

Assessments Benchmarking Club 2017

Welcome to the CIPFA Financial Assessments Benchmarking exercise 2017

Please complete this form and return it by **Friday 8th September 2017**.

If you have any questions please contact Rolake Odebunmi on 0207 543 5849 or email Rolake.Odebunmi@cipfa.org.

You can also email benchmarking@cipfa.org.

CONTACT DETAILS

Please contact the Benchmarking team if incorrect:

Name of Authority:	0
Named Contact:	0
Title/Department:	0
Telephone Number:	0
Email Address:	0

NOTES

This workbook contains five sheets:

- | | |
|--------------------------|--|
| - Contact Details | This sheet |
| - Guidance | This sheet provides guidance and definitions for the questionnaire |
| - Questionnaire | The questionnaire |
| - Costing | The costing spreadsheet |
| - Submission | The validation and submission sheet |

Please click on the tabs at the bottom of the window to navigate between the sheets

TIMETABLE

- | | |
|----------------------------------|---------------------------|
| • Questionnaire Released: | 28th July 2017 |
| • Questionnaire Deadline: | 8th September 2017 |
| • Draft Reports Issued: | 13th October 2017 |
| • Comparator Request Emailed: | 27th October 2017 |
| • Comparator Request Deadline: | 3rd November 2017 |
| • Amendments Deadline: | 3rd November 2017 |
| • Final Reports Issued: | 10th November 2017 |
| • Additional Feedback Released: | 1st December 2017 |

Assessments Benchmarking Club 2017

Guidance

IMPORTANT GENERAL GUIDANCE

Throughout this questionnaire, please do not leave blank any box that requires numeric data:

- if figures are unavailable, please enter "na"
- only enter zero if this is the true figure or if the figure is too small to be material
- do not enter other symbols such as "-", as these are ambiguous
- if your answer is "0", please overwrite "." with "0"
- to avoid ambiguity, we have already entered "na" in some cells, so we will assume your answer is missing unless you enter a figure, or 0.

If you do not have figures for the exact categories on the questionnaire, you should make an attempt to estimate the split, as we cannot use figures that are bracketed together and cut across two or more boxes.

Our aim is to produce Benchmarks that are reasonably accurate, but they cannot possibly be precise to the nearest penny. Therefore, members should bear in mind that we are looking for their best estimates throughout the questionnaire, and they should not spend unreasonable amounts of time and effort on obtaining absolutely precise figures.

General points on entering data into the questionnaire:

- In the questionnaire you are only able to enter data into the entry cells
- Pressing the tab key will move you between the entry cells
- Some cells contain formulae, these can be overwritten if, for example, you don't have the breakdown for a total.
- Please be careful that you are entering the figures in the right units.
 - £** - Indicates the figure should be in pounds, e.g. 56 for £56
 - £'000** - Indicates the figure should be in thousands, e.g. 56 for £56,000
 - £'m** - Indicates the figure should be in millions, e.g. 56 for £56,000,000
- Text questions: You may enter more text than can be displayed on screen.
- Drop-down lists: Appear when you select/activate a cell displaying "---please select---". You will then be able to select the appropriate response from the list. Also, if the response you want to give is not listed you can simply type in a different option and this will be entered into the cell.

DEFINITION OF FINANCIAL ASSESSMENTS FUNCTION

For the purposes of this benchmarking exercise we define "Financial Assessments" as the process of gathering information and calculating the service user's contribution, together with a welfare benefits check and assistance with claims, irrespective of the number of visits required to complete the process.

We divide the Financial Assessments function into four distinct stages, defined as follows:

- 1. Gathering Financial Information:** all work up to the point where the required information is available for input into the calculation of charge process.
- 2. Calculating the Charge:** all work from receipt of the required information through to notification of the charge to the client. This includes calculation of both maximum and actual charges.
- 3. Welfare Benefit Check:** this **excludes** appeals to the Independent Tribunals Service (ITS).
- 4. Collection:** all work from invoicing through to the point where the income is either collected, handed over to debt recovery or written off.

