

Methodology for Use of Resources Peer Reviews

Simon Williams and peer review initiation team (December 2016)

Note: It is expected that the findings of the peer review will be shared corporately. However this methodology does not in all cases seek to explore cross council relationships, as put forward in the ADASS/CIPFA risk tool, and so is not included. It is recommended that the DASS look at the risk tool as part of the preparatory work and self-assessment, and take a view as to how this aspect should be managed within the review and how the review can contribute to a whole-council view about the ASC budget: this would form part of the set-up conversation between the two DASSs.

AREA AND KEY QUESTION	SUPPLEMENTARY QUESTIONS	SOURCES OF EVIDENCE
<p>Overall budget</p> <p>How well aligned is the ASC spend to budget and to the council's MTFS?</p>	<ul style="list-style-type: none"> • In recent years including this year how has spend related to budget? • What has been the real term increase or decrease? • What is the track record of delivery of savings? • What are the prospects looking ahead? 	<ul style="list-style-type: none"> • Budget out turns and six month forecasts • Savings and record of how much delivered • Council MTFS • Discussions with DASS, Director of Finance, social care finance lead
<p>Benchmarking data</p> <p>Based on comparisons with similar councils, are there any areas of opportunity and of risk to be aware of?</p>	<ul style="list-style-type: none"> • What is comparative overall spend per head of population? And by care group? • What are the comparative activity levels? • What are the comparative unit costs? • What are comparative income levels from fees and charges? 	<ul style="list-style-type: none"> • Finance Returns and SALT returns • Any more bespoke comparisons e.g. CIPFA benchmarking club or London regional data • Discussions with social care performance lead, social care finance lead
<p>Commissioning and the market</p> <p>Is commissioning ensuring that there is a sustainable and affordable market?</p>	<ul style="list-style-type: none"> • Are there any plans especially in the key areas of home care, direct payments and care homes? • Is there a local methodology to work out a fair price for care? Has this been shared with providers? • Is there a shared plan with providers to increase productivity? • Are there any areas where access to the market is problematic? Is there a plan to address this? • What are relationships like with local providers? • Are there major concerns over quality? 	<ul style="list-style-type: none"> • Market Position Statement • Any commissioning plans • Any calculations of local care costs • Any data on quality including CQC data • Discussions with commissioners (including brokerage team if there is one) and providers

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<p>Managing demand</p> <p>How is demand being understood and managed?</p>	<ul style="list-style-type: none"> • Is there clarity over how demand trends are happening with projections ahead? • Are there measures in place to stop or delay demand turning into statutory assessments and support plans? • Is there a generally understood approach to promoting independence/asset based practice? 	<ul style="list-style-type: none"> • Performance reports and plans about activity levels • Plans for prevention and managing first contact • Outcomes from re-ablement and reviews in terms of reducing support packages where no longer needed • Transitions plans and practice • Discussions with performance lead, operational service, voluntary sector
<p>Controls and processes</p> <p>Are there effective controls measures in place and are processes as efficient as they could be?</p>	<ul style="list-style-type: none"> • What are the operational processes in place to manage expenditure? • Is there confidence in the data quality? • What are the processes to ensure income from fees and charges is collected? • Are there any opportunities for process efficiency and productivity? 	<ul style="list-style-type: none"> • Routine finance and performance reports • Discussions with operational service, finance and performance leads • Evidence from external and internal audit reports
<p>Partnerships</p> <p>What impact are local partnerships (especially with the NHS) having on the financial position?</p>	<ul style="list-style-type: none"> • How is the Better Care Fund working? • Are there any other pooled budgets and what financial impact are they having? • How is Continuing Health Care working? • Does the STP clearly articulate the potential impact on the Council of NHS proposals? • What is the financial impact of hospital discharge on the wider system and in particular the council? • What financial impact do other partnerships (e.g. the voluntary sector) have? 	<ul style="list-style-type: none"> • Current BCF plan and reports • Any S75 agreements especially finance annexes • Data on CHC including how CCG benchmarks • Any analysis of impact of hospital discharge (including DToCs but potentially wider than that) • Discussions with CCG Chief Officer (plus anyone else from CCG), any joint commissioning leads • Discussions with any key relevant NHS providers including mental health and community • STP documentation

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<p>Governance and planning</p> <p>Are there systems in place to ensure a planned and systematic approach to use of resources?</p>	<ul style="list-style-type: none"> • Is there a plan for savings, and over how many years? • Is there a system in place to discuss what budget ASC is going to need, looking ahead? • Are demographic and market pressures understood and modelled within the MTFs? • Does this include both expenditure and income? • How does the wider council understand this area of its budget? • How does ASC systematically manage the budget operationally and how does it plan ahead? 	<ul style="list-style-type: none"> • Routine reports within ASC and to wider council • Savings plans (may be part of wider change programmes) • Minutes of any relevant governance structures • Discussions with senior managers, Director of Finance