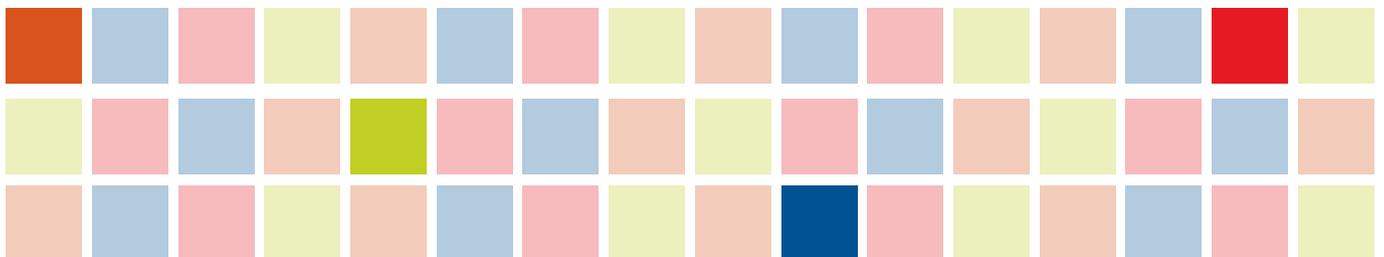




Progress for Providers

**Checking your progress in
delivering personalised services**



Progress for Providers

Checking your progress in delivering personalised services

Introduction

This tool has been developed by providers and commissioners to help providers think about their progress in responding to the personalisation agenda. This tool particularly focuses on delivering personalised, individually costed services and Individual Service Funds.

How to use it

The self assessment tool is simple to use. It is divided into sections, and each section represents a key area of change and development for providers as they deliver increasingly personalised services.

The areas were decided by working with providers who have already made significant progress, and asking them what they had needed to change. We also worked from a commissioner perspective so that this tool reflects what innovative providers are doing, and what forward thinking commissioners expect.

There are nine sections. These are:

1. Leadership and Strategy
2. Creating a Person Centred Culture
3. Community Focus
4. Support Planning and Review
5. Finance
6. Human Resources
7. Back Office Systems
8. Marketing
9. Reviewing and improving our service

Each section has a number of areas to consider, and then rate your progress on a scale of 1 – 5. The first level indicates that you are just getting started thinking about this area, and level five suggests significant progress. Few organizations would be able to score 5's in every area. Wherever you rate yourself, the next level gives ideas of what you could progress to next (ie if you score a 3 in a particular area, look at what you may need to do to score a 4).

HSA, and the in Control Providers Programme, can help you move forward and develop more personalised, individual services for the people you support, and for future customers.

There are useful resources on:

www.supportplanning.org,
www.incontrol.org and
www.helensandersonassociates.co.uk.

This tool was developed by *Helen Sanderson (H.S.A)*, *Kim Haworth (Commissioner for Lancashire County Council)*, *Tracey Bush (Alternative Futures)* and *Ben Harrison (United Response)*. Lancashire County Council supported the development of this tool, and plan to use it with all their providers. Early drafts were shared with a number of other provider agencies, local authority representatives, and the Putting People First team (Department of Health) many of whom contributed directly to this version.

Thank you to *Sam Bennett (Department of Health)*, *Richard Williams (Options for Supported Living)*, *Owen Cooper (IAS)*, *Jan Swan (Natural Breaks)*, *Rob Henstock (Independent Options)*, *Steve Cown and Sanchi Murison (Dimensions)*, *Neil Maguire (Creative Support)*, *Sue Humphreys (Turning Point)* and *Bill Mumford (MacIntyre)* for their contributions.

We are still learning and developing this tool, and if you have any feedback or want to know more about support for providers, please contact Helen Sanderson.

Helen@helensandersonassociates.co.uk

Produced by HSA and in Control



in  **Control**®



1. Leadership and Strategy

a) Strategy

- | | |
|---|--|
| <p>1 We have not considered the impact of personalisation agenda and don't know if this will impact on our organization</p> | |
| <p>2 We think that personalisation will have an impact on our organisation although we are not sure what this will be nor where to start. We are not sure that all of our senior managers are convinced of the need to develop a strategic response.</p> | |
| <p>3 We have identified some of the areas of our business that we think will be affected by the personalisation agenda. We have also started to engage with local commissioners in order to work in partnership on these changes.</p> | |
| <p>4 We have a strategic plan for delivering the changes we think we need to make. The senior team (and trustees if relevant) has signed up to this and are supporting it.</p> | |
| <p>5 We have a clear vision and strategy for delivering personalised support and for re-modeling our business to ensure we have a sustainable model for the future. Our strategy is based on a good understanding of where we are now, and has been developed based on the aspirations and/or contributions of the people we support and other stakeholders. We have considered the resource implications of these changes and planned accordingly. The senior team actively supports the strategy and we are all held accountable for delivering on it. Person centred approaches inform all activities, not just operations. The strategy is owned across the organization</p> | |