Exclude time & costs associated with:

- Formulating policy on charging.
- Non-Financial Assessments staff involvement in resolution of disputes and discretionary powers.
- Assessments for any services other than social services or Supporting People.
- Appointee ships.
- Appeals to tribunals.

Include time & costs associated with:

- Resolution of disputes and discretionary powers, to the extent that this is handled by Financial Assessment staff.
- Supporting People Assessments where these are carried out within your Financial Assessments section.
- Supervision and support staff within the main Financial Assessments section.

Basis of Costing

This benchmarking exercise simply focuses on direct staff costs including the direct involvement of Social Workers etc, but not including central support services such as Invoicing or Debt Collection, or any involvement of senior management in either Financial or Social Services.

The staff costs shown must include best estimates of the costs of non-Financial Assessment staff who are directly involved in the Financial Assessments function as defined, notably:

- Social Worker time spent gathering financial information.
- Welfare Rights Specialists time spent on benefit checks.

They should not include staff time spent on central services such as Cashiers, Debtors or Legal.

Do not include the costs of specialised IT or training staff here. For this exercise we only want the cost of those undertaking assessment work as defined by us (see above), and their immediate supervisors. For more senior members of staff we advise members to charge roughly the proportion of their time (if any) attributed to the four stages of the assessment process as advised above.

Joint teams: where you have joint teams e.g. with the DWP, you should only include the cost and FTE count of staff that work on financial assessments and are employed by you.

1. GENERAL INFORMATION

(a) Service Structure

SSA = Shared Service Arrangement

2. WORKLOAD

(a) Numbers Receiving Service

Residential care: the number of supported residents using the latest SALT return (formerly ASC-CAR).

Include the sum of all columns and rows from table 1a and 1b for residential care

Non-residential care: the number of individuals receiving relevant non-residential care for which Fairer Charging could apply using the latest SALT return (formerly RAP).

Include the sum of all columns and rows for Community Care

(b) Numbers of Assessments

New assessments: first assessments on referral (new admissions) and new recipients of non-residential services. Do not count multiple assessments for residential care e.g. withdrawal of AA after 4 weeks or recalculation after 12 week property disregard or revisits if information is awaited. Assessments resulting in non take-up of the service e.g. as a result of death, should be included here.

Re-assessments: include annual re-assessments usually carried out in April for benefit uprating, plus any additional assessments carried out through the year as a result of occupational pension/capital changes or at request of service user. Annual re-assessments should be counted even when these are mainly automatic (without sending forms to users or visits). Do not count every episode of respite care during a year when the first assessment is used; or adjustments to charges for non-residential care when the quantity of service varies.

(c) Income

Income: the total debit charged during the year to the service users referred to in Table 2(a) - best estimate in the case of 2016/17 . Include income invoiced by providers under set payments arrangements, also income due from deferred payments schemes.

3. STAFFING AND STAFF COSTS 2016/17

(a) & (b) Staff By Type and Activity (only for Financial Assessment functions)

These cells will be completed automatically by filling out the costing spreadsheet included in this file.

For full details of staffing definitions please refer to page 2 of the costing spreadsheet.

Other staff undertaking assessments e.g. Social Worker, Welfare Rights Specialist etc. - please give the best estimate of how much it costs.

(c) Staff Grading

2016/17 salaries including local weighting, but excluding overtime, car allowances, and without adding NI & superannuation

4. CHARGING POLICY

(b) Details of Charges

Please give details of your standard charges where you have them. If you have several variable amounts that you consider as standard for a service, please give the lowest charge.

Where you do not have a standard charge as such, please use the amount that service users would pay if they were not entitled to any reductions. If your standard charge is zero, please overwrite the "na" with a "0".

Hourly charge for home care: the amount charged for standard service, not the cost.

Maximum weekly charge: the upper limit (if you have one) to the amount you would charge any service user with the necessary means and level of service.

(c) Maximum Weekly Charges

Only include Fairer Charging clients.

(d) Disability Related Expenditure 2016/17

DRE: standard allowance should be included in the cost of DREs.

5. METHOD OF PAYMENT

(b) Method of Collection

Cash on delivery: service users have to pay at the time the service is delivered.

