

AGENDA MANAGEMENT SHEET

Name of Committee Overview and Scrutiny Board

Date of Committee 2nd September 2009

Report Title Comprehensive Area Assessment and Emerging Issues Update

Summary This report presents the Overview and Scrutiny Board with an overview of the new Comprehensive Area Assessment framework, the role of Elected Members within the framework and emerging issues received from the Inspectorates to date.

For further information please contact:

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Would the recommendation decision be contrary to the Budget and Policy Framework? [please identify relevant plan/budget provision] No.

Background papers

CONSULTATION ALREADY UNDERTAKEN:- Details to be specified

- Other Committees
- Local Member(s)
- Other Elected Members Cllr Appleton.....
- Cabinet Member Cllr Farnell, Cllr Stevens.....
- Chief Executive Jim Graham.....
- Legal Jane Pollard.....
- Finance
- Other Strategic Directors SDLT.....

- District Councils
- Health Authority
- Police
- Other Bodies/Individuals Michelle McHugh.....

FINAL DECISION YES/NO

SUGGESTED NEXT STEPS:

Details to be specified

- Further consideration by this Committee
- To Council
- To Cabinet
- To an O & S Committee
- To an Area Committee
- Further Consultation

Overview and Scrutiny Board – 2nd September 2009

Comprehensive Area Assessment and Emerging Issues

Report of the Assistant Chief Executive

Recommendation

The Overview and Scrutiny Board is recommended to:

- Note the CAA framework
- Consider the role of Elected Members in relation to CAA
- Note the emerging issues ahead of a formal presentation to the Board at its November meeting.

1.0 Background

- 1.1 The Comprehensive Area Assessment (CAA) framework was introduced in April 2009. The intention of CAA is to examine how effectively local public services are performing; and how well they are working together, to meet the needs of the people they serve.
- 1.2 The introduction of CAA marks some key changes in the way that local authorities and partner organisations have been regulated traditionally. CAA is about an area as much as the individual Organisations, focused on future rather than past performance, outcomes rather than ways of working, and local priorities as much as national targets.

2.0 The CAA Framework

- 2.1 CAA is made up of two separate but interconnected elements – an Area Assessment and an Organisational Assessment.
- 2.2 The Area Assessment looks at the difference local public services are making to the quality of life in an area – both now and what can be expected in the future. It does so through the following three questions:
- How well do local priorities express community needs and aspirations?
 - How well are outcomes and improvements needed being delivered?
 - What are the prospects for future improvement?

The judgement will be reported as a narrative and not a score. Where the inspectorates have significant concerns about outcomes and future prospects for outcomes; which are not being tackled adequately they may report a red flag. Green flags represent exceptional performance or

outstanding improvement resulting in proven sustainable delivery of better outcomes from which others could learn.

- 2.3 Organisational Assessments will be carried out for all councils and fire and rescue authorities and will include two elements – Use of Resources and Managing Performance. Police Authorities and PCTs will also be subject to similar regimes which will both inform and be informed by the Area Assessment.

3.0 CAA and the role of Elected Members

- 3.1 CAA is an opportunity to judge local areas on their own terms - not just according to national priorities. This is a substantial change to former assessment frameworks and has clear implications for the role of Elected Members. Members have a key role in agreeing local priorities and will need to demonstrate an understanding of their communities and exercise community leadership in so doing.
- 3.2 Elected Members will need to be able to challenge the performance of their council and partners in achieving those priorities, and be able to explain the legitimate political choices they make so that the Inspectorates have a proper understanding of Warwickshire to inform their judgements.
- 3.3 The suggested role of Overview and Scrutiny in Warwickshire in the new CAA framework was reported to the Overview and Scrutiny Coordinating Group at its meeting on the 8th April. The key messages from that report are summarised below and supplemented where possible with more up to date information.

The CAA framework outlines a “two way” role for Overview and Scrutiny within CAA. Firstly, scrutiny reviews will be used as a source of evidence within the assessment process. Secondly it is expected that CAA judgements and on-going dialogue with the Inspectorates should be a key tool in informing improvement activity and scrutiny reviews. The Overview and Scrutiny Board has a key role in supporting the CAA process which needs to be further developed, as outlined below:

- a. **Source of evidence** – Overview and Scrutiny Reviews will be an important piece of evidence in the CAA assessment process in terms of demonstrating:
- an awareness of areas that require improvement;
 - effective outcomes and improvement achieved through Overview and Scrutiny; and
 - a partnership approach to understanding scrutiny work.
- b. **Informing Warwickshire’s O&S Work Programmes** – Overview and Scrutiny will be able to draw on the outcomes of Warwickshire’s CAA assessments to inform the development of its Work Programmes. Likewise, CAA presents an enhanced opportunity to learn from other areas and organisations through analysis of Green and Red Flags.

