

Northern Ireland

Supporting People Review

Lessons Learned Report from Supporting People Programmes in the UK and Republic of Ireland

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Introduction

1. On the 1st April 2003 the Supporting People programme was implemented across the United Kingdom (UK). The purpose of the programme was to improve the planning, development and delivery of housing related services to vulnerable people by enabling them to have greater independence and control in making choices within their lives.
2. In 2012, the Department for Social Development published 'Facing the Future Northern Ireland Housing Strategy 2012 – 2017'¹. Within the strategy's action plan, there is a commitment by the Department to review the Supporting People (SP) programme, particularly its policy and legislative framework.
3. This lessons learned report is one of seven key deliverables required as part of the Supporting People Review. Its purpose is to provide an evidence base to inform the final recommendations of the review; derived from experiences and lessons learned from the delivery of similar Supporting People schemes or services to support independent living in other jurisdictions.

Scope

4. The wider review of Supporting People focuses primarily on Northern Ireland. The scope of this lessons learned report is specifically on developments outside Northern Ireland, i.e. in England, Scotland, Wales and the Republic of Ireland.

Objectives

5. The Terms of Reference for this report states the objectives as follows:
To provide an overview of Supporting People schemes from across the UK and other European jurisdictions, including:

¹ Department for Social Development, 'Facing the Future: Housing Strategy for Northern Ireland' Action Plan 2012-17. Available from: <http://www.dsdni.gov.uk/index/hdiv-housing/hdiv-publications/hdiv-facing-the-future.htm>

- Any amendments to the legislative provisions governing the delivery of the scheme in each jurisdiction;
 - The policy aims and objectives of SP schemes in each jurisdiction;
 - Any relevant issues, risks or constraints in the delivery of SP schemes in each jurisdiction;
 - Evaluations of SP in each jurisdiction;
 - If (and how) the policy or delivery of SP schemes in each jurisdiction has evolved.
- **Identify relevant learning for NI's SP scheme. This may include:**
 - The impact of any policy changes introduced elsewhere;
 - The impact of any changes to delivery arrangements introduced elsewhere;
 - Any relevant administrative or organisational changes elsewhere to how the schemes are implemented (e.g. removal of the ring fenced budget for Supporting People in some parts of the UK); and the extent to which SP schemes in GB have delivered value for money, taking into account both cost and the quality of service and outcomes for service users.
 - Examine types of supported housing schemes which are delivered in the Republic of Ireland which support independent living.

Methodology and structure

6. To complete the lessons learned paper we will draw upon a variety of data sources to support the analysis, including:
 - **Secondary sources such as publications** relating to Supporting People schemes in the UK and Republic of Ireland. This includes guidance, policy documents, strategies, reviews and research papers;
 - **Interviews with key government officials and service providers** to ascertain their views on the development of the scheme to date and contemporary issues facing the Programme within their jurisdiction.

7. The research to support this paper has included has included an assessment of policy and research documents as well as other available data sources. Telephone interviews, questionnaires and other research papers such as national independent reviews were used to inform this paper. We considered the experiences of SP service providers and local authorities in recent years to establish the current picture of SP delivery in each jurisdiction. We conducted telephone interviews or questionnaires in each jurisdiction except for Wales, as independent reviews provided sufficient current information on the recent SP position in Wales and it was determined that additional interviews or questionnaires were not necessary.

8. A section for each UK jurisdiction within the paper is included and structured as follows:
 - Summary, including policy aims and objectives
 - Governance and Regulation
 - Quality Assurance: Measuring the impact on individuals
 - Programme Funding
 - Procurement and Commissioning
 - Timeline of key events
 - A composite table of legislation for all jurisdictions has been provided at Appendix I.

Jurisdictions

England - Summary

1. Supporting People was launched as a national programme on 1st April 2003 with policy direction determined centrally by the Department for Communities and Local Government (DCLG). In England Supporting People was established to provide a more coherent approach to help vulnerable people to gain or maintain independent living by providing access to housing related support services. The programme also aims to prevent problems that can lead to homelessness, institutional care or hospitalisation by helping to protect tenancies and assist people leaving institutions to live more independently² It ultimately aimed to end social exclusion among vulnerable groups by providing support at an early stage with the hope of achieving the dual benefits of avoiding crisis and subsequently more costly interventions.
2. Local Authorities (LA) were responsible for the administration and roll-out of the scheme. Funding was allocated from central Government and budgets ring-fenced with local commissioning of services within national guidelines via dedicated commissioning and procurement teams. This central approach resulted in the development of national policies, a national strategy, minimum standards of service provision for different service types and governance and monitoring structures to ensure value for money whilst achieving innovation and service improvements to better meet service user needs.
3. Since 2010, as a result of both localism and government budget reductions applied to local authority grants, the ring-fence has been removed and decision-making on services and funding have been more strongly devolved to local authorities. Fears that local authorities would use SP budgets for other services

² Audit Commission, Housing, National Report, October 2005, 'Supporting People', pp. 6-7. Available from: <http://archive.audit-commission.gov.uk/auditcommission/subwebs/publications/studies/studyPDF/3258.pdf>

once the ring-fence was removed have in many cases been realised³.

4. The picture of SP in England today seems to be that fewer and fewer local authorities are maintaining a separate SP budget or team (many SP teams have been amalgamated with social care or mainstream council service teams). The key driver for this appears to stem from overarching cuts to LA budgets which are prompting local authorities to prioritise statutory services, often to the detriment of SP services.

Governance and regulation

5. The Department for Communities and Local Government (DCLG) has overall responsibility for the Supporting People Programme in England. Initial guidance from DCLG on governance structures for SP established that Administering (now called Local) Authorities (AAs) were responsible for implementing SP in their area of jurisdiction. Above the AA was the Commissioning Body which agreed the strategy and annual SP plan for the area. The Commissioning Body held the AA to account for its delivery of the SP strategy and plan. In England local authorities rated as “excellent” were not required to establish a commissioning body, but some still opted to adopt this structure. Recent feedback from SP service providers suggests that the removal of the ring fence means that commissioning teams for SP are far less common now and many have been integrated into mainstream local authority commissioning and procurement teams, often resulting in loss of SP priorities and experience.
6. There was only one SP strategy published for England, in 2007. Until 2009 all authorities responsible for delivering SP grant were subject to Audit Commission inspections. The purpose of the regime was to drive value for money and identify areas for improvement in the programme.

³ National Audit Office, Local government report by the Comptroller and Auditor General ‘The impact of funding reductions on local authorities’ November 2014, pp. 25 & 32. Available from: <http://www.nao.org.uk/wp-content/uploads/2014/11/Impact-of-funding-reductions-on-local-authorities.pdf>

7. The monitoring/regulation arrangements for the Supporting People programme involved a national system that was locally applied. They included a requirement for all providers to be accredited, and for services to be evaluated annually against a self-assessed, but externally validated, Quality Assurance Framework. For a short period of time Comprehensive Area Assessments were used to monitor performance, but this mechanism ceased due to red-tape and cost which diluted its value for money. Currently the most common method of monitoring performance is conducted through the Outcomes Framework⁴. The Quality Assurance Framework and the Outcomes Framework are discussed further later in this paper.
8. Funding changes in 2010 (also discussed later) simultaneously ended the requirement for both national and local authority monitoring and reporting. The DCLG ceased collection of SP client record and outcome data in April 2011. Saint Andrews University still collects national SP data but this is limited to those authorities and service providers who have opted to participate voluntarily since 2011-12⁵.
9. According to the National Audit Office (NAO) 2014 report the DCLG no longer monitors in a coordinated way the impact of funding reductions on services instead depending on other departments or inspectorates to alert DCLG to problems. The NAO also found that DCLG processes for assessing the capacity of authorities to absorb further funding reductions were not sufficiently robust⁶.

Quality Assurance: Measuring the impact on individuals

10. The monitoring/regulation arrangements for the Supporting People programme involved a national system that was locally applied. They included a requirement

⁴ Communities and Local Government 'Supporting People: client records and outcomes' available from: <https://www.gov.uk/government/collections/supporting-people-client-records-and-outcomes>

⁵ St Andrews University, Centre for Housing Research, 'Supporting People Client Records and Outcomes Data'. Available from: <https://supportingpeople.st-andrews.ac.uk/index.cfm>

⁶ National Audit Office, 'The impact of funding reductions on local authorities' November 2014, summary. Available from: <http://www.nao.org.uk/report/the-impact-funding-reductions-local-authorities/>

for all providers to be accredited, and for services to be evaluated against a self-assessed, but externally validated, Quality Assurance Framework annually. For a short period of time Comprehensive Area Assessments were used to monitor performance but this mechanism ceased due to red-tape and cost. Currently the most common method of monitoring performance is conducted through the Outcomes Framework⁷. The removal of the budget ring-fence simultaneously removed the SP reporting requirements which mean accountability for the SP programme now takes place at local authority level based on individual council priorities.

11. The absence of data collection on SP services following the removal of the ring fence creates the obvious problem of not being able to assess how money allocated for SP is actually being spent. It also has the effect of not being able to assess the strengths, weaknesses and overall effectiveness of SP for different types of service user.
12. The two key tools that provide an evidence base for how effectively SP interventions meet the needs of individuals are the Quality Assessment Framework (QAF) and the Outcomes Framework (OF).

Quality Assessment Framework (QAF)

13. The QAF is an annual self assessment for service providers which measures levels of performance against six key objectives. It is widely held to be one of the great successes of the Supporting People programme although its use is no longer mandatory. The Audit Commission identified the Quality Assessment Framework as being the “most frequently mentioned driver of better quality.”⁸ Interviews with service providers as part of this report were generally positive about its role and impact. Interviewees noted its value in encouraging the involvement of service users and for driving improvement to services.

⁷ Communities and Local Government ‘Supporting People: client records and outcomes’ available from: <https://www.gov.uk/government/collections/supporting-people-client-records-and-outcomes>

⁸ Audit Commission ‘Supporting People Programme 2005-2009’ pg. 13. Available from: <http://archive.audit-commission.gov.uk/auditcommission/sitecollectiondocuments/AuditCommissionReports/NationalStudies/SupportingPeople13Oct05REP.pdf>.

14. A revised QAF was issued in April 2007 following recommendations for improvement in the 2005 Audit report⁹. The QAF was revised again in 2009 to increase the focus on service user involvement at all levels of the programme and to improve services and outcomes. See Appendix C for more detail on the QAF.

The Outcomes Framework (OF)

15. The Supporting People Outcomes Framework was introduced in 2007. A key criterion of the Outcomes Framework is that service users have support plans which clearly identify their housing support needs and ensure their involvement in identifying the outcomes they hope to achieve through engagement with Supporting People services¹⁰. Unlike the QAF the Outcomes Framework has never been mandatory, but its use was encouraged by the DCLG. See Appendix D for more detail on the Outcomes Framework.

16. Service providers viewed the Outcomes Framework as a useful tool for benchmarking against national standards, but cautioned that being non-compulsory limited the feedback to service providers from these frameworks.

User Involvement

17. Much of the research conducted as part of this report and views expressed by service providers pointed to the value of involving service users in the design and delivery of services. In one example given by a provider, service users made up 26-28% of current staff with the provider gaining improvements in service design, and contribution of great ideas and innovations. In other examples service users were involved in strategy development, key policies, peer reviews, surveys and

⁹ Audit Commission 'Supporting People' Housing National Report, October 2005, pg. 142-143. Available from: <http://archive.audit-commission.gov.uk/auditcommission/sitecollectiondocuments/AuditCommissionReports/NationalStudies/SupportingPeople13Oct05REP.pdf>

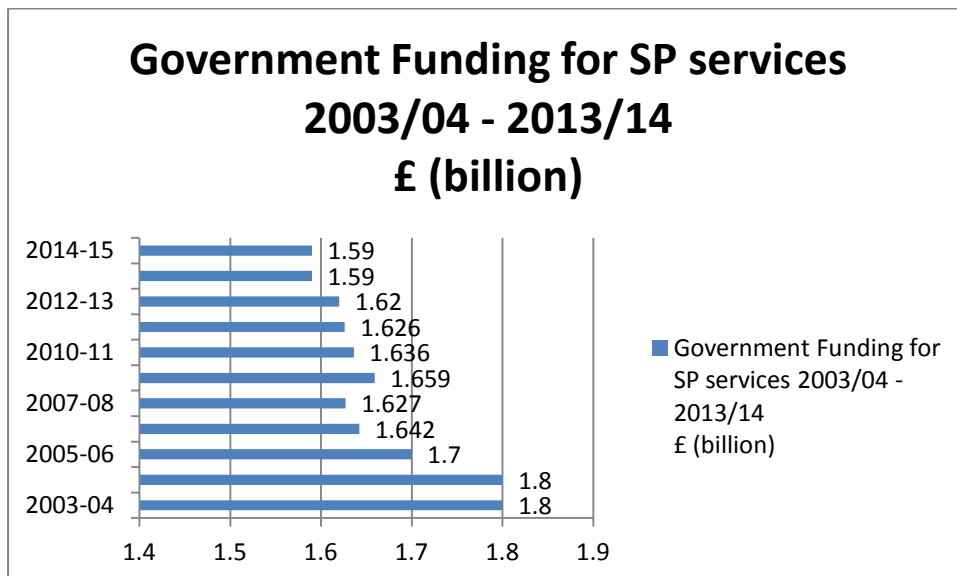
¹⁰ House of Commons, Communities and Local Government Committee 'The Supporting People Programme' Thirteenth Report of Session 2008-09, 13 October 2009, pg. 12. Available from: <http://www.publications.parliament.uk/pa/cm200809/cmselect/cmcomloc/649/649i.pdf>

acting as resident board members. However the cost associated with training users to participate fully at all levels was noted.

18. The Driving-Up Quality Code: Self Assessment Guide has a focus on people with challenging behaviour and who have long-term complex support needs. The aim of the code is to drive up quality in services, beyond the minimum standards, primarily focussing on people with learning difficulties but the five key areas identified to indicate good organisational practice for consideration through a self-assessment.

Programme Funding

19. At its launch in 2003/4 the Supporting People programme brought together seven funding streams into a single ring fenced grant to improve the quality of life of vulnerable SP client groups. The initial budget was set at £1.8 billion, but this has steadily reduced over the years. The table below shows SP funding from 2003/4 to 2014/15.



20. The Department for Communities and Local Government has argued that the Supporting People funding reductions represented “significantly smaller change than other areas of Departmental spending, in percentage terms and attempts to

minimise the impact of spending changes on services for vulnerable people¹¹.

21. Such reductions to the overall budget for SP may have been manageable through efficiency savings (as DCLG envisaged), but for the removal of the budget ring fence in 2010.
22. The removal of the ring fence was reflective of Government policy at the time to increase the autonomy of Local Authorities to make decisions based in the specific needs of their area. This policy was manifest in the Localism Act 2011 which conferred a 'general power of competence' on Local Authorities that enabled them to do anything not prohibited by law.
23. There is evidence that removing the protection afforded by the ring-fence, combined with wider reductions to Local Authority funding has resulted in an overall reduction in spending on housing support services.
24. The removal of the SP budget ringfence aligned with the removal of the reporting and monitoring requirements for SP. As a result it is no longer possible to state what actual SP services spend by LAs is. Additionally many LAs have incorporated SP services into their generic services making SP spend very difficult to identify. The closest approximation of current SP spend has been identified from a November 2014 report from the National Audit Office noting that Government funding to local authorities has fallen by 28% over the 2010 spending review period.
25. This pressure on overall expenditure has forced local authorities to prioritise statutory services and to increase their reserves. Consequently, over the same period (2010-11 to 2014-15) spending on SP across England will fall by a median of 45.3%¹² despite limited reductions in programme funding by government.

¹¹ Department for Communities and Local Government, 'Spending Review 2010: Equality Impact Assessment – Funding for the Supporting People Programme, December 2010, pg. 5-7. Available from: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/6022/17958593.pdf

¹² National Audit Office, Local government report by the Comptroller and Auditor General 'The impact of funding reductions on local authorities' November 2014, pp. 25 & 32. Available from: <http://www.nao.org.uk/wp-content/uploads/2014/11/Impact-of-funding-reductions-on-local-authorities.pdf>

There are significant differences in the scale of funding reductions faced by different authorities. Those that depend substantially on government grant are most affected by funding reductions and reforms. This was an outcome of policy decisions to tackle the fiscal deficit by reducing public spending, and for local authority funding to offer incentives for growth¹³.

Value for money

26. It can be argued that there is not an individual model or evaluation tool that is comprehensive in testing and assessing the full potential value, benefits, savings and success of the SP programme. Appendix K gives an overview of studies to date to support the comments given below.

27. Several models have been used, often based on the Cap Gemini financial model, initially developed in 2004 then updated following commissioning of further study by the DCLG in 2006 and 2009. This toolkit is essentially a costing model for complete support packages taking into account as saving those 'avoided costs' if SP funded services were replaced by the most appropriate positive alternatives for meeting the groups needs¹⁴.

28. Scotland's Tribal Consulting 2007 model experienced limitations in the available data at SP client group level, forcing the study to examine savings at SP 'super-group' level, that is, groups that overlap. Welsh studies in 2006 and again in 2010 still experienced limitations around complexity, assumptions and focussed on financial savings only. Recently, Birmingham City Council has developed a toolkit using a 'Whole Systems Approach' to combine both financial and personal benefits, from a national perspective to an individual's journey. This study also incorporated earlier work by the Cap Gemini and the Scottish Government.

¹³ As above.

¹⁴ Communities and Local Government, 'Research into the financial benefits of the Supporting People programme, 2009', section 1.1. Available from: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/16136/1274439.pdf

29. It is difficult to compare these studies as they examined different client group mixes, over different periods of time, using different assumptions however overall each study has reported SP has saved money in other budget areas.

30. In 2012, the Department for Communities and Local Government (DCLG) stressed the need for local authorities be mindful of “evidence showing that every pound spent through [Supporting People] saves £3 in reduced costs in homelessness, tenancy failure, crime, health and residential services’ as they set their budgets¹⁵. It is reasonable to accept this measurement as a best-available estimate of SP savings in other budgets which demonstrates the value for money spent offered by the SP programme.

Value for money from a service provider perspective

31. Value for money in the SP programme is a key requirement for service providers who must ensure in this time of ever tightening budgets that best value is achieved to ensure viability of service provision. In addition to the general consensus that SP services save money in other budget areas examples of value for money were given by service providers contributing to this report. For example, one provider who delivers accommodation and support for life-time license clients and also mental health clients estimates the cost of his service provision is approximately 10 per cent of the cost that would be applicable in locked-ward accommodation.

32. Most service provider’s highlighted the significant reductions in the hourly support rate as a value for money issue, having seen hourly rates reduce continuously from £23 per hour approximately to £14-£16 per hour at the time of writing this report. In general the current hourly support rate is not viewed as viable or sustainable, particularly if additional reductions to the rate are imposed. The impact of these support rate reductions means staff in provider organisations are earning close to the minimum wage once overheads etc are taken into account.

¹⁵ Department for Communities and Local Government, Grant Shapps: ‘Invest to save’ and offer support to vulnerable people, press notice, 20 March 2012, available from:

<https://www.gov.uk/government/news/invest-to-save-and-offer-support-to-vulnerable-people>

Providers are monitoring these rates as some indicate that any further reductions may result in cessation of the service. Mixed views were given in that some providers viewed the floating support hourly rate reductions as demonstrating value for money whilst others perceived it as service providers almost subsidising government services.

33. A county-wide floating support service provider remodelled their support service to denude the impact of floating support rates allocated by LAs. Home visits are no longer made instead the provider now delivers the service 7 days per week, including evenings, over 18 drop-in centres normally accessed by service users. Floating support officers utilise technology to automatically update the provider organisation. This innovative service model reduces the impact of LA funding only direct floating support service provision and reduces provider cost-absorption for non-funded activities such as: - support worker travel costs, service managers and other office administrative costs such as office space and insurance.

Fair Charging

34. As reflected in other areas of this report it is not surprising that in relation to charging for SP services there is currently an unclear picture across England in relation to SP Charging Policies. Since the removal of the budget ringfence local authorities are free to use SP funds for other services, based on determinations of local priorities by individual councils. It has not been possible to establish the application of a central or national SP Charging Policy in recent years.

35. Fairer Charging policies are applicable to those service users who pay for their support which is a consideration applicable to all long-term services as SP and certain other short-term support services are provided free of charge to users. SP Charging policies are currently operating in those local authorities still retaining Supporting People services however despite these policies being entitled 'SP Charging Policies' they are examples of service charging policies which have been developed by individual local authorities, written in accordance

council's discretionary powers, to charge adult recipients of non-residential services such amounts as the Local Authority considers reasonable.

36. Service Charges generally was examined by the Audit Commission in their report 'Charging with Care', May 2000¹⁶. The four main charging models adopted by English councils were examined and assessed. Recommendations were made to make the process more transparent and uniform.

A publication by the Department of Health's 'Fairer Charging Policies for Home Care and other non-residential Social Services: Guidance for Councils with Social Services Responsibilities'¹⁷ was published during June 2013. As Supporting People service users may also receive Home Care, or other authority service, a single assessment will take place under the Fairer Charging process to take account of both support and care service costs, for those service users who are not eligible for free services. The Department of Health's (DoH) Care Act 2014^{18 19} also has an impact on service charging environments. The Care Act is intended to deliver a clearer, more consistent way of assessing what people can afford to pay for their care and support. This approach is to provide for a charging assessment that takes into account all service charge costs to ensure the self-funding service user has a certain level of income remaining after charges, set out in the DoH guidance, to reflect earlier audit recommendations and take account of other frameworks.

