

## South West Peninsula

# SAP Policy & Implementation Guidelines

## Document Control

### Amendment History

Version	Date	Amendment History
V1	January 07	Released by SAP Programme Manager, Heather Eardley
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### Updating & Approvals

This document requires the following approvals.

Name	Title	Date of Issue	Version
SAP Programme managers	Jude Anthonisz, Jennie Stephens	3/1/07	V1
SAP Learning & Development work stream	Learning development leads from each org.	10/1/07	V1
SAP Information Governance work stream	Info governance lead reps from each participating organisation	07/02/07	V1
SAP Learning disability Work stream	Learning disability leads from each org	8/2/07	V1
Various representative practitioner groups	ESAP champions, Devon ASC, Cornwall ASC, Plymouth ASC, Jenny Kingman District Nurse, Devon PCT, Sandra Clark- Fully funded nursing care lead Devon PCT D, V	Jan/Feb 07	V1- resulting in version 2

### Document Location & Owner

This document is only valid on the day it was printed. Please contact the Document Controller for location details or printing problems., i.e. Bruce O'Connor on 01392 687141 or [Bruce.OConnor@Exeter-PCT.nhs.uk](mailto:Bruce.OConnor@Exeter-PCT.nhs.uk).

This is a controlled document.

On receipt of a new version, please destroy all previous versions (unless a specified earlier version is in use throughout the project).

# SAP Policy and Implementation Guidelines

## What is this document?

The Single Assessment Process (SAP) policy and implementation guidelines provide key information for health and social care staff across the south west peninsula who will use the Single Assessment Process to enable them to assess the health and social care needs of adults (excluding Mental Health).

The guidelines can be read as a whole document or as separate pages on key topics for preparation for SAP and eSAP (electronic SAP) implementation. There are separate word documents available for each section at [www.devon.gov.uk/sap-pro](http://www.devon.gov.uk/sap-pro).

## Who is it for?

The document is aimed at frontline health and social care staff and their managers to provide a policy and implementation framework and answer frequently asked questions. The staff groups covered will include:

- GPs, Nurses, occupational therapists, physiotherapists and other allied health professionals who work in community and acute hospital settings.
- Social care community care workers, referral co-ordinators, contact centre call handlers, social workers and occupational therapists
- Modern Matrons, Social Care Practice managers, Locality managers, Team managers etc.
- The voluntary and independent sector staff, who may want to know more about the Single Assessment Process, although they may not be directly using it.

## How will it be updated?

The guidance notes will be updated as and when required by the SAP programme team and updated versions will be displayed on a version control sheet at the front of this document and displayed on the SAP website.

## How can I get more information?

The SAP website: [www.devon.gov.uk/sap](http://www.devon.gov.uk/sap) and staff pages : [www.devon.gov.uk/sap-pro](http://www.devon.gov.uk/sap-pro). This contains all key documents including all the SAP tools and regular newsletters, which can be downloaded. Responses to questions on policy and practice matters and on the use of electronic assessments will be made available on the SAP website and each organisation's internal intranet site and the existing means used in organisations to communicate changes/updates in the use of IT systems.

# **SAP Policy and Implementation Guidelines**

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## **The Single Assessment Process ( SAP ) Policy**

### **Purpose**

This policy is aimed at all staff in NHS and social care organisations (or wider) who undertake the assessment and care planning of health or social care needs. It requires staff to use the Single Assessment Process (SAP) in place of existing processes. This is initially as a paper or word template version, but from April 07, an electronic version (**eSAP**) will be gradually introduced to make this process easier. The implementation of SAP and eSAP is the responsibility of each participating organisation, alongside their own policies, protocols and procedures. The SAP policy is an overarching policy, which all organisations will use as a basis for their own more detailed ones.

### **Background**

The Single Assessment Process (SAP) originated from the Older People's National Service Framework (NSF) which was launched by the Department of Health in March 2001 with the aim of promoting independence, ensuring that age discrimination is eradicated and that older people and their carers receive consistently high quality services, wherever they live and whatever their circumstances. Standard 2 empathises the need for a person centred approach and one single assessment process for NHS and social care staff to assess the health and social care needs of people without unnecessary duplication and ensuring the amount of assessment is proportionate to the person's needs.

