Adult Social Care Policy Framework	
Version	1.2
Strategic Owner	Keri Storey, Head of Adult Care Operations and Health Tim Golby, Head of Adult Commissioning and Health
Business owner	Damian Furniss, Senior Manager for Policy, Performance and Involvement.
Author	Paul Grimsey, Policy Manager James Martin, Senior Policy Officer
Date of approval and commencement	January 2016
Last review date	August 2018
Last reviewer	Paul Grimsey
Next review date	August 2020

Adult Social Care Policy Framework Policy

1. Who this policy applies to

1.1 This document sets out the process for the development and production of new policies and the review of existing Adult Social Care policies that apply to anyone involved in providing, commissioning or managing adult care management services in Devon County Council. This includes DCC staff and managers in joint NHS and DCC roles.
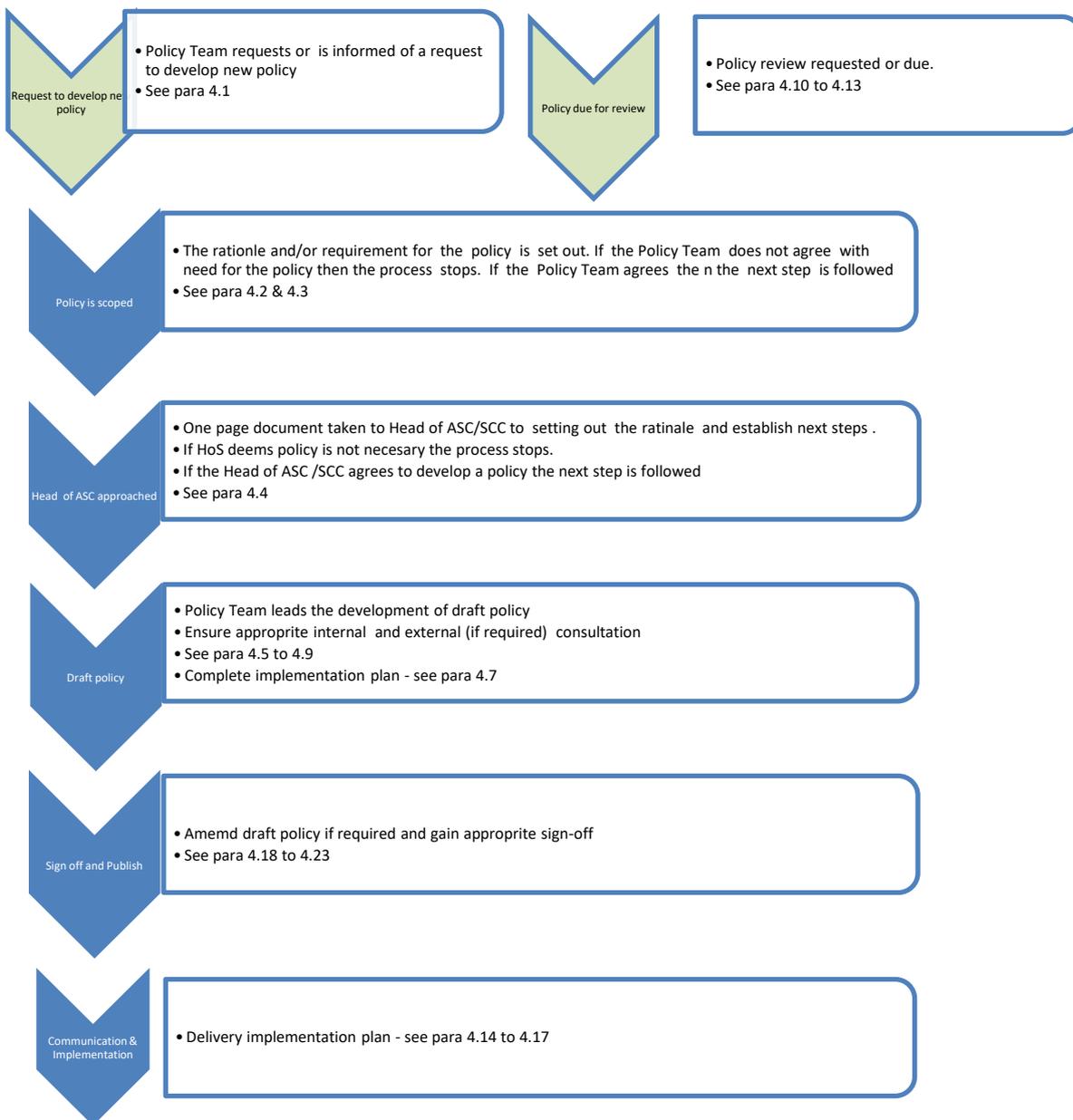
2. Why we have this policy

2.1 The policy framework applies to Adult Social Care policies including policies that relate to both Adult Social Care and Adult Social Care Commissioning.

