

Item No.	Classification: Open	Date: 31 March 2014	Decision Taker: Cabinet Member for Health, Social Care and Equalities
Report title:		Adult Social Care Innovation Fund 2013 to 2016 Awards	
Ward(s) or groups affected:		All	
From:		Director, Adult Social Care	

RECOMMENDATIONS

1. That the cabinet member for health, social care and equalities approve the recommended grant awards for the innovation fund for voluntary and community sector organisations as set out in Appendix 1 to the total value of £1,070,980 over 3 years apportioned as follows:-
 - £ 408,077 for 2013/14
 - £ 408,922 for 2014/15
 - £ 253,981 for 2015/16.
2. That the cabinet member notes the recommended funding awards are to support the development of a partnership based approach to working with the voluntary and community sector; focusing on the development of innovative approaches to services that form a crucial part of support services infrastructure that underpins the wider personalisation and transformation of social care.
3. That the cabinet member notes that due to the front loading of funding into the 2013/14 and 2014/15 the level of funding to be allocated in year three is less than the first two years covered in this report. Use of the remaining budget provision of £129,020 for year 3 (2015/16) will be subject to further consideration at the appropriate time as part of the councils ongoing strategic planning and review of its financial position.

BACKGROUND INFORMATION

4. This report relates to the fifth adult social care innovation grants fund award. The council established the first adult innovation grants fund in 2011/12.
5. The innovation fund grants awarded here focus on prevention and the development of a sustainable support infrastructure to deliver personalisation choice and control consistent with the council's fairer future promises and vision for adult social care.
6. This innovation fund has incorporated positive learning from previous funding rounds, and considered that the councils strategic objectives for models to become self reliant and sustainable in the long run, would best be served by considering funding for up to three years

7. Three key priority areas for this innovation fund are: social isolation, co-production/user engagement and the development of the local market for personal assistants, which were selected in order to:
- promote more innovative ways of providing support that reduce reliance on formal council services and create financially self sustaining business models,
 - shift the balance of care away from institutional settings such as residential homes or day centres and towards more personalised services in the community,
 - increase the take up of and more creative use of personal budgets,
 - ensure that service users can be engaged in the design and evaluation of services.
8. The co production theme was further split into two priority areas, one to encourage co-production amongst people living with a learning disability and the other to seek bids to establish “community champions” amongst older and disabled people to help deliver on the council’s overall quality improvement agenda.

Timescale

9. The new round of the innovation fund was launched in December 2013 and applicants were given six weeks to complete bids.

16 December 2013	Launch & application writing
31 January 2014	Closing date for applications
1 February to 14 February 2014	Assessment and scoring of applications by panel
6 to 14 February 2014	Bids clarification where required
17 February -3 March 2014	Panel final deliberations and recommendation of awards to senior management group
5 March 2014	Senior management group consider evaluation panel recommendations
10 March 2014	Interim director of social care sign off of recommendations
21 March 2014	IDM published
31 March 2014	Key decision taken
8 April 2014	Decision implementable

KEY ISSUES FOR CONSIDERATION

Eligibility and bid criteria

10. The availability of the innovation fund was promoted via the council’s and

Community Action Southwark (CAS)'s websites. Organisations and groups known to the department via provision of services or interest in providing services were directly invited to apply for the Innovation Fund. The council also informed its networks through both the learning disability and older people's partnership boards.

11. Guidance notes were provided on the application process and criteria against which applications would be assessed, and published/distributed alongside application forms. (Please refer to background paper.)
12. The innovation fund was open to organisations that met the following criteria: a properly constituted voluntary and community unincorporated charitable association; registered charity; registered as an industrial and provident society; community interest company; or a social enterprise.
13. The guidance notes specified the following criteria for bids under the three category areas outlined in the table below.