¹⁶ Audit Commission, May 2000, 'Charging with Care: how Councils charge for Home Care'. Available from: <http://archive.audit-commission.gov.uk/auditcommission/subwebs/publications/studies/studyPDF/1392.pdf>

¹⁷ Department of Health, June 2013 'Fairer Charging Policies for Home Care and other non-residential Social Services'. Available from: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/208323/Fairer_Charging_Guidance_final_2013-06-20_rc.pdf

¹⁸ Department of Health, 6 June 2014, 'Care Act 2014: Factsheets' Available from: <https://www.gov.uk/government/publications/care-act-2014-part-1-factsheets>

¹⁹ Department of Health, 23 October 2014, 'Care Act 2014: Statutory Guidance for implementation'. Available from: <https://www.gov.uk/government/publications/care-act-2014-statutory-guidance-for-implementation>

Commissioning and Procurement

Commissioning SP services

37. Prior to the removal of the budget ring fence, the national Supporting People governance arrangements required local programme governance through a delivery structure led by the Commissioning Body. This body was required to include social services and housing representatives, as well as representatives of probation services and the local primary care trusts. Commissioning Bodies, in each local authority, were responsible for reviewing all existing services for costs, quality, and strategic relevance before issuing new contracts to providers.
38. Commissioning Bodies were expected to work in partnership with providers and service users in the development of strategy and the commissioning of services. The governance approach imposed through joint Commissioning Bodies supported a cross-cutting approach and helped to link Supporting People provision into wider strategies for relevant vulnerable groups.
39. Interviews for this report highlighted that the removal of the budget ring fence has led to a move away from dedicated Supporting People Commissioning Bodies, to local generic commissioning teams. This has resulted in a loss of priority for Supporting People services in some local authority areas, as well as a loss of expert knowledge of the services being commissioned those in local authority areas that have disbanded Supporting People Teams. The introduction of the Care Act 2014, which is to be implemented in April 2015, is also relevant to this point. It is the first government initiative which prominently promotes preventative services since the Supporting People Programme. In practice it has resulted in health colleagues moving into local councils, bringing with it concerns of a loss of the understanding of what support means in relation to helping vulnerable people become, or remain independent.
40. There are examples of local authorities retaining their Supporting People Commissioning Teams and contributors in those areas have stated that this retention is essential for them to demonstrate the positive outcomes and benefits

that Supporting People spending has on other budget areas. This is crucial in ensuring support for the programme with public sector colleagues.

Procurement practices and concerns

41. The commissioning of Supporting People services in England required a formal procurement process. Procurement is the act of obtaining or buying goods and services. The procurement process includes: - identifying demand, purchase planning, standards and specifications development, supplier research and selection, value and outcome analysis as well as payment. In England the procurement process includes 4 different official procurement procedures for those wishing to bid for contracts as well as framework agreements. Local government spends around £45 billion annually on procuring goods and services from third parties²⁰. Findings from the Communities and Local Government Committee report, March 2014, estimated additional savings of around £1.8 billion could be made by councils working collaboratively by either working directly with each other, or through procurement organisations, to buy aggregated goods and service were appropriate.
42. The English procurement process is formal in nature in that each procurement process (Open; Restricted; Competitive Dialogue; Negotiated procedure; or Framework agreement) including SP spend must follow recognised procurement rules to provide appropriate levels of transparency and accountability to demonstrate that public money has been appropriately allocated and spent.²¹
43. The cost of procurement of goods and services is borne by both councils and by those organisations working with LAs. Costs arise at all stages in the process, from the pre-tendering stage through to implementation and evaluation. The Centre for Economics and Business Research (CEBR) found that UK

²⁰ Department for Communities and Local Government, February 2013, 'Government Buying'. Available from: <https://www.gov.uk/government/policies/buying-and-managing-government-goods-and-services-more-efficiently-and-effectively>

²¹ Procurement at the Department for Communities and Local Government. Available from: <https://www.gov.uk/government/organisations/department-for-communities-and-local-government/about/procurement>

procurement processes were the most expensive in the European Union and took on average 53 days longer than other EU countries²². Government has been clear they wish to address these issues to save money through improved procurement and to use government's buying power to help support the economy²³.

44. In the context of this report the launch of the SP programme coincided with the publication of the first National Procurement Strategy for Local Government 2003-2006 (latest strategy published 2014)²⁴. The rationale for this strategy was that good procurement practices can create efficiencies that free up more resources to divert to the delivery of front line services. To help local authorities improve their procurement practices and achieve efficiency targets, Regional Centres of Excellence were established under the initial strategy and these have evolved under the 2014 procurement strategy into "national and regional bodies and networks"²⁵. It is intended that these bodies will support local authorities to further improve procurement.

45. The Public Administration Select Committee (PASC) report entitled Government Procurement²⁶, July 2013, found much more needed to be undertaken to provide effective and efficient procurement and to drive economic growth despite government initiatives. Improvements are needed in relation to data, renegotiation of relationships with major suppliers and aggregation of demand across departments. Procurement processes were found to be risk-averse,

²² Centre for Economics and Business Research, on behalf of Gatewit, July 2013, 'The UK public sector's procurement process is the most expensive in the European Union'. Available from: <http://www.cebr.com/reports/uk-procurement-most-expensive-in-eu/>

²³ UK Government, Policy, February 2013 'Government buying', available from: <https://www.gov.uk/government/policies/buying-and-managing-government-goods-and-services-more-efficiently-and-effectively>

²⁴ Local Government Association 'National Procurement Strategy for Local Government in England 2014'. Available from: <http://apps.warwickshire.gov.uk/api/documents/WCCC-626-134>

²⁵ [As above.](#)

²⁶ House of Commons, Public Administration Select Committee (PASC) July 2013, 'Government Procurement' Sixth report of Session 2013-14. Available from: <http://www.publications.parliament.uk/pa/cm201314/cmselect/cmpubadm/123/123.pdf>

process-orientated and EU directives reinforced these problems. These delays had the impact of increasing costs, completions times, failed to highlight outcomes and hindered SMEs and social enterprise organisation's from accessing government contracts. Similar issues were identified in the House of Commons report on Local Government Procurement, February 2014²⁷.

46. Government welcomed the findings, highlighting their role in seeking changes to EU procurement directives²⁸. They quickly introduced the Public Bodies Procurement exercise rules detailed in the Public Contract Regulations 2015²⁹. These regulations implement the most recent EU Directive on public procurement requirements³⁰ applicable to England, Wales and Northern Ireland. The new regulations are intended to make public procurement more accessible to Small and Medium Enterprises and also include the implementation of recommendations from Lord Young's May 2013 report 'Growing Your Business' (Part 4)³¹.

47. Limited application is applicable to Scotland and Part 4 of the instrument does not apply to public bodies in Northern Ireland as both regions have devolved functions. This means both Northern Ireland and Wales have developed their own arrangements to enable smaller organisations improved access to public sector contracts which reflect existing devolved procurement arrangements. The

²⁷ House of Commons, February 2014, Communities and Local Government Committee, 'Local government procurement' Sixth Report of Session, HC 712, 2013-14, available from: <http://www.publications.parliament.uk/pa/cm201314/cmselect/cmcomloc/712/712.pdf>

²⁸ Secretary of State for Communities and Local Government by Command of Her Majesty, June 2014, 'Government response to House of Commons Communities and Local Government Committee's Sixth Report of Session 2013-14, Cm 8888. Available from: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/323930/CM8888_Web_200614.pdf

²⁹ The National Archives, February 2015, 'Public Contracts Regulations 2015, available from: <http://www.legislation.gov.uk/ukxi/2015/102/contents/made>

³⁰ Department for Communities and Local Government 'Transposing the 2014 EU Procurement Directives' September 2014, Consultation Outcome. Available from: <https://www.gov.uk/government/consultations/transposing-the-2014-eu-procurement-directives>

³¹ Lord Young, May 2013, 'Growing Your Business: A report on growing micro businesses. Available from: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/198165/growing-your-business-lord-young.pdf

Public Contract Regulations 2015 reforms are intended to address key procurement concerns and include such measures as:-

- Pre-Qualification Questionnaires are not permitted in pre-qualification stage for below-threshold procurements
- Cabinet Office guidance must be applied to the selection process for above-threshold procurements;
- Contracts must include stipulations ensuring valid, undisputed invoices are paid within 30 days – applicable also to payment of sub-contractors. Annual publication of statistics is required.
- Contracts must be published on the Contracts Finder portal (thresholds apply) for available opportunities and subsequent award of contracts³².

48. Central government spent an unprecedented £11.4 billion with SMEs in 2013-14, as new figures showed that a record 26.1% of government spending went to SMEs. The new data shows that central government spent 10.3% directly with SMEs, and 15.8% indirectly - meeting the aspiration it set in 2010 for 25% of procurement spend to be with SMEs by the end of this Parliament³³.

49. Research for this report has highlighted significant concerns about the burden that local procurement practices places on SP providers Contributors to this report identified their procurement issues as including:-

- Rigid, over-zealous application of EU rules;
- Process-driven rather than outcomes focussed;
- Continuous tendering-treadmill which passes increased costs onto service providers;

³² Crown Commercial Service, February 2015, Procurement Policy Note: 'Reforms to make public procurement more accessible to SMEs', Information Notice 03/15. Available from: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/405020/PPN_reforms_to_make_public_procurement_more_accessible_to_SMEs.pdf

³³ Wales Office and Cabinet Office, March 2015, 'New legislation opens up UK Government business to Wales as £11.4 billion spent with SMEs', available from: <https://www.gov.uk/government/news/new-legislation-opens-up-uk-government-business-to-wales-as-114billion-spent-with-smes>

- LAs often retender to reduce contract costs with minimal notice of change to providers and without considering re-negotiation with providers;
- Believe too many LAs focus on cost to the detriment of quality;
- Continuous SP/commissioner staff movement without knowledge transfer;
- Centralised procurement teams can have greater influence (cost driven) than commissioners with service knowledge; and,
- LAs all have different processes resulting in significant administrative burdens for providers working over multiple authorities (no passporting arrangements).

50. Appendix L gives more detail on the local procurement issues experienced by contributors to this report. Some of these concerns may now be addressed through the current National Procurement Strategy for Local Government. From a 'lessons learned' perspective it is appropriate to note additional issues surrounding procurement and commissioning that have emerged within the SP programme in England.

51. Competitive tendering as a practice was highlighted in the House of Commons Committee report in 2009 as a source of frustration for providers. Some key issues highlighted were:

- **Cost vs. Quality** - Emphasis on keeping costs low has jeopardised the quality of services delivered, the inevitable impact of this being poorer outcomes for service users.
- **Short term contracts** – Often short-term contract approaches are driven by uncertainty of funding in local authorities. The use of short-term contracts however was said to push Third sector and smaller local service providers (who often have vital and expert knowledge of local service users) out of the market, because they have neither the capacity nor expertise to compete in these tendering processes. This again impacts on the outcomes of the SP investment.

52. Reductions in floating support hourly rate were raised as a concern in England. Significant cuts to the floating support hourly rate paid by local authorities have

been experienced across England: from approximately £24 per hour at inception of the programme to the current approximate rate of £16-£14. Costs are bundled into direct service provision meaning providers do not get funded for key worker travel costs, service managers and other office administrative costs. Service providers believe the reductions to the hourly rate mean floating support services have to be supplemented by provider organisations bearing the cost of non-direct floating support costs. They do this through fund-raising; paying minimum wage (or close to that); not giving an annual salary increase or by redesigning the service to reduce costs.

53. Findings from recent interviews and submissions by contributors to this report indicate these issues are still valid in the current operating environment. One service provider, interviewed recently, operates in over 100 local authorities found that no two authorities applied the same procurement practices. This highlights the need for regional and cross-boundary procurement mechanisms. Insecurity over contracts was deemed to undermine the viability of some services.

54. While local authority budget reductions necessitate getting at least the same service for less money, contributors to this report suggested that negotiating with the existing service provider to achieve cost reductions was a better and more efficient method of attaining contract cost reductions than the continuous cycles of tendering which place disproportionate burdens on smaller service providers in particular.

The Compact

55. The Compact is an agreement between Government and the Third Sector aimed at improving their relationship for the benefit of each other and the communities they serve. Its relevance for SP commissioning is its Code of Good Practice that focuses on finance and procurement, and also an undertaking for Government that it will work to remove barriers that may prevent Third Sector organisations accessing government funding, thereby enabling smaller organisations to become involved in delivering service where they are best placed to achieve the desired outcomes. The Compact has become particularly important against a

background of reduced public sector financing, and the Government's aim of getting civil society more involved in the design and delivery of public services. See Appendix E for more detail on the Compact. Appendix H outlines a comparison of the four national compacts.

European Union public procurement rules – a new opportunity

56. In the early years of SP, local authorities demonstrated highly risk-averse approaches to European Union procurement rules, incorrectly focussing on competition rather than demonstrative value-for-money requirements. These problems occurred despite efforts by the then central Supporting People Teams to address these issues. There is still a need to promote best practice and encourage consistency across local authorities, despite recommendations on this issue by RSM Rhodes report as early as 2004³⁴.
57. Evidence to the House of Commons Inquiry (2009) by one excellent-rated local authority demonstrated good practice in this area. The LA took advantage of greater flexibility and in procuring 'Part B' services only requiring new or existing failing providers to undertake competitive tendering³⁵. This resulted in value for money improvements of 4.8% and improved service provision and commitment to providers. Analysis of their first round tendering showed only 1 per cent improvements in value for money when using competitive tendering as opposed to negotiation with the provider and awarding a long term contract providing 4.8 per cent.
58. During April 2014, three European Union public procurement laws came into effect which the UK government has indicated it lobbied for³⁶. Government

³⁴ Office of the Deputy Prime Minister 'Review of the Supporting People Programme' Independent Report, RSM Rhodes LLP (Eugene Sullivan) January 2004, pg. 37-39. Available from: : <http://image.guardian.co.uk/sys-files/Society/documents/2004/02/12/supportingpeoplereview.pdf>

³⁵ House of Commons DCLG 'The Supporting People Programme' Thirteenth Report of Session 2008-09, 13 October 2009, pg. 25-26. Available from: <http://www.publications.parliament.uk/pa/cm200809/cmselect/cmcomloc/649/649i.pdf>

³⁶ DCLG 'EU to open up public procurement following UK government lobbying' available from: <https://www.gov.uk/government/news/eu-to-open-up-public-procurement-following-uk-government->

intended to transpose these as soon as Spring 2015, however they are currently in the process of analysing feedback from their public consultation which closed during October 2014³⁷. Key changes proposed include:

- social contracts can be awarded with minimal procedural requirements;
- poor performance on previous public contracts can be used to exclude bidders;
- restrictions on setting minimum turnover requirements to encourage small and medium business participation;
- a focus away from price to overall cost and discouragement of use of lowest-price contract awards.

59. Government aims to save money by improving the way we buy goods and services and use government buying power to help support the economy (including ensuring Small and Medium Enterprises access 25 per cent of government spend)³⁸. Overall the new directives offer a timely opportunity in updating and consolidating the existing regime, while meeting the need for procurement and commissioning guidance to be issued to local authorities. This includes the move towards joined-up commissioning and procurement across local authority boundaries and at regional levels to significantly reduce the burden on Third Sector providers³⁹.

Timeline of key events

60. A chronology of key events related to SP Programme in England is provided below:

[lobbying](https://www.gov.uk/transposing-eu-procurement-directives) and 'Transposing EU procurement directives' available from: <https://www.gov.uk/transposing-eu-procurement-directives>

³⁷ DCLG Consultation on 'Transposition of new EU Procurement Directives: Public Contracts Regulations 2015'. Available from: <https://www.gov.uk/government/consultations/transposing-the-2014-eu-procurement-directives>

³⁸ DCLG 'Buying and managing government goods and services more effectively' February 2013. Available from: <https://www.gov.uk/government/policies/buying-and-managing-government-goods-and-services-more-efficiently-and-effectively> and 2010 to 2015 government policy: government buying, May 2015, available from: <https://www.gov.uk/government/publications/2010-to-2015-government-policy-government-buying/2010-to-2015-government-policy-government-buying>

³⁹ Cabinet Office Guidance 'Transporting EU procurement directives', 6 October 2014, available from: <https://www.gov.uk/transposing-eu-procurement-directives>

Year	Event
2003	Launch of SP programme by Office of the Deputy Prime Minister (ODPM) on 1 April 2003
2004	Spending review re SP: “a programme of work including a series of Audit Commission (AC) inspections on behalf of Government found there is considerable scope for local authorities to make savings in the SP scheme, to improve Value for Money (VFM) and reach unmet demand”.
2005	Audit Commission report published October 2005: Supporting People.
2005	Creating Sustainable Communities: Supporting Independence – A consultation on strategy for the SP programme
2006	Publication of preliminary conclusions from consultation published in July.
2007	Publication of SP strategy June 2007: 4 themes (see page 14 of House of Commons Research Paper 12/40).
2008	In November, DLGG announced ring-fenced funding would be removed from April 2009.
2009	Audit Commission report findings: many recommendations in the 2005 AC report were addressed in the strategy in a context where the level of funding decreased by £406 million in real terms between 2005/06 and 2008/09; value for money has shown continuous improvement since 2005, via better procurement and commissioning of services, robust analyses of costs and the quality of existing services have together secured efficiencies. Six factors were identified which achieved better VFM (one was ring-fencing enabling significant outcomes and utilization of savings for new services/approaches, particularly for groups at risk of social inclusion). Ring fencing gave participants an incentive to identify savings as these could be reinvested.
2009	In April, ring-fenced funding removed. A Communities and Local Government (CLG) Select Committee report noted the risk of funding being diverted from ‘electorally unpopular’ groups and those not

	eligible for statutory services.
2010	Spending Review: funding for services that support the most vulnerable people to be relatively protected, with over £6bn cumulative funding for SP over review period. National spending levels reduced, but less so than other Departmental reductions to minimise the impact on services for vulnerable people.
2010	SP grant merged into the Area Based Grant.
2011	SP allocation was subsumed in the Formula Grant paid to local authorities – there was no longer a specific budget line for SP and local authorities could cut spending on SP if they wish.

Scotland - Summary

61. As was the case across the UK, the Supporting People Programme was launched in April 2003 and the Scottish Government was responsible for the programme. The stated aim of the programme in Scotland was to “provide good quality services, focussed on the needs of users, to enable vulnerable people to live independently in the community, in all types of tenures”.⁴⁰ Funding was ring fenced from 2003 until 2008 when it was lifted mainly to increase flexibility for local authorities. From this point former SP services were referred to more generally as Housing Support Services (HSS).

62. Flexibility has increased, but some Local Authorities have either withdrawn funding or have reconfigured the Housing Support Grant making it focused on individual needs. Integration of health and social care in Scotland has proved difficult, with communication being the main issue. The Joint Improvement Team has made some progress with these issues but it is recognised that there is still work to be done.

⁴⁰ Tribal Consulting & The Scottish Government, 2007, Social Research, Housing and Regeneration and Planning, ‘Supporting People: Costs and Benefits Final Report’ pg. 15. Available from: <http://www.scotland.gov.uk/Resource/Doc/207283/0055011.pdf>

63. Recent welfare reform changes have begun to impact heavily on some areas of housing support services and there is a need for greater focus on its impact and how it affects an organisation's capacity to deliver care and support, among other issues.

64. There has been evidence of good innovation as Scotland was successful in obtaining European money to fund new technology such as Telecare and Telehealth. Local Authorities are working alongside the National Health Service and are being supported by voluntary, private and third sector partners as they work towards embedding Technology Enabled Care in their service delivery across all age and care groups.

Governance and Regulation

Governance

65. In terms of governance of housing support services, the Care Inspectorate (formerly known as the Care Commission before April 2011) and the Scottish Housing Regulator have a role (depending on whether the housing support is being delivered by a Registered Social Landlord). Where Housing Support is delivered by a charity then the Office of the Scottish Charity Regulator has a governance role.

The Care Inspectorate⁴¹

66. The Care Inspectorate is the main regulator of Housing Support Services but it also has a governance role. Its governance functions include responsibility for checking whether providers and managers of proposed care services are fit to provide or manage care services. It is also responsible for checking the financial viability of such services.

The Office of the Scottish Charity Regulator⁴²

⁴¹ 'The Care Inspectorate' Scotland. Available from: <http://www.careinspectorate.com/>

⁴² Office of the Scottish Charity Regulator (OSCR). Available from: <http://www.oscr.org.uk/>

67. The Office of the Scottish Charity Regulator (OSCR) is charged with developing a regulatory framework for Scottish charities. It was formerly an executive agency but following the passing of the Charities and Trustee Investment (Scotland) Act 2005, it was made independent of Ministerial control and answers directly to Scottish Parliament.

68. Although OSCR's main role is as the independent regulator and registrar for more than 23,000 charities, it also has a Housing Support Services governance role where Housing Support Services are delivered by a charity.

The Scottish Housing Regulator⁴³

69. The Scottish Housing Regulator (SHR) is an independent Non-Ministerial Department, directly accountable to the Scottish Parliament. The body was established on 1 April 2011 under the Housing (Scotland) Act 2010. The statutory objective of SHR is to:

“safeguard and promote the interests of current and future tenants of social landlords, people who are or may become homeless, and people who use housing services provided by Registered Social Landlords (RSLs) and local authorities”

70. SHR regulates social landlords to protect the interests of people who receive services from them. It does this by assessing and reporting on; how social landlords are performing their housing services, RSLs' financial well-being and RSLs' standards of governance. Where necessary, SHR will intervene to secure improvements.

Regulation

71. The Care Inspectorate is the main regulator of Housing Support Services while the Scottish Social Services is the regulator of the workforce involved in supplying Housing Support Services.