Online: via authority's own website

(c) Direct Debit

Only include those service users on direct debit. Exclude any appointee or guardianships.

6. PERFORMANCE MEASURES

Time To Complete Assessments

Start point: if your staff are responsible for collecting the information required to perform a financial assessment, the process commences when a referral arrives in your department. If this responsibility lies elsewhere e.g. with Social Workers, then the start point is when a form (complete or incomplete) arrives in your department.

Completion date: date of written or verbal notification of the charge, whichever is the sooner.

Days: working days only.

7. DEBT/INCOME RECOVERY

(a) Collection Information

Value of Charges Assessed: this figure should be similar to that provided in section 2(c), and should include income assessed where not actually invoiced.

Amount Collected in 2016/17: include income collected by providers.

COSTING SPREADSHEET

- **Please read the notes below explaining how this spreadsheet works.**
- Staff whose time is allocated exactly the same can all be entered in a single row (show their total FTE & average cost in £).
- Staff such as the manager, or general admin assistants, whose time splits pro-rata to everyone else can be entered in the bottom row of the main block.
- You can insert any number of new rows in the main block.
- Please read note below regarding clerical support.
- Please use your judgment about the allocation of work that we may not have properly covered - and please make a note of this in the comments box on page 1 of the main questionnaire.

Financial Assessment Staff

2016/17 Actuals

Financial Assessment Staff			Gathering info												Calculating		Bens check		Collecting	
<u>16/17 Actuals</u>	FTE	Average cost/FTE	New ass'ts		Re-ass'ts															
Post			Res	Non	Res	Non	Res	Non	Res	Non	Res	Non	Res	Non	Res	Non	Res	Non		
Mgt & Gen Support*																				
Sub-Total	0.00	£0.0	The post sub-total is displayed in £'000s																	

Error checks

[illegible]

Grand Totals

[illegible]

	Assessments					New Ass'ts	
Workload (as tables 2a and 2b)
Calculated unit cost

NOTES

In the first column of the first table (Post), you enter the post of the staff that you are showing in that row.

In the second column (FTE), you enter the number of FTEs in that post.

In the third column (Average cost/FTE), you enter the average staff cost per FTE. Please give in £ and not £'000.

In the remaining columns, please estimate the % of staff time attributable to the various activities. The % for each row should total to 100%.

The white cells within the table contain formulae to work out totals and convert % to FTEs and costs.

Please do not touch these white cells, as the costing and FTE information is carried forward to Tables 3(a) and 3(b) within the main questionnaire.

The calculated unit cost figures above are calculated by taking the total costs (the last line of the above table) and dividing by either the relevant number of assessments or the relevant numbers receiving service.

FTE staff: for 2016/17.

Staff cost: gross pay + NI + Superannuation only. Do not include car allowances.

Include the cost of agency staff where applicable.

Other staff: only include non-assessments staff as a proportion of an FTE based on the amount of time they spend working on assessments i.e. for a social worker that spends 50% of their time on assessments, treat as 0.5 FTE and allocate 100% of their time to the relevant columns.

Social Workers: we suggest you estimate the involvement of social workers based on a realistic estimate of the average time they should spend per individual assessment (e.g. 30 minutes), applied to the total number of assessments that they are involved in. In estimating this time, only count the incremental time involved, i.e. how much extra time they spend with the client when they have to gather financial information. The resulting time can be converted to the number of FTE's based on a total of say 1,200 productive hours per FTE.

Clerical support: should be allocated pro-rata to the activities that it supports, e.g. gathering information. It should not be assigned to the other services column. Time lost due to sickness, training etc, should also be included in this manner.

Assessments Benchmarking Club 2017

IMPORTANT GENERAL GUIDANCE

Please do not enter any comments or data outside the cells provided or within the return e-mail, as these are processed automatically and your comment will not be seen. If you wish to make any comments, please enter these in the boxes below. **Change of contact details should be emailed separately to Benchmarking@cipfa.org**

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Throughout the questionnaire, you can link to the associated definitions and guidance by clicking on 'Click here for guidance' in the top right corner of each section. To return to the questionnaire please click on the 'Questionnaire' tab at the bottom of the window.