2. Creating a Person Centred Culture

a) Changing the culture

- | | |
|---|--|
| <p>1 We don't think that we need to think about changing the culture of our organization</p> | |
| <p>2 We think that personalisation and being person centred will have an impact on our culture and the way we operate but are not sure if this goes beyond some changes to the way we organise our finances and some systems.</p> | |
| <p>3 We have started to think about what personalisation will mean for our culture and the way we operate, both in terms of the delivery of support and our systems. We have had some discussions with managers and support workers are think we now how to proceed.</p> | |
| <p>4 We understand that personalisation will have a significant impact on our culture, systems and processes. We have a strategic plan to implement this change and are working with staff across the organization to help them understand what this means. We have lots of opportunities for discussion within a range of teams about what this means for them.</p> | |
| <p>5 We have worked with our staff and the people we support to identify the culture change that needs to occur throughout the organization and ensure that our leaders are modeling the change we want to see, and actively support our managers to do the same (through training, coaching and problem solving). We have looked at all the ways that we communicate in the organisation and have made sure that we give the same key messages.</p> | |



b) A person centred approach to risk

- | | |
|---|--|
| <p>1 We try to ensure that staff and people avoid taking risks. This is a major focus of our work and all potential risks relating to the people we support is recorded in detail and authorization is needed before we support people to try certain activities.</p> | |
| <p>2 We realise that we need to adopt a new approach to risk to ensure that people have a chance to do the things they want. We are not sure how to put this into practice.</p> | |
| <p>3 We have decided to review our approach to risk, in relation to the people we support, and want to develop an approach that takes account of individual circumstances and aspirations.</p> | |
| <p>4 We have developed a new approach which is based on the premise that people should have the chance to do the things they want and that we should support them to do this.</p> | |
| <p>5 We developed our approach to risk in conjunction with the people we support and their families and believe we have an approach to risk that is based on listening to what is important to people. This approach is embedded across the organization and all staff are clear about their responsibilities in this respect. Positive risk taking is rewarded and we accept that this will not always be successful. We have a no blame culture and learn from successes and mistakes as an organization</p> | |

3. Community Focus

- | | |
|--|--|
| <p>1 We focus very closely on certain support tasks like keeping people healthy and safe and think that this is our primary responsibility.</p> | |
| <p>2 We are aware of the need to promote community connections and citizenship but are not sure where to start and how to go about this.</p> | |
| <p>3 We have begun to think about promoting community connections and citizenship and understand why this is important for both the organization and the people we support.</p> | |
| <p>4 We are actively looking at how we promote community connections and citizenship and recognize that this needs to be a clear priority for our work. We have some examples of supporting people to make community connections and we are learning from this. We are beginning to support our staff to work in this way and are learning from others.</p> | |
| <p>5 We have a clear commitment and focus on community based on what is important to people and understand the importance of working alongside the entire community to effectively support people to become citizens. We undertake specific community development activities as an outcome of people's plans and aspirations. We also engage with a range of community resources on a corporate basis and have a demonstrable local commitment.</p> | |



4. Support Planning and Review

a) Person centred planning and support plans

- | | |
|---|--|
| 1 We provide support to groups of people, according to the specification provided by the local authority. | |
| 2 We realise that we need to provide support to people as individuals but are not sure how to move from the current arrangement. | |
| 3 We are beginning to make efforts to translate the care plan into a more person centred document. We are introducing person centred thinking to some of our staff. | |
| 4 We are committed to person centred planning and ensure that all the staff in the organisation are trained and coached to use person centred thinking, tools and approaches. Individuals have up to date person centred plans that are acted upon by staff. We use person centred thinking tools and reviews to record what we are learning and to continue to develop and update the plan. | |
| 5 We use person centred thinking extensively and ensure that everyone we support has a costed person centred plan (support plan) that is outcome focused. Plans have clearly identified outcomes, linked to the funding available. We use person centred approaches across the organization, including non-operational functions, and person centeredness is embedded in all that we do. | |

b) Outcome focused reviews

- | | |
|--|--|
| 1 Our reviews are focused on services and contracts. We discuss services with the local authority. | |
| 2 We realise that we need to focus on outcomes when reviewing services but are not sure how to do this or what needs to change. | |
| 3 We have begun to identify outcomes with people and have tried to do this with some people we support. We have begun to train staff in person centred reviews. | |
| 4 We ensure that all the people we support have person centred reviews that are outcome focused and that the person and those close to them are at the centre of this process. People review how they are spending their money. | |
| 5 We use information from person centred reviews to help us evaluate how well we are meeting people's outcomes and what we need to change in the way we work and support people. | |



