

Healthy Communities Scrutiny Sub-Committee

Wednesday 8 October 2014

7.00 pm

Ground Floor Meeting Room G02B - 160 Tooley Street, London SE1
2QH

Supplemental Agenda

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Item No.	Title	Page No.
5.	Review : Health of the Borough The 'Health of the Borough' review is being conducted thematically . This session will concentrate on Financial Health and particularly look at the following issues: <ul style="list-style-type: none">• The availability of banks and credit unions• The role of payday loan and pawn shops• Financial awareness in the borough Written evidence is being contributed by : <ul style="list-style-type: none">• Councillor Ian Wingfield, Deputy Leader and Cabinet Member for Communities, Employment and Business• Southwark Citizens Advice Bureaux• Southwark Living Streets• Walworth Society• Southwark Youth Council	1 - 4

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Date: 3 October 2014

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Presentations will be done by:

- Councillor Stephanie Cryan, Financial Inclusion Deputy Cabinet Member
- Ruth Wallis , Director of Public Health

A range of partners have been invited to attend and give verbal evidence.

This session will be conducted using the ***open fishbowl format***; which means anybody who has knowledge, skills or experience to contribute to the theme will be invited to contribute to the discussion. A paper is enclosed explaining more on the fishbowl format.

This section of the meeting will be audio recorded.

7. Review : Personalisation

5 - 26

A report is enclosed.

FISHBOWL

The art of active listening



What it is

- The Fishbowl is a tool for facilitating dialogue between experts in a way that exposes others to their knowledge while expanding the collective understanding of a subject.
- Knowledgeable people (the fish) sit in circle to discuss a series of directional questions, surrounded by a larger group of observers in an outer circle (the bowl).
- The inner circle is the stage for speaking and contributing. Those in the outer circle must listen actively and move into the role of fish when they wish to participate in the conversation.



When to use it

- As an alternative to traditional debates
- As a substitute for panel discussions
- To foster dynamic participation
- To address controversial topics
- To avoid lengthy presentations.



How it is applied

1. Identify two to three experts (or participants who have experience) on the issue to be discussed.
2. Brief the experts/participants on the Fishbowl process.
3. Set up a small circle of chairs surrounded by a larger circle, with three or four additional chairs to facilitate mobility.
4. Open the session with the experts in the centre circle.

5. Explain the process, the objectives and the issue that will be discussed.
6. Opt for one of the two types of Fishbowl: open or closed.
 - An *open fishbowl* contains several empty chairs in the centre circle from the outset. Any member of the audience can join the discussion by occupying an empty chair at any time. A “fish” must voluntarily leave the centre circle to free a chair. The discussion continues with participants frequently entering and leaving the Fishbowl. Participants can have more than one opportunity to move into the inner circle.
 - In a *closed fishbowl*, the facilitator splits the participants into two groups (or more as needed) and assigns the role of speakers to one group, and the role of observers to the other. The initial participants in the inner circle speak for some time about the chosen subject. When time runs out (or when no new points are added to the discussion), the first group of participants leaves the fishbowl and a new group from the audience enters. The new group continues discussing the issue. This may continue until all audience members have spent some time in the fishbowl. The closed fishbowl approach is only appropriate when all participants have at least some level of knowledge about the subject.
7. The outer circle must always observe silently, and this principle should be enforced diligently by the facilitator. Participants in the outer circle can prepare questions and comments so that they are ready to move into the inner circle.
8. Once the topics or the time allocated have been covered, the facilitator should summarize the discussion and open the floor for a debriefing, after removing the inner circle of chairs. During the

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debriefing, review key points, interesting comments and the group's feelings regarding particular issues. Participants must be allowed to develop their own conclusions and express themselves freely.

9. Providing the participants with an overview document of the lessons learned and a list of key resources can be helpful after the exercise has ended.

How to adapt it

Divide the participants into two groups. Each group prepares two to four questions for the other group. The first group then sits in the inner circle and discusses the questions posed. When everyone in the inner circle has had a chance to speak, change roles so that the second group moves into the inner circle and examines the second set of questions. Observe the fishbowl rules throughout.

A Feedback Fishbowl is a variation which systematizes interaction between the inner and outer circle. The "fish" discuss the issue for 15 minutes, then turn their chairs around to face the outer circle. The outer circle puts their comments and feedback directly to the "fish" in front of them. Then members of the inner circle again face the centre and incorporate the new information into the conversation (while the outer circle remains silent). After the conclusion of this round, the two groups change places, and the process is repeated.

Another variation is to invite people with similar opinions or experiences to sit in a Homogeneous Fishbowl. This arrangement aims to provide the

outer circle with evidence and logic to support a cohesive perspective. This helps to avoid wasteful disagreements at the early stages of the discussion and creates clear concepts for debate.

In contrast to the previous variation, in a Heterogeneous Fishbowl, one person from each divergent viewpoint is invited to sit in the fishbowl. The debate must be carefully managed by the facilitator to ensure that it is productive and examines the full variety of opinions equally.

Multiple Fishbowls are ideal for addressing issues with large groups, or for cases when there are language barriers between participants. Assign a moderator to each fishbowl to provide clear instructions as well as support throughout the exercise. After the first discussions, representatives from each fishbowl form a new central fishbowl, and continue the conversation. According to the composition of the group, decide if the debriefing would be more effective in the large group or back in the original multiple fishbowls. Ensure that each moderator records the reflections so that these can be shared in a resource for all the participants.

Roleplays can be conducted in closed fishbowls. Divide participants into as many groups as the number of roles you have prepared. Each group then prepares a role, although only one of their members will play it. The roleplay is then held in the middle of the room while the other participants observe from outside. After the roleplay, close the session with a debriefing. If the debriefing takes longer than the roleplay, it means the exercise was thought-provoking!

