

## TRAFFORD COUNCIL

**Report to:** Council Executive  
**Date:** 4<sup>th</sup> March 2013  
**Report for:** Decision  
**Report of:** Executive Member for Supporting Children and Families  
and the Corporate Director Children and Young People

### Report Title

**Personalisation - Proposals for Children and Young People Service  
Implementation**

### Summary

This report sets out proposals for the implementation of a personalisation model in Children and Young People Service (CYPS) from 1<sup>st</sup> April 2013. Personalisation will underpin a major change in the way in which the business of CYPS is carried, out empowering families to take a pivotal role. This is a central principle of the CYPS 2015 vision and will support a transformation in the way we work with families and the broader community. We are at the forefront nationally of developments for Children's Services and it is envisaged personalisation will bring the following benefits;

- Equitable access to services with a transparent allocation of resources
- Empowerment of children and families to shape their support based on need
- Greater flexibility in the use of resources
- Improved relationships and engagement with children and families
- Greater ownership of resources by children and families

The proposals were developed following a detailed programme of activity that included;

- Research and analysis of personalisation good practice
- Requirements of the Legal Framework as set out in Section 2 of this report
- Evaluation of Pilot Project between January and July 2012
- Learning from feedback on current processes from children, parents, and professionals
- Consultation process undertaken between October 2012 and January 2013

This has culminated in proposals covering a range of mechanisms and support required for a personalised approach for children with complex additional needs. The following key themes of this approach are explored in more detail in Section 6 of the report.

- Concept of Personalisation
- Resource Allocation System (RAS)
- Financial Model
- Personalisation Policy
- Infrastructure Support

## Recommendations

- 1) Executive approves the implementation of personalisation for children with complex additional needs from 1<sup>st</sup> April 2013. The principles underpinning this implementation are outlined in Section 6.1. Implementation will be phased in over a 6 month period to enable assessment and allocation processes to be undertaken.
- 2) As part of this implementation, approval is sought for the following key mechanisms to support personalisation;
  - Resource Allocation System (Section 6.2)
  - Financial Model (Section 6.3)
  - Infrastructure Support (Section 6.4)
  - Transition Plan (Appendix 1)
  - Changes to contingency funding to align with Adult Services (6.5)
  - Development of a Personalisation policy (Section 6.6)

### Contact person for access to background papers and further information:

Name: John Pearce, Director Commissioning, Performance & Strategy, CYPS  
Extension: 5100

Background Papers: None

### *Implications:*

Relationship to Policy Framework/Corporate Priorities	Personalisation is a key component of the CYPS 2015 vision and will support achievement of a range of priorities.
Financial	Financial model and its impact are set in Sections 6 and 7 of the report. Introduction of the personalisation model will lead to an overall reduction in spend in line with the budget proposals.
Legal Implications:	Legal implications are described in Section 2 of the report.
Equality/Diversity Implications	A full Equality Impact Assessment has been completed with analysis of equality and diversity issues underpinning the process. It is also explored in more detail in Section 3 of the report
Sustainability Implications	N/A
Staffing/E-Government/Asset Management Implications	Workforce development issues have been identified and will form part of the implementation process.
Risk Management Implications	N/A
Health and Safety Implications	N/A

## **1.0 Introduction**

- 1.1 Trafford Children and Young People's Service (CYPS) have been working on a transformation project to establish a personalised approach to service delivery for children, young people and their families since September 2010. A significant amount of research, consultation and planning was undertaken before moving to a pilot phase in January 2012. The pilot tested out different approaches with 25 families participating and the evaluation highlighted some key areas of learning. Information on the pilot and its outcome is covered in Section 5 of this report.
- 1.2 Personalisation is well established in Adult's Services and has been subject to a major national project with significant funding attached to it since 2008. In Children's Services the principles have been embraced but due to the relative complexity of interventions on high cost/low volume basis it has been challenging to progress. There are very few examples of good practice relating to Children's Services and we are not aware of any areas nationally that have moved to full implementation.
- 1.3 Personalisation will underpin a major change in the way in which the business of CYPS is carried, out empowering families to take a pivotal role. This is a central principle of the CYPS 2015 vision and will support the transformation in the way we work with families and the broader community. We are at the forefront nationally of developments for Children's Services and this programme provides a real opportunity to deliver services in a different way. It is very much aligned to national policy around localism, empowering families and building strong communities and develops the role of services as facilitators.
- 1.4 A range of benefits have been evidenced through the implementation of personalisation;
- Equitable access to services through a transparent resource allocation process. Financial analysis demonstrates a historical imbalance between allocation to children and young people with similar levels of need.
  - Empowerment of children, young people and parents to shape packages of care that meet their needs. Throughout the project there are opportunities for young people and their families to build a skill base that can impact on other parts of their lives.
  - More flexible use of resources and the development of innovative services rather than traditional short break models leading to improved outcomes
  - Improved relationships between parents and professionals due to the transparency and equity of the model. Effective resource allocation can remove what has historically become an adversarial process.
  - Greater ownership of resources by young people and families which has been shown to deliver significant efficiencies. Where families have choice of the use of funding there is evidence of a greater value placed on the support package they receive and awareness of the cost.

## **2.0 Legal Framework**

- 2.1 Part III of the Children Act 1989 (“the 1989 Act”), sets out local authorities’ duties to provide support services for children in need and their families. Section 17 of the Act provides a definition of children in need which includes disabled children and sets out the duty local authorities have with regard to such children. In Part III children are defined as under the age of 18 (s105).
- 2.2 The Framework for the Assessment of Children in Need and their Families (2000) is guidance to local authority social services departments and other agencies on the assessment of children in need under the CA 1989. It is issued under section 7 of the Local Authority Social Services Act 1970, which requires local authorities in their social services functions to act under the general guidance of the Secretary of State.
- 2.3 The introduction of the power to make direct payments in lieu of providing services to families with disabled children; disabled parents; and to disabled 16 and 17 year olds was achieved through amendment to the 1989 Act, a new section 17A was inserted by the Carers and Disabled Children Act 2000.
- 2.4 The National Framework for Children and Young People’s Continuing Care (2010) provides a recommended structure for assessing, deciding and agreeing bespoke packages of continuing care for those children and young people under 18 who have continuing healthcare care needs that cannot be met by existing universal and specialist services alone.
- 2.5 The Green Paper ‘Support and Aspirations: A New Approach to Special Educational Needs and Disability’ (2011) laid down a commitment to introduce the option of a personal budget by 2014 for all families with children with a statement of SEN or a new ‘Education, Health and Care Plan’ (EHC). The Government has now indicated that legislation will be developed to a timescale of September 2014 for full implementation.
- 2.6 In September 2012, draft legislation, the ‘Reform of provision for children and young people with Special Educational Needs was placed before Parliament to enable the introduction of the single education, health and care plan. The draft legislation:
- explains, for the purposes of this legislation, a young person means a person over compulsory school age but under 25.
  - sets out the duties on local authorities for preparing and delivering Education, Health and Care Plans for children and young people with special educational needs (up to 25th birthday when appropriate).
  - makes clear that when a local authority is deciding whether to carry out an assessment for a young person aged 19 or over, it must have regard to that person’s age.
- 2.7 At present, the only legal basis for ‘personalisation’ is the Direct Payments legislation; and local authorities retain a legal duty regarding assessment and service provision. Therefore even with the introduction of personalisation and Resource Allocation System (RAS) allocations, the local authority retains a legal duty to meet eligible needs, even if this results in care costs above an

individual's RAS allocation. Personalisation does not remove the legal duty for local authorities to meet eligible assessed needs.

