



Llywodraeth Cymru
Welsh Government

Welsh Government Pooled Budgets Evaluation Framework

Focusing on the use of pooled budgets relating to care home accommodation for people aged over 65

June 2020

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Overview of review

Scope and purpose of review

1. Scope

The key elements of the Social Services and Well Being Act recently became a statutory requirement for the Partnership Bodies of the Regional Partnership Boards (RPBs). Welsh Government commissioned a review on the progress each of the seven regional Partnership Boards have made in developing pooled funds. This review was limited to the establishment and maintenance of regional pooled funds in relation to the exercise of care home accommodation functions for older people (aged 65 or over), which is commensurate with its anticipated annual expenditure on care home places for older people.

2. Purpose of the report

This report outlines the observations and recommendations from this review. Each of the seven RPBs have been assessed on their progress in implementing pooled funds in line with the requirements given in the Partnership Arrangements (Wales) Regulations 2015. The Review Team has provided recommendations for consideration, following the assessment.

Approach

3. Our approach

This work engaged with stakeholders from the seven RPBs and reviewed information already held by RPBs and the Welsh Government (WG) on pooled budgets for care homes for older people to inform our observations and recommendations.

The core review activity had two distinct elements. The first was a desk top review of documentation that was agreed with Welsh Government. The information was then provided by each of the RPBs to evidence the progress made towards these specific pooled budgets and their current operational practice. The key areas considered for this were:

- Purpose and scope of the pooled funds
- Fund governance arrangements
- How decision are made
- Risk sharing arrangements
- Initial outcomes of the pooled fund arrangements
- Future developments
- Collaboration between partners

The second element was to meet with the RPBs to validate the information from the desktop review and to explore these areas further. It should be noted that the Review Team based our assessment on data provided by the RPBs as at September 2019 and information from interviews with key stakeholders put forward by the RPB. The Team did not undertake observation of RPB meetings and has not undertaken any further detailed validation. We assessed each Board against key areas shaped by the requirements given in the Partnership Arrangements (Wales) Regulations 2015.

The Review Team utilised a 5-point maturity scale for consistency and drew on our observations to provide recommendations for consideration. We provided the RPB assessment sections to the respective RPBs to confirm factual accuracy. Welsh Government have reviewed the draft and provided challenge and feedback.

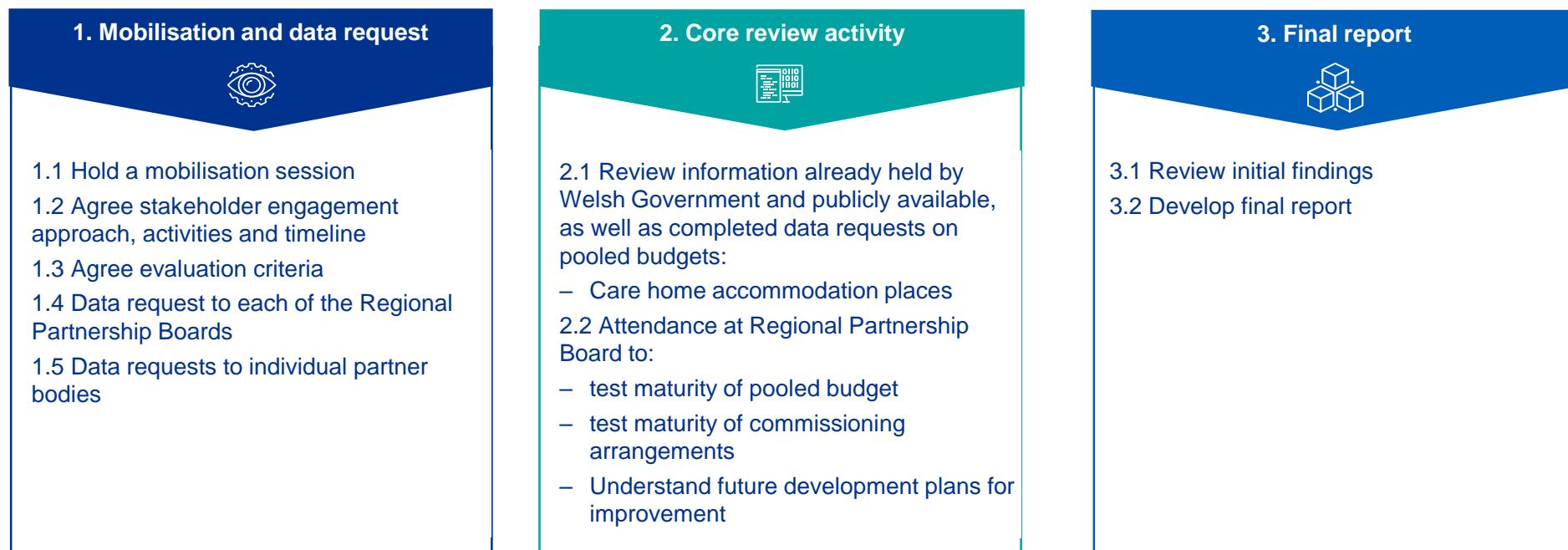
In relation to this review, the roles of the respective parties are as follows:

- Welsh Government commissioned the review and were assisted by KPMG, their discovery partner.
- Welsh Government have provided information, guidance, feedback and challenge throughout the review.
- RPBs have contributed information and evidence by providing information for the desk top review and through participation in stakeholder meetings. RPBs have validated the content of the evaluation for factual accuracy.

Approach (cont:)

3. Our approach

The diagram below gives an overview of the key activities undertaken.



Evaluation

4. Evaluation Framework

In order to assess the use of pooled funds across the RPBs, the review team have used a framework, to assess maturity across a range of key areas, to provide a consistent assessment approach for:

1. Scope;
2. Governance;
3. Decision making;
4. Risk sharing;
5. Outcomes;
6. Future development; and
7. Collaboration.

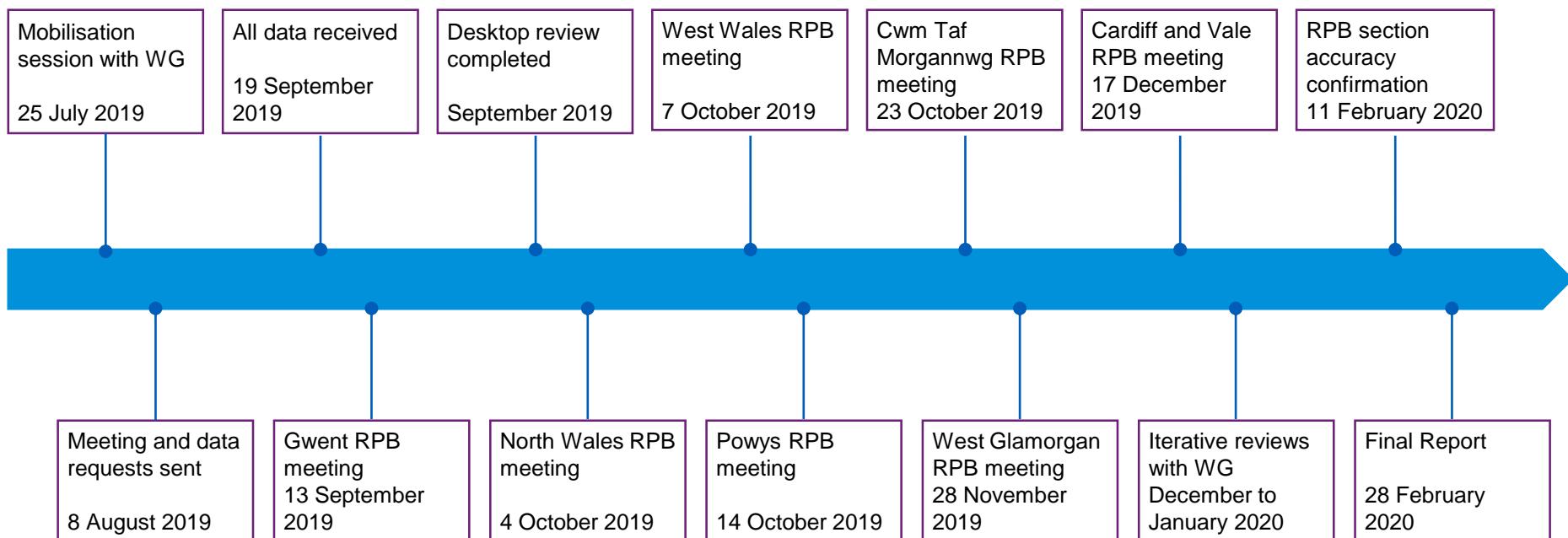
Each assessment has some additional narrative to evidence the evaluation. Where possible, we have included recommendations for consideration. The diagram below outlines the maturity scale and a template evidence table used within the report.

Maturity Level	1	2	3	4	5
Description of detail required to achieve maturity level	Low maturity description	Low-medium maturity description	Medium maturity description	Medium-high maturity description	High maturity description
Evidence	Summary			Recommendations	
– Evidence documents	Observations from the evidence.			– Areas to consider	
Template maturity assessment					

Review timings

5. Review timeline

This was a high level review which took place between August 2019 and February 2020. The timescale was flexed to accommodate the availability and response times of the seven Regional Partnership Boards. The timeline below outlines when the key activities took place.



Review observations

5. Key observations

Outlined below are the review's key observations:

- **RPBs are predominantly meeting the minimum requirement** - The seven Regional Partnership Boards (RPBs) have established partnership agreements and governance arrangements to manage pooled funds relating to care homes for older people. Based on our review of documents and interviews, RPBs have predominantly met the minimum requirements in relation to the pooled funds for care homes for older people.
- **Many RPBs do not physically pool the budgets for care homes for older people** – five of seven RPBs do not physically pool funds and share financial risk although their reporting, governance and decision making is suggesting a move towards a collaborative approach.
- **RPBs support for pooled funds** - All RPBs have expressed support for using pooled funds as a vehicle to deliver seamless integrated services.
- **RPBs concerns** - Most RPBs highlighted care homes for older people was a challenging first area to pool funds, under the legislation. RPBs felt a smaller, more defined specialist area would have been better for regional pooled funds. A number of the RPBs raised concerns around the perceived prescriptive nature of this pooled fund, being solely focussed on care homes for older people. Some of the key challenges that were highlighted in relation to care homes for older people included:
 - managing a diverse cohort of need across localities (as opposed to specialist services, which was deemed to be more suited to a pooled fund approach by the RPBs); and
 - the risk of cross-subsidisation across local authority boundaries.
- **Broadening the scope of pooled budgets** - The legislation does not preclude RPBs from widening the scope of their pooled funds to other areas, in line with their care model and agenda for change for the region. In discussions with the RPBs, it was noted that there are examples where RPBs have physically pooled funds to facilitate better outcomes for their citizens in areas other than care homes which indicated the RPBs openness to using pooled funds as a lever more broadly.
- **Use of the Association of Directors of Social Services Cymru (ADSS Cymru) toolkit** - Welsh Government recently released the ADSS toolkit to support regions in establishing and maximising benefits of pooled funds. The majority of RPBs are in the early stages of examining the toolkit and have not yet applied it to their projects. This review did not assess the toolkit; however as it is available to RPBs we would suggest they consider this toolkit as an additional resource when implementing their pooled fund projects, to better comply with WG guidance.

Current practice

6. Useful Practice

Each of the RPBs are operating their pooled funds differently. Some useful practice was identified, that could be shared and considered by the other RPBs.

Purpose & scope of pooled funds	<p>Cwm Taf Morgannwg physically pools funds across 2 local authorities and the Health Board. They have overcome issues in relation to cash flow and have agreed a legal mechanism virement which allows for any surpluses to be carried over to the next financial year.</p>
Pool Fund Manager	<p>Some of the regions have a pooled fund manager to maximise financial and operational performance and to undertake a series of strategic residential care market development / sustainability projects.</p> <p>Some RPBs have funded the post through contributions of partners such as North Wales and others have funded or will be funding the post through Integrated Care Fund (ICF) funding such as West Glamorgan, Cwm Taf Morgannwg and Powys.</p> <p>RPBs with a Pool Fund Manager, outlined that they expect the role to bring focused support that will contribute to improving the RPB's outcomes in due course. It was recognised by these RPBs that this support needs to be sustainable especially where the funding may be non-recurrent.</p> <p>It is suggested that this additional role is evaluated and if these additional benefits are achievable, then a Pooled Fund Manager may be a valuable role for each of the RPBs.</p>
Fund governance arrangements	<p>Cwm Taf Morgannwg have worked through a number of governance considerations in the establishment of their fund. The budget is agreed amongst partners. Funding is paid into the pool quarterly in advance. They have overcome cash flow issues and there is transparency of expenditure details which is easily accessible. The responsibility for commissioning and paying for homes is delegated back to the purchasing local authority.</p>

Overview of Review

Benefits

7. Emerging benefits

RPBs have mainly focussed on establishing the scope and structure as well as setting up the partnership arrangements. This is evidenced in the review with higher scores across the board for scope and governance criteria, compared to risk sharing and outcomes criteria.

All RPBs reported emerging benefits. The most notable include:

Data driven decision making

All RPBs have stated that having sight of the data from across the region has helped them. This includes making strategic decisions, holding constructive conversations amongst partners and raising timely awareness of any issues or challenges.

Commissioning benefits

There have been a number of benefits in relation to commissioning. Benefits range from the development of a joint commissioning strategy to a move towards a single system for commissioning, procuring and contract monitoring.

Fee setting

A number of the RPBs are working to develop a consistent fee setting methodology.

Identified development

8. Areas identified for development

As outlined previously, RPBs have focussed their attention on establishing the scope, structure and setting up the partnership arrangements for the pooled funds. A number of the RPBs have indicated that they intend to now focus on the following 3 areas:

Alignment

A number of RPBs flagged the complexity of this part of the care model. All RPBs are working on their future care models and a number highlighted the importance of ensuring alignment of funds to future strategy.

Commissioning

All RPBs noted the emerging commissioning benefits. RPBs were keen to continue driving out these benefits and build on the joint commissioning arrangements.

Risk sharing

The main focus of RPBs has been on setting down the right foundations. Some RPBs have indicated that they are now in a stronger position to discuss risk sharing options and approaches.

Recommendations for consideration

Recommendations for consideration			
No.	Area	Observations	Recommendation for consideration
1	Compliance with policy intent	five out of seven RPBs currently do not physically pool budgets in relation to care homes for older people although reporting and governance arrangements have been established.	During this review Welsh Government has expressed that the legislation intended all RPBs to have physical pooled budgets. The remaining five RPBs without this, could consider the other RPBs' pooled budget models to help evaluate the most appropriate one for them to implement.
2	Risk sharing	Currently none of the RPBs share financial risks although there is increased transparency of activity, expenditure and risks.	A further development of the pooled budget arrangements could be to review risk sharing arrangements. For example they could manage the pooled fund as a unified budget. This would support more seamless service provision across organisations, driven by demands of the population.
3	Governance	Some of the regions have a pooled fund manager while others have roles that may support administrative functions.	It is suggested that the Pooled Fund Manager role is evaluated to establish the additional potential benefits of this role. If these additional benefits are achievable, then a Pooled Fund Manager could become a required role for each of the RPBs. The role could include driving forward physical pooling of funds, risk sharing arrangements and the future developments of the pooled fund.
4	Knowledge sharing	It would be useful to share notable practice across Wales.	It would be helpful for the RPBs to have sight of the developments across the other RPBs in Wales. To achieve this, a mechanism could be established for sharing the knowledge and work that each of the RPBs are undertaking in relation to pooled funds across Wales.

Recommendations for consideration

Recommendations for consideration			
No.	Area	Observations	Recommendations for consideration
5	Purpose & scope of pooled funds	<p>Broadly, most regions have goals with a well-defined scope and some milestones. However the majority are not actively prioritising and managing the budgets as a single fund.</p>	<p>Some elements for consideration to strengthen the pooled budget arrangements include:</p> <ul style="list-style-type: none"> – Treating pooled budgets as a single fund. – Prioritising goals based on importance or urgency and measuring expected benefits with KPIs. – Aligning the purpose and scope of the pooled funds and overall agenda for change, including expanding it beyond care homes for older people, where appropriate.
6	How decisions are made around the funds use	<p>RPBs had agreement on how decisions are to be made. Most RPBs had a lead partner</p> <p>All regions highlighted that RPBs could only make recommendations and not decisions as they are not legal entities.</p>	<p>To support effective decision making the RPBs could consider:</p> <ul style="list-style-type: none"> – Establishing written governance arrangements which all partners sign up to. – Defining a sign-off process and putting mitigations in place, to minimise the risk of overspend. – Validating that pending decisions are agreed and documented across the RPBs and follow Section 33 legislation.
7	How the pooled funds risk is shared	<p>Most regions do not have a financial risk share agreement. five of seven RPBs did not physically pool funds.</p> <p>All regions raised the issue of cross subsidisation for their population as a challenge and the difference in needs between localities for a large cohort of the population.</p>	<p>To further develop the RPBs risk sharing approach, they could consider:</p> <ul style="list-style-type: none"> – Physically pooling funds, in line with the intent of the legislation. – Developing a risk sharing structure, which all partners sign up to in writing. – Recording and tracking risks, with identified and actionable mitigations listed alongside them. – Using the ADSS Cymru toolkit when implementing their pooled fund projects, in line with WG guidance.

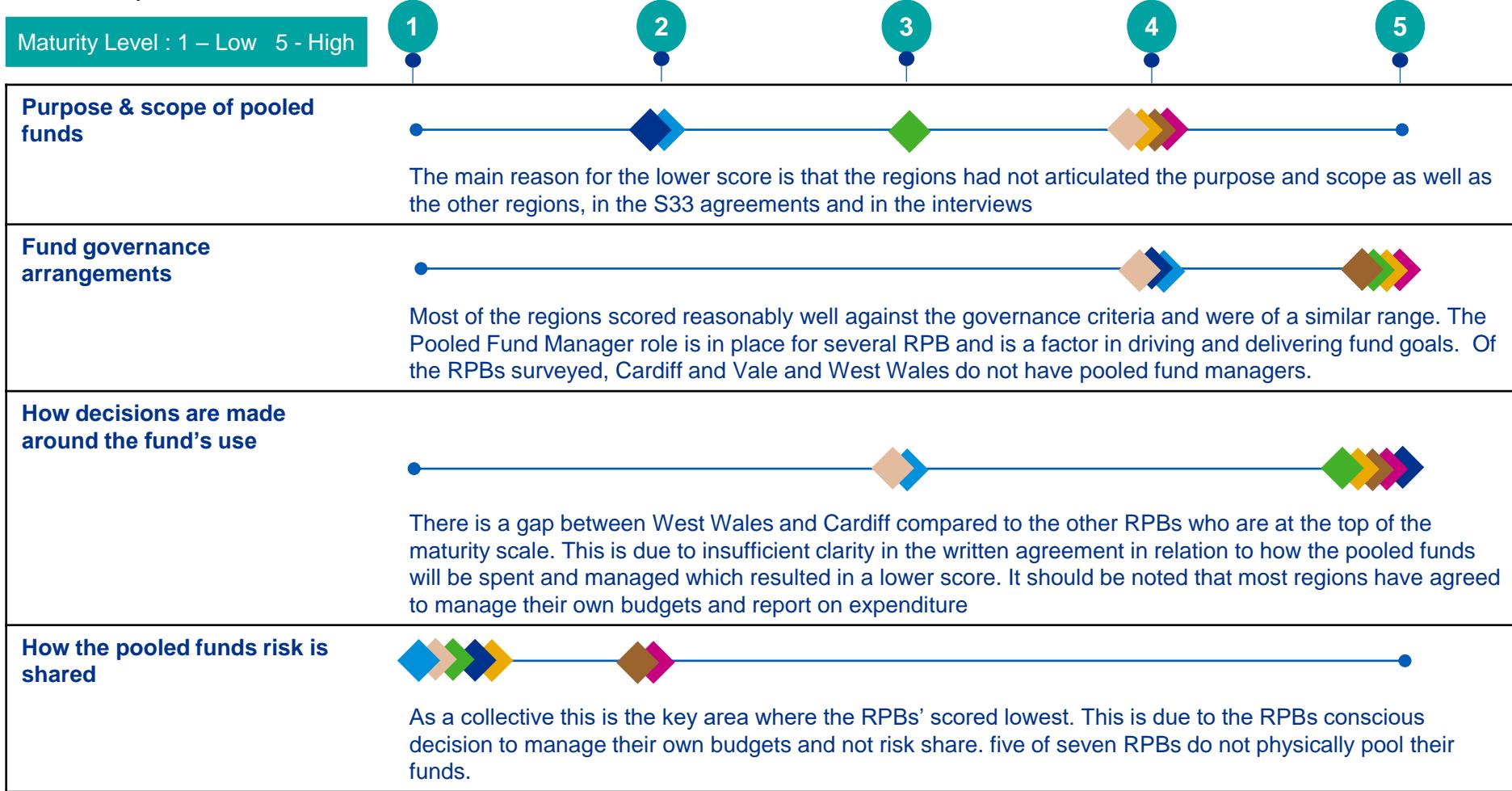
Recommendations for consideration

Recommendations for consideration			
No.	Area	Observations	Recommendations for consideration
8	Initial outcomes of pooled funds	<p>There are limited outcomes of pooled funds at this stage of their maturity. Most RPBs are at the sharing data stage rather than implementing changes in an integrated way through use of their pooled funds.</p>	<p>To improve the understanding of pooled funds outcomes RPBs could consider:</p> <ul style="list-style-type: none"> – Analysing the benefits to pooled funding versus individual organisation spend. – Defining KPIs to measure the funds' success over time.
9	Future Development	<p>Most regions have started considering their longer term strategy for the regional pooled funds. However it is high level and still at the discussion stage and without a roadmap for most RPBs.</p>	<p>Future development opportunities for consideration include:</p> <ul style="list-style-type: none"> – Documenting and publishing future RPB aspirations. – Developing detailed plans that align to agreed ambition. – Evaluating future areas of regional and locality pooled funds to help achieve the change agenda.

Summary assessment

Summary assessment

The assessment below and on the next page of the report, provides a summary assessment across the RPBs. It outlines the seven RPBs scores across the key areas the review focused on.



Key ◆ Cardiff & Vale of Glamorgan

◆ Cwm Taf Morgannwg

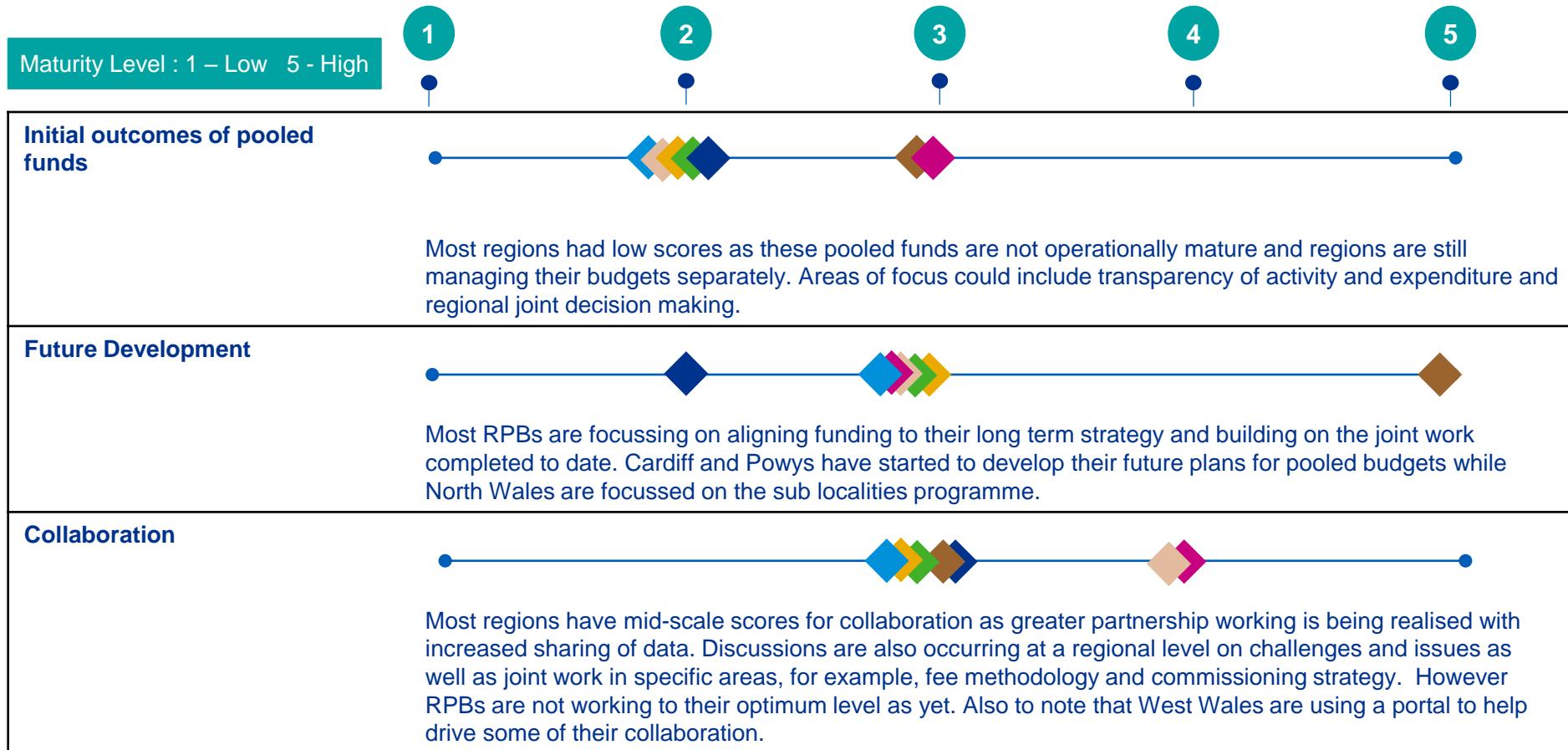
◆ Gwent

◆ North Wales

◆ Powys

◆ West Glamorgan
◆ West Wales

Summary assessment



Key

- ◆ Cardiff & Vale of Glamorgan
- ◆ Cwm Taf Morgannwg
- ◆ Gwent
- ◆ North Wales
- ◆ Powys
- ◆ West Glamorgan
- ◆ West Wales

Pooled fund review by region

Cardiff and Vale of Glamorgan

Overview



- The Partnership Bodies are under a statutory requirement to establish and maintain a pooled fund in relation to the exercise of their care home accommodation functions.
- This statutory requirement came into force on the 6th April 2018.
- For the purposes of this Agreement, the County Council of the City and County of Cardiff has agreed to act as the Host Authority on behalf of itself, the Vale of Glamorgan Council and the Health Board.
- The Partners have discussed the better integration of their statutory obligations and discretionary powers in relation to their care home accommodation functions and wish to enter into the arrangements under this Agreement.

Key RPB members



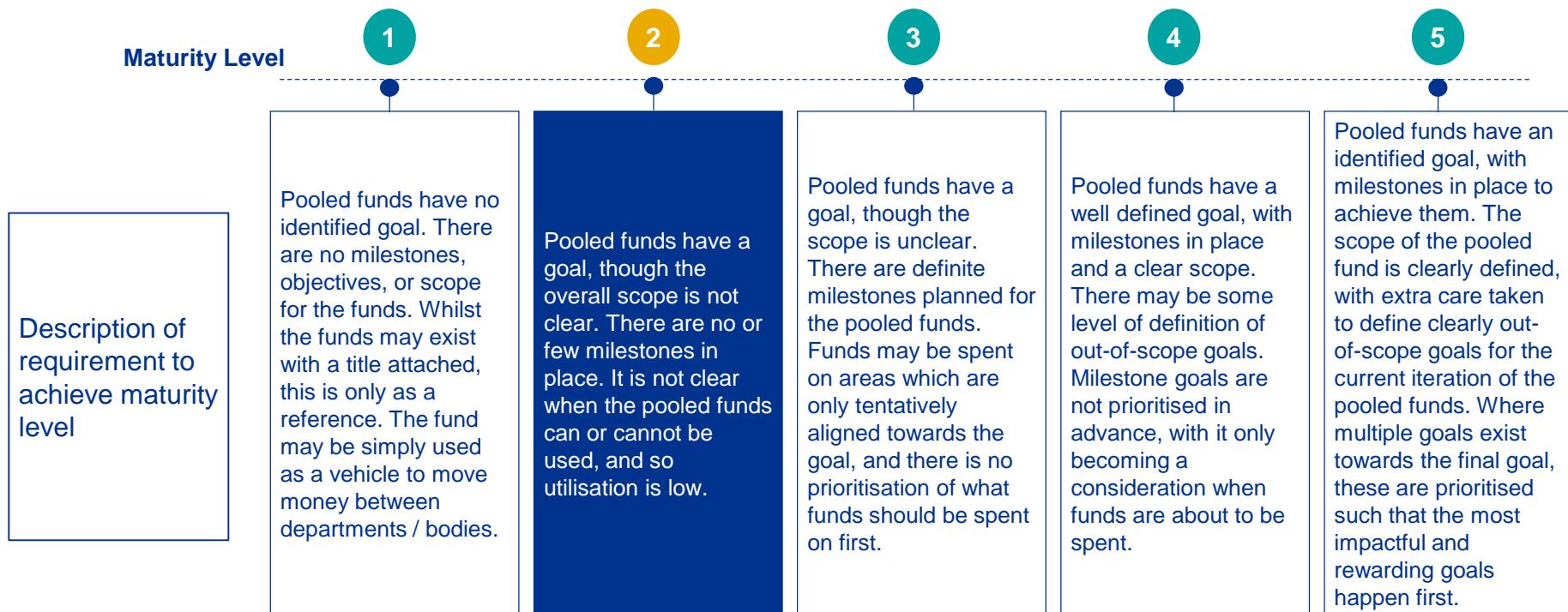
- The County Council Of The City And County Of Cardiff
- Vale Of Glamorgan Council
- Cardiff And Vale University Health Board

Engaged officers



- Cllr Susan Elsmore - Cabinet Member for Social Care and Health, Cardiff Council
- Lance Carver - Director of Social Services, Vale of Glamorgan Council
- Sarah McGill - Corporate Director – People and Communities, Cardiff Council
- Abi Harris - Director of Strategy & Planning, Cardiff & Vale UHB
- Cath Doman - Director of Health and Social Care Integration at Cardiff and Vale Integrated Health and Social Care Partnership
- Alison Law – Cardiff and Vale Integrated Health and Social Care Partnership

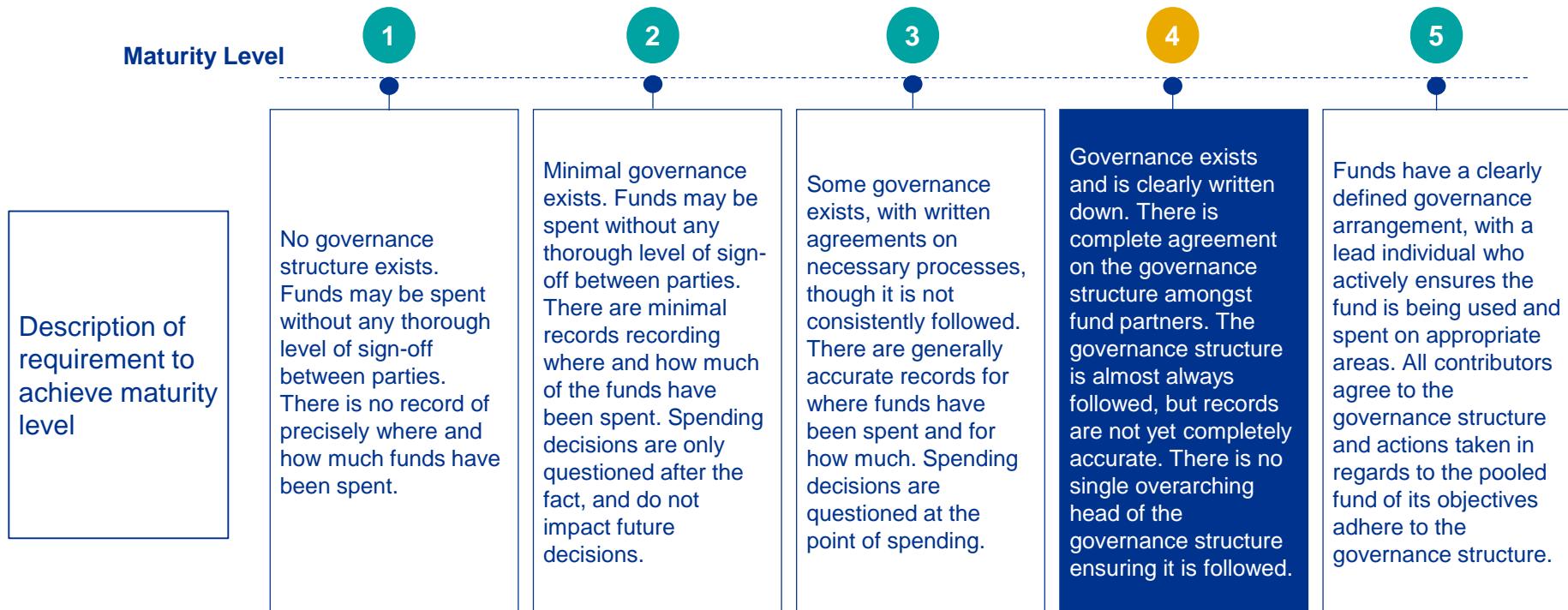
Evaluation Framework: Purpose & scope of pooled funds



Evaluation Framework: Purpose & scope of pooled funds

Evidence	Summary	Recommendations for consideration
RPB meeting 17 th December 2019	<ul style="list-style-type: none"> — Members of the RPB stated that they are committed to working together to overcome any barriers to serving residents in relation to their care needs across Cardiff and the Vale. — The RPB stated that they have a common agenda for commissioning and a model of care which they are working towards. To date, they have brought together fee setting arrangements, developed a single escalation process, equality framework, established a regional commissioning board and developed a learning disabilities commissioning strategy. — The RPB outlined that at the Macro level, the process they are following is to: <ul style="list-style-type: none"> — Agree the service model and objectives for the region which is aligned to the needs assessment. The needs assessment has indicated that people want to remain healthy and well in their own home for as long as possible. — Look at current spend — Align activity and resources — Decide on the best approach to support and enable change (joint management arrangements / pooling budgets etc.) — The RPB stated that the pooled budget arrangement was a tool that served the RPB. The RPB therefore wanted to ensure that the focus was on outcomes. 	<ul style="list-style-type: none"> — As the RPB is keen to focus on outcomes as a mechanism for driving progress forward, it might be useful for them to identify and document agreed key milestones that are aligned to achieving their strategic outcomes
Desk top review – (1.1) Final Partnership Agreement – (1.2) Comment within Data Document – (1.5) NOTES of Cardiff and Vale of Glamorgan Pooled Budgets Workshop Wednesday 8th March 2017	<ul style="list-style-type: none"> — The core Final Partnership Agreement (1.1) is set up in mind of the Social Services and Well-Being (Wales) Act 2014. The comment for (1.2) is that a Section 33 agreement has not been utilised for this pooled fund. — The core (1.1) document provides an oversight of the relevant legislation being followed. 	

