Formulate Practitioner Reference Pack

V4 Continuing Care

Classification: Restricted

Contents

1. What is Formulate?

Formulate is a tool to help you calculate an Estimated Budget for a child or young person who is eligible for continuing care. It has been designed to be fair, accurate and consistent.

Formulate is based on completion of a 'Needs Profile' form, meaning it helps eliminates variation in provision for individuals with the same needs – and ensures that the people you work with get a fair allocation compared to others with similar needs and situation.

The purpose of the Estimated Budget is to provide a starting point for the care and support planning process. The figure provides a framework to enable choice, control and person-centred care within a sustainable financial envelope. This helps move the conversation away from more traditional service or provision-led thinking.

Benefits for practitioners

- Clarity in understanding the money available for care and support planning.
- Confidence in decision making through the use of a robust, evidence-based tool.
- Free to focus on the person rather than the money.

Benefits for children and young people with continuing care needs and their families

- Clarity in understanding the money available for care and support planning.
- Empowered to exercise choice and control - allows for greater creativity.
- Assurance that allocation is fair and driven by needs and outcomes - rather than decisions on cost.

Benefits for Integrated Care Boards

- Supports financial and budgetary planning and control – helping to inform future commissioning arrangements.
- Benchmarking of the configuration decisions and financial rates against other areas using the same tool.
- Delegated decision making – potential to reduce moderation/panels.

2. Where does Formulate fit into the process?

Once the continuing care assessment process has been completed and a child or young person has been found eligible, the 'Needs Profile' would be completed. The Needs Profile contains the questions which are used by Formulate to calculate an Estimated Budget. The questions should be completed based on the narrative information recorded in the Decision Support Tool (and any other relevant assessment documents completed during the assessment process).

During the process where a child or young person's needs are discussed, you should usually have explored all relevant strengths (including everything the child/young person and their family can sustainably manage themselves) – and looked for any available community resources or support networks. This should take place prior to completing the Needs Profile – so the Needs Profile is about the remaining needs.

3.   How does Formulate work?

The Needs Profile captures information about the 'additional needs' of the child or young person, the impact of various factors in sustaining the caring situation, and how much ongoing support the parent(s)/carer(s) are able to provide to meet the child or young person's additional needs.

This information is captured in a measurable way – sometimes called 'scores' (although the 'score' is just referring to the level of need you've chosen – there aren't any points sitting behind them!)

There are several main steps involved in how the Formulate algorithm calculates an Estimated Budget. These are set out below. Within each step, the estimated sum of money is calculated by referencing the local rates and configuration decisions set by the ICB in their Formulate 'Configuration Template' – such as the cost of an hour of personal care locally.

3.1. Step one – Self-care

If additional needs related to self-care tasks are identified for the child or young person in the Needs Profile, and parent(s) or carer(s) are not able to fully meet the additional needs, Formulate will allocate an estimated sum of money for this area.

The following parts of the Needs Profile are used during this part of the calculation:

- How often support is needed with self-care tasks per day

- Usual length of time needed to support with self-care tasks

- Self-care areas where more than an age-appropriate level of support is needed to maintain or develop independence (including getting up and ready for the day, eating and drinking, washing whole body, using the toilet and managing continence, and getting ready for bed)

- Support needed with staying comfortable and repositioning, and any impact of weight, frame, balance or strength on mobility

- Any self-care areas where support from two or more adults is needed

- Impact of any behaviour which causes worry, upset, concern or harm

- Number of mornings, daytimes and evenings each week that parent(s) or unpaid carer(s) can meet self-care and/or health needs in the term-time and in the holidays

- Daytimes where support may be provided by an education setting (either full-time or part-time)

There are some important points to note, as follows:

- The Formulate calculation will not simply allocate hours for each individual area of need and add them up. The number of hours allocated is based on the full picture of the child or young person's additional needs across all of the above areas.

- An estimated allocation is only given for times during the week where it is recorded that parent(s) or carer(s) cannot meet self-care needs every day.

For children or young people in full-time education, Formulate will not normally include self-care allocations for weekday daytimes during term-time.