### **3.0 Public Sector Equality Duty (PSED)**

- 3.1 In line with the council's PSED under section 49 of the 2010 Equality Act an Equality Impact Assessment (EIA) has been carried out for publication as part of the consultation process. The development of the EIA has enabled the Council to give due regard to the impact of the proposed changes on those identified with protected characteristics under the 2010 Equality Act.
- 3.2 A full Equality Impact Assessment has been produced using the information and analysis gathered through the development work, evaluation and consultation phases of the project. The EIA is attached as Annexe 1 of this report.
- 3.3 The concept of personalisation and the introduction of personal budgets are designed to transfer increased choice and control to children/ young people with disabilities and their families. By adopting such an individualised approach, effectively meeting the needs of children/ young people and their families will be the focus of any support plans implemented. Self-assessment questionnaires will be used to gain a full understanding of the needs of children/ young people and their families and, via a resource allocation system, a personal budget will be determined according to this.
- 3.4 The amendments to the policy and approach to service delivery will impact on those children with complex additional needs who meet the threshold for social care support. This impact could be positive or negative depending on the individual assessment of need to be completed through the process. The resource allocation system used to determine the amount of a personal budget is weighted according to increasing need; those children with the most complex needs receive the highest weighting. The resource allocation system is also age related and separates children/ young people in to four age bands. The bandings are weighted with increased financial allocation at the older age range in recognition of older children requiring more expensive services such as 2:1 support and residential overnight stays.
- 3.5 As the new resource allocation system develops it is evident that through the implementation of the personalisation policy, some children and young people will be offered a personal budget that does not equate to the cost of the care package they currently receive. The policy therefore has the potential to impact on individuals positively, negatively or in a neutral way. Although, as a consequence of the policy, some negative impacts may be reported, the amount offered to children/ young people and their families will always be proportionate to the needs presented.
- 3.6 This new individualised approach to meeting needs accounts for the specific needs of a child/ young person irrespective of their religion, faith and/ or sexual orientation. However, the increased level of choice and control introduced by personal budgets will allow children/ young people and their

families to develop their care support plan in accordance with their needs which can include the above.

- 3.7 Personal Budgets are allocated in accordance with assessed need, using the RAS to determine a financial allocation. Children/ young people and families can choose to spend this allocation how they choose; providing it meets the needs of the disabled child and does so in a legal and safe way. This is an equitable system which uses the same assessment process for all involved.
- 3.6 It is expected the implementation of personalisation will have the following beneficiaries; children and young people with disabilities, along with their families, are expected to greatly benefit from the increased level of choice and control with regard to the social care support services they receive. Feedback to date, both from the pilot in Trafford and national research, has suggested that personalisation and personal budgets have had a positive impact on outcomes.

#### **4.0 Consultation Process and Engagement**

- 4.1 A consultation was undertaken as part of the wider Trafford Council Budget Consultation. This included the following targeted consultation activities for families and professionals in relation to personalisation:
- Approximately 200 families are already in receipt of a short break, all families have been directly written to and invited to comment on the proposals (Nov 2012) via website or in writing or via phone call
  - All teams within the Complex Additional Needs (CAN) service have been consulted with during October and November (2012)
  - Direct discussion with the CAN social care team in November 2012
  - Direct discussions at the CAN advisory forum with multi agency colleagues from inside and outside of CAN in November 2012
  - Direct discussion with the CAN parents advisory forum in November 2012
  - Direct discussion with the SAM pathfinder in November 2012
  - Discussion with Special School Heads and broader discussion on proposals with Primary and Secondary Heads.
  - Meetings with voluntary and community sector organisations
  - 2 targeted consultation events 21<sup>st</sup> January.
  - Proposal included on the Council website for budget consultations
- 4.2 In terms of engagement, the following response statistics have been recorded:
- 4 direct responses from parents
  - 1 response received from CAN social work team
  - Verbal responses recorded from special school headteachers
  - Verbal responses recorded from Parent's Advisory Forum
  - Verbal responses recorded from CAN Advisory Forum
  - 25 parent attendees at consultation events 21<sup>st</sup> January
  - 13 professional attendees at consultation events 21<sup>st</sup> January
- 4.3 The following information was gathered through the consultation process;

**Parental responses:** Focused on the impact for individual children and families and the flexibility and the type of support available from a personal budget. Overall parents felt that personalisation was a positive step forward. They particularly liked the ability to control and shape their resources to meet their child's specific needs. Change in the power of relationships between parents and professionals was also described as a partnership and seen as a positive.

The potential reduction in the amount of finances offered to some families was cited as an issue that required careful consideration and queries regarding the management of this were raised. A clear complaints process was requested so parents had some recourse if there was a disagreement around a personalised package of support. Some concerns were also raised about the proposed resource allocation system and it was queried if all families would have to have a personalised package or was this to be optional.

In conclusion parents felt personalisation was a positive however, consideration was to be given to the impact of this on individual CYP and families. A range of detailed specific questions were also raised that will be picked up as part of the implementation process.

**Professional responses:** As with parents the concept of personalisation and the offer of personal budget were well received in principle. Queries were raised in relation to the choice and responsibility that this placed upon parents and the quality assurance mechanisms that would be in place to support this.

The impact on existing services was an issue if alternative provision became favoured through the personalisation process. The social work staff raised questions about assurance of delivery of safe services and audit of spend within the proposed model. The need to continue to meet statutory requirements was highlighted.

There was also interest in the offer of personalisation to a wider group of CYP than those who currently receive services and clarification regarding this matter was discussed. Queries in relation to safe placements and the audit of placements were raised. Overall personalisation was seen as a positive step forward but the finer detail of how this would work in reality was raised.

The proposals set out address the majority of the concerns raised within the consultation, although as identified in the Equality Impact Assessment there is scope for the proposal to have both positive and negative impacts. However the proposed approach will bring a level of equity and transparency that will have a beneficial impact over a period of time. Some of the specific areas highlighted will be focused on through the implementation phase.

## **5.0 Personalisation Pilot Project - Evaluation Overview**

- 5.1 The pilot project ran from January to July 2012 to test Trafford's approach to the personalisation of children's services for those with complex and additional needs. The project used a Resource Allocation System (RAS) developed by In Control over a number of years and seen as good practice nationally. 25 children were assessed using the self-assessment questionnaire and worked

through the process to receiving a personal budget with an agreed care support plan.

5.2 In addition to the 25 children identified for the pilot, to enhance the richness of the data for evaluation purposes the pilot group was increased to include 132 further cases (total 158). There are a total of 213 CYP with a current package of support (55 cases not used as a comparator). These children had been considered during the pilot phase by the Complex Additional Needs (CAN) Resource Panel and were identified as suitable for use in evaluation according to the following criteria:

- The child must be accessing a package of support from the service that has an annualised cost
- The child must have a completed RAS assessment score; either completed by the social worker with the family not present (indicative RAS score) or with the family present as part of the pilot (true RAS score)

5.3 The evaluation has been informed by both quantitative and qualitative data. Quantitative data gathered from the evaluation cohort has been analysed in relation to the RAS used for the pilot and to inform the financial modelling. The data used is primarily sourced from brokerage performance data and data collected via the CAN resource panel. Qualitative data has been collected via interviews with frontline professionals and representatives from both social workers and the brokerage service to evaluate the pilot from a practical frontline perspective. The key findings were to review the RAS questions to include the wider context of the family, consider the role of social workers in RAS process and to consider a refresh of the points allocation system. This information has been integral to the recommendations established for consultation and a formal qualitative evaluation is planned to be completed by February 2013.