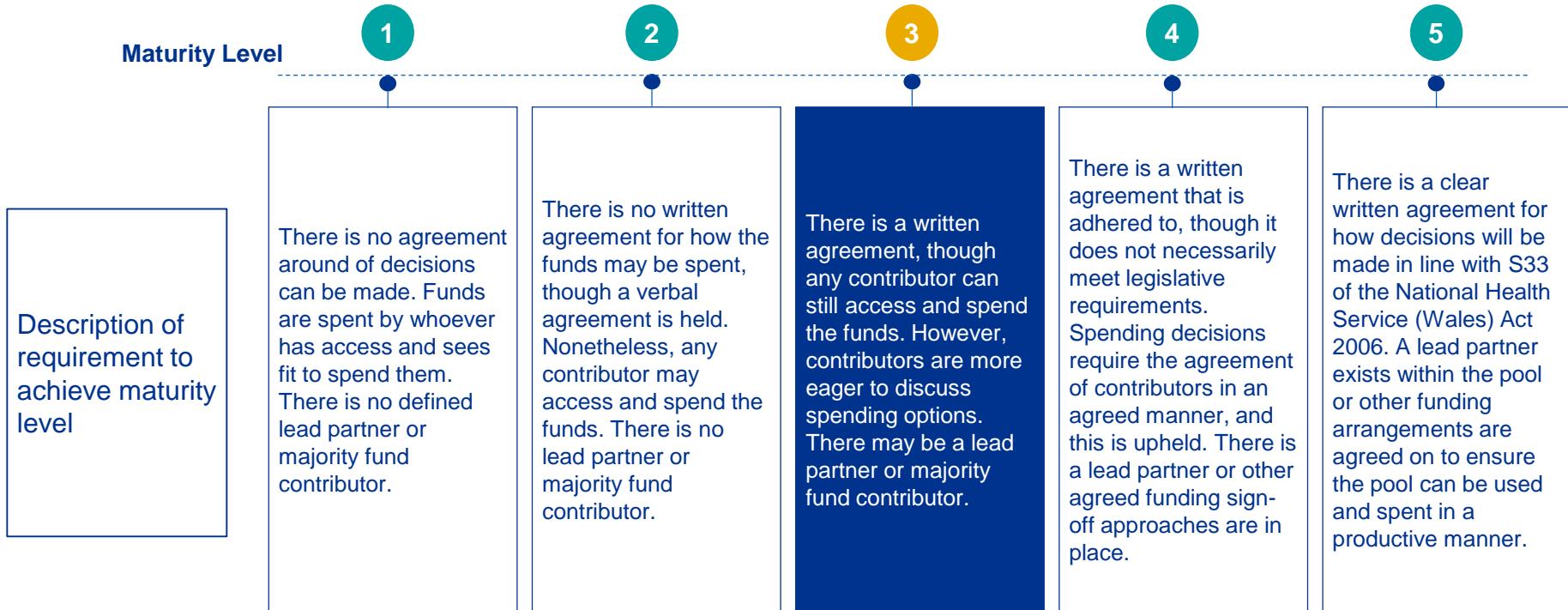
Evaluation Framework: Fund governance arrangements



Evaluation Framework: Fund governance arrangements

Evidence	Summary	Recommendations for consideration
RPB meeting 17 th December 2019	<ul style="list-style-type: none"> — The RPB has a governance structure which the pooled arrangements for care homes feeds into. — Cardiff Council is the host authority for the pooled fund. There are arrangements in place to share any costs associated with the maintenance of the joint fund. — Cardiff Council's finance officer provides a quarterly update on spend. The Vale of Glamorgan and Health finance officers provide confirmation and assurance on their organisation's behalf. — Reports for the RPB and partner organisations governing bodies are provided by the Regional Commissioning Board which collates this information. 	<p>As the RPB increases its maturity in relation to governance arrangements it could:</p> <ul style="list-style-type: none"> – consider the most appropriate mechanism for questioning spending decisions. – consider designating a pooled fund manager to help drive forward developments and maximising benefits. It could be useful to reflect on how the other RPBs are using this role.
Desk top review <ul style="list-style-type: none"> – (1.1) Final Partnership Agreement – (1.4) Regional Commissioning Programme for Older People Services and Pooled Budgets Update Regional Partnership Board – 9th June 2017 – (1.5) Cardiff and Vale of Glamorgan Pooled Budgets Workshop 	<ul style="list-style-type: none"> — As part of the core Partnership Agreement (1.1) document, there is a section for "Partnership Management Governance", which explains that legal requirements will be followed. It also details that a quarterly review will be conducted and who shall receive this. 	

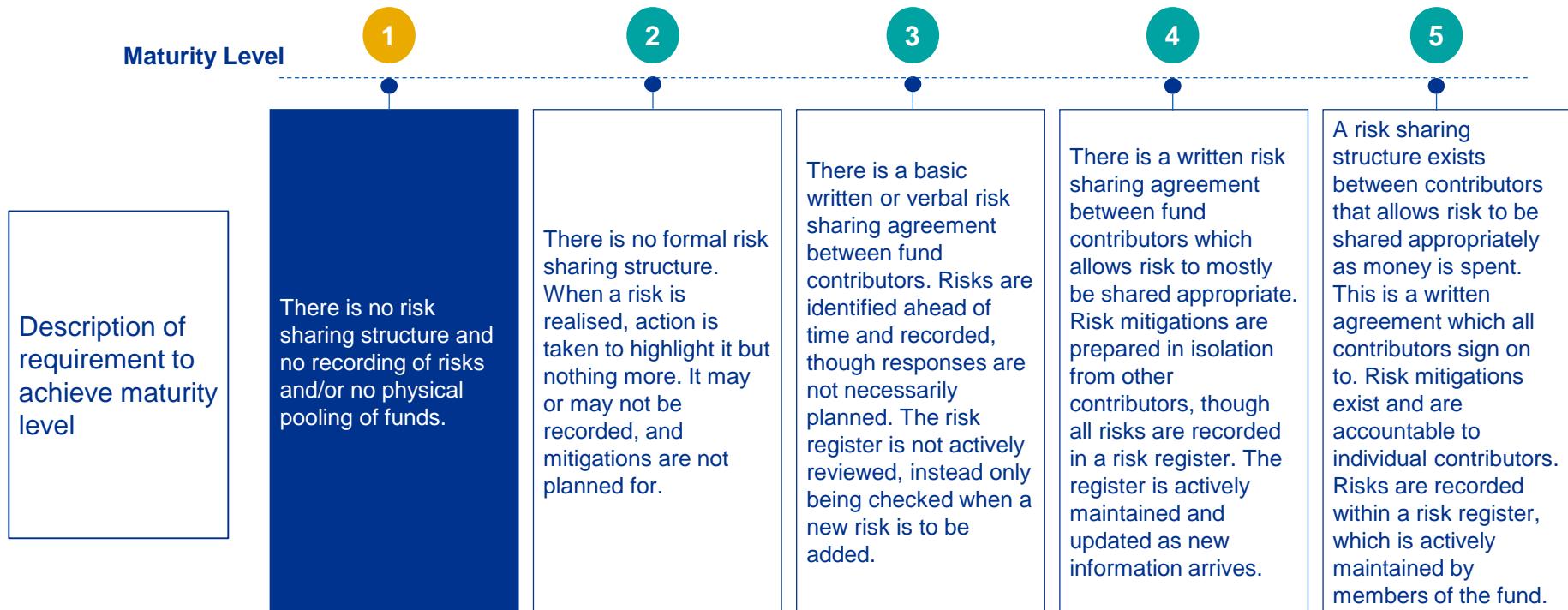
Evaluation Framework: How decisions are made around the funds use



Evaluation Framework: How decisions are made around the funds use

Evidence	Summary	Recommendations for consideration
RPB meeting 17 th December 2019	<ul style="list-style-type: none"> — The RPB indicated that there are policies which stipulate which partner should fund care packages. The RPB has tried to improve and speed up decision making processes. — One member of the RPB stated that should Social Care be free at the point of entry, this would significantly assist the decision making process. — Over time, the intention is to support more and more people to stay in their own homes, therefore it is hoped that there will be fewer residential care placements commissioned over time. 	<ul style="list-style-type: none"> — The RPB could consider funding sign-off approaches.
Desk top review – (1.1) Final Partnership Agreement	<ul style="list-style-type: none"> — According to the Final Partnership Agreement (1.1), contributors are able to both pay into and from the pooled fund according to Schedule 1. Schedule 1 itself explains that each Partner's Financial Contribution shall be calculated by the individual Partner with reference to the actual costs the Partner has incurred in respect of the Services commissioned". — It further explains that the pooled fund's operation will be a reimbursement of expenditure by the host (having collected contributions) back to the contributors based on their individual spend. 	

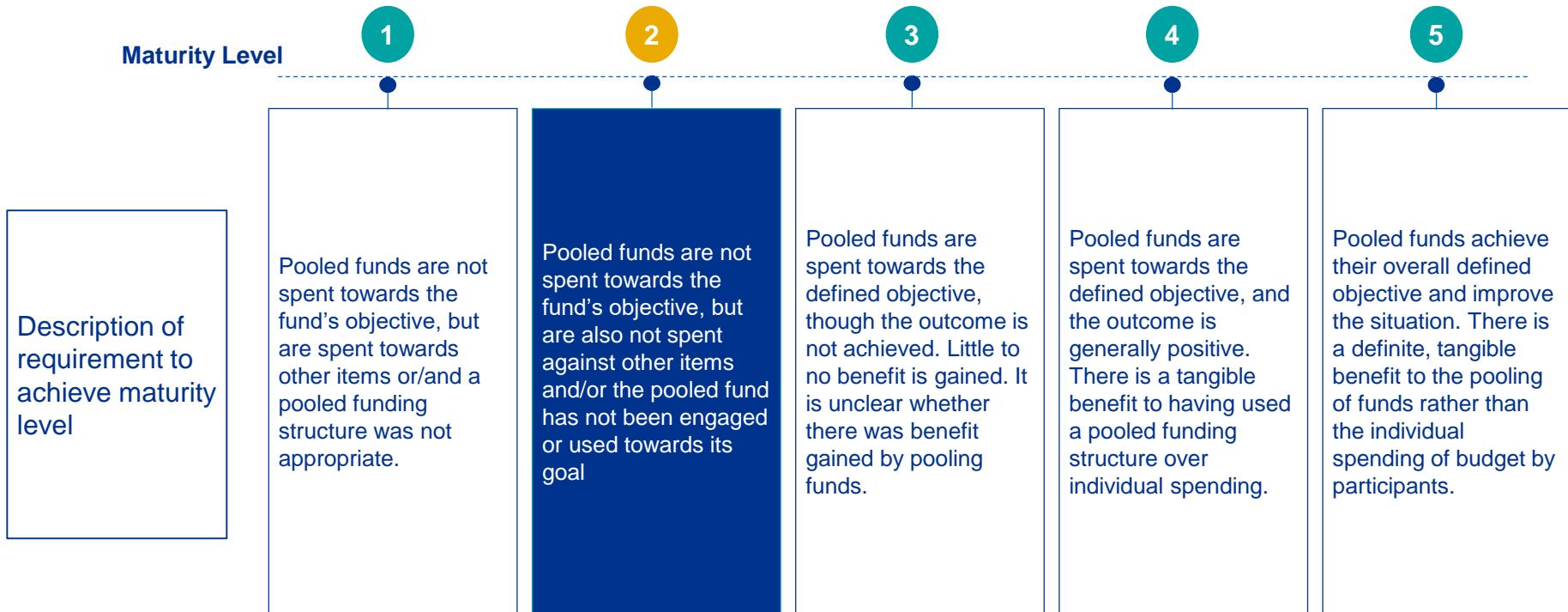
Evaluation Framework: How the pooled fund's risk is shared



Evaluation Framework: How the pooled fund's risk is shared

Evidence	Summary	Recommendations for consideration
RPB meeting 17 th December 2019	<ul style="list-style-type: none"> — Some members of the RPB stated that there is no appetite for risk sharing in relation to pooling funding for care home accommodation. There is no physical pooling of funds across partners. — Due to the frequency of meetings and conversations across the region, the RPB are now able to share the risk of managing the sector much better. 	<ul style="list-style-type: none"> — The RPB could revisit the Leads Working Group, 27 June 2017 decision, to ascertain whether a risk sharing agreement between fund contributors could bring additional benefits to the partnership.
Desk top review – (1.5) Pooled Budget Finance Leads Working Group, 27 June 2017.	<ul style="list-style-type: none"> — At the Pooled Budget finance Leads Working Group, 27 June 2017 document (1.5) the group discussed whether a risk sharing structure was necessary, with the promoted outcome being for “no risk sharing arrangements”. 	<ul style="list-style-type: none"> — Consider how risks could be identified ahead of time, recorded and mitigating actions agreed. — Welsh Government have indicated that the intention of the legislation was for budgets to be physically shared, as such the RPB could consider working through the process of physically pooling their funds and financial risk sharing to support a more integrated service — Consider the applicability of the ADSS toolkit to help progress maturity.

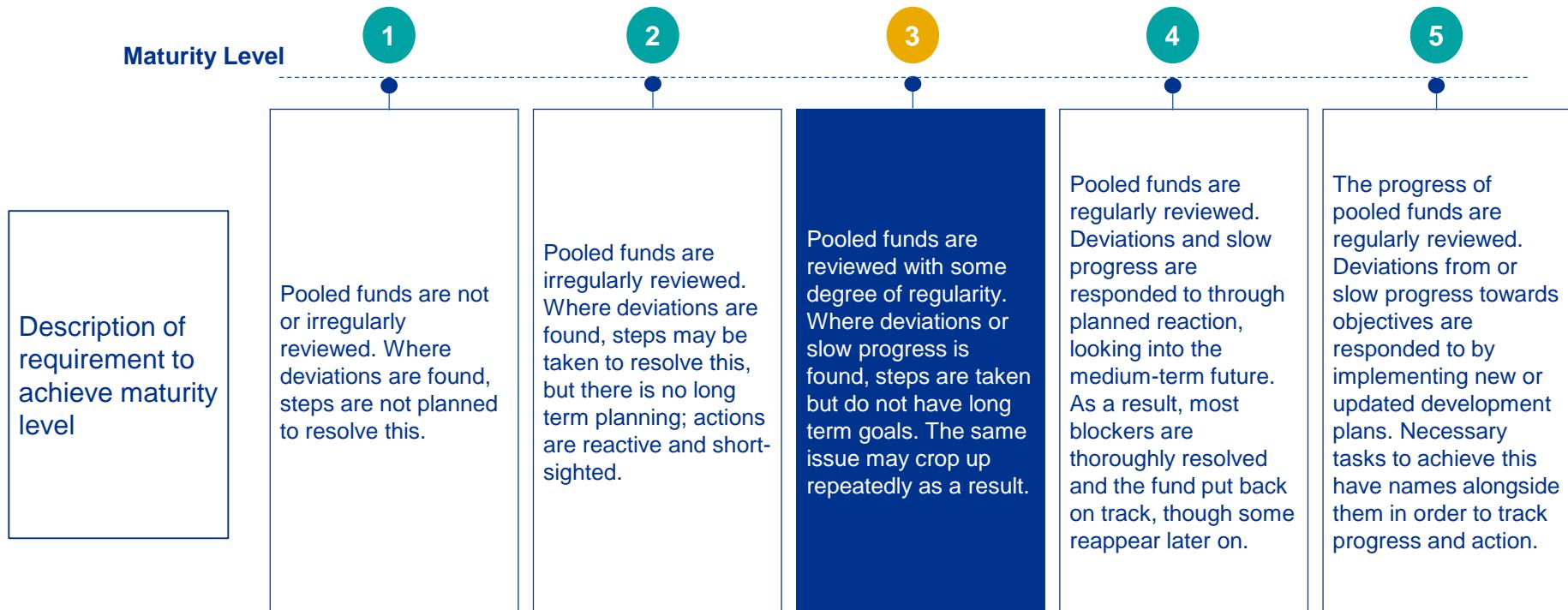
Evaluation Framework: Initial outcomes of pooled funds



Evaluation Framework: Initial outcomes of pooled funds

Evidence	Summary	Recommendations for consideration
RPB meeting 17 th December 2019	<p>There have been a number of initial outcomes as a result of joint working across the RPB however the tangible benefits of using a pooled fund is yet to be realised.</p> <ul style="list-style-type: none"> – Transparency – The RPB now have a clear profile of spend which they can map across the region. They are able to identify any changes to the pattern of demand – Commissioning – Established a regional commissioning board. The changes in demand helps to inform commissioning decisions. They now have an evidence based planning process. – Collaboration – closer alignment has signalled a clear intent to the market that partners will work together. Senior leaders also work together and attend each other's board and SMT meeting which enables additional flexibility and creativity in the system. For example the meals on wheels service is no longer restricted to council boundaries. – Brought together fee setting arrangements – ‘Let’s Agree to Agree’ toolkit – has been implemented to develop regional learning. – Learning Disabilities Commissioning Strategy – will be implemented by March 2020 to support people with learning disabilities and to be more independent – Escalating Concerns Process – one approach across the RPB – Equality Framework 	<ul style="list-style-type: none"> — Consider developing measures to track whether the fund is achieving its goals. — Revisit the pooled budget arrangements. The ADSS toolkit may help progress this.
Desk top review – (1.3) DomRes Commissioning	From the performance documents provided (DomRes (1.3)), good progress can be seen to be made as of 3 rd September 2019. Most goals are on track with a small number behind schedule or facing challenges in delivery.	

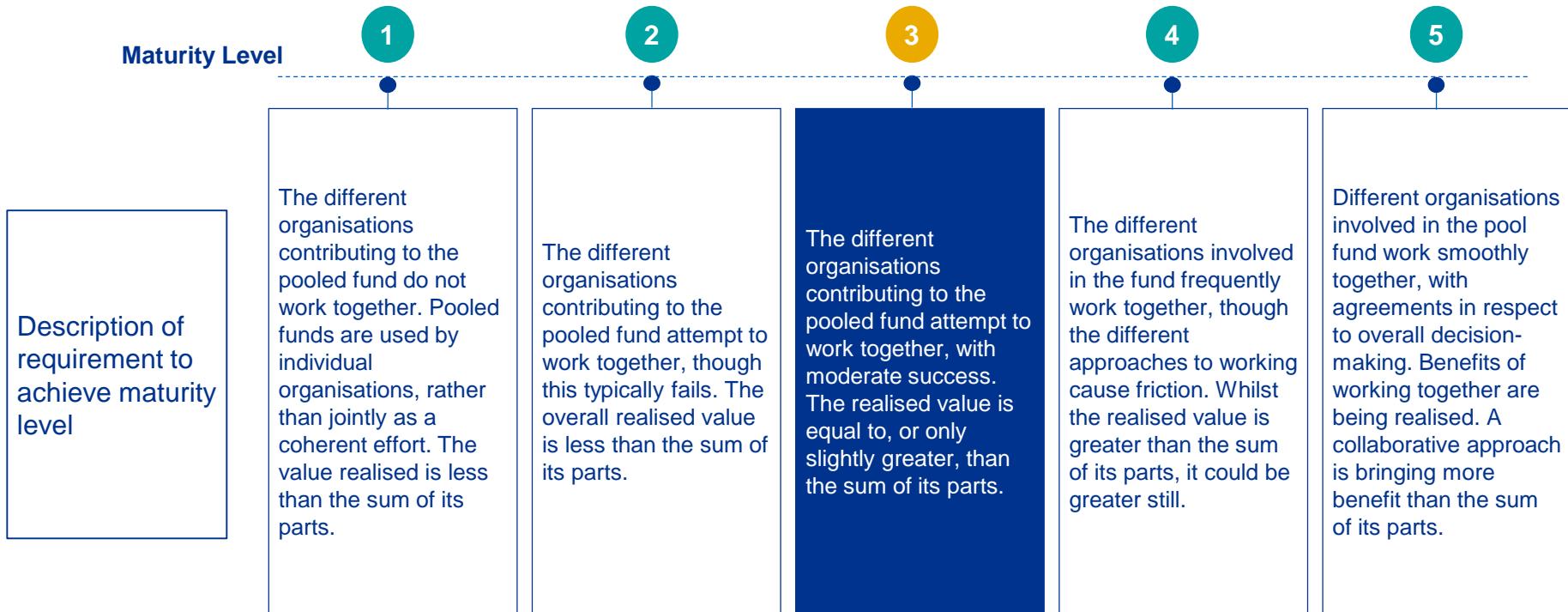
Evaluation Framework: Future Development



Evaluation Framework: Future Development

Evidence	Summary	Recommendations for consideration
RPB meeting 17 th December 2019	<p>Members of the RPB stated that they wanted to maintain a focus on outcomes across the region. The RPBs future work plan includes the following initiatives:</p> <ul style="list-style-type: none"> – The RPB stated that they are working with each partner to support the implementation of strategic plans and identify cross cutting opportunities. For example, a single regional assessment was undertaken of Older People's Housing and Accommodation on behalf of the RPB. This has been used to feed into separate housing strategies in both Cardiff and the Vale. Cardiff Council have just released its 'Older Person's Housing Strategy' which sets out how the Council and partners will shape and deliver housing and related services for older people that meet a variety of needs and aspirations, and how this provision can help address wider health and social care priorities. – Commissioning - The two councils are in different places in relation to commissioning, but they stated that they are working on bringing these together. This is a longer term aim. – Prevention – the RPB indicated that they want to look at the wider determinants of wellness and work with a range of partner organisations across the RPB and PSB. – Population Health approach – the RPB are currently looking at the model they have adopted for population health and how they can improve it to ensure early intervention. This involves working at a locality level. <p>In October, the Regional commissioning board met and discussed the ADSS toolkit. The action note states that <i>"The ADSS Cymru Toolkit is to be used as a reference document- to set up meetings for Jan to look at where the benefits of Pooled Agreements may be and where formal agreements may be required. A 50/50 agreement is required. Regulations instruct the region to focus on Learning Disabilities and Integrated Family Support Services."</i></p>	<ul style="list-style-type: none"> — The RPB could think about how they can develop ways to scale initiatives across the region.
Desk top review – (1.3) Qtr1 DomRes Commissioning – (1.5) Meeting Minutes, various documents	<ul style="list-style-type: none"> — From the meetings minutes (1.5), it can be seen there are regular minutes involving discussion around the pooled funds. — From the performance data (1.3), there is a level of detail going into reviewing the various areas the fund supports. — It can also be seen from the meeting minutes (1.5) that actions are planned, with ownership assigned to individuals. 	

Evaluation Framework: Collaboration

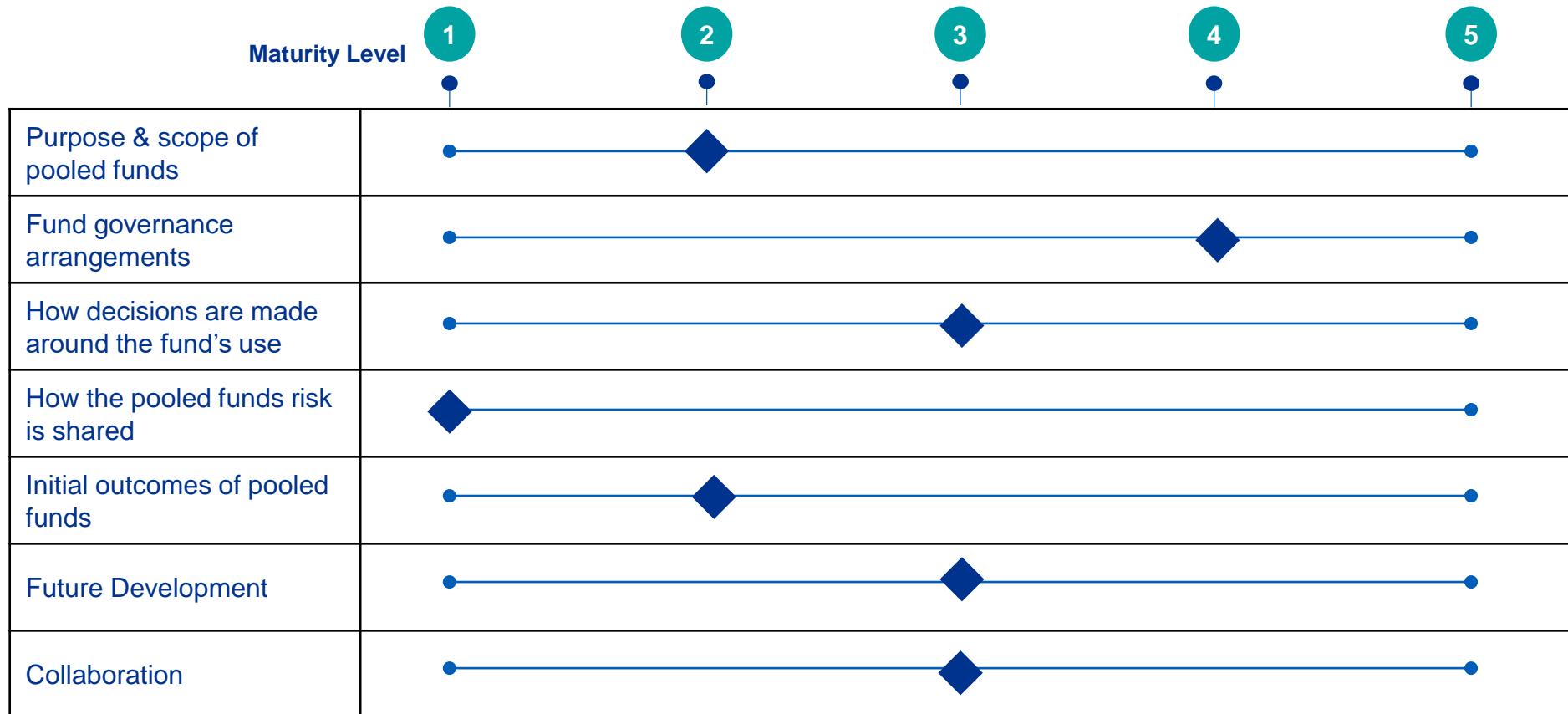


Evaluation Framework: Collaboration

Evidence	Summary	Recommendations for consideration
RPB meeting 17 th December 2019	<ul style="list-style-type: none"> — The RPB stated that there are good partnership arrangements across the RPB. They felt that the strong partnership arrangements have often negated the need for more formal processes to be implemented. 	<ul style="list-style-type: none"> — Continue your analysis of the ADSS and use it to role out and structure future RPB initiatives
Desk top review – (1.1) Final Partnership Agreement – (1.3) DomRes Commissioning	<ul style="list-style-type: none"> — Commissioning – The performance documents provided (DomRes (1.3)), indicated that good progress is being made. 	

Evaluation Framework: Summary & Conclusion

The key areas where Cardiff and the Vale could progress their maturity is in relation to the fund's decision making, risk sharing and initial outcomes. Welsh Government have indicated that the intention of the legislation was for budgets to be physically shared. Therefore, the RPB may consider working through the process of physically pooling their funds, this would progress maturity in these areas.





Cwm Taf Morganwg

Overview



The care home accommodation pooled fund has the following objectives:

- To understand and respond to the wide ranging needs of the population in Cwm Taf Morgannwg for care home accommodation.
- To secure an appropriate range of accommodation services to meet peoples needs as set out in the Market Position Statement 2017.
- To maintain a stable and sustainable care home accommodation market in Cwm Taf Morgannwg and co-ordinate effort across to support the development of new service models.
- To improve the quality of care home accommodation in the region through the management of the Regional Care Home contract, specification and contract monitoring arrangements.
- To adopt a more transparent use of resources across the Partnership and improve the strategic decision making of the Cwm Taf Morgannwg Partnership Board.
- To maintain a consistent approach and methodology for fee setting based on local factors.

Key RPB members



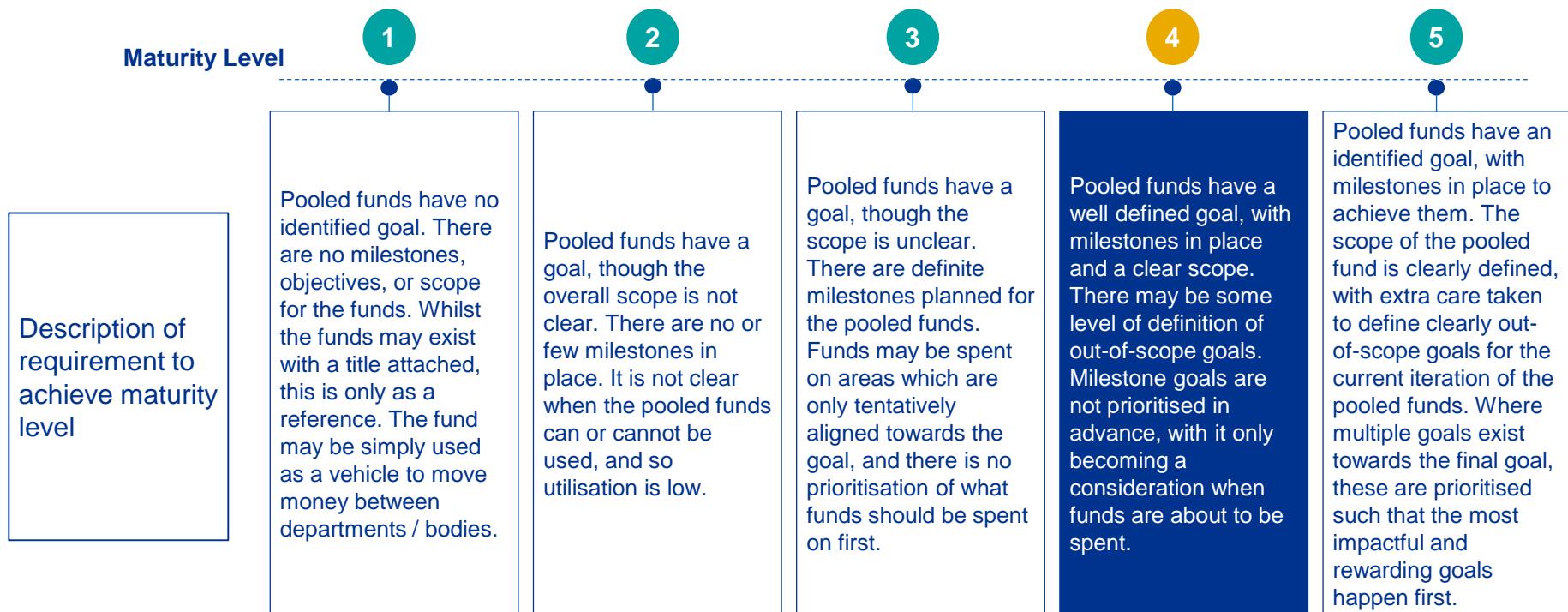
- Merthyr Tydfil County Borough Council
- Rhondda Cynon Taff County Borough Council
- Cwm Taf Morgannwg University Health Board
- Bridgend County Borough Council

Engaged officers



- Neil Elliott (RCT County Borough Council)
- Neil Griffiths (RCT County Borough Council)
- Sarah Mills (Cwm Taf University Health Board)

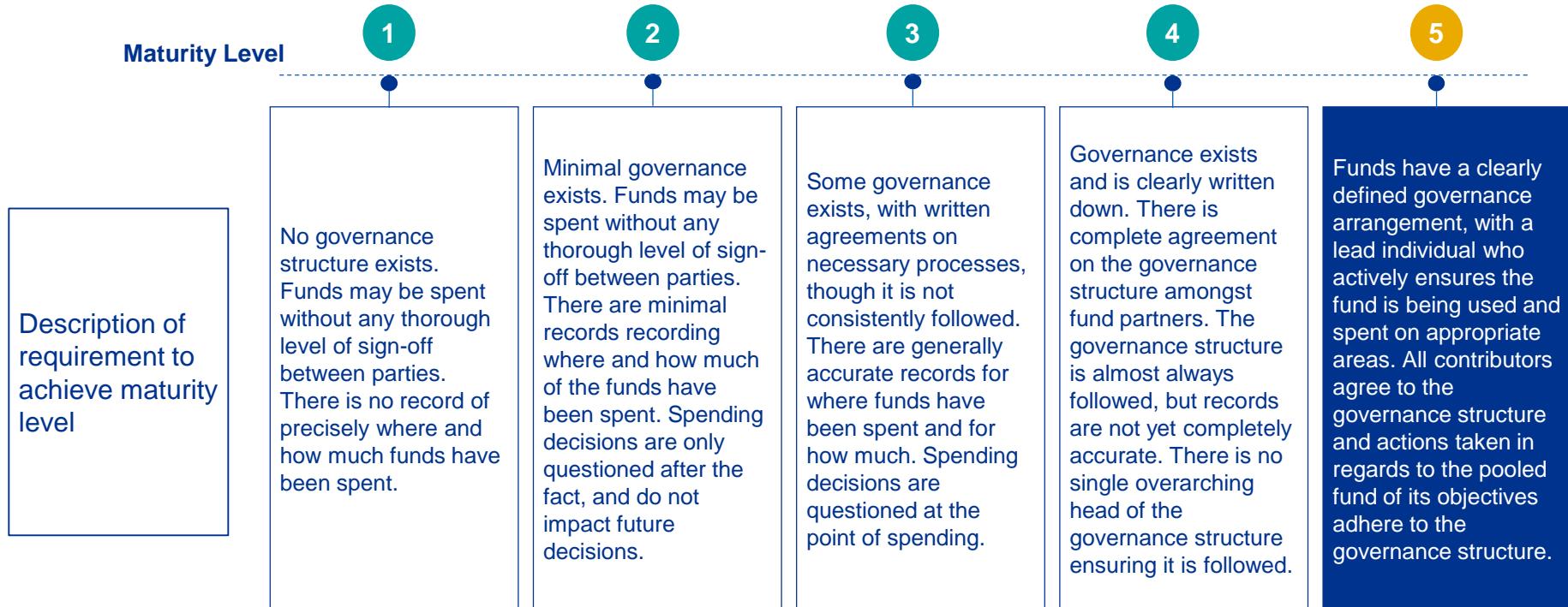
Evaluation Framework: Purpose & scope of pooled funds



Evaluation Framework: Purpose & scope of pooled funds

Evidence	Summary	Recommendations for consideration
RPB meeting 23 rd October 2019	<ul style="list-style-type: none"> — The RPB stated that they had put a lot of effort into clarifying the scope, especially in relation to what cohorts of individuals the pooled fund applied to. — Cwm Taf Morgannwg RPB are in the process of integrating Bridgend into their pooled budget. Bridgend have been shadowing the RPB and will be fully integrated by 2020. — The RPB indicated that they will make decisions on their ambition and next steps once Bridgend have joined the pooled fund. The RPB's goal to date has focussed on setting up the fund. — The RPB members stated that they are keen to ensure that the RPB's initiatives are aligned to their transformation programme. 	<ul style="list-style-type: none"> — As the pooled fund develops, the RPB could consider setting up KPIs to measure progress against the goals and objectives.
Desk top review – (1.1) S33 Agreement	<ul style="list-style-type: none"> — Schedule 1 of the S33 agreement provides aims and objectives for the pooled funds. 	