COMMENTS

Please include here thoughts regarding difficulties completing the questionnaire or other general points about your service that you feel would be of interest to other members. Please **do not** use these cells to update contact information. Email any such amendments to us at benchmarking@cipfa.org

1. GENERAL INFORMATION

Service Structure

[Click here for guidance](#)

To what extent is your Assessments service outsourced to a SSA or private company?

Not Outsourced

If any of your Financial Assessments function is outsourced which of the following best describes the structure?

-- Please Select --

Please describe the structure. (e.g. Partners etc.)

Have you changed or are planning to change your service structure? Please give details if you have moved from outsourcing to in-house, or are planning to outsource your service?

Do you provide a Financial Assessment Service for other local authorities?

☐ Yes

☐ No

If yes, please give details here.

Is your authority a member of NAFAO?

☐ Yes

☐ No

Is your authority a member of any other organisation(s) e.g. APAD?

☐ Yes

☐ No

If yes, please list here.

Where are your Financial Assessments staff located?

--Select--

Where is the Debt Recovery team located?

--Select--

Where is the Direct Payments team located?

--Select--

* Please give details of other

2. WORKLOAD

(a) Numbers Receiving Service

[Click here for guidance](#)

	2016/17 Actual
Residential care	..
Non-residential care	..

(b) Number of Assessments

[Click here for guidance](#)

		2016/17 Actual	2017/18 Estimate
New assessments	- Residential
	- Non-residential
Re-assessments	- Residential
	- Non-residential
Total		0	0

(c) Income

[Click here for guidance](#)

This should match figures in 7(a).

	2016/17 (£'000)	2017/18 (£'000)
Residential
Non-residential

3. STAFFING AND STAFF COSTS (2016/17 Actuals)

(a) by Type of Staff

[Click here for guidance](#)

This table will be completed automatically by filling out the 'Costing' spreadsheet included with this file.

	FTE staff	Staff cost (£'000)
Total staff analysed	0.00	0 k
Less: charged to other activities	0.00	0 k
Charged to Assessments	0.00	0 k
<u>Other staff undertaking Assessments (estimated cost)</u>	0.00	0 k
Total	0.00	0 k

(b) by Activity

[Click here for guidance](#)

This table will be completed automatically by filling out the 'Costing' spreadsheet included with this file.

Gathering financial information

		FTE staff	Staff cost (£'000)
New assessments	Residential	0.00	0 k
	Non-residential	0.00	0 k
Re-assessments	Residential	0.00	0 k
	Non-residential	0.00	0 k
Calculating charges	Residential	0.00	0 k
	Non-residential	0.00	0 k
Welfare benefits check	Residential	0.00	0 k
	Non-residential	0.00	0 k
Collection of income	Residential	0.00	0 k
	Non-residential	0.00	0 k
Assessment total		0.00	0 k

Memo: Gathering Information

FTE time spent on gathering financial information (from above)
Of which, visiting officers only (FTE)

Residential	Non-residential
0.00	0.00
..	..

(c) Staff Grading

[Click here for guidance](#)

	Total FTE staff
Under £20,000	0.00
£20 - £25,000	0.00
£25 - £30,000	0.00
£30 - £35,000	0.00
Over £35,000	0.00
Total	0.00

Are you willing to share staff structure charts/job descriptions with other club members?

☐ Yes ☐ No

4. CHARGING POLICY

(a) Calculation of Charges

Using the drop-down menus please indicate how charges are calculated for the following services.

Respite care

--Please Select--

Carers services

--Please Select--

If more than one carer is required in order to deliver a service, do you charge for that second carer?

☐ Yes

☐ No

Please provide us with a web link to your official charging policy for non-residential care:

..

When do you start charging for non-residential care?

--Please Select--

*Please describe other:

..

For respite care, if you charge a flat rate do you have a different policy for various age groups?

☐ Yes

☐ No

If yes, please explain briefly below:

..

If you adjust for actuals please state the frequency of adjustment.