- c. **Self Evaluation** - The CAA framework recognises that rigorous and regular self evaluation is a feature of effective organisations and partnerships. Good organisations and partnerships use it as part of their performance management to identify how well they know their communities, if outcomes are being improved, how effectively resources are used, and what needs to be done to sustain and further improve good performance. Although not a pre-requisite of the CAA framework, it is proposed that Warwickshire - both at the County Council and Area level develops its approach to the use of self evaluation.

There is a clear role for Overview and Scrutiny in scrutinising any self evaluation undertaken. As such the Public Service Board has undertaken to commission a Peer Review from the IDeA, which will take place from the 1st to the 5th March 2010, to assess amongst other things the partnerships impact, vision, leadership, governance, accountability and performance management in the delivery of improved community outcomes.

4.0 Emerging Issues for Warwickshire and Next Steps

- 4.1 The first round of CAA judgements will be published on the 10th December 2009. The ongoing cyclical nature of CAA means that engagement with the Inspectorates is marked with continuous dialogue rather than an 'inspection event'. For Warwickshire this is primarily through the CAA Lead, Mary Ann Bruce.
- 4.2 The Inspectorates continue to share their emerging findings at both the area and organisational level. It should be noted that much work remains to be done in order to finalise the assessments for 2009 and officers from across the partnership are working with the Inspectorates to provide additional evidence and information as appropriate. Attached at Appendix 1 is a briefing note on the emerging issues to date.
- 4.3 The Overview and Scrutiny Board has invited Mary Ann Bruce (CAAL) to attend the next Board meeting on the 4th November to provide Members with an overview of the key findings for the first year of CAA.

5.0 Recommendations

- 5.1 The Overview and Scrutiny Board are recommended to:
- Note the CAA framework,
 - Consider the role of Elected Members, in relation to CAA
 - Note the emerging issues ahead of a formal presentation to the Board at its November meeting.

Monica Fogarty
Assistant Chief Executive
2nd September 2009

Overview and Scrutiny Board

Comprehensive Area Assessment and Emerging Issues Update

Introduction

The Inspectorates have shared their initial findings against the CAA framework with the County Council and local partners. This note brings together those initial findings.

It should be noted that the Inspectorates still have much work to do in order to finalise their assessments. Officers from across the County Council and the various partner organisations are working with the inspectorates to gather any additional evidence required as well as check that the initial findings are in line with our knowledge of the area and its work.

The table below shows the key dates leading up to the publication of the first CAA judgements for Warwickshire:

Date	Activity	Lead Agency
On Going	Use of Resources (All Councils, Fire and Rescue, PCT, Police)	Joint Inspectorate
	Managing Performance (All Councils and Fire and Rescue)	Joint Inspectorate
	Additional Area Assessment (as appropriate)	Joint Inspectorate
9 th September	Annual Assessment of Children and Young People	Ofsted
14 th September	Adult Social Care Annual Health Check	CQC
23 rd September	Formal feedback on Area Assessment to Warwickshire Public Service Board	CAA Lead
25 th September	Evidence Cut Off – Evidence submitted after this point will not inform the 2009 CAA judgement.	-
13 th October	Final opportunity to develop text for reporting	-
14 th October	Pre-publication draft Area Assessment and Organisational Assessment scores shared with the PSB and appropriate Council	-
16 th October	Review process starts – The partnership or individual organisation (for Organisational Assessment) will have a short period to appeal against the award of red flags or Organisational Assessment Scores. * 5 days for Organisational Assessment *10 days for Area Assessment red flags	-
10 th December	Publication of final Area Assessment and Organisational Assessments	One Place Website