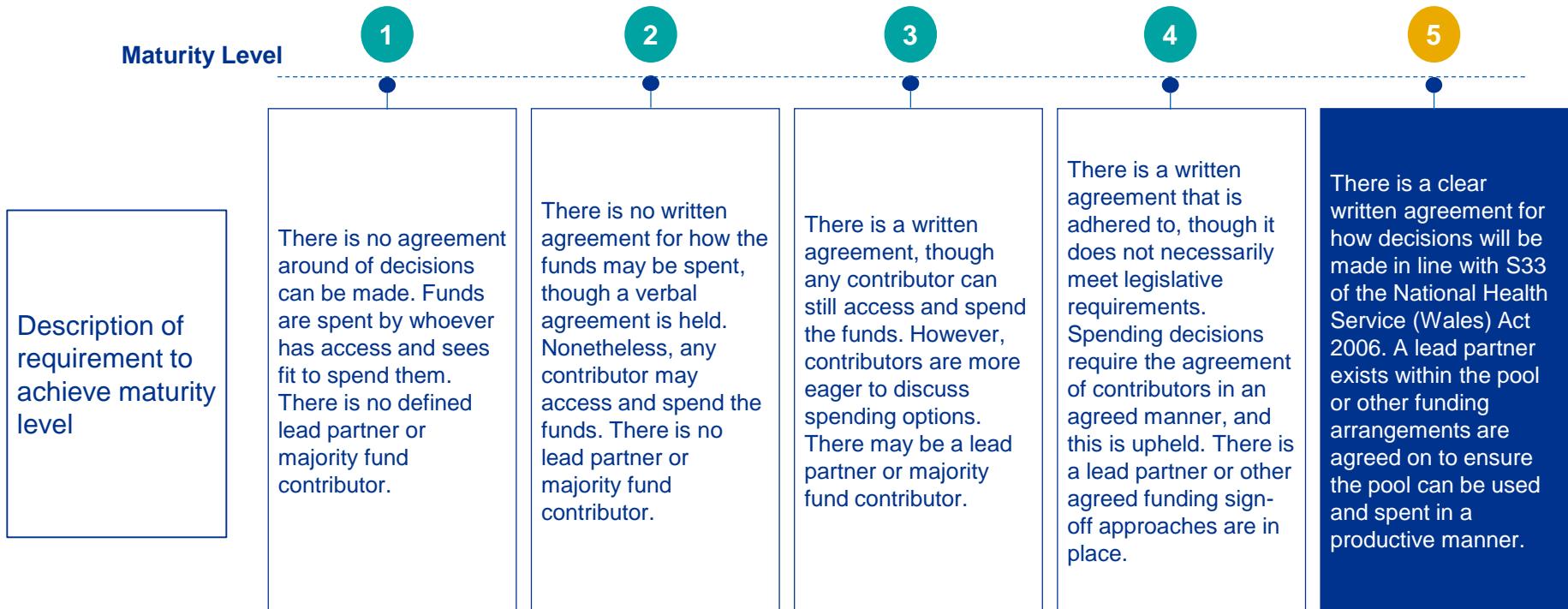
Evaluation Framework: Fund governance arrangements



Evaluation Framework: Fund governance arrangements

Evidence	Summary	Recommendations for consideration
RPB meeting 23rd October 2019	<ul style="list-style-type: none"> — The RPB were clear that they wanted to try and go as far as they could with their pooled budget. — The RPB stated that the budget is agreed amongst partners. Funding is paid into the pool quarterly in advance. The members of the RPB stated that they had to overcome issues about cash flow, especially for the smaller councils, but they have worked out a way to overcome this. All cash flow goes through the books, which gives a clear transaction list of what has been paid out. — The RPB stated that responsibility for commissioning and paying homes is delegated back to the purchasing local authority. — The Head of the Regional Commissioning Unit undertakes the role of the pooled fund manager. 	<ul style="list-style-type: none"> - No significant recommendations.
Desk top review <ul style="list-style-type: none"> – (1.1) S33 Agreement – (1.2) Backing Docs for the review team 19.08.19 – (1.2) Year End Summary of Actual Spend 	<ul style="list-style-type: none"> — The provided Section 33 agreement includes Schedule 3: Financial Protocol, which outlines core governance procedures. It defines the roles of those involved, including that lead service commissioners will be responsible for payments relating to relevant services. Further detailed conditions are given, extending as far as organisational insolvency. — There are external and internal auditing arrangements, with relevant auditors named. — The “Backing Docs for the review team 19.08.19” (1.2) PDF document provided shows details of financial figures being signed off. — The “Year End Summary of Actual Spend” (1.2) Excel document provides a view and reason of where variances are detected. 	

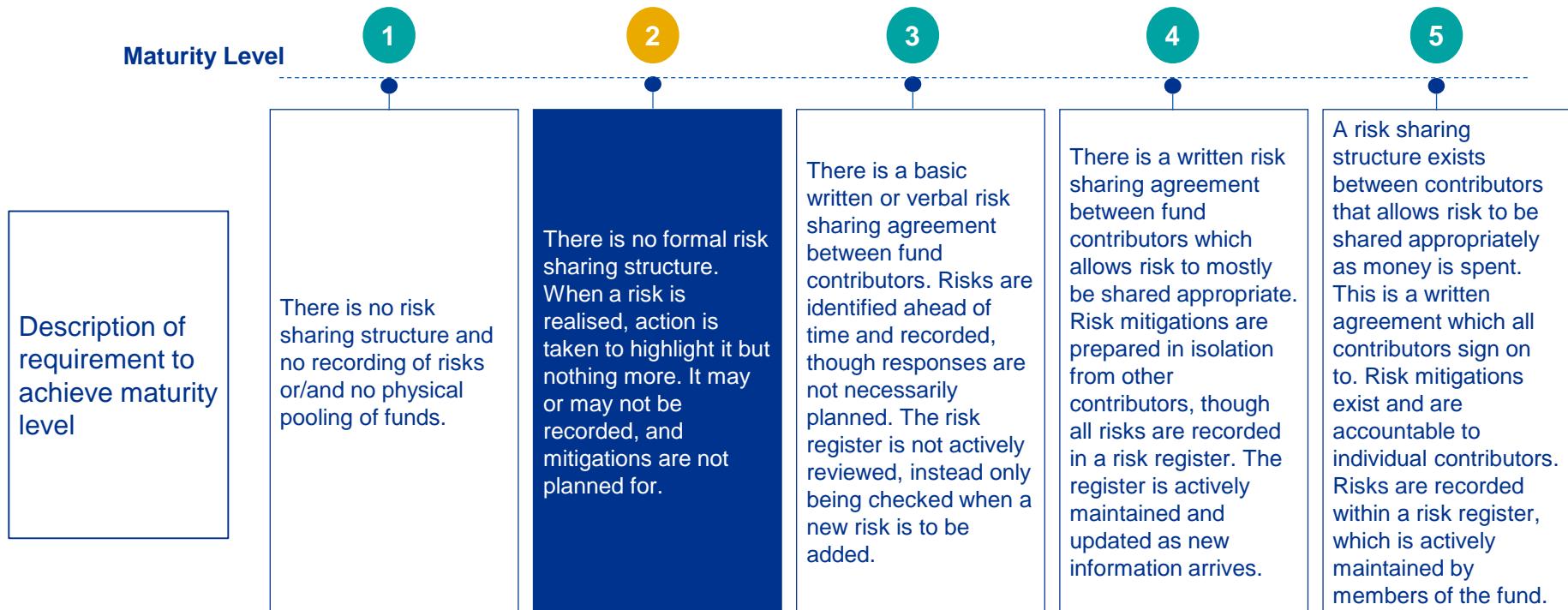
Evaluation Framework: How decisions are made around the funds use



Evaluation Framework: How decisions are made around the funds use

Evidence	Summary	Recommendations for consideration
Desk top review – (1.1) S33 Agreement – (1.5) Draft Minutes, various files – (1.6) RPB Dates	<ul style="list-style-type: none"> — A lead partner is a required role, as outlined in the core S33 agreement document (1.1). This individual controls spending, strictly to ensure that funds go towards appropriate areas relevant to the goals of the pooled funds. — “Draft Minutes” (1.5), shows that decisions can be discussed across partners for a unanimous agreement. Further RPBs are planned, ensuring this approach continues (1.6). 	<ul style="list-style-type: none"> — No significant recommendations.

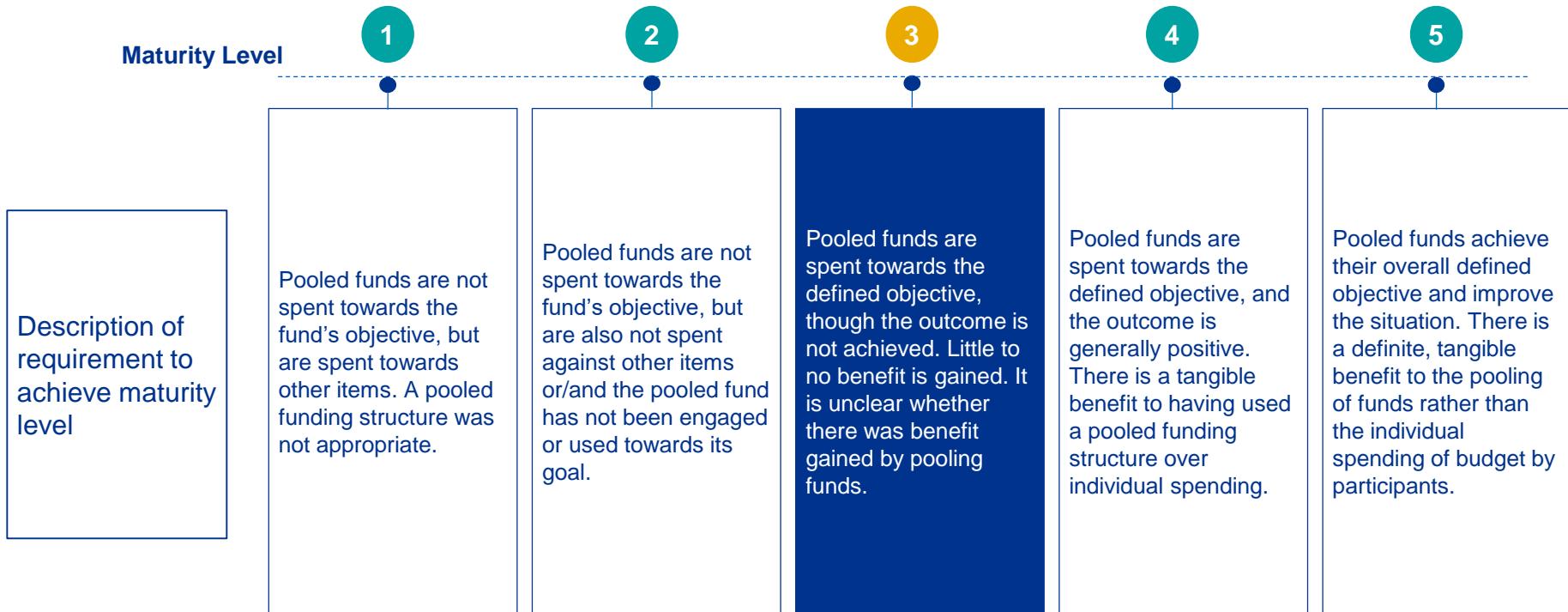
Evaluation Framework: How the pooled fund's risk is shared



Evaluation Framework: How the pooled fund's risk is shared

Evidence	Summary	Recommendations for consideration
RPB meeting 23rd October 2019	<ul style="list-style-type: none"> — The pooled fund agreement does not prohibit or restrict financial risk sharing. — As the pooled fund is still in its infancy, the RPB has decided to develop the fund on a phased basis. They have set up the fund and are working on integrating Bridgend into the fund. In 2020, the RPB will be looking at options and developing the specific goals. The commissioning agenda is the biggest priority for the RPB. They will look at developing their risk sharing structures as the pool develops. — The organisations within the RPB indicated that they are used to developing joint initiatives and sharing risk. 	<p>Once Bridgend CBC is fully integrated into the fund, the RPB could consider</p> <ul style="list-style-type: none"> – Developing a risk sharing structure. – Consider how risks are recorded and tracked, and mitigations planned and actioned – The applicability of the ADSS toolkit to help progress maturity.
Desk top review <ul style="list-style-type: none"> – (1.1) S33 Agreement – (1.5) Draft Care Homes Accommodations 	<ul style="list-style-type: none"> — Whilst there are no strict risk sharing structures outlined, the Section 33 Agreement document (1.1) does go into detail around dispute resolution between partners. Whilst not strictly around risk, it does highlight resolution methods. — Part 23 (Liabilities) of the Section 33 Agreement, outlines that “Parties shall each bear their own costs and expenses incurred in complying with their obligations under this Agreement”. 	

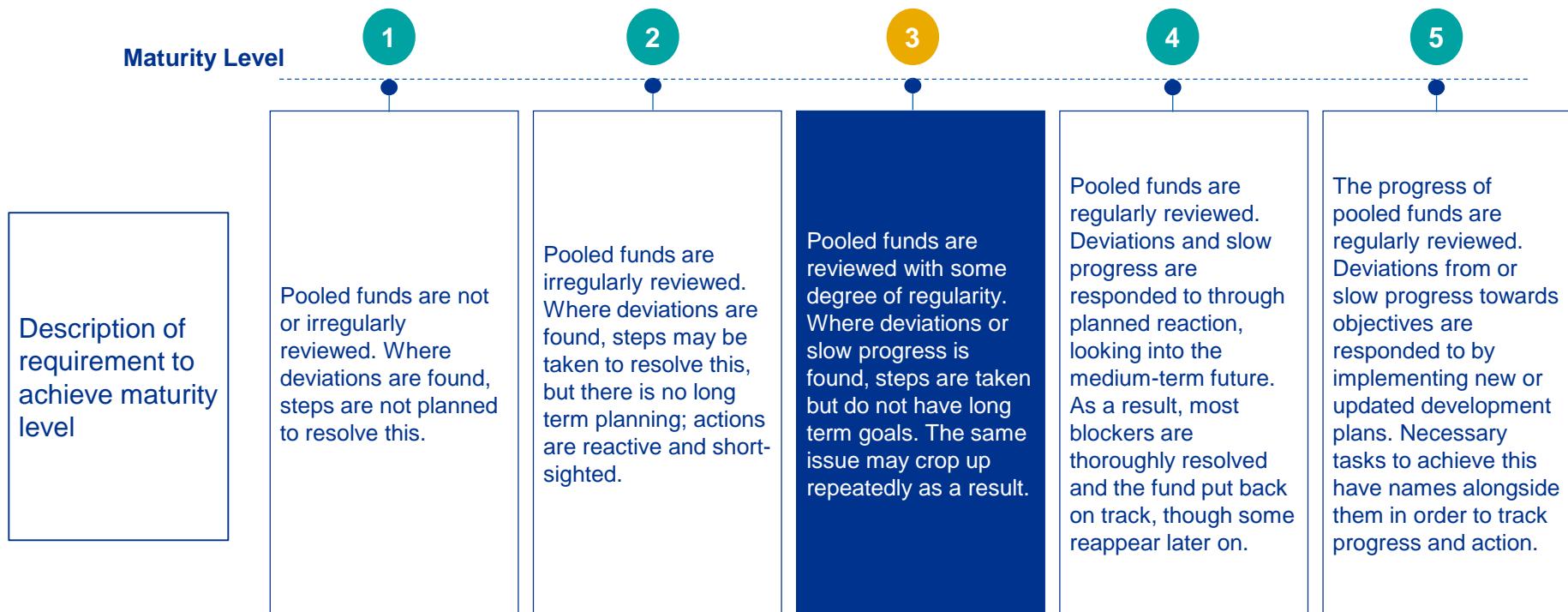
Evaluation Framework: Initial outcomes of pooled funds



Evaluation Framework: Initial outcomes of pooled funds

Evidence	Summary	Recommendations for consideration
RPB meeting 23rd October 2019	<p>The RPB has focussed on the set up of their pooled fund over the last 18 months. There have been a number of initial outcomes including:</p> <ul style="list-style-type: none"> – Regional financial information which has been used to inform commissioning decisions – Formal processes to share information – Legal mechanism for virement (subject to S151 officers sign off) which allows for any surpluses to be taken over. – Regular communication and contact with partners – Market position statement – An agreed contract across the region for RCT / Merthyr. They are now working with Bridgend to bring them on board. – They have bought a bed finder system to review occupancy levels and act as a brokerage tool 	<ul style="list-style-type: none"> — Consider developing measures to track whether the fund is achieving its goals. — Consider revisiting the pooled budget arrangements in light of the ADSS toolkit to help progress maturity

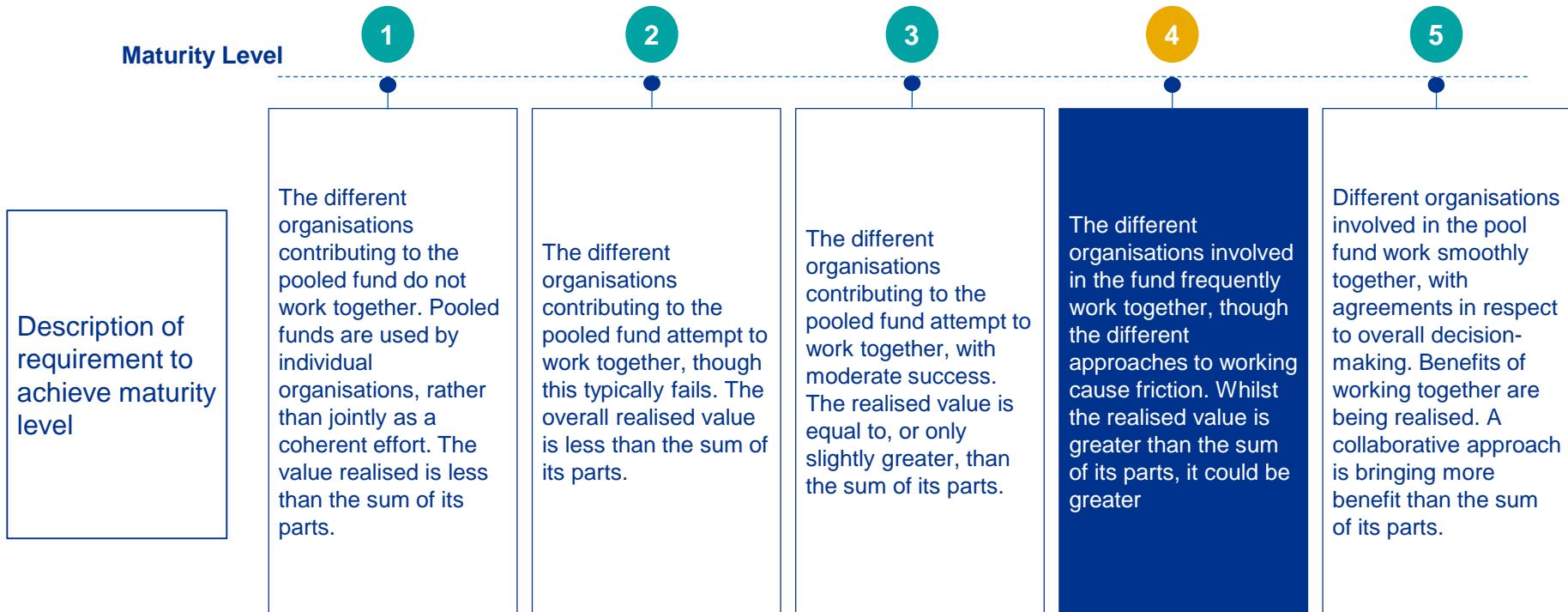
Evaluation Framework: Future Development



Evaluation Framework: Future Development

Evidence	Summary	Recommendations for consideration
RPB meeting 23rd October 2019	<ul style="list-style-type: none"> — Bridgend will join the pool in 2020 and the RPB has indicated that they will make decisions on their ambition and next steps once Bridgend is on board — There are some initiatives that are currently in development or that they are aspiring towards such as developing the bed finder system — Within Cwm Taf Morgannwg the interdependencies between the pooled fund and other services provided via the local authorities is recognised much of which is outside of the pooled fund scope. This would be true and similar for the UHB and is an issue across all regions 	<ul style="list-style-type: none"> — Consider revisiting the ambition and goals once Bridgend CBC is fully integrated — Consider the development of KPIs and review these regularly. — Consider the applicability of the ADSS toolkit to help progress maturity.

Evaluation Framework: Collaboration

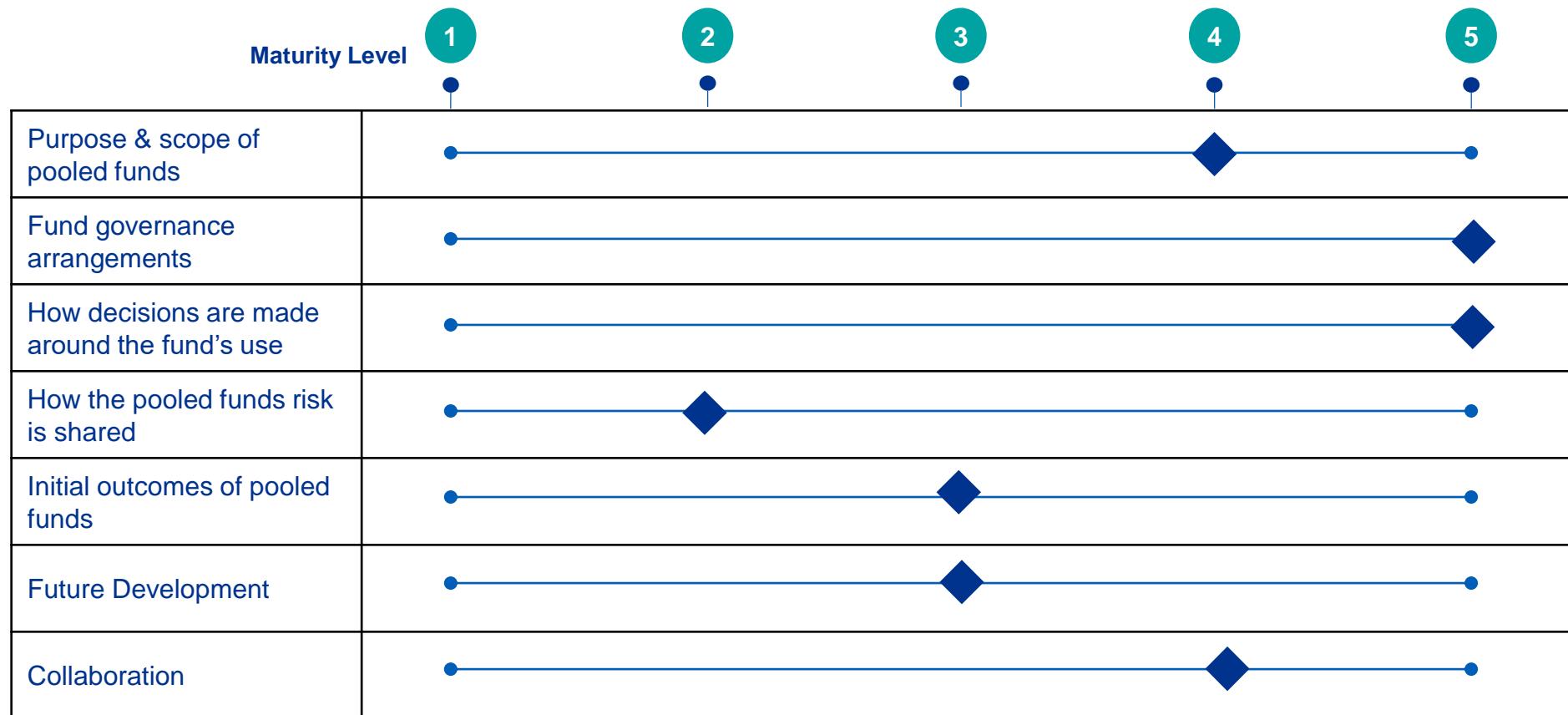


Evaluation Framework: Collaboration

Evidence	Summary	Recommendations for consideration
RPB meeting 23rd October 2019	<ul style="list-style-type: none"> — The RPB stated that regular discussions as a RPB which have been backed up with the data have helped ensure that key issues that each party may face are recognised and seen by all. — The members of the RPB who were part of the discussion stated that they felt that there was trust and confidence across the region. — RCT have a Regional Care Home Provider Forum, which Merthyr and Cwm Taf Morgannwg are invited to. This has been established for over 10 years. This group is made up of representatives of the market. The RPB members spoken to felt that this is a useful mechanism to ensure open dialogue with the sector. 	<ul style="list-style-type: none"> — No significant recommendations.
Desk top review <ul style="list-style-type: none"> – (1.1) Section 33 Agreement – (1.8) Draft Qtr 2 Report – (1.5) Draft Minutes, all files 	<ul style="list-style-type: none"> — The various meeting minutes provided (1.5) demonstrate group decision-making, whilst the core Section 33 Agreement (1.1) shows there are procedures in place for resolving disputes. 	

Evaluation Framework: Summary & Conclusion

The key area where Cwm Taf Morgannwg could progress their maturity is in relation to the pooled funds risk sharing arrangements. The RPB have already indicated that this is going to be an area of focus for them once Bridgend is fully integrated.



Gwent

Overview



The aims, benefits and intended outcomes of the Partners in the Gwent RPB are to:

- Provide efficient and effective commissioning for Care Home Accommodation Functions, reflecting locally agreed priorities, for Older People who are assessed as in need of such care
- Enable Service Users with a range of needs to live in an appropriate care home setting as set out in the homes statement of purpose
- Offer equitable provision to any Service User
- Ensuring that systems are in place that support Service Users who do not have the capacity to make a decision regarding their choice of accommodation/care are supported to ensure a best interest decision in line with the mental capacity act 2005
- Further develop a quality-management system covering market development for Care Home Accommodation, provider relationships, contract activity data, financial management and performance framework for continuous service improvement including risk management

Key RPB members



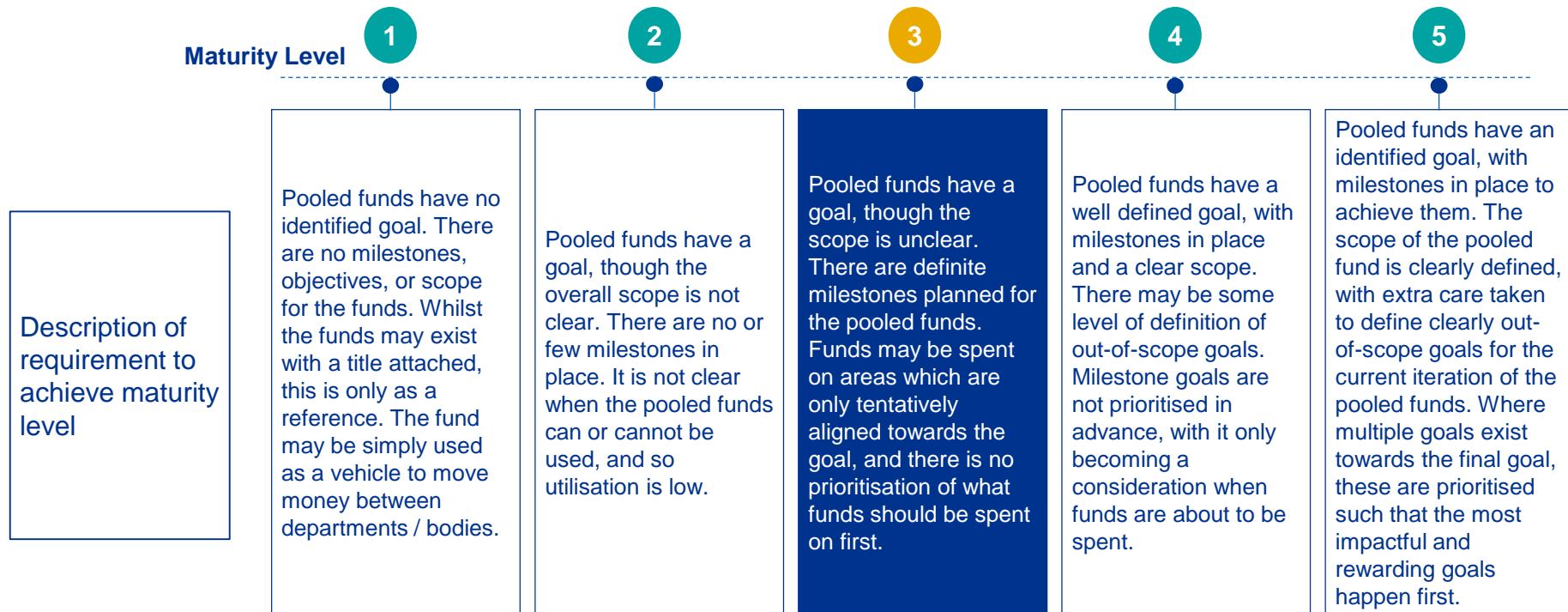
- Blaenau Gwent County Borough Council
- Caerphilly County Borough Council
- Monmouthshire County Council
- Newport City Council
- Torfaen County Borough Council
- Aneurin Bevan University Health Board

Engaged officers



- Phil Robson (Aneurin Bevan University Health Board)
- Nick Wood (Aneurin Bevan University Health Board)
- Dave Street (Caerphilly County Borough Council)

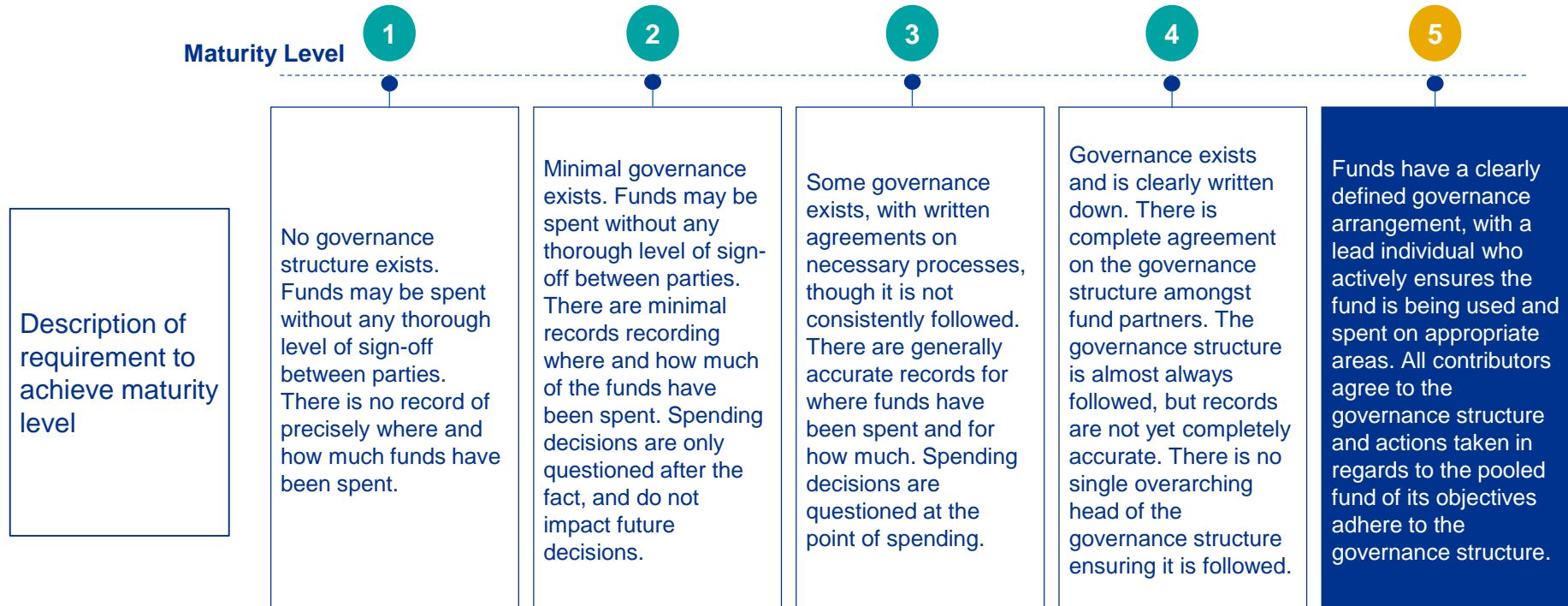
Evaluation Framework: Purpose & scope of pooled funds



Evaluation Framework: Purpose & scope of pooled funds

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.1) Draft Section 33 Agreement — (1.1) Service specification v7 — (1.1) Amended joint contract 2019 — (1.4) S33 RPB update January 2019 — (1.5) Steering Group Minutes 24.07.18 	<ul style="list-style-type: none"> — As stated in the scope section of the “Draft Section 33 Agreement”, the overarching purpose is defined as the delivery of services for “Older People in the Region and provision of care homes accommodation”. — Areas of focus are defined, though it stops short of listing desired tangible outcomes. The approach for achieving an improved outcome is defined, with a clear set of decisions. — Milestones are defined for each financial year, though this typically relates to the control of finances rather than the achievement of objectives. Further milestone reviews can be seen in the S33 RPB update January 2019 document. — It should be noted at this early stage of review that the Steering Group Minutes 24.07.18 document explicitly makes clear that the agreement has been reviewed by multiple solicitors. 	<ul style="list-style-type: none"> — Consider defining tangible benefits to be expected for the areas of focus, which can be measured through use of KPIs. — Consider how the RPB prioritises its listed goals to ensure funds are spent on areas likely to have the most significant impact.