--Please Select--

What is your non-residential upper capital threshold?

£'000

..

(b) Details of Charges (Non-residential)

[Click here for guidance](#)

	2016/17 (£)	2017/18 (£)
Hourly charge for home care	<input type="text" value=".."/>	<input type="text" value=".."/>
Charge for day services (per day)	<input type="text" value=".."/>	<input type="text" value=".."/>
Transport to day services (per return trip)	<input type="text" value=".."/>	<input type="text" value=".."/>
Charge for meals in day services (per meal)	<input type="text" value=".."/>	<input type="text" value=".."/>
Charge for community/meals on wheels (per meal)	<input type="text" value=".."/>	<input type="text" value=".."/>
Community alarms	<input type="text" value=".."/>	<input type="text" value=".."/>
% Disposable income taken into account for contribution assessment		<input type="text" value=".."/>
Do you have a maximum weekly charge?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, what is your maximum weekly charge?		<input type="text" value=".."/> (£)
Do you charge for Shared Lives (Adult Placement)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, briefly describe how you calculate the actual charge.		
<input type="text" value=".."/>		
If you charge for services for carers, has this charge had any impact on the number of carers?		
<input type="text" value=".."/>		
Do you charge an arrangement fee?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, how much? <input type="text" value=".."/> (£) (please provide as a weekly average)

(c) Assessed to Pay[Click here for guidance](#)

Please base below figures on any snapshot week during the year.

Proportion of service users **assessed** to pay:

100% of maximum charge
75-99% of maximum charge
50-74% of maximum charge
25-49% of maximum charge
< 25% of maximum charge
No charge

Total

Res
%

..
..
..
..
..
..
0.0%

-100.0%

Non-Res
%

..
..
..
..
..
..
0.0%

-100.0%

Proportion of service users that **actually** pay:

£1,000+
£500-£999
£300-£499
£200-£299
£150-£199
£100-£149
£50-£99
£25-£49
£10-£24
< £10
No charge

Total

%

..
..
..
..
..
..
..
..
..
..
..
0.0%

-100.0%

%

..
..
..
..
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..
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..
..
0.0%

-100.0%

(d) Disability Related Expenditure 2016/17[Click here for guidance](#)

Do you assess for DRE, or provide a standard allowance to all users?

--Please Select--

If standard allowance, how much is it?

(£ per week)

..

Total annual DRE allowance

£'000

..

Numbers actually receiving DRE

Number

Avg DRE per receiver

..

na

Number of non-residential service users financially assessed

Number

Avg DRE per user

..

na

(e) AA/DLA/PIP

Do you include AA/DLA/PIP at the higher rate where applicable in assessments?

☐ Yes

☐ No

5. METHOD OF PAYMENT

(a) Responsibility

Do you collect charges directly or contract for the service provider to collect on your behalf?

Residential care

--Please Select--

Home care/Home support

--Please Select--

Day services

--Please Select--

Meals on wheels

--Please Select--

Direct Payments

--Please Select--

Community Care alarm

--Please Select--

(b) Method of Collection

[Click here for guidance](#)

Where direct collection is indicated above, which of the following payment methods are offered to service users?

tick any boxes that apply

Cash on
delivery

Cash/
Cheque

Invoice +
payment
card

Debit /
credit
card

Standing
order

Direct
Debit

Online

*Other
e.g.
PayPal

All Services

☐
☐
☐
☐
☐
☐
☐
☐

*If you have ticked other above please give details here.

..

Please describe any recent initiatives that have been used to increase the income collected. How successful have they been?

..

(c) Direct Debit

Please use a snapshot figure to give (i) the percentage of paying service users and (ii) the percentage by value that pay by Direct Debit.

Residential care

% of paying
service users

% by value

Non-residential care

..

..

..

..

Please describe any recent initiatives/campaigns that have been used to increase the take-up of Direct Debit. How successful have they been?

..

Do you have paperless Direct Debits (AUDDIS) in place?

☐ Yes

☐ No

Do you have a variable Direct Debit facility in place?

