Glasgow City Council Personalisation and Self Directed Support (SDS)

Practice Guidance for Staff

Version 2.9 – February 2016

This guidance will be subject to ongoing review, as we learn from the experience of taking Personalisation and Self Directed Support forward.

Content

Introduction

This Practice Guidance separates into three parts – the Overview of the Personalisation and Self Directed Support Process; the content of each core Personalisation eform and the Appendixes with the useful information that will help staff as well as the Service Users to have a better understanding of the Personalisation and Self Directed Support Process implemented in Glasgow.

The 'Authorisation' described in Outcome Based Support Plan and Review sections are the interim measures and will be replaced once the Framework Tender is in place and the Contracts Management Console implements.

This Guidance relates to the assessment of those groups in scope for personalisation and does not include Homelessness, Addiction or Criminal Justice service users who are managed within their existing assessment and financial frameworks.

Overview of the Personalisation and Self Directed Support Process

Reaching the Agreed Estimated Budget

The Assessor completes the Support Needs Assessment (SNA) and presents it at a Resource Allocation Group (RAG) Meeting. The Service Manager will establish an Agreed Estimated Budget (AEB) based on the information provided.

Before attending the RAG, the Assessor should

- complete all the sections of the SNA and run 'RAS Calculator'
- complete Carers Assessment if required
- provide other relevant assessments
- gather benefit details and record it on Financial Details screen on careFirst (CF) and send an Activity to Welfare Right for Income Maximisation
- seek support from Finance at Finance Surgery in locality on issues about ILF and Existing Finance
- seek support from Commissioning Surgery in locality if accommodation is required

Once the SNA eform is completed, the Assessor assigns it to the Team Leader for screening. The Team Leader screens the SNA to ensure all sections are completed accurately and also read all other relevant documents provided. If the Team Leader is satisfied with the SNA and the relevant documents provided are sufficient to be presented at RAG, the Team Leader should put their LID in the 'Screened by' section of SNA and reassign back to the Assessor.

However, if more information is required, the Team Leader should discuss with the Assessor. The Team Leader will put their LID in the 'Screened by' field of the SNA on CF once the amendment is made.

Please note the Team Leader should always re-run the 'RAS Calculator' to ensure that the correct figures are recorded. Where there are changes to the 'Assessor's View' answers to Assessment Questions, the 'RAS Calculator' must be re-run.

Once the SNA is screened by the Team Leader and reassigned back to the Assessor, the Assessor can book an appointment for the RAG Meeting as per the locality arrangement and present the SNA as well as other relevant assessments (Carer's assessment, OT assessment, psychiatric assessment, psychologist assessment, etc) to the Service Manager.

The purpose of the RAG is to authorise the SNA and to establish the AEB. The Service Manager will make a decision based on the SNA and all other relevant assessments presented by the Assessor. If more information is required, the Service Manager can either ask the Assessor to make the changes at the meeting or request the Assessor to present the amended SNA again at a later date.

When Service Manager is able to set and authorise the AEB at the RAG meeting, the Assessor will finish and save the SNA and the Service Manager will create, complete and finish and save the RAG minute at the meeting. The SNA and RAG minute are expected to be finished and saved at the RAG to avoid delay in the process.

However, where the Service Manager is unable to set or authorise the AEB, they are required to seek authorisation from a Head of Service. With the Service Manager's agreement, the Assessor can Finish and Save the SNA at the RAG meeting and the Service Manager creates the RAG minute and assigns to the Head of Service for authorisation. The Head of Service then records the AEB and their authorisation and Finish and Save the RAG minute.

Please note the Service Manager should always re-run the 'RAS Calculator' to ensure that the correct figures are recorded. Where there are changes to the 'Assessor's View' answers to Assessment Questions, the 'RAS Calculator' should be re-run.

Once the AEB is established, the next step is support planning.

Support Planning and Authorisation

Co-production is a key part of Personalisation and Self Directed Support; therefore the Assessor should work with Service User, carers, legal representatives, and other relevant parties (Providers, Personal Assistants, etc) at the Support Planning stage. The 2015 Social Work Framework Agreement for Selected Purchased Social Care Supports (2015 Framework Agreement) was implemented in February 2016, please use this process to select and engage a Care Provider from the 2015 Framework Agreement at the following points in the process :

- New Business – at stage following Assessment and Resource Allocation
- Existing Business – at Review stage where a Provider is being changed or an additional Provider is being added
- Existing Business – at Review stage where a Provider is not changing but has not been contracted onto the 2015 Framework Agreement previously

Please refer to the Guidance for Social Work Staff on 2015 Social Work Framework Agreement for more details.

Once the Outcome Based Support Plan (OBSP) is recorded on CF, the Assessor assigns the OBSP eform to the Team Leader for screening. The Team Leader ensures the OBSP can meet the service user's Assessed Needs and the identified Outcomes and also ensure the risks assessment is up to date and the risks are being addressed and managed appropriately within the OBSP.

Where the OBSP can meet the service user's Assessed Needs and identified Outcomes and the cost of the OBSP is equal to or less than the AEB, the Team Leader can authorise the OBSP eform.

Where the OBSP can meet the service user's Assessed Needs and identified Outcomes, but the cost of the OBSP is above the AEB, the Team Leader should in the first instance discuss with the Assessor about the necessity and appropriateness of the increased cost. If the Team Leader agrees with the increased cost, the Team Leader should discuss with the Service Manager and assign the OBSP to the Service Manager for authorisation. The Service Manager can authorise the OBSP if they agree with the increased cost and it is within their authority. Otherwise, they will need to reassign the eform to a Locality Head of Service for further authorisation. Service Manager can authorise the out of

Glasgow placement where the out of Scotland placement should be authorised by a Locality Head of Service.

Where the risks highlighted in the OBSP are so significant, the Service Manager can make a referral to Risk Enablement Panel following the discussion with the Head of Service. Please see Risk Enablement Guidance on Connect for more details. As the OBSP is unable to be agreed at this stage, this OBSP eform will remain open and the Service Manager should assign the OBSP eform to the Assessor.

Review Process

Personalisation Initial Review

An Initial Review should be held 6 weeks after the OSBP has been implemented. If there are no issues with the implemented support plan, the Assessor should complete the Personalisation Initial Review Activity and put a summary of the Initial Review as an observation (Care Plan) on CF. The Assessor should also create an activity for the next Personalisation Review and the 'Required by' date should be within a maximum period of 2 years.

If there are issues with the implemented support plan, the Assessor should conduct a formal review and complete a Personalisation Review eform on CF (select Personalisation Initial Review as the type of Review). The Assessor can revise the support plan in order to meet the service user's Assessed Needs and identified Outcomes fully.

Once all the relevant sections of the Review eform are recorded on CF, the Assessor assigns the eform to the Team Leader for screening. Once the Team Leader screens the Review eform, the Team Leader can authorise the Review eform where the cost of the revised support plan is equal to or less than the current Agreed Individual Budget (AIB). The team leader should then reassign the Review eform to Finance for Verification. Once the Review eform is verified by Finance and reassigned back to the Team Leader, the Team Leader then creates the Next Review Activity and Finish and Save the Review eform.

However, where the cost of the revised support is above the current AIB, the Team Leader should discuss with the Service Manager and assign the Review eform to the Service Manager for authorisation. The Service Manager can authorise the Review eform if they agree with the increased cost and it is within their authority. Otherwise, they will need to reassign the eform to a Locality Head of Service for further authorisation. Service Manager can authorise the out of Glasgow placement where the out of Scotland placement should be authorised by a Locality Head of Service.

This Personalisation Review eform will become the most up-to-date Support Plan for the service user.

Personalisation Review

For all other Personalisation Reviews, the Assessor should create a Personalisation Review eform to record the details of the review. The authorisation process is as same as above. After the Initial Review, the next Review can be up to 2 years, however, the frequency of Review is variable and will be decided on a case by case basis. The Team Leader is responsible for creating the Next Review Activity to the Assessor or a Team Desktop (if appropriate).

The 2015 Social Work Framework Agreement for Selected Purchased Social Care Supports (2015 Framework Agreement) was implemented in February 2016, please use this process to select and engage a Care Provider from the 2015 Framework Agreement at the following points in the process :
- New Business – at stage following Assessment and Resource Allocation
- Existing Business – at Review stage where a Provider is being changed or an additional Provider is being added
- Existing Business – at Review stage where a Provider is not changing but has not been contracted onto the 2015 Framework Agreement previously

Please refer to the Guidance for Social Work Staff on 2015 Social Work Framework Agreement for more details.

Outstanding Financial Issues

Where Finance is unable to process the completed Personalisation eforms or unable to put on Service Agreements, they will create a Finance Enquiry Form (FEF) and assign to the Assessor with queries. The Assessor should then respond to the queries and reassign back to Finance. Please note this eform is created and finished and saved by Finance. See Recording Guidance for details.

Support Needs Assessment (SNA)

There are six sections to this form. The Support Needs Assessment (SNA) form is available on Connect and can be given to the Service Users.

Section 1   Basic Information

This information is a basic data set and should already be recorded on careFirst (CF) for existing service users. For people new to CF the Assessor should collect the information and enter it on CF. Please note this information should be recorded outwith the eform as the information recorded within the eform will not be shown on the service user's record on CF until the eform is finished and saved. As this information includes the details of the service user's main carer, emergency contact, Welfare Guidance, etc, it is important to ensure this information is available on CF without delay.

Section 2   Assessment Questions and Outcomes

2.1   Assessment Questions

The Assessment Questions are crucial in establishing the service user's Agreed Estimated Budget (AEB). The Assessment Questions should be completed jointly with the Assessor and the service user or their legal representative and their carers (if any). The service user can also get support from the people who know them best to complete the Assessment Questions. This may include family, friends or support worker.

The Assessment Questions section has two distinct columns – Your View and Assessor's View. The column of 'Your View' records the view of the service user (or their legal representative) and the 'Assessor's View' records the view of the Assessor. Please note only the answers of the Assessor's View will be used to calculate the 'Estimated Budget Based on RAS Score'.

The service user should provide information to each Assessment Question in the 'Supporting Information' section. The Assessor should consider the information provided by the individual and then complete the 'Assessor's View' columns. Please note the Assessor should also consult other professions who can provide relevant / additional information to help conclude the assessment.

If the Assessor feels the service user has either underestimated or overestimated their needs, it is the Assessor's responsibility to discuss with the service user or other relevant parties involved about any differences between the views from the Assessor and the service user. It is crucial that the completed Assessment Questions section is an accurate reflection of needs. Exceptionally, if the service user refuses to complete the 'Your View' columns of the Assessment Questions, the Assessor should still complete the 'Assessor's View' columns.

The Assessor should familiarise themselves fully with the Assessment Questions before attempting to support a service user to fill it out. Although the form is designed to be self explanatory, inevitably each question requires detailed consideration. In order to complete this section, the Assessor should:

1) Work with the service user and ensure he/she is involved in the assessment process as much as he/she would like.
2) Have a clear understanding of the service user's needs and the level of support he/she requires (including frequency and how many people the service user requires the support from)
3) Provides sufficient information to support their views and should consult other professions when necessary

Meeting Personal Care Needs
Please refer to Social Care Charging Policy on Glasgow website for the list of Personal Care Tasks.

This question has the most possible answers; the Assessor should ensure they have selected the correct answer on CF.

Social Relationship and Community Activities
This Assessment Question is self explanatory. However, when the service user does not wish to pursue this need or is unable to do so, the answer to this Assessment Question should be A and the Assessor should record the reason.

Employability and Volunteering

This Assessment Question refers to both paid and unpaid employment and volunteering opportunities. When service user is in employment, the Assessor should make them aware of Access to Work as they may be eligible for support from Department of Work and Pension (DWP). When the service user does not wish to pursue this need or is unable to do so, the answer to this Assessment Question should be A and the Assessor should record the reason.

Personal Development

This Assessment Question refers to formal and informal learning opportunities. For some individuals, it may mean going to a formal education institution to study or develop skills. For others this may include recovering skills lost through ill health or disability. When the service user does not wish to pursue this need or is unable to do so, the answer to this Assessment Question should be A and the Assessor should record the reason.

