



DERBY CITY COUNCIL

# Adults, Health and Housing Directorate

## Adult Social Care Resource Allocation System Policy

**Version 1.2**

**August 2011**

## Version Control and Document History

### Version Control

Policy Leads	Brian Frisby	Director of Younger Adults and Housing
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Policy Sponsor	Cath Roff	Strategic Director of Adults, Health and Housing
Policy Management	Simon Fogell	Policy and Strategy Manager

### Document History

Issue	Date	Author	Reason
Draft v0.1	21 Dec 2010	Colyn Kemp	First draft for comment
Circulated to DLT for comment			
Draft v0.2	19 April 2011	Colyn Kemp	Changed order of sections, removed some sections to form the supporting RAS Operating Guide and redrafted the remainder to improve clarity
Circulated to DLT for comment			
Final v1.0	28 April 2011	Colyn Kemp	Further revisions to improve clarity and for submission to relevant Boards
Approved by SDS Board 4 May 2011 Approved by Transforming Adults, Health and Housing Board Agreed that this policy would not stand alone but would be part of the overall SDS Policy			
Final v1.1	28 July 2011	Colyn Kemp	Reformatted v1.0 with no material changes
Final v1.2	1 Aug 2011	Perveez Sadiq	Final amendments following review

## Contents

Section	Section Title	No. of Pages
i	Version Control and Document History	1 page
ii	Contents	1 page
<b>1</b>	<b>Introduction</b>	<b>1 page</b>
<b>2</b>	<b>Policy Statement</b>	<b>1 page</b>
<b>3</b>	<b>Regulatory Context</b>	<b>1 page</b>
<b>4</b>	<b>Policy Background</b>	<b>1 page</b>
<b>5</b>	<b>Guiding Principles</b>	<b>1 page</b>
<b>6</b>	<b>Scope and Exclusions</b>	<b>1 page</b>
<b>7</b>	<b>Evidence for the Resource Allocation System</b>	<b>1 page</b>
<b>8</b>	<b>Annex A - Key national and local policy documents</b>	<b>2 pages</b>

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## 1. Introduction

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### 1.1 Objective

To provide a Resource Allocation System (RAS) for the consistent and transparent allocation of resources, linking money to outcomes while taking account of the different levels of support people need to achieve their goals. A RAS will allow people to know how much money they have available to spend so that they can make choices and direct the way their support is provided.



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## 2. Policy Statement

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- 2.1 Derby City Council has a duty to facilitate the provision of social care services to those individuals who qualify under its eligibility criteria. This policy applies to those individuals eligible for support under the system of Self-Directed Support (SDS).
- 2.2 Eligibility is defined by the criteria under Fair Access to Care Services (FACS). The threshold for eligibility will be that set from time to time by the authority in line with the Fair Access to Care Services Guidelines. When determining the eligibility threshold for Derby, the Council has regard to its resources.
- 2.3 Under SDS, following a supported self-assessment, customers with eligible assessed needs will be allocated a personal budget which will enable them to meet those assessed eligible needs in accordance with a validated support plan.
- 2.4 Under SDS, a community care assessment can comprise three parts: a statement of need made by a person who needs support to live their life, a support plan to meet those needs and keep the individual safe, and sign-off of the plan by the Council.
- 2.5 The RAS is the calculation which converts a statement of need into an indicative budget within which the customer will be expected to develop their support plan.
- 2.6 This policy provides the framework for the way in which the RAS will allocate resources to customers to meet their eligible assessed needs.
- 2.7 The details of how the RAS allocates resource are described in a separate RAS Operating Guide.
- 2.8 The RAS supports the overarching policy objectives of the Think Local Act Personal approach which are to promote the independence, health and wellbeing of individuals while improving their choice and control over the support they receive.