Table 1

A) Social Isolation
<p>To enable the council to work in partnership with providers to develop more targeted support, particularly in relation to the offer around :</p> <ul style="list-style-type: none"> ▪ Home care services, ▪ Point of exit from reablement services ▪ How existing community support projects and services develop links into hard to reach communities, in particular BME and other disadvantaged communities who may be at greater risk of social isolation.
B) Co-production and user engagement
<p>Findings within the reviews have identified that projects are more likely to become sustainable if the services provided have been designed taking into account expressed views of the end service user. Therefore it is considered important that one of the fund themes should be focused on co-production and user engagement to develop a sustainable approach.</p> <p>There are two main areas to this theme:</p> <ul style="list-style-type: none"> • To develop a systematic approach to support people with learning disabilities to engage in the co-production of services and in particular to support and enhance the range of peer support opportunities available in the borough. This theme will become increasingly important in relation to developing greater choice of support provider and support services within existing arrangements for supported living and to facilitate ongoing development of day opportunities. • To seek proposals for the development of 'community quality champions' projects that build on the work of the Carewatch project (home care 'lay inspection') and to build up the existing 'lay inspection' approach to improving quality within the care homes in Southwark. Engaging the wider community in being champions of good quality care quality and community services allow the community to express its views and provide feedback services and users, family members and carers' experience of services.

C) Personal assistants

Personal budgets, in particular direct payments have created a demand for an increasing number of personal assistants to support people to live independent lives. Previous innovation funding enabled some small scale piloting of the use of personal assistants with some success around people with learning disabilities.

The theme for this innovation fund will focus on:

- delivering an approach to the recruitment and matching of personal assistants with service users at scale and across all client groups as part of the longer term infrastructure needed to support personalisation. It will compliment the focus on co-production and could be increasingly important in relation to home care services in the future.

14. Community Action Southwark (CAS) ran an innovation fund bidders surgery day to support smaller voluntary organisations with writing applications.

15. Telephone and written queries were recorded and a FAQ's sheet was produced and put on the council and CAS's website.

Applications received

16. A total of separate 53 applications totalling £7,102m over the three years were received within the required timeframe. A list of the organisations that submitted applications can be found at Appendix 2.

17. A breakdown of the applications by theme is contained in Table 2.

Table 2

Theme	Year 1 2013/14	Year 2 2014/15	Year 3 2015/16	Total
Social Isolation (SI)	£1,314,163	£957,260	£898,312	£3,169,735
28 Bids				
Co production (CP)	£280,615	£235,049	£136,802	£652,466
6 Bids				
Personal Assistants (PA)	£274,932	£206,919	£178,854	£660,705
5 Bids				
Social Isolation & Co production	£873,658	£677,078	£652,154	£2,202,889
12 bids				
SI, CP & PA	£172,130	£159,432	£85,130	£416,692
2 bids				
Total	£2,915,497	£2,235,737	£1,951,252	£7,102,487

18. Nine bids were consortia or partnership bids, 12 bids were for under £50,000, 14 bids were for over £200,000, 3 organisations submitted more than one bid. The bids selected demonstrated clear and concise strategies in relation to long term financial viability, and as a result a significant number of the bids front loaded costs into year one and year two, moving to become more self sustaining in the

third year and totally self sustaining by year four..