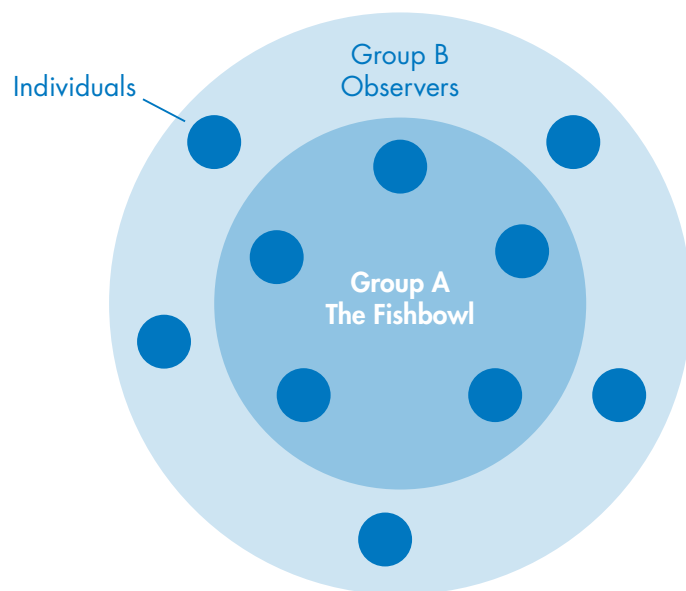
FISHBOWL

The art of active listening



What to consider

- The way to request a place in the inner circle should be decided at the outset of the session. Often, simply standing up to indicate interest is enough. A tap on the shoulder may also be helpful, but be wary of cultural taboos. Much depends on the culture and composition of the group.
- More reserved groups may require encouragement to take up a place in the inner circle. This can be helped by well-formulated objectives and introductions to the subject matter.
- You can place limitations in the interest of time or fairness, such as everyone being required to make a minimum (or maximum) number of contributions in the centre circle.
- If the outer circle participants want to make more contributions after the fishbowl session has ended, open a blog, wiki or discussion forum to continue capturing their comments, reflections and questions.
- Consider appointing a note-taker/rapporteur to write down the key points of the fishbowl discussion on a flipchart and present a summary to the group after the fishbowl has ended.



Timing (approximately 1 hour 30 minutes)

- Introduce the method and the objectives/guiding questions of the discussion (10 minutes)
- Fishbowl discussion (1 hour)
- Debriefing (20 minutes).

What you will need

- One chair for every participant (plus three or four empty chairs)
- Flip chart and markers for the note-taker.

OHCHR applications

During the *Share, learn, innovate!* workshops, different groups of OHCHR participants brainstormed on the potential application of the Fishbowl method. Here are some of their ideas for when it is appropriate to apply this tool:

- As an innovative format for coffee briefings
- To facilitate discussion on focused topics during section meetings
- To discuss both substantive and administrative topics during branch or division retreats
- For small expert meetings
- During the Heads of Field Presences meeting.



Where to learn more

Comprehensive book from Learning Resources and Information: *The Winning Trainer. Winning ways to involve people in learning.* Julius E. Eittington 1996. Gulf Publishing Company, Houston Texas. Pp. 67-70.

Collaboratively written instructions from the KS Toolkit:

<http://www.kstoolkit.org/Fish+Bowl?f=print>

Using the fishbowl for awareness-generating activities: <http://www.edchange.org/multicultural/activities/fishbowl.html>

A general article on the Fishbowl method with additional resources: <http://itcilo.wordpress.com/2009/02/16/facilitate-a-fishbowl-discussion/>

“ I was pleased to skip the boring part of my long PowerPoint presentation and move directly to the much more interesting group discussion. Although I used to be rather sceptical about untraditional presentations and debates, this set-up was highly stimulating for in-depth participant involvement. ”

(A. Rosemberg,

International Trade Union Confederation: on being an expert in a fishbowl)

“ The facilitator explained the fishbowl principles and objectives to the group. The inner circle began with experts from three well known international organizations. After a short introduction explaining the roles of the experts, two of them gave a PowerPoint presentation on the subject itself. A participant from China, a government official from Nepal and an enterprise manager from South Africa were the first to join the inner circle. During the one-hour fishbowl discussion 12 people contributed to the inner circle dialogue, demonstrating the low entry-barrier to discussion with experts during a fishbowl. The other participants observed and reflected in silence. ”

(M. Lisa, ITC-ILO training expert)

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Personalisation in adult social care – an overview

www.southwark.gov.uk

Report for the Healthy Communities Committee

October 2014

Background – what is personalisation?

1. The Social Care Institute for Excellence (SCIE) describes personalisation in the following way.

Personalisation means recognising people as individuals who have strengths and preferences and putting them at the centre of their own care and support¹.

2. Work on personalisation recognises that a traditional service-led approach to support has often previously meant that people have not been able to shape the kind of support they access, or receive the kind of help that suits them best. Personalisation represents a set of key principles that provide an overarching framework for the way that we have sought to transform adult social care and support in recent years. More recently, the concept of personalisation is increasingly applied to elements of wider public services. This report focuses on personalisation in adult social care.
3. Personalisation can also be linked to elements of the disability, mental health survivor and service user movements that emerged in the 1970s, where people were lobbying for change and direct action. Personalisation also shares links with elements of key social work values, with good social work practice being strongly linked with respect for the individual and promoting self-determination.
4. The remainder of this report covers:
 - Policy and legislative context for personalisation
 - Personalisation in Southwark – our work and successes to date, and an overview of people’s journey through the system, plus the impact of personalisation on commissioning and market development
 - Areas for continuing development and wider work on personalisation in the health and care system.

National policy context

5. Personalisation’s first specific application to adult social care came through publication of the *Putting People First* concordat², signed up to by a wide range of national bodies representing the adult social care sector (local authorities, regulators, provider bodies, NHS, workforce development, etc³).
6. *Putting People First* highlighted a range of areas in which transformation needed to happen to make personalisation a reality and local authorities across the country undertook a range of different work to support this. Key areas included:
 - Improving information and advice services to enable people to make informed choices
 - Considering effective ways to delay or reduce the need for ongoing care and support
 - Focus on outcome-based assessment and person-centred planning for ongoing care and support needs
 - Developing and implementing the personal budget approach to give greater control to people on how the money for their care and support was spent, again linked to outcomes rather than services
 - Considering how carers and families could be better supported and treated as equal partners in care

¹ *Personalisation: a rough guide* (Social Care Institute for Excellence, 2012)

² *Putting People First: a shared vision and commitment to the transformation of adult social care* (HM Government, 2007)

³ The full list of signatories was: Department of Health, Department for Work & Pensions, Department of Communities and Local Government, Department for Children, Schools and Families, Department for Innovation, Universities & Skills, ADASS, LGA, Society for Local Authority Chief Executives (SOLACE), Social Care Institute for Excellence, Skills for Care, NHS, NHS Confederation, Commission for Social Care Inspection, English Community Care Association, National Care Association, UK Home Care Association, National Care Forum, General Social Care Council