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## 3. Regulatory Context

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- 3.1 The Government, through the Department of Health (DH), sets the strategic direction of adult health and wellbeing in England. DH provides the legal and policy framework and funding to local authorities to enable them to operate effective services.
- 3.2 While Government sets the strategic direction, it does not have direct responsibility for delivering services. Derby City Council has responsibility for meeting local adult social care needs.
- 3.3 Accordingly, the Council has a number of policies and practice guidelines that govern the administration of adult social care in Derby, of which this policy forms a part. These documents complement the policy documents that have been released by central government which set out the guiding principles and objectives to be fulfilled by the model of SDS.
- 3.4 This RAS Policy document is concerned solely with how the Council allocates resources to provide adult social care for those people with eligible needs.
- 3.5 The key relevant documents are listed at Annex A.

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## 4. Policy Background

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- 4.1 Derby is transforming its social care services through the implementation of the SDS model of support provision. The aim of SDS is to transform support provision by putting customers in control and by tailoring support to individual needs.
- 4.2 Under the SDS framework, if an adult is deemed to be potentially eligible for support (potential eligibility is determined by an initial assessment against the FACS criteria undertaken by Reception and Screening staff) a social worker (or care manager) will consider the likelihood that they would benefit from the Enablement Service. This is a four to six week period of intense support aimed at maximising independence, that is provided free of charge.
- 4.3 Enablement will be different for every individual and the home care enablement service will act as an extended initial assessment even where staff do not anticipate that the customer can be significantly 'enabled'.
- 4.4 In Derby, the terms 'social worker' and 'care manager' are used to mean someone with a professional qualification. There will be other social care staff such as Community Care Workers and Domiciliary Service Organisers involved in supported assessments and the application of FACS.
- 4.5 At the end of Enablement (if relevant) the social worker/care manager will reassess potentially eligibility for support. If appropriate, the worker will undertake a RAS Assessment with the individual to establish an indicative personal budget. The customer can then plan their support within the budget. Help is available for them to do this if required.
- 4.6 Once the support plan is approved, the individual can use their approved personal budget to meet their eligible assessed needs in accordance with the plan.
- 4.7 For resource allocation to work well and efficiently it is important that it forms an integrated part of assessment. Appropriate assessment is at the heart of effective service delivery for adult social care provision and the Council recognises that it is imperative for customers to be active partners in the assessment of their needs. **The RAS therefore forms part of the community care assessment process, which is not a single event at a single point in time, but a continuous process.**

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## 5. Guiding Principles

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- Ensure that the Council is meeting the eligible needs of customers by modelling the RAS in accordance with agreed FACS criteria.
- Provide customers with more control in the process of assessing their needs.
- Allow available resources to be fairly allocated in a transparent way to individuals on the basis of eligible needs, regardless of gender, age, ethnicity or impairment.
- Enable a personalised response to need by providing individuals with an indicative personal budget within which they can plan to meet their assessed eligible needs.
- Provide a mechanism for the Council to monitor and manage the resources available in accordance with its financial and budgetary responsibilities.



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## 6. Scope and Exclusions

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- 6.1 This policy applies to all people seeking support from Adult Social Care in Derby who may potentially be assessed as eligible to receive services. It will be applied to new customers at the end of a period of enablement and to existing customers following a review.
- 6.2 In order to arrive at an indicative personal budget that will meet the eligible assessed needs of customers and carers, the RAS calculation takes account of the need to meet the costs of a number of services. However, there are some services which are outside the scope of the RAS calculations.
- 6.3 Initially the following budgets are excluded. This list will be reviewed through the transitional period and some of these budgets, may be phased into the RAS as commitments and demand levels change:-
- Management and Administration
  - Assessment and professional support
  - Preventative budgets such as Equipment and Adaptations, Enablement, and Intermediate Care
  - IT and other related infrastructure budgets
  - Long Stay residential and nursing care budgets
  - Information, advice and brokerage budgets.
  - Voluntary Sector Community Grants budgets
  - Tenancy Support Assistants
  - Mental Health Community Support Workers
  - Assisted Living Schemes

The final three are particularly subject to review and liable to change as the “block” nature of the service changes.

