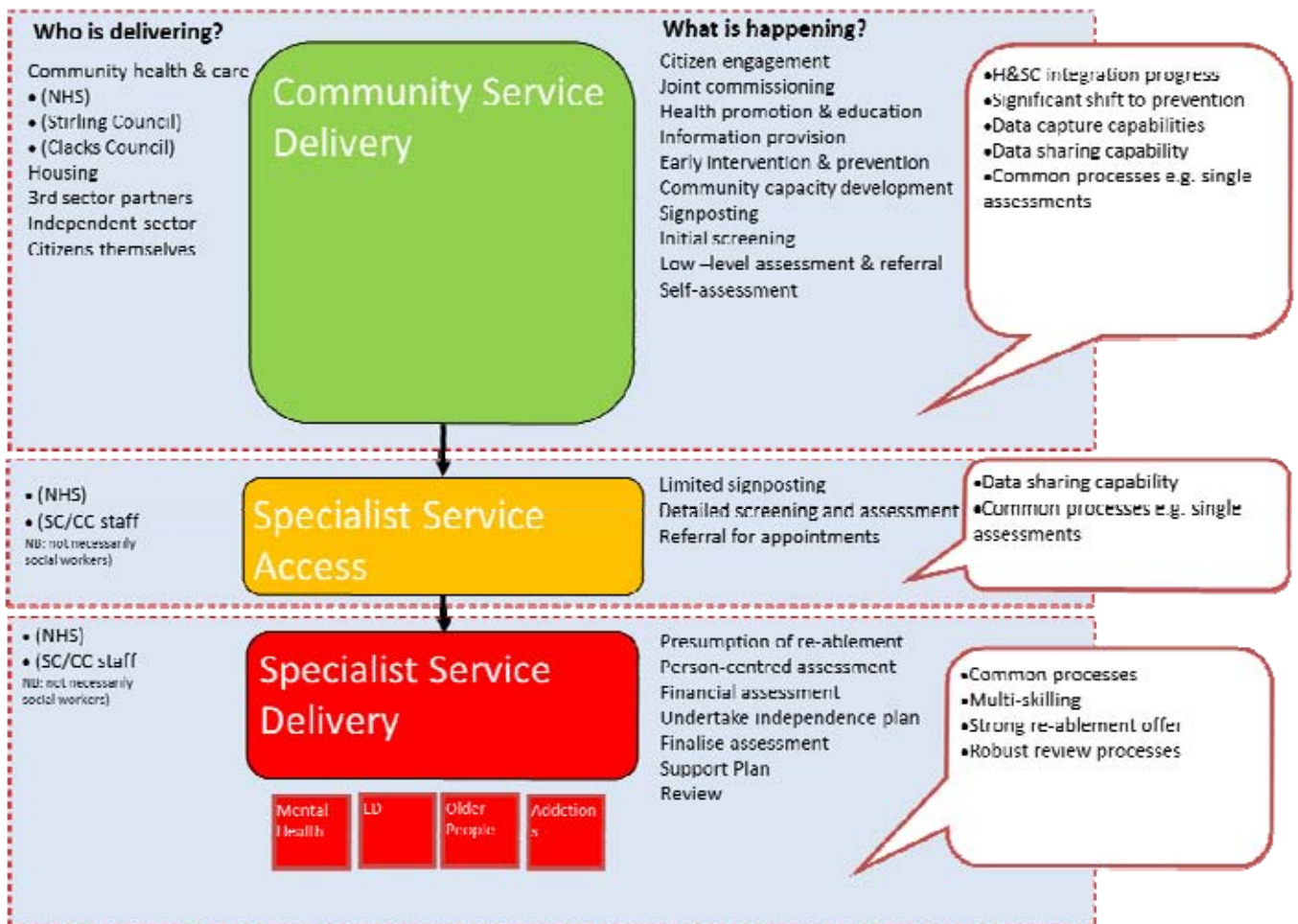
### Approved by

NAME	DESIGNATION	SIGNATURE
Val de Souza	Head of Social Services	Signed: V de Souza
Elaine McPherson	Chief Executive	Signed: E McPherson



# Appendix One

## Adult Care Pathway





# DRAFT ELIGIBILITY FRAMEWORK

