

**Сприяння реформі соціальних послуг в Україні  
Facilitating Reform of Social Services in Ukraine**

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**FACILITATING REFORM OF SOCIAL SERVICES  
IN UKRAINE (FRSSU)**

Contract Number: CNTR 03 5289

**Needs led user focused social services and the further development  
of policies and concepts for Social Services Reform in Ukraine**

**POLICY RECOMMENDATIONS**

**Derived from**

**a series of Oblast and National Level Round Tables**

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Responsibility for the contents of this document lies with the Project Director and the authors.

# **Needs led user focused social services and the further development of policies and concepts for Social Services Reform in Ukraine**

## **Policy recommendations derived from a series of Oblast and National Level Round Tables**

### **Introduction**

In March 2007, a series of round table consultations were held at Oblast level in Khmelnytsky and Kharkiv, and subsequently at national level in Kyiv, focusing on issues related to the nature and implications of introducing and implementing the first major principle in the MoLSP Concept for the reform of social services, namely “Needs led user focused services”.

The key purpose of these consultations was to develop a set of coordinated recommendations:

- To see how, first:
  - the “user focus approach” can contribute to the development of a balance of service framework across all client groups within social services to seek a balance between residential institutions and community based and other forms of service provision in social services; in order to
  - demonstrate the utility of merging top down developmental concepts with bottom up realistic expressions of potentials and constraints to reform; and
  - to link these policy development processes with principles of good governance in reform of social services in a Ukrainian context.
  
- and, second:
  - to set out the practical implementational consequences of the user focused approach in terms of implementation of policies; and
  - how best to promote these recommendations among the key decision-makers in the Government of Ukraine.

These discussions were based primarily on two outputs of the FRSSU project:

- “A Summary of Potential Approaches to ‘User Focused’ Case Management Social Service Provision in Ukraine in Support of the Implementation of MoLSP’s Concept for the Reform of Social Services”; and
- “Good Governance and Integrity in Social Service Transition and Reform: A working self evaluation tool”

These outputs had previously been widely circulated as an introduction to discussions.

The key output of this set of meetings is the following brief summary of practical policy recommendations.

### **Recommendations**

#### **1. Improvement of current legislation:**

- to facilitate the procedure of using budget funds in both community and residential institutions, with local institutional discretion, in order to meet individual needs of each service user;
- to ensure the possibility of flexible planning of using budget funds by public institutions that provide social services by approving delegated budget levels of responsibility to assist in the

allocation of resources to ensure that the money follows the client and tailored packages of care can be provided;

- to develop and approve the procedure of assessment of needs for community-based social services using a variety of methods including, community mapping and recording unmet assessed needs ;
- to enable NGOs' involvement in social service delivery locally, in particular in contributing to an assessment of service users' needs as part of a local strategic social services plan and in helping define the priority needs of vulnerable groups;
- to ensure the introduction of modern social analysis techniques, methods of service provision, and needs assessment tools;
- to introduce clearly – gradually and without discouraging innovation and diversified service provision - defined procedures for licensing social services providers, based on national minimum standards of social services quality; and in addition
- further clarify, within social service provision:
  - who is responsible for what, e.g. Responsibilities of public administration: assessing, planning; licensing; quality standard development; commissioning; contracting; quality control.
  - Who is eligible to provide services?
  - What qualifications at what level of service delivery? and
  - How to ensure licensed providers can deliver services as close to the client as possible?;

## **2. Informing social services providers and users:**

to provide profound information for all agents of social services sector at national and local levels in particular to inform about changes in legislation relating to providing or reforming social service as there is a general lack of information, which causes difficulties for workers and which leads to a sense of uncertainty and concern over the proposed reforms, including worries over additional work loads of staff to help the process become a reality. This stems from a lack of knowledge and understanding regarding the MoLSP Concept, indicating the need for Ministries to communicate more efficiently with Oblast, City and Rayon administration staff;

- to guarantee people's access to laws, documents of line ministries, establishments institutions and the services that are available and to which clients are entitled to, in language which can be easily understood by all clients whatever their ability so that clients can start to make informed decisions regarding their own care needs with or without specialist social work help;
- to develop and provide maintenance of an open and available database of social services providers (both public and private) in every region.

## **3. Improvement of the social policy system through its decentralisation:**

- to provide local bodies of executive power with the right to define the priorities of local social development to meet locally assessed needs, to approve additional quality standards for social services that are not covered by national standards;
- to develop methods of community needs assessment with contributions from and participation of local experts, NGOs and service users;
- to introduce local social services planning, based on community needs assessment;
- to initiate the process of reform of social services from local level.

