Formulate Practitioner Reference Pack

V5 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 fir 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 the Formulate calculation. 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!)

When an ICB first begins to use Formulate, the tool will normally be configured to calculate:

- A total number of care and support hours per week (with a breakdown by domain of need)

- **Optionally** – A number of overnights away from the home per year (if this is something which the family needs)

You can then take the suggested number of hours per week (and overnights per year if relevant) and translate them into an Estimated Budget for the child/young person by applying relevant local care costs.

Once Formulate has been used for a period of time, there is the **option** for the ICB's local care costs (£/hour and £/night) to be configured into Formulate itself – meaning the Estimated Budget as well as the units of care/support is calculated by Formulate. Not all ICBs choose to do this – particularly if costs of care significantly vary within the region.

4 What are the steps of the Formulate calculation?

There are several main steps involved in the Formulate algorithm's calculation. These are set out below.

Within each step, a suggested amount of hours or overnights is calculated (with adjustments based on configuration decisions set by the ICB in their Formulate 'Configuration Template').

If the ICB has chosen for Formulate to calculate Estimated Budgets as well – the amount of hours or overnights will also be translated into a sum of money by referencing local care costs (£/hour and £/night) set by the ICB in their Formulate 'Configuration Template'.

4.1 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 a suggested number of hours (and estimated weekly sum of money if relevant) 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.

4.2   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 suggest a number of hours (and estimated weekly sum of money if relevant) for this area, depending on the answers within the 'Sustainability of parenting or caring role' section.

This is because the tool 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 suggest a number of hours 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 generate a number of hours 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 it is assumed that 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.

4.3   Step three – Overnight breaks

If the Needs Profile identifies that overnight breaks are needed or would be helpful for the family, Formulate may suggest a number of overnights per year (and estimated weekly sum of money if relevant) 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 amount of money. This is usually related to the availability and cost of relevant services in the local area.

4.4   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 (and an estimated sum of money if relevant).

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)'.4.5   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 (and an estimated sum of money if relevant).

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)'.

4.6   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** what proportion of the suggested **hours per week** (and the equivalent in money where relevant) should be funded by the NHS (Health) and by the local authority (Social Care) respectively. This is returned as an output of the calculation.

These proportions are calculated by looking at the allocation for each of the four areas which produce a number of weekly hours and assigning each one to either health, social care or both – using the ICB's configuration decisions. The default assignment rules are set out below – but bear in mind that your ICB may have chosen different percentages locally.

- Personal care:
  - Health fund 0% of the hours – if the hourly rate type 'triggered' by Formulate is the 'Social care' rate
  - Health fund 50% of the hours – if the hourly rate type 'triggered' by Formulate is the 'Enhanced' rate
  - Health fund 100% of the hours – if the hourly rate type 'triggered' by Formulate is the 'Specifically-trained' rate
- Short breaks and social activities:
  - Health fund 0% of the hours
- Daytime safety due to health needs
  - Health fund 100% of the hours:
- In-home night support
  - Health fund 100% of the hours:

Note: Any allocation for 'Overnights breaks' (nights per year) is excluded from the calculated percentages here – as the percentages are based around hours-per-week allocations.

5 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 suggest an accurate allocation.

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.

6 What are the Formulate outputs?

The outputs you will see after running a Formulate calculation will depend on:

- Whether your ICB's model is configured to generate 'units only' (i.e. number of hours per week and/or number of overnights per year) or include an Estimated Budget.

- You ICB's configuration decisions in regard to which outputs should be visible.

6.1   Automatic Quality Assurance

The first output you should consider is called 'QA Feedback' – which will show as a tab to the left of the 'Allocation Summary' tab – but **only** if any QA issues have been identified.
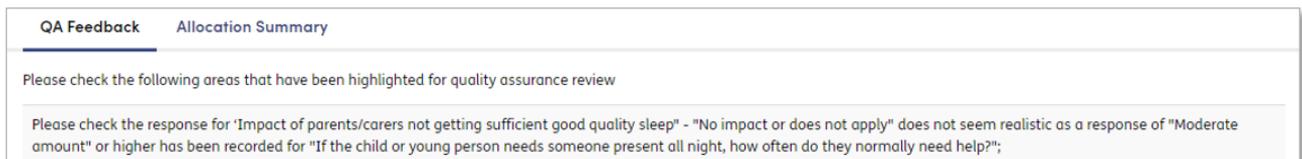
QA issues are where the system has picked-up potential inconsistencies or gaps in your Needs Profile responses – with these being highlighted so that you can return to the Needs Profile and check these. This helps you ensure that your answers are not contradictory – which can sometimes affect the calculation results – 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.