2.2 The framework does not apply to policies, procedures or strategies that relate solely to Contracting and Procurement.

2.3 Arrangements for Devon Partnership Trust (DPT) to provide integrated mental health and social care services to adult mental health service users are described in the Section 75 agreement with DPT. The agreement specifies that DPT will carry out DCCs duties within these services consistent with the Care Act.

2.4 Staff guidance and processes must be consistent with all policies and relevant legislation. Policy implementation plans may require staff guidance and procedures to be developed or updated. Guidance, processes and procedures have a separate development and review process. Definitions of policy, procedures, guidance are set out in appendix 1.

3. What the policy will achieve

3.1 The aims and objectives of this policy are:

a) To ensure that Adult Social Care policies provide an effective framework for staff in adult social care to provide effective and efficient services in line with DCCs duties and legislation;

b) To ensure that policy development across DCC Adult Social Care is consistent, and that robust governance arrangements are in place;

c) To ensure a framework that allows for timely reviews, approval and publication of policy;

d) To ensure that staff and the public can continue to have access to the most up-to-date and relevant policy and staff are appropriately supported to implement policy.

4. The Policy Framework

Request to develop new policy
- Policy Team requests or is informed of a request to develop new policy
- See para 4.1

Policy due for review
- Policy review requested or due.
- See para 4.10 to 4.13

Policy is scoped
- The rationle and/or requirement for the policy is set out. If the Policy Team does not agree with need for the policy then the process stops. If the Policy Team agrees the n the next step is followed
- See para 4.2 & 4.3

Head of ASC approached
- One page document taken to Head of ASC/SCC to setting out the ratinale and establish next steps .
- If HoS deems policy is not necesary the process stops.
- If the Head of ASC /SCC agrees to develop a policy the next step is followed
- See para 4.4

Draft policy
- Policy Team leads the development of draft policy
- Ensure approprite internal and external (if required) consultation
- See para 4.5 to 4.9
- Complete implementation plan - see para 4.7

Sign off and Publish
- Amemd draft policy if required and gain approprite sign-off
- See para 4.18 to 4.23

Communication & Implementation
- Delivery implementation plan - see para 4.14 to 4.17

New policy development

4.1 Requests to the Policy Team for new policy will come from various places across both commissioning and operational teams; from internal and external sources and from various levels.

4.2 In order to help understand the need for and scope of a new policy or policy amendment the Policy Team will work with those requesting the

policy work and other stake holders to develop a one page overview of the policy work request. (Appendix 2)

4.3 The Policy Team, including the Principal Social Workers for Adult Social Care, Commissioning and Occupational Therapy and the Senior Manager for Strategy, Policy, Performance and Involvement, will decide whether to make a recommendation on the need for the policy, what its scope should be and how it will be developed.

4.4 The one page overview of the policy request will then be presented to the Heads of Adult Social Care and Social Care Commissioning. If the request is agreed then a policy will be developed by the Policy Team working with others as appropriate using the policy template in Appendix 3.

4.5 Where required the Policy Team will work with the Involvement and Equalities Manager and the Equalities and Outreach Team to identify whether an Impact Assessment is required. DCC has developed an online toolkit to support the development of impact assessments.

4.6 Internal consultation will be a key part of policy development. The Policy Team is represented at the Adults Way We Work Group and has links to both ASC and SCC SLTs. It is envisaged that policy drafts are presented at these meetings. Other areas of DCC that may need to be engaged at this stage are Legal and the Staff Reference Group and user and carers groups. The Heads of Adult Social Care and Social Care Commissioning may also want to approach Cabinet Members during the development of policy.

4.7 During the early stages of policy development possible training requirements will need to be considered including training plans and strategies to support communication and implementation.

4.8 The Policy Team will take legal advice on the requirement to consult publically. If an external consultation is required then the Policy Team, taking advice from the Social Care Commissioning Involvement and Equalities Manager will agreed with the Heads of Adult Social Care and Social Care Commissioning the nature, method and time period of the consultation.

4.9 Consultation documents will need to be produced and published alongside the latest versions of the Impact Assessment. Feedback from the consultation will be presented to the Heads of Adult Social Care and Social Care Commissioning and the policy amended as necessary. A DCC response to the consultation will need to be published and communicated to those who contributed to the consultation.

Reviewing existing policy

4.10 The Commissioning Support Office (CSO) will be managing a schedule for reviewing (and developing new policies for known policy gaps) all

policy, guidance, processes, and procedures. This is set out in a separate document.