3.2. Step two – Short breaks and social activities

If the Needs Profile identifies that parent(s) or carer(s) would benefit from daytime short breaks through social care, Formulate may make an estimated allocation for this, depending on the answers within the 'Sustainability of parenting or caring role' section. This is because the Estimated Budget for continuing care is designed to include all support needed for health **and** social care areas of need.

The following areas of the Needs Profile are used during this part of the calculation:

- Whether parent(s) or unpaid carer(s) would benefit from daytime short breaks through social care to help them manage

- Whether parent(s) or unpaid carer(s) already receive support from a daytime short breaks service outside of children with disabilities services

- The impact on the parent(s)' or carer(s)' ability to continue providing support beyond normal parenting and caring duties – in the term time and during the holidays. This is recorded for the following six areas:

    1. Not having sufficient support with the caring role

    2. Having other caring roles

    3. Not being able to carry out day-to-day activities due to caring role

    4. Difficulties relating to the housing situation or home environment

    5. Not getting sufficient good quality sleep

    6. Their own health issues or their understanding of the child or young person's needs

If the Needs Profile identifies that parent(s) or carer(s) are not able to support all of the child or young person's social or community activities, Formulate will make an estimated allocation based on how many activities per week require additional specialist support.

The following areas of the Needs Profile are used during this part of the calculation:

- Level of independence with participating in social, leisure, cultural and spiritual activities

- Whether parent(s) or unpaid carer(s) would benefit from the child or young person attending any activities or groups in addition to daytime short breaks

- If so, how many activities would be beneficial per week in the term-time and in the holidays

Important note: In some situations, the Needs Profile will indicate that an estimated allocation is needed for both short breaks and support with social and community activities. In this case, the greater of the two allocations will be given rather than adding them together, as the parent(s) or carer(s) would be able to take a break whilst the child or young person is supported with a social or community activity.

3.3. Step three – Overnight breaks

If the Needs Profile identifies that overnight breaks are needed or would be helpful for the family, Formulate may make an estimated allocation for this, depending on the reason for needing overnight breaks and the answers within the 'Sustainability of parenting or caring role' section.

The following areas of the Needs Profile are used during this part of the calculation:

- Whether overnight breaks would promote independence, help to sustain parenting or caring role(s), or prevent parenting or caring role(s) breaking down.
- The impact on the parent(s)' or carer(s)' ability to continue providing support beyond normal parenting and caring duties – in the term time and during the holidays – across the six areas already set out for step two above.

Important note: Local decisions within the Configuration Document may mean that overnight breaks are excluded from the scope of Formulate, or only calculated as an estimated number of nights per year without an associated budget amount. This is usually related to the availability and cost of relevant services in the local area.

3.4. Step four – Ensuring safety due to health needs

If the child or young person's additional needs mean they are not able to stay safe alone during waking hours – and parent(s)/carer(s) are not able to meet their health safety needs at all times – Formulate will make an estimated allocation for hours of support with staying safe.

The following areas of the Needs Profile are used during this part of the calculation:

- The child or young person's level of independence with staying safe during the daytime (where scored as needing someone always nearby or higher).
- The DST Level responses in the 'Health needs' section.
- The responses for support from parent(s)/carer(s) during waking hours in the term-time and holidays in the section 'Safety needs arising from health conditions – support from parent(s) or unpaid carer(s)'.

3.5. Step five – In home night support

If the child or young person's additional needs mean they need someone present all night– and parent(s)/carer(s) are not able to meet this needs every night of the week – Formulate will make an estimated allocation for in home night support.

The following areas of the Needs Profile are used during this part of the calculation:

- The child or young person's level of independence with staying safe during the night (where scored as needing someone present all night or higher).
- The impact on the parent(s)' or carer(s)' ability to continue providing support beyond normal parenting and caring duties – in the term time and during the holidays – for the area of 'Not getting sufficient good quality sleep'.
- The Yes/No response for 'Are parent(s) or unpaid carer(s) able to meet all of the child or young person's health needs every night in their home' in the section 'Safety needs arising from health conditions – support from parent(s) or unpaid carer(s)'.