The Care Inspectorate⁴⁴

⁴³ 'Scottish Housing Regulator'. Available from: <http://www.scottishhousingregulator.gov.uk/>

72. The Care Inspectorate regulates housing support services in Scotland. It is the independent scrutiny and improvement body for care services in Scotland. The Care Inspectorate makes sure that people receive high quality care and ensures that services promote and protect their rights.
73. The Scottish Government set up the Care Inspectorate to provide assurance and protection for people who use care, social work and child protection services in Scotland. The workforce of the Care Inspectorate is highly skilled and experienced in all aspects of care, social work and child protection. The Inspectorate is accountable to Ministers at Scottish Government and both its Board and Executive Team set out its strategic direction.
74. Care Services in Scotland are not allowed to operate unless they are registered with the Care Inspectorate. As well as registering care services, the Care Inspectorate inspects and grades them. The Inspectorate also deals with complaints and can take action to force services to improve. It can even close services down if necessary.
75. The Care Inspectorate regulates many different types of care service, from childminders to care homes. Many kinds of organisations can provide care services for example individuals, businesses, charities, local authorities, voluntary organisations etc.

The Scottish Social Services

76. The Scottish Social Services is the regulator of the workforce involved in supplying Housing Support Services. It is responsible for raising standards in Scotland's social service workforce.
77. The Scottish Social Services Council⁴⁵ was established in October 2001 by the Regulation of Care (Scotland) Act. It is responsible for registering people who

⁴⁴ 'The Care Inspectorate'. Available from: <http://www.careinspectorate.com/>

⁴⁵ 'The Scottish Social Services Council'. Available from: <http://www.sssc.uk.com/>

work in the social services and regulating their education and training.

Quality Assurance: Measuring the impact on individuals

78. The Better Futures Outcome Tool which was launched in March 2011 was developed by the Housing Support Enabling Unit⁴⁶ and the Better Futures Steering Group, comprising of representatives from local authorities, voluntary and independent sector housing support providers, Registered Social Landlords and the Scottish Government. This group led the development of the on-line system and many participated in the pilot and evaluation of the system in 2010 and 2011.

79. The Better Futures Outcomes Tool⁴⁷ is a web-based IT tool designed to enable housing support service providers working with individuals to record their support needs over a period of time. It provides a means of recording a baseline when someone starts using a service, as well as plotting their aspirations using a unique scoring system. The on-line tool is also able to produce reports from data held to enable organisations to measure the outcomes of their work with service users on a continuous basis.

80. In the run up to the launch of Better Futures, the Care Inspectorate issued the following statement:-

“The Care Commission has supported the development of Better Futures. It provides a system for people using care services to identify their own support goals and review their own achievements as well as being a tool to monitor how well the care service itself is performing. Better Futures can be used as a source of evidence in quality assurance and self assessments, to demonstrate that the care service involves service users in their own support and care planning.”

⁴⁶ Housing Support Enabling Unit, Scotland. Available from: <http://www.ccpscotland.org/hseu/>

⁴⁷ ‘Better Futures Outcome Tool’. Available from: <http://www.ccpscotland.org/hseu/information/better-futures/>

81. The Better Futures Framework⁴⁸ is organised around the following goals:

- Accommodation
- Health
- Safety and Security
- Social and Economic Wellbeing and Employment

82. Within each of these goals sit twenty aspects of life which a person may need support with e.g. maintaining a tenancy, addictions, domestic abuse. Each one can be scored in terms of targets agreed as part of a support plan and actual situation at reviews.

Why is the Better Outcomes Tool Needed?

83. It is important to identify, monitor and evidence good outcomes, most importantly for people using services, but it is also an essential part of services' quality assurance arrangements.

84. The following areas are currently under policy development in Scotland which will in some way affect development and delivery of Housing Support Services.

- Integration of Health and Social Care
- Self-directed Support
- National Health and Wellbeing Outcomes
- Carer's Strategy
- National Care Standards Review
- Reshaping Care for Older People
- Keys to Life – Learning Disability Strategy
- Dementia Strategy
- Housing (Scotland) Act 2014
- Welfare Reform Act 2012

Single Outcome Agreements (SAO)⁴⁹

⁴⁸ Care Commission 'Better Futures Outcome Framework'. Available from: <http://www.ccpScotland.org/wp-content/uploads/sites/2/2014/01/outcomesframeworkflyer.pdf>

85. In November 2007 national and local government signed a Concordat which committed both to moving towards Single Outcome Agreements (SOAs) for all 32 of Scotland's councils and extending these to Community Planning Partnerships (CPPs)⁵⁰.
86. The Scottish Government and local government share an ambition to see Scotland's public services working together with private and voluntary sector partners, to improve the quality of life and opportunities in life for people across Scotland. SOAs are an important part of this drive towards better outcomes. They are agreements between the Scottish Government and CPPs which set out how each will work towards improving outcomes for the local people in a way that reflects local circumstances and priorities, within the context of the Government's National Outcomes and Purpose.
87. The Scottish Government and CoSLA⁵¹ agreed that, as an output of the Review of Community Planning held in early 2012, new SOAs between the Scottish Government and Community Planning Partnerships would be established. The National Community Planning Group has agreed an approach to the shape of these new SOAs, based on the Statement of Ambition. The Scottish Government and CoSLA have issued joint guidance for CPPs in preparation of their new SOAs based on that approach.

National Care Standards⁵²

⁴⁹ The Scottish Government Concordat and CoSLA, 2007, '*Single Outcome Agreements 2013*'. Available from: <http://www.scotland.gov.uk/resource/doc/923/0054147.pdf> and <http://www.scotland.gov.uk/Topics/Government/PublicServiceReform/CP/SOA2012>

⁵⁰ The Scottish Government, 2003, '*Community Planning in Scotland*'. Available from: <http://www.scotland.gov.uk/Topics/Government/PublicServiceReform/CP/HowCPWorks>

⁵¹ The Convention of Scottish Local Authorities (CoSLA). Available from: <http://www.CoSLA.gov.uk/>

⁵² National Care Standards, Scotland. Available from: <http://www.gov.scot/Topics/Health/Support-Social-Care/Regulate/Standards>

88. The National Care Standards were created to help people understand what to expect from services, and service providers understand the standards they should deliver. There are currently 23 sets of standards covering a wide range of care services. In addition to housing support services, they cover nurseries and childminders, care homes for older people, hospice care and independent hospitals.

89. The Standards explain what people can expect from any care service they use. They are written from the point of view of the person using the service. They also provide advice on raising concerns or complaints.

90. The following 6 main principles are behind the Standards:

- Dignity
- Privacy
- Choice
- Safety
- Realising Potential
- Equality and Diversity

91. The National Care Standards are currently under review. The consultation period ran from June to September 2014 and the responses have been published.

92. The proposed model is based on the following :

- Overarching standards for all services – Human Rights Approach
- Generic Standards –The proposal is to reduce the current 23 sets of standards down to one core set of standards which incorporate:-
 - Management and Leadership
 - Quality Assurance
 - Personalisation
 - Environment/Safety

- Well trained and compassionate staff
- Keeping Well
- Specialist standards (Pick and Mix approach)
 - Nutrition for older people
 - Oral Health
 - Size of bedrooms in Care Homes
 - Education approach for children
 - Immediate care
 - Financial support (Incapacity)
 - Palliative Care
 - Support with medicines

93. Care Standards are important for:

- People choosing and using services:
- People using a service for the first time may have nothing else to compare it to, so clear standards can help explain what to expect.
- Regulators like the Care Inspectorate, Healthcare Improvement Scotland and Education Scotland: these bodies need agreed standards in order to identify areas to inspect and award quality grades.
- The general public: public expectations of care services are increasing with people rightly expecting high quality services for themselves and their loved ones.
- Service Providers: people who provide care services need to know that they are doing the right thing and constantly improving. They must protect people's human rights and increasingly want to deliver high quality.

94. The National Care Standards are being reviewed because current care standards do not fully reflect the more ambitious aspirations and are sometimes seen as the minimum level of care that should be provided, rather than a baseline from which services should continually improve. It is considered that any new standards should reflect these changes and set out both the essential components of a

service and the inspirational elements which support health and care services to improve.

Programme Funding

95. Housing Support was funded through a ring fenced grant, the Supporting People Grant, between 1st April 2003 and 31st March 2008. Under the Supporting People programme, people using 'longer term' housing support services could be charged for services but those using services before the programme started in 2003 had some protection. 'Longer term' housing support consisted of services working with people for 2 years or more.

96. In 2004 it was recognised across the UK that the distribution of the money among the geographical areas was flawed. It was largely provision based on the delivery of existing services and did not adequately reflect needs. Some Local Authorities aimed to "maximise the pot" by registering as many local people as possible who were eligible were registered for the programme.

97. In 2004 the Scottish Government carried out a review of funding due to concerns over the rising cost of the Programme⁵³. Following the review by PricewaterhouseCoopers, the distribution formula was changed along with an overall drop in funding.

98. From 2005 to 2008, the following very simple and transparent distribution formula was developed:

- 30% on the proportion of older people
- 30% local rates of homelessness
- 20% number of people claiming DLA and
- 20% deprivation

⁵³ PricewaterhouseCoopers LLP, 2004, Scottish Executive, '*Analysis of funding arrangements for Supporting People*'. Available from: <http://www.scotland.gov.uk/Resource/Doc/1035/0012350.doc>

However, it was never fully implemented because to do so would have resulted in large reductions in SP grant in some areas.

99. At this time, the Scottish Government emphasised the need to seek efficiencies in delivering the Programme⁵⁴. Research undertaken on the impact of SP funding cuts reported a funding gap – the difference between funding and costs for providing services (Housing Support Enabling Unit, 2007). In 2007, the Scottish Government signed a Concordat with the Council of Scottish Local Authorities (CoSLA) under which the ring fence was removed. When the ring fence was removed the Scottish Supporting People programme became known as Housing Support Services.

100. After the removal of the ring fence on 1st April 2008, the Scottish Government allocated Supporting People funding to local authorities through Grant Related Expenditure. Local authorities together with partners from the health service, service providers and service user groups, assessed need in their local areas and commissioned appropriate services to meet those needs. Services were funded on a contract basis and the strategic planning for SP was linked to the Local Housing Strategy and other local plans for community care, health improvement, social inclusion etc.⁵⁵

101. The removal of the ring fence was said to achieve more flexible support packages and to reduce administrative and accounting functions to ensure maximum resources would go to front line services.

102. In 2009 the Housing Support Enabling Unit (HSEU) carried out an investigation into the provision and funding of Housing Support Services following the new funding arrangement introduced as a result of the removal of the ring fence. The findings showed that at that time Housing Support Services continued to face funding difficulties. Sustainability of services providing only housing

⁵⁴ Scottish Parliament Information Centre, report by K. Berry, 2007, '*Supporting People* (updated)' SPICe Briefings 07/55. Edinburgh. Available at: <http://www.scottish.parliament.uk/Research%20briefings%20and%20fact%20sheets/SB07-55.pdf>

⁵⁵ Joint Improvement Team, 2005, '*A-Z Guide to health and social care in Scotland*' Supporting People. Available from: <http://www.jitscotland.org.uk/downloads/1208951427-Supporting%20People.pdf>

support (rather than combined with other services) was more likely to face funding shortfalls. This particularly affected older people.

103. Taking steps to reduce costs in order to operate within restricted funding had not been sufficient to bring expenditure within budget and brought into question the sustainability of services.

104. Although the ring fence around Supporting People funding was lifted in 2008, it was known (HSEU, May 2012)⁵⁶ that the Scottish Government was continuing to include a notional element reflecting former Supporting People grant levels in its calculations for each local authority's block grant up until 2011/12 at least. Evidence of this became apparent when the Scottish Parliament agreed additional one-off payments to 10 local authorities to compensate them for a degree of redistribution of this notional Supporting People element within the block grant.

105. The HSEU attempted to track trends in this notional element in revenue block grant calculations on the basis of overall trends in revenue block grant levels and what they knew about the application of the Supporting People distribution formula. This notional amount appears to have fluctuated between 2007/08 to 2011/12 from a low of £383.46 million to a peak of £412.92 million but then fell to £402.6 m in 2012/13. Until 2010/11 it was possible to estimate a notional housing support element for each local authority.

106. When the Supporting People distribution formula was applied in 2011/12 this became impossible, as it was not known which local authorities gained from the redistribution, or by how much. It was possible, however, to continue estimating an overall notional housing support element for both 2011/12 and 2012/13 as outlined below:

⁵⁶ Housing Support Enabling Unit, Scotland, May 2012, '*Local Authority funding of housing support 2011-12 and 2012-13*'. Available from: http://www.ccpscotland.org/hseu/wp-content/uploads/sites/2/2014/01/HSEU_LA_funding_report2.pdf

	2007/08	2008/09	2009/10	2010/11	2011/12	2012/13
General Trend in local authority block grant			4.16%	3.38%	-2.5%	Standstill
Actual or Notional Housing Support element of block grant	£401.1m Actual SP grant	£383.46m Actual former SP element	£399.45m Notional SP element	£412.92m Notional SP element	£411.16m* Notional SP element	£402.60m Notional SP element

*An additional one off grant of £8.56m was applied in 2011/12 and is reflected in the notional element.⁵⁷

107. Since 2008, local authorities have been able to decide how much or how little to spend on housing support. The role of housing support has, however taken on an increasingly high profile in terms of the contribution it makes to achieving national outcomes and policy objectives. Housing Support is recognised to be an important vehicle for achieving national outcomes particularly with regard to older people and homeless people.

108. The narrative in the table below has been extracted from a recent Coalition of Care and Support Providers in Scotland and Collaborate report⁵⁸ to highlight factors identified to improve partnership working between commissioners and service providers. Although the report focuses on Self Directed Support it provides a recent snapshot of partnership working requirements from both service provider and commissioning perspectives.

109. The report records service provider desire to receive better communications from commissioners in relation to market conditions, outcomes and horizon-scanning to enable providers to plan and provide services more effectively. The

⁵⁷ Housing Support Enabling Unit, Scotland, May 2012, 'Local Authority funding of housing support 2011-12 and 2012-13'. Available from: http://www.ccpscotland.org/hseu/wp-content/uploads/sites/2/2014/01/HSEU_LA_funding_report2.pdf

⁵⁸ Coalition of Care and Support Providers in Scotland & Collaborate, November 2014, 'From providers to partners: What will it take?', page 9. Available from: <http://www.collaboratei.com/media/12553/From%20Providers%20to%20Partners.pdf>

report highlights sharing responsibility for financial constraint as a crucial factor in deeply embedding understanding, structural reform and policy consensus around joint strategic outcomes.

110. The report concluded that the key to unlocking this 'progressive future' is primarily a matter of behaviour not policy, finding the legislative and policy frameworks are in place already. Sector leaders contributing to the report believe that cost, volume and scale still trumps quality and innovations in procurement procedures and that competition can undermine collaboration among service providers competing for contracts.

<p>What do providers want from commissioners?</p> <ul style="list-style-type: none">• Clearer lines of sight between evidence, strategy and commissioning plans• Better information sharing on need, demand and service performance• Clarity and openness about local market conditions and operating challenges• Quicker take-up of SDS legislation and better dialogue around this• Efforts to reduce silo working and unhelpfully bureaucratic processes• More innovation and openness to dialogue in strategic commissioning
<p>What do commissioners want from providers?</p> <ul style="list-style-type: none">• Improve governance, accountability and coherence of the sector• Better information sharing and less default assumption of competition• Considering joint-working and merging services to avoid service duplication• Greater efforts to retain quality staff through paying the living wage• Reducing dependence on public funding and sometimes danger of over-supply• More demonstrable innovation in provision to improve commissioning.

Source: Coalition of Care and Support Providers in Scotland & Collaborate, November 2014, 'From providers to partners: What will it take?'

111. In May 2012, the HSEU carried out a survey of Local Authority funding of housing support (2011-12 and 2012-13), to find out about funding levels over the previous two years and about local authority budget projections for the year

ahead.⁵⁹ A key objective was to gauge the extent to which changes in the funding of housing support reflected trends in local authority block grant funding from the Scottish Government. From the survey HSEU concluded the following:-

- Local authorities were continuing to identify housing support in their budgets to a greater extent than was anticipated when the ring fence was lifted from the Supporting People grant in 2008;
- Where housing support was not possible to distinguish in budgets, expenditure on housing support was likely to fall;
- The funding of housing support had reduced at a faster rate than overall levels of local authority funding : -
 - The average change in local authority funding of housing support in 2011/12 was -3.49% compared with the previous year although the change in the notional housing support element of local authority block grant was -0.43%.
 - The average change in local authority funding of housing support in 2012/13 was projected to be -0.17% although local authority block revenue was not set to change.
- A significant minority of local authorities anticipated reducing funding of housing support in 2012/13 after having already reduced funding the previous year by between -1% and -17%;
- Overall the funding of housing support was not keeping pace with inflation. This meant that year on year local authority for housing support was reducing in real terms.

⁵⁹ Housing Support Enabling Unit, Scotland, May 2012, 'Local Authority funding of housing support 2011-12 and 2012-13'. Available from: http://www.ccpscotland.org/hseu/wp-content/uploads/sites/2/2014/01/HSEU_LA_fundingreport2.pdf

Commissioning and Procurement

112. In Scotland, the National Health Service (NHS) has tended to focus on Local Delivery Plans and service planning and use of the term “commissioning” has sometimes been discouraged. Scottish Government policy is to retain a publicly funded and provided National Health Service, which does not lessen the importance to NHS Scotland of the functions involved in commissioning to improve outcomes, but reflects the different mix of in-house and external provision that prevails in Scotland, compared to England.
113. The National Steering group agreed the following definition, based on earlier work by the Social Work Inspection Agency: Guide to Strategic Commissioning (September 2009)⁶⁰:-
- “Strategic commissioning is the term used for all the activities involved in assessing and forecasting needs, links investment to agreed desired outcomes, considering options, planning the nature, range and quality of future services and working in partnership to put these in place.”
114. Joint Commissioning is where these actions are undertaken by two or more agencies working together, health and local government, and often from a pooled or aligned budget.
115. The Joint Improvement Team (JIT) was established in 2004 to promote joint working between local authorities and NHS Scotland. JIT’s role was re-affirmed with the establishment of a Joint Improvement Partnership Board in April 2013, comprising senior representatives of the Scottish Government, CoSLA, NHS Scotland, and the Independent, Third and Housing sectors. The JIT Director is accountable to the Board for delivery of the Strategic Plan through members’ scrutiny at Board meetings and the Board’s Annual Review process. The JIT Strategic Plan for 2013 – 2016 sets out the following 6 core priorities:
- Person Centred Outcomes
 - Decisive shift to prevention

⁶⁰ Joint Improvement Team, Scotland, June 2012, *Joint Strategic Commissioning: a definition*. Available from: <http://www.jitscotland.org.uk/action-areas/commissioning/>

- Integration, partnership and collaboration
- Place, home and community
- Improving practice and performance
- Building capabilities

116. The Care Inspectorate has a range of procurement procedures which depend on the value and nature of what is being purchased. All business opportunities over £10,000 are advertised on the Public Contracts Scotland website. Interested suppliers must formally apply for these opportunities as they appear, and applicants are considered in terms of their capacity and capability to supply the Care Inspectorate's requirements. They can express their interest in these opportunities by registering as a supplier on the Public Contracts Scotland website. They will then be notified of any suitable contracts which they can then apply for.

117. Self Directed Support will require Scottish Commissioners to develop and influence their local markets to enable greater choice and control for service users from a more diverse range of providers. System development of clear purchasing options for Self Directed Support clients are needed. This will be challenging for commissioners and service providers alike as it represents a move away from long-term block grants towards a co-production approach.

118. The Public Bodies (Joint Working) (Scotland) Act 2014⁶¹ is likely to put a duty on partnerships to put in place locality planning arrangements to deliver locally agreed strategic commissioning plans that have the support of the professionals and other care providers who will deliver services as well as carers.

⁶¹ The National Archives, UK Legislation, 2014, '*Public Bodies (Joint Working) (Scotland) Act 2014*' 2014 asp. 9. Available from: http://www.legislation.gov.uk/asp/2014/9/pdfs/asp_20140009_en.pdf

119. Audit Scotland in their report *Commissioning Social Care* (March 2012)⁶² recommended that Councils along with NHS Boards and other relevant partners need to develop commissioning strategies. Ministers are clear that local Change Fund plans will evolve into Joint Strategic Commissioning Plans.
120. Promoting Self Directed Support (SDS)⁶³ is part of the Scottish Government's wider programme to increase individual's choice and control over their community care and support arrangements. Late in 2010 the Scottish Government and CoSLA published a 10 year strategy to promote SDS as a main stream approach. The Social Care (Self-directed Support) (Scotland) Act 2013 places statutory obligations upon social work services and funding arrangements, but has no direct impact on health services or money.
121. SDS encompasses many concepts and practices in social care including Direct Payments (DPs) as well as Individual Budgets (IBs). Direct Payments are in lieu of services provided directly to individuals assessed as being in need of community care services. IBs enable individuals to either purchase their own support packages to meet their assessed personal, social and, to a lesser extent, healthcare needs, or at least to determine how this budget is to be spent on their support.
122. SDS poses further opportunities and challenges for commissioners and providers and there is a need to develop a better understanding of the potential impact that SDS will have on both commissioning and procurement practice. SDS provides an opportunity to further personalise the commissioning process to link to individual outcomes. Commissioners will increasingly have to develop and influence their local markets to encourage greater choice and control for service users from a more diverse range of providers; develop financial flexibility to enable resources to be re-directed from unpopular services; and develop

⁶² Audit Scotland, March 2012, '*Commissioning Social Care*'. Available from: http://www.audit-scotland.gov.uk/docs/health/2012/nr_120301_social_care.pdf

⁶³ Scottish Government, Healthier Scotland, 2010, '*Self-Directed Support: A National Strategy for Scotland 2010-11*'. Available from: <http://www.gov.scot/Publications/2010/11/05120810/0>

systems which provide clarity about purchasing options for SDS clients, eligibility criteria and individual pricing mechanisms for in-house and external services. This will be a challenge for commissioners and providers alike as it heralds a move towards a co-production approach and away from long-term block contracts.