- A commissioning approach that supports high standards of dignity, care and choice in the services that people are able to access locally.
7. The key principles of independence, choice and control continue to be drivers for national policy direction, spanning successive governments.
 8. The Coalition Government's White Paper *Caring for our future*⁴ set out its vision for the future system. This highlighted that, if adult care and support in England is going to respond to challenges it must help people to stay well and independent by:
 - promoting people's wellbeing
 - enabling people to prevent and postpone the need for care and support
 - putting people in control of their lives so they can pursue opportunities to realise their potential.
 9. Most recently, the Care Act received Royal Assent in May 2014 and represents the legislative element of national Government's approach to reforming care and support. It is one of the biggest changes to adult social care law in over 60 years. The aim of the changes are to:
 - Create a legal framework that is clear and easy to navigate
 - Bring the law up to date to reflect a focus on outcomes that people want
 - Address areas of unfairness.
 10. Many elements of the Act are focused on furthering the principle drivers of personalisation. Key relevant areas of change in the Act are:
 - Introducing general responsibilities including promoting people's wellbeing, focusing on preventing and delaying needs and providing information and advice to everyone, regardless of whether they have eligible care and support needs, helping them take responsibility for planning their future
 - Introducing national, consistent minimum eligibility criteria for LA assistance for ASC
 - New rights to support for carers, on an equivalent basis to the person they care for
 - Legal right to a personal budget and support plan for eligible needs that are being met by the LA (this is currently not a legal right but usual practice for people receiving support in the community)
 - Making Safeguarding Adults Boards mandatory and introducing new responsibilities around safeguarding.
 11. There are also major reforms to the way social care is funded (from April 2016) including:
 - A lifetime "cap" on care costs to meet eligible needs for individuals (anticipated to be around £72,000 in 2015 prices)⁵
 - An increase in the threshold at which the level of people's assets mean they are not eligible for state support (currently £23,250).

Local policy context

12. Southwark has been working hard to implement and embed a personalised approach to adult social care, enabling people to live independently and well in their own communities for as long as possible.
13. In 2011 the council's Cabinet agreed a vision for adult social care⁶ for the future, focusing on maintaining these principles of independence, choice and control, while recognising that there were significant changes in the public sector and the need to increasingly operate with a reduced public purse.

⁴ *Caring for our future: reforming care and support* (HM Government, 2012)

⁵ To note that the cap does not include general living costs in residential care. Government is suggesting that this could be set at £12,000 p.a.

⁶ http://www.southwark.gov.uk/downloads/download/2638/vision_for_adult_social_care_services_paper

14. As local and national policy continues to drive further towards increased integrated across the health and social care system in order to support delivery of these aims, the council and the clinical commissioning group also outlined a vision for integration in Southwark⁷, which remains committed to seeking to enable people to take control of their lives, connect to and participate in communities, and access care and support that is suitable for them and enables them to achieve the outcomes they want. This is also being developed on a wider basis through Southwark's involvement in leading work across health and care partners in both Southwark and Lambeth through the Southwark Lambeth Integrated Care programme of work, which has been developing integrated approaches particularly to support older people, and which is now looking even more broadly at opportunities to join up health, care and support for people with long-term conditions.

Personalisation in practice – key areas of development to date

15. Significant work has been undertaken in Southwark to transform care and support to enable people to live independently and well for as long as possible. This includes:
- developing and implementing a dedicated telephone response for all queries about care and support, including information about universal access and voluntary sector services, as well as our online information portal, My Support Choices (www.southwark.gov.uk/mysupportchoices)
 - funding a range of community support services in the voluntary sector providing advice and information, befriending and other services, promoting social inclusion and supporting people to actively participate in their local community
 - ongoing and increasing investment in short-term support to help people get back on their feet after an injury or period of hospital through practical re-ablement and intermediate care support services – with over 1,800 people accessing re-ablement support in 2013/14
 - developing a re-ablement service in mental health that supports people to learn to live independently with their condition without the need to become permanent mental health service users
 - focusing our approach to assessment for ongoing care and support on outcomes for individuals and working with people to develop a support plan that shows how a personal budget will be used to meet someone's identified social care outcomes
 - creating the Southwark Resource Centre as a hub for local disabled people to access support in the community and live independently and well for as long as possible
 - transforming day services to allow a more personalised and outcome focused approach, reviewing mental health, learning disability and older people's services. This includes developing a Centre of Excellence offering high quality day opportunities for older people
 - creating an offer of free telecare (such as pendant alarms) for people with ongoing eligible care needs, those who are 85+, those who have been through our re-ablement service and are assessed as not having ongoing eligible needs (moderate needs), and people with a diagnosis of dementia – this has supported over 500 new clients since its launch in April 2014.
16. The concept of personalisation applies to carers as much as it does to those people who access care support. We have sought to increase the number of carers to whom we provide support, information and advice. In 2014 Cabinet agreed to implement a three-year carers' strategy⁸ that will improve our offer to carers and provide them with high quality support, not only in their caring responsibilities but also to support carers themselves to stay healthy and feel independent and fulfilled.

⁷ <http://moderngov.southwark.gov.uk/documents/s45069/Appendix%201%20Integration%20vision.pdf>

⁸ http://www.southwark.gov.uk/info/100010/health_and_social_care/3238/our_pledges_to_carers

Personalisation and personal budgets

17. An important mechanism introduced as an approach to giving people greater control over their care and support is a **personal budget**. This is the amount of money allocated by the council to an individual to meet their eligible, ongoing care and support needs where they will access support in the community. People will complete a unique support plan that will highlight how they choose to use their personal budgets to achieve the outcomes they want relating to their social care needs. More information on what personal budgets and support plans are can be found in the information boxes below.

What is a personal budget?

A personal budget is a sum of money eligible to people for support from adult social care – the amount to be spent on their care and support. It allows them to plan and pay for assistance or other resources that will meet their individual needs.

People can manage the budget themselves or ask a trusted person, organisation or the council to do so on their behalf.

Personal budgets do not affect any benefits that people receive. People may need to contribute to the value of their personal budget – the council takes into account things like income and savings when working this out.

People might use their budget to purchase support to get washed and dressed, go out and about, feel part of the community, keep safe and well, develop a skills, or access work or training.

What is a support plan?

A support plan shows how a person intends to use their personal budget to meet their social care needs. It lists who will be providing each element of support, who will be managing the budget and what outcomes the plan will achieve to improve people's independence, wellbeing, health and safety.

Support plans are tailored to the individual and should reflect their thoughts and preferences about support options. People can complete the support plan themselves or get help from friends, family, a social worker or a support planner.

18. There have been significant drivers to increase the proportion of people who access personal budgets and we have made a great deal of progress in Southwark in recent years. Table 1 (overleaf) shows growth in the number of people in receipt of community services who have a personal budget over the last five years⁹. The over 65s continue to be the largest group of people in receipt of a personal budget (and the largest number of people accessing adult social care overall), though everyone who is eligible for a personal budget will have their support reviewed to reflect the personalisation agenda.

⁹ In 2013/14 there was a slight dip in the number of people using community services who have a personal budget – this is the result of data capture changes across the system overall.

