



Adult and Community Scrutiny Panel

18 November 2013

Report title	Q1 performance report update - % of people using social care receiving self-directed support and receiving direct payments	
Cabinet member with lead responsibility	Councillor Steve Evans Adult Services	
Wards affected	All	
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Report to be/has been considered by	N/A	

Recommendations for noting:

The Panel is asked to note:

1. Detailed performance analysis and comparator performance against the indicator measuring the percentage of people using social care services who are in receipt of self-directed support and direct payments.
2. The responsibilities that the Council has regarding its personal budget and self-directed support offer under the Care Act 2014 and the plans that are in place to implement the changes required to meet those responsibilities.

1.0 Purpose

- 1.1 The purpose of this report is to respond to the request from the Adults and Community Scrutiny panel for an update on performance against the % of people receiving self-directed support and direct payments indicator which is reported in the Corporate Performance report and was rated amber in Q1.

2.0 Background

- 2.1 People who are eligible for long term support via Adult Social Care services are entitled to a personal budget. Following an assessment of need, a service users is informed of the amount of money that has been allocated to them in order to purchase services to meet those needs. The service user can choose to take the money as a direct payment and arrange their own services or can ask the Council to commission and organise the services on their behalf. This is known as self-directed support.
- 2.2 Self-Directed Support is important because research has indicated that personal budgets have a positive effect in terms of impact on well-being, increased choice and control, cost implications and improving outcomes.
- 2.3 The proportion of people who receive self-directed support is a national indicator in the Adult Social Care Outcomes Framework and measures the percentage of people in receipt of services during the year that received those services via self-directed support or a direct payment. Previously this indicator has been a percentage of all people who have received a service during the year and this has caused a number of issues due to people who were receiving services that were not eligible for self-directed support being included in the denominator, which had the effect of supressing results; however, in 2014/15 the national indicator is changing to only include those people in receipt of a long-term service.

There is also a regionally defined indicator which only looks at people who are in receipt of services. This has been monitored locally for some time and is a closer proxy for the new 14/15 definition. It is this regional indicator that is reported in the Corporate Performance report.

3.0 Detailed Analysis of performance

- 3.1 Wolverhampton's performance against the 13/14 national indicator was:

	Result by Year	Quartile and Direction of Travel	Top Quartile Cut-off
	2013/14		
Wolverhampton (412)	73.4	↗	
Comparator Average	63.4	Upper Middle	75.1
Regional Result	51	Upper Middle	73.9
National Result	62.1	Upper Middle	76.0

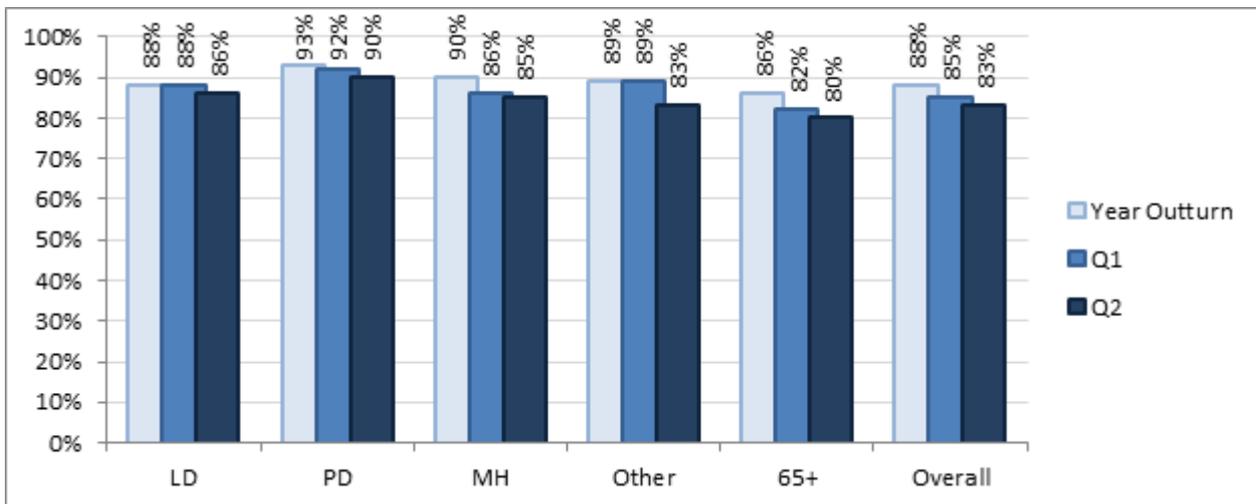
- 3.2 The percentage of people who receive self-directed support and the proportion of people who receive direct payments has increased in 2013/14 with performance above that of all three comparators.
- 3.3 When the regional definition is used performance increases to 88% at the end of 13/14. The regional indicator definition is:

Numerator: The proportion of people who are receiving service at the end of the period who are in receipt of Direct Payments and / or a Personal Budget

Denominator: The proportion of people who are receiving service at the end of the period who are receiving a service which is eligible for Self Directed Support

- 3.2 2013/14 Year Outturn, Quarter 1 and Quarter 2 Personal Budget performance by client group:

	Year Outturn	Q1	Q2
LD	88%	88%	86%
PD	93%	92%	90%
MH	90%	86%	85%
Other	89%	89%	83%
65+	86%	82%	80%
Overall	88%	85%	83%

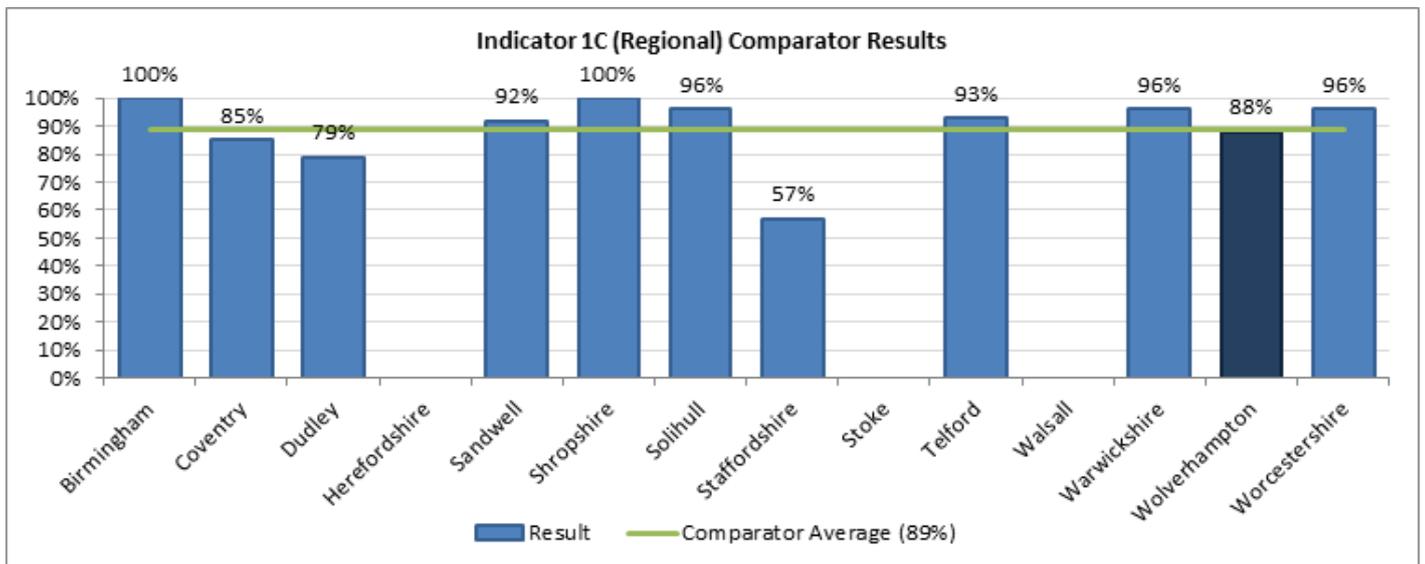


- 3.3 There has been a steady drop off in performance during the year. This can be directly attributed to the action taken at the end of 13/14 to ensure that all eligible individuals were in receipt of a Personal Budget, where some individuals cease to receive an eligible service. This is broadly similar across all client groups however 65+ shows the greatest 'drop off' as the largest service group.

The majority of clients not receiving Self Directed Support are in receipt of Day Care and Very Sheltered Housing.

3.4 Comparator results against the regional indicator across the West Midlands Region for 2013/14 were:

Birmingham	100%
Coventry	85%
Dudley	79%
Herefordshire	-
Sandwell	92%
Shropshire	100%
Solihull	96%
Staffordshire	57%
Stoke	-
Telford	93%
Walsall	-
Warwickshire	96%
Wolverhampton	88%
Worcestershire	96%
Comparator Average	89%



3.5 Regionally some of the results are 100% or very close to 100% due to processes those authorities have in place e.g. if it is part of their processes to always offer self-directed support or direct payments as an alternative to 'standard' services and this is well documented, then this can be counted as a pass. In Wolverhampton there needs to have been a clear and conscious decision by the assessor to offer the service user self-directed support which needs to be correctly documented (with the exception of the clients notified by the year end letters) and therefore our performance whilst appearing to be slightly weaker is more indicative of real Self Directed Support being in place.