123. The Procurement Reform (Scotland) Act 2014⁶⁴ is intended to build on work to date and establish a national legislative framework that supports economic growth, supports innovation and to promote public procurement processes and systems which are transparent, streamlined, standardised, proportionate, fair and business friendly. General duties for contracting authorities include conducting procurement in an effective, transparent and proportionate manner. Procurement Strategy publication is required as well as annual reporting. These measures are intended to encourage local action to build procurement capability and capacity to achieve policy objectives.

The Scottish Compact⁶⁵

124. The Compact was first published in 1998 prior to the Scottish Parliament being established and sets out the high level principles that underpin the relationship between the voluntary sector and the government. It was updated in 2003.

125. Local Compacts

Like England, there are also Local Compacts between various public agencies and the voluntary and community sector in Scotland. More information on the Scottish Compact is outlined at Appendix F with a comparative of the four national compacts in the UK shown at Appendix H.

⁶⁴ The Procurement (Scotland) Bill 2014, available from: <http://www.scottish.parliament.uk/parliamentarybusiness/Bills/68170.aspx>

⁶⁵ The Scottish Government, 2004, '*The Scottish Compact*'. Available from: <http://www.scotland.gov.uk/Publications/2004/02/18723/31449>

Timeline of key events

Date	Event
July 2001	Regulation of Care (Scotland) Act 2001 made provision for the Care Commission (Later re-named the Care Inspectorate).
April 2002	Care Commission set up.
February 2003	Local Government in Scotland Act 2003 provided for Community Planning.
February 2003	“Partnership for Care” (Scotland’s Health White Paper) sets out the Scottish Executive’s policy on health.
April 2003	Supporting People Grant was introduced.
March 2003	Community Planning Guidance sets out the process which helps public agencies to work together in the community to plan and deliver better services.
2004	Scottish Government’s review of funding (PricewaterhouseCoopers, 2004).
2004	The Housing Support Enabling Unit was established to assist and support independent service providers with implementation.
2004	Joint Improvement Team established.
June 2004	National Health Service Reform (Scotland) Act 2004 gave effect to the White Paper, “Partnership for Care”.
October 2004	The Community Health Partnerships (Scotland) Regulations 2004 provided for the establishment of Community Health Partnerships.
November 2005	“Delivering for Health” - This was a programme of action for NHS which sought to shift the balance of care.
2007	Scottish Government signed a Concordat with the Convention of Scottish Local Authorities under which the ring fence was to be removed.
April 2008	Ring Fence removed.
July 2009	Shifting the Balance of Care Framework: This was a strategic objective for the Scottish Government, NHS and Local Authorities.
March 2011	Launch of Better Futures Outcomes Tool – This web-based tool was introduced to enable Housing Support Service Providers to work with

	individuals to record their support needs over a period of time.
April 2011	Care Inspectorate replaced the Care Commission.
December 2012	A National Telehealth and Telecare Delivery Plan for Scotland to 2015.
January 2013	Social Care (Self-Directed Support) (Scotland) Act 2013
April 2014	Public Bodies (Joint Working) (Scotland) Act 2014 – This Act provides for the carrying out of functions of local authorities and Health Boards.
June – September 2014	Review of National Care Standards in Scotland– Consultation Period.

Wales - Summary

126. Supporting People was introduced in Wales in 2003 as part of the national launch of the programme. The aim of SP in Wales was to provide housing-related support to help vulnerable people live as independently as possible, in their own home or other suitable accommodation, across tenures. The programme provided preventative services in order to reduce or remove problems in order to reduce demand for public services in other areas of public service⁶⁶. It is intended to “provide high quality and strategically planned housing-related support services which are cost-effective and reliable”⁶⁷.

127. In Wales, a number of issues had emerged since the national SP Programme’s inception in 2003 which required thorough investigation and resolution. An extensive review of the programme was commissioned by the Welsh Government resulting in the publication of the Aylward Review in 2010⁶⁸. The key recommendations of this review have been adopted and include the introduction of a single unified ring-fenced Supporting People Programme Grant. The implementation of much of the recommendations made in Aylward has been taking place in 2014 so we have only limited information on how successful they have been.

Governance and regulation

128. The main day to day governing bodies are the Regional Collaborative Committees (RCC), supported by one local authority co-ordinator. The aim and

⁶⁶ Welsh Government, November 2014, Housing Regeneration, Housing Services and Support, Supporting People Programme, ‘The Supporting People programme provides housing-related support to help vulnerable people live as independently as possible’. Available from: <http://wales.gov.uk/topics/housing-and-regeneration/services-and-support/supporting-people/?lang=en>

And Housing Directorate, July 2012, SP Programme Guidance, ‘Inclusive Policy Making (IPM): EIA detailed impact assessment’, pg. 1. Available from: <http://wales.gov.uk/docs//equality-impact-assessments/141114-EIA-Supporting-People-Programme.pdf>

⁶⁷ The Supporting People Programme in Wales: Final report on a Review commissioned by J. Davies AM, Deputy Minister for Housing and Regeneration, Welsh Assembly Government, November 2010, ([Aylward Review – Final Report](#)), pp. 27. Also available from: <http://wales.gov.uk/docs/desh/publications/101124housingsupportpeoplefinalen.pdf>

⁶⁸ As above.

overall focus of the RCCs is to provide advice to local authorities and other local stakeholders, and through the Supporting People National Advisory Board (SPNAB)⁶⁹, to the Welsh Ministers on regional and local collaborative delivery of the SP Programme to ensure the most efficient and effective services are delivered. They will inform and advise the Welsh Ministers on production of proposed SP Commissioning Plans for the allocation of grant against agreed priorities. The RCCs are to liaise with other RCCs to identify synergies in service requirements, advice on coordinating commissioning, procurement and funding and to ensure regional commissioning plans consider local Health Social Care and Wellbeing, Community Safety and Homelessness strategic objectives. The RCCs do not have executive powers or functions.

129. The Regional Collaborative Committees are bodies set up to provide the strategic governance of the SP Programme.⁷⁰ They provide added value to the SP delivery structure by encouraging efficiency of spend, enabling regional working and cost-savings where appropriate and improving performance. RCCs will identify regional priorities and agree regional three-year rolling plans which will be reviewed annually. The plans will reflect the needs identified at a local level. The RCCs will determine the most efficient, effective and economic methods of commissioning and service delivery, whether regionally, sub-regionally or locally.

130. The aim and overall focus of the Supporting People National Advisory Board is to ensure that the SP Programme is focused on meeting the housing-related needs of vulnerable people in Wales. The SPNAB provides advice to the Minister for Housing and Regeneration on taking forward the recommendations contained within the Supporting People Review Final Report 2010. The Board provides tangible and visible assurance that processes and practices are fair, transparent

⁶⁹ The Welsh Government, October 2014, '*Supporting People National Advisory Board*'. Available from: <http://wales.gov.uk/topics/housing-and-regeneration/services-and-support/supporting-people/national-advisory-board/?lang=en>

⁷⁰ The Welsh Government, Regional Collaborative Committees, January 2013. '*The role of Regional Collaborative Committees within the Supporting People Programme*'. Available from: <http://wales.gov.uk/topics/housing-and-regeneration/services-and-support/supporting-people/regional-committees/?lang=en>

and equitable; that procurement and commissioning policies are clearly defined; and that there are proper guidance, regulation and accountability arrangements in place.⁷¹ The SPNAB advises the Minister on: (i) policy; (ii) the performance of RCCs; (iii) appropriate implementation of the SP Programme; (iv) whether the administration of the SP Programme is consistent with high level principles of the Programme; and (v) any other independent advice or recommendations that may affect the Programme. The Minister retains the power to act without reference to the SPNAB. The Welsh Government is the legislative making authority and may act on advice and recommendations from SPNAB. It:

- Receives plans submitted by RCCs for consideration;
- Manages the escalation of issues that cannot be resolved between local and regional levels;
- Provides indicative budget allocations; and
- Allocates and administers SP Programme Grant resources to local authorities.

The Welsh Government also monitors and evaluates the SP Grant Programme, and will carry out sample checks on project applications and grant payments and where necessary claw back grant, if there are areas of non-compliance with SP Programme Grant procedures.

Quality Assurance: Measuring the impact on the individual

131. Currently in Wales, the commissioning and monitoring of projects is, in greatest part, process driven. It is service-based monitoring and not focused on the individual client experience. There is, however, an acknowledgement across the sectors that in order to evidence the good work that is happening, emphasis is needed on setting, collecting and collating tangible outcomes routinely and consistently. One recommendation that is being implemented as a result of the Aylward Review is the setting up of a national database.

⁷¹ The Welsh Government, October 2014, 'Supporting People National Advisory Board'. Available from: <http://wales.gov.uk/topics/housing-and-regeneration/services-and-support/supporting-people/national-advisory-board/?lang=en>

132. A new National Framework for data collection (National SP Workbook) will be developed, at project level, and will be completed by all SP providers to allow Welsh Government, RCCs and Local Authority (LA) SP Teams to analyse information. The outcomes collected by LA SP Teams will inform on-site reviews, develop their understanding of what all SP Services in their area are achieving, be used to help inform members and other stakeholders of the purpose of different projects, and promote a culture that focuses the measurement / monitoring of services on what is of value to the service user. LA SP Teams will also report on what the services they provide are primarily commissioned for, i.e., whether they are focussed on those experiencing domestic abuse, mental ill health etc., and how much they are spending on each area.

133. The Welsh Government expects RCCs to use this National Framework information to advice on whether service delivery has improved.

Programme Funding

134. The existing structure and distribution of a two tier grant system (Supporting People Grant and Supporting People Revenue Grant) was a historical legacy which was recognised by stakeholders as almost universally in need of adjustment. Allocation of the two-grant system placed an unnecessary administrative burden on the Welsh Government. The vagaries inherent in the disbursement by two separate funding streams argued strongly against this complex mechanism for allocating funds. As a result of the Aylward Review there is now a single, ring-fenced unified SP Programme Grant to Local Authorities instead of two grants as previously. The allocation formula is based on:

- Welsh Index of multiple deprivation (30%),
- Social Fragmentation Index (10%),
- Number of people in receipt of at least middle rate of the care component of Disability Living Allowance (DLA) (20%),
- Age structure of the population (the proportion of older people living alone (20%) and
- Local measures of all homeless presentation (20%).

Commissioning and procurement

135. Previous Welsh Government Guidance for procurement and commissioning (2003) was found to be too prescriptive and was withdrawn in 2012. The previous commissioning was not based on robust multi-sectorial planning and was too frequently based on procurement with limited information and historical spend rather than a robust transparent commissioning process. It was recognised that although there were areas of good practice, poorer practice was too widespread. The Welsh Statutory Guidance “Promoting Partnerships in Care – Commissioning across Health and Social Services (2005)” which had been issued to all SP Providers stated “ *Commissioning whether in-house or independent sector services is about meeting the needs of people using services and is about outcomes rather than processes and strategic planning and commissioning should be addressed openly and jointly and with the possibility of in-house, independent or a combination of service providers considered*”. Many SP Providers did not follow this Guidance. The process was heavily procurement-led and the tendering process was burdened with filling out forms about health and safety, training, etc., with only a minimal emphasis on what services could be provided and how. Providers were keen to spend less time filling out forms. It is recommended to all commissioners and providers of SP funded services that all parties work in partnership to ensure that appropriate policies, procedures and practices are implemented and monitored.

136. The new guidance proposed a collaborative approach to commissioning with the needs of service users at the centre of decision making. Collaboration is across strategic themes – Health Social Care / Wellbeing / Community Safety Strategies – and between Local Authority SP Teams, service providers and users. Collaboration should also be across boundaries in order to share resources and ensure service provision can most effectively meet the needs of the local population and ensure accountability of services.

137. The procurement of social care and housing-related support services is governed by legislation that has been enacted in Europe and UK. “*Fulfilled Lives*;

*Supportive Communities – Commissioning Framework and Guidance*⁷² provides guidance on procurement and copies of the relevant legislation with which local authorities must comply in securing services. Services which are secured externally are subject to EU Procurement Directives which place a requirement on public sector contracting authorities to determine whether the services they procure fall into Part A or B of the legislation. The majority of social care services are designated as Part B and are therefore required to comply with provisions such as transparency, equal treatment, reporting of contract award notices and inclusion within spend statistics provided to the UK Office of Government Commerce.

138. Self Directed Support will require Scottish Commissioners to develop and influence their local markets to enable greater choice and control for service users from a more diverse range of providers. System development of clear purchasing options for Self Directed Support clients, eligibility criteria and individual pricing mechanisms for in-house and external services are needed. This will be challenging for commissioners and service providers alike as it represents a move away from long-term block grants towards a co-production approach⁷³.

139. The Welsh Government and the Voluntary Sector –The Welsh Government’s relationship with the Voluntary or Third Sector is established in law. It requires the Welsh Government to make a Scheme setting out how it will promote the interests of relevant voluntary organisations and consult with relevant voluntary organisations on the Scheme. Similar to Compacts or Concordats in other jurisdictions of the UK, the Welsh Scheme includes an agreed definition of the Sector, a commitment to partnership, dialogue and joint working, and a framework for engagement. The most recent Scheme was published in January

⁷² The Welsh Government, ‘Fulfilled Lives, Supportive Communities. Available from: <http://wales.gov.uk/topics/health/publications/socialcare/strategies/lives/?lang=en>

⁷³ House of Commons, Communities and Local Government Committee, February 2014, ‘Local government procurement’, Sixth Report of Session 2013-14, JC 712, page 13. Available from: <http://www.publications.parliament.uk/pa/cm201314/cmselect/cmcomloc/712/712.pdf>

2014.⁷⁴ It includes proposals for a revised Code of Practice for Funding the Third Sector, to update the previous version of the Code, which had been published separately from the Scheme in 2009. The Code now includes key principles that underpin Welsh Government funding for the Third Sector and what the Government expects from the Third Sector in return, with a section on funding and commissioning. More detail on the Compact is given in Appendix G. Comparisons of the four national compacts in the UK are shown in Appendix H.

⁷⁴ Welsh Government, *Third Sector Scheme* (2014). Available from: <http://wales.gov.uk/docs/dsjlg/publications/comm/140130-third-sector-scheme-en.pdf>

Timeline of key events

Date	Event	Detail
April 2003	UK-wide Scheme launched	The Supporting People programme was launched in 2003 as a £1.8 billion ring fenced grant to local authorities intended to fund services to help vulnerable people live independently.
November 2010	Comprehensive review of SP in Wales	A comprehensive review of SP in Wales was carried out in November 2010 by Professor Sir Mansel Aylward, (Cardiff University) in conjunction with Dr Kerry Bailey, Professor Ceri Phillips, Keith Cox and Eleanor Higgins (Public Health Wales and Swansea University) which came up with 25 recommendations, most of which the Wales Government accepted and were going to implement.
June 2013	SP Scheme re-launched	New Government guidance issued in June 2013 announced changes to the existing practice. There will be a new delivery structure for the SP Programme in Wales which focuses on local, regional and national working to achieve improvement in services and outcomes to the end user and a system underpinned by a robust and enforceable regime of governance.
March 2014 - September 2014	Miller Research Ltd in association with Shelter Cymru was commissioned by Welsh Government to undertake an independent review of the Supporting People Programme following its transition to new structures.	Recommendations from the independent review advised that the strategic vision and high level functions and principles for the Programme should be clarified and communicated. There should be greater clarity around functions pertaining to the Government, SPNAB, RCC's and RDC's. This will drive the structures, governance, management and delivery of the Programme and address many of the current issues around leadership and clarity of functions.
September 2014 to present	Government policy in progress	Wales Government are currently working on an action plan to adopt the recommendations in the independent review (above)

Republic of Ireland (ROI)

Introduction

140. There is no specific Programme in operation in ROI that can be directly compared to the UK Supporting People Programme. ROI have a main Central Government Strategy, Towards 2016⁷⁵, which is a driver for other current and relevant “people supportive” strategies such as the National Disability Strategy, the National Housing Strategy for People with a Disability, the Role and Future Development of Supportive Housing for Older People in Ireland and the National Homeless Strategy.

141. The ROI Government’s “*Towards 2016 – A 10 Year strategy*” advocates a lifecycle framework, the Developmental Welfare State, which places the individual at the centre of policy development and delivery, by assessing the risks facing him/her, and the supports available to him/her to address those risks, at key stages in his/her life. The key lifecycle stages are identified as: Children, People of Working Age, Older People, and People with Disabilities. The visions outlined for each of the stages are:

(i). **Children** – Every child should have access to world-class health, personal social services and suitable accommodation.

(ii). **People of working age** – Every family will have access to health and social care and affordable accommodation appropriate to their needs.

(iii). **Older People** - Every older person would have adequate support to enable them to remain living independently in their own homes for as long as possible.

(iv). **People with Disabilities** – Every person with a disability would have access to public spaces, buildings, transport, information, advocacy and other public services and appropriate housing.

⁷⁵ The Irish Government, Department of the Taoiseach, 2006, ‘Towards 2016: Ten-year Framework Social Partnership Agreement 2006-2015. Available from: http://www.taoiseach.gov.ie/eng/Publications/Publications_Archive/Publications_2006/Towards_2016_Ten-Year_Framework_Social_Partnership_Agreement_2006-2015.html

The Strategy also contains key actions, as follows:

- (i). Ensuring that future Housing Action Plans address special needs in a more strategic manner;
- (ii). New protocols for inter-agency co-operation;
- (iii). Reforming the grant schemes;
- (iv). Services to provide enhanced home security, energy conservation and other measures for vulnerable older people;
- (v). Research on heating systems and insulation.

142. The National Disability Strategy⁷⁶ – (under an ROI Whole of Government Approach) sets out a high level goal “*to ensure the person with a disability can have choice and control in how they live their lives, including where and with whom they live. It is about everyday life in the community and supporting independent living. It is ensuring that people with disabilities get the quality support and services they need to be independent*”. The key actions associated with the strategy are the reorientation of services towards supporting persons with disabilities to live independently in the community.

⁷⁶ The Irish Government, National Disability Strategy Implementation Group, ‘*National Disability Strategy Implementation Plan 2013-2015*’. Available from: http://www.justice.ie/en/JELR/NDS_ImplementationPlan_FINAL.pdf/Files/NDS_ImplementationPlan_FINAL.pdf

Actions:

Action	Outcome	Key Performance Indicators	Lead Department
Ensure persons with disabilities receive supports and services needed to access housing.	People with disabilities living in places of their choosing as part of the community.	Monitoring of the implementation of Housing Strategy.	Department of the Environment, Community and Local Government.
Ensure supports for rental accommodation are streamlined and easy to access by people with disabilities.	People with disabilities qualified for rental support can access with ease.	Supports located in the new Rental Accommodation Scheme ⁷⁷ enhancing co-ordinated approach to supporting individuals with disabilities in accessing housing.	Department of Social Protection.

⁷⁷ The Irish Government, Environment, Communities and Local Government, 'Rental Accommodation Scheme'. Available from: <http://www.environ.ie/en/DevelopmentHousing/Housing/SocialHousingSupport/RentalAccomodationScheme/>

<p>Oversee effective implementation by HSE and stakeholders of new strategies/Programmes on:</p> <ul style="list-style-type: none"> • move from congregated settings to live in community; • new models of support to replace traditional adult day services; • supports for children with autism; • new models of respite support; • reconfiguration of services for children with disabilities aged 0 - 18 	<p>People with disabilities supported to live lives of their choosing in the community.</p> <p>Progressive closure of residential institutions.</p>	<p>(a) Value for Money Implementation framework Plan published.</p> <p>(b) Oversight by the Department of Health of the HSE's National Consultative Forum's monitoring of the implementation of Disability Programmes.</p>	<p>Department of Health and the HSE.</p>
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143. In addition, the Department of Health's Persons with Disabilities – National Housing Strategy for People with a Disability⁷⁸ aims to) -“facilitate access, for people with disabilities, to the appropriate range of housing and related support services, delivered in an integrated and sustainable manner, which promotes equality of opportunity, individual choice and independent living”.

144. The strategic aims of the strategy are:

⁷⁸ The Irish Government, Environment, Communities and Local Government, October 2011, '*National Housing Strategy for People with a Disability 2011-2016*'. Available from: <http://www.environ.ie/en/DevelopmentHousing/Housing/PublicationsDocuments/FileDownload,28016,en.pdf>

- To support people with a disability to live independently in their own homes and communities;
- To address the specific housing needs of people with an intellectual and/or physical disability, moving from congregated settings in line with good practice;
- To address the specific housing needs of people with a mental health disability;
- To consider good practice in the design, coordination and delivery of housing and related supports;
- To facilitate people with a disability to access appropriate advice and information in respect of their housing needs;
- To improve the collection and use of data/information regarding the nature and extent of the housing needs of people with a disability.

145. Implementation of the strategy is to be achieved by:

- Establishment of a Housing Subgroup led by the Housing Agency;
- Facilitation of appropriate and effective partnership approaches at national level;
- Effective interagency approaches at local level, supported by a robust interagency framework and relevant protocols;
- Ensuring the effective use of existing resources to maximise value for money;
- Monitoring at national level through the Implementation Monitoring Group;
- Effective reporting framework to ensure the best outcomes for people with disabilities.

146. The National Council on Ageing and Older People (NCAOP)'s report The Role and Future Development of Supportive Housing for Older People in Ireland⁷⁹ – (presents the results of a study to investigate the role and future development of supportive housing for older people in Ireland.