Table 1 Southwark Clients on personal budgets by age and primary client group

Year	Age band	Physical Disability	Mental Health	Learning Disability	Substance Misuse	Other Vulnerable People	Total	Total community service users	Personal budget %
2009/10 Total	Age 18 to 64	90	5	35	0	0	130	1310	9.92%
	65+	0	0	0	0	0	375	2520	14.88%
	2009/10 Total	90	5	35	0	0	510	3830	13.32%
2010/11 Total	Age 18 to 64	245	25	155	0	0	425	1570	27.07%
	65+	0	0	0	0	0	680	2415	28.16%
	2010/11 Total	245	25	155	0	0	1105	3985	27.73%
2011/12 Total	Age 18 to 64	385	70	275	10	0	740	1425	51.93%
	65+	0	0	0	0	0	1445	2405	60.08%
	2011/12 Total	385	70	275	10	0	2185	3830	57.05%
2012/13 Total	Age 18 to 64	495	160	350	10	0	1010	1535	65.80%
	65+	0	0	0	0	0	1545	2445	63.19%
	2012/13 Total	495	160	350	10	0	2970	3980	74.62%
2013/14 Total	Age 18 to 64	470	155	355	15	5	1000	1670	59.88%
	65+	0	0	0	0	0	1990	2685	74.12%
	2013/14 Total	470	155	355	15	5	2990	4355	68.66%

Source : Health and Social Care Information centre NACIS RAP data Tables SD1

This is based on all community service users in line with Adult Social Care Outcome Framework definition 1.C

Note 65+ is not categorised by Primary client group so the figure is shown in 65+ total line

19. Southwark's performance remains in line with the London average of 67.5% and above the national average of 62.1% of people using community services with a personal budget. It is also important to be aware that not everyone accessing community services would have a personal budget, for example people accessing short-term support such as re-ablement or using just meals on wheels services. Southwark's council plan highlighted the ambition for all people accessing community support who were eligible for personal budgets should have one and in 2013/14 we had achieved 97% of community service users who were eligible for a personal budget accessed one.

Options for managing a personal budget

20. People with personal budgets also have a range of options for how they manage their money, enabling them to make the choice of which option works best for them. The four main options are summarised below.
- a) *Self-managed personal budget*
The personal budget is paid into the person's account so they can purchase support directly. They may get assistance from a trusted friend or family member to help them manage their budget.
 - b) *Third party-managed personal budget*
The personal budget is paid into the account of a third party individual or organisation that holds the money for the person and purchases support on their behalf and under their instruction.
 - c) *Council-managed personal budget*
The personal budget is managed by the council. While the person has choice and control over their support, this support will be from directly council-commissioned services **only**.
 - d) *Mixed personal budget*
This is a combination of any of the above options.

Options a) and b) mean that the person (or the person or organisation managing the money on their behalf) receives a **direct payment**.

21. Whilst there has been an increase in the number of people on a personal budget the number of people taking a self managed personal budget/direct payment has stayed largely the same for the last two years. Approximately one third of people took their personal budget as a direct payment option at the end of 2012/2013 and 2013/2014. This puts us ahead of the London average of 22.9% and ahead of the national average of 19.1% of people on a self managed personal budget/direct payment.
22. Southwark Council's latest Local Account¹⁰, which provides an overview of performance and priorities in adult social care was published in January 2014. The Local Account also includes two case studies demonstrating how personalised approaches to care and support, including personal budgets, are making a real difference to people and enabling them to live independent and fulfilling lives based on choices that are important to them. See Appendix 1 for case studies.

¹⁰ <http://www.southwark.gov.uk/localaccount>

The customer journey for a personal budget

23. There are four main stages for a personal budget to be agreed:

I. The assessment

This enables the service user and staff to identify and understand the eligible needs that will need to be addressed in the support plan.

II. Support planning

The support planner and the service user work together with any other people the service user would like to involve, identifying the outcomes the person wants to achieve based on their needs. The person also decides the way they would like to manage their personal budget (see page seven for summary of options). A plan is developed and this demonstrates how the personal budget will be used to meet the outcomes identified. If any additional actions are required, for example setting up a bank account to receive a direct payment this is completed at this stage.

III. Agreement of the support plan

The Council agrees the support plan. Any relevant documentation is sent to the Adult Social Care Finance team to be processed for payment.

IV. Implementation of the support plan

If a direct payment agreement is required this is signed and the service user receives the schedule of monitoring, the personal budget is paid and the plan is actioned.

For further detail on the process see the Customer Journey Process in Appendix 2.

24. There are no national requirements on timescales for the completion the support planning process. This is because it is recognised that the process should be based on the individual and completed in a way which works best for the person, this may include the person writing the support plan themselves. However, during the support planning process a holding package of care is put in place in order to meet the individual's needs.

25. We do not record the length of time the process takes for a person to have a complete and active support plan but based on the information available to us on average it takes between eight and twelve weeks to complete. The more complex cases and ones where the person is taking a self managed personal budget/direct payment to employ a personal assistant may take longer in order to undertake the recruitment and source the appropriate care and support. Once the support plan is approved and the paperwork completed these are submitted to the finance team for processing and this takes up to 7 working days.

26. Factors that could affect the length of time it takes to set up a self managed personal budget include: the handover to the external support planning agency, the need for the person to set up a bank account specifically to receive the payment, signing of the direct payment agreement and the explanation of the monitoring processes.

27. We continue to investigate ways to streamline the process to receive a self managed personal budget, these include:

- Examining the efficiency of the external support planning agency;
- Using Innovation Funding to support the personal assistant recruitment;
- Using the opportunity of upgrading our adult social care IT system to streamline the processes, this is should be available from mid 2015; and

- Investigating the use of pre paid cards to eradicate the need to set up a bank account and reduce the need for the service user to submit monitoring information.
27. We have created a simple leaflet that describes the overarching process for people who access adult social care support. This leaflet is available from our front line staff and via our online portal My Support Choices, where people can also find out information on wider elements of care and support, such as welfare benefits, housing information and telecare.
http://www.southwark.gov.uk/my_support_choices. See Appendix 3 for a copy of the personalisation leaflet.
28. We have also created a Frequently Asked Questions Document for people taking a self managed personal budget to assist them in answering some of the financial questions without having to contact the department. See Appendix 4 for a copy of the FAQ document.
- Local policy on personalisation
29. We have developed a local policy on personalisation and personal budgets for staff to ensure that the key principles and ways of working are effectively captured. This is reviewed regularly in light of ongoing work in the system to improve our approach. This is available for all staff on Tri-X¹¹ the department's online policy and procedure manual.
- Personalised care and support in non-community settings
30. Personal budgets currently are only available to people who are receiving ongoing care and support in the community. This means that people who are in residential or nursing care would not have a personal budget. However, the key principles of supporting independence, choice and control for individuals are vital to good quality care and support, whatever the setting.
31. In recognition of this, Southwark has developed a Care Home Quality Improvement Strategy for 2013-2015¹². This seeks to work with people using services, families, providers and other partners across the system to embed the key principles of personalisation as a marker of excellent quality care and support for people in residential and nursing care. The strategy was agreed by the council Cabinet in September 2013 and an action plan is currently being implemented.

