

Refresh Target Template

NI	130	Social care clients receiving Self Directed Support
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1. Do targets need to be negotiated at first annual refresh? If yes, where and why is this the case? (<i>This should be only those areas where it was agreed during negotiations that target values would need to be set/reviewed at refresh. This list will be agreed with GOs</i>)	<p>Yes. To reflect the policy changes in Putting People First, the definition of NI130 is changing from 2009/10. This affects targets set for 2011.</p> <p>Renegotiation will be needed in areas where the target is currently for less than 30% of service users and family carers who are receiving a community-based package of care to be doing so within the self-directed support process.</p>
2. How is the target measured?	See Annex A (attached below) for measurement of target in 2008/9 and 2009/10 onwards
3. Overall approach to target setting	See Annex B (attached below) , <i>DH October 2008 Guidance on Targets for NI 130 Self-Directed Support</i>
4. What is the baseline (e.g. 2007-08 figure, 3 rd quarter 2007 etc)	2006/7 – however this data was based on the previous definition and only counts direct payments.
5. When will baseline data be available to inform target setting?	November 2008
6. What is the process for securing baseline data (if it is not currently available)?	NHS Information Centre for Health and Social Care will provide baseline data by November 2008.
7. What coinage should the target be set in? To how many decimal places?	<p>2008/9: Rate per 100,000 (one decimal place)</p> <p>2009/10: Percentage (one decimal place)</p>
8. Is this in line with the published indicator definition? Are any changes required to data collection?	Amendment made to Handbook of Definitions to revise indicator for 2009/10 onwards, and clarify inclusion of carers.
9. Are there any outstanding issues to be resolved for publication in a TNB?	No.

10. Are there any limitations on the public publication of the TNB?

No.

ANNEX A: REVISED HANDBOOK OF DEFINITION FOR NI 130

NI 130: Social care clients receiving Self Directed Support

Is data provided by the LA or a local partner?	Y	Is this an existing indicator?	N
Rationale	<p>Self-directed support means that people are able to design the support or care arrangements that best suit their specific needs. LAC (DH) (2008) 1 <i>Transforming social care</i> states that “In the future, all individuals eligible for publicly-funded adult social care will have a personal budget (other than in circumstances where people require emergency access to provision); a clear, upfront allocation of funding to enable them to make informed choices about how best to meet their needs, including their broader health and well-being.... A person will be able to take all or part of their personal budget as a direct payment... Councils will need to develop their own monitoring systems to understand how the change is experienced by the population.”</p> <p>From 2009/10 NI130 will count people who are directing their own community support using a personal budget. Under the new definition, any form of personal budget can be counted. The indicator will continue to include everyone who has a direct payment. The denominator will also change in 2009/10; NI130 will be expressed as a percentage instead of a rate per 100,000 population.</p> <p>No changes have been made to the definition for 2008/09. In this year, only people with direct payments can be counted.</p> <p>NI130 is based on the RAP P2 data collection, and so only people receiving community-based services are included. This is not changing.</p>		
Definition	<p>Definition for 2008/09</p> <p>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+)</p> <p>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 http://www.ic.nhs.uk/pss/returns/2007</p> <p>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,</p> <p>Plus</p> <p>Part 2 – PSSEX1 Activity sheet number of carers receiving direct</p>		

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 2006/07; 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

Definition for 2009/10 onwards

Number of adults, older people and carers receiving self-directed support in the year to 31st March as a percentage of clients receiving community based services and carers receiving carer's specific services aged 18 or over.

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 all 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; and
 2. There is an agreed support plan making clear what outcomes are to be achieved with the funding; and
 3. The person (or their representative) can use the funding in ways and at times of their choosing.

Councils will need to evidence that these criteria are met, for example through local monitoring of outcomes and satisfaction, as outlined in paragraph 69 of *Transforming social care*.

Numerator: Number of adults, older people and carers receiving self-directed support in the year to 31st March is taken from the Referrals, Assessment and Packages of Care Data (RAP) proformas P2f and S3

The data collections will record for each category;

- a) for people who have been through a self-directed support process;
 - people receiving a personal budget in the form of a direct payment for all or some of the package
 - people receiving a personal budget (based on the above definition), and who do not receive a direct payment
- b) for people who have not been through a self-directed support process;
 - people receiving an existing or new direct payment (they may also