⁷⁹ National Council on Ageing and Older People (NCAOP), 2007, *The Role and Future Development of Supportive Housing for Older People in Ireland*, Report No. 102. Available from: http://www.ncaop.ie/publications/research/reports/102_Supp_Housing.pdf

147. Housing Aid for Older People Scheme (HAOP)⁸⁰ is the new streamlined scheme intended to be beneficial in cutting down on administration, making the process of application more accessible and facilitating a more seamless set of responses to the needs of people with a disability and older people.
148. The HAOP Scheme is used to improve the condition of an older person's home. In general, it is aimed at people 66 years of age and older. However, in cases of genuine hardship the local authority may assist people under age 66.
149. NCAOP noted difficulties that undermined the effectiveness and operation of the previous schemes and has made changes to the scheme that aim to address the following:-
- the failure of some local authorities to apply for funding for the schemes and the consequent inconsistency in their availability throughout Ireland;
 - the bureaucracy involved in applying for them and difficulties negotiating the grant scheme;
 - the limited availability of funding to cover the full costs of repairs or adaptations;
 - the lengthy waiting time involved in receiving sanction for grants and aid and for completion of work;
 - the challenge of finding and supervising building contractors who will carry out the repairs or adaptations;
 - the lack of awareness among the public and among older people, in particular, with regard to the existence of the various schemes;
 - variable availability of grants from one local authority to another.
150. The main changes to the HAOP scheme from 2014 are:
- The qualifying age has increased to 66 (previously 60);
 - The maximum income threshold has been reduced to €60,000 (previously €65,000);

⁸⁰ Citizen's Information Board, Public Service Information, 'Housing Aid for Older Person's Scheme. Available from: http://www.citizensinformation.ie/en/housing/housing_grants_and_schemes/housing_aid_for_older_persons_scheme.html

- The maximum grant has been reduced to €8,000 (previously €10,500);
- The percentages of approved costs covered by the grant have been adjusted on a sliding scale. The maximum is now 95% (previously 100%);
- Income of all household members will now be included in the means test (though Carer's Allowance should be disregarded);
- Applicants must prove that they have complied with the Local Property Tax.

151. The main form of financial support for voluntary housing associations active in the supportive housing field is the Capital Assistance Scheme (CAS)⁸¹. This typically funds up to 95 per cent of the setup costs of a scheme by an approved housing association, up to established maximums (€10,000 to €140,000 for one- and two-person units in 2006, depending on location). *The Housing Policy Review 1990-2002*⁸² reported that between 1991 and 2002 the CAS supported the provision of 2,858 units of accommodation for older people.

152. In addition to setup capital costs, housing associations can also avail of the Communal Facilities Grant, introduced by *A Plan for Social Housing* (1991). The maximum grant (per resident) in 2006 was €7,500. It can be used for the capital cost of acquisition, conversion, renovation and refurbishment of an existing building for use as a communal facility.

153. In 2006 the Health Services Executive ("HSE") established a sub-committee under the Advancing the National Agenda initiative with a brief to examine the issue of sheltered housing and the role of the HSE in this context. The sub-committee's report gave support to the principles and commitments regarding sheltered housing outlined in *Towards 2016* and made a series of

⁸¹ The Irish Government, June 2010, Environment, Heritage & Local Government 'CAS: *Proposals for the provision of accommodation by Approved Housing Bodies for people with specific categories of housing need*', Circular SHIP 2010/13. Available from: <http://www.environ.ie/en/Publications/DevelopmentandHousing/Housing/FileDownload,23145,en.pdf>

⁸² The Irish Government, Department of the Environment, Heritage & Local Government, The Housing Unit, 'Housing Policy Review 1990-2002'. Available from: <http://www.environ.ie/en/Publications/DevelopmentandHousing/Housing/FileDownload,2122,en.pdf>

recommendations on the actions required to achieve them so as to maximise the independence of older people.

154. The Department of the Environment, Heritage and Local Government's National Homeless Strategy⁸³ has as its vision:

“from 2010, long-term homelessness and the need for people to sleep rough will be eliminated throughout Ireland. The risk of a person becoming homeless will be minimised through effective preventative policies and services. When it does occur homelessness will be short term and all people who are homeless will be assisted into appropriate long term accommodation”.

155. The strategic aims of the strategy are:

- (i). Reduce homelessness through preventative measures;
- (ii). Eliminate any need for people to sleep rough;
- (iii). Eliminate long term homelessness and reduce the length of time people spend homeless;
- (iv). Meet long term housing needs of people progressing out of homelessness;
- (v). Ensure services for homeless people are effective;
- (vi). Improve funding arrangements and re-orientate resources in line with the objectives of the Strategy.

156. Priority actions include:

- (i). Education, training and work;
- (ii). Addiction, mental health and other treatment services;
- (iii). Discharge planning - health services;

⁸³ The Irish Government, Department of Environment, Communities and Local Government, National Homelessness Strategy, *The Way Home: A Strategy to Address Adult Homelessness in Ireland, 2008-13'* Available from: <http://www.environ.ie/en/DevelopmentHousing/Housing/SpecialNeeds/HomelessPeople/> and <http://www.environ.ie/en/Publications/DevelopmentandHousing/Housing/FileDownload,34865,en.pdf>

- (iv). Discharge planning - prisons;
- (v). Preventative action for other specific target groups;
- (vi). Identification of functions relating to prevention;
- (vii). Monitoring of rough sleeping;
- (viii). Accommodation management system;
- (ix). Identification of long term homelessness;
- (x). Redesignation;
- (xi). Follow up to recommendations in Homeless Agency reports.

Conclusions and lessons learned

157. The primary conclusion to draw is that the Supporting People programme has been seen across the UK as an effective and impactful scheme that has delivered real benefits to vulnerable people. ROI has never introduced a similar scheme; rather a Central Government Strategy has been a driver for the development of specific stand-alone strategies that are targeted to the needs of vulnerable groups such as the disabled or the elderly.

158. Reading across the jurisdictions there are some recurring trends that should be considered. Since there is no specific scheme in ROI dedicated to the provision of specific housing support services, the lessons drawn relate mainly to experiences from England, Scotland and Wales.

159. Whilst the lessons noted below have been structured to mirror the structure of the main report, some overlap between areas will be noted.

Governance and Regulation

The existence of a dedicated programme provides focus

160. A dedicated programme such as SP brings a strong focus to providing support for vulnerable people and ensures that any needs resulting from multiple identity issues are identified and addressed effectively. Like the Republic of Ireland, UK jurisdictions also have stand-alone strategies focused on the needs of vulnerable groups, but SP has added to these a programme which ensures that trained and experienced staff is resourced to provide housing support that

addresses service users' unique needs. The removal of a budget ring fence to protect the SP programme in England and Scotland has caused the formal programme infrastructure to degrade, resulting in an inevitable loss of focus on the specific issues that SP was designed to address.

Formal statement of purpose for SP viewed as valuable

161. In England the Supporting People Strategy was generally welcomed by service providers despite its short life-span (published 2007; only one strategy was issued) as it established clear government priorities for the programme. The strategy gave direction, encouraged collaborative working and set commissioning priorities. It is not possible to get a clear picture for services to clients as statistical data is not collected.

162. In Wales, initial feedback from the Aylward Review has noted the importance of clearly articulating the strategic vision and high level functions and principles for the Programme.

163. Providers in Scotland suggested that to avoid drastic cuts to services, Local Authorities should make an ongoing commitment to continue delivering Housing Support Services. It was felt that if Local Authorities do not make that commitment it may no longer be possible to sustain some important services as money could be directed elsewhere.

Partnership working is a key success factor

164. Service provider contributions to this paper from England report that some local authorities still prioritise SP services, while other authorities have disbanded SP Teams and/or subsumed the programme into generic services teams. The outcome depends upon individual local authority core services determinations and spending priorities. In general service providers seemed to suggest a need for active communication between authorities.

165. The Public Bodies (Joint Working) (Scotland) Act 2014 sets a clear direction for improved partnership working (between health and social services) to meet the needs of the people of Scotland. The objective of the Act is to create a single

system for local joint strategic commissioning of health and social care services which is built around the needs of patients and service users and which supports the whole system redesign in favour of preventative and anticipatory care in communities.

166. In Wales, the new structures proposed following Aylward appear to endorse the idea of partnership working across regions. The Regional Collaborative Committees (RCCs) are to liaise with other RCCs to identify synergies as well as consider related objectives for the region connected to health and social care etc.

Quality Assurance – measuring the impact on individuals

Acceptance that frameworks can be used effectively to benchmark services

167. The QAF in England is generally accepted as a framework that improves quality of services, enabling target setting and benchmarking. A lack of feedback to service providers on QAF returns was highlighted. Although it is no longer mandatory, some providers still use the QAF. One local authority previously involved in the 2009 QAF revision pilot thought the revised QAF is still fit for purpose.

168. The Outcomes Framework is accepted as a useful tool for benchmarking national standards. The Outcomes Framework is also still in use.

169. In Scotland the Better Futures Outcomes Tool, a web-based IT tool, is being used as part of the quality assurance of services. It is used to identify, monitor and evidence good outcomes.

170. A recommendation from the Aylward Review in Wales is the establishment of a new National Framework for data collection (National SP Workbook). Outcomes data is to be collected routinely and consistently from all local authorities to evidence what services are working well. The Framework is intended to evolve the monitoring of SP services in Wales from being process driven to focusing in what is of value to the service user.

Fair Charging

171. Fairer Charging policies are applicable to those service users who pay for their support which is a consideration applicable to all long-term services as SP and certain other short-term support services are provided free of charge to users. SP Charging policies are currently operating in those local authorities still retaining Supporting People services however despite being entitled 'SP Charging Policies' these are examples of service charging policies which have been developed by individual local authorities, written in accordance council's discretionary powers to charge adult recipients of non-residential services such amounts as the Local Authority considers reasonable. As Supporting People service users may also receive Home Care, or other authority services, a single assessment will take place taking account of all services provided and potential charges to ensure LAs take account of both support and care service costs to provide a minimum income level for self-funding service users.

172. The absence of data collection on SP services following the removal of the ring fence creates the obvious problem of not being able to assess how money allocated for SP is actually being spent. It also has the effect of not being able to assess the strengths, weaknesses and overall effectiveness of SP for different types of service user.

Service impacts as a result of evolution factors

Integrated health and social care in England, Scotland and Wales

173. Service users are highly likely to experience SP service impacts by the drive to integrate health and social care services in England, Scotland and Wales. System pressures include factors related to increasing demand, tightening of service criteria and changing demographics against a backdrop of reductions in spending and grant levels to LAs. The impact of these pressures include: - LA efficiency activities including changes to contracts, reduced service rates to providers and bulk purchasing discounts. These activities can result in financial sustainability issues for some providers who may have to remodel or reduce their service provision to absorb these impacts. The impact of criteria tightening actions is unmet care needs.

Homelessness in England and other Welfare Reform impacts

174. In percentage terms, the immediate homelessness triggers for families and vulnerable single people housed by local authorities have remained fairly consistent over the years⁸⁴. The number of people in temporary accommodation began to fall after 2004 but remain at historically high levels, increases showing from 2010. The most recent statistical publication, December 2014, in relation to statutory homelessness showed an increase of 4 per cent in comparison to quarter 3 of 2013⁸⁵. Local authorities report reasons for increases in homelessness as including: - the direct payment of the Local Housing Allowance to claimants which has resulted in increased rent arrears and termination of assured shorthold tenancies.

175. Welfare Reforms brought disproportionate impacts in London driving regional trends in homelessness, in particular national caps on the Local Housing Allowance which limited opportunities to secure private rented sector placements within inner London. Nationally this cap could affect 52,000 households, with larger families most affected⁸⁶. However housing market conditions were found to have a more direct impact on homelessness than labour market conditions.

176. The current position creates pressures due to the significantly lower level of lettings available in the social rented sector due to the impact of Right to Buy and continued low levels of new supply. These factors are combined with the continuing constraints around mortgage availability which in turn causes pressures on rental sectors. The Homelessness Monitor: England 2013⁸⁷ determined that housing supply and access factors are critical as they are barriers to independent housing experienced by newly forming and fragmented

⁸⁴ Communities & Local Government, 'Making every contract count: A joint approach to preventing homelessness'. Available from: - <https://www.gov.uk/government/publications/making-every-contact-count-a-joint-approach-to-preventing-homelessness>.

⁸⁵ House of Commons, Social Policy Section, updated 14 January 2015, 'Homelessness in England', SN/SP/1164, pp. 1-12; 23-27. Available from: <http://www.parliament.uk/business/publications/research/briefing-papers/SN01164/homelessness-in-england>

⁸⁶ Crisis, December 2013, 'Homelessness Monitor: England 2013'. Available from: <http://www.crisis.org.uk/data/files/publications/HomelessnessMonitorEngland2013.pdf>

⁸⁷ As above.

households which is a much more important trigger of statutory homelessness than evictions as a result of mortgage or rent arrears.

177. Issues arise when attempting to compare statistics between countries as statutory homeless figures for Wales and NI are comparable with England however comparison of Scotland and England figures, or deriving a UK figure from 2003 to 2012 are hampered by Scottish actions to abolish priority need during this period.

178. Since the removal of the SP ringfence in 2009 there has been an ongoing trend of decommissioning of specialist housing support services which are hard to quantify as individual councils are able to set their own service priorities and associated budgets. It can be reasonably anticipated that should this decommissioning of specialist housing support services continue as councils reprioritise and deliver core services to live within diminishing budgets that housing support services will continue to shrink until mostly or only statutory services are available.

179. Supporting People was intended to support vulnerable people who have high levels of need but who may be ineligible for statutory services. LAs believe they have little choice in prioritising statutory service provision despite evidence of the 'invest to save' approach embedded in SP service delivery. SP financial and social value contributions may be lost as a result and clients may struggle to maintain tenancies.

Homelessness in Scotland and other Welfare Reform impacts

180. In Scotland legislation provision entitles a person to be treated as homeless even if they have accommodation, if it would not be reasonable for the person to continue to occupy it. The Scotland 2012 homeless commitment entitled all homeless people to settled accommodation by the end of 2012.

181. The Infrastructure and Capital Investment Committee (ICIC) acknowledged the 2012 commitment is a ground breaking policy which has already delivered significant improvements but Welfare Reform changes are likely to have a

negative impact on implementation of the 2012 commitment. Impacts from Welfare Reforms include: - significant increases in homeless presentations, under occupancy may impact single households most as 75 per cent of Scottish housing stock is 2 or 3 bedroom whilst homeless presentations are primarily received from single persons.

182. Increased arrears and evictions are anticipated which will affect income streams which fund repairs, new housing supply etc under Universal Credit arrangements. Shared accommodation needs are expected to increase as a result of Local Housing Allowance changes. Overall Welfare Reforms are expected to reduce availability of Private Rented Sector accommodation for households in receipt of benefit. The Scottish Government have planned activities to reduce these impacts. Scotland operates a housing support service rather than a Supporting People programme.

Homelessness in Wales and other Welfare Reform impacts

183. Wales' first housing bill received royal assent on 17 September 2014⁸⁸. Overall responses in Wales are more patchy and inconsistent than in either England or Scotland however significant reductions in homelessness was brought about by widespread pro-active approaches by local authorities during the period 2004/05 to 2009/10. Overall homelessness applications have increased by 19 per cent since 2009/10 and homelessness increased in the year to 2011 by 3 per cent on the previous year.

184. Wales has limited data compared to England. Concerns about the impacts of Welfare Reform reflect concerns arising in other jurisdictions and include: - an expectation of an increase in homelessness particularly in respect of under occupancy which Wales estimate may affect 44,000 social tenants in the jurisdiction. Additional concerns centre on the impact of increasing the Shared Accommodation Rate of the Local Housing Allowance which increases the age for eligibility from 25 years of age to 34 years. Universal Credit is expected to

⁸⁸ Housing (Wales) Act 2014, 17 September 2014. Available from: <http://www.senedd.assembly.wales/mgIssueHistoryHome.aspx?Ild=8220>

raise a lot of practical issues and provides lower values of benefits for lone parents and larger families, bringing further negative impacts.

185. The outcome of the Welsh Affairs Committee inquiry in October 2013⁸⁹ drew conclusions and made recommendations to Government regarding the impact of changes to Housing Benefit in Wales. The conclusions related to the disproportionately higher impact of the under-occupancy policy affecting more Housing Benefit applicants in Wales than other parts of Great Britain. Shortage of one and two bedroom units; a lack of social housing requiring placements within the Private Rented Sector will necessitate monitoring of rent levels; the cost of moving disabled people to adapted housing units requires monitoring to determine if exemptions are appropriate and for Government to make provision for direct payment of Housing Benefit to landlords in certain circumstances.

186. The Welsh Government provided £7.9 million for Discretionary Housing Payments at the start of 2014-15, an increase of £1 million on the previous year. Additionally Welsh local authorities may apply to a £20 million Discretionary Housing Payment pot. However only 3 Welsh local authorities made applications to this pot, resulting in significant underspend of this fund⁹⁰. Longer term arrangements for supported housing is under discussion in an attempt by Lord Freud to get specialised housing dealt with in a more flexible and dynamic way.

Welfare Reform impacts on supported or specialist accommodation in England, Scotland and Wales

187. Government has indicated help with housing costs for claimants who live in certain types of accommodation (specified) will not be part of Universal Credit

⁸⁹ Commons Welsh Affairs Committee, 17 October 2015. 'The Impact of changes to Housing Benefit in Wales'. Available from: <http://www.parliament.uk/business/committees/committees-a-z/commons-select/welsh-affairs-committee/news/the-impact-of-changes-to-housing-benefit-in-wales1/>

⁹⁰ House of Commons Library, 11 March 2015, Housing Benefit: Discretionary Housing Payments (DHPs), SN/SP/6899. Available from: http://www.google.co.uk/url?sa=t&rct=j&q=&esrc=s&source=web&cd=2&ved=0CCkQFjAB&url=http%3A%2F%2Fwww.parliament.uk%2Fbriefing-papers%2Fsn06899.pdf&ei=1HkuVZ5Xlvqv_GAaA&usq=AFQjCNF9yuiEMAsA59YJ-d6C4jya53wr1w&sig2=4Sjbn7rKPUFIk4mGXIUfBg&bvm=bv.90790515,d.ZWU

instead being distributed under Discretionary Housing Payments. A research project due to report in July 2015 has been established to gauge sector size, cost etc to provide protection from unintended consequences of Welfare Reform, including the benefit cap and direct monthly payments. Concerns around the 'exempt accommodation' have brought regulatory action however some supported housing schemes are impacted by the bedroom tax which continues to apply the 'exempt accommodation' definition in making bedroom tax decisions.

188. The March 2015 London School of Economics report⁹¹ assessing how Welfare Reforms are affecting the work status and day to day lives of tenants one year after the implementation of a major wave of Welfare Reforms. Findings include 63 per cent of tenants were managing financially while one third stated they were struggling one year after benefit reductions were applied. One eighth was seeking work however persistent barriers to work existed. Three quarters of the 101 economically active tenants had a disability; 74 per cent contributed to their community through child-caring or other caring responsibilities or volunteering. Professor Power commented: "four hundred interviews over two years paints a powerful and painful picture of low income tenants struggling to cope with falling incomes. Social landlords are offering more support but can't close the gap." The report suggests that benefit sanctions had shifted jobseeker's focus away from work and redirected their attention to finding alternative ways to cover basic living costs.

User involvement viewed as key to effective services

189. User involvement in SP is a requirement and appears to have largely worked. There are some excellent examples of user involvement and one provider from England has 26-28% of their staff comprised of previous service users.

⁹¹ London School of Economics (LSE) Housing & Communities, South West HAILO, Centre for Analysis of Social Exclusion (CASE), March 2015, 'Is Welfare Reform working: Impacts on working age tenants', A study for SW HAILO, Overview Report. Available [online] from: <http://sticerd.lse.ac.uk/dps/case/cr/casereport90.pdf>

190. In Scotland, there is a strong emphasis on user involvement. Key examples include the strategy published in 2010 to mainstream self-directed support. In addition Scotland is leveraging technological innovations to facilitate greater user involvement. The Better Futures Outcome tool is web based and premised on the view that service users should have control over the services they receive and should actively input into the assessment of their effectiveness. There is also widespread use of Telehealth and Telecare in Scotland.

191. In Wales, new guidance on commissioning has emphasised that the needs of service users should be at the centre of decision making.

Programme Funding

Overall the removal of the budget ring-fence has resulted in cuts to SP services

192. English providers who were interviewed for this research commented that the removal of the budget ring-fence resulted in: -

- a post-code lottery of services as local authorities individually determined their core service provision priorities;
- reductions in SP budgets in local authorities as councils used SP funds to provide statutory services;
- a loss of central programme control;
- a loss of SP structures and systems;
- a loss of experienced SP Teams in particular in commissioning activities; and
- a loss of SP programme priority in councils.

The outcome of government's intended flexibilities for LAs by removing the SP budget ring fence resulted in councils using SP funds to provide other statutory services whilst trying to manage continual government funding reductions. The ringfence removal simultaneously aligned with the removal of the reporting requirements meaning it is no longer possible to state what the actual spend by LAs on SP services is. The closest approximation of current

SP spend is from an NAO report, November 2014⁹², which notes that Government funding to LAs has fallen by 28 per cent over the 2010 spending review period. Consequently, over the same period 2010-11 to 2014-15 spending on SP services across England will fall by a median of 45.3 per cent despite limited reductions in programme funding by government. Those authorities that depend most on government grant are most affected by funding reductions and reforms.

193. In Scotland, it was noted that services providing only housing support (rather than combined with other services) were more likely to face funding shortfalls. A link was shown between the removal of formal monitoring of services after the ring fence was lifted and a cut in services. Evidence from the Housing Support Enabling Unit 2012 survey showed that whilst local authorities were continuing to identify housing support in their budgets to a greater extent than was anticipated when the ring fence was lifted, where housing support was not possible to distinguish in budgets, expenditure on such services was likely to fall.