4.11 The Policy Team including the Principal Social Workers and the Senior Manager for Policy, Performance and Involvement will undertake a virtual desktop review of the policy and make a judgement as to the extent of the changes required and whether a more extensive review is required.

4.12 Minor changes will be taken forward by the Policy Team; this could include amendments to clarify language or to reflect changes in DCC structure. Major changes such as responding to national legislation or the removal of policy must be agreed by the Heads of Adult Care and Health Operations and Commissioning.

4.13 If a more comprehensive review is required then the New Policy Development process should follow see paras 4.1 to 4.9.

Implementation and monitoring

4.14 All policy proposals and policy changes should be accompanied by an implementation and monitoring plan that identifies the Business Owner for the Policy. This plan should provide a proportionate outline of how implementation and communication will be managed and how the impact of the policy will be evaluated. See appendix 4.

4.15 Implementation and monitoring will not be managed by the Policy Team but may support the Business Owner in communicating the policy.

4.16 The Business Change Team and Workforce Development Team will need to be approached to map out the content of any training required including time within the PPAC schedule. An 'Implementation Plan' template (appendix 4) has been produced to guide the considerations and development of communication and implementation.

4.17 Policies will need to be communicated internally and externally including through the ASC newsletter.

Sign-off and publish

4.18 The level of sign-off will be identified at the outset. The general principal is that new policies or significant change to existing policy will require officer sign-off from the Head of Adult Social Care or Social Care Commissioning.

4.19 The Policy Team will provide the Heads of Adult Social Care and of Social Care Commissioning a monthly summary of proposed new or changed policies.

4.20 The Head of Social Care Commissioning will decide in which instances political approval is required, and seek approval from the Lead Member

for Adult Social Care and Health Services, the Leader of the Council or from Cabinet as required.

4.21 Additionally, the Head of Social Care Commissioning will decide in which instances to communicate new or changed policies to partners via the Joint Clinical Commissioning Group or by other means, to service users and carers via the Joint Engagement Board, and to providers via the Provider Engagement Network.

4.22 Agreeing minor changes to existing policy is delegated to the Senior Manager for Strategy, Policy, Performance and Involvement and the Principal Social Workers.

4.23 All policy documents will be published on the DCC website and stored in the SSC policy library.

Appendix 1: Key definitions

1. **Policy**

   - Policy is a course or principle of action adopted or proposed by an organisation or individual

2. **Staff Guidance**

   - Advice or information for staff aimed at resolving a problem or difficulty.

3. **Process map**

   - A "process map" visually describes the flow of activities of a process. A process flow can be defined as the sequence and interactions of related process steps, activities or tasks that make up an individual process, from beginning to end.

4. **Strategy**

   - A plan of action designed to achieve a long-term or overall aim.

5. **Procedure**

   - A manner of proceeding; a way of performing or affecting something

   - A series of steps taken to accomplish an end.

   - A set of instructions to perform a specific task.

   - A set of established forms, steps or methods for doing things in an organisation or process.

Appendix 2: One page policy overview for Head of Service

This template is to be completed by the Policy Team in order to recommend the development of a policy to the Head of Adult Social Care.

Why is the policy needed?
What will be the outcome of the policy and how will it be monitored?
How will the policy change what we currently do?
Consultation requirements
Equality and Impact Assessment requirements
Level and place of sign off
What are the resource implications?
What are the broader considerations for DCC?
Are there any implications/interdependencies with other agencies e.g. NHS?

Appendix 3: Policy template

Personal Budgets Policy	
Version	2
Strategic Owner	Sally Slade, Head of Adult Social Care
Business owner	Sarah Mackereth, Principal Social Worker
Author	James Martin, Senior Policy Officer
Date of approval and commencement	December 2015
Last review date	Quarter 3 2015/16
Last reviewer	James Martin, Senior Policy Officer
Next review date	Quarter 3 2017/18
Supporting documents	The Care Act 2014 and associated guidance and regulation

5. Who this policy applies to

5.1 This policy will apply to you if you are an adult over 18 and we have identified that you have eligible social care needs, including support needs as a carer, as set out in *The Care Act 2014*.

5.2 This policy will also apply to you if you are not entitled to social care funding but we have a duty to, or we agree to arrange your care.

6. Why we have this policy

6.1 The Care Act places personal budgets into law for the first time. This policy sets out how we will deliver personal budgets in Devon and ensure that you have choice and control in the care and support you receive.

6.2 This policy has been developed because of new national legislation that has set out the law relating to personal budgets in terms of what you can expect and how we must act.