Commissioning and market development in a personalised world

32. The Market Position Statement is a market facing document which outlines the current demand and supply within Southwark and identifies gaps within the market including areas of work which may support personalisation further. One of the areas which is being looked into is the potential for a Personal Assistant (PA) finder. This service would enable people who are willing to work in Southwark as a personal assistant to advertise their services and people requiring a PA to list their requirements and search for potential applicants. This service could significantly speed up the recruitment process however; it is in the very early stages of being investigated.
33. The current Innovation Fund programme has been established to promote innovative ways of providing support that reduce reliance on formal council services and creates financially self sustaining business models. This includes a major focus on supporting the development of the PA market. A number of voluntary sector services have been awarded funding for three years with the aim of delivering a new approach to the recruitment and matching of personal assistants with service users across all client groups. This is part of the process to develop the ongoing infrastructure needed to support personalisation.

¹¹ This is a draft working document due to the ongoing changes in this area. This document can be accessed here http://southwarkadults.proceduresonline.com/chapters/p_pers_budget_key_pol.html

¹² <http://moderngov.southwark.gov.uk/documents/s42855/Appendix%203%20-%20My%20Home%20Life%20Care%20Home%20Quality%20Improvement%20Strategy%202013-15.pdf>

34. The Leonard Cheshire Personal Assistant (PA) service supports people with physical and sensory impairments, people with learning disabilities and older disabled people living in Southwark enabling them to develop the skills and confidence to employ and manage their own PAs. Key outcomes will include:
- PA training programme developed in conjunction with Thames Reach;
 - engagement with 400 service users through monthly promotion and information events;
 - 100 of those recruiting & employing their own PAs /set up managed accounts;
 - Establishment of “Discover IT” at home scheme for people with disabilities to recruit their own PAs at home; and
 - An expansion of the existing Southwark Advice Plus service to provide five days of support and advice a week.
35. Community Catalysts is a social enterprise which harnesses the skills of people and local communities to establish micro-markets of imaginative sustainable support and care options in Southwark by stimulating and supporting new enterprises. Working in partnership with Community Action Southwark (CAS) the service will support individuals and small groups of local people to provide services aimed at people who may need support or care because they are older, disabled, have ill health. Outputs expected after three years (based on the work in other areas) are:
- 80-100 micro entrepreneurs supported;
 - 55% established flourishing enterprises;
 - 85% to continue to flourish after 3 years;
 - 750-850 people with learning disabilities or older people using these services;
 - 125 jobs; and
 - 40 volunteering opportunities created.

Personalisation and safeguarding adults

36. To ensure compliance with the Care Act 2014, which requires Southwark Safeguarding Adults Partnership to follow an outcomes based approach to safeguarding enquiries, the Southwark Safeguarding Adults Board has signed up to the ‘Making Safeguarding Personal’ initiative. This is a national initiative that aims to change safeguarding practice so the needs and wishes of the service user are central to any safeguarding enquiry and the outcomes of the enquiry are those that the service user regards as important rather than those required by professionals.
37. Making Safeguarding Personal has three levels: Bronze Silver and Gold. Southwark Safeguarding Adults Partnership is currently aiming to achieve Bronze level by September 2015 and Gold by September 2017. Professor Jill Manthorpe from King’s College is providing the academic support to validate the research activity necessary to achieve Gold status.

Personal health budgets

38. Opportunities to extend elements of this personalised approach into the wider health system have also been recognised. The Department of Health previously piloted personal health budgets for certain groups of individuals. Following an independent evaluation a national roll-out was announced. People who are eligible for NHS Continuing Healthcare¹³ now have a right to ask their clinical commissioning group (CCG) for a personal health budget. This will become a 'right to have' from October 2014. The aim of this introduction is to provide an opportunity to support greater choice, flexibility and control for people over the health and care support they receive.
39. In addition, Southwark is a national demonstrator site for NHS England to look at opportunities to provide personal health budgets for people with mental health needs as an alternative to residential or nursing home care, seeking to link these with personal budgets for care and

¹³ <http://www.nhs.uk/chq/pages/2392.aspx>

support.

Personal budgets and direct payments for young people aged 0-25

40. The Children and Families Act 2014 included a range of reforms affecting children and young people with special educational needs and/or disability (SEND). This was designed to improve the experience for children, young people and families, and ensure that support enabled young people to reach their full potential. Key elements of the reforms include:
 - Focus on a wider pathway of support for children and young people from 0–25
 - Introducing education, health and care (EHC) plans (to replace statements), to achieve a more joined-up approach to assessment and with a greater focus on outcomes
 - Introducing personal budgets for young people and their families so that they have greater control and flexibility over the support they access. A SEND personal budget is an amount of money identified by the local authority and/or the NHS to deliver all or some of the provision set out in an EHC plan. By having a say in the way this budget is used, a parent, young person or young adult can control elements of their support
 - Introduction of a “local offer” that lists the support and services available to access locally, along with local policies and procedures relating to the new SEND system.
41. Implementation of the reforms is beginning this month and Southwark will be working with young people, families and our other partners in the ongoing development of this

Areas for development and wider opportunities to embed personalisation

42. As this report seeks to highlight, we have been developing our approach over a number of years and have seen some really positive results to date. We have learnt from the experiences of early personal budget pioneers in Southwark, (both service users and providers) and from this we know there are areas where we could work differently to make the experience better for everyone.
43. As greater numbers of people exercise their own choices about their care, so the dynamics of the care market are also changing. We have moved from the majority of community care being provided by contracted providers or grant-funded provision to a market where much more care is being provided to people independent of the council, as service users and carers commission their own care and support.
44. As commissioners of their own care, there is an implicit assumption that service users and carers can cease using services that are not meeting their needs and purchase their care elsewhere. However, in reality, the care and support market is unique as it provides highly personal and often intimate support to people and they are reluctant to change providers, even where care may not be the quality that we, as the council, would expect.
45. While it can be argued this is personalisation in action, there is an overriding duty of care that remains with the council so fresh thinking on quality assurance is required. The council’s duty of care extends not just to helping our service users / carers / providers once things have gone wrong, but also in working with both service users, carers and the market to avoid things going wrong.
46. An emerging priority is the need to provide more practical support to third sector providers. In this changing market to manage self managed personal budgets and third sector providers need to strengthen their ‘business skills’ so they can establish themselves and thrive, for example, having a strong business model, pricing structure, marketing, and self-review/quality assurance.
47. The third sector have sometimes struggled with balancing their charitable approach with the business side and this means some third sector providers have struggled to survive the

introduction of personal budgets. Some are vulnerable and their internal systems are not always strong enough to ensure the quality and safety of their services to the degree that they would like.