SP has proved to be value for money by preventing more serious interventions

194. Research and views from those interviewed were supportive of the assertion that Supporting People represents value for money. Providers have emphasised that preventative services are significantly cheaper than crisis activities. Service providers remain vigilant in assessing the viability of services particularly if further cuts to the floating support hourly rate transpire. It can be argued that there is not an individual model or evaluation tool that is comprehensive in testing and assessing the full potential value, benefits, savings and success of the SP programme. Appendix K gives an overview of the studies conducted to date to assess SP value for money. It is difficult to compare the studies as they examined different client group mixes over different periods of time, using different assumptions however overall each study has reported SP has saved money in other budgets.

⁹² National Audit Office, Local government report by the Comptroller and Auditor General 'The impact of funding reductions on local authorities' November 2014, pp. 25 & 32. Available from: <http://www.nao.org.uk/wp-content/uploads/2014/11/Impact-of-funding-reductions-on-local-authorities.pdf>

Procurement and Commissioning

Defined procurement processes are necessary but must be appropriate

195. When spending public money it is essential for accountability that transparent procurement processes are in place. Such processes for commissioning SP services exist in England, Scotland and Wales.

196. Research from the report however highlights the need for this process to be appropriate. In England in particular concerns that heavy bureaucracy was making it prohibitive for smaller providers (often with vital knowledge of local needs) to secure contracts was raised.

197. In England, findings from the PASC (July 2013) and the House of Commons 2014 report identified similar issues to those raised by contributors to this report. Procurement issues identified include process-orientation, risk-aversion causing increased costs and completion times, lacking focus on outcomes. These factors all hinder smaller organisations' accessing government contracts despite government initiatives to address these issues.

198. To increase access to contracts for small and medium organisations' Government has quickly introduced the Public Contracts Regulations 2015 Act⁹³. These regulations implement the most recent EU Directive on public procurement. The regulations simplify the bidding process allowing certain exemptions for low-value contracts, mandated supply chain payment terms, accelerated procurement processes for the public sector and reporting of late payments by LAs. A record 26 per cent of UK government spending went to SMEs in 2013-14 meeting the aspiration it set in 2010 and providing evidence of improvements. These changes will add to those improvements outlined in the National Procurement Strategy for Local Government in England 2014⁹⁴.

⁹³ Legislation.Gov.uk, 2015, 'The Public Contracts Regulations 2015' SI 2015/102. Available from: http://www.legislation.gov.uk/ukxi/2015/102/pdfs/ukxi_20150102_en.pdf

⁹⁴ Local Government Association, 2014 'National Procurement Strategy for Local Government in England'. Available from: <http://apps.warwickshire.gov.uk/api/documents/WCCC-626-134>

199. In Scotland significant impact on procurement may stem from SDS as it provides opportunities to link commissioning to outcomes, though many systems around eligibility, pricing mechanisms and client purchasing options to encourage greater choice and control for service users from a more diverse range of suppliers needs to be developed. Scotland is moving towards a co-produced approach away from long-term block contracts helped along by its Procurement Reform (Scotland) Bill⁹⁵ now an Act⁹⁶ is intended to build upon the work to date to make procurement efficient, effective, streamlined, proportionate and support economic growth.

200. The outcome of stage two of the Procurement Reform (Scotland) Bill is important as the amendments include proposals to exempt certain contracts from the requirement to advertise, service quality considerations and Public Social Partnerships.

201. In Wales the most recent guidance emphasizes that the focus of commissioning should be on outcomes and meeting the needs of service users rather than process and 'filling in forms'. The Welsh Government, under their devolved arrangements announced radical reform of their procurement processes to make it simpler and quicker for small businesses in Wales to bid and compete for UK government contracts as they followed England in introducing the latest EU Public Procurement Directive, as outlined above.

202. The existence of a 'Compact' was noted in England, Scotland and Wales. Fully embedding these within the jurisdictions could help overcome issues experienced by third sector organizations in relation to commissioning.

Short term contracts have a negative impact

203. SP service providers in England gave examples which demonstrate that short-term contracts with a focus on cost rather than quality are still an issue.

⁹⁵ Procurement Reform (Scotland) Bill, 17 June 2014. Available from: <http://www.scottish.parliament.uk/parliamentarybusiness/Bills/68170.aspx>

⁹⁶ The National Archives, 'Procurement Reform Act 2014', available from: <http://www.legislation.gov.uk/asp/2014/12/contents>

One local authority representative reported their council used short term contracts as a way of dealing with budget uncertainties. These issues were raised at the House of Commons hearing in 2009.

204. One provider operated in over 100 local authorities and found no two authorities applied the same procurement practices, highlighting the need for regional and cross-boundary procurement mechanisms. Insecurity over contracts was deemed to undermine the viability of some services.

Any move towards more tailored care will have an impact on commissioning

205. In Scotland the introduction of Self-directed Support (SDS) brings with it opportunities and challenges. The opportunity comes from the ability to personalise the commissioning process to link to individual outcomes. The challenge is how to provide adequate choice of services to meet needs and how to determine which procurement and commissioning approaches work best in this context. SDS includes practices such as Direct Payments (DPs) as well as Individual Budgets (IBs), so clarity will be needed for users so they understand how to get the help they need.

Evolution of the Programme

England

206. Local authorities all reported their organisations have/are seeking ways to minimise the impact of budget cuts on the Supporting People budget and to find ways to reduce the impact on provider organisations by seeking other funding options.

207. An example of one authority was given whereby they are participating in the EU Commissioning Active Inclusion Network which operates a payment by outcomes focus: this authority wishes to become a centre of excellence. Another authority intends to make bids to the European Regional Development Fund as an attempt to future proof the service against anticipated budget cuts. Another authority has introduced short term contracts and break-clauses allowing the authority to break the contract for service by giving the provider six months notice. A different authority sought waivers to avoid going out to competitive tender for accommodation based services, except refugees. They work with providers to ensure the provider can access two funding streams; housing benefit which covers housing management charges and Supporting People funding.

Adult Social Care in England, Scotland and Wales

208. The SP programme is highly likely to experience additional impacts by the drive to integrate health and social care services in England, Scotland and Wales. Increasing pressures on these systems include rising demand for services, an ageing population frequently experiencing complex care needs and interrelated support needs, against a background of reduced public spending including grant reductions to local government organisations.

209. As a result of the system pressures outlined above, some LAs have continued the longer term trend of reducing the amount of care provided and have improved their cost control in delivering core services. Additional LA actions to make efficiency saving include changing contractual agreements, reducing service rates to providers and negotiating bulk purchasing discounts. However this has resulted in financial sustainability issues for some providers who may decide to

pass the LA service rate reductions onto self-funded service users. Further reductions in service provision have been attained by raising the eligibility criteria for independent care packages – eighty-seven per cent of adults in England now live in LAs that only provide ASC services for people with “substantial or critical needs”. The impact of this criteria tightening is unmet care needs.

210. The NAO report entitled Planning for Better Care Fund found national and local government do not know the capacity of the care and health systems to continue to absorb these pressures nor how long they can carry on doing so. Despite this DCLG is anticipating local efficiencies, service transformation and the Better Care Fund to assist LAs manage financial pressures having redesigned the fund in April 2014. NAO determined the fund would have to provide more effective support to local areas, improved joint working between health bodies and local government and provide improved evidence on effectiveness to offer value for money⁹⁷.

211. Government considered measures outlined in the Spending Round 2013 as an important step towards achieving a seamless transition between health and social care. This included an allocation of £3.8 billion to improve Adult Social Care and join up with health services to help older people stay healthy and remain at home thereby preventing more costly crisis care activities and distress for individuals. A key point made by SP service providers is that the Care Act has a focus on preventative services which aligns with SP programme prevention aims and that to retain commitment for the programme it is essential to demonstrate SP benefits for client outcomes and savings made, often in other public service budgets, as a direct result of SP spend on housing-related support services.

Homelessness in England and other Welfare Reform impacts

212. Overall between 1997 to 2003 homeless acceptances by local authorities in England rose year on year. The second half of 2004 showed decreases in acceptance levels with yearly figures falling each year until 2010. The number of

⁹⁷ National Audit Office, November 2014, *‘Planning for Better Care Fund’*, available from: <http://www.nao.org.uk/report/planning-better-care-fund-2/>

people in temporary accommodation began to fall after 2004 but remain at historically high levels, increases showing from 2010. The most recent DCLG statistical publication, December 2014, in relation to statutory homelessness showed an increase of 4 per cent in comparison to quarter 3 of 2013⁹⁸. Often these figures do not reflect 'hidden homelessness' that is those people homeless but not seeking local authority assistance.

213. During August 2012, the UK government in its 'Making every contact count: A joint approach to preventing homelessness'⁹⁹ stated that "in percentage terms, the immediate homelessness triggers for families and vulnerable single people housed by local authorities have remained fairly consistent over the years". The main cause of eviction was eviction by parents, relatives or friends (34%) or being unable to find alternative accommodation (19%). Local authorities reported increases in homelessness due to the Local Housing Allowance (LHA); evidence¹⁰⁰ suggests direct payment of the LHA to tenants resulted in increased rent arrears. Termination of assured shorthold tenancies has been the most frequently occurring reason reported for homelessness in England for quarter three of 2014, an increase nationally of 3 per cent on the same quarter, 2013).

214. The Localism Act 2011, implemented November 2012 enabled local authorities to offer private rented sector accommodation to discharge statutory homelessness duties. Later concerns around household agreement, accommodation standards and 'out of borough' (latter specific to London) placements were raised^{101 102}. Government introduced the 'Gold Standard

⁹⁸ House of Commons, Social Policy Section, updated 14 January 2015, *Homelessness in England*, SN/SP/1164, pp. 1-12; 23-27. Available from: <http://www.parliament.uk/business/publications/research/briefing-papers/SN01164/homelessness-in-england>

⁹⁹ Communities & Local Government, *Making every contract count: A joint approach to preventing homelessness*. Available from:- <https://www.gov.uk/government/publications/making-every-contact-count-a-joint-approach-to-preventing-homelessness>.

¹⁰⁰ Department for Work and Pensions, *The Local Authority Omnibus Survey – Wave 20, (RR671)* published August 2010. Available from: <https://www.gov.uk/government/publications/local-authority-omnibus-survey-wave-20-rr671>

¹⁰¹ *Supplementary Guidance on the homelessness changes in the Localism Act 2011 and on the Homelessness (Suitability of Accommodation) (England) Order 2012*, paras 47-58. Available from: <https://www.gov.uk/government/publications/homelessness-changes-in-the-localism-act-2011-supplementary-guidance>

support and training scheme during April 2013¹⁰³, supported by the National Homelessness Advice Service, to provide a host of free training and support to help local authorities housing options teams learn from each other and gain the Gold Standard status. DCLG reported that 97 per cent of councils had engaged with the scheme as at June 2014. Despite this commitment the number of councils attaining the standard remains low due to staffing and resource pressures.

215. London Councils assessed the impact of various Housing Benefit measures and the Homelessness Monitor: England 2013 tracks the impact on homelessness of economic and social policy developments (including non-statutory and statutory homelessness)¹⁰⁴ The latter found: disproportionate impacts of welfare reform in London was the likely driver for regional trends in homelessness, particularly national caps on the Local Housing Allowance which limited the opportunities to secure private rented sector placements within inner London. The average estimated benefit reduction as a result of the overall benefit cap was found to be £62 per week potentially effecting 52,000 households in England, with 25,000 of these households being in London. Housing market conditions were found to have a more direct impact on homelessness than labour market conditions.

216. The current position was reported as having a much lower level of lettings available in the social rented sector due to the impact of the Right to Buy and continued low levels of new supply. These factors are combined with the continuing constraints around mortgage availability which in turns causes pressures on rental sectors. The report determined that housing supply and

¹⁰² Inside Housing, 1 November 2013 'Londoners housed outside the capital doubles'. Available from: <http://www.insidehousing.co.uk/londoners-housed-outside-capital-doubles/6529299.article>

¹⁰³ Department for Communities and Local Government, 9 April 2013, '£1.7 million Gold Standard sets new homelessness benchmark'. Available from: <https://www.gov.uk/government/news/1-7-million-gold-standard-sets-new-homelessness-benchmark>

¹⁰⁴ Crisis, December 2013, 'Homelessness Monitor: England 2013'. Available from: <http://www.crisis.org.uk/data/files/publications/HomelessnessMonitorEngland2013.pdf>

access factors are critical as they were barriers to independent housing experienced by newly forming and fragmented households which is a much more important trigger of (statutory) homelessness than evictions as a result of mortgage or rent arrears.

217. Issues arise when attempting to compare statistics between countries as statutory homeless figures for Wales and NI are comparable with England however comparison of Scotland and England figures, or deriving a UK figure from 2003 to 2012 are hampered by Scottish actions to abolish priority need during this period.
218. Evidence by contributors to this report and other publically available reports suggests that some local authorities are/intend decommissioning specialist housing support services which increases the likelihood of continued negative impacts for non-statutory vulnerable clients. This can be viewed as an ongoing trend since the removal of the SP ringfence in 2009. The impacts of these decommissioning actions are hard to quantify as individual councils are able to set their own service priorities and associated budgets however it can be reasonably anticipated that should this decommissioning of specialist housing support services continue as councils reprioritise and deliver core services to live within diminishing budgets that housing support services will continue to shrink until mostly or only statutory services are available.
219. A London School of Economics report, March 2015¹⁰⁵, presenting findings from two rounds of two-hundred interviews with social tenants in South West England to assess how Welfare Reforms are affecting the work status and day to day lives of tenants one year after the implementation of major welfare reforms. Findings include:-
- One year later 63 per cent were managing financially while one third stated they were struggling;
 - One sixth found work, mostly part-time, flexible hours – commonly working for family members or becoming self employed;
 - One eighth was seeking work;

¹⁰⁵ London School of Economics (LSE) Housing & Communities, South West HAILO, Centre for Analysis of Social Exclusion (CASE), March 2015, 'Is Welfare Reform working: Impacts on working age tenants', A study for SW HAILO, Overview Report. Available [online] from: <http://sticerd.lse.ac.uk/dps/case/cr/casereport90.pdf>

- Persistent barriers to work existed and tenants wished for more face to face support;
- Three quarters of the 101 economically active tenants had a disability; 74 per cent contributed to their community through child-caring or other caring responsibilities or volunteering;
- The majority of tenants found their contact with the Jobcentre unhelpful;
- Over four fifths of working age tenants relies on in-work benefits to manage.

Professor Power commented: "Four hundred interviews with two hundred tenants over two years paints a powerful and painful picture of low income tenants struggling to cope with falling incomes. Social landlords are offering more support but can't close the gap." The report suggests that benefit sanctions had shifted jobseekers' focus away from work and redirected their attention to finding alternative ways to cover basic living costs.

Welfare Reform impacts on supported or specialist accommodation in England, Scotland and Wales

220. The Scottish government has so far indicated that the help with housing costs for claimants, who live in certain types of supported accommodation, that is, specified accommodation, will not be part of Universal Credit but will instead be distributed under a localised funding scheme. Most of this money will be from Discretionary Housing Payments (DHPs).¹⁰⁶

221. There are concerns about the extent to which a localised pot of funding would meet the demand for assistance from those living in supported housing. The amount of funding and the way it is administered will be important factors in how well supported housing costs are dealt with so that such services remain viable in Scotland.¹⁰⁷

222. On 30 July 2013 DWP announced additional in-year funding of £35 million for Local Authorities "to help claimants affected by changes to housing benefit in the social sector who need extra support". This brought the total sum available for

¹⁰⁶ Housing Support Enabling Unit, January 2015, '*Supported Accommodation and Welfare Reform Briefing*'. Available from: <http://www.ccpscotland.org/hseu/wp-content/uploads/sites/2/2015/01/Supported-Accommodation-and-welfare-reform-briefing.pdf>

¹⁰⁷ As above.

DHPs in 2013/14 to £160 million (plus £20 million which was subject to a bidding process).¹⁰⁸

223. DWP and DCLG are currently seeking to establish the size, scale and cost of the supported housing sector in England. The stated intention is to ensure that supported housing tenants are protected from unintended consequences of welfare reform such as the benefit cap and direct monthly payments. A research project is being set up to do this work in 2015. The scope of the research tender includes housing for older people as well as for working age people. An interim report is expected in July 2015.¹⁰⁹

224. The DWP definition “exempt accommodation” only covers claimants in accommodation where the landlord also provides the claimant with care, support or supervision, even if through a sub-contractor. This has led to concerns that tenants within supported housing schemes which are not classified as exempt would potentially be affected by welfare reform policies such as direct payments, the benefit cap and bedroom tax.

225. In an attempt to address this, DWP has made regulations which cover England, Scotland and Wales, extending the types of housing where housing costs do not count towards the overall benefit cap and where tenants will not have their housing costs paid through Universal Credit. However the new regulations do not alleviate the problems some supported housing schemes are having as a result of the introduction in April 2013 of the bedroom tax. The existing definition of “exempt accommodation” will continue to be used in decisions when applying the bedroom tax.

¹⁰⁸ House of Commons, 11 March 2015, Social Policy Section, ‘*Housing Benefit: Discretionary Housing Payments (DHPs)*’ SN/SP/6899. Available from: <http://www.google.co.uk/url?sa=t&rct=j&q=&esrc=s&source=web&cd=2&ved=0CCkQFjAB&url=http%3A%2F%2Fwww.parliament.uk%2Fbriefing-papers%2F%2FSN06899.pdf&ei=qnwuVcLtCtX1at7KgZAH&usg=AFQjCNF9yuiEMAsA59YJ-d6C4jya53wr1w&sig2=qPxPR9kPxqx7R0AwoythIA&bvm=bv.90790515,d.ZWU>

¹⁰⁹ As per reference 104.

226. Supporting People was intended to support vulnerable people who have high levels of need but who may be ineligible for statutory services. LAs believe they have little choice in prioritising statutory service provision despite evidence of the 'invest to save' approach embedded in SP service delivery. SP financial and social value contributions may be lost as a result and clients may struggle to maintain tenancies.

Scotland

227. Local government provides a wide range of services and leads local partnerships that are essential to the delivery of the outcomes. The partnership between the Scottish Government and local government established in 2007 remains a cornerstone of the approach to Government in Scotland. Building on that partnership, the Scottish Government and local government have agreed as Joint Priorities the delivery of better outcomes, and will work together on a programme of public service reform building on the findings of the *Commission on the Future Delivery of Public Services*¹¹⁰.

228. Local government provides a wide range of services and leads local partnerships that are essential to the delivery of the outcomes. The partnership between the Scottish Government and local government established in 2007 remains a cornerstone of the approach to Government in Scotland. Building on that partnership, the Scottish Government and local government have agreed as Joint Priorities the delivery of better outcomes, and will work together on a programme of public service reform building on the findings of the *Commission on the Future Delivery of Public Services*¹¹¹.

229. *Renewing Scotland*¹¹² sets out an agenda for public service reform founded on the key principles of:

¹¹⁰ APS Group Scotland, June 2011, 'Commission on the Future Delivery of Public Service'. Available from <http://www.scotland.gov.uk/Resource/Doc/352649/0118638.pdf>

¹¹¹ As above.

¹¹² The Scottish Government, Edinburgh 2011, 'Renewing Scotland :The Government's Programme for Scotland 2011-2012' Available from <http://www.scotland.gov.uk/Resource/Doc/357504/0120772.pdf>

- A decisive shift towards prevention;
- A greater focus on “place” to drive partnership, collaboration and local delivery;
- Investing in people who deliver services through enhanced workforce development and effective leadership; and
- A more transparent public service culture which improves standards of performance.

230. Local government has a key role to play in this agenda and this was reflected in the funding settlement for 2012-15. A new change fund to support preventative spend in the early years was established and the existing change fund to enable independent living for older adults was expanded. Together it was anticipated that national and local government and their community planning partners would invest up to £500 million through these change funds to support the greater alignment of budgets across the public sector on a preventative and outcomes-focused basis. This approach is led by Community Planning Partnerships, embedded within Single Outcome Agreements and gives expression to the overall commitment to finding innovative ways of working together on Joint Priorities.

231. The scale of the real terms reduction in the Scottish budget for 2012-13 required tough decisions to be taken about expenditure across government and careful consideration of pressures and priorities in all portfolios. Key pressures falling on local government funded within the portfolio in 2012-13 included general inflationary pressures and greater service demands in the light of demographic changes. The overwhelming majority (86%) of the funding package is delivered through the revenue block grant. It is for individual local authorities to allocate their total available resources, including locally raised income from the council tax and fees and charges based on local needs. This is subject to meeting statutory obligations and the jointly agreed set of national and local outcomes, which guide prioritization at local level.

232. In order to accommodate the reduction in real terms of the overall funding package and the increased inflation and demand pressures, local government is faced with a number of very difficult decisions.

233. Local authorities do however, have a statutory duty to bring forward a balanced budget for the settlement provided and they will do so by a combination of actions. These may well include overall reductions in staffing levels and the level of pay within the workforce, the scope for increased efficiencies including service redesign and the possibility of improving on their ability to generate additional income.

234. The Scottish Government acknowledges the funding pressures faced by local authorities and is fully committed to ongoing discussion of the delivery of Joint Priorities.

Welfare Reform and supported or specialist accommodation in Scotland – potential impacts

235. The Smith Commission's¹¹³ report which was published in November 2014 proposed that as part of Scotland's future devolved powers there should be the ability to vary the housing element of Universal Credit to allow some degree of flexibility when administering housing costs in Scotland. However there appears to be no suggestion within the report, regarding devolution of the Housing Benefit system in Scotland, nor any governance over Pension Credit. As things stand, therefore it will be the UK government that will determine how the benefits system will deal with supported housing in the longer term.

236. The Scottish Government has made an effort to mitigate the effects of Welfare Reform in other ways. In 2014/15, the Scottish Government is making available £35 million to add to the £15 million provided by the Department of Work and Pensions, meeting the estimated £50 million needed to mitigate the impact of

¹¹³ The Smith Commission, 27 November 2014, 'Report of the Smith Commission for further devolution of powers to the Scottish Parliament' Available from: http://www.smith-commission.scot/wp-content/uploads/2014/11/The_Smith_Commission_Report-1.pdf

bedroom tax in Scotland. The majority of this money will be from Discretionary Housing Payments.