Are You Also A Parent Or Carer

Please note this Assessment Question is for the service user who also has parenting or caring roles.

Running and Maintaining the Household That I am Living In

This Assessment Question relates primarily to the service users who have the contractual responsibility for running and maintaining their own home. For the service user who is living in another person's tenancy or home or living in a shared accommodation, it would only apply where the service user requires additional support to:

1) keep their living space safe
2) promote independent living skills
3) prevent homelessness
4) mitigate the impact on other members of the household

Staying Safe

This Assessment Question relates to the risks to the service user and how much support he/she requires to stay safe.

Risks to Others

This Assessment Question relates to the risks posed to others by the service user.

Available Social Support

This Assessment Question refers to the support available to the service user from unpaid carers including friends, family or neighbours.

Family Carer and Informal Support

This Assessment Question is for the unpaid carer. The Assessor has a statutory duty to offer Carers Assessment to the carers. The Assessor should explain to the carer the importance of completing the Carers Assessment and the possible implication on the Agreed Estimated Budget. However, if the carer declines the Carers Assessment, the Assessor must record the reason in the text box provided on CF.

(Please refer to Carers area)

Outcomes

The Assessor needs to work with the service user to identify the Outcomes to each Assessment Question (the first 8 Assessment Questions only) and discuss how to achieve those Outcomes. Some Assessment Questions may have multiple Outcomes identified and the Assessor needs to record each Outcome separately on CF. If the Assessor is able to identify 'how to achieve' with the service user at this stage the Assessor can record it on CF. However, it may not be feasible to identify 'how to achieve' at this stage for some service users and the Assessor does not need to record it.

Please refer to the Recording Guidance for details

The Assessor should choose the answer for 'Who answered the Assessment Questions'.

Section 3   Risk Assessment

The Risk Assessment has been incorporated into the SNA eform and must be completed for all service users going through the Personalisation process. Completing a Risk Assessment for each service user complies with Care Inspecorate recommendations on recording risk. This Risk Assessment captures

Risk levels, an analysis of Risk and proposed actions to reduce Risk in the following areas:

■　　　Health Risks

■　　　Mental Health Risks

■　　　Wellbeing Risks

■　　　Adult Support and Protection Risks

Please note this is a generic Risk Assessment, if the risks are such that specific Risk Assessments are required, the Assessor should record these separately using the appropriate Risks Assessment Tools.

Although the Risk Assessment is now part of the SNA, it is also a stand-alone eform on CF and can be created outwith the SNA. When a SNA is finished and saved, a copy of the most up to date Risk Assessment will be saved on CF, but it will not be visible on CF until a stand alone Risk Assessment eform is created. Assessor can use the 'View Last' and 'grab' function to populate the information recorded previously to the newly generated Risk Assessment eform and update the information when needed.

Section 4　　　Assessor's Overview

The Assessor's Overview summarises the views of the

■　　　Service User

■　　　Main Unpaid Carer

■　　　Advocate

The Assessor also details any issues with safety, protection and vulnerability. Finally, the Assessor will summarise the Assessment in the 'Assessment Summary' and ensure the Eligibility Criteria classification is recorded accurately on CF. The Eligibility Criteria classification should already be recorded on CF, the Assessor should be able to 'Peek' and 'Grab' the existing answer to this question.

Section 5　　　Existing Finances

(Please refer to Appendix 2 of Recording Guidance for SNA for more details)

This part is about the cost of the support that the service user is currently receiving (if any), the ILF details (if any), the cost of Current Services and the client contribution. Assessor should attend locality Finance Surgery to get support to verify the content in this section.

Social Work Services Currently Received

The Assessor should be able to gather this information from the Service Agreements on CF and the last completed Outcome Based Support Plan. For the New Service User, the Assessor should record any services not recorded on CF and are provided via Short Term Intervention (if any).

ILF Details

The Assessor should be able to gather the information directly from Independent Living Fund (ILF) or from an ILF Award letter from the Service User. The Assessor should record the breakdown of ILF Award and the support purchased by ILF. If the Assessor is not aware of the ILF Minimum Threshold, please contact ILF directly, the ILF Minimum Threshold should be £200, £320 or £340 depending on when the service user has been awarded. The Assessor should discuss any ILF issues with Finance at the locality Finance Surgery.

Please note that Finance no longer requires a copy of ILF Award letter.

Cost of Current Services and GCC Client Contribution

Gross Cost of the Current Services is the annual cost of the whole service package. The term of 'GCC Client Contribution' should mean all annual contributions towards the current service package, e.g. ILF, GCC client contribution, Supporting People, etc. This is not an exhaustive list. Please attend the Locality Finance Surgery for this part of the SNA to ensure the figures are accurate before assigning the SNA eform to the Team Leader for screening. The Net Cost of the Current Services is the cost of the current service package that Glasgow City Council is currently funding.

It is good practice to make the service users aware that they are required to pay a contribution towards the social care services provided to them and where possible to advise them about the amount of the client contribution.

For the new service users, it is not feasible for Finance to calculate the client contribution at this stage of the process, as the support plan is not in place. However, the Assessor should be able to advise the service users about the interim client contribution at this stage and the client contribution will be finalised later at the end of the process. See Social Care Charging Policy for details.

In order to calculate the correct client contribution, the Assessor should always ensure the information on Financial Details screen on CF for the service user is accurate. This is particularly important for those service users whose benefit entitlements changes due to their age. For example, the service user is entitled to State Pension when he/she reaches retirement age. It is the Assessor's responsibility to ensure the most up to date financial details have been put on CF. Finance will not automatically generate a new client contribution for the service user until they have received instruction to do so.

Once the information is recorded on Financial Details screen on CF, the Assessor must send an activity to Welfare Right Team for Income Maximisation. Welfare Right Team will communicate to Finance when the financial details are checked. Finance will then calculate the client contribution and record it on CF at the end of the process. The Assessor can access to the 'Contribution' Screen on CF to find out the calculated client contribution for the service user.

Section 6   Estimated Budget (EB)

Estimated Budget Based on RAS Score
Automatic calculation of the 'Estimated Budget Based on RAS Score' headline figures is now available on CF. This calculation uses the 'Assessor's View' answers recorded in the SNA eform.

Before the SNA content is screened by a Team Leader, the Assessor should run the 'RAS Calculator' report which calculates the 'Estimated Budget Based on RAS Score' headline figures and automatically populates those headline figures into this section of the SNA eform.

A Team Leader can re-run the 'RAS Calculator' during the screening of the SNA to ensure that the correct figures are recorded before re-assigning back to the Assessor. Any time that 'Assessor's View' answers are changed the RAS Calculator should be re-run.

Please note this is only an Estimated Budget based on the answers to the Assessment Questions and has not been agreed by the Service Managers at this stage.

Please refer to the 'RAS Calculator' Recording Guidance' on Connect for more information.

The 'Estimated Budget Based on RAS Score' headline figures are:
- The Subtotal of Estimated Budget based on RAS Score
- Financial Framework – Inflator (%)
- The Inflated Subtotal of Estimated Budget based on RAS Score
- Financial Framework – Deflator (%)
- Estimated Budget Based on RAS Score

How will the Support and Budget be Managed

As per the SDS Act, the Assessor has a statutory duty to inform the service user in writing of the 4 Options for managing the budget and support. The Assessor should explain and discuss these 4 options with the service user at the beginning of the Personalisation process in order to allow them to make an informed choice.

For example, the Assessor should explain to the service user about their role of being an employer under Option 1 (Direct Payment), direct them to the supporting organisation (GCIL) and make them aware of our GCC Interim Financial Procedure for Direct Payment. The Assessor should also provide information to the service user about where they can receive additional support and advocacy services during the process.

Information sheets about the 4 Options as well as the additional support and advocacy services which can offer support to the service users during the Personalisation Process is attached as Appendix 2 and 6. The Assessor must give a copy of the information sheets to the service user at the beginning of the Personalisation process in order to fulfil the statutory duty.

Once the preferred option is identified by the service user, the Assessor should record this on CF and comment on the Option chosen by the service user, particularly the appropriateness of the service user who chooses to manage the Direct Payment.

The Assessor should also discuss the proposed start date with service user. Although it is not always possible to confirm the start date at this stage, the Assessor should try to at least identify the month when the service user wishes the service to start. Entering 'As soon as possible' is not appropriate.

This is the last part of SNA for the Assessor to complete. At this point of the process, the Assessor should

- Ensure Financial Details screen on CF is accurate and an activity is sent to Welfare Right Team for Income Maximisation
- Ensure ALL Assessment Questions are answered accurately
- Provide sufficient supporting information to each Assessment Question including other relevant Assessments where appropriate for example Assessments from Occupational Therapist, Physiotherapist, Psychiatrist, etc.
- Indentify Outcomes to each Assessment Question (except the last two Questions – Available Social Support and Family Carer and Informal Support)
- Complete Risk Assessment
- Complete Carers Assessment if required
- Ensure all sections of SNA are completed
- Attend locality Finance or Commissioning surgery if required
- Run 'RAS Calculator' to generate the 'EB Based on RAS Score

The Assessor can now assign the SNA to Team Leader for screening.

When a SNA is assigned to a Team Leader for screening, the Team Leader should consider the following criteria:
1) All Assessment Questions are answered accurately
2) The Supporting Information provided by Assessor is relevant to each Assessment Question and is a true reflection to the Assessed Needs of the service user.
3) Outcomes identified to each Assessment Question are relevant and appropriate to the Assessed Needs
4) A good quality of Risk Assessment is completed
5) All other relevant assessments are provided

6) All sections of the SNA have been completed
7) Re-run the RAS Calculator to confirm that 'EB Based on RAS Score' figures are accurate

When the SNA assigned for screening has met the above criteria, the Team Leader should enter their LID and date of screening in the Authorisation section of the SNA and reassign the SNA eform back to the Assessor.

The Team Leader should not 'sign off' the SNA if any of the above criteria is not met. The Team Leader should discuss the SNA with the Assessor and highlight the areas where more information is required. The Team Leader should reassign the SNA eform to Assessor for amendments. The Assessor should assign the SNA eform to Team Leader once the amendments have been made. The Team Leader should only put the LID in 'Screened By Team Leader' when he / she is satisfied with the SNA.

Resource Allocation Group Minute (RAG minute)

This eform captures a minute of the decisions made by a Service Manager (Chair) of the Resource Allocation Group (RAG) and records the Agreed Estimated Budget (AEB).

This eform should be created by the Service Manager at the RAG meeting and finished and saved at the end of the meeting. It is good practice to have the RAG minute finished and saved at the end of the Meeting to ensure the accuracy of the content and also to avoid unnecessary delay in the process. Please note this eform should not be created before the Support Needs Assessment (SNA) is finished and saved.

In order to facilitate the meeting, it is recommended that there should be two computers (or laptops) at the RAG. One computer is for the Service Manager to generate the 'Estimated Budget Based on RAS Score' and record the minute and the other is for the Assessor to make minor changes to the SNA (which should be agreed by the Service Manager) and to finish and save the SNA.

This eform is a relatively short form. Most of the answers can be populated by using the 'View Last' button, the Service Manager only requires to complete the following sections:
■   Changes to SNA
■   Chair's Decisions
■   Discretion (Drop Down List)
■   Reason for applying discretion
■   Authorised By
■   Date
■   Agreed Estimated Budget

The Service Manager discusses the SNA and other relevant assessment documents (where appropriate) with the Assessor, which will help the Service Manager to make decisions on the AEB. Other relevant assessment documents include Carers Assessment, specialised Risk Assessment, Occupational Therapist Assessment, Psychiatric Assessment etc.

The Service Manager then records any agreed changes to the answers of the Assessment Questions in the 'Changes to SNA' field. If minor changes to the SNA are required, the Assessor can make those changes live at the RAG meeting.

If any changes to the 'Assessor's View' answers are required, the Assessor (or Service Manager), should re-run the 'RAS Calculator' to ensure that the correct 'Estimated Budget Based on RAS Score' headline figures have been populated into the SNA before that eform is 'Finish and Save'.

Even if no changes are made to the 'Assessor's View' answers, the Service Manager (or Assessor), should re-run the 'RAS Calculator' before the SNA is 'Finish and Save' to ensure the correct 'Estimated Budget Based on RAS Score' figures are recorded.

