

Self Directed Support - recording on the Referrals, Assessments and Packages of Care return (RAP)

Guidance and Frequently Asked Questions

For the collection period
April 1st 2009 to 31st March 2010

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Guidance for 2008-09

Any clients in receipt of a Personal Budget should be recorded on P2s page 7 for 2008-09.

These clients should also be recorded on the relevant P2f pages (and P2s if appropriate) under the services planned to be received

1. Personal Budgets

CASSRs need to continue to include the clients on personal budgets within the current IC central data collections.

Services which are delivered by social services or on behalf of social services via a personal budget should be included in RAP. We are aware that the personal budgets may be created through funds from several different funding sources. Please include all clients unless the individual has no social services funding.

The clients should be recorded on RAP P2f (and P2s where relevant) under the specific component(s) of service they are planned to receive. If the service does not fit under one of the existing components of service, then record the client under the category 'other'. Clients planned to receive services via a personal budget should not be counted under direct payments **unless** a direct payment is provided as part of the personal budget. The personal budget arrangement itself should *not* be recorded separately under 'other', this should be recorded in the first column of the table on P2s page 7 'Total number of clients planned to receive services via a Personal Budget'. Clients receiving a direct payment as part of a personal budget should also be recorded in the second column of the table on P2s page 7.

Some examples are set out below;

- 1) If the client is planned to receive 6 hours of home care and 3 sessions of day care, then the client should be recorded under home care and day care.
- 2) If the client is planned to receive meals 5 days a week and also a direct payment, all within their personal budget on 31st March, then they should be recorded under meals and direct payments on P2f and under both of these columns on P2s page 7.
- 3) If the client is planned to receive day care provided by attendance at a local leisure centre which is funded with part of the personal budget, then the client should be recorded under 'other' and in the first column on P2s page 7.

1.1 Number of clients planned to receive services by or on behalf of social services via a Personal Budget at 31 March 2009

To help interpret the RAP data on services and to assess the impact of personal budgets on national indicators, the P2s page 7 table has been amended to collect the number of clients planned to receive services via a personal budget. **NB** This table was previously only for completion by those CASSRs who were piloting Individual Budgets. However, as Personal Budgets are being rolled out across England the table should now be completed by all CASSRs for 2008-09; if there is no Self Directed Support (SDS) process yet in place, please enter 0.

2 NI 130 definition

The definition for the new National Indicator NI130 which replaces PAF AO/C51 from April 2008 is included below:

Definition for 2008/09

Number of adults, older people and carers receiving social care through a Direct Payment in the year to 31st March per 100,000 population aged 18 or over (age standardised) (for population 18 – 64 and 65-74, 75-84 and 85+)

Number of adults, older people and carers receiving social care through a Direct Payment in the year to 31st March is taken from the Referrals, Assessment and Packages of Care Data (RAP) and Personal Social Services Expenditure (PSSEX1) data

Part 1 – RAP Table P2f (Number of clients receiving community-based services during the period, provided or commissioned by the CASSR, by components of service, primary client type and age group) (1) Page 2 line 11 (Total of above) column 2 (Direct Payments) (2) Page 5 box 1 (3) Page 5 box 2 (4) Page 5 box 3,

Plus

Part 2 – PSSEX1 Activity sheet number of carers receiving direct payments during the year (1) aged 16-17 (2) aged 18-64 (3) aged 65-74 (4) aged 75-84 (5) aged 85 and over

Age refers to the age of the carer.

The first reference relates to the RAP return forms for 2007/08; however the 3 data items on P2f page 5 will be new items recorded from 2008/09 onwards. References to PSSEX1 return are new items that will be recorded from 2008/09 onwards.

Denominator: ONS latest mid year population estimates

For 2008-09 NI130 will only include those individuals receiving Direct Payments.

Frequently Asked Questions

1. NI 130

1.1 Who can be included in NI 130 (Self Directed Support)?

The new definition of NI130 which takes effect from April 2009 includes a set of criteria for who can be included:

To be counted, the person (adult, older person or carer) must:

- be getting a direct payment; or
- have in place another form of personal budget which meets the following criteria:
 1. The person (or their representative) has been informed about a clear, upfront allocation of funding, enabling them to plan their support arrangements.
 2. There is an agreed support plan making clear what outcomes are to be achieved with the money.
 3. The person (or their representative) can use the money in ways and at times of their choosing.