	<p>be receiving other services)</p> <p>Denominator: Number of service users receiving community based services plus the number of carers receiving carer's specific services (Source: RAP P2f column 1 plus RAP C2 column 1)</p>
Formula	<p>Formula for 2008/09</p> $\sum_j \left(\frac{x_j}{y_j} \right) * \left(\frac{Pop_j}{Pop_{Tot}} \right) * 100,000$ <p>Where:</p> <p>j is age groups 18-64, 65-74, 75-84, 85+</p> <p>x_j = For 2008-09: Those in each particular age group j who received a direct payment in the year to March 31, including carers. (Age as at 31 March).</p> <p>y_j = Local population in age group j.</p> <p>Pop_j = National population in age group j.</p> <p>Pop_{Tot} = Total adult national population, aged 18 and over.</p> <p>Formula for 2009/10 onwards</p> $\left(\frac{x}{y} \right) * 100$ <p>Where:</p> <p>x= Number of adults aged 18+ who received a direct payment plus those whose financial affairs were managed within a personal budget in the year to March 31, including carers. (Age as at 31 March).</p> <p>y = Number of service users receiving community-based services plus the number of carers receiving carer's specific services</p>

NI 130: Social care clients receiving Self Directed Support (continued)

Worked example	<p>2008/09:</p> <p>Suppose the total number of people aged 18-64 who received a direct payment in the year 2008/09 to</p>	Good performance	<p>Good performance is typified by a higher rate.</p>
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	<p>March 31 = 560 and the local mid-year population estimate aged 18-64 = 495,568</p> <p>and if people aged 18-64 comprise 75% of England's adult population,</p> <p>the indicator value for that age group is $[(560/495,568) * (0.75) * 100,000]$</p> <p>= 84.8 for age group 18 to 64</p> <p>The overall indicator value is found by repeating the calculation for each age group and summing over the four age groups.</p> <p>2009/10:</p> <p>Suppose the total number of people aged 18+ who received an existing/new direct payment or personal budget in the year 2009/10 to March 31 = 600 and the total number of people receiving community based services and carers receiving carer specific services aged 18+ = 2,000</p> <p>the indicator value is $[(600/2000)*100] = 30\%$</p>		
<p>Collection interval</p>	<p>Financial year</p>	<p>Data Source</p>	<p>2008/09: Referrals, Assessment and Packages of Care Data (RAP) and Personal Social Services Expenditure and Unit Costs: England (PSS EX1)</p> <p>And ONS latest mid year population estimates.</p> <p>2009/10: Referrals, Assessment and Packages of Care Data</p>

			(RAP)
Return Format	2008/09: Rate per 100,000 2009/10: Percentage	Decimal Places	One
Reporting organisation	NHS Information Centre for Health and Social Care, based on information supplied by Councils with Adult Social Services Responsibilities.		
Spatial level	Single tier and county council		
Further Guidance	NHS Information Centre for Health and Social Care www.ic.nhs.uk/services/social-care/social-care-collections		

ANNEX B: Department of Health guidance on targets for NI 130 - SELF-DIRECTED SUPPORT (October 2008)

NI130 – Measuring Self-Directed Support

1. Introduction

One of the key policy directives from Putting People First is that people who are assessed for social care services should go through a process called **self-directed support**.

This document explains changes to NI 130 which will take place from April 2009, and the rationale for setting LAA targets based on the new definition.

From 2009/10 NI130 will count people who are directing their own community support using a personal budget. Under the new definition, any form of personal budget can be counted. The indicator will continue to include everyone who has a direct payment. The denominator will also change in 2009/10; NI130 will be expressed as a percentage instead of a rate per 100,000 population.

No changes have been made to the definition for 2008/09. In this year only people with direct payments can be counted.

NI130 is based on the RAP P2 data collection, and so only people receiving community-based services are included. This is not changing.

2. What is self-directed support?

Self-directed support represents a fundamental shift in the way social care resources are allocated, controlled and used. It is an essential means to fulfil the one of the central aims of Putting People First - to enable people and their families to exercise full choice and control over their lives.

The main feature of this process is that the people are able to describe their own needs, and how they think these needs might best be addressed, taking into account their individual circumstances. People should be given choice and control over the way in which their needs are met to meet agreed outcomes, rather than expecting people fit in with the services on offer. People receiving a service should be able to choose who provides their support and when and where the services are provided and what type of service will meet the agreed outcomes in their particular circumstances. To do this, people who use services, or their advocates, should be aware at the outset of the amount of funding that is available to be spent on their support and the contribution that they may be asked to make towards these costs. They have a choice to spend part or all of the money in a way that they choose.

Once people know the level of funding available, they can:

- make their own plans for services with the money from the council (Direct Payment), or
- get together with friends to make the plans together, or
- ask an agent or the council to arrange for them.