The Service Manager may still want to run the InfoView 'Budget Calculation' report as a manual double-check that the 'Assessor's View' answers and Estimated Budget figures are correct before the SNA eform is completed.

Please refer to the 'RAS Calculator' Recording Guidance' on Connect for more information.

The 'Estimated Budget Based on RAS Score' headline figures are:
- The Subtotal of Estimated Budget based on RAS Score
- Financial Framework – Inflator (%)
- The Inflated Subtotal of Estimated Budget based on RAS Score
- Financial Framework – Deflator (%)
- Estimated Budget Based on RAS Score

The Service Manager then records the decisions and the reason for applying discretion (if any). There are three types of discretion:
- Carers Stress
- Maintain ILF
- Professional Judgement

A Service Manager can authorise the AEB up to the value of the Inflated Subtotal of Estimated Budget Based on RAS Score (Inflated Subtotal).

For example, if the Inflated Subtotal is £45,000, and the AEB is £43,000, a Service Manager can authorise this.

However, if the Service Manager needs to authorise an AEB which is higher than the Inflated Subtotal, they can only authorise the value up to £40,000.

For example, if the Inflated Subtotal is £36,000, and the AEB is £39,500, a Service Manager can authorise this.

Where the AEB is higher than the value of the Inflated Subtotal and above £40,000, an authorisation from a Locality Head of Service is required.

For example, if the Inflated Subtotal is £36,000 and the AEB is £44,000, Service Manager is unable to authorise this as it is higher than the Inflated Subtotal and also above £40,000, hence this AEB is required to be authorised by a Locality Head of Service.

(Please refer to Appendix 8 for more details)

Where the Service Manager can authorise the AEB at the meeting, the SNA can be finished and saved by the Assessor and the Service Manager will finish and save the RAG minute. Where the further authorisation required from a Locality Head of Service, the SNA can still be finished and saved by the Assessor at the RAG meeting with the agreement with the Service Manager. The Service Manager then assigns the RAG minute to a Head of Service for authorisation. The Locality Head of Service will authorise the AEB on RAG minute and finish and save the RAG minute.

On most occasions, the Service Manager is expected to be able to establish the AEB at the RAG meeting where a good quality SNA is presented and other relevant assessment documents are provided. By exception, where an AEB cannot be established, the Service Manager may still create a RAG minute to record the reasons for not agreeing the Estimated Budget and the changes that they require the Assessor to make. The Assessor should amend the SNA and discuss with the Team Leader who should ensure the changes are made and the additional information is provided. It is still the Team Leader's responsibility to

screen the SNA before the Assessor arranging another RAG appointment with the Service Manager.

Outcome Based Support Plan (OBSP)

When an Agreed Estimated Budget (AEB) is established at the Resource Allocation Group (RAG) meeting, the Assessor can start the support planning process with the service user, carers, legal representative and or the providers. Please note the Assessor should consult service user who they would like to involve in their Support Planning process. The service user can contact the people they would like to involve directly or with their permission, the Assessor can contact them on behalf of the service user. It is expected that the ***OBSP should be completed in 4 weeks time*** once the AEB is established at RAG meeting.

Where the service users or their legal representative choose Option 1 (Direct Payment) to manage the support, the Assessor should direct them to seek support from Glasgow Centre for Inclusive Living (GCIL) or Glasgow Council for Voluntary Sector (GCVS) or any other support organisation in the city that is available to support the service user. The Assessor also encourages service user to look for the Inspection Report on Care Inspectorate Website for their preferred provider(s). (See contact details in Appendix 6)

Where the service users or their legal representative choose to manage their support using the other available options (Option 2, Option 3 or Option 4) the Assessor should refer to the Guidance on the 2015 Framework Agreement for Selected Purchased Social Care Supports to ensure the proper procurement process is followed.

The Assessor should read Appendix 3 carefully as it is about the Individual Budget (IB)– what IB can be used, what IB cannot be used and employment of family members as Personal Assistants and offer advice to the service user and their carers.

OBSP eform

Background Information

The Assessor can use the 'View Last' and 'grab' function to populate the most up to date information for this part. The Assessor can update the information to reflect the circumstances of the service user at the time of the assessment.

Outcomes

The Outcomes have been identified to each Assessment Questions. At the support planning stage, the Assessor should discuss with the service user and other significant others about their arrangement of support and how to achieve those Outcomes. The Assessor should ensure the service user is fully involved in the support planning stage and should provide sufficient information to allow the service users to make informed choices. This is in line with the statutory principles – Involvement, Informed Choice and Collaboration.

The discussion with the service user and other significant others should include:
■ The choices available to the service user
■ The resources that will help to deliver the service user's support plan
■ The main risks and how the service user and others can manage these risks.

After the discussion, the Assessor should be able to gather the details of how to achieve the Outcomes and record them on the eform. The Assessor should record the details in the 'How to achieve' text box for each outcome. If there is more than one way to achieve an outcome, the Assessor can either record them all in the same 'How to achieve' text box or record them individually.

Outline of Support

This part is about outlining the weekly support for the service user. For those who reside in residential or nursing care home placement, the Assessor should still record the structure of their daily routine. For some service users who require additional support within the care home placement (via Individual Service Agreement), the Assessor should record how this additional support has been delivered to support the service users.

There is a table for each day and the Assessor should record the support as Personal Care, Non Personal Care, Informal Support and ILF Support.

Personal Care

Please refer to the [Social Care Charging Policy](#) on Glasgow website for the list of Personal Care tasks.

Non Personal Care

This includes all the support except Personal Care tasks, such as housework, day opportunity, day care, budgeting, work placement, etc. For example, if the service user attends day care from 10am to 3pm, it should be recorded as 10-12 in the morning and 12 -3 in the afternoon in the Non-Personal Care column. Under normal circumstance, sleepover should be recorded as Non Personal Care, however if there are waken night hours to provide personal care, those waking night hours should be recorded in Personal Care column.

Informal Support

This is the support provided by unpaid carer(s), neighbour(s) or friends.

ILF Support

This is to incorporate the supports purchased by ILF and all ILF support should be recorded in the timetable. For example, if the service user receives personal care which is funded by ILF, the Assessor should record personal care tasks in the 'ILF Support' column instead of 'Personal Care' column.

After completing the timetable for each day, the Assessor needs to add up the total support hours for Personal Care, Non Personal Care, Informal Care and ILF Support and record it in the 'Weekly Total'.

It is recognised that not all the support are being provided on a daily or weekly basis, therefore the Assessor should record this kind of support in 'Annual Support not described above'. The most common support in this category is Short Breaks.

The Assessor can also provide any additional information about the support arrangement in the 'Additional Information' provided. One of the examples is the

Assessor can use this text box to record the non-term time support where the term time support can be recorded in the time table above.

How individual Budget will be used

Agreed Estimated Budget

This should be recorded already and the Assessor should use the 'View Last' and 'grab' function to populate the most up to date figure of 'Agreed Estimated Budget' and this figure should not be overwrite unless it is incorrect.

How will the support and budget be managed

The Assessor should use the 'View Last' and 'grab' function to populate the previous answer. This is an opportunity to ensure the Option chosen previously is still relevant. If the service user has changed their mind or another Option is chosen due to the complexity of the support plan, or capacity issue, the Assessor should select the appropriate Option and give an explanation in the 'Comment' text box.

ILF Threshold

This should be recorded already and the Assessor should use the 'View Last' and 'grab' function to populate the most up to date figure. Please note it is still the Assessor's responsibility to ensure the figure is accurate. Please do not overwrite this figure unless it is incorrect.

Service Details

This part is to record the breakdown of the cost of the support arrangement. One of the key features of this part is to allow the Assessor to record Start Date and End Date for each type of the support arrangement. This allows the Assessor to inform Finance of the Start Date of the support arrangement and also the End Date of some part of the support arrangement where it is no longer relevant. Please note the start date should always be in advance.

Please refer to the '2015 Framework Agreement for Selected Purchased Social Care Supports' to ensure the correct rates for the providers have been applied.

The Assessor should also make use of the local Finance and Commissioning Surgery when completing this section.

Another key feature of this part is the Service Type. It captures two elements here – the Budget Route and the Contract Type. The Budget Route is Option 1-Option 4 and the Contract Types are Care and Support, Day Opps, Short Breaks, Directly Provided and Others.

Please refer to Recording Guidance for more details.

<u>Summary of Views</u>

This section is completed by the Assessor who should summarise the views of service user and carer / legal representative. In 'Views of Care Manager', the Assessor should record their views of the overall Support Plan which should include whether the Support Plan can meet the Assessed Needs, achieve the identified Outcomes for the service user and mitigate the risks identified in the Risk Assessment.

This is the last part of the OBSP for Assessor to complete; the Assessor should ensure all the previous sections of the OBSP are completed accurately.

Before assigning the OBSP eform to the Team Leader for screening, the Assessor should:

■ Ensure all the relevant sections of the OBSP are completed accurately
■ Ensure Risk Assessment is up to date
■ Seek support from Finance particular for the Service Details section to ensure the figures provided are accurate to avoid unnecessary delay later in the process
■ Ensure service user and the provider are fully aware of the details of the OBSP and make sure provider is committed to the start date of the Support Plan. If the provider keeps changing the start date or unable to commit to the start date, please consult the link Commissioner for the chosen provider.
■ Ensure the cost of support plan is within the AEB, otherwise Assessor should discuss with Team Leader prior to assigning the OBSP for authorisation

<u>Authorisation</u>

Once the OBSP is assigned to the Team Leader, the Team Leader should ensure the support plan can meet the service user's Assessed Needs and the identified Outcomes. The Team Leader also needs to ensure the risks assessment is up to date and the risks are being addressed and managed appropriately within the support plan. If more information is required, the Team Leader should discuss with the Assessor directly.

After the Team Leader has screened the OBSP, if the total cost of the support plan is equal to or less than the AEB, the Team Leader can authorise the eform. The Team Leader should record the comments in 'OBSP Authorisation Summary'*.

By exception, where the Assessor feels the support plan is unable to meet the Assessed Needs and achieve the identified Outcomes, the Assessor should discuss with the Team Leader in more detail to ascertain there is no other alternative to deliver the Support Plan. This can be due to the need for a specific type of support/ accommodation or additional resources being required. If the Team Leader agrees that the OBSP can not be delivered within the AEB, the Team Leader should ask the Assessor to complete the 'Views of Care Manager' with the details of highlighting the need for additional resource or a specific type of support / accommodation is required. The Assessor should then assign the OBSP eform to the Team Leader.

The Team Leader should then record the comment in 'OBSP Authorisation Summary'* and reassign the eform to a Service Manager for authorisation. Service Manager can exercise their discretion and authorise the total cost of the support plan up to the value of the Inflated Subtotal** or up to £40,000 if it is higher than the value of the Inflated Subtotal. Service Manager then records their comments in the 'OBSP Authorisation Summary'*.

If it is outwith Service Manager's authority to authorise the total cost of the support plan, Service Manager records the comment in the 'OBSP Authorisation Summary'* and assigns the eform to a Locality Head of Service for further authorisation. The Locality Head of Service then records their comments in the 'OBSP Authorisation Summary'*.

Service Manager can authorise the out of Glasgow placement and the out of Scotland placement should be authorised by a Locality Head of Service.

Where the risks highlighted in the OBSP are so significant, the Service Manager can make a referral to Risk Enablement Panel following the discussion with the Head of Service. More information is available on the Risk Enablement Process (see Risk Enablement Guidance on Connect). As the OBSP is unable to be agreed at this stage, this OBSP eform will remain open and the Service Manager should assign the OBSP eform to the Assessor.

*OBSP Authorisation Summary should include a brief description of the support plan, the AEB and the total cost of the support plan. The person who records the summary should also put in their name and the date in the comment as it will be visible in the observation. Please note this 'OBSP Authorisation Summary' will become an observation on CF once the OBSP is finished and saved.

**Inflated Subtotal – The Inflated Subtotal of Estimated Budget Based on RAS Score which is recorded in the RAG minute.

Agreed Individual Budget
This should be recorded by the person authorising the Individual Budget - Team Leader, Service Manager or Head of Service (locality).

