

Unit 34: Supporting Individuals to Access and Manage Direct Payments

Unit reference number: J/616/7411

Level: 4

Unit Type Optional

Credit value: 6

Guided learning hours: 40

Unit summary

With the introduction of self-directed support, individuals who have been assessed as needing social or health care support have the right to request a direct payment to meet some or all of the costs of their care and support needs. Responsible bodies have a duty to provide care and support services and, after a process of assessment, may allocate a personal budget to eligible individuals in need of social and community services. Individuals who require support can opt to request that direct payments be made to a nominated person who can decide how that budget will be spent in meeting their needs. Direct payments are key to the promotion of independence, choice and control so that individuals can make their own decisions about who provides their support while they are in receipt of care services, and when and how it is provided. The effective control and management of direct payments for people who have been assessed as needing help is a crucial aspect of this process.

In this unit, you will develop your understanding of the purpose and function of direct payments. You will learn about the guidance needed to support individuals in making decisions on direct payment suitability and use. You will develop strategies to support individuals to manage, review, monitor and evaluate their implementation, enabling them to address any issues or difficulties and to make any necessary changes. You will explore the legislation and policy that underpins the use of direct payments so that individuals can complete application documentation, make payments and manage monitoring and review processes in accordance with regulatory requirements.

Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria outline the requirements the learner is expected to meet to achieve the unit.

Learning outcomes	Assessment criteria
1 Understand the purpose and function of direct payments	1.1 Explain the purpose of direct payments 1.2 Investigate the legislation and policies which underpin the provision of care and support for direct payments 1.3 Assess the range of services for which direct payments may be used
2 Be able to support individuals to make informed decisions regarding the use of direct payments	2.1 Analyse relevant sources of information and provide accessible advice and guidance to individuals and others 2.2 Establish the required support needed for individuals to manage direct payments while maintaining their independence
3 Be able to support individuals to select and make payments for services/equipment to meet their care and support needs	3.1 Enable individuals to select appropriate services within resource constraints 3.2 Support individuals to understand, check and complete the service provider application process 3.3 Support individuals to make payments for purchased services and/or equipment within budgetary constraints 3.4 Enable individuals to submit claims supported with essential monitoring documentation
4 Understand how to address difficulties, dilemmas and conflicts relating to direct payments	4.1 Explore possible dilemmas which may arise between the duty of care and individual rights in the context of direct payments 4.2 Assess practical difficulties and conflicts that may arise in relation to direct payments 4.3 Explore strategies to resolve or minimise difficulties, dilemmas and conflicts

Learning outcomes	Assessment criteria
<p>5 Be able to enable individuals to review and evaluate the service provided through direct payments</p>	<p>5.1 Assess how the support will be reviewed and evaluated</p> <p>5.2 Work with individuals and others to evaluate the support purchased and agree necessary changes</p> <p>5.3 Support the individual to provide feedback and recommendations to organisations</p>
<p>6 Be able to enable individuals to review the management of direct payments</p>	<p>6.1 Work with individuals and others to review the management of the direct payment and agree changes</p> <p>6.2 Provide feedback to people and organisations about the management of individual direct payments</p>

Content

What needs to be learned

Learning outcome 1: Understand the purpose and function of direct payments

Purpose of direct payments

- Principles and objectives of personalisation, benefits of personalised approaches and services, personal budgets and direct payments.
- Eligibility and exclusions.
- Assessment of short- and long-term needs, including respite care.
- Personalisation - person-centred control, e.g. choice, independence, active participation.
- Care professionals involved in assessment process, e.g. social worker, GP.

Legislation and policies underpinning the provision of direct payments

- Legislation, e.g. Community Care (Direct Payments) Act 1996, Health and Social Care Act 2012, National Health Service (Direct Payments) Regulations 2013, Direct Payments (Amendment) Regulations 2013, Care and Support (Direct Payments) Regulations 2014, Care and Support Statutory Guidance (October 2014), Care Act 2014, Equality Act 2010, Mental Capacity Act 2005.
- Policies for appointing an authorised person, e.g. authorised person agreement, assessment procedure, duty of care, safeguarding, contractual arrangements - Direct Payment Agreement, lasting power of attorney, Disclosure and Barring Service (DBS).