48. The council can help to support this sector to transform themselves through mentoring them to operate in the changing market but also to ensure their developing services meet the councils requirements for quality and safety.
49. There are a number of options for how this can be approached and thinking on this has commenced. Key concepts being reviewed include:
 - a. Provision of third sector development and mentoring support programme (ongoing and sustained support)
 - b. Carrying out basic due diligence on providers who appear on the council's My Support Choices site (similar to the work community engagement did with third sector providers to enable them to pass a pre-qualification process once rather than resubmitting for every tender / grant application process).
 - c. Providing a 'kite mark' for providers and / or giving service users the ability to comment on the services they have used to help with decisions about which services to buy.
51. Given the requirements of the Care Act, highlighted in the policy context section, we will need to continue to review our approach to personalisation and will be looking at key areas, including our existing overarching policy, in the coming months, to ensure that it remains fit for purpose. The key principles and values of personalisation remain at the heart of the work we have done and continue to do, but we recognise there are some areas for change and it will be important to ensure we are preparing for these effectively.

Our priorities for the future

52. Ensuring we maintain the Council plan's target of eligible people with personal budget
53. Encouraging further uptake of self managed personal budgets across all user groups and streamlining the processes to make them as easy and efficient as possible.
54. Supporting our third sector to transform themselves to operate effectively in the changing market.
55. Developing our quality assurance approach further to ensure it supports people to manage their care and support while maintaining the Council's duty of care the service users, carers and providers.

Appendix 1 Personalisation Case Studies

Taken from 2012/2013 Local Account¹

Isayas

My name is Isayas Solomon and I am a Southwark resident. I use a self-managed personal budget to directly employ two personal assistants (PAs). As a result of a spinal injury I use a wheelchair. I am unable to grip with either hand so need daily assistance with some personal care tasks and preparing meals.

Before I developed my support plan with the help of a support planner, I used carers from an agency. Some of the carers were nice but often they were replaced at short notice and I felt uncomfortable with people I didn't know coming into my home to assist me. It has meant a lot to me to be able to choose my PAs. I can feel in control of the support that I receive, and feel comfortable with the person and the way they assist me. We have mutual respect for each other. When interviewing the PAs I look for someone who is a good communicator with a positive attitude and an ability to work flexible hours. It helps if they live locally to me too.

The personal budget is paid into my bank account. I have help from a direct payment support service, which assists me with payroll, recruitment and fulfilling my responsibilities as an employer. One of the best things about controlling my personal budget is that I can use it flexibly. I arrange to have more support on days that I am not feeling so well and 'save up' some of it for an extra hour of support here or there. Occasionally my PA comes with me to the gym and helps me with the hoist so I can go swimming, or with my grip supports for doing weights to help keep me fit and healthy. It's my preference that the PA comes very early in the morning so I can feel ready to start the day when it suits me.

Making daily choices about how to use my personal budget and feeling comfortable with my PAs helps me to stay positive, and achieve the goals I have set myself. I am a very creative person; I write poetry, draw, paint and compose digital music. I also want to start running creative workshops for young people in the near future. I am a member of The Beam Arts group at Southwark Resource Centre. I am passionate about sport; I have done canoeing, snow skiing and skydiving with the help of the organisation The Back up Trust. I'm practicing my swimming and aim to swim competitively soon. I would recommend anyone receiving support from the council try a self-managed personal budget. With the right help to manage it, it really has improved my quality of life.

¹ <http://www.southwark.gov.uk/localaccount>

Derek

Derek is a 53 year old man who has a learning disability and epilepsy. His 82 year old mother is his main carer and they live together in Southwark. He is very close to his mother and also sees his brother regularly. He has been attending a local day centre for many years and enjoys spending time with his friends there.

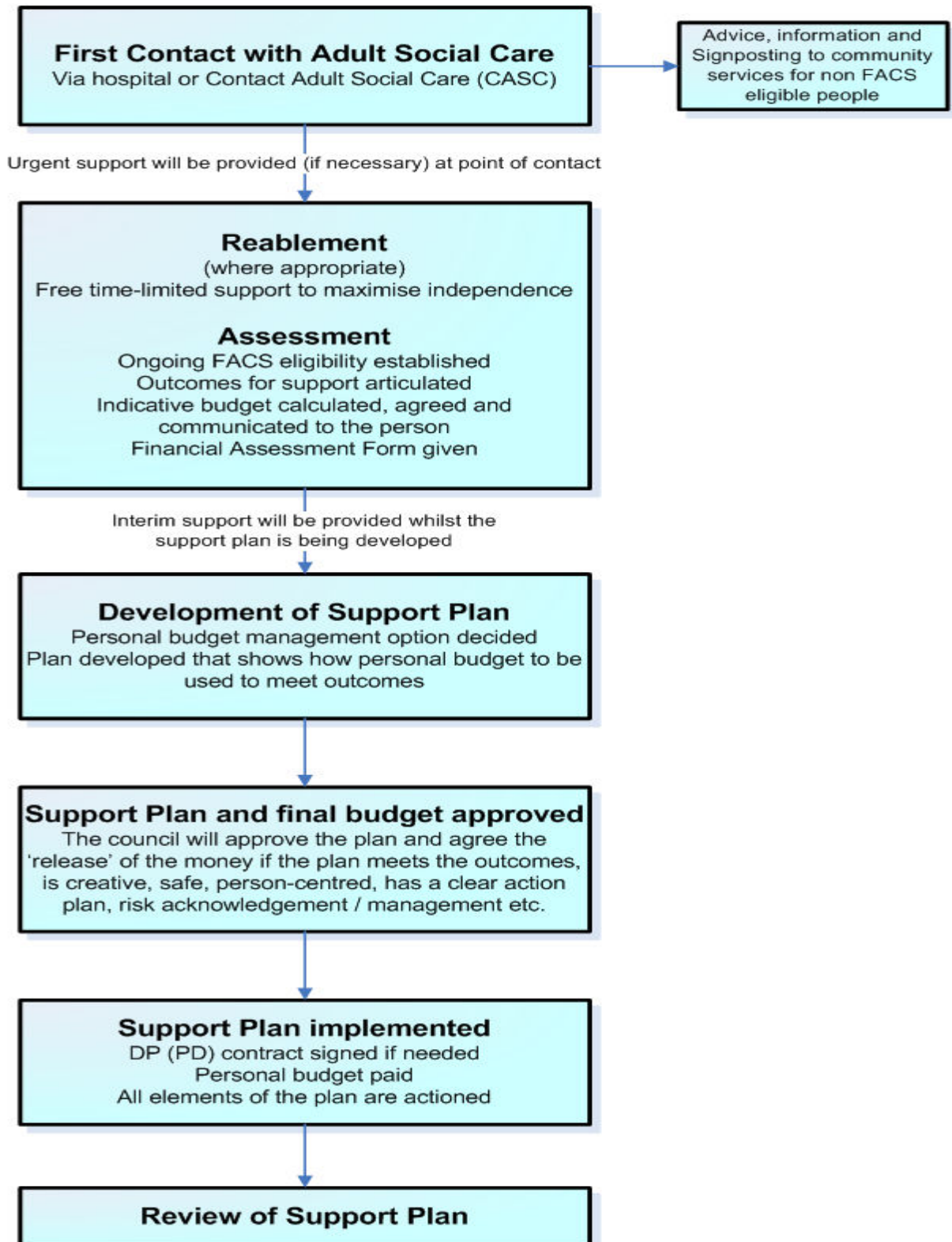
Derek can be shy around people he doesn't know and becomes stressed and anxious in unfamiliar environments or with a change in routine. Apart from a few familiar journeys, Derek requires assistance to access the community safely. His father died a few years ago and as his mother is now quite elderly, he has not been able to get out and enjoy hobbies/activities as much as he did.