Next Review Date
The Team Leader is now responsible for creating Review Activity to the Assessor or a Team Desktop (if appropriate). This Review Activity can be used for Personalisation Initial Review or any Personalisation Review. The Team Leader decides when the Next Review should be carried out according to the complexity of the cases. Please note it is still the Assessor's responsibility to create the Personalisation Review eform and complete the Review activity.

Authorised By and Date
Where the OBSP eform is authorised by a Team Leader, the Team Leader should put their LID and date in this section.

Where the OBSP eform is authorised by a Service Manager, the Service Manager should put their LID and date in this section.

Where the OBSP eform is authorised by a Head of Service, the Head of Service should put their LID and date in this section.

The person who authorises the OBSP should also reassign the eform to Finance (CECCYPER) for Verification. Finance will use the 'Comment' text box to communicate to the Team Leader. Once the OBSP has been verified and there is no issue, Finance will re-assign the eform to the Team Leader and advise the Team Leader to finish and save the eform. However, if amendment is required, Finance will record their comment in the 'Finance Comment' and re-assign the eform to the Team Leader for action. The Team Leader can then request the Assessor to make those amendments, and then assign the eform to Finance until the OBSP is verified by Finance.

This OBSP eform should always be finished and saved by the Team Leader.

Please note after the OBSP eform has been finished and saved, if there is a change to the start date or end date, the Assessor should advise Finance via Activity. (Class – Authorise and Type – Authorise Service Agreement Start or End)

This activity can also be used to advise Finance where the support is to be stopped and then re-started given that there is no change to the support plan (i.e. same provider(s) and same level of support) within a 12 week period.

If the service cessation goes beyond 12 weeks, the support cannot be reinstated via activity. The Assessor must either complete a new OBSP where there is no significant change to the service users's Assessed Needs or a SNA to re-assess the service user where there are significant changes to the Assessed Needs.

Personalisation Review

The purpose of an Outcome Focused Review is to:

- review progress in using an Individual Budget to achieve the Outcomes identified in the Outcome Based Support Plan (OBSP)
- share learning about what has been tried and worked and not worked
- identify next steps to achieve these Outcomes
- update the OBSP
- make clear if the service user's Assessed Needs and / or circumstances have changed, and
- help the Council to check if the service user is still eligible for social care services.

(Outcome-focused Reviews – A Practical Guide)

The aim of the Personalisation Review Process is to respond proportionately to different Review scenarios. It allows the Assessor to review the Outcomes identified to each Assessment Question and also allows the Assessor to make changes to the Outline of Support and the Service Details of the support plan. Therefore, after the Review eform is finished and saved, it becomes the most up to date support plan for the service user.

If there are changes to the service user's finances, new Financial details should be put on CF and an activity should be sent to Welfare Right Team for Income Maximisation. Welfare Right Team will communicate to Finance once the financial details are checked. Finance will then calculate the new client contribution and record it on CF. The Assessor can access the 'Contribution' Screen on CF to find out the new client contribution. Please note Finance will not automatically re-calculate the client contribution until they have received instruction to do so.

Personalisation Initial Review

For those who are receiving Social Work Services for the first time, or have changed their support substantially, a Personalisation Initial Review should be carried out approximately 6 weeks after the start date of the OBSP. The purpose of the Initial Review is primarily to ensure the services are in place and appropriate action has been taken in achieving the indentified Outcomes. Please

note that where the service user manages the Individual Budget as a Direct Payment, the Assessor should also make reference to Self Directed Support – Individual Budget Interim Financial Procedures for Service Users at the Review and ensure service user is aware of this procedure and is complying with it.

There is no requirement to create a Personalisation Review eform if there are no issues with the implemented support plan. The Assessor should put an observation (Care Plan) on careFirst (CF) with a summary of the progress made so far and complete the Personalisation Initial Review Activity. The Assessor should also create an activity for the next Personalisation Review and the 'Required by' date should be within a maximum period of 2 years. The Assessor should discuss this with Team Leader if in doubt.

However, if there are concerns with the implemented support plan, the Assessor should conduct a formal review and complete the Personalisation Review eform on CF. (Refer to the Review Process below)

<u>Personalisation Review</u>
Depends on the Review scenarios, there are three possible Review Processes:

Review Process
1) Where a Personalisation Review (2 year Review) is being carried out, and there is no significant change to the service user's circumstances and Assessed Needs, the Assessor still has to complete a Personalisation Review eform, re-assess the service users by updating the Support Needs Assessment (SNA) and OBSP. Therefore, after the re-assessment process, there will be a new SNA and a new OBSP for the service user. However, if there are significant changes to the service user's circumstances and Assessed Needs, please refer to the paragraph 2) below.

2) Where a Personalisation Review is being carried out and there are significant changes to the service user's circumstances and Assessed Needs which are likely to lead to changes to the current support plan and the resources level, the Assessor should complete the Personalisation Review eform and re-assess the service user – update the SNA, have the

Agreed Estimated Budget (AEB) agreed by the Service Manager at the Resource Allocation Group (RAG) meeting and complete a new OBSP.

3) Where a Personalisation Review is being carried out and there is no significant change to the service user's circumstances and Assessed Needs, the Assessor completes the Personalisation Review and Team Leader authorises the Review form. With the Outline of Support and the Service Details in the Personalisation Review form, the Assessor is allowed to make changes to these two parts as long as the total cost of the services does not exceed the current Agreed Individual Budget (AIB). By exception, if it exceeds the current AIB, the Assessor should seek advice from the Team Leader or Service Manager. This Review scenario may be as a result of being part of an Adult Support and Protection investigation, a complaint or a service concerned about a particular provider.

When the Personalisation Review eform is finished and saved, this will become the most up to date support plan for the service user.

The 2015 Social Work Framework Agreement for Selected Purchased Social Care Supports (2015 Framework Agreement) was implemented in February 2016, please use this process to select and engage a Care Provider from the 2015 Framework Agreement at the following points in the process :
- New Business – at stage following Assessment and Resource Allocation
- Existing Business – at Review stage where a Provider is being changed or an additional Provider is being added
- Existing Business – at Review stage where a Provider is not changing but has not been contracted onto the 2015 Framework Agreement previously

Please refer to the Guidance for Social Work Staff on 2015 Social Work Framework Agreement for more details.

Personalisation Review eform

Persons Consulted

The Assessor should involve the service user, their legal representative, or their carers and the people who provide support to the service user (Personal Assistant or Provider) at the review.

The Assessor should record all the people who attended at the review and the date of review.

Outline effectiveness of the current care plan

The Assessor should provide an overview of the current care plan in terms of to what extent it has worked or not worked for the service user, the barriers that the service users have faced (if any) and what needs to change and the actions required for any changes. It is not necessary to comment on all identified Outcomes in this section as the Assessor will be asked to comment on the Outcomes identified to each Assessment Question in next section.

Outcomes

The Assessor should ensure all the Outcomes identified to each Assessment Question are still relevant to the service user. For those Outcomes which are still relevant to the service user, they should remain open on CF and the Assessor should review the progress towards achieving the identified Outcomes and record it in 'Outcome Progress' to each Assessment Question. Service user may identify new Outcomes, the Assessor should ensure the newly identified Outcomes are relevant to the Assessed Needs and create them in the eform and record the details in 'How to Achieve'.

For those Outcomes which are no longer relevant to the service user, they should be ended on CF and the Assessor should record the End Reason as 'met', 'partially met', or 'not met'. The Assessor should also provide a brief summary of the reason why the Outcomes are ended in the 'Outcome Progress'. As the Outcomes are linked to the Assessed Needs, if all the Outcomes of an Assessment Question ended at Review stage, it may indicate that Assessed Need has changed and may lead to re-assessment process. Please refer to para 2 of the Review Process section for details for the re-assessment process.

Please refer to the Recording Guidance for more details.

Outline of Support

This provides an opportunity for adjusting the support plan in order to meet the Assessed Needs and the identified Outcomes fully. The Assessor should use the 'View Last' and 'grab' function to populate all the existing answers where there is no change or make amendment if required.

How individual Budget will be used

This provides an opportunity for amending the Option of managing the support and budget. There is also a legal duty for the Assessor to review the Option with the service user at Review stage. At the review, it is possible that the service user may wish to change the Option of managing the support and budget. This section allows the Assessor to make this change as long as it does not exceed the current AIB. However a change of the Option may be due to a significant change of service user's circumstances or may lead to a significant change of AIB. Under this circumstance, it is likely to lead to a re-assessment process. Assessor is encouraged to discuss with Team Leader if in doubt.

This section also provides an opportunity for adjusting the cost of the support plan. As long as the adjustments of the support plan do not exceed the AIB, the Assessor can make those adjustments in this section. Please refer to the '2015 Framework Agreement for Selected Purchased Social Care Supports' to ensure the correct rates for the providers have been applied.

The Assessor should also make use of the local Finance and Commissioning Surgery when completing this section.

Please ensure you use the 'View Last' and 'grab' function to populate all the existing answers even when there is no change. Please refer to the Recording Guidance for details.

Talking Points Outcomes

The five questions essentially cover the key elements of the National 'Talking Points' agenda in Community Care. The Assessor should complete this section based as much as possible on the discussion with the service user. Many service

users will be able to articulate their views to the Assessor directly. However, for some service users, they may require additional support to understand the questions and to express their views. A useful tool called '[Your life, your support, you tell us](#)' has been designed to help the Assessor to support people with learning disability through the review process to express their views.

Please note the answers to these five questions should be supplied by the service user but NOT by their Next of Kin, carers or other stakeholders such as providers.

If the service user is unable to express views on these five questions even with the accessible document, Assessor should not answer the questions on behalf of the service user and should leave the answers blank.

<u>Summary of Views</u>

This section is completed by the Assessor who should summarise the views of service user and carer / legal representative. In 'Views of Care Manager', the Assessor should record their views on the Personalisation progress made so far and the overall Support Plan which should include whether the Support Plan can meet the Assessed Needs, achieve the identified Outcomes for the service user and mitigate the risks identified in the Risk Assessment.

Unlike the Support Needs Assessment, the Risk Assessment is not part of the Personalisation Review eform, however, the Assessor should always ensure the information recorded in the current Risk Assessment is appropriate, relevant and up to date.

The Assessor should record any financial and service provider issues in the text box provided. Finance issues may include client contribution, ILF Award, issues of managing Direct Payment, etc. If the Finance issues appear to be significant please also contact Finance directly and seek advice. Please note that where the service user manages the Individual Budget as a Direct Payment, Finance will carry out their annual audit and ideally this should coincide with the Personalisation Review where possible. For more information please refer to Self Directed Support – Individual Budget Interim Financial Procedures for Service Users.

Service Provider issues may include staffing issues and support arrangement issues. If the issues appear to be significant please also contact the link Commissioning for that provider and complete a Service Concern Proforma

Please note the Financial Issues and Service Provider Issues comment will no longer pull through as an observation on CF.

This is the last part of the Personalisation Review form for the Assessor to complete. The Assessor should ensure all the previous sections of the Personalisation Review are completed accurately before assigning the Personalisation Review eform to the Team Leader.

Authorisation

Once the Personalisation Review eform is assigned to the Team Leader, the Team Leader should read the Review eform very carefully and ensure all the sections of the Review eform are completed accurately. If more information is required, the Team Leader should discuss with the Assessor.

After the Team Leader screened the Review eform, if the total cost of the revised support plan is equal to or less than the AIB, the Team Leader can authorise the eform. The Team Leader should record the comments in 'Review Authorisation Summary'*.

By exception, where the revised support plan cannot be delivered within the AIB, the Assessor should discuss with the Team Leader in more details to ascertain there is no other alternative to deliver this revised support plan. If the Team Leader agrees with the increased costs, the Team Leader should ask the Assessor to complete the 'Views of Care Manager' with the details of highlighting the need for additional resources. The Assessor should then assign the Review eform to the Team Leader.

The Team Leader should then record the comment in 'Review Authorisation Summary'* and reassign the eform to a Service Manager for authorisation. Service Manager can exercise their discretion and authorise the total cost of the revised support plan up to the value of the Inflated Subtotal** or up to £40,000 if

it is higher than the Inflated Subtotal. Service Manager then records their comments in the 'Review Authorisation Summary'*.