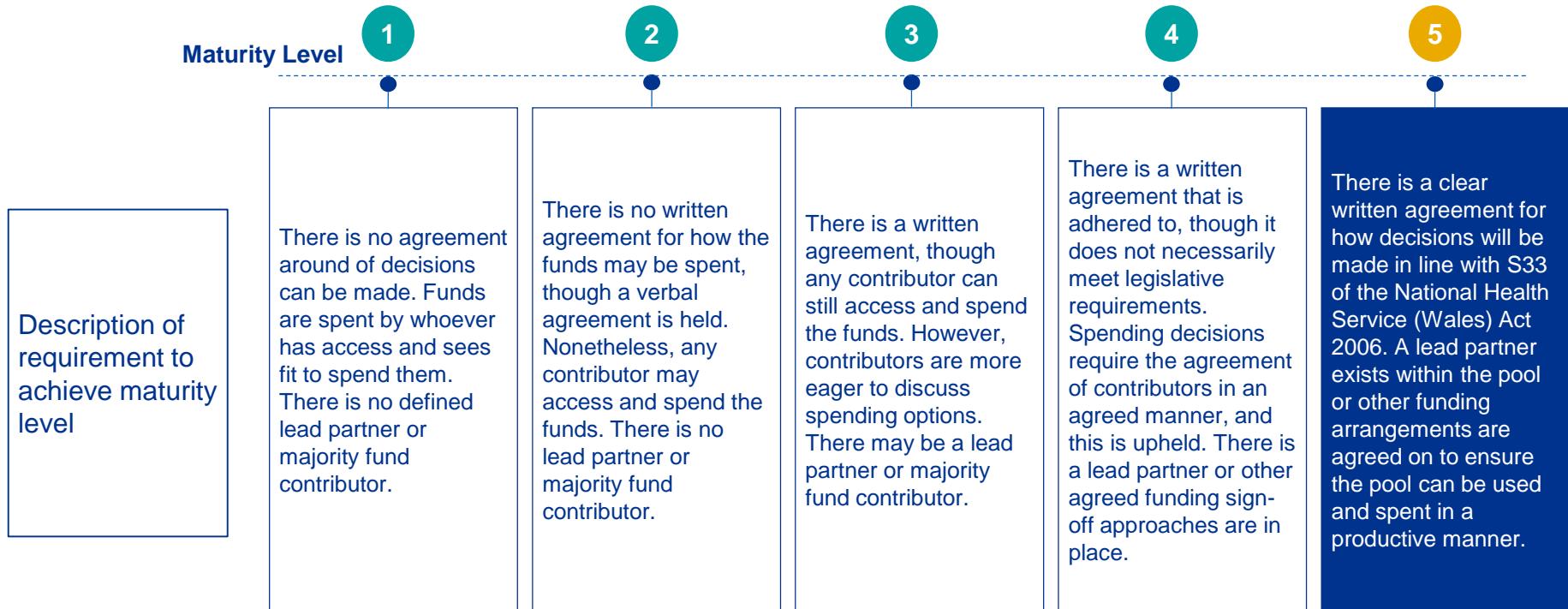
Evaluation Framework: Fund governance arrangements



Evaluation Framework: Fund governance arrangements

Evidence	Summary	Recommendations for consideration
— (1.1) Draft Section 33 Agreement	<ul style="list-style-type: none"> — As part of the main “Section 33 Agreement”, audit arrangements are described with responsibility falling on the external auditors for the host organisation. Internal audit will be committed by the risk assessment process of the host organisation and the partners’ internal auditors. — General day-to-day administration of the pooled fund will fall under the responsibility of the Pooled Fund Manager, with specific goals of ensuring the fund “is maintained to national and professional standards and that the payment of invoices complies with their Standing Orders, ensuring that no late payment charges are incurred by the pool.” — Beyond this, there is written process for the payment of contributions, the level required by contributor, risk sharing arrangements, and more. 	<ul style="list-style-type: none"> — No significant recommendations.
— Meeting 13 September 2019	<ul style="list-style-type: none"> — On discussion with key stakeholders it was noted that each of the organisations managed their own contributions and it was reported on a regular basis with quarterly updates to the RPB. 	

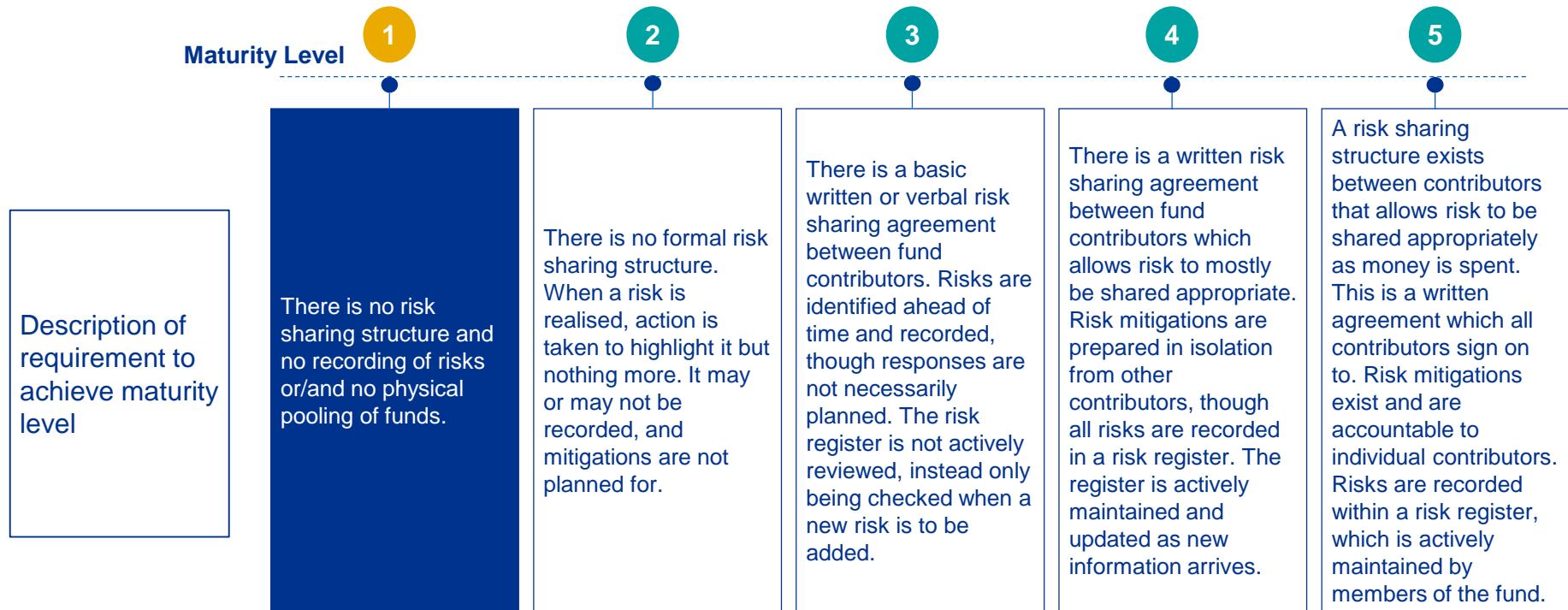
Evaluation Framework: How decisions are made around the funds use



Evaluation Framework: How decisions are made around the funds use

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.1) Draft Section 33 Agreement — (1.4) All RPB Minutes — (1.4) 24 January 2019 RPB Minutes 	<ul style="list-style-type: none"> — As part of the main “Section 33 Agreement”, decision making is outlined at different levels, including the overall partners agreeing by the Leadership Group the financial procedures and arrangements for each year. On discussion, it was noted the Pooled Fund Manager deals with day-to-day decision making, reporting to the Leadership Group. The pooled fund manager role is funded through a mixture of contributions from partners and the Regional Partnership transformation team. — Discussion around the general progress of the pooled fund arrangements can be seen through the RPB meeting minutes. It’s worth noting in particular the 24 January 2019 minutes, which highlight that the pooled funding arrangement is found to be challenging. — Alongside this, actions are produced with joint discussion and agreement as part of the wider RPB. — Overall, there is a strict arrangement for how decisions are made and that the host partner has control over funding spend in accordance with the wider Leadership Group. 	<ul style="list-style-type: none"> — No significant recommendations.
<ul style="list-style-type: none"> — Meeting 13 September 2019 	<ul style="list-style-type: none"> — On discussion with the RPBs, it was noted that decisions relating to each organisations’ contributions lies with the individual organisations. Principles are discussed at RPB level on how the pooled funds should be taken forward and implemented in the region. — There was a view among stakeholders, that as the RPB was not a legal entity, there was a limit to the decision making ability of the forum. 	

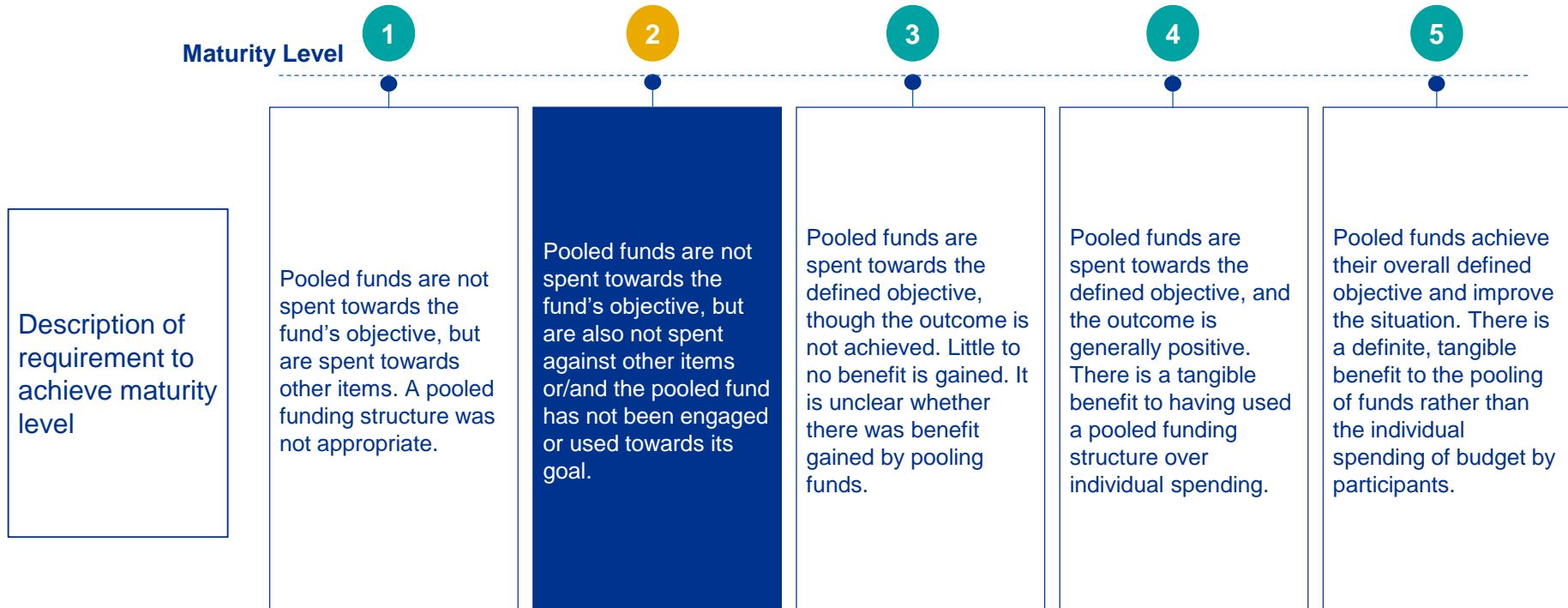
Evaluation Framework: How the pooled fund's risk is shared



Evaluation Framework: How the pooled fund's risk is shared

Evidence	Summary	Recommendations for consideration
— (1.1) Draft Section 33 Agreement	<ul style="list-style-type: none"> — As part of the “Section 33 Agreement”, there are sections dedicated to risk sharing. The primary section points to the specific wider sections on over- and under-spend. Actions are clearly described for what should happen in either case, with the main output (for an overspend) being to build a report for the consideration of Partners on how to handle the overspend. Likewise, for underspend, there is a variety of actions to take in the event of various different situations. — Whilst the main document does not describe a risk register, it does expect that risks are recorded and reporting at the first opportunity. — However, it should be noted, this same document also has a much later section which explicitly states that “This [Section 33 Agreement] will be ‘non-risk sharing’ to ensure that there is no cross subsidisation between Partners.” On discussion with key stakeholders it was noted that each of the organisations managed their own contributions and therefore there was no sharing of financial and operational risks across organisations. 	<ul style="list-style-type: none"> — To support developing the risk sharing further for the RPB they could consider: — Developing a risk register, which is actively maintained and ensure risks are recorded and tracked, and mitigations planned. — Welsh Government have indicated that the intention of the legislation was for budgets to be physically shared, as such the RPB could consider working through the process of physically pooling their funds and financial risk sharing to support a more integrated service
— Meeting 13 September 2019	<ul style="list-style-type: none"> — At the discussion, key stakeholders felt that it was more of a challenge to integrate existing budgets due to cross –subsidisation between councils. And their view was that it could also impact the pace of response to changing needs of the catchment population within each council as there won't be as much flexibility between budgets within the council. 	

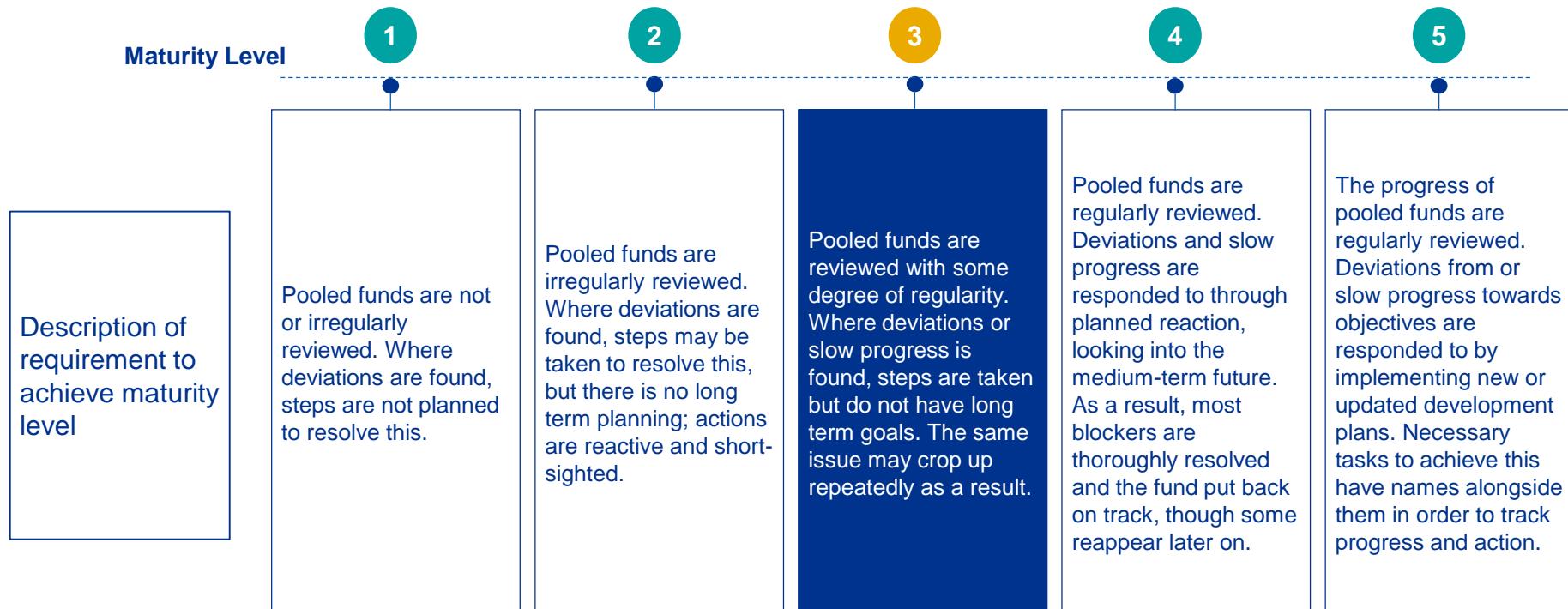
Evaluation Framework: Initial outcomes of pooled funds



Evaluation Framework: Initial outcomes of pooled funds

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.4) March 2019 RPB Minutes — (1.4) May 2019 RPB Minutes — (1.10) RCG Programme Plan 23.05.19 	<ul style="list-style-type: none"> — According to the March 2019 RPB minutes, the pooled fund has been complicated to roll out and many questions persist over its full implementation, which had prevented it being fully signed off. However, this sign-off is confirmed at the May 2019 RPB minutes. — Further, general progress can be seen to be tracked as part of the RCG Programme Plan 23.05.19 document. Overall, progress is amber, though the specific tasks are very high level. — There has been a lack of evidence on the actual spending levels for the Gwent RPB's S33 agreement. As a result, it has been difficult to assess the accuracy of spend or whether benefit has been gained. 	<ul style="list-style-type: none"> — The RPB might find it useful to track and analyse spending levels to ensure they are securing benefit. — The RPB could analyse whether benefits would be gained from a pooled funding approach versus individual spend.
<ul style="list-style-type: none"> — Meeting 13 September 2019 	<ul style="list-style-type: none"> — On discussion with the key stakeholders, the importance of using outcomes criteria to drive effective delivery was recognised and this would be built into the commissioning strategy. — The RPB has indicated awareness of the ADSS toolkit and that it has influenced thinking however there is insufficient evidence to determine the extent of the influence. 	<ul style="list-style-type: none"> — Consider the applicability of the ADSS toolkit to help progress maturity

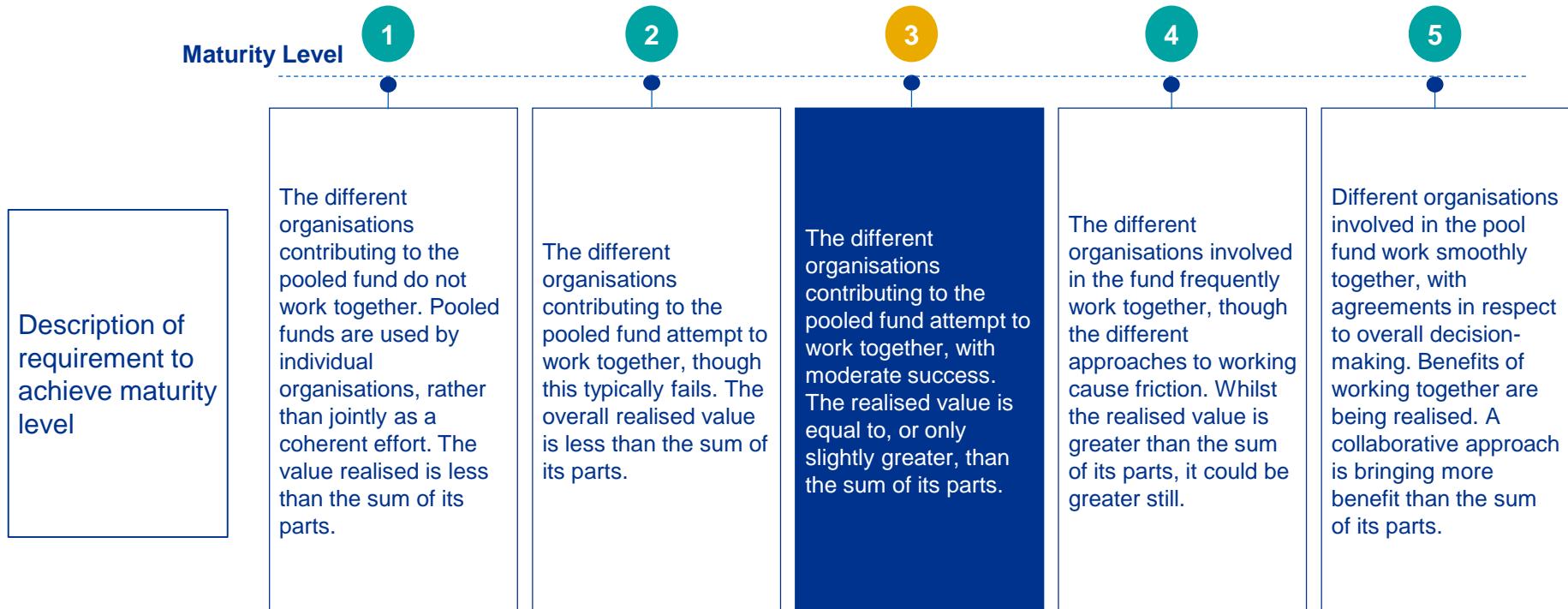
Evaluation Framework: Future Development



Evaluation Framework: Future Development

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.3) 18/19 RPB Q3 – Gwent Leadership. — (1.4) 24th January RPB Minutes — (1.4) 14th March RPB Minutes 	<ul style="list-style-type: none"> — Based on the Q3 forecast outturn report – Gwent Leadership (1.3) document, it is clear that regular (quarterly) reviews are in place to assess whether there is forecast over- or under-spend. This looks both at forecast expenditure and contributions. Variance is highlighted, with reasons explored in a dedicated “Variances” section. — There exists an actions section of this report but its use is limited in the provided report, only stating that the Quarter 3 forecast will be provided to the RPB. — On discussion, with the stakeholders, it was noted that there is an intention to commission some components of the service jointly and will be worked through the commissioning strategy, there is recognition that joint outcomes criteria will be beneficial to the region. There was also an intention to deliver services jointly at a locality level building up to a regional level which may use pooled funds as a vehicle of delivery. 	<ul style="list-style-type: none"> — When considering future developments the RPB may want to document evidence of the actions taken with respect to the quarterly report findings.
<ul style="list-style-type: none"> — Meeting 13 September 2019 		

Evaluation Framework: Collaboration

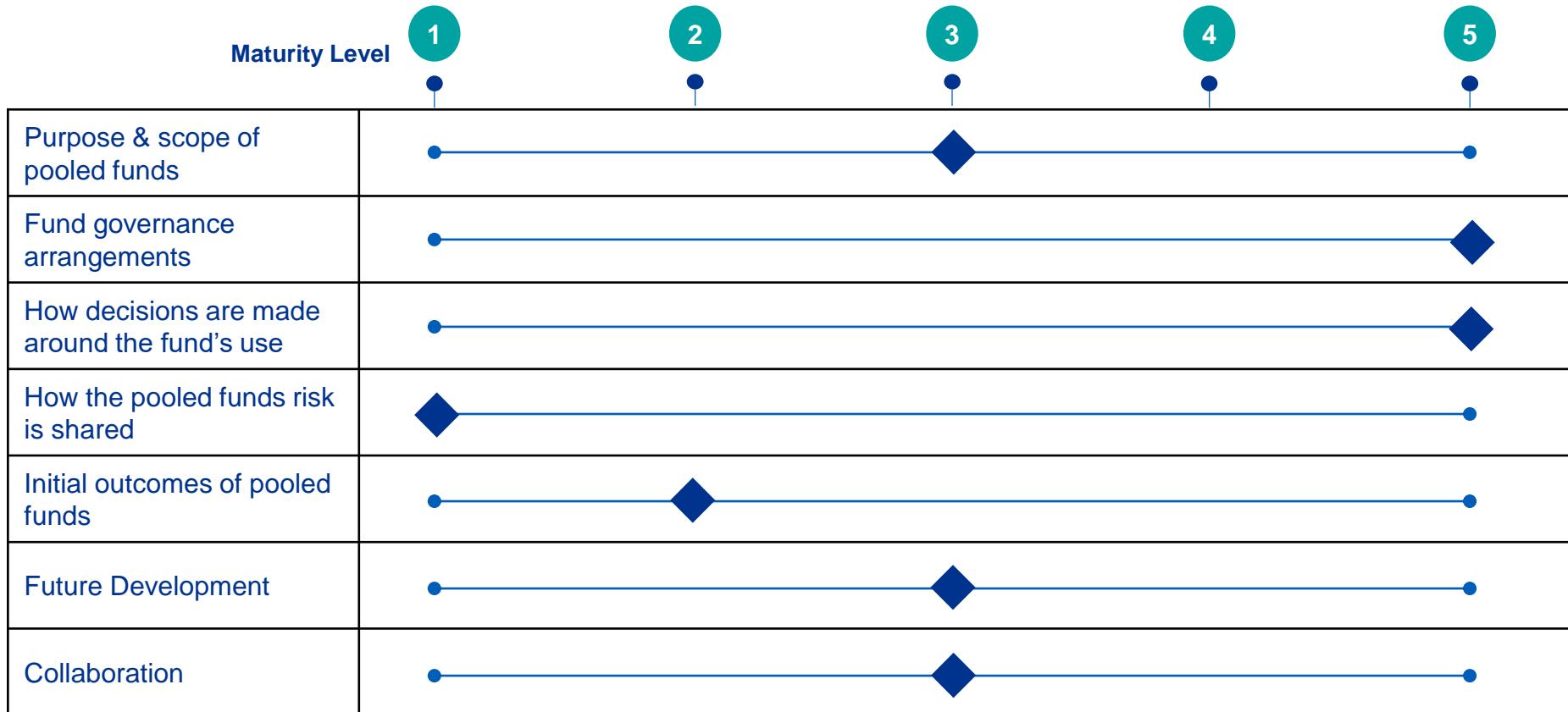


Evaluation Framework: Collaboration

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.4) RPB Minutes — (1.5) Steering Group Minutes 24.07.18 — (1.9) Gwent Regional Fee Methodology V4 	<ul style="list-style-type: none"> — The organisations regularly meet through RPBs and steering group meetings, as evidenced through the various different provided minutes. The pooled fund approach is fully engaged, even though progress to get sign-off has been slow (as evidenced in the Steering Group Minutes 24.07.18 document). — The Gwent Regional Fee Methodology V4 document goes into greater detail around the working arrangement, including the “Let’s Agree to Agree” model. It also contains a set of principles outlining the approach to use of the funds and decision-making. — Overall, there is little evidence to assess if there is a benefit in the current approach which does not physically pool funds, and could be explored further to assess the success of a pooled funding approach. 	<ul style="list-style-type: none"> — The RPB could undertake analysis to understand whether benefit could be gained through the pooled funding approach versus individual spend. — Consider revisiting the pooled budget arrangements in light of the ADSS toolkit to help progress maturity
<ul style="list-style-type: none"> — Meeting 13 September 2019 	<ul style="list-style-type: none"> — On discussion with stakeholders, a joint commissioning strategy is being developed for March 2020. — The stakeholders indicated that a consistent fee methodology has been agreed and applied across the region and open discussions with providers are being taken forward with greater sharing of information across the region. — The stakeholders felt that there was a mismatch between demand and capacity of residential homes and it may be better to use pooled funds for other areas. They also felt other funding streams like the Integrated care fund helps build a joint collaborative approach and a locality based stage approach may be more effective using a pooled fund vehicle. 	<ul style="list-style-type: none"> — Consider the applicability of the ADSS toolkit to help progress maturity

Evaluation Framework: Summary & Conclusion

The key consideration for Gwent RPB is in adopting physical pooling of funds, along with agreeing a list of tangible goals in a prioritised manner to achieve their desired outcomes.



North Wales

Overview



- The Social Service & Well-Being (Wales) Act 2014 came into effect on 6th April 2016.
- The Act requires that Local Authorities and their Local Health Board establish a Regional Partnership Board to manage and develop service to secure strategic planning and partnership working between local authorities and Local Health Boards and to ensure effective services, care and support are in place to best meet the needs of the population.
- North Wales RPB have an integration agreement that covers a number of projects including the Pooled funds for care homes for older people
- The agreement identifies the 5 underpinning principles and the agreed behaviours that will help them achieve their objectives

Key RPB members



- Betsi Cadwaladr University Health Board
- Conwy County Borough Council
- Denbighshire County Council
- Flintshire County Council
- Gwynedd Council
- Isle of Anglesey County Council
- Wrexham County Borough Council

Engaged officers



- Bethan Jones Edwards Regional collaboration Lead
- Nicola Stubbins Denbighshire county council – Programme sponsor for pooled funds
- Steve Gadd - RPB Finance Lead
- Rob Nolan - Finance BCUHB
- Bethan Jones – Area Director Primary care BCUHB
- Heidi Roberts Solicitor for the collaborative
- Lisa Jones - Solicitor
- Ceri Hughes – Pooled fund manager

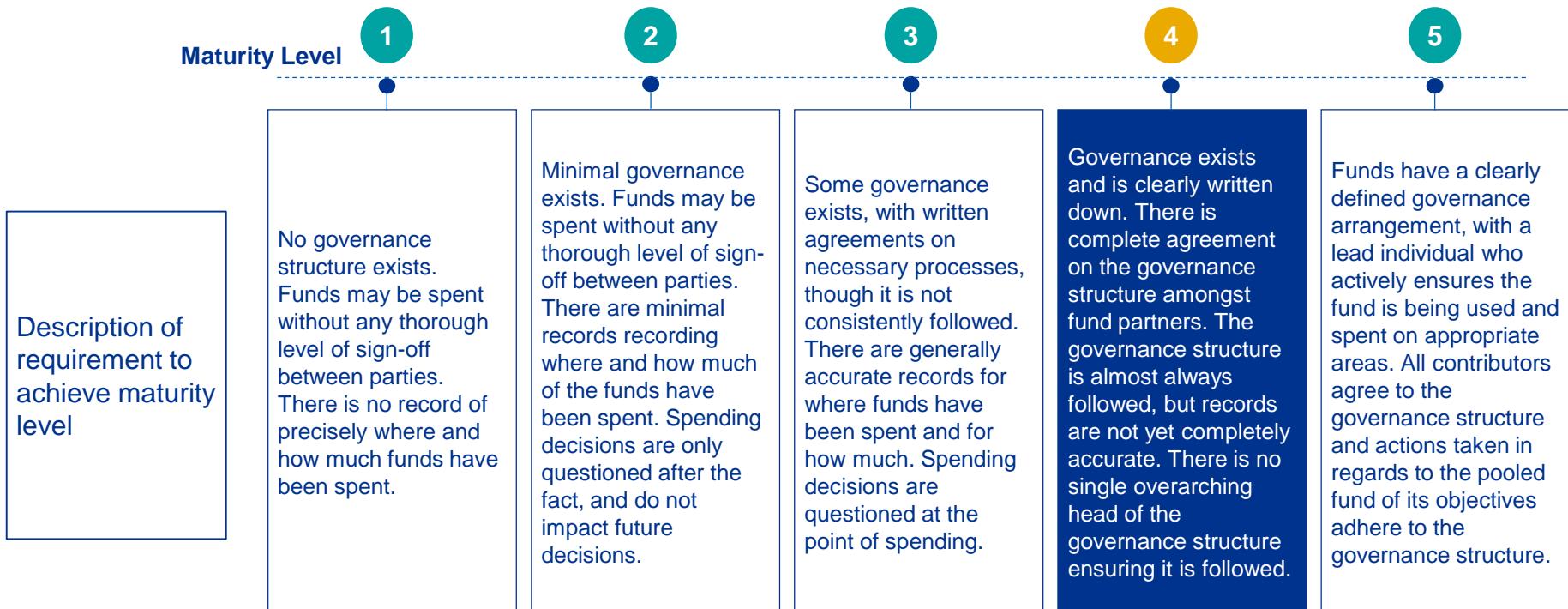
Evaluation Framework: Purpose & scope of pooled funds



Evaluation Framework: Purpose & scope of pooled funds

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.1) Integration Agreement — (1.1) v0.10 October 2019 — (1.1) Carers Funding — (1.1) Transformation programme — (1.3) Pooled Budget Values 	<ul style="list-style-type: none"> — North Wales RPB has demonstrated that there is an integration agreement between the organisations with multiple signatories, and a defined list of projects for which the agreement and pooled funds will be spent towards. — Within the Integration Agreement (1.1), North Wales RPB, the care home agreement has been drafted and has a deadline of the 16th of October 2019 to be signed by all parties. The pooled fund is considered ‘virtual’ by the parties with payments proposed to be made into the fund and reimbursed to each organisation. — We found no evidence in the data available of the setting of deadlines or milestones, or evidence of where funds have been spent towards a pooled fund goal as the funds in effect are still managed by their respective organisations. — The provided Pooled Budget Values (1.3) spreadsheet shows evidence of the pooled budget, but does not make clear what projects are being contributed to and treats the funds as individual spend from different organisations. — Since the initial review, the RPB has confirmed separate partnership agreements which sits below the integration agreement for the pooled budget arrangements/partnership agreements: 	<ul style="list-style-type: none"> — Consider defining the scope and tangible benefits to be expected for the pooled funds for care homes for older people project, which can be measured through use of KPIs. — Consider how the RPB prioritises its listed goals to ensure funds are spent on areas likely to have the most significant impact. — As the RPB develops it could work toward a single united fund.
<ul style="list-style-type: none"> — Meeting 4th October 2019 	<ul style="list-style-type: none"> — ICF; — Carer’s grant; — Delivering transformation (6 LA agreements). 	

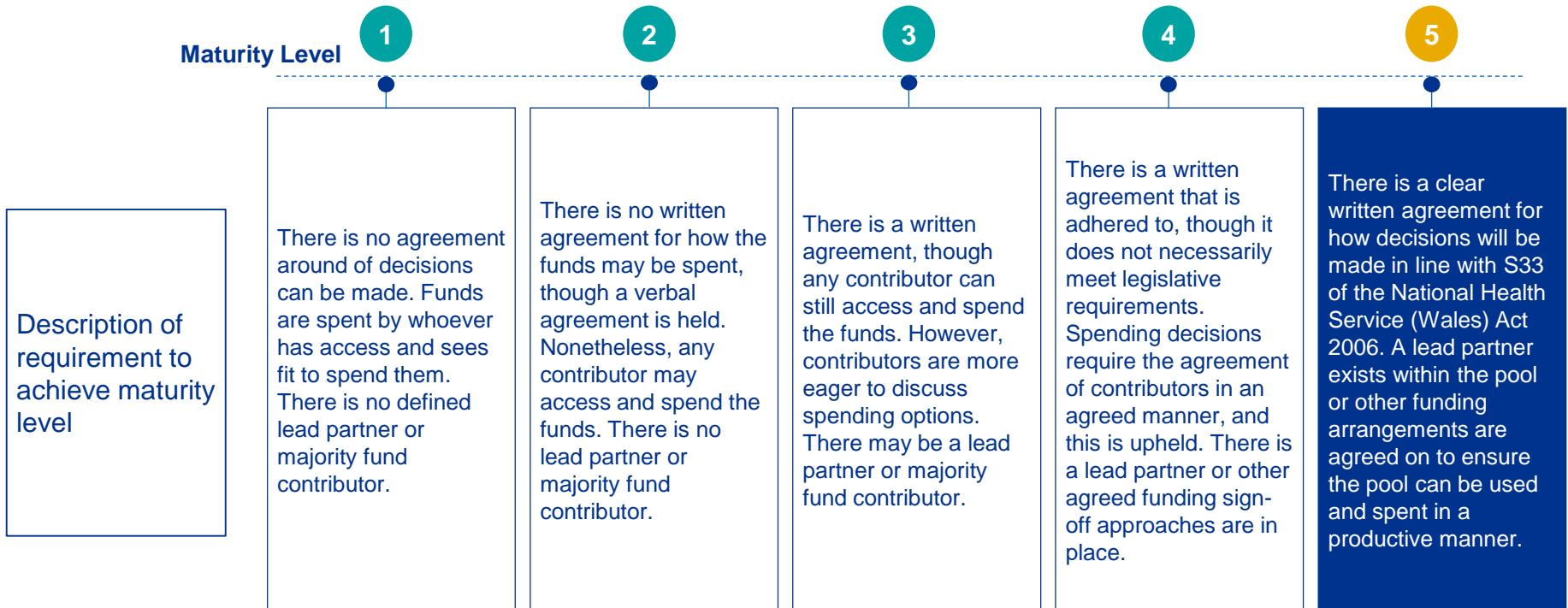
Evaluation Framework: Fund governance arrangements



Fund governance arrangements

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.1) S33 Agreement — (1.12) RPB Structure Diagram — Interviews — (1.7) Cabinet Agenda Pack 300719 — Meeting 4th October 2019 	<ul style="list-style-type: none"> — The overall Integration Agreement (1.1) provided has a section on governing arrangements, which suggests the Board as a whole (with no named individuals) being responsible for the effective governance and maintenance of the funds. Whilst this section overall provides good ideas and faith in governance, it lays out minimal governance requirements relating to the reporting of information. — There appears to be no information in the data provided around ensuring the reporting information is correct and timely. — According to the returned performance data, there is a view of what region is spending where, though this does not reflect a pooled funding approach. There is little detail in the data provided about funding sign-off. — From interviews with stakeholders, it was noted the Director of Social Services (Denbighshire) chairs the Pooled budgets group which has finance and operational representation from the HBs and 6 local authorities and legal representation from Denbighshire Council. Joint cabinet meeting reports' are prepared when decisions are required as well as annual reports. The group is currently working through the mechanics of setting up the pooled fund from a transaction and legal perspective. — The stakeholders informed us that verbal updates are provided 'as and when' to the RPB and most of the discussion to date has been about setting up of the budget. Also, that joint cabinet meeting reports are provided to the organisations when there are products that need to be shared — They indicated that as the RPB does not have decision making powers the decision have had to be made by CEOs of individual organisations. Also, the group informed us that the RPB provides a forum for discussion and debates around principles eg cross-subsidisation across localities. 	<ul style="list-style-type: none"> — The RPB could expand the governance arrangements to highlight specific actions and owners, reporting process and decision making process. — Going forward it would be useful for the RPB to consider strengthening the documentation of all governance decisions.