## **4. Comments on the implementation of the MoLSP's Concept:**

- to ensure improvement of social services provision for each service user, as a priority, taking into consideration local and international best practice;
- while reforming large residential institutions, to ensure there is a continuity of the process of providing quality social services to the clients of these institutions.

## **5. Improving the quality of state management in social services provision:**

- introduce a 'joined up', integrated approach to social service management which involves all departments involved in the provision of social services at all levels of government;
- to cancel the provision of similar services by different public institutions;
- to ensure a democratic style of decision-making in public institutions that provide social services.

## **6. The status, responsibility and qualification of the social sector workers:**

- to make it clear that all public administration personnel have a duty to help the reform process;
- to develop and implement moral principles of social services provision, make them accessible to clients to ensure that all professional specialists and social care workers treat all clients with humanity and warmth - they should be receptive, attentive, caring and welcoming;
- to set out guidelines so that Oblast, City and Rayons produce a standardised assessment and co-ordinated approach to ensure services are tailored to meet clients needs, ensuring that representatives from the various departments/organisations offering help and support, co-operate in providing the client with a comprehensive supportive care plan;
- to introduce a system of assessing the quality of provided services that is clear, responsible, and accessible to clients.
- To make it clear that all staff, whether public sector or NGO, should adopt an approach that is enabling, encouraging the client to contribute to the solution of their own problems;
- to guarantee proper qualification and proficiency of the social sector workers by recognising the need to retrain existing staff to help them implement the proposed reforms. Suggestions included:
  - specialist training and skill development;
  - a set of guidance or tools 'a code' of what to do;
  - supervision including workload management and support; and
  - workers kept informed throughout the process.

## **7. The market of social services providers:**

- clarification is needed regarding the scope and responsibilities concerning the proposed social service 'market' including the budgetary reform necessary to assist the intended changes;
- to specify the list of social services for service users guaranteed by the state;
- to introduce a system of compensation for service users for the services they cannot receive in their place of residence;
- to provide equal conditions for access to budget funds for different social services providers (public institutions, NGOs, natural person);
- to cancel direct (not tender-based) funding of NGOs that are social services providers; to introduce transparent distribution of budget funds;
- to promote social services commissioning by corresponding local governments;
- to introduce public control over use of budget funds.

## **8. Practical comments on some aspects of social policy:**

- to revise the current "service led" approach to the social sector, within which a person is taken for a passive service recipient;
- to charge all executive power bodies with the task of considering the principle of "barrier-free environment" while commissioning public buildings;
- to popularise equal value of conditionally healthy and disabled people;
- to provide disabled people with equal rights and opportunities in getting education and employment;
- to take special measures against discrimination and stigmatisation of disabled people.

**Annex 1.**  
**Draft for Discussion**

**A SUMMARY OF POTENTIAL APPROACHES TO  
'USER FOCUSED' CASE MANAGEMENT SOCIAL SERVICE PROVISION IN UKRAINE**

**Acknowledgements**

This paper is built up from the series of seminars facilitated by Bob Milne and the local FRSSU teams in Kharkiv and Khmelnytsky including Irina Tchernyshova, Tatyana Chernetska, Roman Sheyko, Anastasiya Shklovets, Lyudmila Burtnyk, Inna Burkyakovska, Nataliya Karachun and Katerina Savchuk.

It is based on the contributions of the seminar participants (listed in the annexes) and is therefore a truly consultative, practitioner based analysis and set of recommendations.

The paper is now under circulation to all seminar participants for their comments and approval. It will then, subject to all comments being considered, be presented to MoLSP and other national level stakeholders in a further round of discussion. This will be with a view to:

- Enhancing the principles and policy development embodied in the MoLSP's "Concept for the reform of social services"; and
- To be the basis for guidance (as against legislation) in the practice of implementation of the Concept for reform and the Law of Social Services"

All participants are gratefully thanked for their contribution to this "bottom up" policy enhancement process.

## **Draft for Discussion**

### **A Summary of Potential Approaches to 'User Focused' Case Management Social Service Provision in Ukraine**

#### **EXECUTIVE SUMMARY**

##### **Discussion Paper Based on Workshops**

##### **Introduction**

###### *Project Assessment of Strengths and Weaknesses of the Existing System*

The Ministry of Labour and Social Policy (MoLSP) Concept for the Reform of Social Services points out that, quote:

“Strengthening social services is ..... centred around the protection of the constitutional rights and liberties of people, respect for the dignity of each person ... The centralized approach to service provision planning and institutional development generates a system that is resource-led rather than needs-led. Such an approach does not seek to satisfy individual client needs or engage service users and those representing their interests to service planning and quality control”.