1.2 Where should people be recorded on the RAP returns?

Everyone who meets these criteria should be recorded in the “*Existing / new Direct Payments and Personal Budgets*” column of form P2f. Each person should also be recorded on form S1 (see below).

1.3 At what stage in the process can people be included?

People who have been through the Self Directed Support process can be included in the count for NI130 at the point at which the support plan has been completed and authorised, the deployment option confirmed (e.g. direct payment, individual service fund, traditional contracted service), payment arrangements put in place, and the customer notified. This is in line with the data collection for NI133.

1.4 Which of the following people can be counted in NI130 for 2008-09?

i) A person who receives a direct payment which does not include any social care funding (for example has only Supporting People funding).

Should **not** be included.

ii) A family carer who gets a direct payment in lieu of carers services, and where the person cared for does not have a care plan.

Should **not** be included in the P forms at all. A carer in their caring role should **not** be included in the P forms. They should be included in C2 and the PSS EX1 Expenditure return providing the direct payment has been provided as the result of an assessment or review in the current recording period.

iii) A person who receives a one-off direct payment to buy equipment following assessment, and this is recorded in a care plan. The person did not meet the council's FACS criteria but the council decided to give a direct payment using social services funding as an early intervention.

Should be included providing the following criteria for inclusion are met:

a. The services that are provided or commissioned by social services or an NHS health partner under section 75 arrangements must be part of a care plan following a Community Care assessment and;

b. Their care must be managed by the CASSR or an NHS health partner under section 75 arrangements.

As notified in the Letter to social services dated 30th September 2008¹, the RAP collection for 2009/10 will include new information and proformas on Self Directed Support for service users and carers.

From 2009/10;

- (i) the current column on RAP P2f labelled 'direct payments' will be amended to read 'Existing/new Direct Payments and Personal Budgets' on pages 2 and 4, as will the 3 extra direct payment boxes on page 5. This will provide the data required for NI 130
- (ii) the current column on RAP P2s labelled 'direct payments' will be amended to read 'Existing/new Direct Payments and Personal Budgets' on pages 2, 4 and 6, as will the 2 extra direct payment boxes on page 7
- (iii) a new table will be added to record information for local and central policy monitoring on Self Directed Support for service users on a new RAP S1 proforma
- (iv) a new table will be added to record ethnicity information for local and central policy monitoring on Self Directed Support on a new RAP S2 proforma
- (v) a new table will be added to record information on carers for NI 130 and local and central policy monitoring on Self Directed Support on a new RAP S3 proforma

If someone has existing/new Direct Payments and a Personal Budget, they are only to be counted once based on the last service planned.

1.5 When should a person be counted as “receiving Self Directed Support”?

A person should be regarded as receiving Self Directed Support when they have been assessed through the Self Directed Support assessment process.

1.6 Where should people be recorded on who receive Self Directed Support?

Everyone who meets these criteria **should only** be recorded in the “*Existing / new Direct Payments and Personal Budgets*” column of form **P2f and P2S (don't count them under the planned service)**. Each person should also be recorded on form S1.

1.7 What about people whose arrangements have changed during the year?

People should be included in the count for NI130 on form P2f if they have received a direct payment at any point during the recording year; this includes one-off direct payments. People should be recorded on form P2s under direct payments if they are still on the books to receive direct payments at 31st March 2009.

If an individual is in receipt of direct payments at the start of the reporting period and is then reviewed through a Self Directed Support process later in the year, if as a result of the review it is decided they will receive a personal budget they should be recorded on the P2f forms as receiving direct payments (and any other services) and on P2s page 7 as receiving a personal budget (and if appropriate a direct payment as part of a personal budget).

¹ Available via the Information Centre's website <http://www.ic.nhs.uk/services/social-care/social-care-collections/collections-2009>

1.8 What about people who opt for a traditional care package (home care, day services, etc)?

People who have been through the Self Directed Support package and who meet the criteria should be recorded in the “*Existing / new Direct Payments and Personal Budgets*” column of form P2f. On form S1 the person should be included in the *Services arranged or paid for by the council* column. If the package was in place on 31 March the person should also be included on form P2s.