5.4 The pilot programme has been extremely useful to develop thinking around the issue of personalisation and how a policy could successfully be developed and implemented within Trafford. The evaluation of the pilot attempts to highlight some of the main issues arising from the current model and suggests ways in which the objectives of personalisation could be achieved in a sustainable way as and when the policy is mainstreamed across the service and within other areas within CYPS.

5.5 As a result of the evaluation of the pilot project a number of key themes for consultation were identified. These themes are outlined in Section 6 of this report and were subject to a 90 day consultation as part of the main budget consultation process from October 2012.

## **6.0 Key Themes**

### **6.1 Personalisation Concept**

The major focus of the consultation process has been the concept of personalisation and the principles that underpin it. The key principles of personalisation align with our vision for the delivery of children's services and



it is important that vision is shared by the families and communities we serve. In particular the following themes will be central to the consultation;

- § Empowerment of children, young people and their families to have a central role in planning their own support package and directly influence the use of resources allocated to them. We also need to ensure there is a safety net for those families that do not wish to or are unable to engage with personalisation.
- § Equitable use of resources through a transparent assessment and allocation process in which children and their families are fully engaged and involved. To ensure this all families will need to have a 'RAS' so that levels of need can be benchmarked even if they do not wish to engage in personalisation.
- § Development of more innovative support packages that move away from some of the more traditional models of delivery. This will enable a support package to be tailored to a young person's individual needs, interests and ambitions rather than fitting them into a service because that is all that's available.
- § Improved relationships with families due to much greater involvement and engagement in the process. Historically assessment and resource allocation has often become an adversarial process and by placing children and the families at the centre of it there should be significant benefits for all.

## 6.2 **Resource Allocation System (RAS)**

The resource allocation system is the key mechanism for establishing a level of need for a child and their family that can be benchmarked against others to ensure equitable provision of services. It is a professional tool that social workers and brokers use with families generating a RAS score to feed into the financial model for personal budgets.

The RAS assessment questionnaire used by Trafford CYPS in the pilot is the RAS 5, developed by In Control for personalisation. The RAS 5 is designed around the Every Child Matters outcome framework to ensure it looks at all aspects that may impact on a family. As a result of the evaluation some further work will be done by a group of key professionals on the RAS looking at issues such as age related questions. However there are significant benefits with using a nationally recognised tool that can be comparable across boundaries and has a strong evidence base built up by In Control over a number of years.

It should also be noted that the RAS does not replace social care assessment process under the National Assessment Framework or our responsibilities to provide services that meet the level of professionally assessed need. We will utilise the statutory initial and core social care assessment processes to define the needs of the child/ young person, alongside the RAS as a tool to allocate resources aligned to defined need and specific outcomes, which will be detailed in the child/young persons care support plan. This will ensure that the professional assessment and supporting opinion is fully considered as part of the resource allocation process and that resources are aligned to needs and outcomes. To aide the robustness of this process cases will be peer reviewed (prior to the panel process) to ensure consistency, equity and transparency in the decision making process.

### 6.3 **Financial Model**

The financial model attached to personalisation is probably the most complex element of the process. As a result of the evaluation numerous scenarios have been modelled to look at the different impacts on families based on the existing data we have. Inevitably whichever model is used will generate changes in resources allocated to individual families, particularly since we are aware of a number of inequities in how resources have been allocated in the past. As the financial modelling has been undertaken, professional views have informed the proposed approach as the 'soft intelligence' they are able to feed into the process from their knowledge of families has been critical. The proposed financial resource allocation model for consultation is outlined below. As a result of the evaluation we have shaped it to address some of the following issues;

- § Proposed model is age related and split into four age bands as there was a significant discrepancy in the pilot model that favoured younger children at the expense of those moving to transition. It is far more likely that older children will require more expensive services such as residential overnights and 2 to 1 support, and we will also be developing socialisation and life skills with the older group. Therefore the age bandings are weighted with an increased financial allocation at the older age range.
- § Children with a lower level of need were being allocated disproportionately high packages of support under the pilot model which had a set value per point with no weighting. Cost escalates significantly for children with very complex needs due to the cost of specialist support and that needs to be reflected in the model. We have reviewed models piloted in a number of other areas and as a result established some thresholds at the lower end and placed far higher weighting on support for children with the most complex needs. As a benchmark any child scoring under 100 points will not reach the threshold for a targeted service and those between 100 and 150 points will have a set allocation managed by their social worker and will not be required to go through the brokerage process.
- § The model tries to take into account significant transition points in the complexity of support required creating a stepped model. A key point in this approach established a level at which there would be an expectation that overnight breaks would be required. Scores of over 200 points are weighted accordingly to enable availability of funding for some family based

provision for those up to 10 and residential for 10 and over if required. Due to the stepped nature of the model some mitigation needs to be built in around the key trigger points. To enable this to happen it is proposed that there is a moderation process for any RAS value identified within 10 points either side of a stepped point in the model. The financial allocation per point is for the totality of the offer. The financial model will be subject to regular evaluation following implementation to ensure it is fit for purpose and aligned to the Council's financial resources.

#### **Proposed Financial Model**

Band	100-149 (fixed offer)	150-199	200-259	260+
Under 5	£500.00	£0.10	£0.30	£0.50
5-9 years	£750.00	£0.20	£0.50	£0.75
10-13 years	£1,000.00	£0.30	£0.75	£1.00
14 plus	£1,300.00	£0.40	£1.00	£1.30

#### **6.4 Infrastructure Support**

To ensure the effective implementation and operation of personalisation there is a requirement to establish some critical infrastructure to support. A successful gateway bid for 2012-13 has allocated funding to establish a brokerage service, the development of a short breaks co-ordinator post, workforce development via training and also the development of a bespoke behaviour management team. Aspects of this have been tested out through the pilot phase and in particular there has been significant learning about the role of brokerage.

A specification for full tender of a brokerage service has been developed and from April 1st 2013 the contract will have been awarded. Attention will also be focused upon the development of parents as professional support brokers as part of the brokerage offer to improve the engagement, involvement and relationships with families. The short breaks co-ordinator post will enable the support and advice to children, young people and their families regarding their personal care support plan with audit against individual outcomes as a key focus of this role. The innovation of a small but dedicated team of children's learning disability nurses/ assistant psychologists and support workers will develop the offer of individual intensive home based behavioural advice and support, with modelling of behaviour management techniques across a range of community settings to support the child or young person in every setting they access. The service principle will be to offer intensive strategies to parents and carers which will support and enable the child/ young person to remain an integral part of the family, reducing the need for residential short break provision and increasing positive outcomes for children and young people.

Another key aspect of the infrastructure required for personalisation is market development, particularly within the voluntary and community sector. CYPS established a framework of service providers for Complex and Additional Needs (CAN). Work has been ongoing with these providers to develop their personalisation offer so families have a broad range of options available to them for their support package. The nature of personalisation and the

innovation linked to it makes it extremely challenging for providers to ensure they are offering services that meet those needs and we are supporting them to do so.

**6.5 Personalisation Policy:** It is proposed to establish a new personalisation policy for CYPs that will incorporate direct payments as a mechanism rather than a separate process. At present there is confusion between personal budgets and direct payments that needs clarifying. We need a very clear publicly accessible document that sets out the parameters around personalisation and how it will be operated. There has been some key learning in relation to this from two complaints during the last year. The policy will include a range of information for professionals and parents to ensure clarity about the personalisation process to be implemented.