☐ Yes

☐ No

Do you offer an incentive for paying by Direct Debit?

☐ Yes

☐ No

If yes, please describe the incentive below.

..

6. PERFORMANCE MEASURES

Time To Complete Assessments		Click here for guidance	
<u>Are your staff responsible for collecting the information required to perform a financial assessment?</u> (i.e. the process commences when the referral arrives in your department)		<input type="checkbox"/> Yes <input type="checkbox"/> No	
% of assessments that take:		Residential	Non-residential
5 days or less	
6 to 10 days	
11 to 15 days	
16 to 21 days	
22 to 28 days	
More than 28 days	
Total		0.0%	0.0%
		-100.0%	-100.0%
In your authority, who is responsible for collecting the information required to perform a financial assessment?			
Financial Assessments Staff		<input type="checkbox"/>	<input type="checkbox"/>
Social Workers or other department		<input type="checkbox"/>	<input type="checkbox"/>
Outsourced		<input type="checkbox"/>	<input type="checkbox"/>
Have you implemented/are considering implementing anything to speed up the assessments process?			
..			
How long does it take for the user to receive the bill once the assessment is completed?		Days	
		..	
		Residential £'000	Non-residential £'000
Total amount billed for care	
Total cost for care	
Billed cost as a percentage of total cost	

7. DEBT/INCOME RECOVERY

(a) Collection Information		Click here for guidance	
		Residential £'000	Non-residential £'000
Debt brought forward at 01/04/16	
+ Value of charges assessed in 2016/17 (from 2(c))	
- Amount collected in 2016/17	
- Amount written-off in 2016/17	
= Debt out-standing 31/03/17		0 k	0 k
Bad debt service provision against out-standing debt	

(b) Property Information

	Residential £'000	Non-residential £'000
Income secured on property included above	<input type="text" value=".."/>	<input type="text" value=".."/>
Income secured on property not included above	<input type="text" value=".."/>	<input type="text" value=".."/>
	Number	Number
Number of properties on which income secured	<input type="text" value=".."/>	<input type="text" value=".."/>
		Number
How many Deferred Payment Arrangements do you currently have?		<input type="text" value=".."/>
If you have a discretionary scheme, please provide details.		
<input type="text" value=".."/>		
Do you charge an administration fee for your Deferred Payment Arrangements?		
		<input type="text" value="--Please Select--"/>
If yes, how much do you charge?		(£) <input type="text" value=".."/>
Please give details of your admin fee. (i.e. flat rate, percentage). Please also provide information on what is included in your administration fee. (e.g. legal, land registry costs etc.)		
<input type="text" value=".."/>		
Is admin fee a one-off, ongoing/compound, or both?		<input type="text" value="--Please Select--"/>
Please provide details of how DPAs are set up and monitored (e.g. Legal involvement, dedicated teams, outsourced)		
<input type="text" value=".."/>		
Who undertakes valuations for DPAs?		<input type="text" value="--Please Select--"/>
Do you complete a land registry search for all clients in residential care?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you offer voluntary charges against properties?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
		Number
Total number of legal charges secured through DPAs		<input type="text" value=".."/>
Number of new legal charges set up this year through DPAs		<input type="text" value=".."/>
Total number of legal charges secured through HASSASSA		<input type="text" value=".."/>
Please briefly describe how the interest rate on secured debt is calculated e.g. RPI + X etc.		
<input type="text" value=".."/>		
Following the death of a service user, how long do you wait before you take action to recover the outstanding debt? Briefly describe what action you would take.		
<input type="text" value=".."/>		

(c) Recovery Action

	Total claims Number	Of which; Small Claims
Number of claims to court in last 12 months	<input type="text" value=".."/>	<input type="text" value=".."/>
of which; successful	<input type="text" value=".."/>	<input type="text" value=".."/>

Please describe your process for collecting overdue debt. (e.g. use of reminders, in section-legal team, external collection agents etc.)