Assessment and proposals for funding

19. An appraisal was undertaken of service managers' requirements of the innovation fund in regards to priorities and expected outcomes. These views were used to develop evaluation criteria and input was provided from Public Health to further define comprehensive evaluation criteria. A scoring methodology was modified from previous innovation funding programmes to ensure a clear and robust system to evaluate applications effectively.
20. A comprehensive evaluation process was put in place including an electronic scoring system. A score guidance sheet was produced and scoring sheets issued.
21. An evaluation panel was established to assess and score bids and to provide recommendations of bids that met the criteria for final consideration by the senior management group.
22. The evaluation panel consisted of four service managers from adult social care services (all with expertise in the key areas of the Innovation Fund) the senior social care commissioning manager and an external, independent voluntary sector senior representative from the United St Saviours Trust. The panel was chaired by a commissioning manager and serviced by a commissioning officer. The senior management group consisted of the head of commissioning, interim head of older people's services, the head of mental health and was chaired by the interim director of adult social care.
23. The evaluation panel met three times to discuss bids and agree final recommendations for awards. A summary of bids received and a synopsis of each of the 53 bids against the three theme areas was produced and presented to the panel at the first meeting.
24. The panel were aware of other council funding streams either current or anticipated and these were also considered when making recommendations.
25. Given the high number of applications bids were split into two packs and the panel was divided into two teams of three. Team A scored 27 bids. Team B scored 26 bids. Each member of the team read and scored their quota of bids over a three day period and included an opportunity for groups to discuss bids as they marked them. This approach ensured robust triangulation process as each bid was read and scored by three panel members.
26. Bids were considered firstly in relation to general eligibility criteria (including a check of the identity and status of registered voluntary organisations, community interest companies) and were then scored in the following sections:
 - 1) Core questions:
 - a) Strong evidence base
 - b) Partnership working/referral pathways
 - c) Deliverability
 - d) Clarity of outcomes
 - 2) The category they had applied under i.e.: social isolation, co production, PA's.
27. Where bids had been received for more than one category these were scored

for each category and the final score adjusted to reflect this.

28. Scores and panel comments on the strengths and weaknesses of each bid were entered into a matrix spread sheet enabling a comprehensive overview and score ranking for each bid and in each category.
29. A period was allowed for telephone and email clarification of bids where required. Answers were all recorded and circulated to the panel members before the final panel meeting.
30. At the third panel meeting the two teams came together to compare and discuss the scores and to moderate the bids. Quality assurance was built into the process via commissioning staff, who were not scoring, taking a number of the applications to independently cross check the scoring approach of the evaluators. The scoring was used as a guide and subject to debate and moderation between the panel. From the moderation discussion options were produced for funding recommendations made to the senior management group.
31. The senior management group felt that the recommendations provide a spread of funding across the three theme areas including the subset of two types of allocations under co-production and ensures that a range of care groups benefit from the funding. The recommended offer supports service managers' requirements of the fund in the initial appraisal undertaken to elicit views.
32. The total value of recommended awards within the 2013/14 Innovation Fund is set out in Table 3.

Table 3

	Year1 2013/14	Year 2 2014/15	Year 3 2015/16
Recommended Funding	£408,077	£408,922	£253,981

33. All of the funded initiatives will be regularly monitored to measure how well the agreed outcomes and outputs are met. All organisations will be required to provide regular financial monitoring information.

Policy implications Needs

34. The innovation fund supports two of the three key objectives of the Southwark Health and Well Being Strategy 2014 relating to improving the experience and outcomes for our most vulnerable residents. It also supports the implementation of the Council Plan which sets out the borough's commitment to create a fairer future for all in Southwark by protecting the most vulnerable residents and the implementation of the Adult Social Care Vision.
35. Changes proposed by the new Social Care Bill currently going through parliament will create a changing role for the council in terms of its commissioning responsibilities, to one of strategic planner and market supporter, enabling individuals to make more informed choices and exercise greater control over the services they receive. This will see a shift from the council as a large contractor, to one of market developer, as individuals take up their right to personal budgets and become their own commissioners. This is a

major transformation for the council, the people it supports and the organisations that provide these key services. In order for this choice to have real meaning, there is a need for a vibrant, affordable and flexible market of care in Southwark. The innovation fund supports the need to transform the market from the traditional statutory focussed, inflexible model to one that is flexible, innovative and responsive to the demands of individuals.

36. The strategic objectives of the innovation fund will also support a number of evolving strategic objectives for the council in relation to the transformation and personalisation of services for elderly and disabled people in Southwark: for example the Southwark and Lambeth integrated care programme, the learning disability accommodation strategy and the autism strategy.