#### **6.6 Related Issues**

In addition to the central components of personalisation we also needed to consider how the following related issues are resolved;

§ **Alignment of the Direct Payment offer for children and young people to the offer made by adult services:** Currently all Direct payments for children and young people include an additional 3.5% for “contingency purposes”. We propose to adopt the same approach as adult services and to remove that 3.5% contingency from existing personal budgets and offer it only by application to all recipients from this time. There are a total of 11 (out of 85 families) who have utilised contingency funds in the last 2 years.

In addition, to align with adult services we will offer a flat rate of hourly, three quarters of an hour and half hourly rate of pay for direct payments to all new recipients. As with the implementation of personalisation there will be shifts in resources for individual families resulting from this approach.

§ **Complaints:** A central part of our personalisation approach is to improve the engagement, involvement and relationships with families. To ensure appropriate challenge we need to establish a robust complaints process that can provide a way of dealing with any issues as they arise and a route for families to question areas of the process if required.

§ **Complex and Additional Needs Resource Panel:** We have reviewed the role of the Resource Panel. It is envisaged they will have a future role in deciding upon the appropriateness of support packages to meet need the process will be revised to ensure transparency and equity in decision making and resource allocation. Emphasis on the professional accountability through the panel process has also been refreshed. A revised Terms of Reference will be implemented from 1<sup>st</sup> April 2013.

§ **SAM Pathfinder:** Personal budgets are a key component of the developing single assessment model for children with complex needs nationally. This pilot has been very closely aligned with the work on the Pathfinder and the learning in relation to personal budgets will continue to inform it. As the Pathfinder will establish personal budgets across social care, education and health it is important that the new model we are proposing can also meet those requirements.

## **7.0 Impact of Proposed Changes**

- 7.1 The recommended resource allocation system (RAS) will lead to an equitable provision of resources across all children with complex additional needs receiving support from the service.
- 7.2 The impact on individual children and families will depend on the current level of support they receive and how that relates to the RAS. Historically allocations have not necessarily been matched against need on an equitable basis and therefore the proposal will have a positive impact for some families and a reduction in resource allocated to others.
- 7.3 The Equality Impact Assessment explores this further including the mitigation provided for families affected. The transition plan set out in Appendix 1 provides a safety net for families that will be phased out over a period up to October 2015. A detailed individual risk assessment has been completed for those families that our projections indicate are most affected.
- 7.4 Children and families will have the opportunity to opt out of personal budgets if they do not believe they are the right model for them and they wish to continue to be in receipt of support directly provided by the LA. However to ensure equitable provision the RAS score for those families will be used as a basis for comparing their level of support to those accessing personal budgets.
- 7.5 It is recognised that there are likely to be exceptional cases, for example if a child requires full time care, and the model will not be appropriate for those families. They will be dealt with outside of the personalisation model in the same way they currently are.
- 7.6 The implementation of the personalisation model is predicated upon the development of new ways of working to support families, specifically in the behavioural management of children and young people with challenging behaviour. Evidence describes the positive benefits of intensive behavioural advice and guidance and modelling type interventions in all of the child/ young person's environments can have a significant impact upon the child's behaviour and family resilience, reducing the need for residential short break provision by sustaining the child in the home environment. This model is being developed in Trafford and will be offered in addition to the personal budget. This is a key component to mitigate the impact on families
- 7.7 Consideration also needs to be given to the likely positive impact of the application of continuing care processes for children and young people with complex health needs and the resulting likely financial resource allocation from health.

## **8.0 Other Options**

- 8.1 **Retain existing model:** This option has not been recommended as it will sustain inequitable use of resources and impact on the Council's ability to meet our statutory requirements. It would also maintain a traditional model of service delivery that is not fit for purpose in the current environment and continue to leave the Council open to challenge. In addition it would not

enable the efficiency targets to be achieved through the more flexible use of resources.

8.2 **Implementation only for new cases:** This option would mitigate the impact for families in receipt of existing support but also retain inequity in the system both for those receiving allocations below the RAS score and for new families. It is also likely to be unsustainable financially given the increasing demand and levels of complexity within the service. In addition it would not enable the efficiency targets to be achieved through the more flexible use of resources. Therefore it is not recommended.

## 9.0 Reasons for Recommendation

9.1 A range of options have been considered through the pilot process and the proposals for consultation developed to ensure an equitable provision of support to children with complex additional needs and their families. It also provides the opportunity to empower young people and their families to play a central role in establishing the support package to meet their needs. The benefits envisaged from implementation of the proposal are set out in Section 1.4 of this report.

## 10.0 Consultation

10.1 Public consultation activity has been undertaken and has provided the opportunity to challenge the proposed changes. These challenges have been considered in relation to the recommendations set out and can be mitigated by the actions recommended. Information on the consultation process is provided in Section 4 of this report.

### Key Decision

This is a key decision currently on the Forward Plan: Yes

**Finance Officer Clearance** (type in initials).....PH.....

**Legal Officer Clearance** (type in initials).....MAF.....

**CORPORATE DIRECTOR'S SIGNATURE** (electronic)



To confirm that the Financial and Legal Implications have been considered and the Executive Member has cleared the report.

## Equality Impact Assessment - Personalisation

### A. Summary Details

1	Title of EIA:	Personalisation
2	Person responsible for the assessment:	Esther Kavanagh Dixon, CYPS Andy Clark, Commissioning Officer, CYPS
3	Contact details:	<a href="mailto:Esther.Kavanagh-Dixon@trafford.gov.uk">Esther.Kavanagh-Dixon@trafford.gov.uk</a> / 0161 934 8558 <a href="mailto:Andrew.Clark@trafford.gov.uk">Andrew.Clark@trafford.gov.uk</a> / 0161 934 8560
4	Section & Directorate:	Integrated Commissioning Unit CYPS
5	Name and roles of other officers involved in the EIA, if applicable:	Caroline Drysdale, Head of Service for Complex and Additional Needs Jill Colbert, Head of Service, Commissioning

### B. Policy or Function

1	Is this EIA for a policy or function?	Policy <input checked="" type="checkbox"/> Function <input type="checkbox"/>
2	Is this EIA for a new or existing policy or function?	New <input checked="" type="checkbox"/> Existing <input type="checkbox"/> Change to an existing policy or function <input type="checkbox"/>
3	What is the main purpose of the policy/function?	As part of the Aiming High for Disabled Children programme, individual budgets for families with disabled children and young people were piloted in a small number of areas. Following these pilots, Children and Young People's Service (CYPS) has been working on a transformation project to establish a personalised approach to service delivery for

children, young people and their families since September 2010. A significant amount of research, consultation and planning was undertaken before moving to a pilot phase in January 2012. The pilot tested out different approaches with 25 families and the evaluation highlighted some key areas of learning.

Personalisation will underpin a major change in the way in which the business of CYPS is carried out empowering families to take a central role in agreeing the support they need and want. This is a central principle of the CYPS 2015 vision and will support the transformation in the way CYPS work with families and the broader community. The policy is very much aligned to national policy around localism, empowering families and building strong communities and develops the role of services as facilitators.

4 Is the policy/function associated with any other policies of the Authority?

The policy links closely with the personalisation agenda implemented in Adult Services. Personalisation is well established in Adult's Services and has been subject to a major national project with significant funding attached to it since 2008.

The project to implement personal budgets and associated policy development is part of Trafford's Children and Young People's Services Transformation Programme.

In addition to this, CYPS has set out its priorities in its Children and Young People's strategy, the policy fits with the following priorities:

- Close the gap in outcomes for children, young people and families in vulnerable groups - this policy has been designed to ensure that



children with complex and additional needs will be supported according to their level of need.