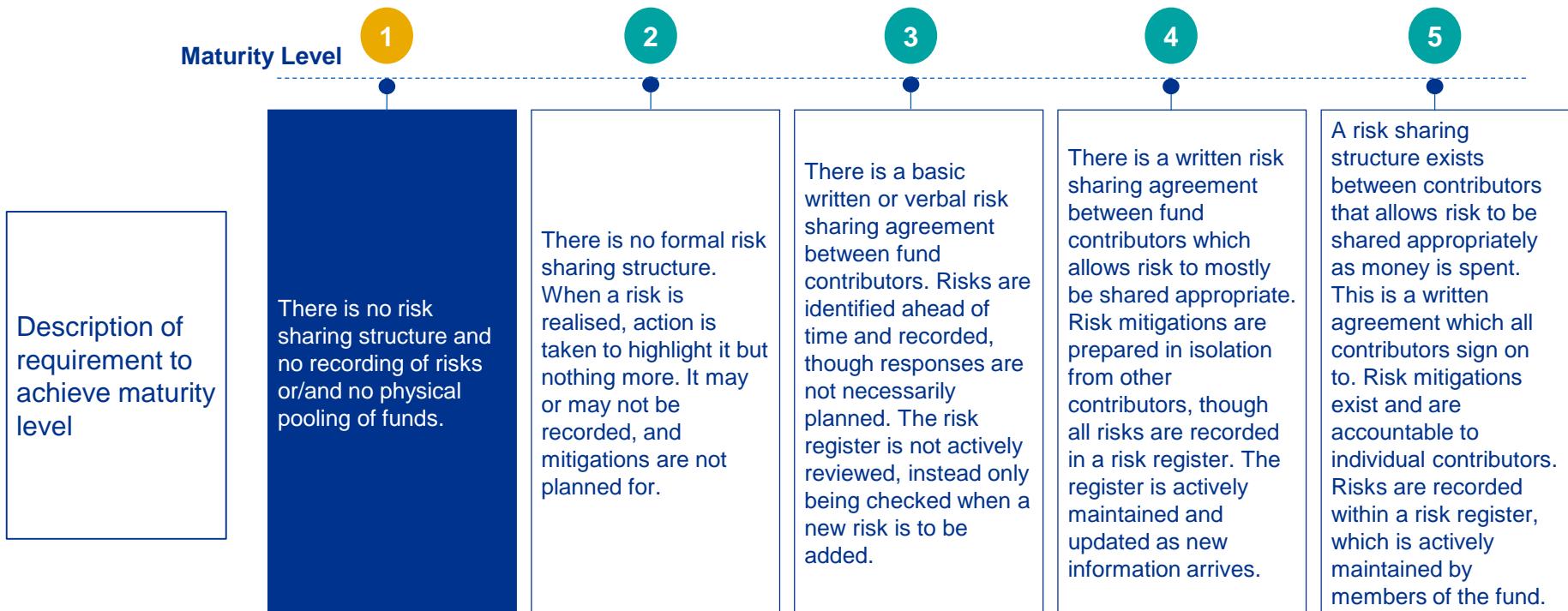
Evaluation Framework: How decisions are made around the funds use



Evaluation Framework: How decisions are made around the funds use

Evidence	Summary	Recommendations for consideration
— (1.7) Cabinet Agenda Pack 300719	<ul style="list-style-type: none"> — Denbighshire is listed as the lead partner within the provided Cabinet Report (1.7) of the pooled funds. — There is a £20k administration charge that is claimed by Denbighshire County council which is to fund the pooled budget function and is an annual cost whilst the pool is in existence. It has been jointly agreed by all partners to fund this post/function and is currently hosted by Denbighshire County council. Only Denbighshire is authorised to spend the administration charge. There also exists a mediation route for disagreements within the partners regarding this charge, if needed. 	<ul style="list-style-type: none"> — No significant recommendations,
— Meeting 4th October 2019	<ul style="list-style-type: none"> — As the pooled funds are virtual, the contributions (not yet transacted) of the various organisations are managed by each of the organisations. The organisations have each reported their projected forecast for 18/19 rather than budgets and performance against their budgets. — There is a sub-group within the RPB considering a common methodology for fees to be applied across the region (Let's agree to agree) which is similar approach to other regions in Wales. 	

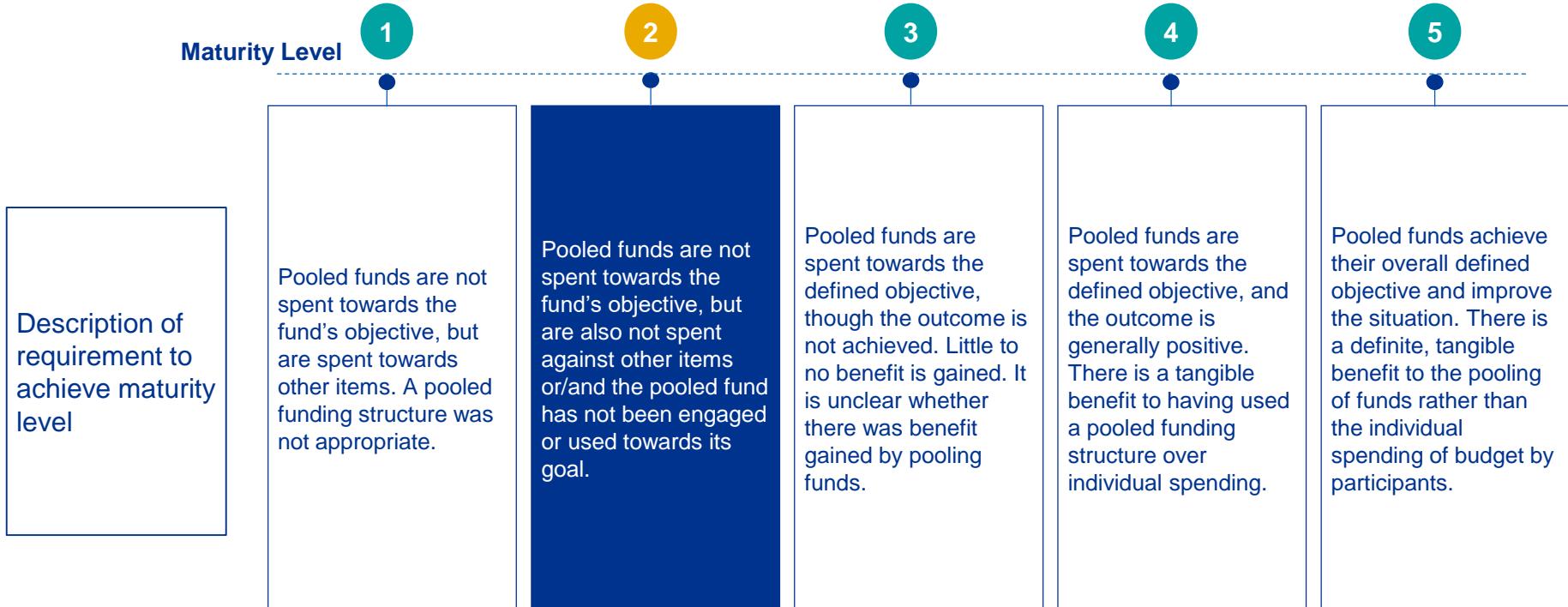
Evaluation Framework: How the pooled fund's risk is shared



Evaluation Framework: How the pooled fund's risk is shared

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.7) Cabinet Agenda Pack 300719 — (1.4) Letter to the Minister 	<ul style="list-style-type: none"> — The Cabinet report (1.7) document has a section of risks, although this has not been used to list any risks but rather explains the legal requirements of the framework. — Immediately before it, the document states “The development of a non-risk sharing pool to include financial transactions is proposed in order to meet legislative requirements”, which suggests risk is not shared in any way. 	<ul style="list-style-type: none"> — Consider developing a risk sharing structure which the pool exists within and supports. — It would be useful for the RPB to work towards all partners agreeing and signing-up to a risk sharing structure
<ul style="list-style-type: none"> — Meeting 4th October 2019 	<ul style="list-style-type: none"> — The only risks lists exist in the 15th September 2017 (1.4) message to the Minister for Social Services & Public health, with the note recognising that the risks must be addressed but not giving any detail on how. — Regarding financial risks, as the contributions (not transacted yet) are managed by each of the individual organisations and no physical pooling of funds, there is no risk share between the organisations. On discussion with members of the pooled fund group, cross subsidisation between counties was flagged as a barrier to using a ‘true’ pooled funds approach (eg political priorities, rate differences, variable growth funding etc. between counties). — The level of implementation of pooled funds was also flagged as an issue with the preference being using pooled funds at locality level dependent on specific areas (function over form). — The RPB has indicated they have been closely involved in development of the ADSS toolkit and taken it into consideration however the extent of influence could not be determined. 	<ul style="list-style-type: none"> — The RPB may find it helpful to record emerging risks in detail, including mitigations and responses. — Consider the applicability of the ADSS toolkit with revisiting the pooled budget arrangements, to help progress maturity — Welsh Government have indicated that the intention of the legislation was for budgets to be physically shared, as such the RPB could consider working through the process of physically pooling their funds and financial risk sharing to support a more integrated service

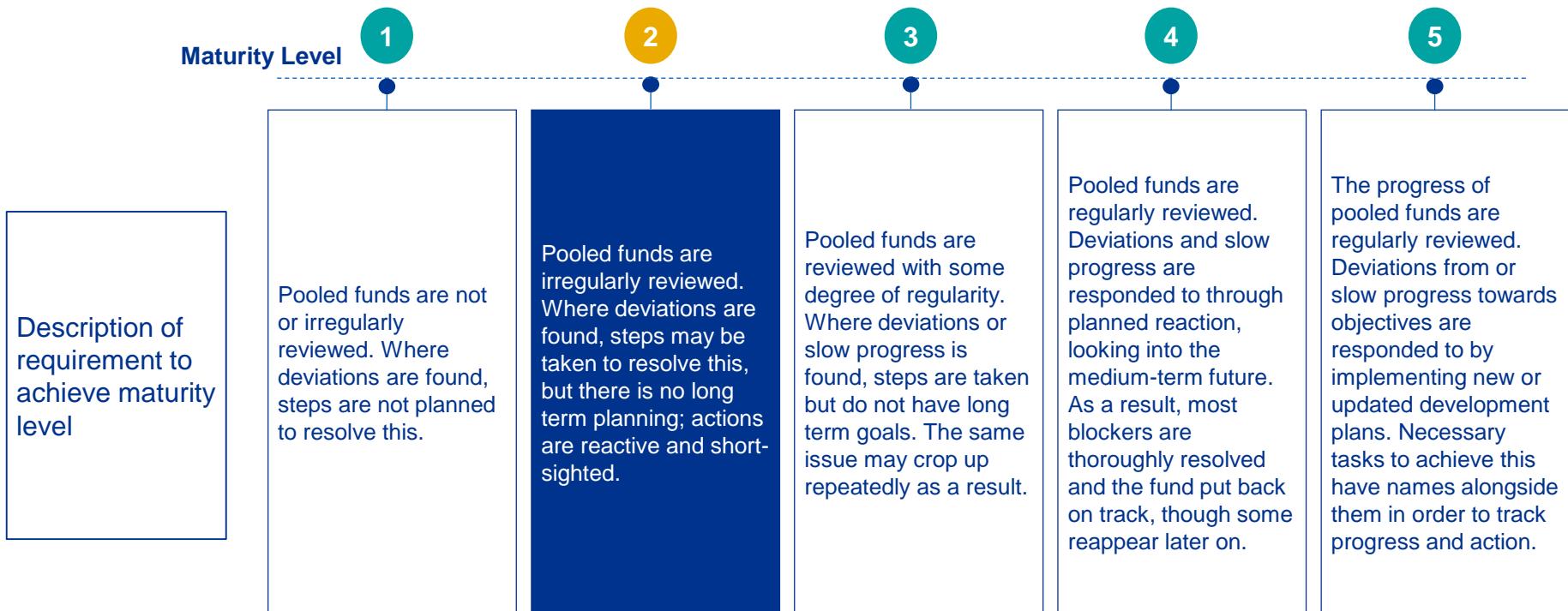
Evaluation Framework: Initial outcomes of pooled funds



Evaluation Framework: Initial outcomes of pooled funds

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.3) Pooled Budget Values 	<ul style="list-style-type: none"> — Based on the performance data (1.3) returned, it does appear that funds have been spent towards the pooled fund's intended goals however the benefit of pooling the funds has not yet been realised as funds are not physically pooled. — It should be noted again, as stated earlier, that the funds do not appear to be pooled, with contributions in different areas being listed against providing organisations. 	
<ul style="list-style-type: none"> — Meeting 4th October 2019 	<ul style="list-style-type: none"> — It is unclear if any benefit was gained from the current funding approach. — As described in the previous page the Pooled funds group felt that greater benefit from a pooled fund approach would be realised if it was at locality level for locality specific areas rather than a regional level. This would break down cultural challenges and avoid cross-subsidisation across counties. — A separate integrated commissioning strategy is being produced at regional level and a PPA (placement agreement) for care homes has been produced which will outline expected outcomes and contract and quality monitoring arrangements. 	<ul style="list-style-type: none"> — Welsh Government has indicated that the intention of the legislation was for budgets to be physically shared, as such the RPB could consider working through the process of physically pooling their funds and financial risk sharing to support a more integrated service — The RPB might find it useful to track and analyse spending levels to ensure they are securing benefit. — The RPB could analyse whether benefits would be gained from a pooled funding approach versus individual spend. — Consider the applicability of the ADSS toolkit to help progress maturity.

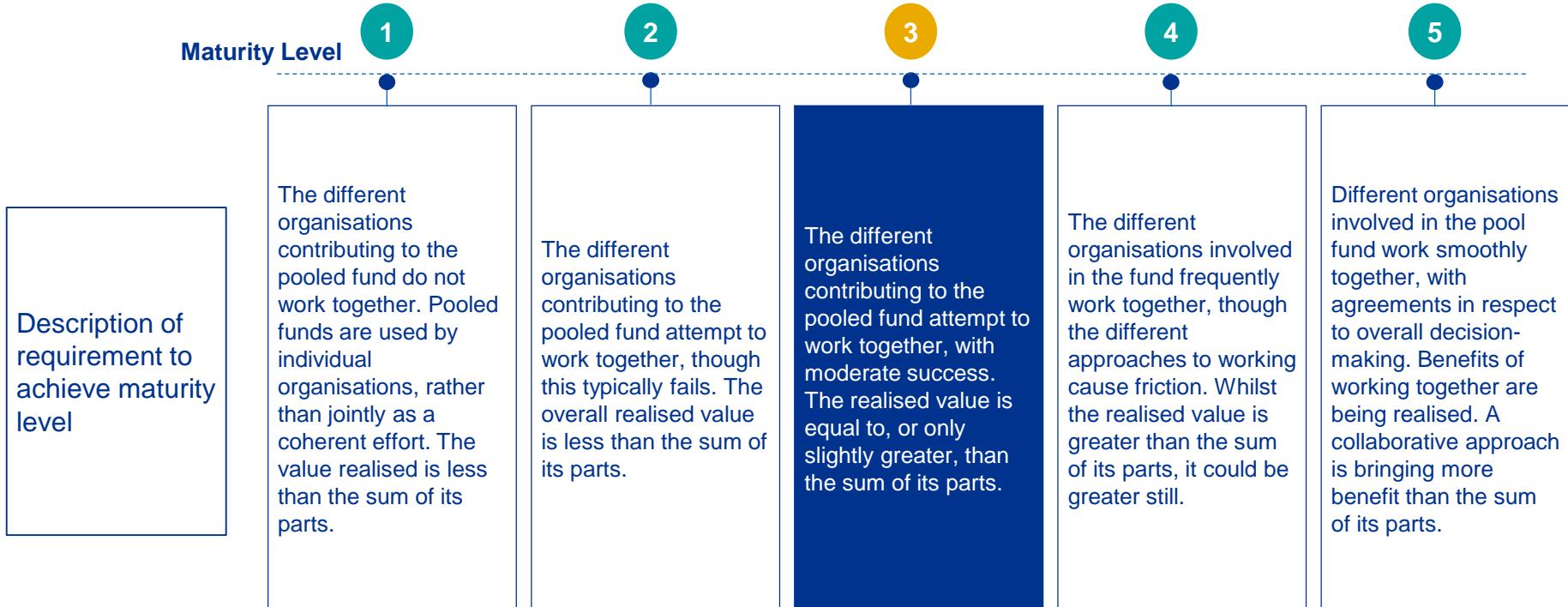
Evaluation Framework: Future Development



Evaluation Framework: Future Development

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.4) Pooled Budget Regional Project Team Minutes, several documents — (1.11) DCC scanned document 	<ul style="list-style-type: none"> — The funding arrangements are reviewed on a quarterly basis. Further, the Pooled Budget Project Team appear to have regular meetings, though the last one received as evidence appears to have taken place in November 2018 (1.4). However, in this document, although there is evidence that new approaches and opportunities are considered, it is difficult to assess if this is taken forward or any formal plans were put in place to investigate this. — The returned information states there are no listed variations but this is a reflection of each organisation managing their own contributions and services separately although they all report their spend. 	<ul style="list-style-type: none"> — The RPB might find it helpful to regularly review and document actions and plans being taken forward from the quarterly meetings.
<ul style="list-style-type: none"> — Meeting 4th October 2019 	<ul style="list-style-type: none"> — The discussions with the project team suggested the direction of travel for the Transformation programme for health and social care was rooted in a locality based model and there was an openness to using pooled funds within this context. The RPB uses the options appraisal toolkit to help projects teams choose the appropriate approach. The priority areas would be locality specific and include prescribing/drugs, Continuing health care and community services. The discussion indicated that the impact of this locality and initiative centric approach would mean shift in budgets for example there could be a reduction in the budget required for residential homes and greater spend on nursing homes. 	<ul style="list-style-type: none"> — The RPB could consider how it monitors the impact of its actions, in particular considering how their actions have aligned to their stated objectives.

Evaluation Framework: Collaboration

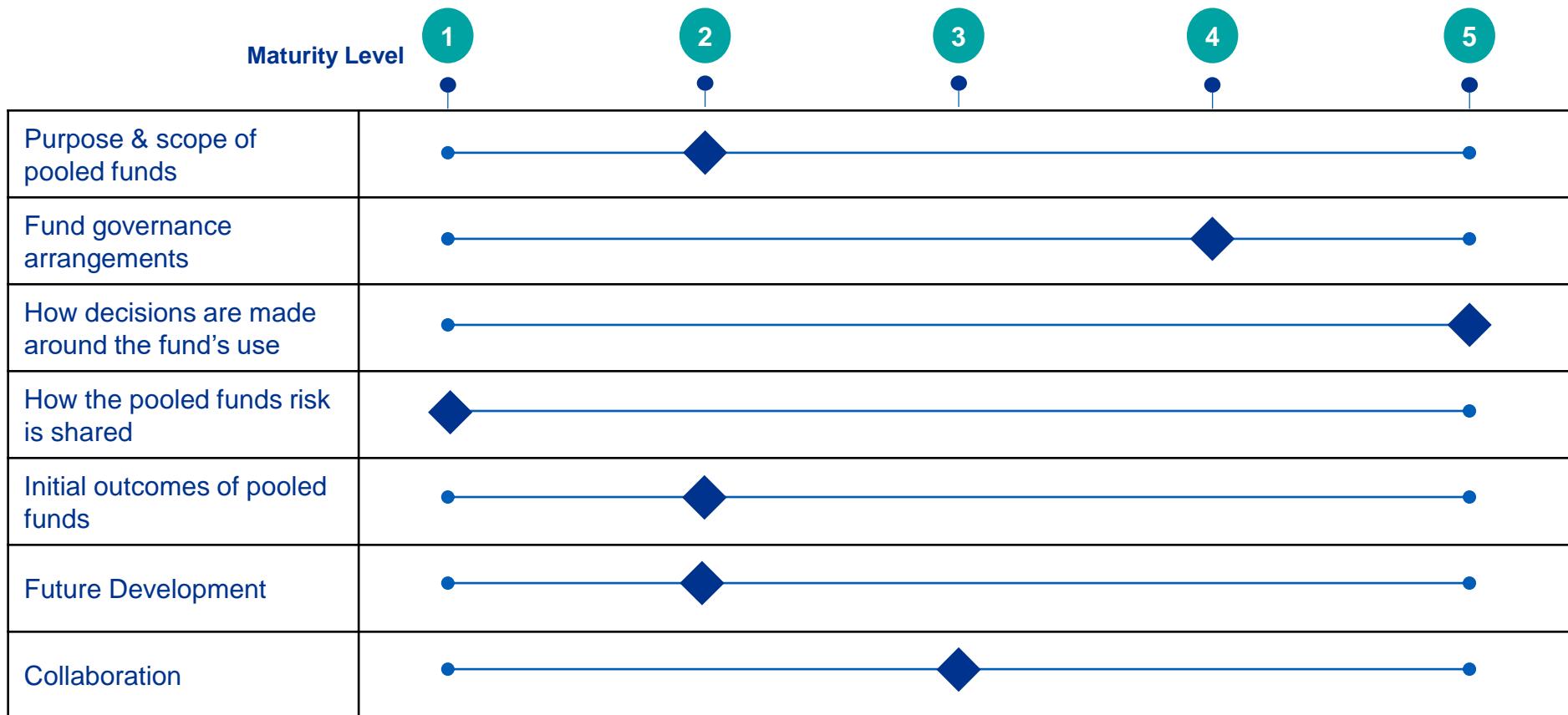


Evaluation Framework: Collaboration

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.3) Pooled Budget Values — (1.4) Pooled Budget Meetings, various 	<p>— From all reviewed documents, particularly the Pooled Fund Project Team meetings (1.4), it is clear that there is a relative degree of alignment in terms of the approach for this particular pooled funding arrangement. However, it maintains the status quo and does not realise benefits of using a pooled funds vehicle in this instance. Further, from the performance data (1.3) provided, which shows that different contributors are directly funding items, the assumption is that there is no benefit or detriment from the funding approach used.</p>	<ul style="list-style-type: none"> — The RPB could analyse whether benefits are being gained from a pooled funding approach versus individual spend.
<ul style="list-style-type: none"> — Meeting 4th October 2019 	<p>— Further, as mentioned earlier in this review, Denbighshire hosts the pooled fund arrangement however each of the organisations manage their own contributions (not yet agreed and transacted)</p> <p>— The project team highlighted that there are other pooled funds which have worked well but these have not been reviewed in this report.</p> <p>— The RPB agreed the overarching principles of the management of pooled funds for care homes for older people which currently shares forecast expenditure from each of the organisations and using consistent approaches in methodology increasing understanding between organisations to a certain extent but the service and financials are managed separately by each of the organisations maintaining the status quo.</p>	<ul style="list-style-type: none"> — The RPB could consider specific areas of the contributions to be provided as an integrated service. Trying to identify if a true pooled fund could be used as a vehicle to deliver it. — Consider the applicability of the ADSS toolkit to help progress maturity.

Evaluation Framework: Summary & Conclusion

North Wales RPB could articulate more clearly their tangible goals and plans for the regional pooled budget for care homes for older people, particularly in relation to their wider transformation agenda. In addition, the RPB could consider physically pooling their funds to maximise benefits of a unified budget and risk sharing to deliver a seamless service.



Powys

Overview



The Section 33 agreement outlines how Powys Teaching Health Board and Powys County Council work in partnership to develop alternatives to residential care and to improve outcomes for all adults with residential care needs. The scheme establishes a pooled fund and non-delegated lead funds under Section 33 of the National Health Service Act 2006 (Wales). The intended benefits of the scheme are:

- Improved outcomes for those with residential care needs
- A reduction in the number of people referred to residential and nursing care homes outside of Powys
- A choice of accommodation options
- Improved quality, safety, transitions, and co-ordinations
- Integrated services
- Sustainable provision
- Improved effectiveness of expenditure through improved health-care commissioning, fee setting, market development, and market sustainability

Key RPB members



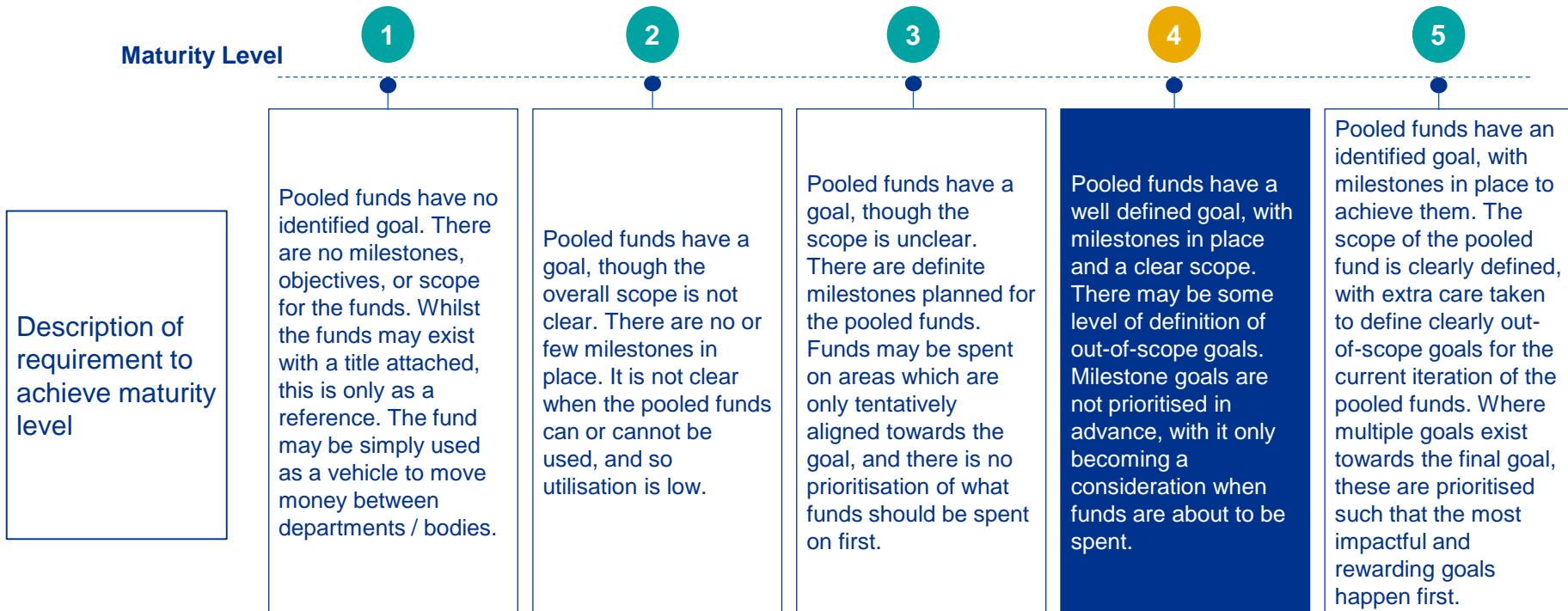
- Powys County Council
- Powys Teaching Health Board

Engaged officers



- Dylan Owen - Powys County Council
- Martin Heuter – Powys County Council
- Hayley Thomas – Powys Teaching Health Board
- Clare Lines – Powys Teaching Health Board

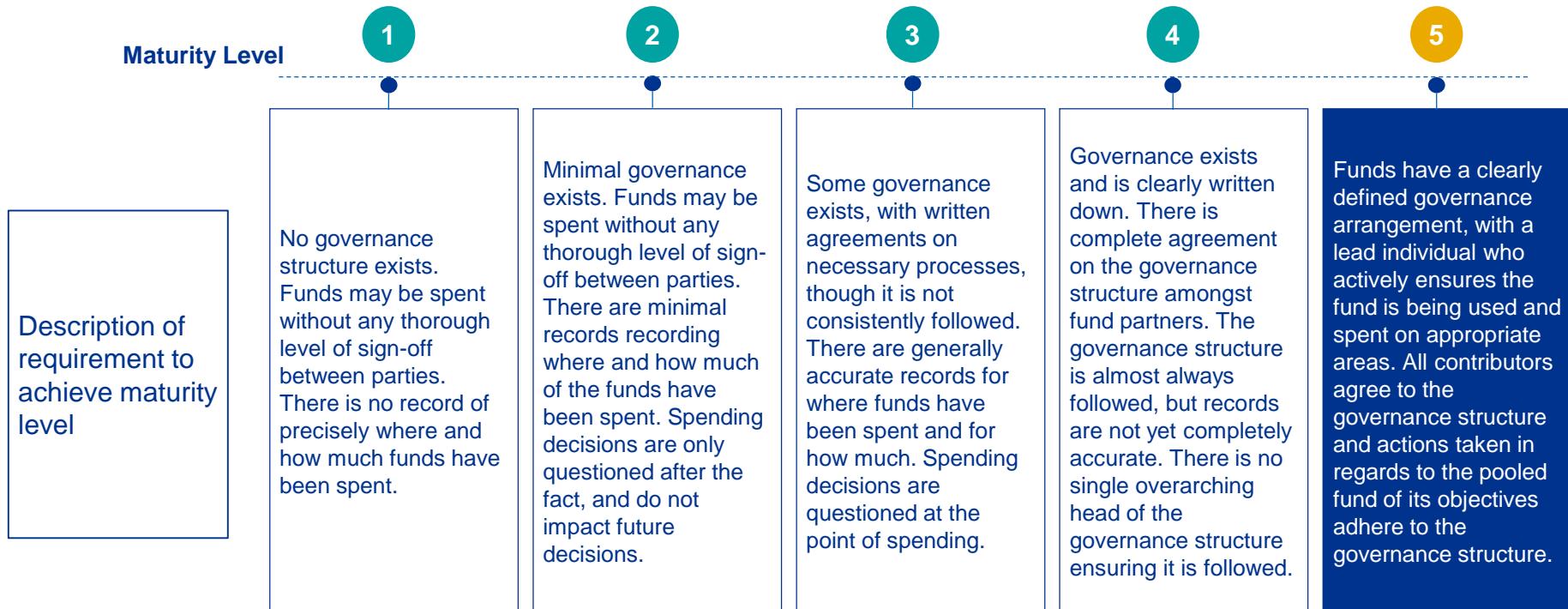
Evaluation Framework: Purpose & scope of pooled funds



Evaluation Framework: Purpose & scope of pooled funds

Evidence	Summary	Recommendations for consideration
RPB meeting 14th October 2019	<ul style="list-style-type: none"> — The RPB members that were part of the discussion stated that the purpose of the pooled fund is to adopt a single system for commissioning, procuring and contract monitoring. This is aimed at ensuring the region will have more efficient and effective commissioning practices. — The RPB members stated that they are aiming to transform how they currently deliver services in line with their health and care strategy. They stated that the pooled fund is just one of a number of mechanisms to improve outcomes and move away from an outdated model of care. — The RPB members that were spoken to said that there had been a number of discussions about the age group that the pooled fund related. They had scheduled a workshop on the 1st November 2019 to discuss further. — The RPB stated that they have a programme plan. They have recently appointed a programme manager, who starts in January 2020 to help them to move forward. 	<ul style="list-style-type: none"> — In line with the Health and Care Strategy, consider the development and prioritisation of goals to reach the objectives of the pooled fund and measure expected benefits with KPIs.
Desk top review – (1.1) Section 33 Agreement – (1.13) JPB Minutes	<ul style="list-style-type: none"> — The Section 33 agreement between Powys County Council and Powys Teaching Health Board for the pooled fund for care home accommodation functions (1.1), defines high-level objectives covering a wide scope of areas within the realm of care home accommodation. — From reviewing the JPB minutes, it suggests that scope is reviewed and updated. 	