3.6. Step six – Health and Social Care Contributions

An additional calculation carried out by Formulate – if your ICB has chosen to enable this – is to **suggest** how much of the total Estimated Budget should be funded by the NHS (Health) and by the local authority (Social Care) respectively – which is returned as an output of the calculation.

These proportions are calculated by looking at the allocation in each of the five areas set out above and assigning each one to either health, social care or both – as follows:

- Personal care – Assigned to social care unless the hourly rate configured for health is higher than the social care rate – in which case this area is split funded

- Short breaks and social activities – Assigned to social care

- Overnight breaks – Assigned to social care

- Daytime safety due to health needs – Assigned to health

- In home night support – Assigned to health

4. How do I complete the Needs Profile?

You will complete the Needs Profile using some online software supplied by Imosphere (the company who developed Formulate). An example of some of the questions is shown below:

The Needs Profile captures information in a measurable way – meaning that it is made up of a combination of scales and checkboxes. The narrative from the child or young person's Decision Support Tool should provide the written evidence for the responses you choose within the Needs Profile.

For each question, you need to choose the most relevant answer for the child or young person's and their family's situation. People are different and we are not trying to fit individuals into boxes – it's about which answer most closely reflects the situation – in order to generate an accurate Estimated Budget.

To help choose the most relevant answer, there are some key principles you should apply:

Key Principles - Needs

- Use the multiple choice options to identify the child or young person's additional support needs, rather than needs associated with their age.
- Reflect the 'underlying need'. Imagine the child or young person on their own without any paid or unpaid support in place.
- Any equipment or technology already in place should be taken into account.
- After following all of the above principles, if in doubt between two responses, choose the higher level.

Key Principles - Sustainability of parenting or caring role(s)

- Identify the parent(s)' or unpaid carer(s)' strengths and the impact each factor has on the caring situation.
- Reflect the impact on the caring situation as if parent(s) or unpaid carer(s) were on their own without any paid support in place.
- 'Overwhelming impact' should only be scored where there is a concern of the caring situation breaking down in this area without support.
- Consider how the impact in each area may change between term-time and non term-time.

Key Principles - Support from parent(s) or unpaid carer(s)

- Select each response based on what the parent(s) or unpaid carer(s) will provide on a 'usual' week during term time and non-term time.
- If the child or young person is managing by themselves in an area, choose 'The child or young person does not need support at this time'.
- If the child or young person is in full-time education and needs personal care support during the day, score the number of daytimes outside of the child's education that parent(s) or unpaid carer(s) can support.
- If the parent(s) or unpaid carer(s) can't offer the same level of support in the school holidays, select a response based on what they will provide on a 'usual' week during the holidays.
- If a family member or friend is employed as a personal assistant, exclude this support when recording the unpaid support the family or friends can offer.

The narrative from the child or young person's Decision Support Tool should provide the written evidence for the responses you choose within the Needs Profile.