5. Finance

Costing Services

- 1** We cost our services as locations/building/groups and the service is delivered through aggregate contracts with funders not individuals.
- 2** Even though the majority of the services we deliver are funded through aggregate contracts, we realise that we need to understand what it costs to provide support to individuals. We are not sure how to do this.
- 3** We cost our service on an hourly rate that includes what it costs to run the service (e.g. management charge) as well as the direct cost of support. We can explain how we have calculated our hourly rate and have begun to develop individual costs for people we support.
- 4** We know what it costs to deliver each individual's support package, and we provide people we support with information about how much their support costs. If someone is interested in buying a service from us, we can provide detailed individual costings based on their support plan.
- 5** We provide detailed costs for each individual we support or people who may want to buy our service. Individuals can use their money flexibly, and not just to buy staff hours if they choose. People can buy as much or as little of our service as they want.

Contracts

- 1** We have contracts with the Local Authority or PCT, a mixture of block and spot, which are generally focused on hours delivered and/or tasks.
- 2** We think we might need to adopt other contractual models but are not sure where to start.
- 3** We have contracts with local authorities and some with people who control their funding and are beginning to explore what this means for the way we do things. We are trying to make our contract documents easy to understand and read and want to talk with our commissioners about creating Individual Service Funds for other people we support.
- 4** We offer an individualised service to all of our new customers. New customers have a contract based on their support plan and their personal budget. We are actively working with our commissioners to move people from a block contract to an Individual Service Fund. We are looking at 'virtual budgets' within the block contracts to give people more flexibility.
- 5** All of the people we support, regardless of whether they control the funding or not have, an individual accessible contract with us, based on their support plan. The contracts we use are easy to read and understand. We have individual contracts with a range of individuals, Trust Circles, and family members.



c) Invoicing

- | | |
|--|--|
| <p>1 Our invoicing processes are designed to meet the needs of contracts with funding authorities. We struggle with deviations in billing.</p> | |
| <p>2 We realise that we need to look at how we can adapt our invoicing system so that we can invoice individuals but are not sure how to start.</p> | |
| <p>3 We have a mixture of invoices - some are from block contracts and some for personal budget holders or self funders. We have cost centres for each of our services. We are developing systems for individual invoicing.</p> | |
| <p>4 Our invoicing system can produce individual invoices. We have cost centres for each individual with a personal budget and self-funders. At the moment we still have a mix of block contracts and personal budgets.</p> | |
| <p>5 We can produce invoices individually for people's personal budgets and have systems that can be flexible and adjust for the different ways that people want to spend their personal budget. We can offer people different ways to pay us, through invoicing, direct debits and through systems such as Shop4Support. We have accessible ways of communicating this and have worked with people and families to achieve this.</p> | |

d) Accounting

- | | |
|--|--|
| <p>1 We track the money we spend on a service-by-service/cost centre basis.</p> | |
| <p>2 We realise we need to account for support individually but cannot do this within our existing systems and processes.</p> | |
| <p>3 We can track what staff time costs and what we are spending on people's individual support.</p> | |
| <p>4 We can show links between what people are spending their money on and is the outcomes identified in their support plan. We are working on how we can make our financial information on how people are spending their personal budget easy to understand.</p> | |
| <p>5 Our tracking and accounting systems means that we provide information for each individual about how they are spending their budget, how this relates to what is in their support plan, and whether they are on target, under or over budget. We provide this in ways that people find easy to understand and use and have worked with people and families to achieve this.</p> | |