Derek's family, social worker and support planner helped him develop his own support plan. Part of the plan involves using Derek's personal budget to employ a key worker from the day centre as his personal assistant. Together they attend football matches, go swimming at the local leisure centre, see films at the cinema and take weekend breaks out of London. Derek still attends the day centre but now has other ways to be sociable and feel part of the community.

Taking the time to explore support options via an in depth, person centred planning process means Derek can now experience a greater variety of groups and activities in a way that is comfortable for him, while maintaining support from family, friends and key workers that has always worked well.

Appendix 2: Personal Budget Customer Journey

September 2014



Do you need help in your day to day life?

Southwark Council's adult social care services can help you make sure you've got the advice and support that's right for you.

Support personal to you

You know best what you need to be independent and well. Personalisation is about making sure you have choice and control over the support you need to live your life.

Self directed support

This is how we make personalisation happen. It means:

- We put you in touch with support in the community and the right sources of information
- We help you regain your independence

If you are eligible for ongoing council support, it also means:

- You have a choice about the kind of support that suits you
- You put together a unique support plan
- You control your personal budget

What is a personal budget?

A personal budget is a sum of money available to people eligible for support from adult social care. It allows you to plan and pay for assistance or other resources that will meet your individual needs, so you can enjoy an independent and fulfilled life. You can manage the budget yourself or ask a trusted person, organisation or the council to do so.

Your budget won't affect any benefits you receive. You may need to contribute to the value of your personal budget. We take into account things like income and savings when working this out.

What is a support plan?

A support plan shows how you intend to use your personal budget to meet your social care needs. It lists who will be providing each element of support, who will be managing the budget and what outcomes the plan will achieve to improve your independence, wellbeing, health and safety.

Support plans are tailored to you and reflect your thoughts and preferences about your support options. You can complete your plan yourself or get help from family, friends, a social worker or a support planner.

You might use your budget to purchase support to get washed and dressed, go out and about, feel part of your community, keep safe and well, develop a skill, or access work or training.



Here's how it works...

Got questions?
Email contactadultsocialcare@southwark.gov.uk,
call 0207 525 3324
or visit our website

1 Get in contact

If you feel that you need support from Adult Social Care you can contact us on **020 7525 3324** or email **contactadultsocialcare@southwark.gov.uk**. You may also be referred to us if you need some extra help after coming out of hospital.



2 Build independence

We want you to be as independent as possible. We can provide information and advice and if required will offer immediate support. If you need short-term practical help to regain your independence we can offer it – this is called 'Reablement'. If you still need support afterwards, we will start to discuss your options.



3 Assess your needs

We work with you to see whether you are eligible for ongoing support from the council. You tell us how you feel about your own needs and what you would like to achieve. If you are eligible, together we will work out how much your social care needs will cost. This is called setting your personal budget.

If you are not eligible for paid support, we will help you get in touch with a range of community support options that can offer information or assistance. We can also offer support for people caring for family or friends.



4 Create a support plan

You decide how to use your personal budget to meet your social care needs and goals. You then put together a support plan that's unique to you, showing how you will spend the money. You can get help to create it from your friends, family, social worker or a support planner. Your plan needs to show how you will use your personal budget to be healthy, safe, independent and well. The council will need to approve your support plan.



5 Use your budget

To have the most choice and control, you can receive the budget as a direct payment and purchase your own support. Or if you prefer, a trusted person, organisation or the council can manage your budget on your behalf. If you choose to manage your own budget, we will let you know any records you need to keep. We will meet with you regularly to talk about how well your plan is working for you. You can contact us at any time if your needs or circumstances change and you wish to alter your support plan.





PERSONAL BUDGET FREQUENTLY ASKED QUESTIONS

Please see below for responses to commonly asked questions regarding Personal Budgets. If you have any further questions regarding Personal Budgets please contact the Personal Budget Team who will be happy to help. The contact details are below:

Telephone: 020 752 53869 or 020 752 55026

Facsimile: 020 7525 3564

Email: personal.budgetrequest@southwark.gov.uk

Letter: Personal Budget (Direct Payments) Team, Children's and Adults Services 4th Floor, Zone D, Hub 3, Southwark Council P. O. Box 64529 London, SE1P 5LX

Common questions:

- [Direct Payments Processes](#)
- [Paying Personal Assistant wages](#)
- [Personal Budget Monitoring](#)
- [Care Related](#)
- [Other General](#)

FAQs – Direct Payments Processes

Q. *How often will I receive my Direct Payments?*

A. The first payment will be made as soon as the support plan is approved and processed. The payments are made 4 weeks in advance. When the Direct Payment is set up, the Personal Budgets Finance Team will send you a schedule of payment dates so you know when to expect future payments; you will also receive an advice slip after each payment.

Q. *What will my direct payments cover?*

A. The payment covers the care/ support described in your support plan and any costs involved in being an employer, where applicable.