If it is outwith Service Manager's authority to authorise the total cost of the revised support plan, Service Manager records the comment in the 'Review Authorisation Summary'* and assigns the eform to a Head of Service (locality) for further authorisation. The Head of Service then records their comments in the 'Review Authorisation Summary'*.

Service Manager can authorise the out of Glasgow placement and the out of Scotland placement should be authorised by a Head of Service in the locality.

Where the risks highlighted in the Review eform are so significant, the Service Manager can make a referral to Risk Enablement Panel following the discussion with the Head of Service. More information is available on the Risk Enablement Process (see Risk Enablement Guidance on Connect). As the Review eform is unable to be agreed at this stage, this Review eform will remain open and the Service Manager should assign the Review eform to the Assessor.

*Review Authorisation Summary should include a brief description of the revised support plan, and the total cost of the revised support plan. The person who records the summary should also put in their name and the date in the comment as it will be visible in the observation. Please note this 'Review Authorisation Summary' will become an observation on CF once the Review eform is finished and saved.

**Inflated Subtotal – The Inflated Subtotal of Estimated Budget Based on RAS Score which is recorded in the RAG minute.

Agreed Individual Budget
This should be recorded by the person authorising the Individual Budget –Team Leader, Service Manager or Head of Service.

Next Review Date
The Team Leader is now responsible for creating Review Activity to the Assessor or a Team Desktop (if appropriate). This Review Activity can be used for Personalisation Initial Review or any Personalisation Review. The Team Leader

decides when the Next Review should be carried out according to the complexity of the cases. Please note it is still the Assessor's responsibility to create the Personalisation Review eform and complete the Review activity.

Authorised By and Date

Where the Personalisation Review eform is authorised by the Team Leader, the Team Leader should put their LID and date in this section.

Where the Personalisation Review eform is authorised by the Service Manager, the Service Manager should put their LID and date in this section.

Where the Personalisation Review eform is authorised by the Head of Service, the Head of Service should put their LID and date in this section.

The person who authorises the Review eform should also reassign the eform to Finance (CECCYPER) for Verification. Finance will use the 'Comment' text box to communicate to the Team Leader. Once the Review eform has been verified and there is no issue, Finance will re-assign the eform to the Team Leader and advise the Team Leader to finish and save the eform. However, if amendment is required, Finance will record their comment in the 'Finance Comment' and re-assign the eform to the Team Leader for action. The Team Leader can then request the Assessor to make those amendments, and then assign the eform to Finance until the Review eform is verified by Finance.

This Review eform should always be finished and saved by a Team Leader.

Please note after the Personalisation Review eform has been finished and saved, if there is a change to the start date or end date, the Assessor should advise Finance via an Activity. (Class – Authorise and Type – Authorise Service Agreement Start or End)

This activity can also be used to advise Finance where the support is to be stopped and then re-started given that there is no change to the support plan (i.e. same provider(s) and same level of support) within a 12 week period.

If the service cessation goes beyond 12 weeks, the support cannot be reinstated via activity. The Assessor must either complete a new OBSP where there is no significant change to the service users's Assessed Needs or a SNA to re-assess the service user where there are significant changes to the Assessed Needs.

Personalisation Variation

Personalisation Variation eform can only be used for the service users who already have an Agreed Individual Budget. This eform allows the Assessor to vary the current Support Plan in order to meet the service user's Assessed Needs and achieved the identified Outcomes fully on a temporary basis. The Assessor can use this eform to increase or reduce the support. The Assessor should also discuss with the Team Leader and ensure the necessity of using Variation. The Team Leader should always discuss with the Service Manager before agreeing the use of Variation.

There is no Personalisation Variation Review eform. It is expected for most cases, the Assessor should be able to make a decision within a 4 week period whether the temporary change to the existing support is required on a permanent basis. After a maximum of 4 weeks, the Assessor must complete a Personalisation Review eform with the revised support plan if there are permanent changes to the support plan. Otherwise, if no further action is taken, the support plan will be reverted back to the original support plan. In this case, no Personalisation Review eform is required.

However, by exception, the Team Leader can apply discretion to extend the temporary change for a further period of 4 weeks to allow the Assessor to have more time to finalise the support arrangements and complete the Personalisation Review. After a maximum of 8 weeks, the Assessor must complete the Personalisation Review eform to incorporate the permanent changes to the support plan. Where the changes to the service user's circumstances and /or Assessed Needs are so significant, the Assessor should also re-assess the service user. Please refer to paragraph 2) of Review Process in the Personalisation Review section.

Personalisation Variation eform

Background to Variation

The Assessor can use the 'View Last' and 'grab' function to populate the
information. This information should either come from the most up to date
Support Needs Assessment (SNA) or the Outcome Based Support Plan (OBSP).
This information will be particularly useful for the provider who provides support
to the service user for the first time. The Assessor can update this section when
necessary.

Justification for a temporary change to current support

The Assessor should provide a brief summary to justify the temporary change to
the current support is required. Where the temporary change is an increase of
support, the Assessor should state the reason why the existing support
arrangement is insufficient. The temporary change can be an increase of support
or a reduction of support and the temporary change should last no more than a
period of 4 weeks.

How Individual Budget will be used

Describe the temporary changes to the current support

The Assessor provides a brief summary of changes to the current support and
what current support is not changing.

Service Details

Where the temporary change is an increase to the current support plan, the
Assessor should use the 'View Last' and 'grab' function to populate the existing
information into this section and add the details of additional support in a
separate column with a start date and end date.

Please note if there is no action taken after Variation runs out, the support
arrangement will be reverted back to the original support plan.

Where the temporary change is a reduction to the current support plan, the
Assessor should use the 'View Last' and 'grab' function to populate the existing
information into this section and put an end date to the service which is due to be
reduced and add the revised support arrangement in a separate column with a
start date and an end date. The Assessor should then put the original support

arrangement in another column with a start date which should be the day after the revised support arrangement ends. If no further action is taken after the Variation runs out, the support arrangement will be reverted back to the original plan.

As the Variation eform is only to make temporary changes to the current support plan, after the Variation runs out, the support plan should always revert back to the original support plan. Therefore, it is important to record the Service Details section accurately, particular when making temporary reduction to the support plan as this part of the recording can be complicated and please refer to the Recording Guidance for more details or seek support at locality Finance Surgery if in doubt.

This is the last part of the Variation eform for the Assessor to complete. The Assessor should ensure all the sections are completed accurately before assigning this eform to the Team Leader for Authorisation.

<u>Authorisation</u>
This section should be completed by a Team Leader.

Once the Personalisation Variation eform is assigned to the Team Leader, the Team Leader should read the eform very carefully and ensure all the sections of the eform are completed accurately. If in doubt, the Team Leader should discuss with the Assessor directly before authorising the eform. The Team Leader should always discuss with the Service Manager before agreeing the use of Variation.

The Team Leader should ensure the Assessor has input the correct start date and end date in the Service Details section and the Variation should last no more than a period of 4 weeks.

The Team Leader should record their comment in 'Variation Authorisation Summary'. Please note this comment will become an observation on CF as 'Variation Authorisation Summary'. This comment should include a brief description of the temporary change to the existing support with a clear start date and end date and the date of the Variation Review. The Team Leader should

also put in their name and the date of authorisation in the comment as it will be visible in the observation as in who authorises the Variation and when.

Next Review Date

In order to manage the Variation more effectively, the Team Leader is now responsible to monitor all the Personalisation Variation Activity by creating a 'Personalisation Variation Review' Activity and assigning to themselves. In order to review the Variation promptly, the Team Leader should set the 'Required by Date' at least 1 week before the Variation ends. The Team Leader should also create a 'Personalisation Variation Review' Activity to the Assessor to remind the Assessor to carry out the Personalisation Variation Review promptly. Please note it is still the Assessor's responsibility to create the Personalisation Review eform (if required) and complete the Personalisation Review activity.

However, if the Variation is ended within the 4 week period or is no longer required after 4 weeks, there is no need to create the 'Personalisation Variation Review' Activity.

Authorised By and Date

The Team Leader should put their LID and date in this section.

At this point of the process, the Team Leader should
■   Ensure the Variation Authorisation Summary is recorded accurately
■   Ensure the Personalisation Variation Review Activity is created and assigned to himself or herself with the appropriate 'Required by Date' (if necessary)
■   Ensure the Assessor has completed the rest of the eform accurately
■   Ensure the Personalisation Variation Review Activity is created and assigned to the Assessor with the appropriate 'Required by Date' (if necessary).

Then the Team Leader should assign the Personalisation Review eform to Finance – CECCYPER for Verification.

Finance will use the 'Comment' text box to communicate to the Team Leader. Once the Variation eform has been verified and there is no issue, Finance will re-

assign the eform to the Team Leader and advise the Team Leader to finish and save the eform. However, if amendment is required, Finance will record their comment in 'Finance Comment' and re-assign the eform to the Team Leader for action. The Team Leader can then request the Assessor to make those amendments, and then assign the eform to Finance until the eform is verified by Finance.

This Personalisation Variation eform should always be finished and saved by the Team Leader.

Please note after the Variation eform has been finished and saved, if there is a change to the start date or end date, the Assessor should advise Finance via an Activity. (Class – Authorise and Type – Authorise Service Agreement Start or End)

Appendix 1

Highlight of the Statutory Guidance to accompany the Social Care (Self-directed Support) (Scotland) Act 2013

New Legal Duties and Powers in relation to the main assessment and services to Children, Adults and Carers introduced by the SDS Act 2013

A)   <u>New Legal Duties</u>

1)   Duty to have regard to the general principles of Collaboration, Informed Choice and Involvement as part of the assessment and the provision of support.

■   The authority should collaborate with the service user when they undertake the assessment and provide support

■   The authority should take steps to ensure that the person makes informed choices as part of their assessment and in selecting their support options.

■   The authority should take steps to involve the service user to the extent that the Service User wishes to be involved in their assessment and in selecting their support options.

2)   Duty to take reasonable steps to facilitate the person's dignity and participation in the life of the community

■   The 2013 Act provides a further general principle related to independent living. This principle should guide and inform the assessment of need and the provision of support following the assessment. The authority should take reasonable steps to facilitate the principle that the person's right to participate in the life of the community is to be respected. This means that the general principles of participation and dignity should guide and inform the authority's approach to assessment, (i.e. its assessment practice) the manner in which it provides service and the manner in which it provides options to the supported person.

3)   Duty to offer four options to the supported person (please see Appx 2 for more details)

■   The 2013 Act imposes a new duty on the authority to provide 4 options to all adults, children and carers eligible for support or provided with services.

4)   Duty to explain the nature and effect of the 4 options and to 'signpost' to other sources of information and additional support

■   The authority is placed under a new duty to explain the nature and effect of the 4 options provided under the 2013 Act. That means the authority should explain what each of the 4 options will mean for the supported person.

- the authority is placed under a duty to provide information about other persons or organisation out-with the authority who can provide assistance or information about the options and how to manage the options
- The authority is placed under a duty, where it considers it appropriate to do so, to provide information about organisations and individuals who can provide independent advocacy services, i.e. services that can advocate on the person's behalf in relation to the assessment and the selection of the various options provided under the 2013 Act.

B)   New Legal Power

Power to provide support to carers (of adults) following a carer's assessment

- The 2013 Act provides the authority with a new power to provide support to the carer- support which helps to address the carer's needs to continue in their caring role.

In order to fulfil the Legal Duty 1) and 2), Assessors must have regard to the following statutory principles during the assessment and support planning process.

Statutory principles appropriate to assessment and the provision of support

The Principle	What it means in practice
Participation – A statutory principle and a key aspect of independent living	The supported person should be provided with the help that they need to participate in and be part of, the life of their community and wider society.
Dignity – A statutory principle and a key aspect of independent living	The professional should facilitate the supported person's right to dignity.
Involvement – A statutory principle	The professional should involve the supported person in a genuine and active way in deciding their outcomes and in planning and delivering their support. Communities should be assisted to play an active role in the commissioning of services.
Informed Choice – A statutory principle	The supported person should receive the assistance they need to help them to make an informed choice.
Collaboration – A statutory principle	The professional and the supported person should work together in the completion of the assessment, the support plan and in the provision of support.

