



Report of the Director of Adult Social Services

Adult Social Care Scrutiny Board

Date: 13th April 2011

Subject: Summary of Progress in Response to Self Directed Support Inquiry Report Recommendations

Electoral Wards Affected:

Ward Members consulted
(referred to in report)

Specific Implications For:

Equality and Diversity
Community Cohesion
Narrowing the Gap

Executive Summary

This report provides a summary of progress to Scrutiny Board Members with respect to the Self Directed Support and Personal Budgets Inquiry Report (2010) recommendations.

It advises Members that an increasing number of adults are receiving their social care through self directed support. Many current service users have chosen to continue to receive their existing service, choosing a Local Authority Managed Budget. A significant proportion have elected to receive their support through a direct payment or a personal budget. The number of people receiving direct payments is forecast to continue to increase during the year.

Information for the period up to the end of December suggests that Adult Social Services has seen a decline in the proportion of assessments completed within statutory timescales (28 days) in comparison with 2009/10. This is thought to have resulted from the introduction of revised assessment processes associated with self directed support and as a consequence of an increasing volume of safeguarding referrals.

The local authority is likely to meet its target for 2010/11 for the delivery of 30% of all community care services through self directed support although this will require improved performance in the final quarter of 2010/11..

1.0 Purpose Of This Report

1.1 This report provides a summary of progress of Adult Social Services in response to recommendations contained within the Self Directed Support: Scrutiny Inquiry Report

2.0 Background Information

- 2.1 Self-directed support means that people are able to design the support or care arrangements that best suit their specific needs. LAC (DH) (2008) 1 *Transforming social care* states that

“In the future, all individuals eligible for publicly-funded adult social care will have a personal budget (other than in circumstances where people require emergency access to provision); a clear, upfront allocation of funding to enable them to make informed choices about how best to meet their needs, including their broader health and well-being. A person will be able to take all or part of their personal budget as a direct payment.”

3.0 Main Issues

Recommendation 1 That the Director of Adult Social Services ensures best practice guidance, the requirement for a single assessment process and feedback from service users continue to be considered to improve the structure and composition of the Self Directed Assessment Questionnaire which will aid completion and remove barriers for service users.

- 3.1 Business Change resource remains allocated to Self Directed Support and a Head of Service has been nominated to oversee the impact and issues associated with implementation. Delivery and progress of SDS is monitored on an ongoing basis and reported monthly to DMT Putting People First Board.
- 3.2 Systems and processes continue to be developed:-
The Self Directed Assessment Questionnaire (SDAQ) is being developed as an electronic form (e-form) and this will bring significant improvements in the way that the form is completed. Updates to the SDAQ have been made, based around the principles of a single assessment process to enable different teams to use the SDAQ at different stages of a service user's care journey. This will make it possible for the SDAQ to follow the service user and will reduce duplication in collecting client information.
- 3.3 Jan 31st saw the start of the implementation of the SDAQ across Joint Care Management and Hospital S/W teams as the single assessment tool for SDS. A user friendly version of the SDAQ is currently being finalised and will be tested in April 2011. The user version will be sent to potential service users prior to the social work visit. People will be encouraged wherever possible to complete as much of the documentation as possible. This will then form the basis for discussion during the assessment. It is anticipated that this will empower the service users.
- 3.4 A range of best practice guidance has been developed. (Evidence based recording, Risk Assessment and Management processes, Internal ASC Safeguarding Procedures) and training has been commenced.
- 3.5 The move towards a competency based approach in relation to the training and development of social work staff will contribute to continuous improvements in practice.
- 3.6 We continue to receive feedback from service users and this is captured through annual questionnaires.

Recommendation 2 That the Director of Adult Social Services updates the Adult Social Care Scrutiny Board (or its successor board) on the resource impact of Self Directed Support and the capacity to provide timely case assessments and reviews for service users within the constraints of current or planned staffing structures. This information is to be provided in conjunction with the quarterly performance report.