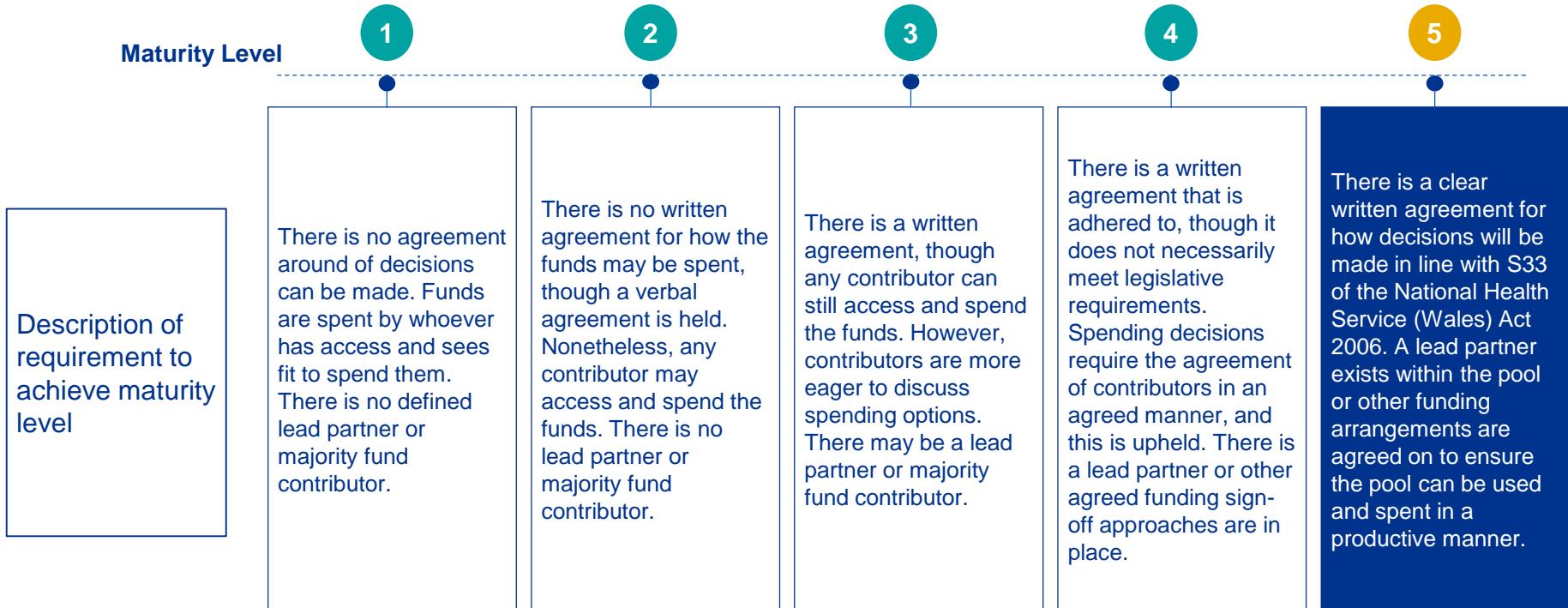
Evaluation Framework: Fund governance arrangements



Evaluation Framework: Fund governance arrangements

Evidence	Summary	Recommendations for consideration
RPB meeting 14th October 2019	<ul style="list-style-type: none"> — The RPB members that were spoken to said that co-terminosity of the local authority and Health Board has helped with the governance arrangements. 	<ul style="list-style-type: none"> — No significant recommendations.
Desk top review – (1.1) Section 33 Agreement – (1.2) Plan CHC IRC Section 33 – (1.8) PTHB Finance August 2018	<ul style="list-style-type: none"> — Section 5 of the S33 agreement outlines the governance arrangements. — In the S33 agreement, a fund lead partner is defined, with documentation around the source of funds, hosting and administration of funds, invoicing arrangements, financial risks, commissioning and procurement arrangements, audit requirements, dispute resolution, liabilities, insurance and indemnities and capital. This exists within the “Section 33 agreement between Powys County Council and Powys Teaching Health Board for the pooled fund for care home accommodation functions” document. 	

Evaluation Framework: How decisions are made around the funds use



Evaluation Framework: How decisions are made around the funds use

Evidence	Summary	Recommendations for consideration
RPB meeting 14th October 2019	<ul style="list-style-type: none"> — The RPB members stated that the operational group report to the Joint Partnership Board. The Joint Partnership Board is responsible for partnership arrangements. — They stated that they have a financial plan and they report any variance. They advised that decisions in relation to individual CHC placements are made by CHC panels. — The overall position is held by Powys County Council. 	<ul style="list-style-type: none"> — No significant recommendations.
Desk top review – (1.1) Section 33 Agreement	<ul style="list-style-type: none"> — Actions and decisions are agreed at S33 meetings, as proven in the various S33 meeting minutes provided. As detailed in “Section 33 agreement between Powys County Council and Powys Teaching Health Board for the pooled fund for care home accommodation functions”, there is a defined lead fund partner who spends the funds on behalf of the wider pooled fund contributors. This agreement on the function of the lead partner is signed off and agreed by involved parties. — Overall, decisions are in line with the guidance outlined in Section 33, a lead partner exists, and a decision-making structure is agreed. 	

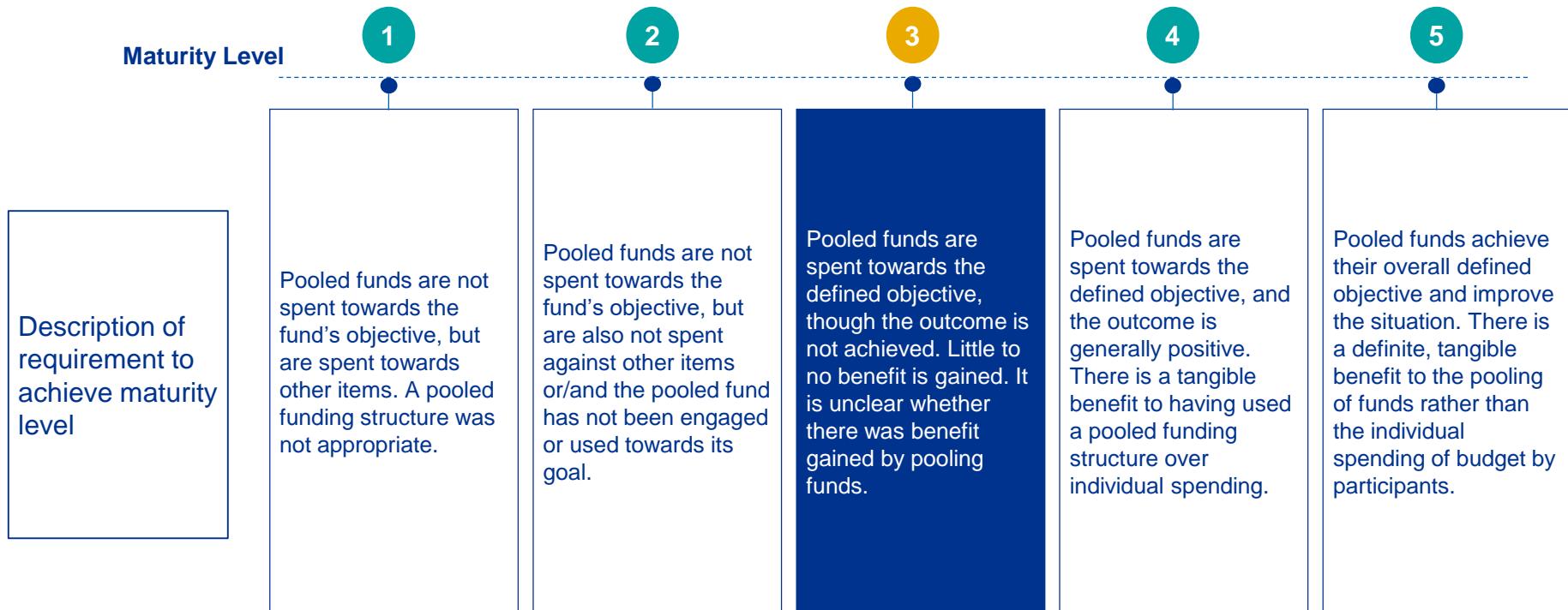
Evaluation Framework: How the pooled fund's risk is shared

Maturity Level	1	2	3	4	5
Description of requirement to achieve maturity level	There is no risk sharing structure and no recording of risks or/and no physical pooling of funds.	There is no formal risk sharing structure. When a risk is realised, action is taken to highlight it but nothing more. It may or may not be recorded, and mitigations are not planned for.	There is a basic written or verbal risk sharing agreement between fund contributors. Risks are identified ahead of time and recorded, though responses are not necessarily planned. The risk register is not actively reviewed, instead only being checked when a new risk is to be added.	There is a written risk sharing agreement between fund contributors which allows risk to mostly be shared appropriately. Risk mitigations are prepared in isolation from other contributors, though all risks are recorded in a risk register. The register is actively maintained and updated as new information arrives.	A risk sharing structure exists between contributors that allows risk to be shared appropriately as money is spent. This is a written agreement which all contributors sign on to. Risk mitigations exist and are accountable to individual contributors. Risks are recorded within a risk register, which is actively maintained by members of the fund.

Evaluation Framework: How the pooled fund's risk is shared

Evidence	Summary	Recommendations for consideration
RPB meeting 14th October 2019	<ul style="list-style-type: none"> — The RPB stated that they have a risk register around the programme and that there are also risk registers in each organisation. 	<ul style="list-style-type: none"> — The RPB could consider:
Desk top review – (1.1) Section 33 Agreement	<ul style="list-style-type: none"> — The Section 33 agreement outlines that a basic risk process regarding finances is available within the core document (“Section 33 agreement between Powys County Council and Powys Teaching Health Board for the pooled fund for care home accommodation functions”). The process explicitly declares that “any identified forecast overspend must be raised at the earliest opportunity for consultation and identification of mitigating actions”. 	<ul style="list-style-type: none"> — How risks specific to the pooled fund are recorded and tracked and mitigations planned and actioned — The applicability of the ADSS toolkit to help progress maturity

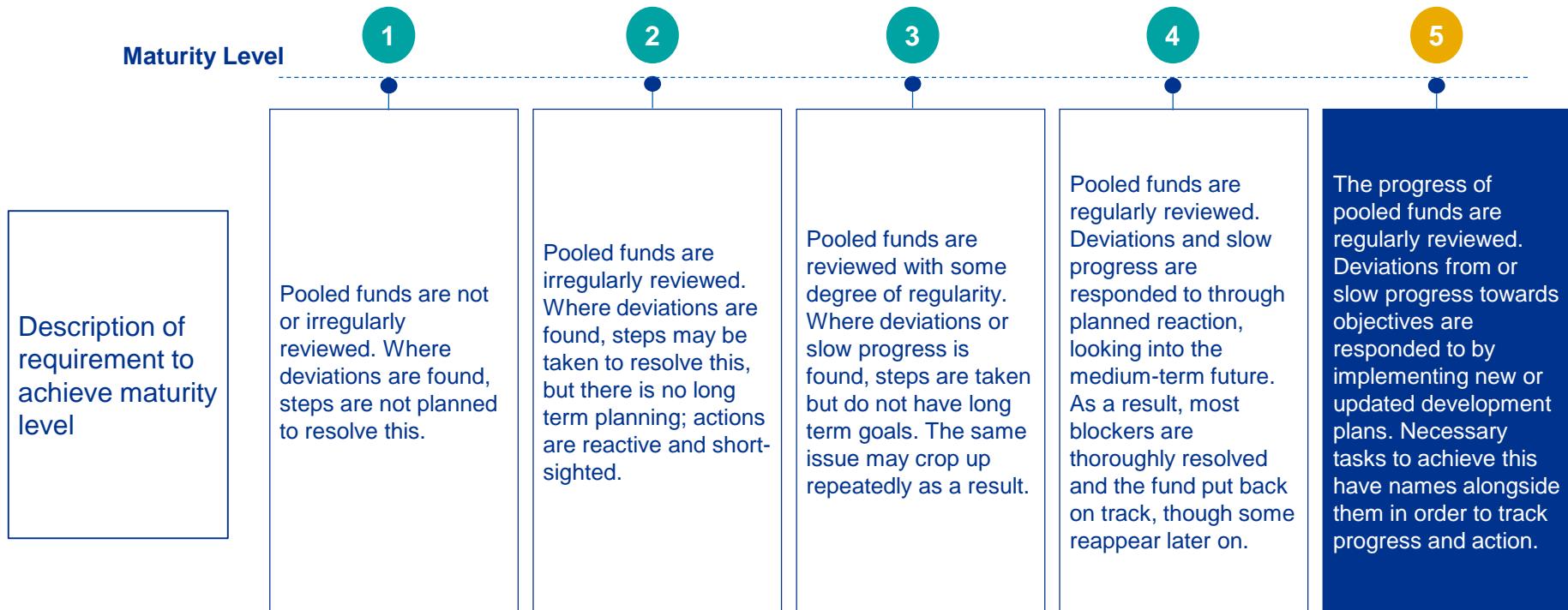
Evaluation Framework: Initial outcomes of pooled funds



Evaluation Framework: Initial outcomes of pooled funds

Evidence	Summary	Recommendations for consideration
RPB meeting 14th October 2019	<ul style="list-style-type: none"> — The RPB stated that joint working is very important. One approach that they said they found helpful and successful was by bringing people together through a number of workshops. They found that by adopting a collaborative approach, means that they can discuss issues and develop options jointly. — They have found a comprehensive and detailed section 33 agreement very helpful. — They stated that by working in a joint way has helped both organisations understand the pressures and challenges. It has also helped discussions in relation to the consideration of alternative delivery models. For example, they had a workshop on their re-ablement model and how it could support the whole care model. — A pooled fund manager has been appointed and starts in January 2020. They will focus on obtaining the voice of people using services — They also said that they had learnt a lot from their combined and single outcomes performance report – how we measure moving forward. — They stated that there have been a number of informal benefits such as: — All being in a room together has helped to iron out difficulties — All parties have access to the financial figures. 	<ul style="list-style-type: none"> — The RPB could consider: — Developing the performance report to show trends over time. — Defining measures to track whether the fund is achieving its goals. — Revisiting the pooled budget arrangements in light of the ADSS toolkit to help progress maturity.
Desk top review – (1.3) S33 Integrated Performance Report	<ul style="list-style-type: none"> — Based off “S33 – Care Homes: Integrated Performance Report, August 2019”, it can be seen that pooled funds are being spent towards the fund’s objectives. It would be useful as the fund develops to see data trends over time. 	

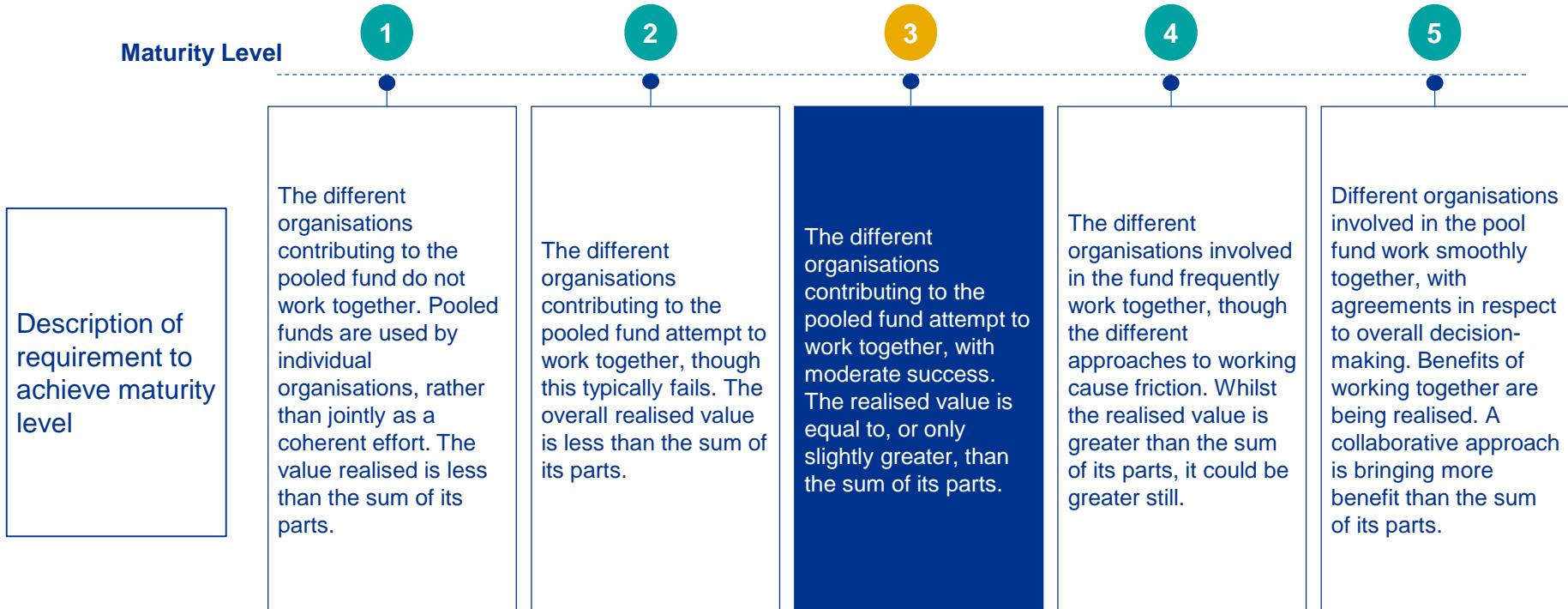
Evaluation Framework: Future Development



Evaluation Framework: Future Development

Evidence	Summary	Recommendations for consideration
RPB meeting 14th October 2019	<ul style="list-style-type: none"> — The RPB stated that they want to align the development of their pooled fund to their future strategy. 	<ul style="list-style-type: none"> — The RPB could consider:
Desk top review – (1.1) Section 33 Agreement – (1.14) Operational Group – Action Tracker – (1.4) RPB minutes	<ul style="list-style-type: none"> — In the Section 33 agreement between Powys County Council and Powys Teaching Health Board for the pooled fund for care home accommodation functions it states that the scope is regularly reviewed and updated to understand where progress can be improved. — An action planner exists showing what stakeholders need to do in order to progress the funds requirements ("33 Operational Group – ActionTracker.xlsx"). — Meetings are held on a very regularly basis, with discussion existing both within the pooled fund and at RPB level (see minutes documents provided). 	<ul style="list-style-type: none"> — How to progress with the alignment of the funds with the future strategy — Developing clear KPIs aligned to the strategy and review these on a regular basis. — Reviewing and identifying milestones for the fund in line with its overall development and maturity to deliver its strategy. — Revisiting the pooled budget arrangements in light of the ADSS toolkit to help progress maturity.

Evaluation Framework: Collaboration

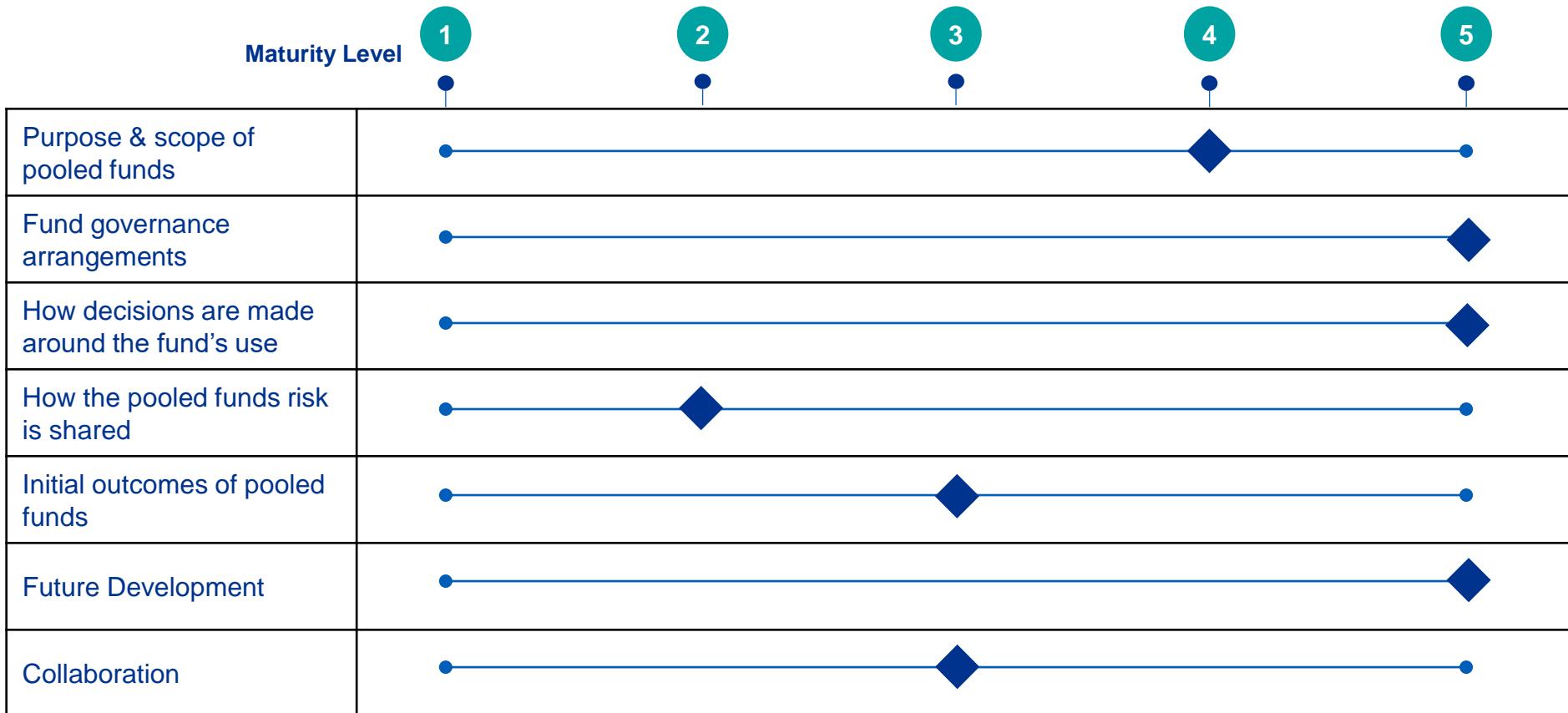


Evaluation Framework: Collaboration

Evidence	Summary	Recommendations for consideration
RPB meeting 14th October 2019	<ul style="list-style-type: none"> — The RPB felt that progress to date has been supported by coterminous boundary and a clear senior team. — All members that were spoken to, felt that they could speak freely and were committed to moving forward. — A new pooled fund manager has been appointed and is starting in January 2020. 	<ul style="list-style-type: none"> — Consider analysing whether the pooled fund approach has provided a benefit over the individual spending by partners.
Desk top review <ul style="list-style-type: none"> – (1.1) Section 33 Agreement – (1.3) S33 Integrated Performance Report – (1.4) RPB minutes 	<ul style="list-style-type: none"> — The minutes and section 33 agreement show that the organisations are working together towards a positive outcome. 	

Evaluation Framework: Summary & Conclusion

The key area where Powys could progress their maturity is in relation to the pooled funds risk sharing arrangements. The RPB have recently appointed a Pooled Fund Manager and they are hoping that this appointment will help progress maturity across a number of areas.



West Glamorgan

Overview



The overarching strategic aim of this Section 33 Agreement is to ensure:

- Coordinated RPB for ensuring integrated provision of high quality
- Cost effective Care Home services for older people aged 65 and over
- Local health and social care needs are met
- The establishment of pooled fund arrangements under Section 33 of the Act from 6th April 2018.

Key RPB members



- Neath Port Talbot County Borough Council
- The City and County of Swansea Council
- Swansea Bay University Health Board

Engaged officers



- Dave Howes, Director of Social Services / Chair of Adult Transformation Board
- Chris Davies, Principal Business Partner, Swansea Council
- Peter Field, Prevention, Wellbeing and Commissioning
- Richard Bowmer, Finance, Swansea Bay UHB
- Nicola Trotman, Interim Transformation Programme Director, West Glamorgan
- Geoff Powell Finance Neath Council
- Ian Austin Pooled fund manager

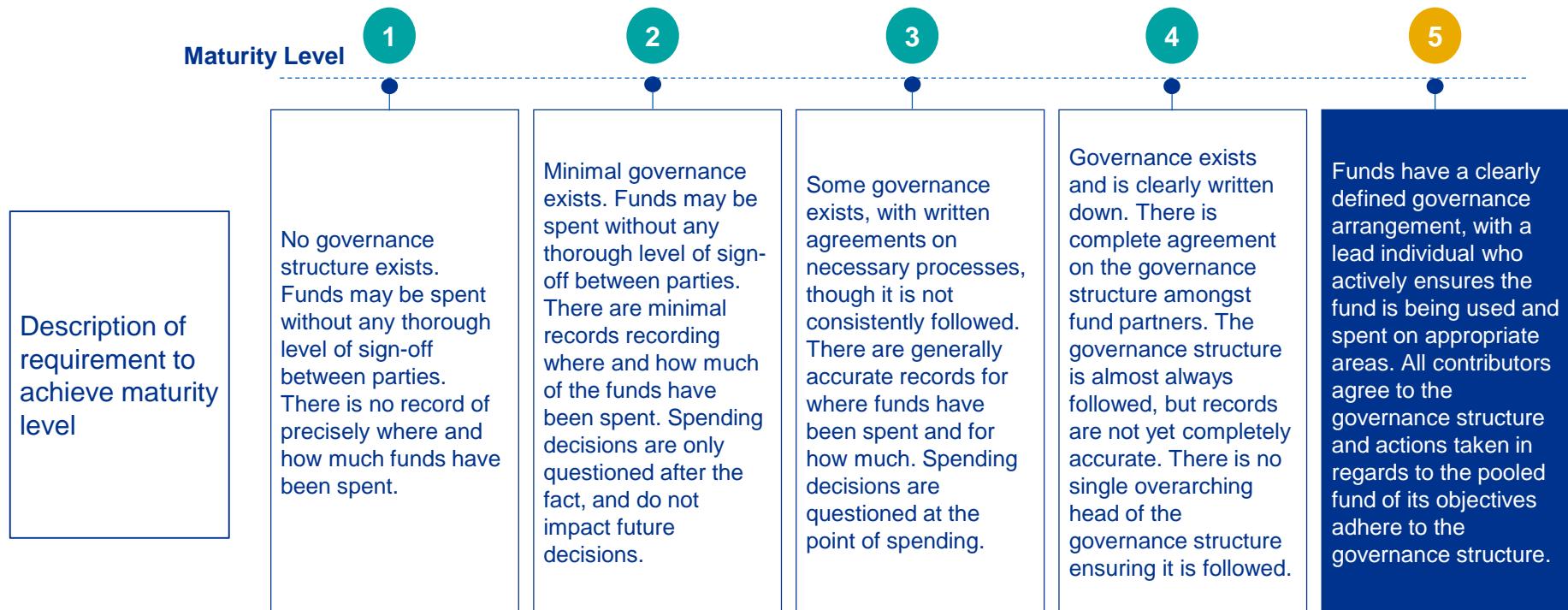
Evaluation Framework: Purpose & scope of pooled funds



Evaluation Framework: Purpose & scope of pooled funds

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.1) Schedule 1 — (1.11) Commissioning Strategy 	<ul style="list-style-type: none"> — The Schedule 1 (1.1) document provides a description of the aims and objectives, along with the overarching purpose and key principles aiming to be achieved. — The same document provides a set of tangible goals (listed under section 5.7, and 6). — Section 9 identifies potential KPIs to track in order to ensure that the fund remains in good use and acts towards its intended purpose. — The commissioning strategy (1.11) also provides an outline for future activities to engage with through the partnership arrangement. — Overall, this is a well defined with a view to the future included. 	<ul style="list-style-type: none"> — Consider defining the out of scope areas and tangible benefits for the areas of focus, which can be measured through use of KPIs. — Consider how the RPB prioritises its listed goals to ensure funds are spent on areas likely to have the most significant impact

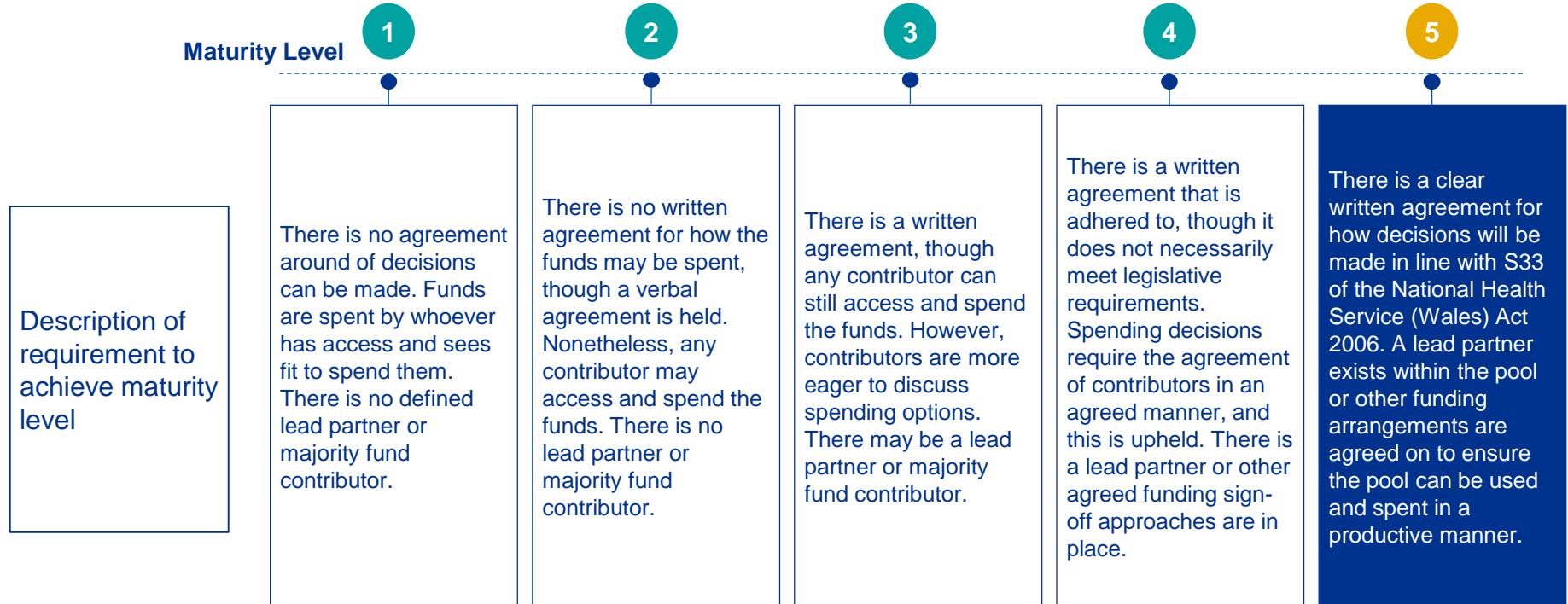
Evaluation Framework: Fund governance arrangements



Evaluation Framework: Fund governance arrangements

Evidence	Summary	Recommendations for consideration
— (1.1) Schedule 4	<ul style="list-style-type: none"> — Schedule 4 (1.1) details the governance arrangements in detail. This lays out how updates or changes to the funding arrangement will be handled, alongside a number of board meetings through the year. 	<ul style="list-style-type: none"> — No significant recommendations.
— Meeting 28th November 2019	<ul style="list-style-type: none"> — It details the method for authorising contracts or contractual changes. — It goes into detail about who should make up the various board meetings through the year. — On discussions with stakeholders, it was noted there is a pooled funds sub-group facilitated by the pooled funds manager which reports to the Adult Transformation Board which then reports to the Executive group and RPB. 	

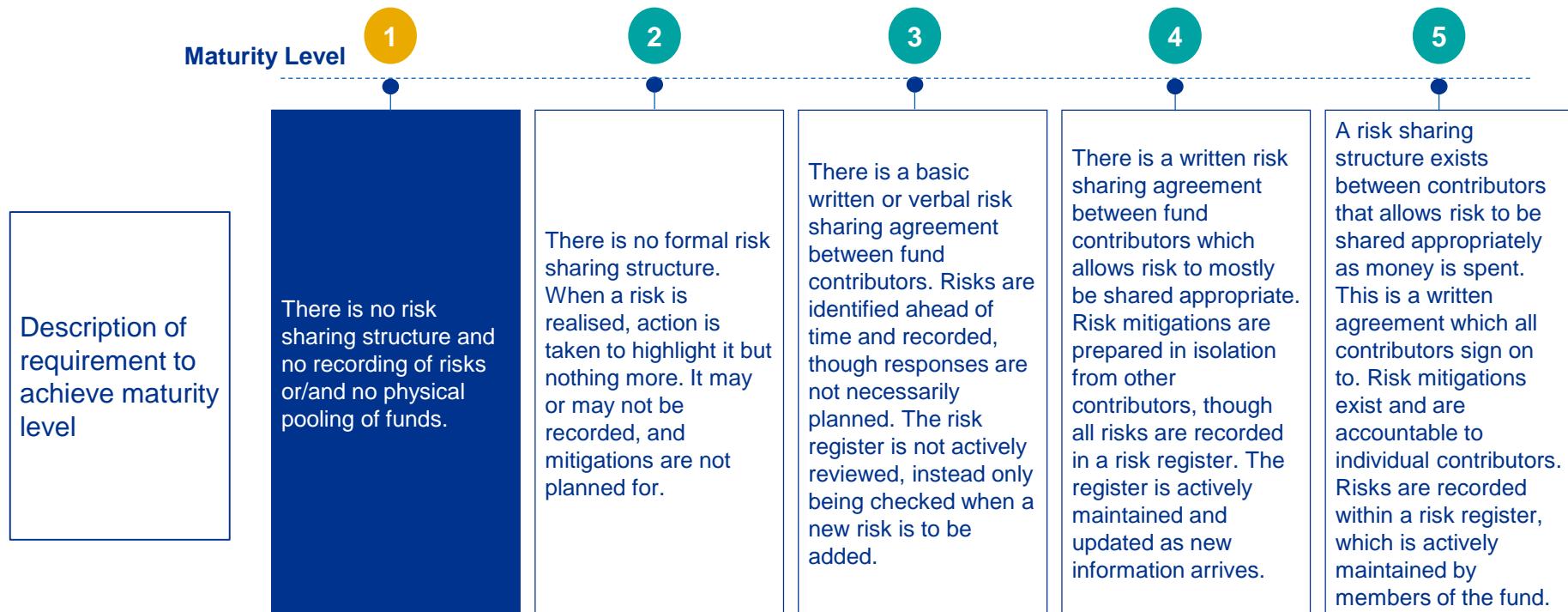
Evaluation Framework: How decisions are made around the funds use



Evaluation Framework: How decisions are made around the funds use

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.1) S33 Agreement — (1.1) Schedule 4 Governance 	<ul style="list-style-type: none"> — Both the S33 agreement and Schedule 4 document (1.1) provide insights into how funding is accessed and spent. — A pooled fund manager is responsible for the management of the fund, and is responsible for authorising payments. The Host Partner will make the payments. — As laid out in Schedule 4 (1.1), there are multiple board meetings through the year to review and update spending decisions. 	<ul style="list-style-type: none"> — No significant recommendations.
<ul style="list-style-type: none"> — Meeting 28th November 2019 	<ul style="list-style-type: none"> — On discussion with stakeholders, it was noted that recommendations are made by the Adult Transformation Board (as raised by the Pooled funds sub-group) to the executives of the organisations at the RPB. The executives take the recommendations through their individual Boards. 	