- Ensure that young people are well prepared to achieve in adulthood through high quality learning and development - children and young people with complex and additional needs will be able to use their personal budget to choose the support they need to prepare for their transition into adulthood
- Close the gap in outcomes for children, young people and families based on their localities - personal budgets will enable children and young people with additional and complex needs, along with their families, to have choice and control with regard to the services they use, irrespective of location
- Improve the health and wellbeing of children, young people and their families - the policy promotes improved health and wellbeing of children, young people and their families. It gives children, young people and their families greater choice and control over the services they use to meet their needs.

The policy also contributes to the following corporate priorities:

- Low council tax and value for money - by ensuring that the council's resources are shared equitably, reflecting the needs of children, young people and their families, the council will continue to deliver this priority.
- Improving the health and wellbeing of residents - personal budgets aim to continue to improve the health and wellbeing of children, young people and their families by giving them choice and control

		<p>over the services they receive to meet their needs. Resources will be distributed in a fair and equitable way.</p> <ul style="list-style-type: none"> <li>• Preserving and improving educational excellence - this policy aims to support those children and young people with additional and complex needs, including those who require additional educational support.</li> </ul>
5	Do any written procedures exist to enable delivery of this policy/function?	<p>In Control, a national charity that advocates greater control for those individuals and families who need increased support have produced a range of documents to support the delivery of personal budgets. Trafford CYPS have chosen to use In Control's resource allocation system 5, which includes a self-assessment questionnaire that families will complete with their social worker. Based on the information in the self-assessment questionnaire, the resource allocation system will then determine a personal budget amount.</p> <p>Policies and procedures with regard to direct payments have been developed to support personalisation in Adult Services. These policies and procedures are being used to develop CYPS specific documentation to support personal budgets for children and young people.</p> <p>These policies are being reviewed and revised currently to ensure they reflect the changes in national policy and local practice and in due course will be scrutinised appropriately prior to implementation.</p>
6	Are there elements of common practice not clearly defined within the written procedures? If yes, please state.	<p>All elements of common practice will be defined within written procedures. Policies and procedures underpinning personal budgets are currently being developed and form part of the public consultation</p>

between October 2012 and January 2013.

7	Who are the main stakeholders of the policy? How are they expected to benefit?	<p>The main stakeholders of the policy are children and young people with complex and additional needs along with their families.</p> <p>Through the implementation of this policy, a range of benefits are expected to be realised including:</p> <ul style="list-style-type: none"><li>• Equitable access to services through a transparent resource allocation process. Financial analysis of the current support provided to families highlights some major imbalances between allocations to children and young people with similar levels of need.</li><li>• Empowerment of children, young people and parents to shape packages of care that meet their needs. Throughout the project there are opportunities for young people and their families to build a skill base that can impact on other parts of their lives.</li><li>• More flexible use of resources and the development of innovative services, rather than traditional short break models, leading to improved outcomes</li><li>• Improved relationships between parents and professionals due to the transparency and equity of the model. Effective resource allocation can remove what has historically become an adversarial process.</li><li>• Greater ownership of resources by young people and families which has been shown to deliver significant efficiencies. Where families have choice of the use of funding there is evidence of a greater value placed on the support package they receive and awareness of the cost.</li><li>• A smoother transition for children and young people into adult life where they may well continue to receive a personal budget from</li></ul>
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Adult Services.

8 How will the policy/function (or change/improvement), be implemented?

The policy and a report on the consultation findings will be considered by the Council Executive in early 2013. The policy (if agreed) will then be implemented from the 1<sup>st</sup> April 2013.

This is a CYPS transformation project which is a partnership between CYPS Commissioning and operational teams. The policy provides a new framework by which the needs of children and young people with additional and complex needs are met. The Complex and Additional Needs (CAN) service will implement the policy with support from commissioning colleagues and the Direct Payments Team in Adults Services.

The policy will affect all children and young people who are eligible for a service from the CAN service. Children and young people will be allocated a personal budget which they can use to arrange the support which best meets their needs. Children, young people and families will be able to opt out of receiving a personal budget and continue to receive support directly provided by the local authority. However, for those choosing to opt of receiving personal budgets, their RAS score will be used as a basis for the package of support provided by the local authority.

It is recognised that there are exceptional cases, for example if a child requires full time care, and personalisation will not be appropriate for those families. Such exceptional cases will be managed in the same way they currently are; on a case by case basis outside of the personalisation model.

For new referrals to the CAN service, a social worker will work with the child/ young person and their parents/ carers to carry out the necessary assessments. If the child/ young person is found to be in need of targeted/ specialist support and also meet the eligibility criteria, a social worker will undertake a self-assessment questionnaire with the child/ young person and their family. The CAN service will then use the policy and the associated resource allocation system to allocate a personal budget to the child/ young person.

For those children and young people who are already in receipt of services from CAN, a RAS will be completed and a personal budget offered. Transitional arrangements will be put in place to ensure these children and young people are supported during the transition to personal budgets. Individual transition arrangements will be based on the difference between the cost of pre-existing provision and the personal budget offered. Depending on the level of impact, families will have a transitional period, providing a safety net that will be phased out over a period of up to two years. These arrangements will allow families to gradually adjust to their new resource allocation.

At present, 213 children and young people are receiving a package of support from the CAN service. It is expected that all of these children and young people will be in receipt of a personal budget by October 2013 (unless they decide to opt out or are an exceptional case). Transitional arrangements will mean that for some, their personal budget may change year on year until a child/ young person is in receipt of their RAS-based allocation only by 1<sup>st</sup> October 2015.

CYPS is currently out to tender for a brokerage service. This service will provide support to children, young people and their families in developing care plans to utilise their personal budgets. The tender exercise will be completed by February 2013 and the brokerage service in place for implementation of the policy on 1<sup>st</sup> April 2013.

The implementation of the policy will be supported by the Direct Payments Team in Adults Services. This team will be responsible for ensuring the necessary personal budget contracts and agreements are completed by the child, young person and parents and oversee the transfer of funds from the council to the allocated bank account. The team will also be responsible for auditing personal budget spend and escalating any issues with regard to irregular payments.

CYPS are considering the use of pre-payment cards as part of the personalisation project which would enable families to transact directly with providers but via a managed system which protects the council's resources. This project is on-going and fully engaged with Council wide developments including the review of the pre-payment card pilot in adult services.

9 What factors could contribute or detract from achieving these outcomes for service users?

Positive outcomes for service users under personalisation will be dependent on a number of factors, primarily the following:

- A robust and equitable resource allocation system with a clear rationale for the equitable distribution of resources;
- An effective brokerage resource to support families in planning appropriate packages of care;

- A strong economy of service providers available, within easy reach, to flexibly offer the services required to meet the outcomes for service users;
- The implementation of the single health, care and education plan in line with government policy and plans. It is essential that there is a contiguous interface with the other services and assessments planned under the Single Assessment Model (SAM) Pathfinder. As personalisation in Social Care is one of the three assessments that make up the model, successful outcomes for clients within Social Care may to some extent be dependent on the wider assessment framework that these clients may be subject to and in particular the commissioning intentions of the Clinical Commissioning Group.
- A loss or reduction in the allocation of resources for short breaks beyond that already in scope.

A loss of resource or quality of delivery in any of the above listed areas would potentially have a detrimental impact on achieving quality outcomes for service users.

10 Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, please state?

The responsibility for the policy is not shared with another department, authority or organisation however the policy is a direct result of current government policy.