237. Traditionally housing costs for supported accommodation, including eligible service charges, have been paid through Housing Benefit. However some supported accommodation may not be considered exempt accommodation under welfare reform legislation. Difficulties may arise in those sheltered housing schemes where there are many tenants aged below state pension age, and who would need to receive Universal Credit, which will not include the supported element of any housing costs. These tenants, who are considered to be of working age, will be subject to the Bedroom Tax and the Benefit Cap and will not have a choice over whether direct payments of their housing costs are paid direct to their landlord.

238. It is hoped however that the majority of sheltered housing schemes will be unaffected since it is likely that for people over state pension age in receipt of Pension Credit, Pension Credit will include a separate Housing Credit or Rent Credit to cover the housing costs for the claimant.

239. The Housing Support Enabling Unit is currently working with the Scottish Government, the Scottish Housing and Best Value Network and the Convention of Scottish Local Authorities (COSLA) to encourage Local Authorities to maintain registers of the various types of Specified Accommodation which providers can refer to.

Homelessness in Scotland and other Welfare Reform impacts

240. Under the Housing (Scotland) Act 1987 a person should be treated as homeless even if they have accommodation, if it would not be reasonable for the person to continue to occupy it. The Scotland 2012 homeless commitment entitled all homeless people to settled accommodation by the end of 2012. Findings from the Infrastructure and Capital Investment Committee(ICIC) March 2012 report examining progress against the 2012 homeless commitment identified potential impacts of Welfare Reform as being:-

- Negative impact on the ability of local authorities to meet the 2012 target;
- COSLA stated Welfare Reform alone could potentially lead to an additional 3000 homeless presentations;
- Under occupancy has the potential to negatively impact the 2012 target as typically 75 per cent of Scottish housing units have 2 or 3 bedrooms, always intended to be used flexibly as homelessness presentations are primarily single person households;
- Under occupancy may affect local authority allocations policy: potentially increase debt for single occupant and risk of loss of existing tenancies;
- General reduction in benefits brings increase risk of arrears;
- Universal Credit – payable monthly in arrears with the potential increased arrears and evictions for those who have little/poor or no budgeting experience;
- Universal Credit – not paying landlords directly could affect income streams which provide repairs, improvements, new housing and staff;
- Local Housing Allowance reform to benefits means age limits for claiming Housing Benefit for a single occupancy will increase from age 25 to age 35 years, resulting in increased need for shared accommodation.
- Welfare Reforms will reduce availability of Private Rented Sector accommodation for households in receipt of benefit.

241. The Infrastructure and Capital Investment Committee (ICIC) acknowledged the 2012 commitment is a ground breaking policy which has already delivered significant improvements including a culture of change towards supporting people rather than assessment. The Scottish Government and COSLA plan to minimise the effects of the Bill however implementation of the 2012 homeless commitment will be a considerable challenge¹¹⁴.

Wales

¹¹⁴ Scottish Government, 2012, '2nd Report, 2012 (Session 4): Homelessness in Scotland: the 2012 Commitment', SP Paper 97, ICI/S4/12/R2. Available from: <http://www.scottish.parliament.uk/parliamentarybusiness/CurrentCommittees/48589.aspx>

242. In Wales, unlike the other jurisdictions, the Supporting People Programme appears to still be very much alive. The Aylward review proposed a number of changes to how the Programme operates, but with the maintenance of ring fenced funding, the future of the programme in the short term at least appears to be secure.

243. Looking at the wider context of Government priorities in Wales the Ministerial priorities outlined in the Programme for Government (2014)¹¹⁵ remain clear: growth and jobs; educational attainment; supporting children, families and deprived communities; and improving health and well-being for all of our citizens.

244. The Social Services and Well-being (Wales) Act received Royal Assent and became law on 1 May 2014. It now provides the legal framework for improving the well-being of people who need care and support, and carers who need support, and for transforming social services in Wales. Government are committed to providing a strong voice and input into control over their individual care provision. Again, Government recognise increasing demand for both acute and community care services for older people. To ensure the needs of older people are met through the provision of effective services Government have developed a framework for delivering integrated health and social care for older people with complex needs¹¹⁶. The framework focuses on partnership participation between:-

- Local authorities
- Health
- Housing
- Third and independent sector.

¹¹⁵ Welsh Government, 'Programme for Government 2014'. Available from: <http://wales.gov.uk/about/programmeforgov/about?lang=en>

¹¹⁶ Welsh Government, 2014, 'A framework for delivery of integrated health and social care for older people with complex needs'. Available from: <http://wales.gov.uk/topics/health/publications/socialcare/strategies/integration/?lang=en>

245. The aim is for partners to work together, to deliver high quality integrated services, care and support. The Welsh Government, with the improvement agencies (such as the SSIA and the 1,000 Lives team within Public Health Wales) will develop a national programme to support delivery and address some of the significant barriers which have been identified. This will include joint commissioning; effective multidisciplinary assessment and planning; partnership arrangements (including pooled budgets, governance and accountability mechanisms); and key systems architecture requirements such as information exchange¹¹⁷.

Homelessness in Wales and other Welfare Reform impacts

246. The Welsh Housing Bill was the first ever housing bill for the jurisdiction, receiving royal assent during September 2014¹¹⁸. In general responses to homelessness in Wales are more patchy and inconsistent than in either England or Scotland. Widespread adoption of more pro-active preventative approaches by local authorities has brought a significant reduction in homelessness during the period 2004/05 to 2009/10. Homelessness applications during 2012 were up 3 per cent on the previous year and up 19 per cent on the 2009/10 total. Acceptances for the year 2012 showed a decrease of 8 per cent, when compared to the 2009/10 period acceptances had increased by 8 per cent. Hidden homelessness volumes in Wales remain fairly static.

247. An increased need for shared accommodation has been experienced as in other jurisdictions but at a slightly lower level than that for England. Affordable housing targets are challenging to achieve and Government spend has been at lower proportions than in other jurisdictions since devolution in Wales. Rough sleeper figures are hampered by limited data in Wales which can be said of

¹¹⁷ Welsh Government, 2014, *'A framework for delivery of integrated health and social care for older people with complex needs'*, pp. 12. Available from: <http://wales.gov.uk/topics/health/publications/socialcare/strategies/integration/?lang=en>

¹¹⁸ Welsh Government, January 2015, *'Housing (Wales) Act 2014'*. Available from: <http://gov.wales/topics/housing-and-regeneration/legislation/housing-act/?lang=en>

Welsh data generally since the homeless monitoring there commenced during 2012.

248. Concerns about the impacts of Welfare Reform reflect concerns arising in other jurisdictions and include: - an expectation of an increase in homelessness particularly in respect of under occupancy which Wales estimate may affect 44,000 social tenants in the jurisdiction. Additional concerns centre on the impact of increasing the Shared Accommodation Rate of the Local Housing Allowance which increases the age for eligibility from 25 years of age to 34 years. Universal Credit is expected to raise a lot of practical issues and lower values of benefits to be provided for lone parents and larger families is anticipated to raise further negative impacts¹¹⁹.

249. The Welsh Affairs Committee held an inquiry into *The Impact of Housing Benefit changes in Wales* and a report detailing it was published in October 2013. The Committee called on the Government to clarify at the earliest opportunity the support that would be available to tenants through the DHP scheme after 2014-2015.

250. The Government's response pointed out that an additional £2.6 million in DHPs had been made available to Welsh authorities to mitigate the impact.

251. The outcome of the Welsh Affairs Committee inquiry in October 2013¹²⁰ drew conclusions and made recommendations to Government regarding the impact of changes to Housing Benefit in Wales. The conclusions related to the disproportionately higher impact of the under-occupancy policy affecting more Housing Benefit applicants in Wales than other parts of Great Britain. Shortage of one and two bedroom units; a lack of social housing requiring placements within the Private Rented Sector will necessitate monitoring of rent levels; the cost of moving disabled people to adapted housing units requires monitoring to

¹¹⁹ Crisis, June 2013 *The homelessness monitor: Wales 2012*. Available from: http://www.crisis.org.uk/data/files/publications/05-13_HomelessnessMonitor_Wales_web.pdf

¹²⁰ Commons Welsh Affairs Committee, 17 October 2015. *The Impact of changes to Housing Benefit in Wales*. Available from: <http://www.parliament.uk/business/committees/committees-a-z/commons-select/welsh-affairs-committee/news/the-impact-of-changes-to-housing-benefit-in-wales1/>

determine if exemptions are appropriate and for Government to make provision for direct payment of Housing Benefit to landlords in certain circumstances.

252. At the start of 2013-14, the figure for DHPs in Wales was £6.9 million; at the start of 2014-15 it was £7.9 million. In addition, if Welsh local authorities required more funding they could apply from a £20 million reserve fund, the government had set up. It would appear that only three Welsh Authorities applied for this extra money resulting in central Government having unspent additional DHP pot still available for local authorities to claim. ¹²¹

253. The longer term arrangements for housing benefit for supported housing is still under discussion, with Lord Freud informing the select committee that he wants to work out a way of getting specialised housing dealt with in a more flexible and dynamic way. Cymorth Cymru (the umbrella body for organizations working with vulnerable people in Wales) and their partners will be working closely with the Welsh Government to help shape the detail around the likely devolution of the DHP fund to Wales after April 2016. ¹²²

¹²¹ House of Common Library, 11 March 2015, Housing Benefit: 'Discretionary Housing Payments (DHPs)' SN/SP/6899. Available from:
http://www.google.co.uk/url?sa=t&rct=j&q=&esrc=s&source=web&cd=2&ved=0CCkQFjAB&url=http%3A%2F%2Fwww.parliament.uk%2Fbriefing-papers%2FSN06899.pdf&ei=1HkuVZ5Xlvqv_GAaA&usg=AFQjCNF9yuiEMAsA59YJ-d6C4jya53wr1w&sig2=4SJbN7rKPUFIk4mGXIUfbg&bvm=bv.90790515,d.ZWU

¹²² Welsh Housing Quarterly, 'A Year of Welfare Reform – Out of Limbo' Issue 94. Available from:
http://www.whq.org.uk/main/articleDetail.php?ART_id=1341

Appendices section

Appendix A - Organisations contributing to the Northern Ireland Supporting People Lessons Learned Report

SP service provider organisations	
Tyne Housing Association	Maurice Condie, Chief Executive Officer
Youtrust	Nicki Youern, Chief Executive Officer
Porchlight	Mike Barratt, Chief Executive Officer
SHP	Liz Rutherford, Chief Executive Officer
Bromford	John Wade, Head of Support
Homegroup	David Bengall, Contract Compliance Partner
Riverside ECHG	John Glenton, Director of Operations
St Mungo's Broadway	Howard Sinclair, Chief Executive
Guinness Care and Support	Denise Brennan, Head of Strategy and Policy
Hanover (Scotland) Housing Association	Stephen McCullough, Area Manager
Blue Triangle, Glasgow	Fiona Stringfellow, Chief Executive Officer
Barony Housing	Rebecca Wilson, Chief Executive Officer
Central and Local Government organisations	
Birmingham Local Authority	Kalvinder Kohli, Lead SP Commissioner
Trafford Council	Ian Peet, Senior Market Relationship Officer
East Sussex County Council	Sue Dean, Head of SP Services, Strategy, Commissioning and Supply
London Borough of Camden	Brian Matthews, Housing Commissioner and Partnership Manager
Housing Support Enabling Unit	Yvette Burgess, Unit Director
Scottish Government	Angela O'Brien, Head of Housing Support and Homelessness, Housing Support and Regeneration
Dundee City Council	Ailsa McAllister, Senior Officer, Social Work Department
Dundee City Council	Jenny Hill, Service Manager, Social Work Department
Dundee City Council	Joyce Barclay, Senior Officer, Strategy Performance and Support Services
East Ayrshire Council	Geoff Crow, Housing Needs Officer

The information to inform this Lessons Learned report was gathered via various methods as outlined in the methodology of this report. Those listed above are key government officials and service providers who have kindly given details of the experience of their organisation in recent years relating to the delivery of the Supporting People Programme.

Due to integration with other public service areas such as Health and Social Care, Supporting People may form part of Housing Support Services in these jurisdictions.

Most of these contributions were made by telephone interview, however, some contributors submitted responses in writing.

The Northern Ireland Housing Policy Research and Legislation Team would like to express their sincere thanks to all contributors.

Our gratitude is also expressed to the people listed below who very kindly assisted the team in establishing the appropriate contacts to cover as many of the Supporting People client groups as possible, geographical areas, organisation size etc. Due to time pressures the team were unable to interview every organisation on the interview list. The team decided not to conduct interviews in Wales as the independent review undertaken in November 2010 by Professor Aylward and the Final Independent Review of Supporting People Wales in September 2014 provided sufficient interview comments and an overview of the current position in this jurisdiction for the team to determine that additional interviews at this time would be unlikely to produce different findings.

Homeless and Housing Support, London	Corinne Gray, Housing Related Support Policy
SITRA (Services), London	Vic Rayner, Chief Executive Officer
Housing Support Enabling Unit (Edinburgh)	Yvette Burgess, Unit Director

Appendix B – Supporting People Client Groups¹²³

Supporting People services has the aim of helping the following groups of vulnerable people. Overlap exists between these groups.

- Older people with support needs
- Older people with mental health problems
- Frail elderly
- Mental health problems
- Learning disabilities
- Physical or sensory disability
- Single homeless with support needs
- Alcohol problems
- Drug problems
- Offenders or at risk of offending
- Mentally disordered offenders
- Young people at risk
- Young people leaving care
- People with HIV/AIDS
- Homeless families with support needs
- Refugees
- Teenage parents
- Rough sleeper
- Traveller
- People at risk of domestic violence
- Generic/Complex needs

¹²³ Department for Communities and Local Government, 'Supporting People Client Data and Outcomes', May 2011. Available from: <https://www.gov.uk/government/collections/supporting-people-client-records-and-outcomes>

Appendix C - The Quality Assessment Framework¹²⁴

The Quality Assessment Framework (QAF) is an annual self assessment for service providers which measures levels of performance against six key objectives: needs and risk assessment; support planning; security; health and safety; protection from abuse; fair access, diversity and inclusion; and complaints.

Although its use is no longer mandatory, the QAF has become an essential part of administering authorities' means of ensuring that providers deliver services to an acceptable standard and in accordance with contractual expectations. It is widely held to be one of the great successes of the Supporting People programme.

A revised QAF was released by CLG in April 2009. This new QAF contains an increased emphasis on client involvement and empowerment, focusing on involving service users and supporting them to be provided with resources which allow them to make informed decisions. For example, documents should be in an appropriate format to suit client needs.

The QAF aims to ensure that clients are involved at all levels, from individual client engagement to user involvement in service delivery and setting strategic priorities for Supporting People services.

¹²⁴ House of Commons, Communities and Local Government Committee 'The Supporting People Programme' Thirteenth Report of Session 2008-09, 13 October 2009, pg. 11. Available from: <http://www.publications.parliament.uk/pa/cm200809/cmselect/cmcomloc/649/649i.pdf>

Appendix D - The Outcomes Framework¹²⁵

The Supporting People Outcomes Framework, which is able to demonstrate whether service user needs have been met whilst in receipt of Supporting People services, was launched in May 2007.

The framework was intended to support the process of commissioning for common outcomes and contains key outcomes of interest at service level, local level, regional level and national level.

It provides a standard set of outcomes data to give authorities a consistent baseline to indicate what outcomes are being achieved. The use of the Outcomes Framework by local authorities has never been mandatory, but was encouraged by the DCLG.

Outcomes are recorded against identified need in the following five factors: economic wellbeing; Enjoy and achieve; be healthy; stay safe and positive contribution. The DCLG published national statistics within their 'SP client records data'¹²⁶ providing details of:

- client records data by service type and by primary groups;
- outcomes for both short-term services (over twenty-eight days but fewer than two years);
- long-term services (over two years); and,
- outcomes achieved against identified support needs.

The data for the short-term services was based on clients entering/exiting SP services whilst the data for long-term services is based on a sample (ten per cent sample for older people: fifty per cent sample for all other SP groups). Data quality

¹²⁵ House of Commons, Communities and Local Government Committee 'The Supporting People Programme' Thirteenth Report of Session 2008-09, 13 October 2009, pg. 12.
<http://www.publications.parliament.uk/pa/cm200809/cmselect/cmcomloc/649/649i.pdf>

¹²⁶ Department for Communities and Local Government, 'Supporting People Client Data and Outcomes', May 2011. Available from: <https://www.gov.uk/government/collections/supporting-people-client-records-and-outcomes>

was checked and validated by quality assessors at the University of Saint Andrews' Client Records and Outcomes Office¹²⁷.

From April 2011 the DCLG ceased collection of SP client record and outcomes data as removal of the SP budget ring-fence simultaneously removed the requirement for SP reporting. The only SP statistical information collected currently is completed by Saint Andrews, from those local authority and SP service providers voluntarily participating.

¹²⁷ St Andrews, Centre for Housing Research, Supporting People, '*Client Records and Outcomes*'. Available from: <https://supportingpeople.st-andrews.ac.uk/>

Appendix E – The English Compact¹²⁸

Many issues relating to the process for commissioning and procuring Supporting People services are addressed in the Compact. The Compact is an agreement between the Government and the Third Sector aimed at improving their relationship for the benefit of each other and the communities they serve. Local Compacts have been agreed in most areas to cover the relationship between local councils, other local public sector bodies and local voluntary and community organisations. A series of Codes of Good Practice underpin the Compact. One of these focuses on finance and procurement, within which key principles include:

- Keeping a focus on outcomes at all stages of the financial relationship
- Keeping processes as simple as possible and in proportion to the amount of money involved
- Maintaining consistency and co-ordination—for example funders and purchasers should endeavour to join-up or standardise parts of the funding or procurement chain to minimise burdens on organisations and ensure a focus on delivery.

Specific undertakings for Government include:

- Providing wherever possible an opportunity for the voluntary and community sector to contribute to programme design
- Recognising that it is legitimate for voluntary and community organisations to include the relevant element of overhead costs in their estimates for providing a particular service (also known as ‘full cost recovery’)
- Implementing longer term funding arrangements where these represent good value for money
- Being proportionate in monitoring requirements and focusing on outcomes

¹²⁸ House of Commons, Communities and Local Government Committee ‘The Supporting People Programme’ Thirteenth Report of Session 2008-09, 13 October 2009, pg. 22, available from: <http://www.publications.parliament.uk/pa/cm200809/cmselect/cmcomloc/649/649i.pdf>

Many submissions to the House of Commons inquiry—particularly those from provider organisations—referred to the fact that the Compact’s principles are often overlooked. Home Group’s written evidence explains that the Compact is not always taken seriously by local authorities:

“We often remind local authorities of the commitments they have made in local Compacts to support the voluntary and community sector. It is not unusual to find that a local authority’s SP team believes that the Compact is optional or is not relevant to SP¹²⁹.”

¹²⁹ House of Commons, Communities and Local Government Committee ‘The Supporting People Programme’ Thirteenth Report of Session 2008-09, 13 October 2009, pg. 22, available from: <http://www.publications.parliament.uk/pa/cm200809/cmselect/cmcomloc/649/649i.pdf>

Appendix F – The Scottish Compact¹³⁰

Benefits of the Scottish Compact

The intention is that the Scottish Compact should deliver benefits by:-

- Strengthening the relationship between the Scottish Government and the voluntary sector;
- Extending opportunities for the voluntary sector's members, supporters and users to contribute their experience and ideas to the development and implementation of public policy
- Making the policies and practice developed by the Scottish Government, its agencies and NDPBs, including NHS Boards, more responsive to the potential needs of the voluntary sector;
- Enabling voluntary organizations to communicate more effectively to the Scottish Government, the needs of their users and wider constituencies
- Extending the opportunities to mobilize the voluntary sector behind Scottish Government programmes when these coincide with the objectives of voluntary organizations
- Increasing understanding of how the Scottish Government and the voluntary sector work
- Generating evidence and information on the value and impact of the work of the Scottish Government and of the voluntary sector; and
- Informing longer-term planning and strategic thinking

Shared Values

The Scottish Government and the voluntary sector in Scotland share a commitment to basic values including:-

A **democratic society** that acknowledges the value of voluntary sector activity and upholds the right of individuals to associate freely with one another in pursuit of a common purpose within the law.

¹³⁰ The Scottish Government, 'The Scottish Compact'. Available from: <http://www.scotland.gov.uk/Publications/2004/02/18723/31449>

Advice citizenship involving the widest possible participation by people in the lives of their national and local communities

Pluralism which welcomes the diversity of identities and interests within Scotland, including minority groups such as ethnic minorities and disabled people, and upholds the right of each interest to speak on its own behalf.

Human rights to promote a sense of strong community and to encourage respect for each other as both individuals and as members of a community with common values.

Equality of opportunity which maximizes the opportunities for all people to contribute from their distinctive traditions, religions, cultures, values and abilities to the shared life of the wider community , as well as their own particular communities of need and interest. This includes opposing forms of discrimination and promoting participation and inclusion. Equality of opportunity also encompasses the principle of fair access to the shared life of the wider community and to the public services provided.

Quality services which provide the highest achievable standards

Cross-sectoral working to promote effective cross-sectoral and cross-agency collaboration to respond to the complex needs of society, which often cannot be compartmentalised.

Sustainable development that meets the needs of the present without compromising the ability of future generations to meet their own needs”

Appendix G – The Welsh Compact¹³¹

In 2014 the Welsh Government published its revised Third Sector Scheme. The purpose of this scheme is to establish how they will aim to promote the interests of the Voluntary Sector. It is established under Section 74 of the Government of Wales Act 2006.