Range of services for which direct payments may be used

- Purchasing services/equipment, to include, e.g. personal care, cleaning or laundry, employing a personal assistant, respite/short-term stay, payment for translation/communicator service, aids and adaptations.

Learning outcome 2: Be able to support individuals to make informed decisions regarding the use of direct payments

Individual

- Someone requiring care or support; it will usually mean the person or people supported by the learner.

Sources of information to support advice and guidance

- Independent and impartial advice agencies:
 - formal, e.g. local authority, GP, nurse practitioner
 - informal, e.g. Information and Advice Service, Citizens Advice Bureau, family or friends.

Required support needed to manage direct payments for individuals

- Initial advice for assessment and identification of needs, service level agreements (SLAs) to maximise independence and personalisation, care support planning and implementation process, partnership arrangements with:
 - local voluntary organisations, e.g. Disability Rights UK, Mind, Age Concern
 - specialist advice and guidance to aid decision making, e.g. clinical commissioning groups, NHS, local authorities.

What needs to be learned

Learning outcome 3: Be able to support individuals to select and make payments for services/equipment to meet their care and support needs

Provide support to select services to be purchased with direct payments

- Accessible information:
 - formal, e.g. NHS and local authority published guidance, national eligibility criteria for care and support services
 - informal, e.g. Money Advice Service, Age Concern.
- Costings to support individual eligibility criteria, identification of individual needs and allocated budgets for social care, individual contributions where applicable and supporting individuals to maintain optimum levels of independence.
- Rights of an individual to participate as independently as an active partner in establishing their own care and support needs, e.g. using appropriate communication techniques and language to agree care support plan, use of translation or advocacy services.

Support individuals to understand, check and complete service provider application process

- Support for individuals to understand:
 - documentation, e.g. application forms and guidance notes, required supporting documentation to augment eligibility criteria
 - wider risks and issues, e.g. risk assessments, balancing risks against an individual's long-term gain, e.g. risk of financial abuse, risks to personal safety and security, safeguarding of vulnerable individuals, capacity to consent, compliance with employment law.

Support individuals to make payments for purchased services

- Meeting contractual requirements and service level agreements, budgetary constraints, maintaining accurate and auditable records and invoices, supporting individuals to maintain active participation.

Enable individuals to submit claims with essential monitoring documentation

- Making valid payments:
 - maintaining records of expenditure and essential monitoring information, e.g. bank account statements, receipts invoices, timesheets, monthly income and expenditure
 - frequency of monitoring and role of Direct Claims Monitoring Officer, ensuring regulatory compliance.
- Evaluation process: outcomes-based care plan reviews, assessment of changes in individual to establish if direct payments are meeting current needs, monitoring individual management of direct payments, ensuring the most efficient and appropriate use of resources.

What needs to be learned

Learning outcome 4: Understand how to address difficulties, dilemmas and conflicts relating to direct payments

Dilemmas between duty of care and individual rights

- Conflicts between duty of care and individual's rights, how payments are being used, recruitment of staff, associated costs, relevant legislation regarding employment, health and safety, purchasing non-authorized services, individual ability to give consent.

Practical difficulties and conflicts

- Implementation, e.g. access, barriers to the use of direct payments, assessment, mismanagement of budget, breaches in terms and conditions, refusal to accept direct payments.

Strategies to resolve or minimise difficulties, dilemmas and conflicts

- Addressing difficulties, dilemmas and conflicts, e.g. use of advocacy/interpreter services, contingency plans to cover difficulties or emergencies, sanctions, practitioner involvement, appointment of authorised person.