5. What are the Formulate outputs?

The main output of the Formulate calculation is the weekly Estimated Budget figure – which will be shown first. Where you have chosen to go back and amend the Needs Profile (because you have realised something has been captured incorrectly) and then recalculate, a graph is shown so that you can see how the Estimated Budget figure has changed over the course of the calculations you have done. An example is below:
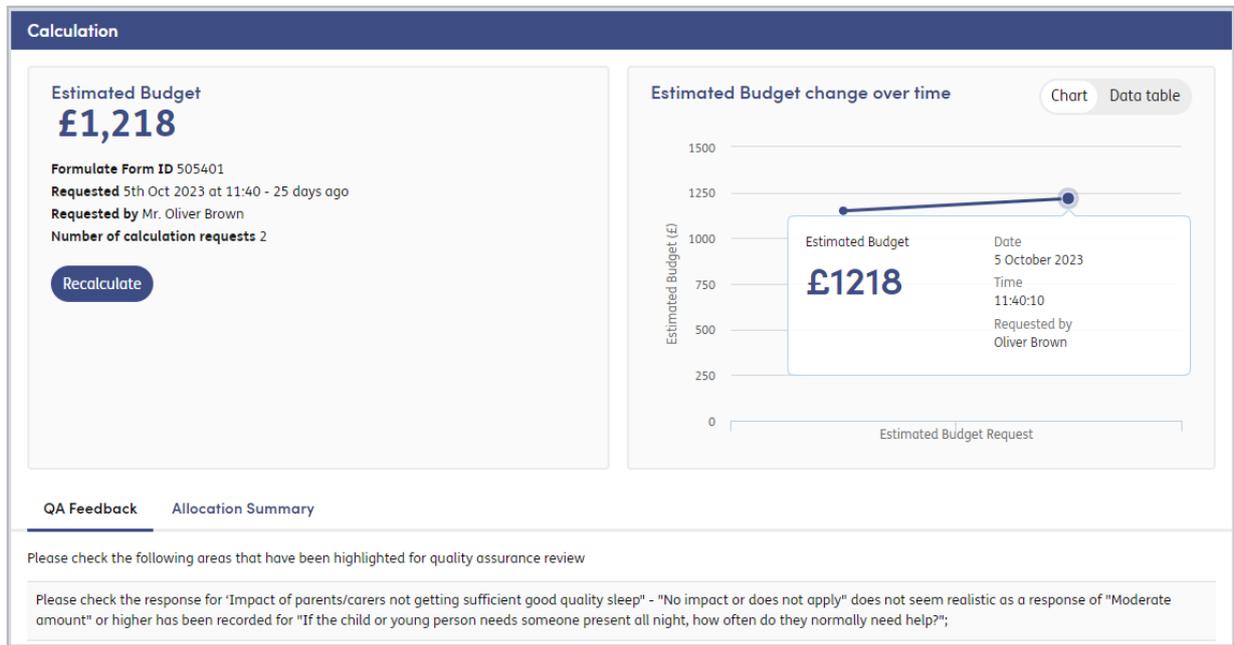
5.1. Automatic Quality Assurance

As well as the Estimated Budget figure, you may also see something called 'QA Feedback' underneath – as can be seen in the above example. This is shown where the system has picked-up potential inconsistencies or gaps in your Needs Profile answers – with these being highlighted so that you can return to the Needs Profile and check these.

The QA Feedback helps you ensure that your answers are not contradictory – which can sometimes affect the Estimated PHB calculation – for example:

- "Please check the response for 'Impact of parents/carers not getting sufficient good quality sleep" - "No impact or does not apply" does not seem realistic as a response of "Moderate amount" or higher has been recorded for "If the child or young person needs someone present all night, how often do they normally need help?"

- "Please check the response for "Do the parent(s) or carer(s) or the child or young person need overnight respite breaks?" - the response suggests overnight breaks are needed to prevent breakdown of care, however all responses in the "Sustainability of parenting or caring role(s)" section are lower than "Overwhelming impact".

Ensuring QA issues are corrected can help to reduce potential challenge later down the line.

5.2. Allocation Summary

On the calculation screen, you will also an 'Allocation Summary' which has two sections.

Firstly, the Estimated Budget is broken down into domains so that you can see how much money has been allocated for each area of need – and how many units of care that money might be able to buy.

An example is shown below:

The following table details how this calculation is broken down	
Weekly allocation for personal care	£148.23 which could provide 12.25 hours per week. There are different needs in term time compared to holidays
Weekly allocation for social activities and/or daytime short breaks	£81.68 which could provide 6.75 hours per week. Social support/daytime short breaks needed during term time and holidays
Weekly allocation for overnight breaks away from the home	£221.52 which could provide 39 nights per year. Overnight breaks needed to prevent situation breaking down
Is Formulate using health rates due to eligibility for CC or other health support?	Yes
Allocation for ensuring safety due to health needs	£166.38 which could provide 13.75 hours per week. Support with ensuring safety due to health needs is needed
In home night support allocation	£600.00 which could provide 4 nights per week
Health and Social Care Contributions	Suggested contributions: Health £766.38; Social Care £451.42
Support in an Education Setting (not included in the Estimated Budget)	£143.69 which could provide support for 12 hours per week in an education setting, for 39 weeks of the year

- This breakdown helps to provide a framework for care and support planning, allowing a creative and flexible approach to be taken.

