

WIRRAL COUNCIL

CABINET – 15th OCTOBER 2009

REPORT OF THE DIRECTOR OF ADULT SOCIAL SERVICES

PERSONAL BUDGETS

Executive Summary

This report is in response to Cabinet's request on 23rd July 2009 where cabinet resolved:-

"That in order to ensure that everyone has a full understanding of the issues involved, Cabinet asks that a seminar for Elected Members be arranged to promote an understanding of self directed support, personal budgets and their impact on future demand for support services.

Cabinet recognises, in addition, that the government grant to cover the costs of the transition to personal budgets is due to cease in 2011 and that it is important to have made as much progress as possible while the grant is still available. Cabinet therefore asks the Director of Adult Social Services to provide the Cabinet with a report on the progress being made towards the use of personal budgets, including any lessons learnt from initial pilot schemes, the numbers already on personal budgets, the number of individuals still to be moved onto personal budgets and the anticipated timescale for full implementation, with any transitional arrangements either in place, or needing to be put in place."

This involves a key decision which was first identified in the Forward Plan dated October 2009.

1 Introduction

1.1 This report is in response to Cabinet's request for further information on personal budgets. Personal budgets are just one way of approaching the bigger personalisation agenda and form part of a different offer adult social services will deliver to residents in Wirral. This includes the use of assistive technology, rehabilitation and integrated locality working practices. In addition a consultation process is currently underway looking in detail at those care services provided directly by the Department, and specifically whether they are sustainable in their current form to meet the personalisation agenda.

2 Elected member seminar

2.1 A seminar for all elected members has been arranged for 29th October 2009 at 5.30pm in Wallasey Town Hall which will provide information on

personalisation in particular details of self directed support, personal budgets and their impact on future demand for support services.

3 Social care reform grant

3.1 It is important to clarify that the money made available by the Department of Health, through the social care reform grant, is to support councils in the transformation of adult social services and not just for the transition to personal budgets. The grant is in addition to the monies provided through the personal social services funding and is specifically for the range of process reengineering, capability and capacity building activities required to design the entire system. In practice, what this means is that by 2011 councils will be expected to have made significant steps towards redesign and reshaping their adult social care services (in light of their Joint Strategic Needs Assessment), and have core components in place such as:-

- Integrated working with the NHS
- Commissioning Strategies, which maximise choice and control whilst balancing investment in prevention and early intervention.
- Universal information and advice services for all citizens
- Proportionate social care assessments processes
- Person centred planning and self-directed support to become mainstream activities with personal budgets which maximise choice and control
- Mechanisms to involve family members and other carers
- A framework which ensures people can exercise choice and control with advocacy and brokerage linked to the building of user-led organisations
- Appropriate safeguarding arrangements
- Effective quality assurance and benchmarking arrangements

3.2 These need to be supported with local market development, a workforce strategy and an approach, which demonstrates effective use of resources, including the delivery of 3% efficiencies year-on-year.

3.3 The grant is paid as follows:

2008-9	2009-10	2010-2011
651,000	1,520,000	1,870,000

3.4 Attached at the appendix is the recently jointly published (ADASS, LGA, DH¹) milestones that are to assist directors, their staff and local stakeholders in moving the transformation agenda forward over the next 18 months. The five areas of change identified are felt to be core to the progress needed through to the end of social care reform grant period in March 2011. The milestones will be built into the department's business

¹ Association of Directors of Adult Social Services, Local Government Association, Department of Health

plan and transformation programme where they have not already been included.

4 Progress on personal budgets

Background

- 4.1 The Government's commitment to date has been to pilot individual budgets² in 13 local areas. This was set out in the Health White Paper 'Our health, Our Care, Our Say'. In addition, local authorities were being encouraged during 2006/2007 to give people greater choice and control of the services they use.
- 4.2 The central idea behind the individual budgets concept is to place the person who is supported, or provided with services, at the centre of the process. They should have the power to decide the nature of their own support. The concept builds on the successful features of direct payments and other initiatives to develop self directed care.
- 4.3 The Government's commitment was made in a number of policy documents the most recent being the commitment to the transformation of adult social care through initiatives such as individual budgets and self directed support was reinforced within the social care concordat "Putting People First". This landmark protocol seeks to set out and support the Government's commitment to independent living for all adults.

National individual budgets pilots

- 4.4 13 pilot sites across the country have been testing out individual budgets and new ways of ensuring people who use social care services are enabled to self assess, have a better understanding of how resources are allocated to meet people's outcomes and have greater flexibility in using resources to meet individuals outcomes, needs and priorities.
- 4.5 The evaluation found that individual budgets were generally welcomed by individuals because they gave people more choice and control over their lives, but there were variations in outcomes between groups.
- 4.6 To simplify implementation, most pilot sites started by offering individual budgets to only one group – typically people with learning disabilities or

² Individual budgets bring together a variety of income streams from different agencies including Independent Living Fund, Continuing/Joint Health Care, Community Care, Access to Work or Supporting People funding to provide a sum for an individual, who has control over the way it is spent to meet his or her support needs. A personal budget is an allocation of money that is purely from social care funding sources and used to purchase support from the public, private or voluntary sector. In Wirral's pilot phase one has been testing out the use of personal budgets.

physical / sensory disabilities. By the end of the pilot period all sites were offering individual budgets to a wider range of groups.