Additional Good Practices Principles which should also help to underpin good practice in assessment and support planning process

Responsibility	The supported person should be able to take as much

	control over their support as they wish. In return, the supported person should exercise that choice and control in a responsible way.
Risk Enablement	The supported person should be assisted to feel safe and secure in all aspects of life, to enjoy safety but not to be over-protected and, in so far as possible, to be free from exploitation and abuse.
Innovation	The professional and the supported person should develop creative solutions to meet the outcomes identified in the support plan.

In order to fulfil Legal Duty 3) and 4), Assessor should provide the information about the 4 options at an early point in the process as well as throughout the process of assessment, support planning, and review process.

Information and Support Duties Imposed by the 2013 Act (Section 9)

Duty	Purpose behind the duty and what it should mean in practice	What it means in practice in Glasgow content
'Informed Choice' – the duty to assist the person to express their views and to make an informed choice about the support options available to them	This duty is to ensure that the supported person can express what they want from their support and how they wish to arrange their support. The assistance can be provided by the authority itself (i.e. social worker), 'circle of support' (i.e. people who can assist the supported person to choose what they want), support and information organisation, advocacy organisations or any other person or organisation including peer support organisations, third sector organisations or others.	Staff should make the service user aware that he/she can get support from their family, friends, support and information organisation or independent advocacy organisation during the Personalisation process and provide the information to the service user where they can get support from. A list of support and information organisations and independent advocacy organisation is available and staff can give a copy to service user.(Appendix 6)
'Nature and effect' – the duty to explain the implications of the support options available to the person	This duty is to ensure that all 4 options are described in full to the supported person and in a format appropriate to the person. The responsibility for discharging this duty rests on the social work	Staff should explain the 4 options to the service users and help them to understand what the options mean to them. Staff to give service user the information about the 4 options. (Appendix 2)

The authority must explain to the person the nature and effect to each of the options The authority must give the information in writing and, if necessary, in such other form as is appropriate to the needs of the supported person.	professional as part of the assessment process. The authority should seek to explain the basic characteristics of the options available to the supported person, and also to describe the distinctions between the different options. The authority should use terms that the supported person can engage with and relate to, and it should make the options clear. The requirement to give the information in writing reflects the importance of written information in the form of pamphlets and other relevant materials. However, authority should also consider the specific communication needs of the person. It should tailor its communication to suit the requirements of the person.	Staff to give service user the information about the 4 options. Staff can also print it in different font size when needed. (Appendix 2)
'Additional information to manage your support' – the duty to provide the person with information about how to manage their support.	This duty is particularly relevant to Option 1 and 2 in the 2013 Act. This is important because it ensures that the person is made aware of the additional support available to the person to assist them to manage their support after their initial choices are made. It can help the person to make an active and informed choice about the Option that is appropriate to them.	Staff should advise service user about the additional support available to them in terms of managing their support and budget. A list of support and information organisations and independent advocacy organisation is available and staff can give a copy to service user.(Appendix 6)
Independent and peer led support – the duty to provide the person with information about persons who can provide i) assistance or information to the	This imposes a duty on the authority to direct the person to all relevant sources of independent information and support available in the local area or via the relevant national organisations. This encompasses peer led	A list of support and information organisations and independent advocacy organisation is available and staff can give a copy to service user (Appendix 6). Staff can also print it in different font size when needed.

person to assist the person in making decisions about the options, ii) information about how to manage support.	support organisations along with any other organisations independent of the authority.	
Advocacy services – in any case where the authority considers it appropriate to do so, the duty to provide information about independent advocacy services (within the meaning of section 259(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003)	Where the person has a right to advocacy services, this duty requires the authority to direct the supported person towards the relevant services	A list of support and information organisations and independent advocacy organisation is available and staff can give a copy to service user (Appendix 6). Staff can also print it in different font size when needed.

With regards to the New Legal Power – Power to provide support to carers following a Care's Assessment

Assessor should offer Carers Assessment to the Carers and follow Glasgow City Council Carers Pathway in order to address the Carer's needs. Please see Carers page for more details.

Appendix 2

The Four Options

Option	Definition in 2013 Act	What does it mean in practice in Glasgow?
Option 1 Direct Payment	The making of a direct payment by the local authority to the supported person for the provision of support.	Direct Payment – Service User arranges their support and manages their budget
Option 2 Directing the available support	The selection of support by the supported person, the making of arrangements for the provision of it by the local authority on behalf of the supported person and, where it is provided by someone other than the authority, the payment by the local authority of the relevant amount in respect of the cost of that provision.	Service User Selected Direct Award – Service User chooses the provider from the Framework Agreement and the budget will be managed in accordance with the agreed Outcome Based Support Plan.
Option 3 The local authority arranges support for the supported person	The selection of support for the supported person by the local authority, the making of arrangements for the provision of it by the authority and, where it is provided by someone other than the authority, the payment by the authority of the relevant amount in respect of the cost of that provision.	Council Selected Direct Award – Council arranges the support and the budget will be managed in accordance with the agreed Outcome Based Support Plan. Council Selected Mini-Competition where it is appropriate– it is a commissioning led process which is a fair and transparent way to best meet the Service User's assessed needs and their outcomes.
Option 4 "mix and match"	The selection by the supported person of Option 1, 2 or 3 for each type of support and, where it is provided by someone other than the authority, the payment by the local authority of the relevant amount in respect of the cost of the support.	Any combination of the above.

Appendix 3

The Individual Budget

An Individual Budget (IB) is an allocation of money that can combine several funding sources and can be used to design and purchase support from the public, private or voluntary sector to meet a person's assessed eligible needs, in line with a service user's Outcome Based Support Plan.

Flexibility and service user's choice and control are at the heart of Personalisation and SDS. Under Section 12A of the Social Work (Scotland) Act 1968 the local authority has a duty to assess a person's needs for community care services and to decide whether those needs call for the provision of services. One of the consequences of the current financial climate is that the local authority has had to intensify its focus on ensuring that social work resources are targeted consistently on assessed areas of need in accordance with eligibility criteria and can only agree spend of Individual Budgets to meet these needs and outcomes that match the eligibility criteria.

In the 2013 Act, it refers to 'relevant amount' means the amount that the local authority considers is a reasonable estimate of the cost of securing the provision of support for the service user.

The Local Authority has the right to exercise control over how that part of the IB has been funded by the local authority, is spent, even when it is sitting in an individual's bank account or with a service provider. If the funding is paid directly to the individual, they must comply with the Self- Directed Support – Individual Budget Interim Financial Procedures for Service Users. It is important for staff to familiarise themselves with the above procedures in order to be able to support service users to comply with them.

Where an individual's IB is held and managed by a provider, the provider is required to account for the funding to the local authority. The process for this is still in development but we hope to construct more flexible contracts to allow this to happen in the near future. In the meantime the procurement of services is done in a traditional way through our Finance section.

The IB should be linked clearly to the assessed need and the outcomes agreed as a priority for the individual requiring support. An outcome is the objective or end result that the individual is aiming to achieve. The outcomes, the means by which the individual is attempting to achieve them and the cost of the support needed to achieve them, are recorded in the individuals Outcome Based Support Plan. The Assessment Questions in Support Needs Assessment highlights the areas that are eligible for social care funding and the IB should be used to meet Outcomes in these areas.

It is also important to note that the IB can consist of social care monies, ILF and client contribution and should not be used for expenditure that other sources of income (such as welfare benefits) normally pay for.

What can the IB be spent on?

When a service user has been allocated an individual budget, Assessors are often asked to give information on what the money can and cannot be used for. It is important for workers to remember that Self-directed Support is designed to allow much greater flexibility in how social work monies can be spent. As stated above, the important thing is that the money is being spent in ways that help the person achieve the outcomes in the support plan. Below is a list of examples of how people can spend their budget. (This is a comprehensive list, but it should not be seen as an exhaustive list.)

1. **Direct Support**
   People can buy support to help them meet the Assessed Needs outlined in the Support Needs Assessment and the Outcomes identified in Outcome Based Support Plan from an agency or a Personal Assistant (PA). Please note only people choose who Direct Payment can employ PA. Only in exceptional circumstances can a relative be employed as a PA. This request needs to go to a Service Manager in Adult Services for approval. (please see What IB can be used for with careful consideration for details)

2. **Employability and Volunteering / Personal Development**
   People can use their IB to help them get to college or training courses. People can spend money to help them get a job or return to work. It should be noted that responsibility for educational support rests with the educational establishment. Social care support can be used to facilitate attendance. We will meet people's assessed need for social care support when we assess they need this.

3. **Social Relationship and Community Activities**
   IB's can be used to support people to access community activities, this can include paying for staff support, paying membership fees for clubs and courses etc. People can choose to spend money on support to go away with family and friends rather than using traditional respite services so long as it still meets the outcomes associated with sustaining a carer's ability to continue providing support.

4. **Eligible adaptations, Assistive Technology or other appropriate forms of equipment**
   People can use the money to purchase assistive technology or equipment. This would include equipment that prevents someone falling, or that keeps people safe. Alarms and alert systems, computer equipment to help with communication, lightweight ramps for wheelchair access, can all be considered if it makes sense for a particular person.

5. **Supporting People's Health and Well Being**
   Money can be used for support in doing things like going to the gym etc. The money can be used to meet the costs of support workers assisting people attend the activity as well as support workers fees/memberships. This sort of participation could encompass a wide range of physical activities, such as, support to go swimming, help to go to weight loss classes and support to go to the GP and other medical appointments.

6. **Legal Rewards/Payments in Kind**

   Friends, family and neighbours can give people lots of support that is free or can be traded in exchange, an example of this is, support from a friend to go to the football in return for the occasional tank of petrol. This type of support needs to be agreed in advance in the Outcome Based Support Plan and can only be applied to service user who manages their support via Direct Payment.

7. **Holidays**

   Money can be used to support individuals to go on holiday. It cannot be used by the individual to pay for their holiday. It may be appropriate that people use their IB to fund the holiday costs of support staff, their wages and their transport costs.

8. **Transport**

   Staff should encourage people to use their DLA Mobility Allowance to meet transport costs of accessing social work support as outlined in the Outcome Based Support Plan. This will allow maximum use of council resources to purchase support. This is consistent with the council's charging policy. If this is not possible then transport costs can be met from the IB.

What an IB Can Not Be Used For

People will sometimes want to spend their IB in a way that Assessors are unsure about. At these times it is important to talk things through with the service user to have a better understanding on how the use of the money relates to the outcomes they want to achieve. Please discuss with Team Leader or Service Manager if in doubt.

An IB cannot be used in the following ways:

- Anything which is against the law, including employment law (People need to pay statutory minimum wage and need to declare all earnings in the appropriate legal manner)

- Anything involving gambling

- Financial Investments

- Healthcare needs that should be met by the NHS

- Individuals can not use their IB to purchase equipment that is usually provided by the Health Board for example a hearing aid. Nor can an IB be used as a substitute for Disabled Persons Home Improvement Grant/Scheme of Assistance awards or adaptations to properties

- Paying for things that other sources of income should cover- This includes alcohol, tobacco, grocery shopping, clothes, and personal entertainment. An individual who wishes to attend a concert or sporting event should pay for their own ticket. If they require a support person to go with them the individual can using their IB to fund the supporter's ticket. Individuals will be encouraged to meet travel costs from the DLA mobility component of their benefits. This will allow them to maximise the support they can purchase from their Individual Budget. Rent and mortgage payments, utility bills, home improvements, repair and maintenance costs can not be funded from the IB.

- The IB must only be used for the purposes of achieving the agreed outcomes identified in the Outcome Based Support Plan.

What an IB may be used for with careful consideration

<u>Employment of close relatives/family members as Personal Assistants (PAs)</u>
(A summarised extract from the Statutory Guidance to accompany the Social Care (Self-directed Support) (Scotland) Act 2013 p.72 –p.74)

Under the Direct Payment 2014 Regulations the authority can agree to a supported person (service user) employing a close relative or family member where appropriate. This flexibility is important as it provides the opportunity for such arrangements where it is the best or only solution to meeting the personal outcomes and needs for the supported person.