- These figures can also act as a way for you to cross check the information you have entered within the Needs Profile – for example if you see an allocation in a particular area which you weren't expecting, this can prompt you to go back and check your answers to questions relating to this area.

- The unit breakdown can help you where provider costs vary significantly, as they allow you to see the amount of care and support that has been estimated by Formulate – factoring-out things like hourly rates and leading to a focus on the preferred type of support and how it may meet the person's outcomes.

- This part contains two optional outputs which are only shown if chosen by your ICB locally:

  o Health and Social Care Contributions (suggested funding amounts)

  o Support in an Education Setting – a separate suggested amount which is **not** included in the main Estimated Budget figure.

Secondly, a number of 'What If' outputs may be shown – if your ICB has chosen to use this part of the system. The 'What Ifs' are a set of hypothetical outputs for the child or young person to help with decision-making and future planning – including:

  o "Estimated Budgets for Agency or Personal Assistant" shows two different Estimated Budget figures which are based on the cost of agency care and the cost of Personal Assistants respectively.

  o "Possible eligibility in Adult Social Care" sets out which Care Act domains are likely to have eligible needs for a young person approaching adulthood.

- o The "What If Transition Scenarios" provide 'ballpark' Estimated Budget figures for Adult Social Care support based on living independently (with and without unpaid support), living in Supported Living and living with a Shared Lives carer.

An example is shown below:

'What If' Scenarios - Estimated Budget for Agency or Personal Assistant	Agency Support: £1,338.95 per week; Personal Assistant Support: £1,217.79 per week
Possible eligibility for support in Adult Social Care	Based on the responses provided, it is possible that the young person may be eligible for support in the following adult social care domains: Making use of necessary facilities or services in the local community; Developing and maintaining family or other personal relationships; Accessing and engaging in work, training, education or volunteering Maintaining a habitable home environment; Managing and maintaining nutrition; Being appropriately clothed; Maintaining personal hygiene; Managing toilet needs; Being able to make use of your home safely.
'What If' Transition Scenarios - Estimated Budget for Living Independently	£1,400.00 (living independently factoring in any unpaid support); £2,950.00 (living independently disregarding any unpaid support)
'What If' Transition Scenarios - Estimated Budget for Supported Living	£1,650.00 per week (based on 4 tenants sharing support)
'What If' Transition Scenarios - Estimated Budget for Other Living Situations	Live-In Carer: £956.00 per week; Shared Lives: £475.00 per week

The 'What If' figures can be used in financial modelling, to understand the variation in cost for different accommodation and support types. They are also particularly useful with support planning for younger people in transition.

6. What if I disagree with the Estimated Budget?

It is important to remember that Formulate produces an Estimated Budget – the Actual Budget may well be different. However, there are occasions where recording issues may result in an inaccurate figure. There are some examples below of situations where the Estimated Budget doesn't look right – and some checks you can do to resolve this.

Issue	Where to check	Possible causes of the issue
The Estimated Budget is £0	Needs Profile: Self-care questions	• No needs have been scored in the 'Self-care' section. • "Are parent(s) or unpaid carer(s) able to meet all of the child or young person's identified self-care and/or health needs in an average week?" answered as "Yes". • Parent(s) or carer(s) scored as meeting self-care and/or health needs every morning, daytime and evening in both term-time and holidays.
	Needs Profile: Impact factors and social activities/short breaks questions	• Child or young person scored as not needing support in the 'Social and emotional needs' section. • Impact on the parent(s)' or carer(s)' ability to continue providing support scored too low in the 'Sustainability of parenting or caring role(s)' section. • "Would the parent(s) or unpaid carer(s) benefit from daytime short breaks through social care to help them manage?" answered as "No". • "Would the parent(s) or unpaid carer(s) benefit from the child or young person attending any activities or groups in addition to daytime short breaks?" answered as "No" or answered as "Yes" but then a number of activities not selected underneath.
	Needs Profile: Impact factors and overnight breaks away from home questions	• Impact on the parent(s)' or carer(s)' ability to continue providing support scored insufficiently high in the 'Sustainability of parenting or caring role(s)' section. • "Are overnight respite breaks needed?" at the end of the Needs Profile not scored as one of the 'Yes' options. o Also note that your ICB's configuration may mean that there is no allocation given for one or more of the "Yes" options.