The Concept puts forward a framework for reform that “will be achieved though enhancing the targeting of social services, better matching them to meet the needs of recipients, improving the quality of services and refining the system of intergovernmental fiscal relations ..... emphasising the needs and interests of service recipients, and needs-led service provision”. This, says the Concept, should be achieved through the introduction of the mandatory assessment of individual recipient’s needs, by drawing up and implementing individual care plans and allocating resources to commission the services that meet targeting criteria, match the demand-driven level of service provision and take account of the client's preferences as to the "who" and "where" of service delivery. This will be combined with a process of decentralisation of social services.

The purpose of this paper is to underpin the further development and implementation of the Ministry Concept.

###### *The Consequences and Technical Development of the User Focussed approach*

The approach is to draw from EU best practice, in adopting a ‘user led or client focused’ approach to:

- create a more equally balanced partnership between service users and social workers by providing the opportunity of the person seeking support to contribute to decisions that will affect his/her life;
- provide a range of choices, which the user/client and social worker consider and agree which are the best options to pursue in overcoming the persons assessed individual need; and can
- by being specifically tailored to Ukraine, achieve better joint working between organisations through a clarification of roles and responsibilities.

FRSSU undertook to: ‘support improvement of the direct interface between service providers and service users, including training and capacity building for:

- *Case management* – the assessment of individual needs and the building of service packages designed to meet those needs; and
- *User focus* – the centring of all service development and delivery upon the defined needs and views of users of services, based on asking rather than assuming knowledge of their views.’

This resulted in a series of participative workshops in the FRSSU project pilot areas. The outcomes from the series of 'capacity building' workshops form the basis for the analysis and recommendations contained in this paper.

The discussions suggest a number of possible alternative approaches specifically developed for Ukraine, to develop user focused social services. They are evolutionary and whilst they could soon be initiated in the context of Rayon, Municipal, city and oblast strategies developed in partnership by FRSSU, implementation stretches well into the future.

It is key that user focused services are seen – by all involved throughout the workshop series - as a key component to reforming Social Services in the Ukraine. Thus local opinion fits well with the MoLSP developed Concept.

### **Definition and Methodology**

The paper defines concepts, looks at the evolution of a user focussed approach, gives EU examples, links user focus to decentralisation, efficiency and standards and adopts – as a result of stakeholder inputs - five main principles to facilitate this 'user led/client based' approach. These are:

- ensuring and maintaining independence by enabling people to live in the community whenever possible;
- working to prevent or minimise the effect of disability and illness in people of all ages;
- treating those people who need services with respect and providing equal opportunities to all;
- promoting individual choice and self-determination by building on existing strengths; and
- encouraging partnership between service user, carers and providers of services

### ***Processes and Methodologies***

A 'user led or focused' approach has three distinct processes: assessment; design of a plan of action for each individual person seeking support; and implementation and monitoring.

### **Aims of the Paper and the Processes Involved**

The aim of the paper is to assist local social service planners and providers, within MoLSP's Concept for the reform of social services, to:

'Develop user led approaches that provide models for future service assessment and delivery for professional and administrative staff working within Ukrainian social services'.

The paper is built on materials produced for and out of a series of workshops in the FRSSU project pilot areas located in Kharkiv and Khmelnytsky Oblasts.

A series of three workshops involving local representatives from all sectors involved in the assessment and provision of social services were held in each of the City of Kharkiv and Dergachi Rayon. In Khmelnytsky a series of three joint workshops were held involving similar social service representatives from Kamyanets Podilsky and Krasyliv project pilot areas.

This practice based workshop approach facilitates development of models which:

- are bottom up, with agreement through consultative process with local practitioners;
- secure local ownership through discussion and consensus;
- utilise and build on existing local knowledge and practice - not superimposing an external model but recognising specific issues unique to Ukraine;
- set out what needs to evolve in relationships and tasks with all the actors involved in social services in the Ukraine;



- specify what can be implemented in the short and medium term; and
- detail what needs to be changed practically and in legislation, to facilitate the initiative.

These processes determine the nature of this paper, and have ensured that the paper embodies the views of many of a wide range of stakeholders and so in an EU best practice manner complements MoLSP's Concept for reform.

The paper reviews the Current Approach to Service Users, and sets out what must change, all in the views of local stakeholders, through various methods, including role-play, diagrams or written descriptions, the current approaches adopted by staff. This:

- highlighted strengths and weaknesses of the current approach;
- set out a common ground on which to build; and
- set current local practice against international standards.