The Direct Payment 2014 Regulations provide a clear framework for such decisions, providing appropriate and inappropriate circumstances for the employment of family members. This framework involves the authority as a party to any decisions. This means that the authority retains the power to either agree or disagree to the employment of a family member, though this should be on the basis of whether the arrangement will or will not meet the assessed needs of the supported person and not on the basis of assumptions or a general policy stance in opposition to employing family members.

Under the Direct Payment 2014 Regulations family members means:

■ the spouse or civil partner of the direct payment user
■ a person who lives with the direct payment user as if their spouse or civil partner
■ the direct payment user's parent, child, brother or sister, aunt or uncle, nephew or niece, cousin, grandparent, grandchild, the spouse or civil partner of any of the above and a person who lives with any person listed above as in their spouse or civil partner.
■ All other relationships fall out with the scope of the Direct Payment 2014 Regulations.

All of the following requirements must apply in order for family members to be employed as personal assistants:

■ the authority, the family member (i.e. the prospective personal assistant) and the supported person must all agree to the family member providing support;

■ the family member must be capable of meeting the supported person's needs via the employment arrangement (Note: the authority, within its statutory duty of care ultimately decides if the arrangement will meet the supported person's needs); and

■ any one of the following additional appropriate circumstances must apply:

● there is a limited choice of providers (for further detail reference should be made to the Guidance accompanying the 2013 Act)
● the supported person has specific communication needs which

make it difficult for another provider to meet their assessed needs

- the family member will be available to provide support at times when other providers would not reasonably be available
- the intimate nature of the support makes it preferable to the supported person that the support is provided by the family member
- the supported person has religious or cultural beliefs that make the arrangement preferable to the supported person
- the supported person requires palliative care
- the supported person has an emergency or short-term necessity for the support
- there are any other factors which make it appropriate, in the opinion of the authority, that the family member provides the support

Exception to family member rules

A family member is not permitted to provide support

- if the authority determines that either the family member of the supported person or the supported person is under undue pressure to agree to the arrangement; or

- the family member is a guardian, continuing attorney or welfare attorney with power to make decisions as regards the support to be provided through the direct payment

These two inappropriate circumstances can apply – and can thus prevent an employment arrangement – regardless of whether any or all of the appropriate circumstances apply.

Employing family members can take place in exceptional circumstances only. This is in line with the current legislation. The arguments against employing family members are to do with possible conflicts of interest, and problems associated with formalising informal support arrangements. The council is also not responsible for funding unpaid carers into employment. Where the exceptional circumstances may apply to the individual, the Assessor should seek early guidance from Team Leader or Service Manager. It would be unhelpful for individuals (and assessor) to go through the support planning process assuming that the family members can be employed without first getting some in principle agreement. The decision to employ a family member requires to be authorised by a Service Manager in Adult Care Services.

More information can be found in The Self-directed Support (Direct Payments) (Scotland) Regulations 2014 at following link:
http://www.legislation.gov.uk/ssi/2014/25/pdfs/ssi_20140025_en.pdf

Appendix 4

Guidance on Direct Payment

As stated in SDS Act 2013, one of the Options for service users to manage their support is Direct Payment. The following must be taken into consideration when service users choose Direct Payment as the way of managing their support and Individual Budget (IB):

● Legal Capacity

This is a key consideration; the national guidance on self directed support states:
"Local Authorities must not exclude whole client groups of people from being deemed competent to consent to self-directed support. This means that local authorities should start from the premise that each person aged 16 and over, has the capacity to consent to self-directed support, even if they require help to enable them to do this."

The legal position is that Glasgow City Council can only contract directly with an individual if the individual is deemed to have the capacity to contract or a third party has appropriate financial proxy powers. Please refer to the Glasgow City Council Procedures for Adults with Incapacity

Below is a summary of the current advice on this issue.

- If the individual has capacity, in terms of the Adults with Incapacity (Scot) Act 2000 (AWI) an individual can choose to manage their Individual Budget

- There will be situations when an individual has a level of capacity. Provided that the Local Authority is satisfied that the individual accepts the responsibilities involved in SDS and support is available to the individual to fulfil their responsibilities, the individual can take on the responsibility for managing IB directly. An individual in this position can get support from organisations such as Glasgow Centre for Voluntary Service (GCVS) or Glasgow Centre for Inclusive Living (GCIL). Alternatively, they can delegate the responsibility for managing the IB to a trusted family member. Once adequate support to manage the IB is in place, the individual can choose any of the options to manage the IB, without recourse to Guardianship or Power of Attorney.

- Where an individual lacks capacity in terms of the AWI legislation, Glasgow City Council can only contract directly with a Financial Guardian appointed through the court, or a person who holds Continuing Power of Attorney.

- Where there is no appointed Guardian, consideration needs to be given to whether an application for Welfare and Financial Guardianship is pursued or whether Glasgow City Council will contract with a service provider to purchase support on behalf of the individual.

- Direct Payment can be managed by

  i) the service user
      A Direct Payment requires the setting up of a separate bank account which is only used for support monies. It has to be in the individuals own name. This way of managing the IB is very close to the way a direct payment is managed. The monitoring process for SDS is closely based on the Direct Payment monitoring process. Managing the IB in this way involves a legal contract between Glasgow City Council and the individual. It is necessary that the person receiving the Direct Payment has the capacity to contract.

  ii) the service user with the support from a support organisation
      There are a number of organisations such as Glasgow Centre for Inclusive Living (GCIL) and Glasgow Council for Voluntary Services (GCVS) and Scottish Personal Assistant Employers Network (SPEAN)
      GCIL can provide support to individuals who decide to manage their IB as a direct payment and offer payroll support. GCVS also offers some payroll support. Please contact these organisations directly for information on the type of support they offer and any associated costs. (See Appendix 6 for contact details)

  iii) the service user's legal representatives
      This applies where the service user is subject to Financial and Welfare Guardianship or has a legally appointed Power of Attorney (POA). The appointed Guardian/POA can manage the IB on behalf of the service user for the purposes stated in the service user's support plan. Glasgow City Council requires to see a copy of the Guardianship papers, to verify that the Guardian has the necessary powers. If Guardianship is being applied for to enable the management of an IB, it should specifically state that the Guardian has powers to manage the service user's IB. Existing Financial Guardianship will usually cover the management of the IB but when the Guardianship is due to be renewed; it should be amended to include the power to manage the IB. If in doubt please contact the Office of the Public Guardian. The Financial Guardian or POA may manage the funds themselves or choose any of the other ways to manage the IB (Provider, support organisation, directly provided etc).

  iv) a legal trust
      A Trust is a legal entity and could be used as a means to manage a service user's IB. If this makes sense for a service user the Assessor should consult with their Service Manager at the first opportunity.

- The Protection of Vulnerable Groups Legislation (PVG)
  Where a service user or legal representative plans to use the IB to employ Personal Assistant(s) (PAs) directly, Assessor should refer them to a support organisation which provides advice and support on the responsibilities and legal requirements of being an employer. The Assessor should then record on CF that they have done so. Currently

Glasgow City Council funds the Glasgow Centre for Inclusive Living (GCIL) to offer support to people who have a direct payment. The Assessor should refer to the Council's guidance on the Protection of Vulnerable Groups legislation.

It is the policy of Glasgow City Council Social Work Services that the Assessor **recommends** to the service user to employ the PAs who are the members of the PVG Scheme. However, the policy also acknowledges that it is the service user's right to decide whether to use the PVG scheme or not. Assessors should note and explain to service user that the Council reserves the right to insist that the service user check their prospective employee is a member of the PVG Scheme, if there is concern that a prospective recipient may be at significant risk of harm or abuse. In such circumstances, membership of the PVG scheme may be required prior to Glasgow City Council approving the IB as a Direct Payment.

Where the PA claims to be a member of the PVG Scheme, Glasgow City Council staff should encourage the service user to ask for a copy of the PA's Scheme Membership Statement.

More information: PVG Scheme and Self-Directed Support

Appendix 5

Independent Living Fund and Personalisation/Self Directed Support

1. Independent Living Fund Policy on Local Authority Input

The Independent Living (2006) Fund works in partnership with local authorities (LA's) to enable jointly financed packages of care to be arranged.

An individual budget can combine several funding sources including the Independent Living Fund (ILF).

Due to a policy shift with the development of self directed support, ILF will no longer impose a pound for pound reduction when we reduce our input, and therefore do not have to keep to our current Social Work Service contribution in order to keep ILF funding in place for each individual client.

e.g. Current GCC funding towards ILF service package is £600 per week, the Estimated/Individual Budget does not have to be maintained with this level of GCC funding input if it is not required to meet the person's needs.

The client will however lose the ILF funding if the local authority contribution goes below that of the qualifying criteria Threshold Sum (TS) at the time of the original ILF award, this TS ranges between £200 p/w and £340 p/w dependant on when the client got their award. The Threshold must consist of qualifying support and services (QSS) as set out by the ILF Trust Deed. Anything above the Threshold Sum can be used flexibly with the agreement of the Local Authority; it does not have to be spent on Qualifying Support and Services (QSS). See Sections 5 and 6 for further information.

The Threshold Sum (TS) was first set in 1993 and has been increased in 2008 and 2010 so that there are now three levels of Threshold Sum.

It is therefore vital that the individual client's correct Threshold Sum is identified either at the initial assessment or at review to ensure that ILF funding is continued.

In addition the following principles apply:

- All ILF funding must be used for Qualifying Support and Services
- Subject to agreement, service users may spend funding from Local Authority above the value of the relevant Threshold sum in ways that suit them best and not be restricted to Qualifying Support and Services.

- **The ILF will not normally take over funding previously paid for by the LA**

To illustrate the above, if the joint ILF/LA funding is 60 hours in total, and currently the LA pay for 38 hours per week and ILF pay for 22 (inclusive of client contribution), we cannot reduce to 30 hours and ask ILF to increase to 30 hours so that the same number of hours are funded. We can however reduce to 30 hours of support and ILF will continue to fund 22 hours.

Therefore, GCC will be able to reduce the input to the threshold sum level, but as previously highlighted will not be able to "offset" any reduction by increasing the input by the equivalent amount within the ILF funding. Certain exceptions to this rule apply including, moving between local authorities and where the user moves from children's to adults' services Click below for further information
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/289617/local-authority-input-ilf-policy.pdf

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2. Examples of ILF Policy Position

2.1. Change in ILF tasks
ILF has been funding the identified need for social support for an individual to date.

The Estimated budget has reduced the support that the LA has been providing, but is still meeting the Threshold sum.

However, in order to complete the OBSP the reduction means that personal care needs which have been met by Social Work would in effect need to be now met by the ILF funding.

This will be acceptable to ILF as:

- Personal care tasks come under Qualifying Support and Services definition i.e. ILF will not fund LA Day Centre/SWS Home Care provision
- SWS is still contributing the agreed threshold sum identified for the individual service user, and is used for QSS.
  * **QSS includes supporting people funding for non-housing support such as cleaning the service user's own room. General Housing support can not be included.**
- ILF have not been asked to take over funding previously paid for by the LA (cash or hours)

However, if ILF are also asked to fund more hours at a reduced hourly rate as a consequence of this change then this would not be acceptable to ILF, as more hours would be purchased than previously agreed and the LA has reduced their contribution.

The issue therefore is that the specific needs that ILF is asked to fund meets QSS and that ILF are not being asked to fund extra hours of support while the Local Authority has decreased their support.

2.2. Change in hourly rates

2.2.1 New Sleepover Rate

A new lower sleepover rate has been negotiated with a provider that both ILF and LA fund, can the additional monies saved within the ILF award then be used to buy more daytime hours?

ILF position

This should be accepted provided that the additional support does not replace care hours that had previously been funded by the Local Authority.

I.e. If the LA also reduces their agreed contribution in terms of number of hours provided this would be viewed as ILF taking over a provision previously covered by the Local Authority.

2.2.2   New provider hourly rate

ILF and Direct Payment pay for support from the same provider who has submitted a new personalisation rate that is lower than the rate that the ILF user is currently being charged. Can the ILF funding be used to purchase more hours at this new lower hourly rate while at the same time the Direct Payment has been reduced, and would be paying for less hours than previously agreed, but the same number of hours would be purchased in total.