Community impact statement

37. The reduction in available budget for social care services and the drive towards self managed personal budgets will mean changes for individuals in receipt of services and their carers.
38. This is linked to the council's overall statement on equalities as part of the budget strategy, which acknowledged that many of the savings proposals would impact on disabled people, older people and women, as these groups tend to have greater need of public services.
39. The innovation fund is a mitigating action that is focused on supporting organisations to think about ways in which they can become more self-sustaining and support people to live independently and well at home, connecting with their local communities and builds social capital.
40. A key purpose of the innovation fund is to support and develop a more effective and sustainable voluntary and community sector at a time when there is less central funding available for the public sector.
41. Guidance notes for the innovation fund noted that the diversity of services available was important in supporting the diverse nature of the borough itself, and this would be considered through the decision-making process.
42. It should be noted that the innovation fund is not intended to address all of the key impacts and mitigating actions identified or highlighted in the equality impact assessment carried out to evaluate the impact of the departmental budget reductions. Other actions will be taken forward by alternative routes and considered in detail as appropriate.

Overview of equality elements in all bids received

43. Of the 53 bids received from 50 organisations, 41 organisations currently provide services based in the borough and 12 do not.

Equality considerations for recommended awards

44. Recommendations have been made to grant awards involving nine different organisations. The council is confident that the proposed awards will generate benefits for all sections of the local community and that no group or individual will be disadvantaged as a result of the award. See Appendix 1 which demonstrates the range of care groups targeted through the funding.

45. All ten elements of the Equalities Act will be monitored through contract management.
46. Ten of the recommendations are for a bid from a partnership. This involves organisations with a shared vision, working together promoting social inclusion and community cohesion delivering effective and efficient services. This is important when we consider the requirements of the Public Sector Equality Duty (outlined in the Equality Act 2010¹), which highlights the need to promote community cohesion and foster better relationships between groups with and without protected characteristics.

Age

47. Three of the recommended bids are to work solely with adults aged 18-64. Four recommended bids are to work with 18+. Two recommended bids are to work specifically with older people.
48. The recommended initiatives support service users of any age to access community based services and as such there are no barriers in terms of equality.

Race/ethnicity

49. Six of the 53 bids were from specific BME organisations. None of these bids were supported as the bids were not evaluated as being strong in the categories they applied under. However all the recommended services work with people from all ethnic backgrounds and have policies and procedures in place that are aimed at ensuring that the needs of service users from BME groups are addressed and that barriers to access are removed.

Disability

50. All of the recommended initiatives are from groups specifically working with either people with learning disabilities; people with multiple and enduring mental illness; people with physical, sensory or neurological disabilities; older people; or those who support people with a disability.
51. In assessing the original bids the advisory panel favourably considered bids that work towards treating people, from whatever their background, age or disability, as valued citizens that are integral to the community.

Gender/gender identity (incl. gender reassignment)

52. One bid out of the total of 53 bids was from a women only service but did not meet the evaluation criteria. However, all the recommended initiatives are from organisations that have a demonstrable ethos of inclusion and human rights and no person would be excluded on the basis of their gender/gender identity.

Religion/belief

53. Two out of the total of 53 bids were from faith based organisations but did not meet the evaluation criteria. The recommended award initiatives do not refer to

¹ Equality Act 2010 – Part 11, Chapter 1, 'Public Sector Equality Duty', 149(1)
http://www.legislation.gov.uk/ukpga/2010/15/pdfs/ukpga20100015_en.pdf

specific activities linked to religion or belief. Organisations will be expected to ensure they are taking appropriate steps to prevent and address discrimination, considering the different equality strands, as part of the requirements of the Equality Act 2010. This is evidenced through their policies and procedures and monitored through the monitoring process.

Sexual orientation

54. One bid out of the total of 53 applications was specifically in relation to working with older people from lesbian, gay, bi-sexual and transgender communities but did not meet the evaluation criteria. All organisations will be expected to ensure they are taking appropriate steps to prevent and address discrimination, considering the different equality strands, as part of the requirements of the Equality Act 2010.