Ethical Principles Underlying the User Focused Approach are set out as perceived locally, as embodied in the Law on Social Services, and as they need to evolve.

The stakeholders then suggest locally based User Focussed Approaches, and set out the practical steps needed to be implemented to set these approaches in motion, with observations on a Consensus Based Model from these Inputs.

This consensus model could form the basis for a policy dialogue under the concept for social services to develop a framework for a future Ukrainian 'user focused model' of social service delivery, which emphasises enabling people to do more for themselves.

The short term steps to achieve this are set out:

- each person being viewed as an individual, with an independent personality;
- the person seeking help needs a private room for interview to ensure confidentiality;
- people being assessed as individuals, wherever they live, either in their own homes in the community or in institutional care;
- the services should be built around the person according to the person's needs but not in accordance with the services available;
- people being supported in a variety of different settings dependant on their assessed needs;
- clients should be provided with full and accurate information;
- information should be given using simple language, not professional, overloaded with terms;
- this information should facilitate independent decision making; make sure the client is fully involved in the decisions that are taken;
- treat people as equals, do not discriminate on grounds of age, origin, health status, or other characteristics;
- regular reviews and feedback from the client regarding their perceived needs;
- priority being given to individual plans of action to meet the assessed needs of the individual;
- greater choice to meet these individual needs;
- a decentralised management structure; and
- there must be a choice between public and NGO social services.

The workshops focus on the definition of the concept of Need. And how to plan for future need.

## **A Staged Process in Progressing Toward a User Focused Approach**

### ***Setting Out the Stages***

As an outcome of the workshop, the generic steps that are to be taken to build a user focused approach are agreed as follows:

### **Stage 1 - Publishing Information**

- Prospective clients and their carers receive information on what services are available from all the various departments involved in providing social services.
- This information should be presented in an easily read and understandable format and all social services departments accept responsibility to offer assistance and a range of services as currently available.

### **Stage 2 - Determining the Level of Assessment**

- Pre screening of enquiries for information or advice resulting in basic information being taken about the needs of the individual seeking support, in sufficient detail to determine the type of assessment required.

### **Stage 3 - Assessing Need**

- If the request for help is deemed to be significant enough to require social service assistance then a professional practitioner should be allocated to assess the needs of the individual in a way that recognises their strengths and aspirations.
- In order to take account of all relevant needs, assessment may bring together contributions from other agencies, for example Health, Education Police, etc.
- The workshop participants suggested that the professional practitioner initially allocated the case should assume the role of key or link worker throughout the active involvement of social service support to the individual service user.

### **Stage 4 - Individual Care Plan**

- Following an agreed assessment of need, directly involving the person seeking assistance, their family and other carers, the professional practitioner develops a plan of action to address the agreed needs.
- The potential service user and the professional practitioner consider the resources available from Public, NGO, Private and Community sources that best meet the individual requirements.
- The role of the professional practitioner is to assist the client in making choices from these resources and put together an agreed individual care plan.

### **Stage 5 - Implementation of the Plan**

- The plan may require the professional practitioner to secure the necessary resources to implement the plan. This may involve negotiation by the practitioner with a variety of organisations, specifying the type and quality of service required and ensuring that services are co-ordinated between these organisations.

### **Stage 6 - Monitoring**

- Because circumstances change, the plan needs to be continuously monitored, making adjustments as necessary.

### **Stage 7 - Reviewing the Process and Improving Actions**

- At agreed intervals, the progress of the plan should be formally reviewed. The review should ensure that:
  - Service and actions still focus upon locally defined strategic needs and priorities;
  - the services selected remain relevant to the clients needs; and

- services are evaluated as part of a continual quest for improvements.

### ***Putting Stages into Practice***

Workshop participants considered a distinct series of actions and building blocks to be undertaken locally, based on the stages outlined and agreed above, to develop their local user focused approach. These are embodied in models and an action plan.

At each stages shortcomings in the current situation, which are identified, have to be overcome, and the main text sets out how

### **Agreed Next Steps**

Participants were thanked for their very productive and interesting ideas that are the basis for this paper. It was agreed that:

- all these ideas could be applied in practice locally with support from local Rada representatives and Head of the different departments and organisations currently providing social services;
- all the results of the series of workshops, including the recommendations from all the pilot areas would be reflected in the final report. Every participant and also other partners taking part in the “Facilitating Reform of Social Services in Ukraine” project both on the national and regional levels would receive this report;
- the FRSSU project would continue to build on these workshop results and propose a number of localised case management models that could be adopted in other Oblasts; and
- the developed approach, focused on the client’s needs, would help pilot cities and rayons when developing social services strategies.