People can choose any of these. They must show that the money they have been given is making the difference it was supposed to make .in terms of the agreed outcomes. The right information needs to be available to help people make the right decisions for them.

To help deliver this staff will need to help people agree what the outcomes they want and help them to achieve these. The process will need to have all these components:

- listen to what the people who need services are telling them about how they can be helped and what results they are seeking
- keep the focus on the goals of achieving independence, of choice and control for the people who use services
- see the importance of working in partnership with carers – including treating them as expert care partners
- make sure that everyone is treated with respect
- ensure that people understand the money and how they wish to see it spent.

3. Transforming Social Care LAC(DH) (2008) 1

We will use this definition from 2009/10 for self-directed support.

Paragraph 19 of the circular states:

In the future, all individuals eligible for public funded adult social care will have a personal budget (other than in circumstances where people require emergency access to provision); a clear upfront allocation of funding to enable them to make informed choices about how best to meet their needs, including their broader health and well-being. Having an understanding of what is available will enable people to use resources flexibly and innovatively, no longer simply choosing from an existing menu, but shaping their support. A person will be able to take all or part of their personal budget as a direct payment, to pay for their own support either by employing individuals themselves or by purchasing support through an agency. Others may wish, once they have decided on their preferred care package, to have the council continue to pay for this directly. The approach, which may be a combination of both, will depend on what works best for them. The term personal budget describes this transparent and upfront allocation of resources.

4. History of NI130 and the reason for change

The previous definition of NI130 had two features, which are now being changed:

First, it measured people who received their services in the form of a Direct Payment. It therefore excluded people who had been through a self-directed support process but who had expressed a choice that they wanted the Council to arrange their services for them. We now wish to extend the definition to place a stronger emphasis on the process of self-directed support, which includes being aware of the resources available to them, rather than a focus on the payment mechanism. This is measuring a process – rather than the outcome – which can only be measured through service users saying that they have choice and control over the services.

Second, the denominator focussed on the population of an area. The proposed changed definition places a focus on people and family carers who are receiving community care services and ensuring that they have been through the process of self-directed support. It is recognised that there will be some people who will not have had an opportunity to go through the process of self-directed support because their package of care was established in an urgent way. For example, it would be logical for the self-directed support process to begin during or after a period of rehabilitation, rather than before.

While NI130 will be an important indicator of increased choice and control, it will be important for councils to look for other evidence to check that agreed outcomes are being delivered through this process.

The NHS Information Centre for Health and Social Care has revised the relevant data collection forms and is developing a FAQ to help councils with technical issues.

5. Good Performance

It is our view that an Authority delivering transformation of social care will have a minimum of 30% of service users and family carers who are receiving a community-based package of care will be doing so within the self-directed support process by March 31st 2011. This will be seen as a “good performance”. It is recognised that many authorities will have reached a much higher performance by that stage because they are making significant progress now – some have set themselves a target of over 60%.

We believe that a proper demonstration of transformation as outlined in our Circular will equate to a 30% figure in 2011 but it will rise significantly, as the processes are embedded in the way in which local authorities conduct their business and all authorities will be performing at above 60% within 5 years. We recognise that, for those authorities who are at an early stage in the development of self-directed support, achieving 30% in two years will be a challenge - but this was the purpose for giving the Transformation Grant. Therefore, when reviewing the Local Area Agreement targets set for 2011, we expect that councils will want to agree a target of at least 30% for NI130.

6. Definition for 2009/10 onwards

Number of adults, older people and carers receiving self-directed support in the year to 31st March as a percentage of clients receiving community based services and carers receiving carer’s specific services aged 18 or over (age standardised) (for population 18–64 and 65+)

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 all 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; and
 2. There is an agreed support plan making clear what outcomes are to be achieved with the funding; and
 3. The person (or their representative) can use the funding in ways and at times of their choosing.

Councils will need to evidence that these criteria are met, for example through local monitoring of outcomes and satisfaction, as outlined in paragraph 69 of transforming social care.

Numerator: Number of adults, older people and carers receiving self-directed support in the year to 31st March is taken from the Referrals, Assessment and Packages of Care Data (RAP) proformas P2f and S3

The data collections will record for each category:

- a) for people who have been through a self-directed support process;
 - people receiving a personal budget in the form of a direct payment for all or some of the package
 - people receiving a personal budget (based on the above definition), and who do not receive a direct payment

- b) for people who have not been through a self-directed support process;
 - people receiving an existing or new direct payment (they may also be receiving other services)

Denominator: Number of service users receiving community based services plus the number of carers receiving carer's specific services (Source: RAP P2f column 1 plus RAP C2 column 1)