- 3.7 Users and carers should expect practical help and other support to arrive in a timely fashion soon after their problems have been referred to social services. Timeliness of assessment is important for people who use services and is therefore recognised as crucial by Adult Social Services in Leeds. Performance in this area is measured locally through an indicator which is consistent with a nationally provided standard for acceptable waiting times for assessments. This measures, the percentage of assessments for new clients (aged 18+) where the time from first contact to completion of assessment is less than or equal to four weeks
- 3.8 83.5% of people have had their assessments completed within four weeks for the first three quarters of 2010/11. This equates to a total of 5,319 people with completed assessments and 4,443 had them completed within 28 days. For the same period of 2009/10 there were a total of 5,936 assessments undertaken, and 91% were completed within 28 days.
- 3.9 There are indications that the roll out of a new assessment process for Self Directed Support has impacted upon the figures as staff adapt to using new ways of working. In addition the numbers of referrals which include safeguarding concerns continue to increase and create additional demands upon care management staff. Analysis of workloads in area social work teams has highlighted a back log of referrals in some areas and this could have an additional impact upon the figures. An action plan has been developed and is being implemented to risk manage the backlog and put measures in place to address the issue.
- 3.10 During the first three quarters of 2010/11 there were a total of 8521 people whose Community Care Plan was reviewed compared with 10492 in the same period of 2009/10. This represents a 19% decrease in activity. Actions have been taken to improve this situation and a significant improvement in performance is expected by the end of the financial year.
- 3.11 There is evidence of continuing high levels of service user satisfaction with the adult social care assessment and care management services provided by Leeds City Council. A quarterly Adult Social Care Outcomes Survey was sent to 1,200 service users during Quarter 3 of 2010/11 and 261 completed forms were returned. The responses provide a snapshot of customer perceptions in relation to the achievement of social care outcomes, customer service and satisfaction generally across Adult Social Care. The survey is sent to a range of service users who use different services including those who have been recently reviewed or assessed.
- 3.12 Overall the standard of customer care given by Adult Social Care Workers during assessments and reviews received a positive response from service users. 80% said that the social worker was very courteous and helpful and a further 17% that they were fairly courteous and helpful..
- 3.13 Service users were asked if the social care worker explained everything clearly and in a way which was easy to understand. Whilst there had been a slight drop from 71% to 69.5% for the top answer, 'Very clear and easy,' there was a higher combined score for this when included with the second positive response 'fairly clear

and easy.’ Positive responses to these two together were up from 90.8% to 93.5%. Service users were also asked if they felt their views had been listened to. This showed an improved response from the previous survey with a rise from 68% to 77% finding that their views had been listened to. Just 1% reported that their views had not been listened to at all, an improvement from 3.5% last time. In addition a greater proportion of people who needed help with communication reported being offered it – 72% compared with 55% previously.

- 3.14 During 2009/10 87% of adults were provided with a package of care within four weeks of the conclusion of the assessment. The figure for 2010/11 Quarter 3 is similar at 86.7%. 2,753 out of 3,174 service users, who received packages of care, were provided within 28 days. There has been a gradual improvement over the year from 83.7% in quarter 1. Available benchmarking data for 2009/10 shows that the National and comparator average performance for this indicator is over 90% and the best performing councils achieve between 98/100%. The quality of the Leeds data for 2010/11 should be considered with caution, however. There are indications that variations in arrangements arising from the introduction of personalised services has created new challenges for recording the date of service delivery. New guidance is being issued to staff and work is ongoing to improve the quality of data.

Recommendation 3 That the Director of Adult Social Services ensures the support functions utilised by customers (provided either directly or commissioned by Leeds City Council) are adequately skilled to overcome the barriers of understanding that may prevent access to Self Directed Support.

- 3.15 Customer experiences in relation to barriers of understanding will be looked at and recorded as part of future service user consultation currently being planned.
- 3.16 The quarter 3 Adult Social Care Outcomes Survey included a question asking the service user if they had been informed about Direct Payments or Personal Budgets was responded to by 182 people, of which 63% said yes, they had been informed about it. This was an improvement on the last survey for which 50% of respondents said they had been informed. Taking into account the number of questionnaires which were sent to each user group, the Older People and Learning Disability user groups were the best informed about Direct Payments and Personal Budgets, whereas, Physical Disability and Mental Health service users reported to be the least informed.
- 3.17 Service users were asked how they had found out about Adult Social Care services. Almost one third of survey respondents found out about Adult Social Care from visiting a hospital or clinic. The next most popular methods were through relatives or friends and GP’s. A small number of respondents used the internet, phone book or found out from a leaflet or poster. These results confirm the results in the previous survey.
- 3.18 Discussions are underway with the PCT to develop a model of integrated Health & Social Care Teams linked to localities. In addition to this plans to enable existing service users to access directly their local Care Management Teams, rather than be routed via the Contact Centre will improve accessibility.

Recommendation 4 That the Director of Adult Social Services reviews the Representations Process before October 2010, to incorporate clearly defined timescales in which a disagreement regarding funding allocations would aim to be resolved. In addition the rights of the individual to request a review by the Representations Panel should be stressed and clearly communicated during the assessment/review process.