Q. *What happens to the surplus money in my direct payment account that I have not used?*

A. If there is surplus money in the account after you have paid for all of your care services and other associated costs, we will require you to return it by either sending us a cheque or pay it directly into Southwark Council's bank account. Please [contact the Personal Budgets Team](#) who will help you with this.

Q. *If my direct payment comes to an end, can I keep or spend the balance left in the Personal Budget account?*

A. No, you are required to pay all outstanding bills relating to your care and any balance left in the account, should be returned to the Council. Please contact the [Personal Budgets Finance Team](#) who will help you with this.

Q. *Can funeral costs be covered from a Personal Budget?*

A. No, the Personal Budget payments are only for care costs agreed in the support plan.

FAQs – Paying Personal Assistants (Carers) Wages

Q. *Why do I need to use a payroll agency?*

A. The best way to ensure that your Personal Assistant is paying the correct tax and NI contributions is to use a Payroll Agency. When you are paying an individual “wages” the Tax Office (HMRC) holds you legally responsible as an employer. This means that if the tax or national insurance is wrong or not being deducted at all, you risk having to pay this yourself. Please note we will give you the money to find a professional payroll company to assist you with this.

Q. *How do I know if my Personal Assistant (carer) needs to pay tax or national insurance?*

A. It is imperative that you seek advice from a Payroll Agency. Even if your Personal Assistant only works a few hours for you but does other paid work for other people, they will most likely have to pay tax. As the employer, you are responsible for ensuring that the correct Tax Office (HMRC) deductions are made.

Q. *How many hours holiday a year is my Personal Assistant entitled to?*

A. To calculate the number of hours holiday per year that a Personal Assistant is due the please see below:

Number of hours of support per week	X 5.6	= total number of hours holiday <u>a year</u>
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Q. *Can I pay my personal assistant a higher hourly rate when s/he works on a bank holiday?*

A. No, this is because it is deemed that the hourly rate paid takes bank holidays into account already over the whole year.

Q. Can I pay my personal assistant in cash?

A. No, you can pay by cheque or bank transfers, cash payments are not allowed.

Q. How much per hour can I pay my carer?

A. During the support planning process, the hourly rate will be set out for you. The Personal Budgets Finance Team will notify you of any future changes.

Q. Do you have a list of payroll companies that I can use?

A. Yes, please contact the [Personal Budget Finance Team](#) or your support planner for a copy.

Q. I am moving to a residential home, how much is my Personal Assistant's final payment before returning the balance to you?

A. Your payroll provider will assist you in finalising the pay for your Personal Assistant. Please note that all employees with at least two years' continuous employment are entitled to statutory redundancy pay.

FAQs – Personal Budget Monitoring**Q. When is the Personal Budget monitoring information due?**

A. The Personal Budget monitoring information deadlines are set out below. This information is important to ensure that the Personal Budget is being spent in accordance with your support plan.

April to June	20 th of July
July to September	20 th of October
October to December	20 th of January
January to March	20 th of April

Should you prefer, some people send returns on a monthly basis.

Q. Who can help me in completing monitoring information sent to me?

A. Please [contact the Personal Budget Finance Team](#) and a visit will be arranged to explain the required information.

Q. What do I include in my monitoring returns?

A. The purpose of the monitoring returns is to compare what has been spent from your Personal Budget Account with the agreed support plan. Therefore we require the following information: bank statements, completed monitoring return, receipts, wage slips, and invoices for all the purchases made from the Personal Budget Account.

FAQs – Care Arrangements

Q. *My Personal Assistant (carer) has left; how will my care needs be covered until I recruit a new Personal Assistant?*

A. Please contact our Contact Adult Social Care (CASC) Team on **0207 525 2334** and a council managed package will be put in place for you until you are able to employ a new Personal Assistant (carer).

Q: *My Personal Assistant (carer) has left, who will help me in recruiting another carer?*

A. Contact our Contact Adult Social Care (CASC) Team on **0207 525 2334** and you will be referred to a third party organisation to assist you to recruit another carer.

Q *I would like to change my current care provider, how can I do this?*

A. Contact our Contact Adult Social Care (CASC) Team on **0207 525 2334** a member of the Team will assist you in changing to another Provider and the Personal Budget Finance Team will be informed.

Q. *Who is my social worker?*

A. If you do not have an allocated social worker, please get in touch with the Contact Adult Social Care (CASC) Team on **0207 525 2334** and a duty social worker will deal with your case.

FAQs - General

Q. *Who do I contact if my weekly Personal Budget payment is not meeting my care needs?*

A. Contact our Contact Adult Social Care (CASC) Team on **0207 525 2334** and a social worker will be allocated to review your case.

Q. *The Council is currently managing my Personal Budget Payments, how can I move to a Personal Budget Account that I can manage myself?*

A. The option to have a self managed or council managed Personal Budget is usually considered with your support planner. Please contact the Contact Adult Social Care (CASC) Team on **0207 525 2334** to discuss which option is best for you. The allocated social worker will assess whether you are able to manage your personal budget and inform the Personal Budget Finance Team of any changes to your payment arrangements.

Q. *What can I do if I do not have enough money to contribute towards my Personal Budget?*

A. Depending on your financial situation, some individuals contribute towards their care. If you have questions relating to the assessment of your financial contributions please contact the Charging Team on free phone number **0800 358 0228**. The Charging Team will review your assessment and if you are still not happy with the outcome, you can request for an appeals against Charges form to be sent to you.

Q. *I am finding it difficult to manage my Personal Budget; can the Council manage it for me?*

A. Yes this option is available for all clients. Please contact the Contact Adult Social Care (CASC) Team on **0207 525 2334**. A member of the Team will assist you in considering the option of a council managed personal budget or a managed account and inform the Personal Budget Finance Team of any changes in the payment arrangements.

Q. *Does the Personal Budget insurance cover all my Personal Assistants? Do we mean Employer's Liability Insurance?*

A. Yes, the Personal Budget includes the costs to cover the Employer's Liability Insurance required when you employ an individual.

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**HEALTHY COMMUNITIES SCRUTINY SUB-COMMITTEE
MUNICIPAL YEAR 2014-15**

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NOTE: Original held by Scrutiny Team; all amendments/queries to Julie Timbrell Tel: 020 7525 0514

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Patrick Gillespie, Service Director, SLaM	1		
Jo Kent, SLAM, Locality Manager, SLaM	1		
Zoe Reed, Executive Director, SLaM	1		
Marian Ridley, Guy's & St Thomas' NHS FT	1		
Professor Sir George Alberti, Chair, KCH Hospital NHS Trust	1		
Jacob West, Strategy Director KCH	1		
Julie Gifford, Prog. Manager External Partnerships, GSTT	1		
Geraldine Malone, Guy's & St Thomas's	1		