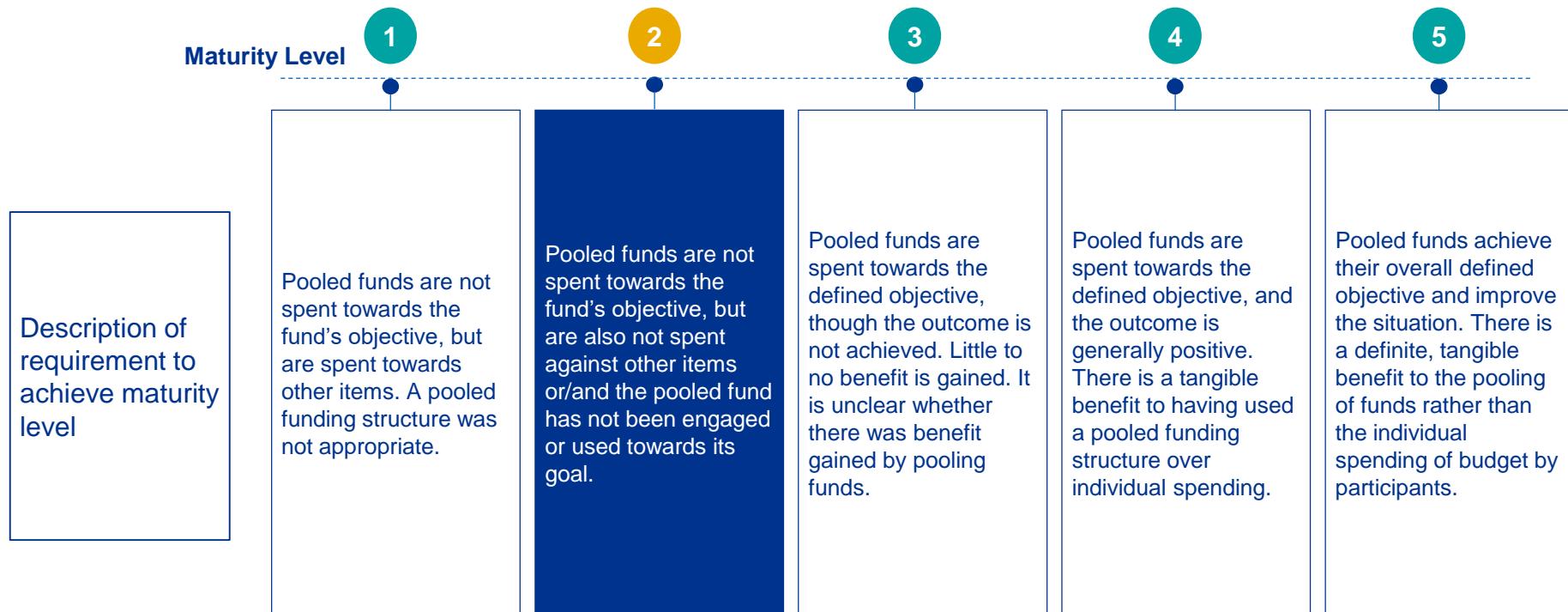
Evaluation Framework: How the pooled fund's risk is shared



Evaluation Framework: How the pooled fund's risk is shared

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.1) Schedule 3 — (1.2) Summary document note of no variations. 	<ul style="list-style-type: none"> — The Schedule 3 “Resources: Finance & Budget Settings” document (1.1) specifically outlines Risk Sharing in a section dedicated to “Financial Performance and Risk Sharing Arrangements”. — Over- or under-spend spending risk is recorded on a two monthly basis, with quarterly reports for the Adult Services Transformation Board. 	<ul style="list-style-type: none"> — To support developing the risk sharing further for the RPB they could consider:
<ul style="list-style-type: none"> — Meeting 28th November 2019 	<ul style="list-style-type: none"> — Where Over- or under-spend is forecast, the board must “consider any action plan where required and amend if appropriate or agree additional actions to be taken to manage the variance”. So far, there is no variance (1.2). — The interview confirmed there has been a decision not to have a financial risk share arrangement. Cash is not transferred to a single account as with some other regions as their view was that the challenges and costs of this outweigh the benefits at this data collection stage. When the data has been analysed and way forward agreed, the risk share approach may be a route that the region may want to pursue. This may mean actively disinvesting in some areas where there is over provision and investing in others with increasing demand. Cross subsidisation between localities has been raised as a challenge. 	<ul style="list-style-type: none"> — Developing a risk register, which is actively maintained and ensure risks are recorded and tracked, and mitigations planned. — Welsh Government have indicated that the intention of the legislation was for budgets to be physically shared, as such the RPB could consider working through the process of physically pooling their funds and financial risk sharing to support a more integrated service — Consider revisiting the pooled budget arrangements in light of the ADSS toolkit to help progress maturity

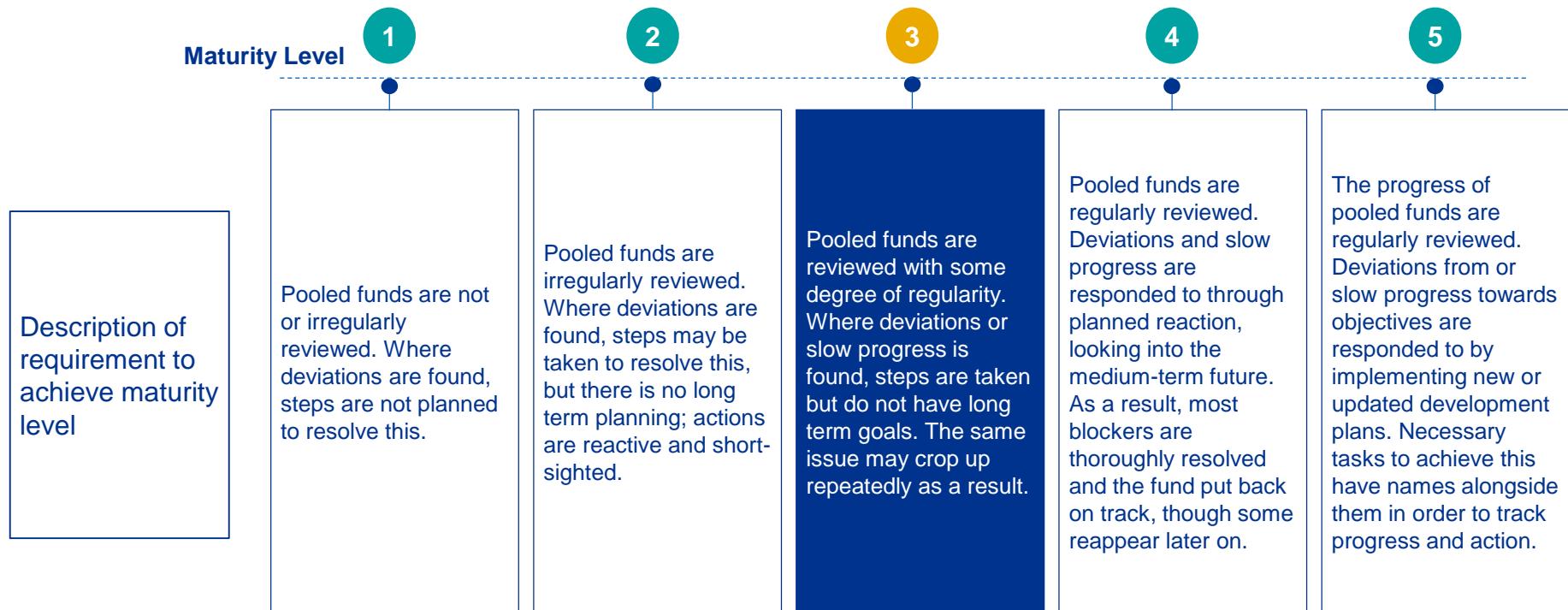
Evaluation Framework: Initial outcomes of pooled funds



Evaluation Framework: Initial outcomes of pooled funds

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.3) Residential Pooled Fund Performance Data — (1.1) Schedule 3 	<ul style="list-style-type: none"> — As far as can be seen from the performance data (1.3) provided, funds have been spent towards their intended goals aligning to the scope of the funds however the benefits of physical pooling of funds and risk sharing to underpin an integrated service has not been realised — Spend is counted at partner level, though this is then summed up to a regional level. — Initial budgeting and fund value (as outlined in Schedule 3 (1.1)), however, is calculated by summing the predicted spend of each partner independently. This suggests that no benefit is planned or expected from the pooling of funds, and that the fund is virtual, rather than actual. This is confirmed later within the Schedule 3 document, under “Balancing Payments”. 	<ul style="list-style-type: none"> — The benefit to pooling budgets over individual organisational spend depends on the specific population cohort and its needs and one size does not fit all. The RPB could analyse whether benefits would be gained from a pooled funding approach versus individual spend.
<ul style="list-style-type: none"> — Meeting 28th November 2019 	<ul style="list-style-type: none"> — The score given here is reflective of the targeted spending towards the fund objectives. — Data has been shared and in the first instance is being analysed at a regional level with a view to agreeing way forward for this service. — Joint commissioning strategy has been completed, market position statement is being refreshed and a common fee methodology is being considered at a regional level. 	

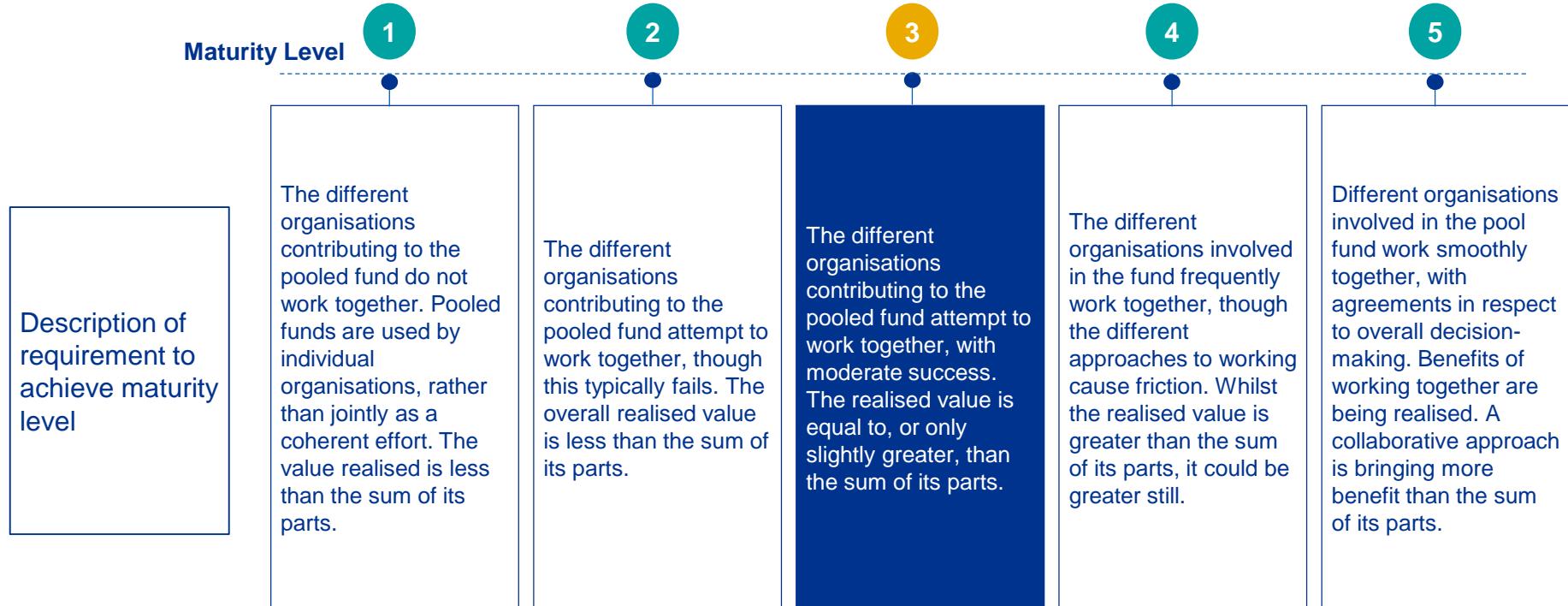
Evaluation Framework: Future Development



Evaluation Framework: Future Development

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.1) Schedule 4 – Governance — (1.4) RPB Minutes — (1.2) Summary note of no variations <p>— Meeting 28th November 2019</p>	<ul style="list-style-type: none"> — Summarised RPB Minutes (1.4) provided shows that various discussions have happened. However, this does not appear to be in line with the plan outlined in Schedule 4 (1.1), which suggests many more meetings should have happened by now. — Regarding reporting for the variations question (1.2), there have been no variations, which is evidence that variations/deviations are taken into account. — As seen in the minutes (1.4), actions are discussed and recommendations considered before being accepted or rejected. — There is an ambition to use pooled funds where appropriate and the perception of the group in the interview was they were successful in using the pooled fund approach for intermediate care, joint equipment and joint adoption service. The group felt that smaller cohorts of clients such as children with complex needs, adults with complex needs, would benefit from pooled funds and there could be a regional forecast of demand and investment with reconciliations and adjustments at year end. These areas could also benefit from commissioning by a single organisation. — They felt larger cohorts of clients may benefit from a locality approach as needs in each locality can be diverse. 	<ul style="list-style-type: none"> — To support future developments, the RPB may wish to consider the following: — Meetings to be carried out in line with the governance arrangements. — Where actions are agreed, clearly define the owners and deadlines.

Evaluation Framework: Collaboration

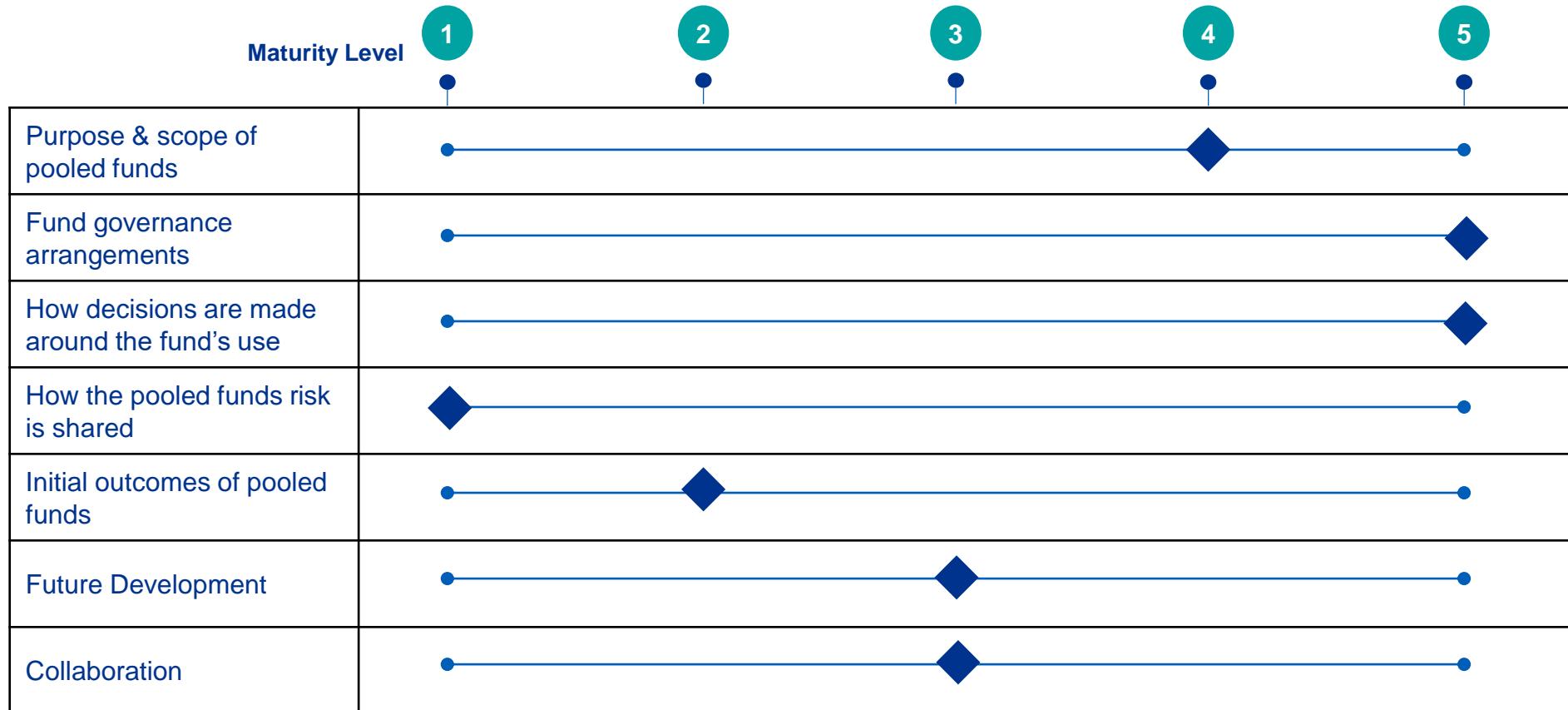


Evaluation Framework: Collaboration

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none"> — (1.3) Residential Pooled Fund Performance Data — (1.1) Schedule 3 — (1.4) RPB Minutes 	<ul style="list-style-type: none"> — The pooled fund performance data (1.3) and Schedule 3 plan (1.1) suggests that funds are treated independently, with over- and under-spend then reallocated appropriately at the end of the financial period. Whilst not a true pooled fund, they have avoided funding issues and realised collaborative benefits by joint discussion of key issues — From the provided minutes (1.4), there appears to be no conflicts and organisations working together within the overall partnership arrangement. 	<ul style="list-style-type: none"> — The RPB could undertake analysis to understand whether benefit could be gained through the pooled funding approach versus individual spend. — Consider revisiting the pooled budget arrangements in light of the ADSS toolkit to help progress maturity — Consider the applicability of the ADSS toolkit to help progress maturity

Evaluation Framework: Summary & Conclusion

The key consideration for West Glamorgan RPB is in adopting physical pooling of funds, along with agreeing a list of tangible goals in a prioritised manner to achieve their desired outcomes.



West Wales

Overview



- West Wales have adopted a virtual pooled fund. They are not physically pooling their funding. They have utilised financial, commissioning, and market intelligence across the RPB to inform their strategic decisions in relation to care homes. This has achieved a number of initial outcomes as outlined within the report. They intend to further develop joint commissioning and quality assurance.
- As West Wales has not physically pooled their budgets it will be useful to track progress of West Wales against those (such as Cwm Taf Morgannwg) who have physically pooled budgets to assess their outcomes. West Wales were keen to understand the progress that other RPBs have made, and this sharing of information across Wales, may influence future decisions in relation to the structure of their funds.

Key RPB members



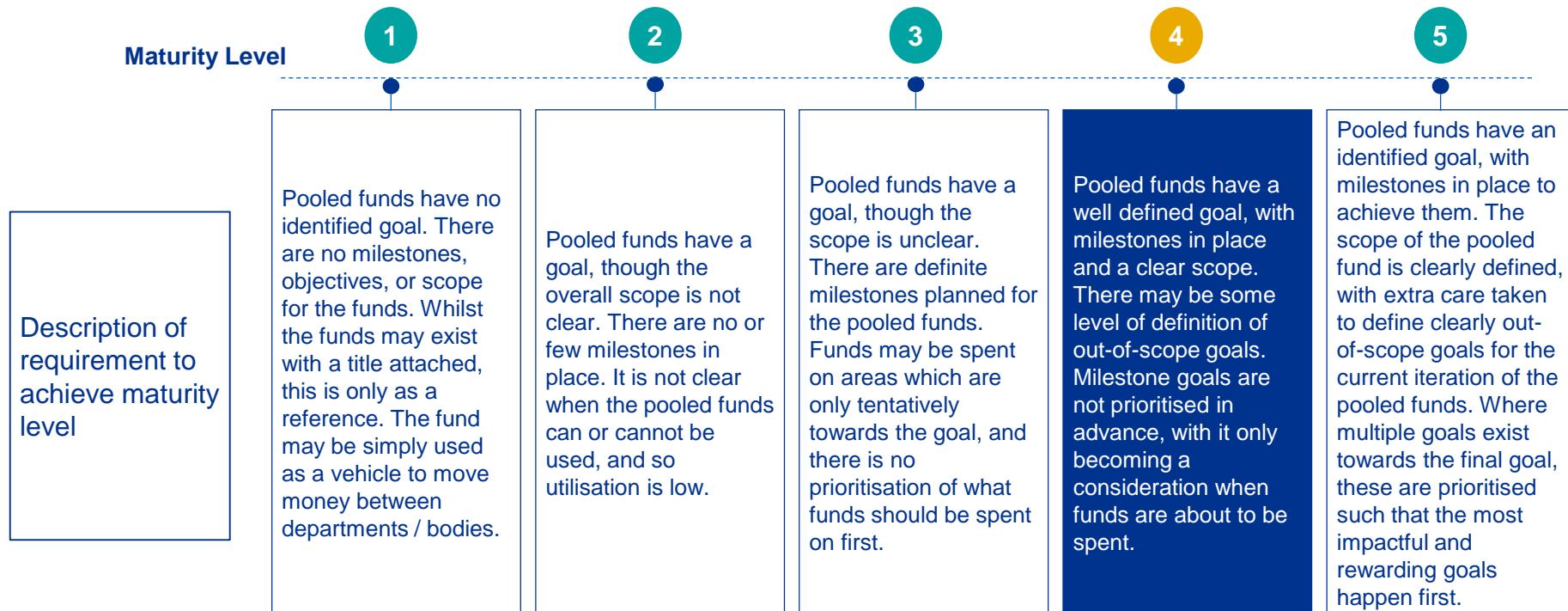
- Carmarthenshire County Council
- Ceredigion County Council
- Pembrokeshire County Council
- Hywel Dda University Health Board

Engaged officers



- Jake Morgan (Director Social Services, Carmarthenshire County Council)
- Jill Paterson (Director Primary Care, Community, and Long Term Care, Hywel Dda University Health Board)
- Chris Harrison (Head of Integrated Commissioning for Carmarthenshire and Pembrokeshire County Councils)
- Martyn Palfreman (Head of Regional Collaboration)
- Kevin Pett (Pooled Fund Lead for WWCP)
- Cllr. Jane Tremlett (Executive Board Member – Social Care & Health, Carmarthenshire County Council)

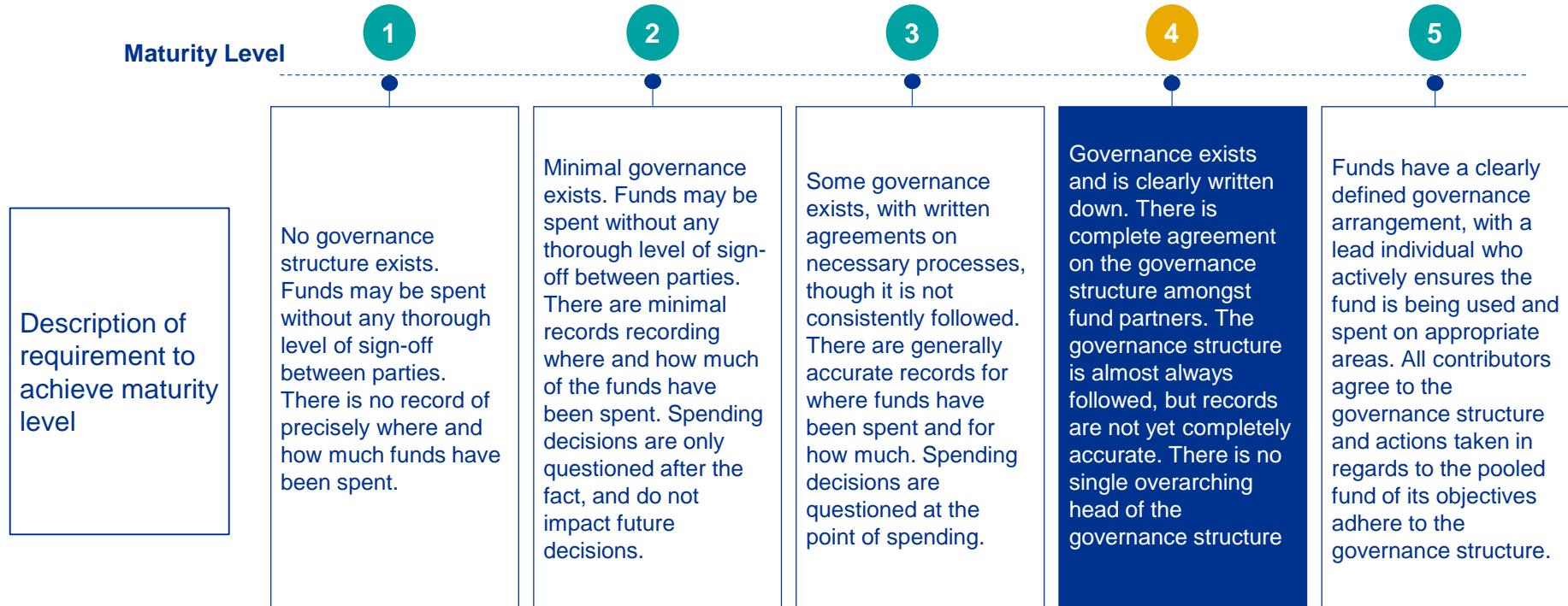
Evaluation Framework: Purpose & scope of pooled funds



Evaluation Framework: Purpose & scope of pooled funds

Evidence	Summary	Recommendations for consideration
RPB meeting 7th October 2019	<ul style="list-style-type: none"> — The RPB stated that the partners of the West Wales RPB have a legacy of pooling budgets and utilising section 33 agreements between partner organisations, for example, the joint equipment store. — The members of the RPB stated that they considered the legislation and made a decision to create a virtual pooled budget to achieve the spirit of what was intended in the legislation. — They stated that they felt that this arrangement is working well for all parties and there are already a number of benefits. — The RPB members outlined the complexity of this part of the care model. This is compounded by the geography and size of the region, the markets and differences in the rates. — The RPB stated that there are a number of issues which still need to be resolved in relation to the pooling of funds including: <ul style="list-style-type: none"> — How accruals are managed — How debt write off is factored — Local authorities are paid in arrears, and if they were to physically pool funds, this would need to be paid up front. — How is means testing taken into account? 	<ul style="list-style-type: none"> — Welsh Government have indicated that the intention of the legislation was for budgets to be physically shared, as such the RPB could consider working through the process of physically pooling their funds and financial risk sharing to support a more integrated service — Consider revisiting the pooled budget arrangements in light of the ADSS toolkit to help progress maturity of the fund.
Desk top review – (1.1) Core Pooled Funding Agreement – (1.9) Operational Policy Document	<ul style="list-style-type: none"> — The core Pooled Funding Arrangements document (1.1) explains the overall scope and progress. — The Operational Policy document (1.9) outlines the overall goal “concerning care homes for older people, with further work being undertaken during this period to consider the full range of adult care home functions within the region.” It also states “It is envisaged that ever-closer financial arrangements between Health and Social Care partners will remove barriers and promote improved operational arrangements and lead to enhanced outcomes.” — The Operational Policy document continues in sections 5 and 6 to break down the goals and intended outcomes, with section 9 expanding on the limitations. Sections 15 and 16 set out review timelines and future development objectives, with section 17 providing a view of the pathway for a service user benefiting from the pooled funds. 	

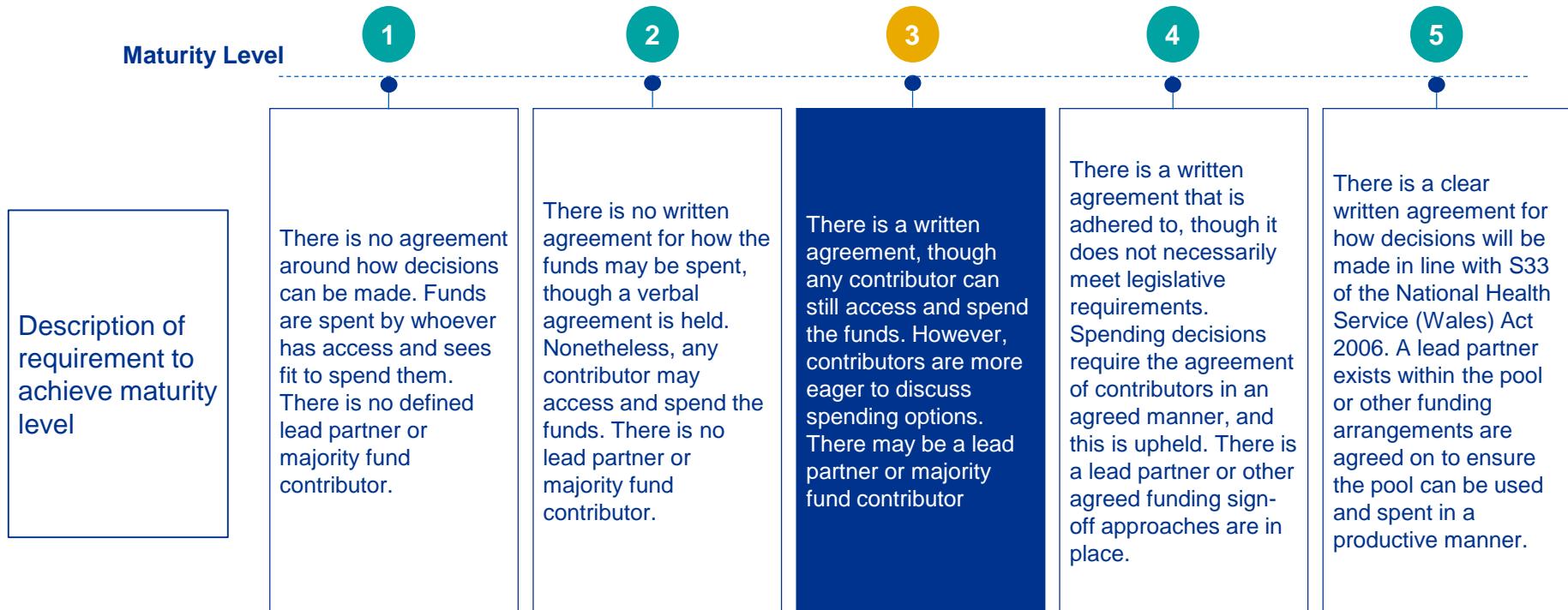
Evaluation Framework: Fund governance arrangements



Evaluation Framework: Fund governance arrangements

Evidence	Summary	Recommendations for consideration
RPB meeting 7th October 2019	<ul style="list-style-type: none"> — The RPB stated that governance structure has evolved. The RPB originally had a governance structure that was in place up until the early part of 2019, which included the Service Integration and Pooled Funds Programme Group. This Group oversaw the detail as the RPB established the virtual pooled fund. Under the new governance arrangements the pooled funds work will be taken forward through the Commissioning Programme Group. This reports via the Integrated Executive Group to the RPB. The Integrated Executive Group, is made up of the 3 directors of Social Services and Health Board Directors. — The RPB stated that when decisions need to be made, the group comes to a collaborative understanding and consensus. The Directors of Social Services use their delegated authority where appropriate. Where decisions need to be made outside of this scope, they are then referred back to the relevant organisation to proceed through their governance structures. — Due to the fact that the pooled fund is virtual, there is currently no lead partner. 	<ul style="list-style-type: none"> — As the RPB increases its maturity in relation to governance arrangements it could: — consider the most appropriate mechanism for questioning spending decisions. — consider designating a pooled fund manager to help drive forward developments and maximising benefits. It could be useful to reflect on how the other RPBs are using this role.
Desk top review <ul style="list-style-type: none"> — (1.9) Operational Policy Document — (1.12) Final Agreement — (1.1) 26 March 2018 Executive Board Minutes 	<ul style="list-style-type: none"> — Currently and as outlined in the final agreement (1.12) provided, it appears that fund contributors are accountable for their own contributions only, with no consideration given to the overall spending itself. 	<ul style="list-style-type: none"> — The ADSS toolkit has an advice note in relation to Governance which may help to progress maturity in this area.

Evaluation Framework: How decisions are made around the funds use



Evaluation Framework: How decisions are made around the funds use

Evidence	Summary	Recommendations for consideration
RPB meeting 7th October 2019	<ul style="list-style-type: none"> — As West Wales operates a virtual pooled fund, there is no single pot of funding. — The RPB stated that they have sight of all partner organisation's expenditure. The RPB felt that this has allowed them to be more commercial in relation to how they commission services. They felt that this then has a knock on benefit in relation to the total level of resource. — The RPB stated that as all partners have sight over the numbers, they have been able to share intelligence in relation to preventative activities and demand management. This has enabled them to share knowledge and best practice across the region. 	<ul style="list-style-type: none"> — The ADSS toolkit has advice in relation to this element which may help progress maturity in this area.

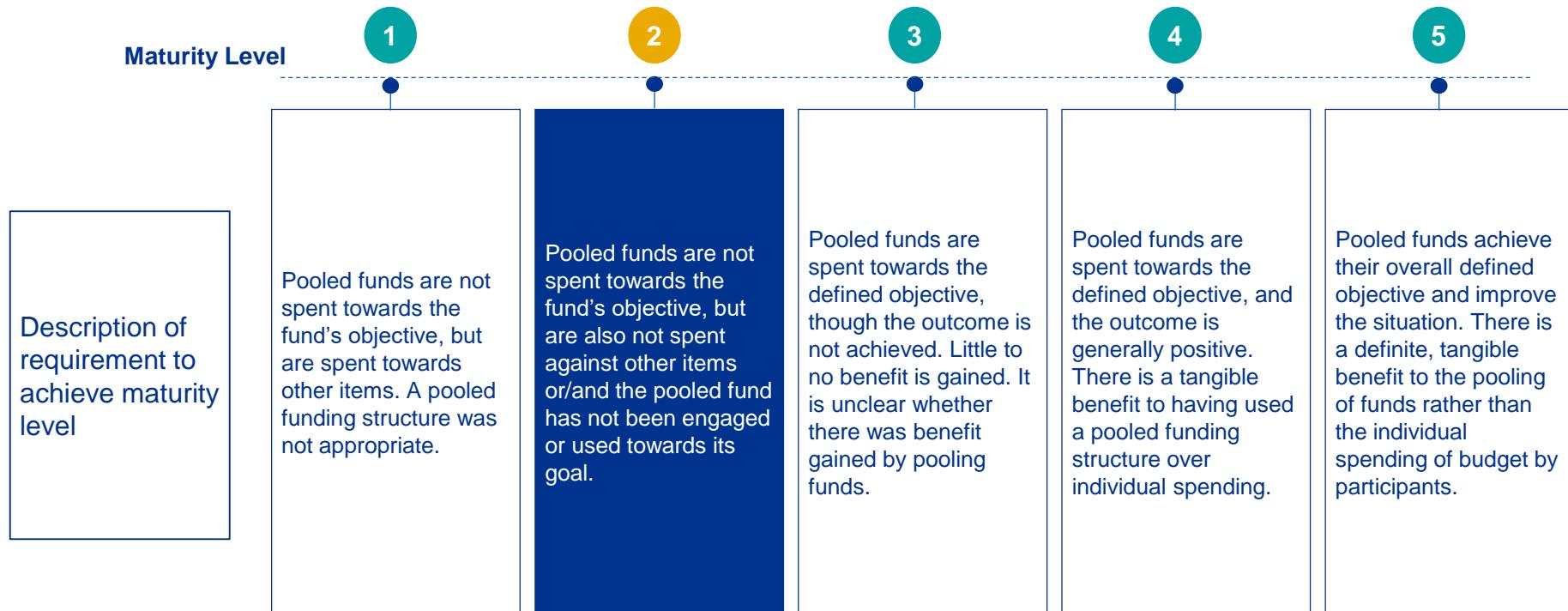
Evaluation Framework: How the pooled fund's risk is shared

Maturity Level	1	2	3	4	5
Description of requirement to achieve maturity level	There is no risk sharing structure and no recording of risks or/and no physical pooling of funds.	There is no formal risk sharing structure. When a risk is realised, action is taken to highlight it but nothing more. It may or may not be recorded, and mitigations are not planned for.	There is a basic written or verbal risk sharing agreement between fund contributors. Risks are identified ahead of time and recorded, though responses are not necessarily planned. The risk register is not actively reviewed, instead only being checked when a new risk is to be added.	There is a written risk sharing agreement between fund contributors which allows risk to mostly be shared appropriately. Risk mitigations are prepared in isolation from other contributors, though all risks are recorded in a risk register. The register is actively maintained and updated as new information arrives.	A risk sharing structure exists between contributors that allows risk to be shared appropriately as money is spent. This is a written agreement which all contributors sign on to. Risk mitigations exist and are accountable to individual contributors. Risks are recorded within a risk register, which is actively maintained by members of the fund.