- 3.19 The Community Support Central Resource Allocation Panel ensure that decision making in relation to challenge/disagreement with service user is fair, transparent and timely.
- 3.20 The Disputes and Representations Process has been written and signed off by the Director of Adult Social Services. The procedure has clear timescales.

Recommendation 5 That the Director of Adult Social Services updates the Adult Social Care Scrutiny Board (or its successor board) on a quarterly basis on the budgetary impact of Self Directed Support and financial pressures created throughout the municipal years 2010/11 and 2011/12.

- 3.21 Spend compared to budget has previously been reported to Executive Board on a quarterly basis during 2010/11:
- Quarter 1 – £0.5m projected overspend
 - Quarter 2 – £0.2m projected underspend
 - Quarter 3 – £0.4m projected underspend
- 3.22 Take up of self-directed support has been slower than anticipated when the 2010/11 budget was set. The first quarter projection was completed before full roll-out and so a prudent view was taken. In the last two quarters the data on take-up has identified that spend in 2010/11 is likely to be lower than budgeted. It should be noted that these projections relate to those customers choosing to take a cash payment to arrange their own care package (i.e. excluding those on personal budgets who have their services commissioned by the local authority).
- 3.23 Ongoing monitoring of self-directed support is taking place monthly on a case by case basis to ensure that the costs approved through the support plan are not out of line with likely spend had self-directed support not been in place and with the indicative budget derived through the Resource Allocation System. This review process has not identified any financial pressures arising from self-directed support

Recommendation 6 That the Director of Adult Social Services reviews the current procedure for resolving risk disputes before October 2010, to empower the service user with the right to request their case be reviewed in accordance with a defined time process and also provides the opportunity for the service user to make representation.

- 3.24 Dispute and Representation procedure in place. **Action completed.**

Recommendation 7 That the Director of Adult Social Services updates the Adult Social Care Scrutiny Board (or its successor board) on performance against NI 130 on a quarterly basis in conjunction with the quarterly Performance Monitoring Report.

- 3.25 NI 130 (Social care clients receiving Self Directed Support) is one of 198 national indicators which were implemented from 2008-09. The indicator is a count of people who are directing their own community support using a personal budget. Under the definition, any form of personal budget can be counted including everyone who has a direct payment. It measures the 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.
- 3.26 To be counted, the person (adult, older person or carer) must:
- be getting a direct payment; or
 - have in place another form of personal budget which meets all the following criteria:
 1. The person (or their representative) has been informed about a clear, upfront allocation of funding, enabling them to plan their support arrangements; and
 2. There is an agreed support plan making clear what outcomes are to be achieved with the funding; and
 3. The person (or their representative) can use the funding in ways and at times of their choosing.
- 3.27 As at 30th April there were 2,481 people had receipt of services through self directed support. Of these, 1,122 had received direct payments, 13 had received personal budgets and 1,346 had completed the review process and had elected to use their personal budget to continue to receive existing traditional services. During the first nine months of 2010/11 4,204 people were identified as being in receipt of self-directed-support. Of these, 1,669 had received a social care service through a direct payment, 154 had received a personal budgets and 2,381 had elected to use their personal budget to continue to receive existing traditional services. In total 24.4% of people receiving adult social care during 2010/11 accessed at least some of their services through self directed support.
- 3.28 The current trajectory of improvement is below that required to meet the national target of 30% of all service recipients receiving adult social care through self directed support during 2010/11 (approx 5350 people). However the Council is now extending its self directed support offer to all new service users at their assessment and it is therefore anticipated that the trajectory will improve..

Recommendation 8 That the Director of Adult Social Services delivers a targeted campaign before December 2010 aimed at older people to raise awareness and to promote the benefits of Self Directed Support

- 3.29 The following activities have been undertaken to deliver the Older People's Campaign:
- Older people were featured in the August 2010 post roll-out SDS press release which has been run in a range of citywide newsletters including those issued by Care and Repair, Volition, Voluntary Action Leeds, Leeds City Council's own Infostore and Carers' News.