The introduction of the power to make direct payments in lieu of providing services to families with disabled children; disabled parents; and to disabled 16 and 17 year olds was achieved through amendment to the 1989 Act: a new section 17A was inserted by the Carers and Disabled Children Act 2000. The concept of personal budgets and

scope of direct payments has since been extended by the publication of the Government's Green Paper 'Support and Aspirations: A New Approach to Special Educational Needs and Disability' (2011). This laid down a commitment to introduce the option of a personal budget by 2014 for all families with children with a statement of SEN or a new 'Education, Health and Care Plan' (EHC).

### C. Data Collection

1	<p>What monitoring data do you have on the number of people (from different equality groups) who are using or are potentially impacted upon by your policy/ function?</p>	<p>As per the 2011 census, the total number of children living in Trafford under the age of 19 was 56,500. Of this, 29,100 were male and 27,400 were female.</p> <p>As of September 2012, there were 213 children and young people receiving a package of support from the Complex and Additional Needs Service. All children and young people receiving a package of support have some form of complex and/ or additional need(s). Under personalisation, all children and young people eligible for receiving support from the CAN service would do so via a personal budget (unless managed as an exceptional case).</p> <p>Information on 153 of these children has been used to model the proposed resource allocation system. 60 cases have been excluded from the modelling process as not all information relating to these children was available at the time of writing the EIA. Of the 153 children/ young people included in the modelling, 95 (62%) were male and 58 (38%) were female. This greater number of boys receiving a</p>
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package of support may be epidemiological, as it has been proven that boys are more likely to be diagnosed with ASD than girls.

The ethnicity breakdown of children receiving a package of support from the CAN service is as follows:

<b>Ethnicity</b>	<b>Total</b>	<b>%</b>
African	3	2
Any other Black Background	1	0.7
Any other ethnic group	3	2
British White	110	71.9
British Asian	1	0.7
Caribbean	1	0.7
Chinese	1	0.7
Indian	7	4.6
Libyan	1	0.7
Other Asian	5	3.3
Other mixed	4	2.6
Other white	1	0.7
Pakistani	5	3.3
Polish	2	1.3
White & Asian	4	2.6
White & Black Caribbean	2	1.3
(blank)	2	1.3

Under the proposed model of personalisation, indicative personal budget allocations have been calculated. The indicative allocations suggest that 50 children/ young people would receive a higher personal

		<p>budget compared to the current cost of service provision.</p> <p>The indicative allocations suggest that a maximum of 103 children/ young people would receive a lower personal budget compared to the current cost of service provision. Transitional arrangements will be put in place for 79 families receiving a reduction in their personal budget of more than £1k compared to their pre-existing package of support. Under the proposed model, the majority of families will have their personal budget implemented over a two year period, thus providing them with a safety net and allowing them to gradually adjust to their new resource allocation.</p>
2	Please specify monitoring information you have available and attach relevant information*	The monitoring information available is detailed above. It is derived from both the 2011 census and local data collected by the CAN service.
3	If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data?	In addition to the monitoring information detailed above, it is proposed that, as part of the brokerage service, an inclusion form is completed with the child/ young person or their parent/ carer to ensure any support plans are personalised to the child/ young person's individual needs. The inclusion form will include questions regarding age, race, gender, religion/ faith and sexual orientation. Although this data will be collected to ensure support plans utilise services and providers who recognise and celebrate specific needs and requirements, it also provides an opportunity for the CAN service to collect monitoring data which can be used in the future to help assess impact.

*\*Your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service*

## D. Consultation & Involvement

1	<p>Are you using information from any previous consultations and/or local/national consultations, research or practical guidance that will assist you in completing this EIA?</p>	<p>In Control, the national charity promoting greater choice and control for those who require additional support have produced a range of useful resources, including both research findings and information documents in relation to personal budgets. These resources will be used to help inform the development of the EIA and assess the impact this policy will have on children, young people and families in Trafford.</p> <p>Trafford has previously been involved with the Aiming High for Disabled Children programme whereby a small number of your people transitioning to Adult Services were given a personal budget. Young people used their personal budgets to access support services as detailed in their care support plan. This pilot resulted in positive outcomes and the findings from this have been fed into a more recent pilot.</p> <p>A pilot project was established at the beginning of 2012 to test Trafford's approach to the personalisation of children's services for those with complex and additional needs. Using a resource allocation system developed by In Control, 25 children were assessed using the associated self-assessment questionnaire and started along the process to receiving a personal budget with an agreed care support plan. The findings from the evaluation of this pilot have helped inform the development of the EIA.</p> <p>The proposals around the introduction of personal budgets are currently out to public consultation, which is due to end January 2013. The</p>
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findings from this consultation period will also be fed into this EIA and an updated EIA will be produced following the consultation period.

2 Please list any consultations planned, methods used and groups you plan to target. (If applicable)

The proposals for personal budgets have formed part of the budget consultation that took place between October 2012 and January 2013. A document was prepared for stakeholders which outlines:

- the 2015 Vision and the principles underpinning it
- the range of services currently delivered and commissioned,
- the Council's activity to date to deliver savings,
- the proposed service developments and what they mean in terms of impact and how we intend to implement them.

Budget proposals were then published on Trafford Council's website, including the CAN service proposals, which included an outline of the proposals for personalisation. Members of the public and professional stakeholders were invited to submit their response either by letter or through an online questionnaire. Budget consultation closed on January 14<sup>th</sup> 2013. The Head of Service also wrote out to each family known to the team to alert them to the consultation exercise.

A consultation event took place on the 21<sup>st</sup> January 2013. All families within the CAN service that are affected by the proposed changes were written to directly and invited to attend one of two sessions. Feedback from the event is summarised in this document.

Among professionals, a peer review took place among social workers and their responses have been collated. Direct interviews have taken place with social workers and brokers to gather their views on the

		process, and brokers have interviewed a number of families post-care plan and have reported their findings back to commissioners where relevant.
3	**What barriers, if any, exist to effective consultation with these groups and how will you overcome them?	It is hoped that by targeting key stakeholders, including those groups and organisations with a particular focus on the protected characteristics as defined by the equality duty, all are able to effectively participate in the consultation.

*\*\*It is important to consider all available information that could help determine whether the policy/ function could have any potential adverse impact. Please attach examples of available research and consultation reports*

**E: The Impact – Identify the potential impact of the policy/function on different equality target groups**

*The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will also need to assess whether that negative potential impact is high, medium or low*

	<b>Positive</b>	<b>Negative (please specify if High, Medium or Low)</b>	<b>Neutral</b>	<b>Reason</b>
<b>Gender</b> – both men and women, and transgender;			X	Personalisation and personal budgets are focused on the individual concerned; therefore this new individualised approach should meet the specific needs of a child/ young person irrespective of their gender.
Pregnant women & women on maternity leave			X	
Gender Reassignment			X	
Marriage & Civil Partnership			X	

**Race-** include race, nationality & ethnicity (NB: the experiences may be different for different groups)

X

Personal budgets will focus on an individual's needs and the support they require. Current guidance and practice with regard to language, translation and interpretation will apply. Although needs are assessed on an individual level, some work may need to be done to target minority ethnic groups to ensure they are aware of the changes in policy and how they can access services. The resource allocation process, indirectly, and the appointed broker will take account of culture and identity which in turn will inform the child and families choices around use of their personal budget. Further, the nature of the personal budget process itself allows for families to design their support package around their particular cultural requirements. Any positive impact would be limited as the current market is not well developed with regards to culturally sensitive services

				however commissioners will monitor the provision of such services in the market.
<b>Disability</b> – physical, sensory & mental impairments	X	X	X	<p>Feedback to date, both in Trafford and in national pilots, has reported that personalisation and personal budgets have had a positive impact on outcomes. They will enable children/ young people and their families to have increased choice and control over the services they receive to meet their needs.</p> <p>Personalisation and personal budgets provide an individualised approach to meet needs. Needs will be assessed via a self-assessment questionnaire, completed by the child/ young person, their family and their social worker. This assessment will establish the child/ young person's level of need and using the associated resource allocation system, a personal budget will be allocated according to this.</p>

The resource allocation system used to determine the amount of a personal budget is weighted according to increasing need; those children with the most complex needs receive the highest weighting.