- 4.7 Across the 13 pilot sites individual budgets were piloted with older people, working age adults with physical, sensory and or learning disabilities, people with mental health problems and young people in transition to adult services. 959 people were included in the 13 pilot sites. The evaluation report can be accessed at http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH_089505

Wirral personal budget pilot – phase 1

- 4.8 Wirral's Personal Budgets pilot (phase 1) commenced on 25th January 2009. 17 people from mental health, learning disabilities, physical disabilities and older people from across 11 wards in Wirral were chosen to be part of phase 1. These people had approached the department and expressed a wish to be considered and were from the outset prepared to share the learning as part of the pilot.
- 4.9 The pilot was developed based on the knowledge from the 13 national pilot sites. The objectives of the pilot in Wirral were set out as follows:-
- To test out and learn from systems developed and to reflect, monitor and evaluate the process before further implementation
 - Identify and work on cases piloting personal budgets
 - To work in partnership within localities, researching and developing local services and opportunities for individuals in Wirral
 - To promote Wirral's personal budgets system and processes within the Council and members of the community
 - To share the findings of the evaluation process with professionals and members of the community and remain open and transparent about what has been learned during the pilot process
- 4.10 The pilot was to run for 6 months and was extended by a further 3 months due to refining arrangements for the design of a suitable resource allocation system, the means by money would be allocated to individuals against their presenting needs. All local authorities are having similar challenges with the development of an appropriate resource allocation system. Phase 1 of Wirral's pilot is due to reach completion at the end of October 2009 when a final evaluation will be available.
- 4.11 Some lessons learnt to date are as follows:-
- The support planning process puts people in control of their lives and has generated creative ideas and solutions for meeting support needs

- Close working relationships with people who use services and carers is essential to ensure appropriate, proportionate assessment takes place. The evaluation shows that all participants on the pilot have been willing to work together to develop processes and systems that can be understood by all involved
- Significant investment is needed to help guide staff through new processes and mindset changes
- Testing the resource allocation system is challenging as the only costs to test against are existing cost of care packages and the resource allocation system and new processes are different which makes comparison challenging
- Valuable feedback was given from people who use services and carers and therefore several amendments have been made such as separating the individuals assessment from the carers assessment for resource allocation and use of plain English language

Wirral's personal budget pilot – phase 2

- 4.12 It is proposed that phase 2 of Wirral's personal budget pilot is tested on a minimum of 10% of people receiving community based services. This would give a more realistic and statistically valid assessment of the impact of the resource allocation system on the budget and test if processes and systems are workable on a wider cohort of individuals. A statistically valid sample could therefore be in the region of 200 people.
- 4.13 It is proposed that phase 2 of Wirral's personal budget pilot starts in November 2009 and runs for no longer than 9 months. The intention for phase 3 would be to roll out the new system and processes from August 2010.

Number of people on personal budgets

- 4.14 The number of people on individual budgets across the country varies dramatically. In September 2008 54 councils reported the number of people on individual budgets. Only 18 local authorities had more than 40 people on individual budgets, 5 authorities had between 30-40, and 5 authorities had between 20-30 people. 10 authorities had between 10 and 20 people on individual budgets and the remaining 16 authorities had up to 10 people on individual budgets. These figures represent a very small fraction of the number of people receiving support through Adult Social Services.
- 4.15 The national performance indicator for measuring the success of self directed support and take up of direct payments, personal budgets or individuals budgets is called NI130 (social care clients receiving self directed support) and is also included within Wirral's Local Area Agreement. It is important to note that progress on the personal budget pilot is not the main contributing factor to the successful achievement of

this performance indicator and an action plan for improving the take up of direct payments is in place to assist with this.

4.16 The revised 2009 definition of performance indicator NI130 is follows:-

Number of adults, older people and carers receiving self-directed support in the year to 31st March as a percentage of clients receiving community based services and carers receiving carer's specific services aged 18 or over.

4.17 It is important to note that the % target is affected by the interplay between the numbers of people receiving self directed support (numerator) and the number of service users receiving community based services plus the number of carers receiving carer's specific services (denominator). For example the numbers of people on self directed support may continue to rise (numerator) however if the number of people receiving community based services also rises disproportionately (denominator) then the % target will not be met. Given this unknown variable an assumption has been made for the likely numbers of people that may be receiving self directed support by 2011 in order to achieve the 30% target. This is being monitored on a monthly basis.