- A key article promoting SDS based on feedback from older clients on their experiences on SDS was submitted to *About Leeds*, the residents' newspaper. This publication has a circulation of around 250,000.
- Articles featuring older people enjoying the benefits of SDS were included as news articles on the websites of local organisations such as Volition, VAL, Carers Leeds, Leeds Older People's Forum, NHS Leeds, ALMOs and Care & Repair in August-September 2010.
- A substantial article about the roll-out of personal budgets – including a case study featuring the experiences of a 67-year-old woman – appeared in *Retired and Living in Leeds & Bradford* magazine, which is available free from supermarket checkouts in all major supermarkets in the Leeds and Bradford area.
- Imagery of older people has been used extensively on the cover of the SDS newsletter and on new publications such as the *Employment Guide*, *Your Personal Budget – a user's guide* and *Guide to Buying Services and Support*. All of this documentation continues to have wide circulation among service users and local groups and organisations, and the use of that imagery is in support of the strategy of placing greater emphasis on older people.
- Development of access channels such as the Leeds Directory helpline and hard copy provision of web-based directory information reflects a recognition that many older people may not have web access and will depend on printed material for their information. Older people were consulted with on the development of Free to Live, the Personal Budgets Peer Support Network, to help ensure that there was available representation and support for that client group. The Peer Support Group also offers a helpline in addition to the website to ensure access by older people.
- A distribution research exercise has been carried out, where services frequented by an older demographic (including neighbourhood network schemes, libraries and one-stop centres) have been contacted to check that they are displaying personalisation-related information, including booklets on personal budgets and self-directed support – and, crucially, that staff can identify these and advise the public on them. This exercise will be conducted quarterly.
- Manager's briefings were sent out in March 2010 as part of the announcement of phased roll-out plans, highlighting the importance of older people being offered SDS.
- A social worker's blog (Trevor's ThinkTank) regularly highlights the need to talk to older people about how a personal budget could offer them more choice and control.
- Care & Repair continues to engage heavily with older people via their helpline and promotion work as older people often require more assistance in using the Leeds Directory site to find services. It is planning further training through the SDS post-implementation team to ensure social workers are aware of the directory and can use it when supporting clients to find local information – and show clients how to use it themselves. It is also planning training sessions with Infostore website in neighbourhood networks, day centres and other venues.

- Periodic Interviews have been conducted featuring older people in *SDS News* to promote SDS and older people are also being encouraged to attend meetings with elected members to tell their stories.

Recommendation 9 The Director of Adult Social Services makes necessary provision to ensure individual support plans clearly identify the short term and emergency back up arrangements should a breakdown in care occur. Arrangements should be stressed and clearly communicated to those in receipt of Self Directed Support and where appropriate to carers and family members.

3.30 The risk assessment and management procedure clearly identifies the importance of contingency planning. Training has been undertaken throughout 2010.

3.31 In addition to the further guidance and process that has been put in place to respond to risk in service user support plans, refresher SDS training will be delivered for Team Managers and social workers April – July 2011. A key part of this will involve reinforcing the importance of robust risk management arrangements in support planning and increasing the understanding of the roles and responsibilities that support that.

4.0 Implications For Council Policy And Governance

4.1 Progress in terms of developing and implementing the Self Directed Support model enables the Council to achieve improvements in relation to the strategic outcomes for vulnerable people as outlined within the Council's Strategic Plan. The development is in line with the Council's Health and Wellbeing Plan; and its commitment to the Council's value of Putting Customers First as articulated within the Council's Business Plan.

5.0 Legal And Resource Implications

5.1 The report highlights evidence that many service users are continuing to receive their services through self directed support and their personal budgets. However, current progress has not created additional budget pressures at this point.

6.0 Conclusions

6.1 An increasing number of adults are receiving their social care through self directed support. Members will note, however that the current trajectory of improvement in the percentage of social care clients receiving Self Directed Support is below that required to meet the national and local target of 30%.

6.2 Early evidence suggests that the introduction of revised assessment processes at a time when the service has seen a continuing rise in the number of safeguarding referrals, has impacted upon the Authority's capacity to provide timely assessments. At this stage in the year it is unlikely that the target of 90% of assessments completed within 28 days will be met.

6.3 Improvement plans are in place to resolve these issues. These include a revision and simplification of the new assessment processes in order to reduce the bureaucratic burden on front line officers. Developments in the electronic recording system are taking place which will also reduce duplication in collecting client

information. A range of best practice guidance has been developed. and additional officer training has commenced. A business change resource remains allocated to the development of Self Directed Support and regular progress reports are received by the Director of Adult Social Services. It is anticipated that during the next financial year, the Authority will see a significant improvement in the percentage of social care provision through self directed support and in the timeliness of assessments as a result of this activity.

7.0 **Recommendations**

7.1 Members are asked to note the content of this report.