Area Assessment

- The inspectorates still have much work to do between now and the 14th October to finalise their assessments.
- The initial Area Assessment findings are presented against the Sustainable Community Strategy outcomes to reflect progress local priorities.
- It should be noted that the final Area Assessment judgement will not be scored. Instead, it will take the form of a narrative supported where appropriate with red and/ or green flags:
 - Red flags will be used to represent significant concerns about outcomes and future prospect for outcomes, which are not being tackled adequately.
 - Green flags will be used to represent exceptional performance or outstanding improvement which is resulting in proven delivery of better outcomes for local people that are sustainable and Inspectorates jointly consider others could learn from.
- The 4 underpinning themes of CAA can be clearly seen in the feedback we have received to date. The CAA themes listed below, closely match the areas of work under Narrowing the Gaps:
 - Sustainability,
 - Tackling inequality, disadvantage and discrimination,
 - People whose circumstances make them vulnerable
 - Value for Money.
- **The inspectorates key findings to date include:**
 - Many areas of Warwickshire are good places to live with reducing crime levels, a healthy and generally satisfied resident population,
 - Warwickshire is hard hit by the impact of the recession,
 - The inequalities that exist within Warwickshire are marked. The Inspectorates have questioned whether there is sufficient co-ordinated action to sustain the effort in the long term,
 - Much of the findings focus upon partnership engagement across the wide agenda. The Inspectorates have questioned whether there is sufficient engagement of some partners in the delivery of outcomes for Warwickshire, particularly the NHS,
 - Variable performance across areas including climate change, waste, inequalities, chlamydia screening, obesity levels and the response to the recession.
- **The Inspectorates have identified progress in a number of areas including:**
 - In support of the SCS outcome to belong to safe, strong and cohesive communities, the Inspectorates have identified progress in road safety, adult re-offending rates and domestic abuse awareness and conviction rates,
 - Crime rates reducing generally with targeted initiatives taking place with good effect,
 - Overall educational attainment is improving,
 - In support of the SCS outcome to have a clean, green and sustainable environment, the Inspectorates have identified progress in waste collection and recycling in some districts as well as a range of activities by each organisation to reduce energy consumption,

- Assessment of accommodation need for Gypsies and Travellers,
 - The percentage of vulnerable people achieving independent living is above regional and national performance,
 - Warwickshire Investment Partnership, Coventry and Warwickshire reinvestment Trust and Enterprising Warwickshire Programme.
- **The Inspectorates have also identified a number of areas where they currently have issues and concerns, a number of which are summarised below:**
 - Rugby has the highest mortality / admissions from accidents and serious injuries,
 - Marked health inequalities especially in Nuneaton and Bedworth persist,
 - There is a lack of robust engagement from the wider NHS with wider LAA targets,
 - Warwickshire has some of the worst performance in the Country on chlamydia screening,
 - Educational Attainment in Nuneaton and Bedworth,
 - Less progress in North Warwickshire and Nuneaton and Bedworth on waste and recycling,
 - Perceived lack of outcome focus in the Climate Change Strategy
 - In support of the SCS outcome to have appropriate and affordable housing, the Inspectorates have identified concerns about variable performance across the County, especially in relation to the percentage of non-decent homes and fuel poverty,
 - In relation to Warwickshire's response to the recession, the Inspectorates have raised questions as to whether the response is really joined up.

Organisational Assessment

- The Inspectorates have presented their provisional findings to date on both elements of the CAA organisational Assessment. These are presented against the four Key Lines of Enquiry that inform the final judgement.
- Input from Ofsted and the Care Quality Commission (CQC) will form the primary source of evidence for Children and Young People and the Adult Social Care element of the Organisational Assessment. This information will not be available until mid-September.
- It should be noted that the Organisational Assessment will be a scored judgement. Both elements will receive score's, which will be brought together to give an overall score demonstrating the effectiveness of the organisation. This will be on a scale of 1 to 4, with 4 being where an organisation significantly exceeds minimum requirements.

Managing Performance

The Inspectorates key findings to date:

- Priorities and ambitions are clear and based on a shared understanding of the issues facing Warwickshire.
- Leadership and partnership working is improving especially with the District and Borough Councils. Partnerships with health bodies remain an area for improvement.
- Despite a number of initiatives over several years there is little progress with reducing inequalities or narrowing the gaps. Most significantly, the most deprived neighbourhoods are drifting further away from the national average.
- The Council is developing its role in the sub-region and is taking part in the Total Place pilot. However, progress with developing the sub-region integrated economic development strategy has been slow.
- There is a need to review outdated practices in the Fire and Rescue Service

Use of Resources

The Inspectorates key findings to date:

- The Councils financial planning process is well integrated with service planning and this is on a medium to long term basis.
- Service planning for 2009/10 has strengthened the integration of performance and financial planning further.
- Overall, the Council is a low spending authority and it has a good track record of managing spending within its available resources
- The Council has strong and focussed leadership. Senior officers and Members demonstrate financial awareness and systems are in place to ensure that the focus is on corporate priorities and not service silos.
- There are good corporate systems in place to ensure that performance and financial information is integral to proposals to new investment / decommissioning.
- There is good evidence that the Council is consulting with hard to reach groups and this has helped to shape the Councils policies.
- The Council produces clear performance and financial information to decision makers that has been improved to aid focus. However, some papers to Members lack the financial dimension and without this, decisions could be made without a full picture.
- There is a strong culture of performance management and this is continually developing to ensure the approaches remain fit for purpose and focused on the key issues.