7. What the policy will achieve

7.1 The aims and objectives of this policy.

   a) Your personal budget will always be a sufficient amount of money to meet your eligible care and support needs.

   b) You will have greater choice, and will be able to control how your eligible care and support needs are met.

   c) You will be clear about how we have calculated your personal budget.

8. The Policy

A personal budget

8.1   A personal budget is the amount of money we allocate to you to meet your eligible needs. The value of your personal budget will be the cost to us of meeting your needs.

8.2   If you are receiving a service that we must not charge you for such as providing equipment, intermediate care or reablement, or any information and advice, then your personal budget will not include an amount of money for that service.

Establishing a personal budget

8.3   We will carry out a [needs assessment or carers assessment](#) with you, and use the national eligibility criteria set out in the Care Act 2014 to establish if you have eligible needs. If we identify that you have eligible needs we will then work out the value of your personal budget

8.4   If you are a carer, we will be clear in identifying whether a service is provided to you to meet your needs as a carer, or to meet the needs of the person you are caring for. The cost of the service will be added to the appropriate person's personal budget.

8.5   We estimate the value of your personal budget through the Resource Allocation System (RAS). This system estimates the value of your personal budget based on the cost of care and support for other people with similar needs to you. We regularly update the RAS to reflect the current cost of care.

8.6   An estimated personal budget will be identified and shared with you, and anybody else you would like to be involved, at the start of your care and support planning. The final amount of your personal budget will be confirmed through the care and support planning process.

8.7   If your care and support plan can be delivered for less than your estimated budget then your personal budget will be set at that lower amount.

8.8   We will review your personal budget every year, or more often if your needs change. This will be at the same time as we review your care and support needs.

8.9   We will always try to get best value. If we can meet your eligible needs safely and effectively at a lower cost than your existing personal budget, then we may reduce your personal budget to reflect this.

Choice and control

8.10 To ensure that we can get best value from our limited adult social care budget, and so we can support people in a fair way, we have a Fair and Affordable Care policy that explains how and when we may be able to fund a particular preference you may have, and when we will not be able to do so.

8.11 We also have a Financial Top-Up policy that sets out how and when you can make additional payment to pay for preferred accommodation or providers that we may not be able to fund.

8.12 If you want to arrange some or all of your care and support yourself you may choose to receive all or part of your personal budget as a direct payment. We have a Direct Payments policy that explains how this works in Devon.

8.13 You may want a nominated person to manage your personal budget and your care and support plan on your behalf rather than doing it yourself or asking us to do it; we can support you to make these arrangements.

Appendix 4: Implementation Plan

IMLEMENTATION PLAN FOR: DATE: AUTHOR:			
	Issues identified / Action to be taken	**Lead**	**Time-Scale**
1. Co-ordination of implementation • How will the implementation plan be co-ordinated and by whom? *Clear co-ordination is essential to monitor and sustain progress against the implementation plan and resolve any further issues that may arise.*			
2. Engaging staff • Who is affected directly or indirectly by the policy? • Are the most influential staff involved in the implementation? *Engaging staff and developing strong working relationships will provide a solid foundation for changes to be made.*			
3. Involving service users and carers • Is there a need to provide information to service users and carers regarding this policy? • Are there service users, carers, representatives or local organisations who could contribute to the implementation? *Involving service users and carers will ensure that any actions taken are in the best interest of services users and carers and that they are better informed about their care.*			
4. Communicating			

• What are the key messages to communicate to the different stakeholders? • How will these messages be communicated? *Effective communication will ensure that all those affected by the policy are kept informed thus smoothing the way for any changes. Promoting achievements can also provide encouragement to those involved.*			
5. Resources • Have the financial impacts of any changes been established? • Is it possible to set up processes to re-invest any savings? • Are other resources required to enable the implementation of the policy eg. increased staffing, new documentation? *Identification of resource impacts is essential at the start of the process to ensure action can be taken to address issues which may arise at a later stage.*			
6. Securing and sustaining change • Have the likely barriers to change and realistic ways to overcome them been identified? • Who needs to change and how do you plan to approach them? • Have arrangements been made with service managers to enable staff to attend briefing and training sessions? • Are arrangements in place to ensure the induction of new staff reflects the policy? *Initial barriers to implementation need to be addressed as well as those that may affect the on-going success of the policy*			
7. Evaluating			

• What are the main changes in practice that should be seen from the policy? • How might these changes be evaluated? • How will lessons learnt from the implementation of this policy be fed back into the organisation? *Evaluating and demonstrating the benefits of new policy is essential to promote the achievements of those involved and justifying changes that have been made.*			
8. Other considerations • Including updating the Equalities and Impact Assessment			