Evaluation Framework: How the pooled fund's risk is shared

Evidence	Summary	Recommendations for consideration
RPB meeting 7th October 2019	<ul style="list-style-type: none"> — Due to the geography and volatility of the market, the RPB members feel that they are now able to better share the risk of managing the sector. — As it is a virtual budget, the RPB are not sharing the risk / rewards of under and over spends. 	<p>As the fund develops the RPB may wish to consider:</p> <ul style="list-style-type: none"> • working through the process of physically pooling funds and financial risk sharing to support a more integrated service • how risks could be identified ahead of time, recorded and mitigating actions agreed. • The applicability of the ADSS toolkit to help progress maturity

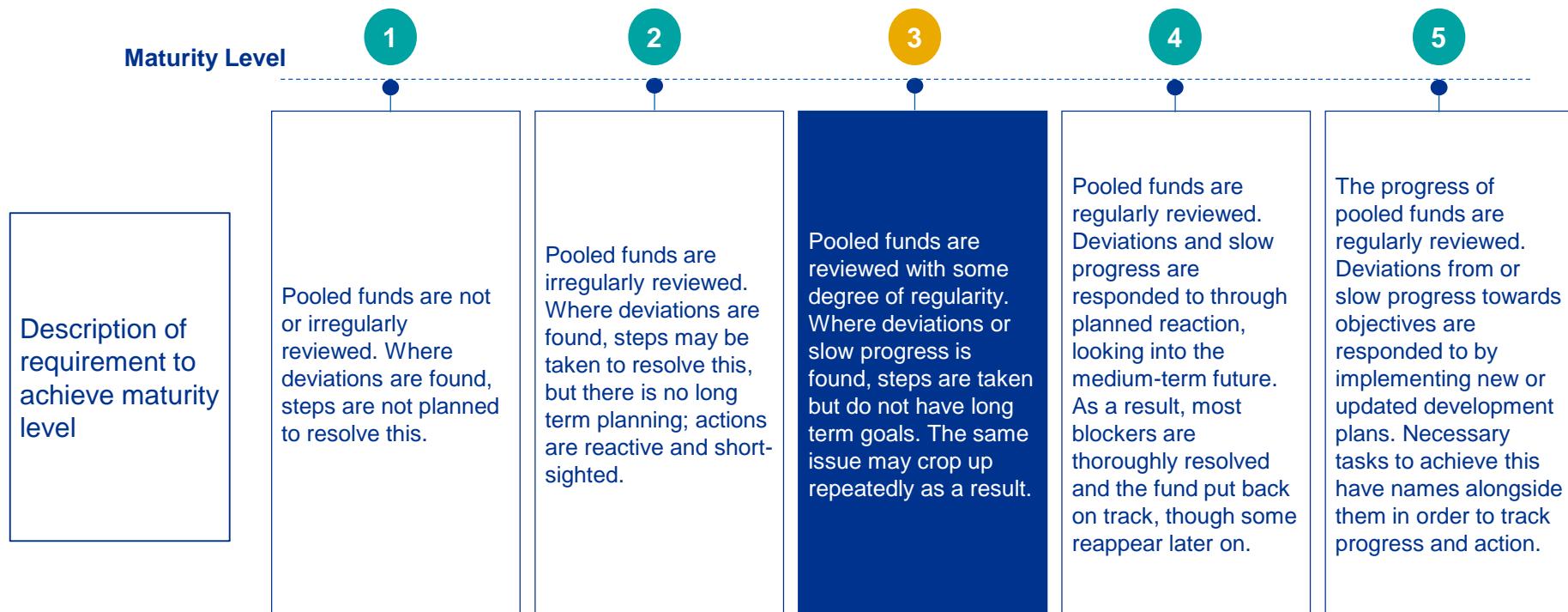
Evaluation Framework: Initial outcomes of pooled funds



Evaluation Framework: Initial outcomes of pooled funds

Evidence	Summary	Recommendations for consideration
RPB meeting 7th October 2019	<p>The RPB members spoke about some of the initial outcomes.</p> <ul style="list-style-type: none"> – Commissioning benefits - The RPB stated that the main benefit and outcome of the virtual pooled fund to date is the commissioning benefits. They want to develop and build on the joint commissioning arrangements. – Data driven decisions - The RPB stated that they now have sight of the trends and can analyse the data across the region. This will help inform strategic decisions moving forward. They stated that they are also able to share intelligence and have a joint conversation with partners. – Pre-placement agreement - They now have a standard draft pre-placement agreement (PPA). The PPA is the underlying contract each of the partner organisations have with care home providers. The PPA covers terms and conditions, specifications and schedules. It is designed for use by each of the partners. At the moment, each organisation has a separate contract, which the RPB stated can be confusing, particularly for providers. – Fee setting – The RPB is adopting same methodology in relation to the fee setting. The RPB stated that this approach will also help support market stability (i.e., ensuring fees support sustainable provision). It is anticipated that fees will not initially be the same, due to local considerations (e.g., staffing costs may vary), but harmonisation across the Region may be possible over time. – Improved service delivery - The RPB stated that the pooled fund dataset and the exercise undertaken by the Welsh Institute of Health and Social Care has generated discussion and lines of enquiry relevant to achieving improved service delivery across the Region, picking up good practice. Proposals are being developed, but may well include work on: how carers can most effectively be supported (forestalling need for residential care) and how double-handed care visits can be reduced (e.g., through technology or equipment). – Placement Portal - https://findaplace.wales/ This portal incorporates a search facility for older adult care home placements in west Wales. It is also a portal for care home providers and is used for gathering contractually-required management information, as well as being a portal for providers to give information about who is in their homes (ensuring correct payment by the partner organisations). Information is 'provided once, used many times' avoiding a duplication of process (the site supersedes the different arrangements of each organisation). 	<ul style="list-style-type: none"> — Consider developing measures to track whether the fund is achieving its goals. — Revisit the pooled budget arrangements. The ADSS toolkit may help progress this.

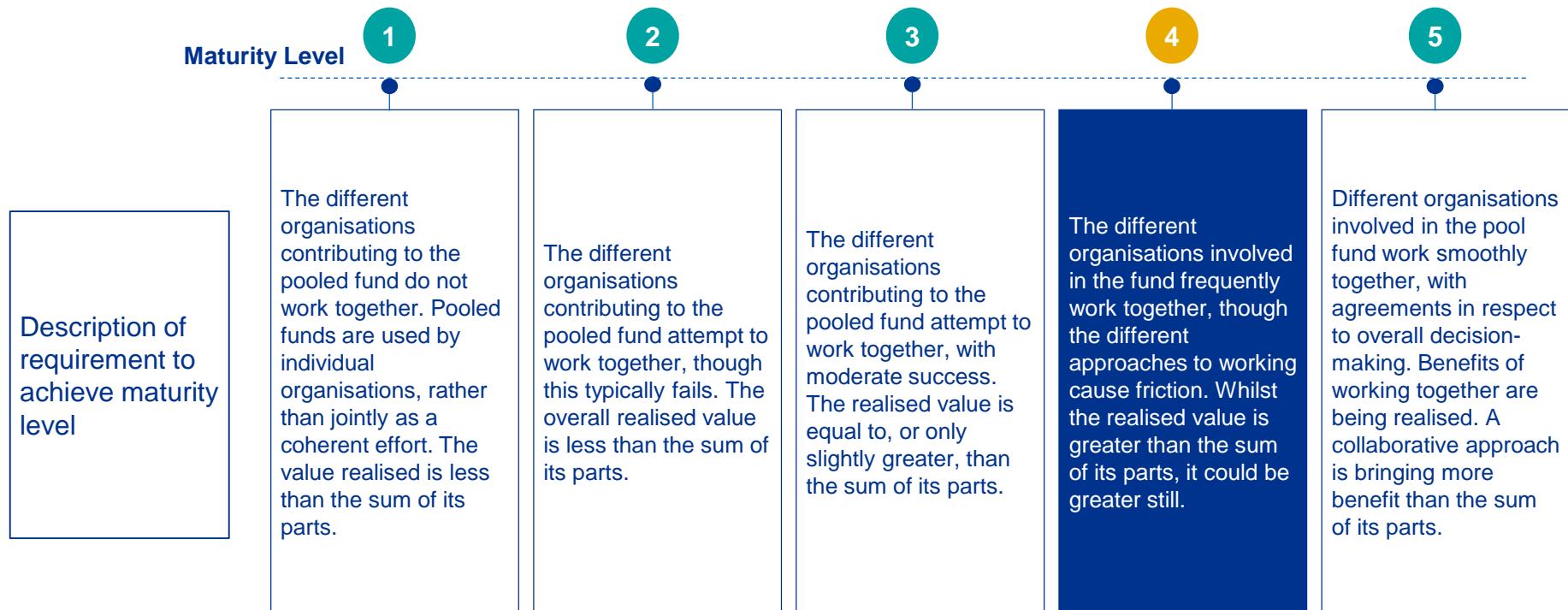
Evaluation Framework: Future Development



Evaluation Framework: Future Development

Evidence	Summary	Recommendations for consideration
RPB meeting 7th October 2019	<p>From speaking to the RPB members, they wish to:</p> <ul style="list-style-type: none"> – Develop their joint commissioning and joint quality assurance. – Keep analysing the data and convert to intelligence to inform future strategic decision making, especially around the wider service model. – Continue to pull together processes and procedures. 	<ul style="list-style-type: none"> — Consider the applicability of the ADSS toolkit to help progress maturity. — Consider reviewing and identifying new goals for the fund in line with its overall development and maturity.
<p>Desk top review</p> <ul style="list-style-type: none"> – (1.3) Performance Data – (1.5) Q1&2 Report (19 September 18) – (1.5) All Reports 	<p>As stated within the performance report (1.3), reviews are conducted on a quarterly basis,</p>	

Evaluation Framework: Collaboration

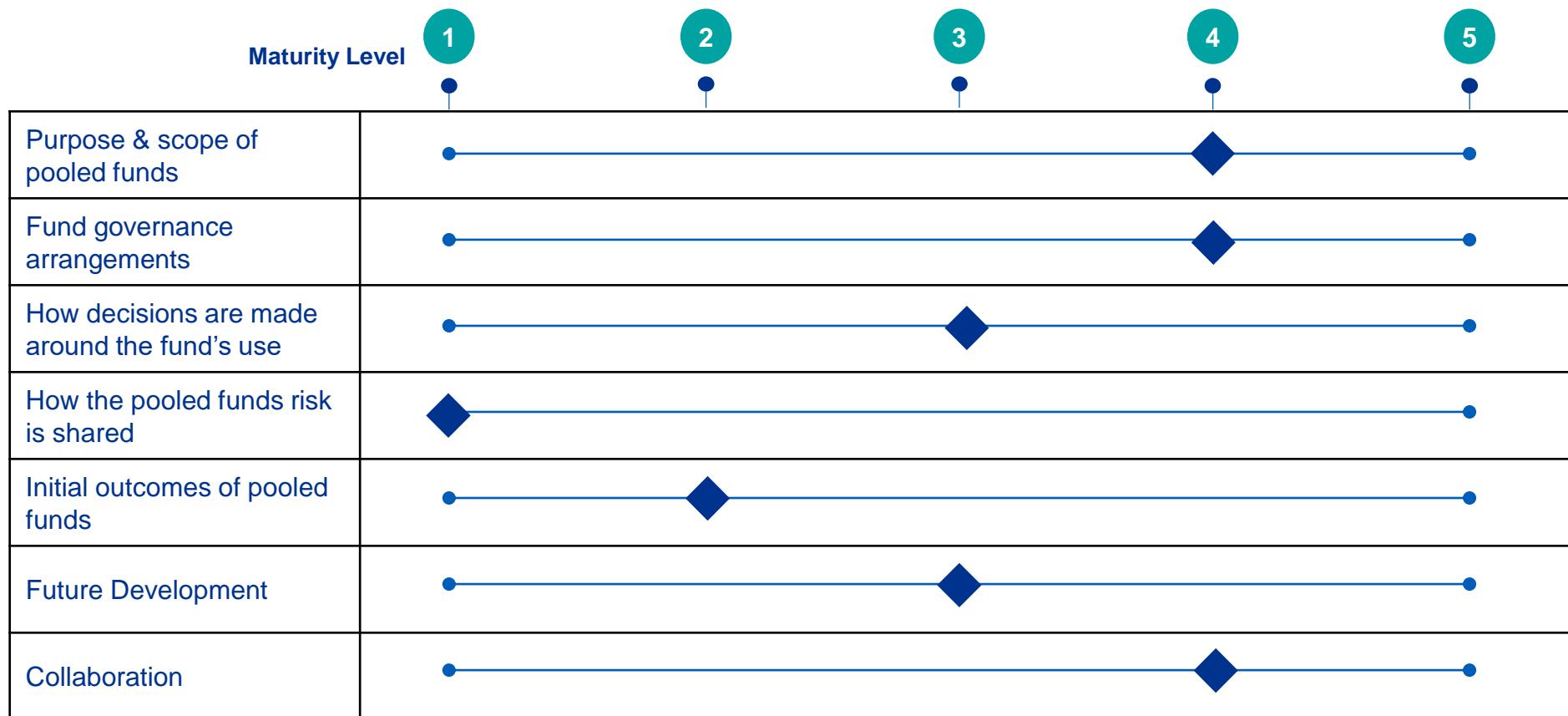


Evaluation Framework: Collaboration

Evidence	Summary	Recommendations for consideration
RPB meeting 7 th October 2019	<ul style="list-style-type: none"> — The RPB members stated that discussions have been robust and constructive. — The pooled fund meeting was well attended by stakeholders and during the discussion there was consensus on direction of travel and alignment of purpose. 	<ul style="list-style-type: none"> — From the discussion with the RPB, there have been benefits to joint working. Welsh Government have indicated that the intention of the legislation was for budgets to be physically shared, as such the RPB could consider working through the process of physically pooling their funds and financial risk sharing to support a more integrated service.
Desk top review – (1.3) Performance Data – (1.9) Operational Policy Document	<ul style="list-style-type: none"> — As part of the Operational Policy document (1.9), the following goal is stated “It is envisaged that ever-closer financial arrangements between Health and Social Care partners will remove barriers and promote improved operational arrangements and lead to enhanced outcomes.”. 	

Evaluation Framework: Summary & Conclusion

The key areas where West Wales could progress their maturity is in relation to the fund's decision making, risk sharing and initial outcomes. Welsh Government have indicated that the intention of the legislation was for budgets to be physically shared. Therefore, should the RPB consider working through the process of physically pooling their funds, this would progress maturity in these areas.



References

References

- The documentation for the desktop review was agreed with Welsh Government.
- Requests for this agreed documentation were sent to each of the Regional Partnership Boards (RPBs) on 8th August 2019.
- The documentation was then provided by each of the RPBs to evidence the progress made towards these specific pooled budgets and their current operational practice. Majority of the documentation was received by 19 September 2019 with a few being provided following meetings with the RPB.
- The following pages identify the various documents requested by the RPBs for the desktop review which was completed in September 2019.
- Every document received has been classified against the requested categories 1.1 – 1.12, see overleaf for classifications.
- Powys RPB provided notes of two additional for a, which were classified as 1.13 and 1.14.
- The following pages provide a record of the documentation received from each of the RPBs.
- If the RPBs provided comments against some of the categories in place of documents, these have been included and identified as ‘as per information received’.
- The evidence column in the individual reports cross references these documents to this section. See below.

Evidence	Summary	Recommendations for consideration
<ul style="list-style-type: none">• Includes reference to the documentation requested, applicable for each Key Area		

- Welsh Government also identified a number of additional documents they wanted to provide to the review team. These documents were received from 25 July 2019. Every document received has been classified against the following categories 2.1 – 2.4, see overleaf for classifications

To complete the review, the documents provided for the desktop review were supplemented with one meeting with each RPB. The RPBs selected the key stakeholders for this meeting, to provide additional information to assist the overall assessment. Additional documentation could be provided at this meeting. Where this happened, it has been included as evidence also.

Data Requested

Information	Ref	Data
Agreement documentation	1.1	Section 33 (S33) agreement documentation for all pooled funds by financial year including scope, contributions, any risk share/ reporting etc.
Agreement Variations	1.2	Details of any variations in the funding and use of the s.33 agreement between local authorities and the health boards across the RPB
Performance data	1.3	Performance data for pooled funds relating to care home accommodations for older people >65 years e.g. reductions or increase in delays from care plan agreed to provision in place
RPB minutes/ notes for evidence of approvals/ delivery/ actions	1.4	Notes or minutes relevant to care home pooled budgets relating to care home accommodations for older people >65 years from the later of inception or 18/19 to date
Sub-committee or workstream meetings/ notes for evidence of approvals/ delivery/ actions	1.5	Notes or minutes relevant to care home pooled budgets relating to care home accommodations for older people >65 years from the later of inception or 18/19 to date
RPB meeting dates	1.6	Dates of the RPB meetings for August/ September
Special reports	1.7	Any reports undertaken by individual organisations or WG or Audit on any of the care home pooled budgets relating to care home accommodations for older people >65 years
Monthly accounts and returns	1.8	Account statement - monthly and monthly returns/ reports for pooled budgets by RPBs relating to care home accommodations for older people >65 years
Business / finance/workforce plans	1.9	Business or operational/ finance/ workforce plans underpinning the care home pooled budgets relating to care home accommodations for older people >65 years
Outcomes	1.10	Any outcomes data/ reports for care home accommodations for older people >65 years
Future plans	1.11	Future plans for each of the pooled fund agreements relating to care home accommodation for older people (>65years)
Management structure for the pooled fund and workforce	1.12	Management structure of pooled fund relating to care home accommodations for older people >65 years, and team roles, disciplines, hybrid/new roles (anonymised) . Vacancies highlighted and for how long.
Minutes of Joint Partnership Board (JPB) meetings	1.13	Minutes of JPB meetings
Minutes of S33 meetings	1.14	Minutes of meetings of S.33 Operational group since April 2018

Data Requested

Information	Ref	Data
ADSS toolkit	2.1	ADSSC Work stream Report 2 and Appendix 2 and Work stream 3 Appendix 1 provided by Welsh Government
Maturity assessment	2.2	Draft maturity assessment report provided by Welsh Government
Reports/ Data	2.3	Reports and summary data provided by Welsh Government on pooled budgets for care home accommodation functions
Policy/ procedures	2.4	Policy and procedures for commissioning individual service user care plan provision through the pooled budget provided by Welsh Government

Cardiff and Vale of Glamorgan

Ref	Information	Documents		
1.1	Agreement Documentation	- Deed of extension pooled fund.doc	- Final (unsigned) partnership agreement	
1.2	Agreement Variations	- As per information received: "Cardiff and the Vale region did not utilise a section 33 agreement for the pooled fund"		
1.3	Performance data	- 1920Qtr1 DomRes Comissioning.doc		
1.4	RPB minutes/ notes for evidence of approvals/ delivery/ actions	- Item 2 3 Commissioning	- Item 2.1 RPB Draft Minutes 26.10.18	
1.5	Sub-committee or work stream meetings/ notes for evidence of approvals/ delivery/ actions	- Item 3.1 Pooled Budget Workshop Minutes - 090118 Joint Legal and Finance Meeting - 20170627 Finance Leads Working Group	- Action notes from 180917 Updated.doc - Finance 110517.docx - Item 2 1 Action notes from 170523.doc - Item 2 1 Action notes from 170725.doc - Item 2 1 Action notes from 171117.doc - Item 2 Action notes from 160822.pdf	- Item 2 Action notes from 161122.pdf - Item 2 Action notes from 170131 - Item 2.1 Action notes from 020218.doc - Item 2.1 Action notes from 170328.doc - Joint Legal Finance 051217 - Item 2.1 Action notes from 170427 - Joint Legal Finance o51217
1.6	RPB meeting dates (Aug, Sept)	- 24/09/19 - 22/10/19		
1.7	Special reports	- Joint commissioning and pooled budget for older cabinet report.pdf - 18-01-22 January 2018-Minutes.pdf	- Joint Commissioning and Pooled Budget for Older People Service.pdf - 19-03-04 Minutes.pdf - 1.4 CONFIRMED MINUTES OF FINANCE COMMITTEE 270219	

References

Cardiff and Vale of Glamorgan

Ref	Information	Documents
1.8	Monthly accounts and returns	- Pooled budget note for SOA 9.5.19
1.9	Business / finance/ workforce plans	- As per information received: "In Cardiff a comprehensive cost of care exercise has been undertaken which gives the usual costs of operating a care home in the City. In the Vale the Lets Agree to Agree toolkit has been undertaken which gives the usual costs of operating a care home in the County. Both local authorities have used different methodologies. However both methodologies provide a very detailed analysis of the actual costs of care home provision including workforce, building costs etc.."
1.10	Outcomes	- As per information received "Not available"
1.11	Future plans	- As per information received "No change"
1.12	Management structure for the pooled fund and workforce	- As per information received: "Management responsibility remains with individual partners, structure identified within agreement document. No hybrid/new roles required."

References

Cwm Taf Morgannwg

Ref	Information	Documents
1.1	Agreement Documentation	The Cwm Taf Care Home Accommodation Pooled Fund.pdf
1.2	Agreement Variations	Backing Docs for the review team 19.08.19.pdf Year End Summary of Actual Spend Vs Fund
1.3	Performance data	As per information received: "Within Cwm Taf Morgannwg there is not a distinction between over 65."
1.4	RPB minutes/ notes for evidence of approvals/ delivery/ actions	The Cwm Taf Care Home Accommodation Pooled Fund.pdf
1.5	Sub-committee or work stream meetings/ notes for evidence of approvals/ delivery/ actions	Cwm Taf Morgannwg Pooled Draft Minutes Care Home – 2.i Draft Minutes Care Home Accommodation 010818 Accommodation Management Board – 2.i Draft Minutes Care Home Accommodation April 2018 211118
1.6	RPB meeting dates (Aug,Sept)	19/09/19
1.7	Special reports	As per information received – "None"
1.8	Monthly accounts and returns	Draft Qtr 2 Report.xlsx
1.9	Business / finance/ workforce plans	No further documents received during the period of desktop review
1.10	Outcomes	As per information received : "Common Contract, Market position statements to be revised that will help shape the future care home market, Vacancies data readily available to help inform future direction of travel including review of in house provision to better meet needs." No further documents received during the period of desktop review

References

Cwm Taf Morgannwg

Ref	Information	Documents
1.11	Future plans	As per information received: "4 key actions are identified as forward work plan activities and they have been listed in the returned information but not included here"
1.12	Management structure for the pooled fund and workforce	As per information received: "Pooled funds hosted by RCTCBC. No additional management structure currently in place. This may need to be reviewed in light of the boundary change and future direction."

Ref	Information	Documents		
1.1	Agreement Documentation	- Draft Section 33 Agreement-Pooled Budgets for Older People in Care homes (V23) 26.03.19	- BB Joint Contract April 18-V5 with Third party amendments - PNA	- BB RPB Part 9 05 18 - Service Specification V7 Final - Amended Joint contract April 2019
1.2	Agreement Variations	No further documents received during the period of desktop review		
1.3	Performance data	- 1. Q3 Report – Gwent Leadership	- 6. Q2 Report – Gwent leadership Updated	- Year end 2018/19 – Gwent leadership - Updated
1.4	RPB minutes/ notes for evidence of approvals/ delivery/ actions	- 1.January 2018 RPB Report SSWBA Part 9 Section 33 Agreement 19.12.17 - 3.RPB Updated report March 2018 - Agenda January 2018RPBv1	- 6.RPB Meeting Minutes_12.07.18 - 6a. Commissioning update March 2019 - 8a. S33 RPB Update January 2019 - 9.RPB Meeting minutes_24 th January - Agenda March 2018 v2	- 9.RPB Meeting minutes_060318 - RPB Meeting Minutes_9 th May 2019v1 - 10.RPB meeting Minutes_14 th march 2019 v1 return - Agenda May 2018 final - Agenda July 2018 v2
1.5	Sub-committee or work stream meetings/ notes for evidence of approvals/ delivery/ actions	- Steering Group notes 18.04.18 Steering Group Notes 4.4.19 Steering group minutes – 23.08.18 Steering Group and Commissioning Task and Finish Joint Notes 5.2.19	- Steering Group Notes 08.01.19 - Steering Group minutes 24.07.18 - Steering Group Notes 13.06.18 - Steering Group Notes 22.03.18 - Steering Group notes 6.3.19	- Steering Group notes 16.05.18 - Steering Group Minutes 28.11.18 - Steering Group Notes 26.01.18 - Steering Group Minutes 20.09.18
1.6	RPB meeting dates (Aug,Sept)	No documents required		
1.7	Special reports	- 1.7 MPS - 2019		
1.8	Monthly accounts and returns	No further documents received during the period of desktop review		
1.9	Business / finance/ workforce plans	- Gwent Regional Fee Methodology V4	- Area Plan	

Ref	Information	Documents
1.10	Outcomes	<ul style="list-style-type: none">– RCG Programme Plan (v3) 23.05.2019– RCG Notes 3.09.19
1.11	Future plans	No further documents received during the period of desktop review
1.12	Management structure for the pooled fund and workforce	No further documents received during the period of desktop review

References

North Wales

Ref	Information	Documents		
1.1	Agreement Documentation	- 666185 – Integration Agreement FINAL SIGN OFF	- 706123 – ICF agreement - Carers Funding	- V0.10 October 2019 (draft unsigned) - Transformation programme
1.2	Agreement Variations	- As per information received: "No variations at present"		
1.3	Performance data	- Initial information submission August		
1.4	RPB minutes/ notes for evidence of approvals/ delivery/ actions	- Pooled Budget Project Team Minutes April 260417 - Pooled Budget regional Project Team 220817 - Pooled Budget regional Project Team 270217 - Pooled Budget regional Project Team 071118	- Pooled Budget regional Project Team 220817 - Pooled Budget regional Project Team 220317 - Pooled Budget regional Project Team 240517 - 3.4 Letter to the Minister- Actions being taken	- Pooled Budget regional Project Team 251017 - Pooled Budget regional Project Team 280917 - Pooled Budget regional Project Team 140218
1.5	Sub-committee or work stream meetings/ notes for evidence of approvals/ delivery/ actions	- CABINET AGENDA PACK 300719.pdf		
1.6	RPB meeting dates (Aug,Sept)	- 06/09/19		
1.7	Special reports	- CABINET AGENDA PACK 300719.pdf		
1.8	Monthly accounts and returns	- Initial information submission August		
1.9	Business / finance/ workforce plans	- No further documents received during the period of desktop review		

References

North Wales

Ref	Information	Documents
1.10	Outcomes	<ul style="list-style-type: none">- 2017 PPA Variations Agreement.pdf- 1st working draft adult PPA specification- Final OP care Homes Fees 2019- N Wales PPA. Local variations pdf.- N Wales Quality Management Procedures- QMT v1 2018.xlsx- Template N Wales PPA. CCBC example
1.11	Future plans	<ul style="list-style-type: none">- DCC Scanned doc
1.12	Management structure for the pooled fund and workforce	<ul style="list-style-type: none">- RPB Structure diagram 2.0 Final.pptx

Ref	Information	Documents
1.1	Agreement Documentation	- Signed S33- Care Home 2019_20.pdf - Section 33 – the Pooled Fund for Care Homes
1.2	Agreement Variations	- Plan CHC IRC Section 33.xlsx
1.3	Performance data	- 190802 – INTEGRATED PERFORMANCE
1.4	RPB minutes/ notes for evidence of approvals/ delivery/ actions	- Board_Item_2.30_Section33 Care Home - EC_item_1.2_Draft_Executive Team Minutes
1.5	Sub-committee or work stream meetings/ notes for evidence of approvals/ delivery/ actions	- 190809 – S33 WORKSHOP WRITE UP - 190528 – Section 33 Presentation - Agenda – Workshop 28.05.2019
1.6	RPB meeting dates (Aug,Sept)	- Doc 6. RPB Report on S33 Residential Care - RPB-Dec2018-Mid-term Review
1.7	Special reports	- Letter RPB re 2019_20 agreement - RPB report January 2019 DRAFT 2.1.docx
1.8	Monthly accounts and returns	- PTHB Finance August 2019.xlsx
1.9	Business / finance/ workforce plans	- 190620 – High Level Plan v0.4xlsx
1.10	Outcomes	- 190802 – INTEGRATED PERFORMANCE
1.11	Future plans	- As per information received: “A series of workshops have been scheduled to ensure future plans for the pooled fund agreement. A workshop was held in May (summary included above) and further workshops are scheduled for October and November.”

Ref	Information	Documents
1.12	Management structure for the pooled fund and workforce	- Op group management structure
1.13	Minutes of JPB meetings	<ul style="list-style-type: none"> - JPB minutes 2019 – 01 – 07 - JPB minutes 2018 – 07 – 19 - JPB minutes 2018 – 10 - 08 - JPB minutes 2019 – 03 – 21 - JPB minutes 2019 – 06 - 06
1.14	Minutes of meetings of S.33 operational group since April 2018	<ul style="list-style-type: none"> - Section 33 Ops Group mtg1 – notes - Draft S33 minutes 10.12.18 with MH am - Draft S33 Minutes 13.11.18 v1.0 - Section 33 minutes Mtg 3 July 2018 - Section 33 minutes Mtg 3 – July 2018 - Section 33 – minutes – Mtg 4 – July – 2018 - Section 33 Ops Group Mtg 1 – Notes - S33 Operational Group – Action tracker - Section 33 DRAFT minutes – Mtg5 - Section 33 minutes Mtg 4 – September - Draft S33 Minutes 13.11.18 v0.1 - Draft S33 Minutes 15.1.2019 - Section 33 15.02.19 Skype draft minutes - Section 33 28.3.19 Draft minutes2

West Glamorgan

Ref	Information	Documents
1.1	Agreement Documentation	<ul style="list-style-type: none"> - 1.2019 06 24 S33 AGREEMENT - 1.2019 06 24 schedule 1- THE SERVICES - 1. 2019 05 22 Schedule 2 – THE HEALTH BOARD AND COUNCIL FUNCTIONS - 1. 2019 05 22 Schedule 3 – RESOURCES FINANCE AND BUDGET SETTING - 1. 2019 06 24 Schedule 5 – ALIGNMENT OF EXPENDITURE - 1. 2019 05 22 Schedule 4 – GOVERNANCE
1.2	Agreement Variations	<ul style="list-style-type: none"> - As per information received: "No variations in funding"
1.3	Performance data	<ul style="list-style-type: none"> - 2. Residential Pooled Fund Performance Data
1.4	RPB minutes/ notes for evidence of approvals/ delivery/ actions	<ul style="list-style-type: none"> - 3. Pooled Fund Minutes
1.5	Sub-committee or work stream meetings/ notes for evidence of approvals/ delivery/ actions	<ul style="list-style-type: none"> - As in 1.4
1.6	RPB meeting dates (Aug,Sept)	<ul style="list-style-type: none"> - Meetings are quarterly (17/10/19)
1.7	Special reports	<ul style="list-style-type: none"> - 4. 2019 06 03 S33 Pooled Fund paper for cabinet
1.8	Monthly accounts and returns	<ul style="list-style-type: none"> - 5. Residential Pooled Fund Data
1.9	Business / finance/ workforce plans	No further documents received during the period of desktop review
1.10	Outcomes	No further documents received during the period of desktop review

References

West Glamorgan

Ref	Information	Documents
1.11	Future plans	<ul style="list-style-type: none">- 6. Western Bay Commissioning Strategy for Care Homes including appendices
1.12	Management structure for the pooled fund and workforce	<ul style="list-style-type: none">- As per information received: "Pooled fund Manager reports to the West Glamorgan Programme Director who then reports to Chair of Adults Board, Director or Social services, Swansea Council"

References

West Wales

Ref	Information	Documents
1.1	Agreement Documentation	<ul style="list-style-type: none"> - 1.1 Pooled funding arrangements for care homes August 2019 - WWCP – Summative Report-Final - (No value) Agreement (Mark up 14.11.18) - Carms Executive Board 180326
1.2	Agreement Variations	No further documents received during the period of desktop review
1.3	Performance data	<ul style="list-style-type: none"> - 1.3 report v2.0 181001
1.4	RPB minutes/ notes for evidence of approvals/ delivery/ actions	<ul style="list-style-type: none"> - 1.4 18-01-08 Summary Note and Action - 1.4 18-06-07 ITEM 3 – Draft Minutes 17-04-18
1.5	Sub-committee or work stream meetings/ notes for evidence of approvals/ delivery/ actions	<ul style="list-style-type: none"> - Cered cabinet 180329 - HDdUHN board 180329 - pembs cabinet 180319 - Q1&2 report v1.7 190919
1.6	RPB meeting dates (Aug, Sept)	No documents required
1.7	Special reports	No further documents received during the period of desktop review
1.8	Monthly accounts and returns	No further documents received during the period of desktop review
1.9	Business / finance/ workforce plans	<ul style="list-style-type: none"> - 1.9 Operational policy final
1.10	Outcomes	No further documents received during the period of desktop review
1.11	Future plans	<ul style="list-style-type: none"> - 1.11 19-05-02 ITEM 1 – SEB draft minutes 12 4 19
1.12	Management structure for the pooled fund and workforce	<ul style="list-style-type: none"> - 1.12 2019 VPF (OACH placements) 190710 - 1.12 VPF for older persons Care Home Services Agreement – (Final) as agreed