As the resource allocation system develops it is evident that through the implementation of the personalisation policy, some children and young people will be offered a personal budget that does not equate to the cost of the care package they currently receive. The policy therefore has the potential to impact on individuals positively, negatively or in a neutral way. Although, as a consequence of the policy, some negative impacts may be reported, the amount offered to children/young people and their families will always be proportionate to the needs presented.



<p><b>Age Group</b> - specify eg; older, younger etc)</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>The resource allocation system is also age related and separates children/ young people in to four age bands. The bandings are weighted with increased financial allocation at the older age range in recognition of older children requiring more expensive services such as 2:1 support and residential overnight stays.</p> <p>As the new resource allocation system develops it is evident that under the policy of personalisation, some children and young people will be offered a personal budget that is different to the cost of the care package they currently receive. Depending on their age and level of need, the personal budget could potentially be the same, lower or higher than the costs of their current service package. This therefore has the prospect of impacting on</p>
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				<p>individuals positively, negatively or in a neutral way. Although, as a consequence of the policy, some negative impacts may be reported, the amount offered to children/ young people and their families will always be proportionate to the needs presented.</p>
<p><b>Sexual Orientation –</b> Heterosexual, Lesbian, Gay Men, Bisexual people</p>	X			<p>This new individualised approach to meeting needs should account for the specific needs of a child/ young person including their sexual orientation. The increased level of choice and control introduced by personal budgets will allow children/ young people and their families to develop their care support plan in accordance with their needs which can include the above. Commissioners will monitor the level of access to and availability of services which promote positive sexual identity whilst also influencing improved practice around monitoring</p>

				sexual orientation.
<b>Religious/Faith groups</b> (specify)	<b>X</b>			This new individualised approach to meeting needs should account for the specific needs of a child/ young person irrespective of their religion/ faith. However, the increased level of choice and control introduced by personal budgets will allow children/ young people and their families to develop their care support plan in accordance with their needs which can include the above.

**As a result of completing the above what is the potential negative impact of your policy?**

Assessing the impact of the policy as a whole, rather than considering it on an individual service user level, the negative impact of the policy is considered low. The current system is inequitable and therefore has the potential to negatively impact on service users. The proposed policy provides a structured framework whereby needs are assessed and resource is allocated in and fair and equitable way. As this is a new framework it will negatively impact on some more than others however the principles of transparency, fairness, accountability and equitability ensure that under the new policy, the resource offered to children/ young people and their families will be proportionate to the needs presented.

**High**

**Medium**

**Low X**

**F. Could you minimise or remove any negative potential impact? If yes, explain how.**

Race:	No impact identified
Gender, including pregnancy & maternity, gender reassignment, marriage & civil partnership	No impact identified
Disability:	<p><b>Amend the policy</b> The policy could be amended to reduce the possible negative impact on some service users. A number of financial models have been considered with regard to the resource allocation system and the preferred model is seen as being the most equitable model based on need. Given this, it would not be appropriate to change the model to minimise potential negative impact at the cost of a reduction in the equitability of the system.</p> <p><b>Lessen the Impact</b> In order to lessen the potential negative impact on individuals, it has been proposed that the policy be implemented over a period of up to two years. Individual transition arrangements will be based on the difference between the cost of pre-existing provision and the personal budget offered. Depending on the level of impact, families will have a transitional period, providing a safety net that will be phased out over a period of up to two years. These arrangements will allow families to gradually adjust to their new resource allocation.</p>

In addition to the transitional arrangements, detailed individual risk assessments will be completed for those families most affected by the implementation of personal budgets. Risk assessments will account of the child's condition, their current package of care, their RAS allocation and any additional factors or exceptional circumstances that must be considered to accurately assess risk. Families who have been risk assessed will be monitored closely to ensure they are able to cope with any change due to the introduction of personal budgets. If a family needs additional support due to crisis, other statutory processes would need to be considered to address any urgent support needs.

A number of pieces of work are currently taking place which will help to reduce any negative impact relating to this policy and further support families in receipt of personal budgets.

A brokerage service will be available to offer advice and support to families receiving a personal budget. This service will provide comprehensive support to help develop person-centred plans for children and young people that meet their needs and contribute to achieving positive outcomes.

Using infrastructure investment a Behaviour Support Team is being commissioned from CYPS to provide individual intensive home based behavioural advice and support. This service will provide behaviour management techniques to support the child/ young person to access the community settings they

choose. This additional support, provided by a small dedicated team, will enable the child/ young person to remain an integral part of the family while also accessing a range of community based services helping to increase positive outcomes. The service will focus on those families with a significant transition to personalisation in the first instance.

A newly commissioned short breaks coordinator will oversee individual cases and ensure that both quality and value are achieved for families, whilst also focusing on reducing the necessity for families to undergo statutory assessment to access short breaks.

Work is on-going with service providers to support them in developing their service offer, ensuring there is a broad range of services available for children and young people to incorporate into their package of support.

A new personalisation policy is also being developed. This will be a public document clearly articulating the principles behind personalisation, how it will operate and who will be affected by its implementation. The policy will include a range of information for parents and professional to ensure there is clarity about the personalisation process and its implementation. This will include guidance as to how parents can request that their child be considered as an exceptional case, how parents can appeal against a decision and the process for lodging complaints.

Age:

**Amend the policy**

The policy could be amended to reduce the possible negative impact in relation to age. However, the age bandings and associated weightings have been introduced in recognition of older children requiring more expensive services such as 2:1 support and residential overnight stays. Given this, it would not be appropriate to change the model to minimise potential negative impact at the cost of reducing the models ability to adequately reflect need.

**Lessen the Impact**

In order to lessen the potential negative impact on individuals, it has been proposed that the policy be implemented over a period of up to two years. Individual transition arrangements will be based on the difference between the cost of pre-existing provision and the personal budget offered. Depending on the level of impact, families will have a transitional period, providing a safety net that will be phased out over a period of up to two years. These arrangements will allow families to gradually adjust to their new resource allocation.

In addition to the transitional arrangements, detailed individual risk assessments will be completed for those families most affected by the implementation of personal budgets. Risk assessments will account of the child's condition, their current package of care, their RAS allocation and any additional factors or exceptional circumstances that must be considered to accurately assess risk. Families who have been risk assessed

will be monitored closely to ensure they are able to cope with any change due to the introduction of personal budgets. If a family needs additional support due to crisis, other statutory processes would need to be considered to address such urgent need.

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Using infrastructure investment a Behaviour Support Team is being commissioned from CYPS to provide individual intensive home based behavioural advice and support. This service will provide behaviour management techniques to support the child/ young person to access the community settings they choose. This additional support, provided by a small dedicated team, will enable the child/ young person to remain an integral part of the family while also accessing a range of community based services helping to increase positive outcomes. The service will focus on those families with a significant transition to personalisation in the first instance.