What action do you take to combat misuse of Direct Payments? E.g. Legal action

8. PERSONAL BUDGETS

(a) Personal Budgets

	%
Of the gross chargeable personal budget, what % is taken into consideration when calculating the charge?	<input type="text" value=".."/>

Accounts in place as of 31/03/17

	Number
Direct payments only (cash)	<input type="text" value=".."/>
Commissioned only by local authority	<input type="text" value=".."/>
Both/combined/mixed	<input type="text" value=".."/>
Total	<input type="text" value="0"/>

Total direct payments accounts (from above)

Of which;

	Number
Paid direct to service user	<input type="text" value=".."/>
Paid to family member/individual supporter	<input type="text" value=".."/>
Paid to support organisation	<input type="text" value=".."/>

How do service users with individual budgets receive their allowances in your authority?	<input type="text" value="--Select--"/>
--	---

Please provide details of what employment advice you offer clients who employ carers.

(b) Expenditure Monitoring Arrangements

By what method(s) do you monitor expenditure?

Visits to service users

☐ Yes

☐ No

Service user submitting returns

☐ Yes

☐ No

Part of Care Review

☐ Yes

☐ No

Random sample

☐ Yes

☐ No

Prepaid Card Statements

☐ Yes

☐ No

No monitoring

☐ Yes

☐ No

Phone/Writing

☐ Yes

☐ No

By what frequency do you monitor expenditure?

Weekly

☐ Yes

☐ No

Monthly

☐ Yes

☐ No

Quarterly

☐ Yes

☐ No

Bi-annually

☐ Yes

☐ No

Annually

☐ Yes

☐ No

No monitoring

☐ Yes

☐ No

Criteria for setting frequency? E.g. based on risk assessment, client group etc.

..

What triggers a breach in agreement?

..

What action do you take?

..

9. CONTRIBUTION FOR PERSONAL BUDGETS

During 2016-17

Total individuals on commission services

Number

of which individuals are making a contribution to their personal budget

Total individuals on direct payments

of which individuals are making a contribution to their personal budget

Where a personal budget package is made up of items assessable under Residential and Non-residential charging policies, how are charges calculated and applied?

..

How do you collect the contribution? Please check all that apply.

Automated System - Direct Debit

☐

Cash

☐

Invoicing

☐

Local Charging System

☐

Swipe Card

☐

Care Provider

☐

other - specify

☐

other - specify

☐

other - specify

☐

..

..

..

Does your authority administer personal budgets for individuals assessed to contribute the full cost of their service?

{ Select }

If yes what percentage does your authority administer personal budgets for individuals assessed to contribute the full cost of their service

%

..

Are there any exclusions?

Equipment

☐ Yes

☐ No

Minor Adaptations

☐ Yes

☐ No

Enablement

☐ Yes

☐ No

Telecare

☐ Yes

☐ No

Meals

☐ Yes

☐ No

Transport

☐ Yes

☐ No

other - specify

..

..

..

other - specify

☐ Yes

☐ No

other - specify

☐ Yes

☐ No

☐ Yes

☐ No

Do you have a maximum charge for clients on a personal budget?

☐ Yes

☐ No

10. PAYMENT CARDS

Are you delivering any direct payments via payment cards?

{ Select }

If yes, please briefly outline your experiences.

..

What percentage of direct payments are via Payment Cards for New Clients?

..

What percentage of direct payments are via Payment Cards for Existing Clients?

..

11. ASSESSMENTS PROCEDURES

(a) First Assessments

How are first assessments conducted in your authority? Please check all that apply.

Visits

Residential
☐

Non-residential

☐

Paper

☐

☐

Telephone

☐

☐

Online (self-assessment)

☐

☐

What proportion of first assessments involve a visit?

Residential %

..

Non-res %

..

Do you have a ready reckoner and do you offer online assessments? How successful do you find these?

..

If you conduct online or phone assessments, how do you validate the data?

..

(b) Re-assessments

How are re-assessments conducted in your authority? Please check all that apply.

	Residential	Non-residential
Visits	<input type="checkbox"/>	<input type="checkbox"/>
Paper	<input type="checkbox"/>	<input type="checkbox"/>
Automatic % increase	<input type="checkbox"/>	<input type="checkbox"/>
Telephone	<input type="checkbox"/>	<input type="checkbox"/>
Online	<input type="checkbox"/>	<input type="checkbox"/>

If you have differing re-assessments policies for different service types, please give details here.