1.9 What about people who have mixed support packages?

People who have had a direct payment during the year and who also have used services arranged by the council should be included in the *Hybrid of the previous 2 categories* column.

1.10 What about people have a direct payment but have not been through the Self Directed Support process?

People who have had a direct payment at any time during the year can be included in the *Non Self Directed Support: Existing / new Direct Payments* column of form S1.

1.11 What about people who only have simple services (community alarms etc)?

People who have small packages of support can only be included in NI130 if they meet the criteria for being included in the RAP return AND the definition set out above.

1.12 What about people who are having short term services such as reablement or crisis intervention?

People who need immediate help or reablement will normally only start the Self Directed Support process at the end of a period of short-term services. They will therefore not be included in the count for NI130 and should be recorded elsewhere in table P2f and P2s.

1.13 What about family carers who have a Self Directed Support arrangement (including a direct payment).

Family carers can be included in the count for NI130 provided they meet the criteria in the definition. Family carers are recorded on the PSS EX1 return.

1.14 What about people who opt for a traditional care package (home care, day services, etc) following assessment via a Self Directed Support process?

For 2008-09, these clients should be included in the first column of the table on P2s page 7 (Total number of clients planned to receive services via a Personal Budget); in addition, all clients in receipt of services provided or commissioned by the CASSR as the result of a community care assessment should be include in the P2f tables under the categories of planned service. If the package was in place on 31st March these clients should also be included on the P2s forms.

1.15 What about people who have a direct payment but have not been through the Self Directed Support process?

People who have not been through the Self Directed Support process but who have had a direct payment at any time during the year can be included in the direct payments column on the P2f forms, and P2S forms if the direct payment is in place on 31st March, but they should not be included in the personal budgets section of the P2F page 7 table.

1.16 Can any carers who have a Self Directed Support arrangement (including a direct payment) be included?

Carers can be included in the count for NI 130 provided they meet the criteria in the definition and that they care for an adult aged 18 years or over (this also includes family carers). If the carer is aged 16-17 and they care for an adult aged 18 or over they can also be included. Carers for children under the age of 18 should be excluded from the return. Family carers are recorded on the PSS EX1 return.

3. NI 132:

3.1 When is the assessment complete?

Completion of assessment (RAP A7)

For clients undergoing the Self Directed Support process the assessment can be regarded as complete once the initial personal budget has been calculated and the client informed of the amount. This is before the support planning stage.

4. NI 133:

4.1 When is the support package in place?

Waiting Times and Self Directed Support (RAP A8)

Recording for personal budgets should be in line with the current practice for direct payments (see below). This avoids having different processes and timescales depending on how a person decides to take up their personal budget (direct payment or otherwise).

The waiting time from completion of assessment to provision of all services in a care package, for clients managed through the Self Directed Support process, should be measured from the time when the client is informed of the initial personal budget to the point at which the support plan has been completed and authorised, the deployment option confirmed (e.g. direct payment, individual service fund, traditional contracted service), payment arrangements put in place, and the customer notified.

It would not be practical to expect all elements of a support plan to be in place at this stage as this would not fit with the flexibility of personal budgets. The right place to check that the support plan outcomes are being achieved is at review.

Existing guidance on **Direct payments**:

We understand that the process for arranging direct payments can be quite lengthy in terms of the legal and contractual issues. Hence for direct payments the waiting time is measured as the time from completed assessment to the date the amount of the direct payment has been agreed with the client **and** the relevant processes for setting up the direct payment have been completed.

Further information

Further information on the Self Directed Support Process can be found within the CSIP personalisation toolkit, which was developed in conjunction with the IB pilot sites, and published by DH in June 2008. This document is available at:

<http://icn.csip.org.uk/Personalisation/AdviceonPersonalisation/Streamlinedprocess/?parent=2679&child=3242>

Contact Us

Any CASSR staff who require advice regarding Self Directed Support or who have questions on issues relating to the content and coverage of these returns are invited to contact the GFS1 Helpdesk at The NHS Information Centre RAP@ic.nhs.uk.

Further information on the RAP return is also available via the IC's website at:

<http://www.ic.nhs.uk/services/social-care/social-care-collections/collections-2009>

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Note: We would welcome comments on this return.

Please send any comments to: RAP@ic.nhs.uk

(Please send comments via e-mail as this makes it easier to collate them)