6. Human Resources

a) Selecting and Recruiting Staff

- | | |
|--|--|
| <p>1 Managers and paid staff select and recruit staff for our organization based on formal job descriptions that we have developed.</p> | |
| <p>2 We think we need to find a way of involving people in recruitment and selection but are not sure where to start</p> | |
| <p>3 We are exploring ways to involve the people we support and their families in selecting staff and developing job descriptions. Some people have been involved to date.</p> | |
| <p>4 We have trained some people who use our service and families to be on interview panels with us and worked with them to improve out job descriptions, adverts etc. They help us recruit staff to the organization and we plan to do more of this.</p> | |
| <p>5 We work closely with individuals and their families in all aspects of the selection and recruitment process. People are involved as much or as little as they want to be and a range of options are offered. This includes some families and individuals leading all aspects of the process with our support. Each job advert and person specification is based on the person and their interests. Adverts are placed locally through a range of ways (post office, local radio etc) and we actively recruit local staff. The interview questions are mostly taken from the individuals person centred plan or support plan. Staff are typically recruited to an individual not to a pool of staff employed by the organization.</p> | |

b) Supporting, Supervising and Appraising Staff

- | | |
|--|--|
| <p>1 Staff support, supervision and appraisal is based on the managers feedback only.</p> | |
| <p>2 We supervise staff through meetings. We think we need to take people views into account but are not sure how to do this – this is not a organisational commitment</p> | |
| <p>3 Managers have regular supervision sessions every month to 6 weeks with each staff member and conduct annual appraisals and we have tried ways to give people & families a voice and role in this. We have plans do more.</p> | |
| <p>4 Managers use individual’s support plans or person centred plans as part of the supervision process. They talk to staff about how they are doing in delivering what is in the support plan/person centred plan. Staff are clear about what their core responsibilities are and where they can use their creativity and judgment. People are given the opportunity to get involved in this in a way that makes sense for them</p> | |
| <p>5 We use support plans/person centred plans as a key part in they way we support and supervise staff. Before supervision sessions we ask the person (their family or Trust Circle) about how the staff member is doing. We make sure that supervision and appraisals are person centred, focused on delivering the best service to the people we support. Supervision sessions also recognize what is important to and for staff, and are opportunities to appreciating what is going well, think together and problem solve what needs to change. We involve people and families in performance management and feeding back to people and families in a positive way.</p> | |



c) Workforce Development

- 1 We have some training days in our organization and these are based on statutory requirements such as lifting and handling and food hygiene. We meet minimum legal and regulatory requirements.
- 2 We have begun to think about how we might talk to staff about the changing culture of the organization and their role in this.
- 3 We have begun to think about the impact of becoming more person centred and have started a programme of training that helps support staff and their managers to understand what they can do to make sure people have more choice and control in their lives. This has included practical tools like person centred thinking tools, and helping staff to understand what Individual Service Funds are and the wider context for the organization
- 4 We think that personalisation will mean that all aspects of the services we provide may have to change. We are working with senior mangers across the organization (including non operational functions) to help them think about what personalisation means to them and their role and what new skills and knowledge they may need. We are developing an in-depth training programme as part of our workforce plan
- 5 We have developed a detailed workforce strategy and training programme based on input, ideas and involvement of staff, individuals and their families. This includes what will need to change about the way we train, support and deploy our staff, and the way we organise and govern ourselves if we are to be a truly person centred organization.

d) Policies and procedures

- 1 We have policies and procedures on how we work. We meet minimum legal and regulatory requirements and don't take into account personalisaiton.
- 2 We recognize that our policies and procedures will need to change to reflect personalisation and being person centred but have not started to make changes
- 3 We have a staff working party reviewing our policies and procedures to make sure that they cover personalisation. We are working on ways of making sure people have a voice in this process
- 4 We are working with staff and people we support to identify where our policies and procedures need to change to ensure that they actively promote people having more choice and control in their lives. We are trying to streamline them so that we have as few as possible.
- 5 We have changed our policies and procedures to ensure that they are person centred and actively promote enabling people to have choice and control in their lives. We worked with people who use services, families and staff to develop these, and they are presented in a way that is easy to read and understand. There are as few of them as possible.



7. Back Office Systems

Person Centred Approaches in IT and administration

1	Our IT and administration staff are not aware of personalisation	
2	We have had some initial meetings with our IT and admin staff about what personalisation means to them and their roles	
3	Our IT and admin staff have been invited to the same awareness session as the rest of the staff and have begun to think about what this means for what they do.	
4	We have worked with our IT and admin staff to think about what personalisation means for their role, and specifically what they can do to affect the choice and control that people have in their lives.	
5	The IT and admin staff have developed or adapted their processes to reflect personalisation and to ensure that the services they offer are person centred. This has had an impact on what the IT system looks like and can do, and how admin staff work.	