Moving forward with self-directed support

- 3.6 The Care Act 2014 sets out for the first time a clear expectation that everyone, whose needs are met by the local authority, whether those needs are eligible, or if the authority has chosen to meet other needs, must receive a personal budget as part of the care and support plan, or support plan.
- 3.7 A robust programme of work has been put in place to ensure that Wolverhampton can meet this challenge alongside other statutory requirements arising from the act in the form of the Care Act Implementation Programme. The programme will work alongside other change programmes and agents such as the Better Care Fund and Principal Social Worker for Adults. In doing so it will redesign Adult Social Care process to ensure that all adults, other than those subject to a limited number of exclusions receive a Personal Budget.
- 3.8 In addition the programme will review the processes involved in administering and monitoring Direct Payments, the only means by which individuals can receive payments to directly commission their own support. In doing so it will need to ensure these do not restrict choice whilst allowing the Council to fulfil its statutory responsibilities.
- 3.9 The work involved includes but is not limited to:
- A review of the mechanism used to determine the amount contained within the Personal Budget (commonly referred to as the Resource Allocation System (RAS)) ensuring that the process meets the principles of transparency, timeliness and sufficiency
 - Process redesign to develop a ‘minimum process framework’ which meets the needs of people who use services whilst ensuring legal compliance
 - Identifying
 - Consideration of the development of a wider range of ways that people who use services can benefit from Personal Budgets including the use of ‘pooled budgets’ and ‘Individual Service Funds (ISFs)’
 - The use of ‘Payment Cards’ to ease the administrative constraints of Direct Payments on both the Direct Payment recipient and Council
 - Strengthening the Information and Advice offering around Self Directed Support (Information and Advice is also a duty under the Act)
 - Changes to the process and timing of Direct Payments
 - Market Shaping activities by commissioners to ensure there is a wide range of affordable options to self-funders and Direct Payment recipients
 - Cultural changes via Workforce Development and the Principal Social Worker for Adults

4.0 Financial implications

- 4.1 Direct payments and self-directed support are funded from the care purchasing budgets held within Older People and Personalisation (£23.6 million), and Health and Wellbeing (£26.9 million).
- 4.2 Implications for the Council are potentially significant, but as yet, not fully defined. Within the Care Act Implementation and Personalisation Programme is a finance workstream

focused on understanding the financial implications of the Care Act overall, this is being undertaken in conjunction with other workstreams including Carers and Personalisation and Care Planning.

- 4.3 It is important to note that changes to the requirements for Personal Budgets and Direct payments are not being delivered in isolation but alongside other changes as a result of the Care Act including changes to the eligibility criteria, cap on Care Costs (2016/17), universal deferred payments and as a result significant modelling work is required to understand any potential financial implications.
[AS/05112014/B]

5.0 Legal implications

- 5.1 The Care Act will change the legislative framework for Direct Payments and Personal Budgets either through Regulations or Statutory guidance, as outlined above.
[Legal Code: TS/06112014/X]

6.0 Equalities implications

- 6.1 The full impact of the Care Act including those around Personal Budgets and Direct Payments requires a full equalities analysis to be carried out for which detailed equalities data will be required. The now broader set of protected characteristics listed by the Equality Act will present some difficulty for some services whose pattern of monitoring does not extend to this full range of monitoring at present.

7.0 Environmental implications

- 7.1 No environmental impacts have been identified.

8.0 Human resources implications

- 8.1 Increased activity in terms of developing, managing and overseeing Personal Budgets and Direct Payments may have implications in terms of number and skill set of staff required.

9.0 Corporate landlord implications

- 9.1 No corporate landlord impacts have been identified.

10.0 Schedule of background papers

- 10.1 Corporate Performance Report – Q1

Adult Social Care Outcomes Framework 2013/14 –

<https://www.gov.uk/government/publications/the-adult-social-care-outcomes-framework-2013-to-2014>

Adult Social Care Outcomes Framework 2014/15 -

<https://www.gov.uk/government/publications/adult-social-care-outcomes-framework-2014-to-2015>

Care Act Implementation Guidance:

<https://www.gov.uk/government/publications/care-act-2014-statutory-guidance-for-implementation> p187-200 (Personal Budgets) and p201-228 (Direct Payments)

Direct Payments Regulations:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/366056/Care_Act_Negative_Regulations_.pdf Care and Support (Direct Payments) Regulations 2014 p45