Issue	Where to check	Possible causes of the issue
The Estimated Budget is £0	Needs Profile: Ensuring safety questions	• "Is the child or young person able to stay safe with only an age-appropriate level of support?" answered as "Yes" in the 'Staying safe' section. • "Staying safe during the daytime – how much support does the child or young person need?" answered as 'No support needed or support due to age only' in the 'Staying safe' section. • "Are parent(s) or unpaid carer(s) able to meet all of the child or young person's safety needs arising from their health conditions?" answered as 'Yes' in the 'Safety needs arising from health conditions – support from parent(s) or unpaid carer(s)' section. • "How often will parent(s) or unpaid carer(s) support with safety needs arising from health conditions during waking hours?' answered as '…all of the time' for both term and holidays in the 'Safety needs arising from health conditions – support from parent(s) or unpaid carer(s)' section.
	Needs Profile: In-home night support	• "Is the child or young person able to stay safe with only an age-appropriate level of support?" answered as "Yes" in the 'Staying safe' section. • "Staying safe during the night – how much support does the child or young person need?" answered as 'No support needed or support due to age only' in the 'Staying safe section'. • "If the child or young person needs someone present all night, how often do they normally need help?" answered as 'None' in the 'Staying safe' section. • The "Parent(s) or carer(s) not getting sufficient good quality sleep" impact factor scored insufficiently high in the 'Sustainability of parenting or caring role(s)' section. • "Are parent(s) or unpaid carer(s) able to meet all of the child or young person's health needs every night in their home?" answered as 'Yes – every night' in the 'Safety needs arising from health conditions – support from parent(s) or unpaid carer(s)' section.
The Estimated Budget seems too low	Needs Profile: Ongoing support from parent(s) or unpaid carer(s)	• Ensure you have completed this section to reflect what parent(s) or unpaid carer(s) are able to provide on an **ongoing** basis (particularly if the current situation is unsustainable).
	QA Feedback in Calculation Results screen	• Check if there are any QA statements shown and correct the related issues in the Needs Profile where relevant.
	Allocation Summary in Calculations Results screen	• Check if there are any domains showing £0 where you were expecting to see an allocation.
	If you are confident that you've captured the needs and situation correctly in the Needs Profile, variation may be due to local configuration – e.g.: • Things may not be included in the Estimated Budget due to your ICB's configuration decisions (e.g. overnight breaks). • Configured rates might be different to the cost of the actual care that is available.	

Issue	Where to check	Possible causes of the issue
The Estimated Budget seems too high	Needs Profile: Support from two or more adults	• Support of two ticked for tasks where this is not required.
	Needs Profile: Sustainability of parenting or caring role(s)'	• Impact on the parent(s)' or carer(s)' ability to continue providing support scored too high in one or more of the impact areas (e.g. 'Overwhelming' when 'Large' would be more accurate).
	Needs Profile: Self-care and health needs - support from parent(s) or unpaid carer(s)	• Parent(s) or unpaid carer(s) scored as providing support on fewer mornings, daytimes or evenings than they actually will be.
	Needs Profile: Daytime short break(s)	• Parent(s) or unpaid carer(s) scored as would benefit from daytime short breaks – but this is not actually intended to be part of the support they will receive. • Parent(s) or unpaid carer(s) scored as would benefit from attending more additional activities or groups than they actually need.
	Needs Profile: Safety needs arising from health conditions – support from parent(s) or unpaid carer(s)	• Parent(s) or unpaid carer(s) scored as supporting safety needs during waking hours less often than they actually will be. • Parent(s) or unpaid carer(s) scored as not providing in home night support every night when they actually will be. **Note:** The questions in this section can have a particularly large impact on the Estimated Budget.
	Needs Profile: Situation regarding overnight breaks	• Overnight respite breaks scored as needed – but this is not actually intended to be part of the support the family will receive.
	Allocation Summary in Calculations Results screen	• Check whether there are any areas with an allocation that you would not expect (for example overnight breaks).
	If you are confident that you've captured the needs and situation correctly in the Needs Profile, variation may be due to local configuration.	