4.18 The targets set for 2009/10 and 2010/11 and performance to date is as follows:-

Year	Year End Target	Quarterly Target		Performance to date (actual)	Number of people
2009/10	15	Q1	5	5.06	343
		Q2	9	-	
		Q3	11	-	
		Q4	15	-	
2010/11	30	Q1	17.5*	-	
		Q2	20*	-	
		Q3	25*	-	
		Q4	30	-	Min = 2593** Max = 2893***

*subject to further discussion and confirmation with Department of Adult Social Services Strategic Leadership Team as part of 2010/11 service planning cycle.

**Min assumes that a 1000 new people in receipt of community based services during the year

***Max assumes that 2000 new people in receipt of community based services during the year.

5. Financial Implications

- 5.1 Indications from the pilot sights across the country evidenced that people who use services were making more efficient and effective use of their budget than may have been the case under current arrangements but no significant increase or decrease of expenditure has been reported to date.
- 5.2 The development of a robust resource allocation system (RAS) needs to ensure that individual / personal budgets and self directed support will be delivered within the current funding envelope. There is a risk to the budget if the RAS allocates more resources than people currently use and fixed costs are not reduced as people make alternative support arrangements. Phase 2 of the pilot will test this and transitional arrangements will be put in place.

6 Staffing Implications

- 6.1 There will be an impact on the role and function for the social care workforce. Indications from the pilot show that heavy investment in staff is required to support them with adapting to this radical change.
- 6.2 During the pilot process there has been a focus on workforce development to enable those providing services to have access to resources to develop the skills, knowledge and ability to provide universal information, advice and advocacy services across sectors. The workforce will need to be remodelled so that less time is spent on traditional assessment and more time on support planning, brokerage and advocacy. Skills and roles will need to be developed so the workforce are comfortable to advise on decision making and managing risk and enabled to meet person centred-needs through co-production and, where appropriate, integrated working arrangements.
- 6.3 A workforce strategy is being developed to support staff through this major transformational change in both health and social care and bring with this an awareness of the benefits and likely impact that personal budgets and self directed support will have on services and more specifically their role.
- 6.4 The Department has developed an appropriate learning and development programme to support staff in these new ways of working. A training needs analysis will assist us in identifying training and support on the following areas: resource allocation system, support planning, support brokerage, training for providers, developing referral routes, process and pathways, guidance on practice, self directed assessment, positive risk taking, health and safety, links to safeguarding, consent, mental capacity act, risk enablement, on going monitoring of support plans, guidance on restrictions and parameters within support planning.
- 6.5 The Department in partnership with Open University has successfully bid for Employer Learning, Development and Accreditation Solutions (ELDAS) funding to co-create a distance learning course around the personalisation

agenda. The programme of learning and assessment (both academic and vocational) provides a unique opportunity for the department to make an active contribution to the development and delivery of a qualification that leads to the continuing professional development of health and social care staff, provides one component of a post-graduate or post-qualifying award and credit rating/accreditation that sits on the Qualifications and Credit Framework.

7 Equal Opportunities Implications

- 7.1 This project has been and will continue to be subject to equality impact assessments to ensure that vulnerable people and those from minority groups are not adversely affected by the implementation of personal budgets and self directed support.

8 Community Safety Implications

- 8.1 Personal budgets and self directed support provides a more holistic approach to addressing an individual's need. By empowering individuals to take control of their support package it is likely that they will be able to identify more clearly issues which concern them about their own safety within the community. A process of managing risk is currently being developed.

9 Local Agenda 21 Implications

- 9.1 There are no local Agenda 21 implications.

10 Planning Implications

- 10.1 There are no planning issues from this report

11 Anti Poverty Implications

- 11.1 There are no direct anti poverty implications from this report.

12 Social Inclusion Implications

- 12.1 Personal budgets and self directed support enables people to be eligible for a range of funding streams, greater control and choice over their personal budget. In general people benefiting from these developments are likely to be amongst the most socially excluded in society. As a result, they will have more active participation in their support arrangements and enhance their status with providers.

13 Local Member Support Implications

- 13.1 Personal budgets and self directed support has Wirral wide implications.

14 Background Papers

Department of Adult Social Services Personal Budget Steering Group report 'Personal Budgets Implementation Proposal'. 16th December 2008.

Department of Health (2008), *Evaluation of the Individual Budgets pilot programme: final report*,

http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH_089505

Department of Health (2008), *Transforming Social Care*,

http://www.dh.gov.uk/en/Publicationsandstatistics/Lettersandcirculars/LocalAuthorityCirculars/DH_081934

15 Recommendations

That:

- (1) Cabinet note the contents of this report and the current progress of the personal budgets pilot
- (2) Cabinet endorse the proposal in paragraph 4.12 that Phase 2 of Wirral's personal budget pilot is tested on a minimum 10% of people receiving community based services
- (3) Members are asked to attend the personalisation seminar on 29th October 2009 for further information

JOHN WEBB

Director of Adult Social Services

Name – Francesca Tomlin

Title – Principal Manager – Reform Unit

ext no - 5140

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