ILF Position
This will not be acceptable to ILF as:

This would be viewed as taking over a provision previously covered by the Local Authority. Even though ILF have not been asked for any more money they would be asked to increase the number of hours purchased. This would also apply if the service user changes from an agency to a PA or an agency charging a reduced rate.

It is possible for ILF to continue using a higher hourly rate at the same number of hours and for SWS to purchase less hours at a reduced hourly rate, as ILF will judge whether the costs are deemed reasonable by comparison with costs within the LA.

3. Other funding sources-Third Party

As a general rule, any third party funding within packages should be reduced before the agreed Local Authority funding, as this will not have an impact on ILF funding.
This includes:

- **Health Board Funding**
The Health board funding can also be shifted over to top up the LA contribution to meet the threshold sum or the previous commitment; to potentially enable an increase in ILF hours for a service user.

- **Supporting People Funds (non QSS tasks i.e. housing support tasks)**

Housing Support Tasks will not be considered as LA funding as they are not considered Qualifying Support and Services, but QSS supporting people tasks funded within an Individual Budget **will** be counted as the Local Authority funding for ILF purposes. They cannot be reduced if it takes the GCC social work commitment under the identified threshold sum set for the individual service user.

4. Process-Support Planning

Care Managers should follow the following steps at initial assessment to ensure that ILF funding is continued and to maximise the LA contribution. This process also applies to review of the individual budget.

1. If the person has ILF funding in place, the first thing to establish is whether the estimated budget meets the required contribution from GCC for the service user to keep ILF funding in place i.e. the minimum threshold sum input that is required.

2. The ILF award, client contribution and any other funding sources should be deducted from the Estimated Budget. The figure left will be our SW contribution for ILF (inclusive of any QSS Supporting People monies).Other third party funding sources include Health Board, education, family and friends.

3. Establish what the threshold sum is for the client –See Section 5 for further information

4. The ILF Threshold Sum amount has to be used for regular and ongoing paid care (through a Direct Payment or GCC provided support) and not on additional non care related support or one off costs i.e. gym membership

5. If the Estimated Budget has reduced our Local Authority contribution to an ILF package, any Third Party funding (Health and Non QSS Supporting People) within the existing joint ILF/SWS package should be reduced first as these funding sources will not affect ILF funding

6. If our subsequent contribution is below the TS, then the Estimated Budget will need to be increased to the threshold sum applicable amount. If applicable, consider any existing Health Board funding within the package; this can be used to top up the threshold sum.

e.g. If the client has an ILF award of £24k (inclusive of client contribution) then for a Threshold sum contribution of £200 the IB will need to not go below £34,400 in order for the person to keep their ILF award

However, if the Threshold sum for that person is £320 then the EB would need to be at least £40,640

5) ILF Threshold Sum Policy

There are three different threshold Sums:

1)   Threshold Sum £200

The TS is £200 for any application received prior to 1st April 2008 and where no request has since been made to ILF for an increased award based on increased need for Qualifying Support and Services (QSS).

2)   Threshold Sum £320

The TS is £320 for any new application made to ILF between 1st April 2008 and 30th April 2010.
For applications made to ILF prior to 1st April 2008, requests for an increased award based on increased need for QSS received on or before April 30th 2010 required LA input of at least £320. In any such case where ILF has agreed to a care needs increase the TS is now £320.

The TS for these cases remains at £320 unless the ILF has since agreed an increased award based on increased need for QSS. In that event the £340 TS in the following paragraph will apply.

3)   Threshold Sum £340

The threshold sum for Local Authorities is £340 per week for all new applications received on or after 1st May 2010.

Increase in ILF Award
Any increase in the ILF award is subject to the Increase Requests policy. In all circumstances the ILF can only consider increasing funding where there is scope within the relevant maximum sum to accommodate the additional costs.
Click on the link below for further information on the policy
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/322285/increases-in-ILF-awardsJun14.pdf

Fixing the Threshold Sum
Our SW input can never fall below the TS applicable at the date of application. Additionally in any case where the TS has increased (to £320 or £340) because ILF has agreed to increase an award based on increased need for QSS, that new TS applies to that case on an ongoing basis and can never reduce.

6) Qualifying Support and Service Tasks

'Qualifying Support and Services' (QSS) are what the ILF fund and what we can include in the Local Authority's (LA) Threshold Sum

They are listed below-

- Cleaning and other domestic duties
- Cooking and preparing food and drink
- Laundering and ironing
- Shopping
- Personal hygiene and grooming
- Dressing
- Eating
- Drinking
- Physical movement such as turning, walking

- Supervision in order to avoid substantial danger to him or herself or others.

In addition, there are some types of service and support that ILF will not pay for but can be included in the Local Authority 'Threshold sum'

- Day Centre Provision
- Respite Provision
- In-house Homecare provision i.e. Cordia
- Transport if ancillary to daycentre or respite provision

Where appropriate, QSS tasks can be carried out outside the user's home.

Note: ILF can consider including the cost of 1:1 care whilst the user attends an LA funded day centre providing:

- There is a clear need for the extra care
- The care is beyond the scope of the day centre to provide
- A Local Authority employee does not provide the care

Appendix 6

Additional Support and Advocacy Services

<u>Additional Support</u>

There are a number of organisations, who can provide information and advice on Personalisation, including:

Glasgow Centre for Inclusive Living (GCIL)
117 /127 Brook Street
Glasgow G40 3AP
Phone: 0141 550 4455
www.gcil.org.uk

GCVS
Glasgow Council for the Voluntary Sector
11 Queen's Crescent
Glasgow G4 9AS
Phone: 0141 332 2444
www.gcvs.org.uk

SPAEN
Scottish Personal Assistant Employers Network
Suite 24, Evans Business Centre
Belgrave Street, Bellshill, ML4 3NPN

Phone : 0845 601 1156

Email: info@spaen.co.uk

http://spaen.co.uk/

Glasgow Disability Alliance
Unit 301, The White Studios
Templeton Business Centre
Templeton Street
Glasgow G40 1DA
Phone: 0141 556 7103
www.gdaonline.co.uk

In Control Scotland
C/o Neighbourhood Networks
Pavilion 5A
Moorpark Court
25 Dava Street
Glasgow
G51 2JA
Phone: 0141 440 5250
Email: info@in-controlscotland.org.uk
www.in-controlscotland.org.uk

In Control
Carillon House
Chapel Lane
Wythall
West Midlands
B47 6JX
Phone: 01564 821 650
Email: admin@in-control.org.uk

Scottish Government SDS Website
Self Directed Support Scotland
www.selfdirectedsupportscotland.org.uk

Care Inspectorate is an independent scrutiny and improvement body for the care services in Scotland. The inspection reports of the care services they regulate are available on their website.

Care Inspectorate
Compass House
11 Riverside Drive
Dundee
DD1 4NY
Phone: 03456009527
Email: enquiries@careinspectorate.com
www.careinspectorate.com

Alternatively, contact Social Care Direct who will direct the enquiry to the most appropriate office or person

Social Care Direct
Phone: 0141 287 0555
Text phone user dial: 18001 0141 287 0555
Email: socialcaredirect@glasgow.gov.uk
Opening Hour:
Monday to Thursday   : 8:45am to 4:45 pm
Friday   : 8:45am to 3:55pm

Or visit the Glasgow City Council Website at

www.glasgow.gov.uk

or visit the Your Support Your Way Glasgow website at

www.yoursupportglasgow.org

Independent Advocacy Services

There are a number of independent advocacy services who can support people to express what they want from their support and how they wish to arrange their support. You can either contact them directly or ask your care manager to make a referral on your behalf.

The Advocacy Project (TAP)
Cumbrae House
15 Carlton Court
Glasgow G5 9JP
Phone: 0141 420 0961

People First
Room 14, Adelphi Centre
12 Commercial Road
Glasgow
G5 OPQ
Phone: 0141 420 7383

Equal Say
11-13 Dowanhill Street
Glasgow
G11 5QS
Phone: 0141 337 3133

Partners in Advocacy
The Pentagon Centre
36 Washington Street
Glasgow
G3 8AZ
Phone: 0141 847 0660

Voices for Change
C/o SWS Community Development & Engagement
North East Area: 0141 276 4119
North West Area: 0141 276 2550
South Area: 0141 276 4631

Appendix 7

Useful Links

Statutory Guidance to accompany the Social Care (Self-directed Support) (Scotland) Act 2013

http://www.scotland.gov.uk/Resource/0044/00446933.pdf

Self Directed Support: Practitioner Guidance by ADSW (Association of Directors of Social Work)

http://www.gov.scot/Resource/0045/00458234.pdf

The Self-directed Support (Direct Payment) (Scotland) Regulation 2014

http://www.legislation.gov.uk/ssi/2014/25/pdfs/ssi_20140025_en.pdf

Outcome Focused Review – A Practical Guide

http://www.thinklocalactpersonal.org.uk/_library/Resources/Personalisation/Personalisation_advice/OutcomeFocusedReviews2.pdf

Appendix 8

Budget Authorisation

Agreed Estimated Budget (AEB) - Recorded on Resource Allocation Group (RAG) Minute eform

<u>Team Leader</u>
- No level of authorisation

<u>Service Manager</u>
- Any AEB equal to or less than the Inflated Subtotal* or
- Any AEB higher than the Inflated Subtotal but less than £40k

<u>Head of Service</u>
- Any AEB higher than the Inflated Subtotal and above £40k.

Agreed Individual Budget (AIB) - Recorded on Outcome Based Support Plan eform (OBSP)

<u>Team Leader</u>
- Any AIB equal to or less than the AEB

<u>Service Manager</u>
- Any AIB equal to or less than the Inflated Subtotal or
- Any AIB higher than the Inflated Subtotal but less than £40k

<u>Head of Service</u>
- Any AIB higher than the Inflated Subtotal and above £40k

Agreed Individual Budget (AIB) - Recorded on Review eform (Review)

<u>Team Leader</u>
- Any AIB equal to or less than the existing AIB

<u>Service Manager</u>
- Any AIB equal to or less than the Inflated Subtotal or
- Any AIB higher than the Inflated Subtotal but less than £40k

<u>Head of Service</u>
- Any AIB higher than the Inflated Subtotal and above £40k

* Inflated Subtotal is defined as the 'Inflated Subtotal of Estimated Budget based on RAS Score' which is recorded in RAG minute.

Budget Authorisation Examples

	Amount	Can Be Authorised By	Comment
Inflated Subtotal	£50k		
Agreed Estimated Budget (AEB)	£45k	Service Manager	AEB is less than Inflated Subtotal
Agreed Individual Budget (AIB) on OBSP eform	£45k	Team Leader	AIB is equal to AEB
Agreed Individual Budget (AIB) on Review eform*	£45k	Team Leader	Reviewed AIB is equal to original AIB

	Amount	Can Be Authorised By	Comment
Inflated Subtotal	£60k		
Agreed Estimated Budget (AEB)	£35k	Service Manager	AEB is less than Inflated Subtotal
Agreed Individual Budget (AIB) on OBSP eform	£40k	Service Manager	AIB is higher than AEB but less than Inflated Subtotal
Agreed Individual Budget (AIB) on Review eform*	£40k	Team Leader	Reviewed AIB is equal to original AIB

	Amount	Can Be Authorised By	Comment
Inflated Subtotal	£20k		
Agreed Estimated Budget (AEB)	£30k	Service Manager	AEB is higher than Inflated Subtotal but less than £40k
Agreed Individual Budget (AIB) on OBSP eform	£45k	Head of Service	AIB is higher than Inflated Subtotal and above £40k
Agreed Individual Budget (AIB) on Review eform*	£50k	Head of Service	Reviewed AIB is higher than original AIB and above £40k

	Amount	Can Be Authorised By	Comment
Inflated Subtotal	£55k		
Agreed Estimated Budget (AEB)	£50k	Service Manager	AEB is less than Inflated Subtotal
Agreed Individual Budget (AIB) on OBSP eform	£60k	Head of Service	AIB is higher than AEB and above Inflated Subtotal
Agreed Individual Budget (AIB) on Review eform*	£55k	Team Leader	Reviewed AIB is less than original AIB

*A Review that does not require a new SNA and OBSP to be created.