..

Automatic Assessments

What IT system do you use for automatic assessments?

..

How long does the automatic assessment process take?

..

What measures are in place to ensure the accuracy of Financial Assessment functions/claims?
(e.g. Statistical sampling)

..

EXAMPLE QUESTIONNAIRE

12. WELFARE BENEFITS UPTAKE

Number of applications/claims processed and successful for various benefits in 2016/17

Do assessments staff complete the claim applications and/or signpost to elsewhere?

--Please Select--

Do you have a dedicated Welfare Rights Team?

☐ Yes

☐ No

	Number of claims entered	Of which; Successful	Ongoing weekly value of successful claims (£000)
Pensions Credits
AA Claims
Income related / Income support
DLA/PIP Claims
HB
CTR
ESA
Other
Total	0	0	0 k

If you have completed any of the 'other' boxes above, please give details here.

..

Please describe any initiatives you have to ensure successful claims are maximised.

..

13. IT INFORMATION

Software Information

Please state which software you use for:

	Residential	Non-residential
Calculating assessments	--Please Select--	--Please Select--
General Ledger/Corporate Finance	--Please Select--	--Please Select--

Do you have an interface between the Assessments system and General Ledger?

☐ Yes ☐ No

Do you use an electronic home care monitoring system to drive payments to providers?

☐ Yes ☐ No

Online Assessments:

If you have online assessments in place, are you using an extension to the existing assessments system or a different system?

--Please Select--

If you use a different system, please state:

..

Mobile Assessments:

Do you have electronic mobile working in place?

☐ Yes ☐ No

If yes - which software system do you use?

..

If yes - is mobile working paperless?

☐ Yes ☐ No

Please describe briefly the hardware/technology used for mobile working e.g. laptops, tablets etc

..

Do you operate a pre-paid card system?

☐ Yes ☐ No

If yes - which intermediary provides the card?

..

- which software platform do you use?

..

Please describe briefly how you use pre-paid cards?

..

Are you planning/have you recently changed IT software provider?

..

14. EMERGING ISSUES/PROCEDURES

Comments

Please describe any initiatives you have to maximise income.

..

Please provide details of any information you would like to see collected, or any changes you would like to make to the questionnaire.

..

Please describe/provide details on your Reviews and Appeals procedures.

..

Please describe/provide details on your Deferred Payment Arrangements.

..

EXAMPLE QUESTIONNAIRE

VALIDATION & SUBMISSION

VALIDATION STATUS

Self Validation

Members are advised to look over their figures before submitting. The responsibility for providing consistent data lies with the authority completing the submission. Identifying problems and fixing them early will reduce the need for unnecessary work at a later point.

Current Validation Status:

Please check validation overview below

There appear to be a few problems with your data.

SUBMISSION & CONTACT DETAILS

If you have any problems at any stage of the process, please do not hesitate to contact us:

Rolake Odebunmi

Data Analyst

T: 0207 543 5849

E: rolake.odebunmi@cipfa.org

Benchmarking Team

T: 0207 543 5600

E: benchmarking@cipfa.org

VALIDATION OVERVIEW

- Have key fields been completed?
- Are implied figures sensible?

No

No

VALIDATION CHECKS

Have key fields been completed?

Question 2(a):	2016/17 Total Service Users	No
Question 2(b):	2017/18 Total Assessments	No
Question 3(a):	2016/17 FTE Staff	No
Question 3(a):	2016/17 Total Cost	No

Are implied figures sensible?

Staff Cost

In Question 3(b), we collect the number of staff (FTE) and the staff cost. From this we can calculate cost per FTE, which will be similar to the average salary.

Figures under £20,000 per year, or over £45,000 will not pass the check.

Total Assessments Staff

✓ Yes

VALIDATION CHECKS

If there are validation checks that you cannot pass for a valid reason please explain in the box below. For example, if you had a very highly qualified member of staff in your team you might exceed the limit set.