8. Marketing

Customer Focus

1	We see our customers as the Local Authority or PCT.	
2	We say that our customers are the people who use our services and their families, but the ways that we provide our services do not always match this. We know that the Local Authority or PCT are also our customers.	
3	We have started to rethink how we work with people and their families, and understand what their 'customer journey' is, and how we need to change.	
4	We have started to make changes to our service to reflect the journey that we want people to have we us. We are working on how people find out about us, how we tell them what we can offer, how we learn about people in a person centred way and design and deliver individual costed services. We have also thought about the customer service we provide to the Local Authority or PCT.	
5	We put people at the centre of what we do. We recognize that we have a variety of customers and partners and work with each of them in an individual, person centred way. We don't always get it right but actively listen to the people who use our services, reflect on our mistakes and make sure we reflect and learn from this	



Communication and promotion

- | | |
|--|--|
| <p>1 We are focused on selling our services to the Local Authority or PCT.</p> | |
| <p>2 We don't have any information for people who may want to buy our services themselves (individuals or their family) or who want information on our services (for example care managers, brokers, User Led Organisations, peer advocates or others).</p> | |
| <p>3 We have begun to think about how we might market ourselves to people better, and what we need to change about our information. We have made some effort to communicate directly with people and families, and other people who may be interested in our services (care managers, brokers, User Led Organisations, peer advocates or others).</p> | |
| <p>4 We have begun to develop information for different people and we are aware of the need to do this in a way that is meaningful, accessible and meets peoples needs. We are also considering new marketing methods like Shop4Support.</p> | |
| <p>5 We have a clear strategy/approach to communicating with and marketing ourselves to individuals, families and circles, and everyone who may be interested in our services. We use a range of accessible and user friendly approaches, we actively seek feedback from people about how we are doing (our information and approach).</p> | |

9. Reviewing and improving our service (Quality)

Mission and Standards

- | | |
|---|--|
| <p>1 We focus on achieving our regulators standards</p> | |
| <p>2 Our organization has a mission and standards, but they do not very clearly connect with each other. We do not measure whether we are achieving our standards and are not sure</p> | |
| <p>3 We have a mission, vision, values and standards. We measure progress on some of our standards and are thinking about how these things connect and want to do more work on this.</p> | |
| <p>4 Our mission, vision and values are connected and reflect our commitment to personalisation/person centredness. We have a set of standards that we regularly measure against. We set actions based on this to improve the way we deliver person centred services.</p> | |
| <p>5 Our mission, vision and values were developed with people we support, families and staff. They reflect personalisation in everyday language. We use them in our training and our meetings, and everyone knows them. We evaluate our services in partnership with individuals and families, and share information from this and what we are going to do to become more person centred. Our governance structures include hearing from families</p> | |



b) Improving peoples lives and achieving their outcomes

- | | |
|--|--|
| 1 Staff are busy keeping people healthy and safe | |
| 2 We try to help people change things if they want to and to have a fulfilling, but we do not use a process for doing this nor do we understand how to adapt our approach. | |
| 3 Most people have some sort of review of the support they receive. We have thought about outcomes and are beginning to work with people to identify what they want to change about their lives.. | |
| 4 Everyone has a person centred review that focuses on what is and is not working for them, and what they want for the future. We focus on supporting people to achieve their outcomes and evidencing this. | |
| 5 We use person centred planning and person centred reviews to enable people to think about their lives and what they want to change. We work together to make these changes happen, support people to move towards their aspirations and contribute to their communities. Managers see themselves as responsible for making sure great planning takes place, that actions happen, and people are supported they way they want to be. | |

c) Learning from individuals to inform strategic change

- | | |
|---|--|
| 1 We do not have a way to systematically and strategically review our business/ organisation. | |
| 2 We undertake a strategic review of our organization and involve employees in this review and decision-making about what we will do the next year. We realise we need to try to involve the people we support in this process. | |
| 3 We have began to consult with and directly involve some people who use our services and their families when we review the service they receive and use this information to influence certain decisions. | |
| 4 We have established a range of mechanisms to enable people to comment on the performance and strategic direction of the organization, including comments, complaints and compliments and encourage people to feedback. | |
| 5 We have a way to ensure that everyone's experiences count when we review our progress. People who use services and their families' contribute their information about what is working and not working for them through person centred (or outcome focused) reviews. We aggregate information from these reviews together with people and their families. This information sets the direction and provides important information for our business and strategic planning. We feedback to people about the changes we have made. | |