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## 7. Evidence for the Resource Allocation System

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- 7.1 From November 2009 to June 2010, Derby City Council tested a RAS that had been developed in-house based on the principles of in-Control models and examples from other authorities.
- 7.2 Feedback from customers suggested that the questionnaire used did not cover the full range of needs, particularly for customers with a learning disability. A review project was undertaken during October to December 2010 supported by consultants from OLM and involving staff, representatives from the voluntary sector and customers. As a result of the review, it was decided to adopt the needs questionnaire from the Common RAS Framework. This model had been co-produced in late 2009 by 18 councils in a project supported by ADASS and facilitated by OLM.
- 7.3 A proportionate number of customers awaiting a review from the different needs areas were put through the new RAS. The sample included 145 older people, 55 people with a learning disability, 61 people with a physical disability and 19 people with mental health needs (total 280 cases).
- 7.4 The test cases provided valuable information which was used to develop and refine a RAS tailored to the specific needs of Derby customers.
- 7.5 As Derby's RAS is based on the co-produced Common RAS Framework, and has been developed with input from local practitioners and customers. It is a robust tool tailored to meet the specific needs of the Derby population.
- 7.6 The RAS will be monitored and subject to continuous review as customers go through the SDS process.

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## **8. Annex A - Key national and local policy documents**

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### **8.1 Legislation**

National Assistance Act 1948  
Health Services and Public Health Act 1968 (subject to LAC (93) 10)  
Chronically Sick and Disabled Persons Act 1970  
Race Relations Act 1976  
National Health Services Act 1977  
Health and Social Services and Social Security Adjudications Act 1983  
Mental Health Act 1983  
Disabled Persons (Services Consultation and Representation) Act 1986  
National Health Service and Community Care Act 1990  
Carers (Recognition and Services) Act 1995  
Human Rights Act 1998  
Data Protection Act 1998  
Health Act 1999  
Race Relations Amendment Act 2000  
Local Government Act 2000  
Care Standards Act 2000  
Freedom of Information Act 2000  
Health and Social Care Act 2001  
Local Government Act 2003  
Community Care (Delayed Discharges etc.) Act 2003  
Mental Capacity Act 2005  
Disability Discrimination Act 1995 as amended by the Disability Discrimination Act 2005  
The Carers (Equal Opportunity) Act 2004  
Equalities Act 2006  
Safeguarding Vulnerable Groups Act 2006  
Mental Health Act 2007

### **8.2 Policy, Guidance and Strategy**

Independent Living (1983) Fund  
Valuing People (2001)  
Fairer Access to Care Guidance (2002)  
Independence Well-being and Choice (2005)  
Improving the Life of Disabled People (2005)  
Code of Practice for the Mental Capacity Act (2005)  
Strong and Prosperous Communities: Local Government White Paper (2006)  
Our Health, Our Care, Our Say: a new direction for community Services (2006)  
The New Performance Framework for Local Authority and Local Authority Partnerships (2007)  
Building on Progress Public Services (2007)  
Putting People First (2007)

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## 8. Annex A - Key national and local policy documents

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National Service Framework for Older People  
A Stronger Local Voice  
National Carers Strategy  
Independent Living Strategy  
Capable Communities and Active Citizens (2010)  
Think Local, Act Personal (2010)  
Prioritising need in the context of Putting People First: a whole system approach to eligibility for social care - guidance on eligibility criteria for adult social care, England [web link](#) (2010)

### 8.3 Local Authority Circulars

LAC (92) 15 Social Care for Adults with Learning Disabilities  
LAC (93) 7 Ordinary Residence  
LAC (93) 10 Approvals and directions for arrangements from April 1993  
LAC (2001) 6 Better Care Higher Standards  
LAC (2003) 14 Changes to Local Authorities Charging Regime for community equipment and intermediate care services  
LAC (2004) 24 Community Care Assessment Directions  
LAC (2008) 1 Transforming Social Care