A Code of Practice forms an Annex to the Scheme which provides detail on how the Welsh Government will financially assist the Third Sector. This provides information about Welsh Government's approach to funding, with sections on Commissioning, Grants and Procurement.

In this context it is envisaged that local authorities, health boards and other public services in Wales use the Scheme and Code of Practice to establish or strengthen Local Compacts with the Third Sector.

Appendix H – Summary of the four national Compacts¹³²

A Compact with the Third Sector was introduced initially in England by central government. The compact sets out high level principles that underpin the relationship between the voluntary sector and government [for the benefit of each other and the communities they serve]. Scotland, Wales and Northern Ireland also introduced compacts in 1998 with the same aim. Agreement is voluntary except Wales, where it has a statutory basis.

The four national compacts introduced during 1998 have developed in different ways, influenced by devolution and national initiatives. For example, under the "New Labour project" the English Compact was developed to enable voluntary organisations to play a significant role in restructuring the welfare state under the "Third Way initiative". Then in 2010 the English Compact was reviewed to align it to the Coalition Government's Big Society.

¹³¹ The Welsh Government, December 2011, 'A Compact for Change'. Available from: <http://cymru.gov.uk/topics/improvingservices/publications/compact/?lang=en>

The “Welsh exceptionalism” is viewed as having a pre-disposition towards co-operative enterprise providing a foundation to enable the voluntary sector to find a secure platform to position itself in the devolved administration. At institutional level Wales is unique in that it has a statutory basis and a variety of mechanisms bringing government and the sector together.

International recognition for the UK national compacts resulted in the development and influence of Eastern Block and the European Union compacts whilst accepting that each national example remains unique.

Variations between national compacts include:-

Legal status – only Estonia, Ireland and Wales have introduced a statutory basis for their relationship;

Form – some are short statements of principle others are accompanied by documentation or guidance;

Range of government or non-government support structures - to co-ordinate and monitor progress;

Aims – collaborative processes or specific outcomes;

Timelines – generally open-ended but may have pre-determined dates for revision¹³³.

Rochester and Zimmeck, 2013 identified five key factors that appear to underpin the development of successful national (and by extension, local) contracts:-

- Government bodies capable of entering into partnership with the voluntary sector;
- A voluntary sector similarly capable of entering into partnership with government bodies;

¹³³ Welsh Government, Government Social Research ‘*The Case for Statutory Compacts between Welsh Local Authorities and the Third Sector: Summary Report and Recommendations*’ Number 08/2013, published February 2013, pp. 1-10. Available from: <http://wales.gov.uk/docs/caecd/research/130318-statutory-compacts-local-authorities-third-sector-summary-en.pdf>

- The existence of an interface between government bodies and the voluntary sector that is sufficiently extensive and important to warrant their entering into and sustaining a partnership; and
- The existence of reasons for both government bodies and the sector which, if not the same, are at least compatible.
- The existence of administrative arrangements for implementation that are fit for purpose and can drive the partnership forward.

Rochester and Zimmeck (2013) believe real success of compacts includes the adoption of the national compact ideas at local level. For the UK Rochester and Zimmeck concluded:

- Wales has exceptional commitment to and promotion of the compact method of working, outperforming England where New Labour's enthusiasm waned over the long term and the Coalition dismantled key parts of the implementation mechanisms;
- Scotland had a promising start but was negatively impacted by the Scottish National Party's accession who appear to have a greatly reduced emphasis at the Scotland-wide level on compacts while focussing more on local compacts as a result of the increasing importance of public service community planning;
- In Northern Ireland direct rule restricted the space for compact working then the re-established Northern Ireland Assembly introduced a new Concordat in 2011, still outperforming England in terms of local authority coverage;
- In England only a third of local authorities are reported as having "live" compacts. The National Audit Office 2012 report found evidence to suggest implementation could be improved by a more widespread use of good practice, ensuring visible leadership by departments and a need for clarity, centrally on responsibility for promoting the Compact.

Appendix I – Composite table of legislative provisions

England	Section Applicable	Title
Local Government Act 2000 (2000 c.22) <i>as amended (Act extends to England and Wales)</i>	Section 93 Section 96	Grants for Welfare Services Housing benefit
Welfare Reform Act 2012 (<i>Act extends to England, Wales and Scotland only</i>)	All	Provides for radical changes to social security benefits which will affect many recipients of Housing Support services
EU Directive: Public Sector: Directive 2014/24/EU	All	Public procurement and repealing Directive 2004/18/EC
EU Directive: Concessions: Directive 2014/23/EU	All	Award of Concession Contracts
EU Directive: Directive 2014/25/E		Procurement by entities operating in the water, energy, transport and postal services sectors
Care Act 2014 (<i>Act extends to England and Wales only apart from the sections mentioned in section 128(3) which also apply to Scotland and Northern Ireland</i>)	Part 1	Care and Support
Scotland	Section Applicable	Title
Housing (Scotland) Act 1987	Section 32B (Inserted by Section 158 of the Housing (Scotland) Act 2010)	Housing Support: persons found to be homeless or threatened with homelessness- This imposed a new statutory requirement on LAs to assess the housing support need of homeless applicants who are unintentionally homeless, or threatened with homelessness, and who are in priority need.
Housing (Scotland) Act 2001 (2001 asp 10)	Section 91	Grants for housing support services
Regulation of Care (Scotland) Act 2001 (Asp 8)	Section 2(27)	Care Services – Definition of “housing support services”
Housing (Scotland) Act 2001 (Housing Support Services) Regulations 2002 (SSI 2002/444)	All	All – These Regulations prescribe the types of support, assistance, advice or counselling services that may

		be provided by local authorities using grants paid by the Scottish Ministers.
Housing (Scotland) Act 2001 (Payments out of Grants for Housing Support Services) Order 2003 (SS1 2003/140)	All	This Order lays out the conditions for making payments out of grant to local authorities in respect of housing support services and the circumstances in which repayment must be made.
Community Care and Health (Scotland) Act 2002 (2002 asp 5)	Section 7	Direct Payments
Local Government (Scotland) Act 2003 (2003 asp 1)		Provides that local authorities have a duty to involve service users in the services they provide
Public Services Reform (Scotland) Act 2010	Part 5	This was the legislation which set up the Care Inspectorate (referred to as the Social Care and Social Work Improvement Scotland (SCSWIS))
Social Care (Self-Directed Support) (Scotland) Act 2013	All	Statutory limitation of direct payments for adults to those with capacity to consent
Public Bodies (Joint Working) Scotland Act 2014	All	Integration of Health and Social Care provisions
Wales	Section Applicable	Title
Government of Wales Act 2006	Section 60	Promotion etc. of well-being
Housing (Wales) Act 2014	Part 2	Homelessness

Appendix J – Regional Collaborative Committees and Supporting People National Advisory Board

Regional Collaborative Committees (“RCC’s”)¹³⁴

Composition

The RCC* is comprised of:

- (i). a locally elected member with executive responsibility for the SP Programme from each local authority (or delegated officials in their absence);
- (ii). an officer from the Health Board;
- (iii). an officer from Probation Service;
- (iv). four provider representatives;
- (v). two representatives from Community Health Councils; and
- (vi). service user representatives.

*(Example taken from [North Wales RCC](#))

Roles and Responsibilities

The roles and responsibilities of the RCC are to:

- (i). have responsibility for maintaining oversight of regional and local delivery against national Supporting People Programme Guidance and Grant Conditions;
- (ii). maintain an overview of regional and local needs mapping and to sign off on local and regional prioritising of resources;
- (iii). agree local and regional spend against agreed priorities;
- (iv). make recommendations to Government on local and regional spend plans against service user group priorities and any virement of SP Programme Grant over 10% of total service user group allocation;
- (v). recommend the escalation of any issues that cannot be resolved through local/regional collaboration to Government;
- (vi). devise a mechanism whereby service users can be involved in developing, commissioning and reviewing support services;

¹³⁴ The Welsh Government, Regional Collaborative Committees, January 2013. ‘*The role of Regional Collaborative Committees within the Supporting People Programme*’. Available from: <http://wales.gov.uk/topics/housing-and-regeneration/services-and-support/supporting-people/regional-committees/?lang=en>

- (vii). ensure systems are in place for the appropriate monitoring of SP spend including for timely identification and reporting of under spend; and
- (viii). maintain a small register of on the shelf 'ready to go' project models that can be implemented in response to any under spend.

Governance

- (i). The local authority representatives on the RCC will be accountable to their own Executive.
- (ii). The RCC will scrutinise local decisions after they have been taken through local political processes.
- (iii). The individual members of the RCC will maintain effective communication with their own constituency.
- (iv). The RCC will ensure regional commissioning plans take into account priorities of other related strategies e.g. Health and Social Care, Community Safety and Homelessness.
- (v). The RCC will develop mechanisms to ensure that service users are involved in the development of the regional plan and consider ways of involving service users appropriately in the RCC.
- (vi). The RCC as a body will be accountable to the SPNAB. The SPNAB will arbitrate in disputes between the RCC and individual local authorities where these cannot be resolved locally.
- (vii). Local commissioning plans must be consistent with the regional plan and meet the regional priorities identified in the regional commissioning strategy.
- (viii). Local authorities retain accountability for the expenditure of the SP Grant.

[Supporting People National Advisory Board \("SPNAB"\)](#)¹³⁵

Composition

Membership of the SPNAB is comprised of:

- (i). Head of Housing Policy Division, Welsh Government

¹³⁵ The Welsh Government, October 2014, 'Supporting *People National Advisory Board*'. Available from: <http://wales.gov.uk/topics/housing-and-regeneration/services-and-support/supporting-people/national-advisory-board/?lang=en>

- (ii). Three independent individuals, who will be the Chair and Vice Chair.
- (iii). Welsh Government officials will provide the Board's secretariat and other officials will attend as required
- (iv). Welsh Local Government Association
- (v). Association of Directors of Social Services Cymru
- (vi). Public Health Wales
- (vii). Primary Health Care
- (viii). Community Housing Cymru
- (ix). Cymorth Cymru (an umbrella body for organisations working with vulnerable people in Wales)
- (x). Housing Leadership Cymru
- (xi). Wales Probation Trust.

Roles and Responsibilities

The SPNAB's duties, through consultation and collaboration with Collaborative Committees and other bodies, will include:

- (i). advising the Minister on, and support the vision and national policy for, the Supporting People programme;
- (ii). monitoring the development and performance of, RCC's and the administration of Supporting People;
- (iii). advising the Minister on the appropriate implementation of, and changes to all Supporting People governance, grant conditions, policy, guidance and legislation;
- (iv). receiving regular reports from officials monitoring the governance of the RCC's;
- (v). holding an annual event with Supporting People Service Users;
- (vi). overseeing the implementation of new arrangements for the distribution of the Supporting People Programme Grant;
- (vii). providing assurance that processes and practices are fair, transparent, equitable and that planning and procurement are clearly defined; and
- (viii). advising the Minister and, where appropriate making recommendations on action.

All members will also be responsible for:

- (i). ensuring that decisions made by the Board follow proper procedures, are supported by sufficient high quality information and are robust and defensible;
- (ii). being aware of evidence and policy approaches to the Supporting People in other parts of the UK and beyond in order to learn from those and to evaluate Wales' relative performance;
- (iii). ensuring that the Supporting People National Advisory Board operates within its remit;
- (iv). exercising independent judgment, reasonable care, skill and diligence in undertaking duties; and
- (v). reports from the Steering Board on progress in delivering the action.

Supporting People Policy Links

The Supporting People Programme has close policy links across the Welsh Government e.g. Social Services, Community Safety and local government policy. Welsh Government officials on the Board have role across the Welsh Government to ensure that the programme is aligned with future policy developments; other members of the Board can assist this via their external links.

The Board can decide whether to establish sub-groups and to co-opt members as circumstances dictate. It may choose to form sub-groups to look at particular tasks, e.g. where it requires a particular policy or delivery focus that the whole Board may not need to concentrate upon, or on cross-cutting areas of work. The Chair will decide how to allocate additional work and responsibilities on an ongoing basis. All Work streams and Groups will report to the SPNAB.

Appendix K – Measuring the benefits of Supporting People

Study	Finding	Comment
England		
Cap Gemini, 2006 Note 1	Overall best estimate of net financial benefits of SP: £2.77 billion per annum, for client groups considered, against overall investment of £1.55 billion	Costing model used was for complete support packages, excluded personal benefits; Considered avoided costs related to appropriate alternatives; Provided financial modelling tool – for further use/development.
Cap Gemini, 2009 ¹³⁶ Note 2	£3.41 billion per annum, for client groups considered, against overall investment of £1.61 billion	Showed net financial benefits increased;
Birmingham City Council, 2011 ¹³⁷	Applying the Cap Gemini toolkit methodology to Birmingham produced a cost avoidance figure of £108 million per annum for an annual spend of around £51 million on SP services, equating to £24.50 for every £1 spent.	Developed a 'Whole Systems Approach' toolkit as determined no one model or evaluation tool is able to demonstrate the full potential value, benefit, savings and success of the SP programme. Compiled a toolkit incorporating work by Scottish government, Cap Gemini and other

¹³⁶ Communities and Local Government, 2009, 'Research into the financial benefits of the Supporting People programme' available from:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/16136/1274439.pdf

¹³⁷ Birmingham City Council, 2011, 'Whole System Approach: A toolkit to measure the success of the Supporting People programme', page 21. Available from:

http://www.birmingham.gov.uk/cs/Satellite?blobcol=urldata&blobheader=application/pdf&blobheadername1=Content-Disposition&blobkey=id&blobtable=MungoBlobs&blobwhere=1223504436499&ssbinary=true&blobheaderval ue1=attachment;+filename%3D1012594Whole_system_approach.pdf

		methods, combining both financial and personal benefits, from a national perspective to an individual's journey.
Scotland		
Tribal Consulting ¹³⁸ Note 3	Super-groups: £441 million monetary benefits against costs of £402 million. Matrix (Wales) compared to Super-group study assumptions found Tribal study showed £441 million whilst Matrix (Wales) produced £450 million.	Due to data limitations the study has not been able to assess the comparative costs and benefits of detailed elements of the SP programme to the degree desired.
Wales		
Matrix Research and Consultancy, 2006 ¹³⁹	For eight client groups this study reported an estimated saving of £1.68 for every £1 spent.	Based on Matrix, 2004 study building on the earlier work however acknowledges limitations exist despite attempts to limit both complexity and minimise assumptions.
Carmarthenshire County Council and Matrix Evidence (Matrix), 2010 ¹⁴⁰	Reported £2.30 is saved for every £1 spent, an increase of £0.62 on the Welsh 2006 study	This study only considered the financial savings not the other benefits for individuals, communities and society.

Definition: Net benefits is defined as the financial benefit of supporting the individual were higher than, and outweighed, the costs of doing so.

Note 1: The research approach estimated the impact of withdrawing or replacing the SP intervention therefore findings can also be interpreted to indicate that, for the group considered, the cost of supporting the individual through SP are lower than the overall costs of either withdrawing or reducing support, or of switching to a more intensive form of support offering a lower degree of independent living.

Note 2: Same research approach as per note 1. Report was compiled to provide an update to the DCLG.

¹³⁸ Scottish Government Social Research, 2007, 'Supporting People: Costs and Benefits – Final Report'. Available from: <http://www.gov.scot/Resource/Doc/207283/0055011.pdf>

¹³⁹ Welsh Assembly Government, 2006, 'Costs and Benefits of the Supporting People Programme'. Available from: <http://gov.wales/topics/housing-and-regeneration/publications/benefitssupportingpeople/?lang=en>

¹⁴⁰ Carmarthenshire County Council and Matrix Evidence (Matrix), 2010, 'Cost-benefit review of the Supporting People programme', paragraph 1.3. Cited in: <http://online.carmarthenshire.gov.uk/agendas/eng/HOSC20111019/REP05.HTM>

Note 3: Limitations in the available data have meant it was not possible to undertake the analysis at the level of the SP client group. Instead a “super-group” approach, which groups together those client groups that overlap within the dataset: Older people and physical disabilities; Mental health and related groups; Learning difficulties; Homeless and related groups;

Note 4: The Northern Ireland Council for Voluntary Action (NICVA) report on ‘The Financial Benefits of the Supporting People programme in Northern Ireland’ has not been included in the above table as Northern Ireland is outside the scope of this report.

Appendix L – Procurement issues experienced by SP service providers contributing to this report

(Ordering not related to significance)

Negotiation with service providers to reduce costs is more effective than re-tendering;

Contract specifications restrict providers to a set range of deliverables while support is holistic resulting in restricting innovation in service delivery;

Continuous movement of LA staff without knowledge transfer which leads to incumbent staff establishing ineffective commissioning systems without knowledge of what they are funding;

LA retender services to allow them to push down contract values while ignoring the cost of retendering to participating service providers;

Most contributing providers believe LAs award contracts on cost rather than quality;

LAs differ in their contract -weighting systems: an example was given where one provider contract was weighted 70:30 on cost and quality respectively while another authority applied 100 per cent weighting on cost. Other examples were given where LAs included Social Value weightings;

Centralised procurement functions can have more decision-making power than commissioners who know the service;

Some LAs pay the London Living Wage and include in this in the contract specifications while others do not resulting in some service providers reducing contract costs by paying the minimum wage. This disadvantages decent provider organisations competing for contracts;

One provider reported their LA decided at the end of the financial year to only pay grant in arrears. No consultation is required when changing contracts. The LA then made their contract duration only one year;

The operating environment does not reflect The Compact conditions;

Contracts can be ended by the LA with minimal notice to providers, the impact for provider organisations in this position is major affecting financial viability, organisation structures and provider staff;

LAs inappropriately use EU contract requirements, or refer to their LA standing orders to inappropriately apply rigid, time-consuming and costly procurement methodologies to low-value contracts;

LAs need greater understanding of the impact of tendering processes on provider organisation's relating organisational structuring, staffing impacts (potential redundancies/ job insecurity/pay freezes) and service delivery;

Contract specifications can often be rigid and process based rather than outcome based;

Provider collaboration is lost due to the competitive culture tendering has created.

Consortium bidding does not always increase value for money. One provider gave an example where the LA issued seven large service contracts rather than the previous 30 small contracts in an attempt to save 24 per cent on costs. Consortium bidding was encouraged however the provider reported increasing their cost per housing unit (for 100 housing units) by £1,000 to match consortium partner bids.

Appendix M – Sources for Northern Ireland Supporting People Lessons Learned

<p>All-Party Parliamentary ‘Inquiry into Hunger and Food Poverty in Britain: Evidence paper 1’, submitted by the Rt Hon Frank Field MP, April 2014. Available from: https://foodpovertyinquiry.files.wordpress.com/2014/04/fact-sheet-1-expenditure.pdf</p>
<p>APS Group Scotland, Commission on the Future Delivery of Public Service APS Group Scotland, June 2011, ‘Commission on the Future Delivery of Public Service’. Available from http://www.scotland.gov.uk/Resource/Doc/352649/0118638.pdf</p>
<p>Audit Commission, Communities and Local Government, July 2009, ‘Supporting People Programme 2005-2009’. Available from: http://archive.audit-commission.gov.uk/auditcommission/sitecollectiondocuments/Downloads/spprogramme200509acfinalreportclg.pdf</p>
<p>Audit Commission, Housing, National Report, October 2005, ‘The Supporting People Programme 2005’. Available from: http://archive.audit-commission.gov.uk/auditcommission/subwebs/publications/studies/studyPDF/3258.pdf</p>
<p>Audit Scotland, Accounts Commission, July 2013, ‘Homes fit for the 21st Century’. Available from: http://www.audit-scotland.gov.uk/docs/local/2013/nr_130711_housing_overview.pdf</p>
<p>Audit Scotland, March 2012, Commissioning Social Care Audit Scotland, March 2012, ‘Commissioning Social Care’. Available from: http://www.audit-scotland.gov.uk/docs/health/2012/nr_120301_social_care.pdf</p>
<p>Better Futures Outcome Tool <i>Better Futures Outcome Tool</i>. Available from: http://www.ccpscotland.org/hseu/information/better-futures/</p>
<p>Cabinet Office Guidance ‘Transporting EU procurement directives’ Cabinet Office Guidance ‘Transporting EU procurement directives’, 6 October 2014, available from: https://www.gov.uk/transposing-eu-procurement-directives</p>
<p>Care Commission – Better Futures Framework Care Commission ‘<i>Better Futures Framework</i>’. Available from: http://www.ccpscotland.org/wp-content/uploads/sites/2/2014/01/outcomesframeworkflyer.pdf</p>
<p>Citizen’s Information Board, Citizen’s Aid for Older Person’s Scheme Citizen’s Information Board, Public Service Information, ‘Citizen’s Aid for Older Person’s Scheme’. Available from: http://www.citizensinformation.ie/en/housing/housing_grants_and_schemes/housing_aid_for_older_persons_scheme.html</p>
<p>Civis Policy Consulting Research commissioned by Communities & Local Government, April 2008, ‘Research into the effectiveness of Floating Support services for the Supporting People programme - final report’. Available from: http://webarchive.nationalarchives.gov.uk/+http://www.communities.gov.uk/documents/housing/pdf/floatingsupportresearch.pdf or http://www.scie-socialcareonline.org.uk/research-into-the-effectiveness-of-floating-support-services-for-the-supporting-people-programme-final-report/r/a11G00000017xzeIAA</p>
<p>Communities and Local Government, ‘Supporting People: Client Records and Outcomes’. Available from: https://www.gov.uk/government/collections/supporting-people-client-records-and-outcomes</p>
<p>Department for Communities and Local Government February 2013, ‘Buying and managing government goods and services more effectively’ Available from: https://www.gov.uk/government/policies/buying-and-managing-government-goods-and-services-more-effectively</p>

[services-more-efficiently-and-effectively](#)

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