6.2   Allocation Summary (without Estimated Budget)

On the calculation screen, you will see an 'Allocation Summary' tab. This shows you a series of outputs which set out the results of the Formulate calculation. As explained above, the outputs you will see depend on how your ICB's model has been configured.

We'll first look at an ICB Formulate model which only generates hours/overnights, not money:

Allocation Summary

The following table details how this calculation is broken down:

Suggested Health & Social Care Funding Contributions (Hourly Support)	Health (≈90%); Social Care (≈10%)
Total weekly hours estimated by Formulate	Total daytime hours: 68.75 per week; Total night hours: 70 per week; Total hours: 138.75 per week
Weekly allocation for personal care	10.5 hours per week. Personal care needs are the same during term time and holidays, some personal care in the mornings is included within waking night allocation
Weekly allocation for social activities and/or daytime short breaks	9.25 hours per week. Social support/daytime short breaks needed during term time and holidays
Weekly allocation for ensuring safety due to health needs	49 hours per week. Support with ensuring safety due to health needs is needed
Weekly in home night support allocation	7 nights per week from two care workers
Allocation for overnight breaks away from the home	Overnight breaks are not required
Support in an Education Setting (not included in the overall allocation)	Support in an education setting is not needed

You can see from the above that the Allocation Summary consists of a series of individual 'outputs' (one per row). Some information on each output is provided in the table below:

Allocation Summary Output	Information
Suggested Health & Social Care Funding Contributions (Hourly Support)	• This **optional** output will only show if your ICB has chosen to see suggested percentage splits • As explained in Section 3.6 earlier, the % figures for Health and Social Care reflect how the model suggested the allocated hours across the four relevant 'domains' should be funded
Total weekly hours estimated by Formulate	• This output shows you the total weekly hours across the four domains which are hours-based • This is split by daytime hours (the first three domains) and night hours (the fourth domain) **Note:** The hours suggested represent an 'average week'. For some young people, more weekly hours may need to be used in the holidays compared to term-time, but this should balance out across a full year.
Weekly allocation for personal care	• Each of these outputs shows how many hours per week Formulate has estimated for the domain listed (this is during waking hours, not night times) For each domain, the number of hours is accompanied by a statement to explain whether there are differences between term and holidays in the Needs Profile
Weekly allocation for social activities and/or daytime short breaks	
Weekly allocation for ensuring safety due to health needs	
Allocation for overnight breaks away from the home	• This output shows many nights per year Formulate has estimated for overnight breaks (respite)
Support in an Education Setting (not included in the overall allocation)	• This **optional** output is aimed at young people who attend an education setting and require support above and beyond what the setting provides • Any hours listed here are **not** included in the "Total weekly hours estimated by Formulate" output as they would normally be funded separately.

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

Seeing the **amount** of care and support that has been estimated by Formulate – factoring-out local costs of care per unit – leads particularly to a focus on the preferred type of support and how it may meet the person's outcomes.

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.

6.2   Allocation Summary (with Estimated Budget)

We'll now look at an ICB Formulate model which generates an Estimated Budget in addition to hours/overnights.

Firstly, calculating using an 'Estimated Budgets' model will return an overall weekly **Estimated Budget** figure at the top of the screen (above the Allocation Summary).

Below this, the Allocation Summary will also look slightly different – as in the example below:

The differences here are as follows:

- Firstly, sums of money are shown in some of the outputs – including the 'Funding Contributions' output, the four domains with a number of support hours, and the 'Overnight breaks' domain.

- Secondly, an additional pair of outputs may be shown at the end of the list – if your ICB has chosen to configure these:

  o 'What If Scenarios - 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.

- 'Key information about the calculation' – explains whether your ICB's Personal Assistant hourly rate(s) configured into Formulate include or exclude 'on costs' – which is useful to know when undertaking support planning.

Note for ICBs using Estimated Budgets within Formulate: After the first calculation for a Needs Profile, if you choose to amend the form (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.

7 What if I disagree with what Formulate calculates?

It is important to remember that Formulate calculates an **estimated** allocation (including an Estimated Budget where configured). What is actually provided to the child/young person may well be different. However, there are times when Needs Profile responses aren't quite right – which may result in an allocation which doesn't reflect the presenting needs/situation. There are some examples below with some checks you can do to resolve this.

Issue	Where to check	Possible causes of the issue
Nothing is allocated by Formulate	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.
Nothing is allocated by Formulate	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 allocation from Formulate 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 Formulate allocation due to your ICB's configuration decisions (e.g. overnight breaks). • If your ICB's model includes Estimated Budgets, configured local rates might be different to the cost of the actual care that is available.	

The allocation from Formulate 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 Formulate's allocations.
	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.	