Learning outcome 5: Be able to enable individuals to review and evaluate the service provided through direct payments

Assess how the support will be reviewed and evaluated

- Evaluation: different methods for an effective but proportionate monitoring process, e.g. care plan review, measuring adherence to direct payment guidelines, determining how individual needs have been met, confirmation that the amount of direct payment was reasonable in the delivery of the product or service, how payments have been managed.

Work with the individual to evaluate the support they have purchased

- Review outcomes and effectiveness of purchased service in meeting current needs, what has worked well, confirmation that direct payments continue to be the best option for the individual, review if the approach has given best value and method of delivery.

Support the individual to provide feedback and recommendations

- Provide feedback to organisations:
 - auditable forms and records
 - supporting evidence and information to demonstrate individual active participation in care support plan reviews and identification of changes in support needs.

What needs to be learned

Learning outcome 6: Be able to enable individuals to review the management of direct payments

Work with individuals and others to review the management of the direct payment

- Review documentation:
 - financial, e.g. to identify expenditure against costings and objectives in the care support plan, accumulated funds or overspend and changes to the type and level of support needed for managing a direct payment
 - frequency of reviews, care support plans and revised assessment of needs, identifying changes in support to meet eligibility criteria.

Provide feedback to people and organisations about the management of individual direct payment

- Agree changes in the type and level of support required, information to support a revised assessment, feedback to people and organisations about the management of the individual's direct payment, discontinuing direct payments.

Information for tutors

Suggested resources

Books

Calpin P J et al – *Diploma in Leadership for Health and Social Care Level 5* (Nelson Thornes, 2012) ISBN 9781408518106

Glasby J and Littlechild R – *Direct payments and personal budgets: Putting personalisation into practice 3rd edition* (Policy Press, 2016) ISBN 9781447326762

Greaves I – *Disability Rights Handbook: 2017/18 42nd edition* (Disability Rights UK, 2017) ISBN 9781903335772

Tilmouth T, Quallington J – *Level 5 Diploma in Leadership for Health and Social Care, 2nd edition* (Hodder Education, 2016) ISBN 9781471867927

Websites

www.ageuk.org.uk/publications/age-uk-information-guides-and-factsheets/

Voluntary sector information on direct payments, powers of attorney.

www.communitycare.co.uk/2012/07/26/how-social-care-staff-can-improve-their-communication/

Community Care website article on improving communication within care.

www.disabilityrightsuk.org

Disability Rights UK – advice and guidance about direct payments and independent living.

www.gov.uk

Application information on direct payments.

www.legislation.gov.uk

Website for current government legislation.

www.nhs.uk

NHS Choices – information about eligibility and direct payments.

www.skillsforcare.org.uk/Documents/Learning-and-development/Care-Certificate/Standard-6.pdf

Standard 6 of the Care Certificate.

www.skillsforcare.org.uk/Standards-legislation/Care-Act/Care-Act.aspx

Skills for Care – Care Certificate Standards and Framework.

Assessment

This guidance should be read in conjunction with the associated qualification specification for this unit.

This unit is internally assessed. To pass this unit, the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria, and the requirements of the assessment strategy.

To ensure that the assessment tasks and activities enable learners to produce valid, sufficient, authentic and appropriate evidence that meets the assessment criteria, centres should follow the guidance given in *Section 8 Assessment* of the associated qualification specification and meet the requirements from the assessment strategy given below.

Wherever possible, centres should adopt an holistic approach to assessing the units in the qualification. This gives the assessment process greater rigour and minimises repetition, time and the burden of assessment on all parties involved in the process.

Unit assessment requirements

This unit must be assessed in accordance with the assessment strategy (principles) in *Annexe A* of the associated qualification specification.

Assessment decisions for learning outcomes 2, 3, 5 and 6 (competence) must be made based on evidence generated during the learner's normal work activity. Any knowledge evidence integral to these learning outcomes may be generated outside of the work environment, but the final assessment decision must be within the real work environment. Simulation cannot be used as an assessment method for learning outcomes 2, 3, 5 and 6.

Assessment of learning outcomes 1 and 4 (knowledge) may take place in or outside of a real work environment.