Pregnancy and maternity

55. These proposals and recommended awards are not expected to have a differential impact on the equality strand of pregnancy and maternity (as outlined in the Equality Act 2010); consequently it has not been considered in detail here.

Marriage and civil partnership

56. Marriage and civil partnership is included as a protected characteristic in the Equality Act 2010 in relation to the specific need to 'eliminate discrimination, harassment, victimisation or other prohibited conduct'. It is not anticipated that these proposals will have a differential impact on this equality strand in relation to the requirement to have due regard to this. Consequently, it is not considered in detail here.

Resource implications

57. Monitoring and support of the allocations will be met from within the existing staff resource.

Legal implications

58. The decision to approve the report recommendations is one which may be taken by the Cabinet Member for Health and Adult Social Care in line with the power conferred upon her under Part 3D of the council constitution.

Financial implications (FI/1047)

59. The advisory panel has recommended awards are made that total £1.071m over a three year period. The aggregate funding available for this over the three year period is £1.2 million. The total recommended award reflects the wide range of high quality bids received and the panel wanted to ensure that the fund supported a range of client groups in the allocations between the 3 bid areas.
60. Funding for the innovation fund is sourced from existing departmental resources and has been protected for three years i.e. 2013/14 to 2015/16. The spending profile over the period is estimated at £400k per annum. There is some flexibility factored into the funding to accommodate minor variances from annual budget provided that in aggregate spend is within £1.2m. The under spend in Year 3 of £146k allows for the offsetting of the over spend in Years 1 and 2 (totalling £17k

approximately). Please refer to Appendix 1

61. Allocations will be made to 9 projects with a range of values between £34,500 and £195,000. Details are in Appendix 1
62. The overall variance of £129,020 will be reinvested into a procurement exercise to take place in 2015/16 which will explicitly address a number of gaps in service provision not met through this grant award.

Consultation

63. The Innovation Fund was initiated in order to support the Adult Social Care vision and the implementation of personal budgets for all our customers. This work contains regular and extensive engagement with residents and service users across the borough. Specific areas of our service development (such as the redesign of our day opportunities for adults with a learning disability) have and will include formal consultation procedures.
64. Service managers were consulted for their views on the priorities for the Fund. The Evaluation Panel included cross departmental representation as well as an independent representative from the voluntary sector.

SUPPLEMENTARY ADVICE FROM OTHER OFFICERS

65. Director of Legal Services

The Director of Legal Services (“DLS”, acting through the Corporate team) notes the content of this report which seeks approval of various grant awards recommended from the Adult Social Care Innovation Fund. As noted in paragraph 59, the DLS affirms that the decision to approve the Recommendation is one which may be taken by the Cabinet Member in line with the council Constitution.

The proposed award of grant funding is consistent with legislative requirements and with corporate policy in this area and the report confirms the steps that have been taken to assess the impact of the grant allocations in line with the Public Sector Equality Duty set out in the Equality Act 2010. The report also describes that a planned and robust process has been carried out for the purpose of attracting bids from interested organisations and evaluating those bids.

The DLS will advise and assist officers in connection with the drafting of appropriate legal terms and conditions for the purpose of regulating the proposed grant awards

66. **Departmental Finance Manager**
Please refer to paragraphs 60 to 63

BACKGROUND DOCUMENTS

Background Papers	Held At	Contact
Innovation Fund application form & guidance information	Children's and Adults' Services 160 Tooley Street SE1 2QH	Helen Naylor 020 7525 53963

APPENDICES

No.	Title
Appendix 1	List of awards
Appendix 2	List of applications

AUDIT TRAIL

Lead Officer	Alex Laidler, Acting Director, Adult Social Care	
Report Author	Helen Naylor, Commissioning Officer	
Version	Final	
Dated	19 March 2014	
Key Decision?	Yes	
CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / CABINET MEMBER		
Officer Title	Comments Sought	Comments Included
Director of Legal Services	Yes	Yes
Departmental Finance Manager	Yes	Yes
Date final report sent to Constitutional Team		21 March 2014