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Work is on-going with service providers to support them in developing their service offer, ensuring there is a broad range of services available for children and young people to incorporate into their package of support.

A new personalisation policy is also being developed. This will be a public document clearly articulating the principles behind personalisation, how it will operate and who will be affected by its implementation. The policy will include a range of information for parents and professional to ensure there is clarity about the personalisation process and its implementation. This will include guidance as to how parents can request that their child be considered as an exceptional case, how parents can appeal against a decision and the process for lodging complaints.

Sexual Orientation:

The policy will have a positive impact in enabling children and young people to choose services and providers who recognise and celebrate their sexual identity.

Religious/Faith groups:

The policy will have a positive impact in enabling children and young people to choose services and providers who recognise and celebrate their religion/ faith.

Also consider the following:

1	If there is an adverse impact, can it be justified on the grounds of promoting equality of opportunity for a particular equality group or for another legitimate reason?	The policy will have an adverse impact on some children, young people and families however personalisation promotes the equitable use of resources through a transparent assessment and allocation process in which children and their families are fully engaged and involved. The distribution of resources will be based on need, with assessment underpinning all allocation decisions.
2	Could the policy have an adverse impact on relations between different groups?	Rather than having an adverse impact on relationships, it is hoped that this policy change will promote improved relationships between CYPS and families due to much greater involvement and engagement in the process of assessment and allocation of resources. Historically, assessment and resource allocation has often become an adversarial process and by placing children and the families at the centre of it there should be significant benefits for all. There is no presumed adverse impact between different groups of Trafford residents.
3	If there is no evidence that the policy <i>promotes</i> equal opportunity, could it be adapted so that it does? If yes, how?	

**G. EIA Action Plan**

Recommendation	Key activity	When	Officer Responsible	Links to other Plans eg; Sustainable Community Strategy, Corporate Plan, Business Plan,	Progress milestones	Progress
Transition arrangements for the implementation of the new policy must be carefully considered and managed	Full consultation process, gaining feedback from key stakeholders, children, young people, parents and carers	Between October 2012 and January 2013	Caroline Drysdale	The proposed policy changes have been made as part of the CYPS transformation agenda and links to both the CYPS Strategy and the Corporate Plan.	All stakeholders contacted during consultation process and all consultation activities undertaken	Activity completed January 2013
Development of a service specification for brokerage services	Draw on findings from the personalisation pilot to develop a specification that meets the needs of children, young people and	During October 2012	Andy Clark		Service Specification completed  Service out to tender	Activity completed January 2013

	their families					
Risk assessments to be completed for those families most affected by the implementation of personal budgets	Detailed risk assessments considering the wider context of the child and family's current situation	During February 2013	Caroline Drysdale		Risk assessments completed	This will be completed by mid-February 2013
Development of a personalisation policy	Development of a detailed policy providing guidance and information the principles behind personalisation , how it will operate and who will be affected by its implementation	During February 2013	Caroline Drysdale and Andy Clark		Policy completed  Policy approved	This will be completed by March 2013  It is expected the policy will be approved in March 2013
Development of a inclusion form for use by the	Development of an inclusion form capturing	During March 2013	Andy Clark		Inclusion form approved	It is expected the inclusion

brokerage service	information on age, race, gender, religion/ faith and sexual orientation					form will be approved in March 2013
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Please ensure that all actions identified are included in the attached action plan and in your service plan.

Signed  
 Lead Officer      Jill Colbert  
 Date                19<sup>th</sup> February 2013

Signed  
 Service Head  
 Date

## Personal Budgets – Transition Arrangements

### Overview

As part of the transition to a personalisation model, 153 clients have been identified within the CAN Social Care service whose current package of provision will be replaced by a personal budget offer based on a RAS assessment. This document summarises the proposals for transition arrangements for these clients.

As personal budgets represent an entirely different approach to delivering services, however, CYPS are keen to emphasise that a reduction in the quality or level of support provided does not necessarily follow from a reduction in funding. Personal budget offers are tied to a wider package of support to help plan and broker services to meet individual needs. Families offered a personal budget will receive comprehensive planning support from a support broker or lead professional. Support plans will be written to make the best use of the money available and will take into account transition arrangements.

### Transition plans

It is proposed that individual families' transition arrangements to their new funding offer will be based on the difference between the cost of pre-existing provision and the cost of the new offer.

The table below summarises the approach proposed:

Name	Description	Transition Plan
<b>Group 1</b>	New RAS-based allocation of funds exceeds the calculated cost of previous package of support	Immediate effect - All those increasing under the revised RAS to take effect between April/Sept 2013 depending on when the support plan is agreed and implemented
<b>Group 2</b>	New RAS-based allocation of funds represents a decrease in allocation from base cost of between £1 and £999.99p PA	Immediate effect - To take effect between April/Sept 2013 depending on when the support plan is agreed and implemented
<b>Group 3</b>	New RAS-based allocation in funds represents a decrease in allocation from base cost of between £1K and £2,499.99p PA	Staged transition plan – Allocation will decrease by 50% of the difference between base cost and RAS allocation on 1 <sup>st</sup> October 2013, and by the same amount again on 1 <sup>st</sup> October 2014. Client will be in receipt of their RAS-based allocation only (with no transition uplift) on 1 <sup>st</sup> October 2014

Name	Description	Transition Plan
<b>Group 4</b>	New RAS-based allocation in funds represents a decrease in allocation from base cost of over £2.5K PA	Staged transition plan – Allocation will decrease by 33.3% of the difference between base cost and RAS allocation on 1 <sup>st</sup> October 2013, and by the same amount again on 1 <sup>st</sup> October 2014 and 1 <sup>st</sup> October 2015. Client will be in receipt of their RAS-based allocation only (with no transition uplift) on 1 <sup>st</sup> October 2015

Any transition plans would be superseded by a further RAS allocation process (following the initial RAS). Further RAS assessments or allocations will be applied if there is a significant change in need or if a child/young person enters a new age banding within the transition period. In these cases, the new allocation would take precedence and would be applied with immediate effect.

Challenges to the initial RAS assessment would not be considered part of a new RAS process and changes to allocations as a result of challenges would be reflected in revised transition plans.

*Example 1. A young person has a pre-existing package of support totalling £8,637 in cost to service. Their RAS assessment results in a personal budget offer of £10,413. As a group 1 client, they will receive their new personal budget offer immediately, effective from the date their care support plan is agreed by the CAN Resource Panel.*

*Example 2. A young person receives a pre-existing package of support at a total cost to service of £11,912 and their RAS assessment indicates that they would be entitled to a personal budget of £9,367, making them a group 4 client. As of 1<sup>st</sup> October 2013, their personal budget allocation would be £11,063.67p (a reduction of £848.33p). On 1<sup>st</sup> October 2014, their budget would be reduced again to £10,215.34p. On 1<sup>st</sup> October 2015 the young person would begin to receive their RAS allocated budget of £9,367.*

*Example 3. A young person is 12, and will turn 14 (transitioning to a new RAS band) on 20<sup>th</sup> August 2014. They currently receive a package of support worth £15K from CAN Social Care. Their RAS indicates that they are entitled to a personal budget of £13,572, making them a group 3 client. On 1<sup>st</sup> October their personal budget allocation would be £14,286 (a reduction of £714). Prior to their birthday on 20<sup>th</sup> August 2014, the client receives a new RAS assessment taking into account their new age band. Their RAS offer as of 20<sup>th</sup> August 2014 is calculated as £17,643.60p. This new RAS offer supersedes the transition plan and the client is offered the new budget amount from the 20<sup>th</sup> August.*