In the South west peninsula (as in many other parts of the country) it was decided to apply the Single assessment Process across adults (except Mental health where the Care Programme Approach (CPA) will still be used though this can be seen as a specialist assessment within SAP).

### **What is the Single Assessment Process (SAP)?**

The Single Assessment Process is a new way of assessing health and / or social care needs for adults. It involves health and social care organisations working closely together with the person themselves and their carer (if they have one) to enable services or treatment to be received at the right time, through a multi-agency assessment, care plan and review process.

With the person's permission, assessment information will be shared with staff across health and social care agencies that are involved in providing care or services for the person. This means different professionals contributing to one assessment rather than repeating the process in separate assessments. This is a big culture change for staff in health and social care organisations, but it will be made easier with the introduction of an electronic SAP to enable information to be passed easily between the two.

## Are there different types or levels of assessment within SAP?

Although SAP is a single assessment process in order to ensure assessment is only proportionate to a person's needs there are 4 different types of assessment:

- **Contact** – at the initial point of contact basic personal information and presenting problem is gathered including some risk assessment screening. A multi agency referral tool which can be completed by a range of different staff.
- **Overview** – a holistic assessment that gives an overall picture of the person's needs from a health and social care perspective. Includes risk triggers and information about other services or treatment and whether any further specialist assessment is required.
- **Specialist** – one or more specialist assessments may be carried out when specific difficulties have been identified at contact or overview for unstable, unpredictable or complex needs and a specialist professional opinion is required.
- **Comprehensive** – in the southwest peninsula this is a process not another tool. It is for complex, unpredictable and unstable cases where a large care package is likely and a number of professionals or agencies are involved. A person is required to co-ordinate the various professional contributions and monitor progress.

*(For list of tools to cover these types of assessment see section 5 –SAP Tools and SAP at a glance available on [www.devon.gov.uk/sap-pro](http://www.devon.gov.uk/sap-pro) )*

## What can service users and carers expect from SAP?

- The person will receive an information leaflet about the Single Assessment Process, explaining what SAP is, information sharing and consent, how information is stored, how decisions are made and how to make a complaint.
- The person being assessed will be central to the assessment process. Their views and wishes will be listened to and acted upon when ever possible. If this is not possible, then a full written explanation of the reason will be provided.
- The person will be offered a copy of their assessment or a summary and be provided with a copy of their care plan, explaining what services and treatment will be put in place.
- With the person's consent, one assessment will be carried out and shared across different health and social care agencies. This should limit duplication of effort and the assessed person repeatedly providing the same information.

## **When should SAP be used and what should it replace?**

Whenever there is a request for an assessment to identify needs for services and treatment in the NHS or social care then the Single Assessment Process should be used. This should replace any existing assessment processes and enable joint agency assessment and care planning.

## **Which organisations will be using SAP and who has agreed this?**

The Single Assessment Process Programme Board (with representatives from each participating organisation) has agreed a common set of documentation across all NHS and social care organisations in the southwest peninsula (excluding Mental Health). Each organisation should ensure that SAP replaces existing assessment documentation whenever possible to eliminate any duplication.

The participating organisations are:

- Cornwall Adult Social Care
- Cornwall & Isles of Scilly PCT
- Devon Adult Social Care
- Devon Doctors on Call
- Devon PCT
- North Devon Healthcare Trust
- Plymouth PCT
- Plymouth Community Care Services
- Royal Devon & Exeter Foundation Trust
- South Western Ambulance Trust
- South Devon HealthCare Trust
- Torbay Care Trust
- Royal Cornwall Hospitals Trust\*
- Plymouth Healthcare Trust\*

\* These organisations are not participating in eSAP at present. However, they will be participating in the principles of SAP and have licences for using the FACE tools.

## Continuing Health Care

- In the South west peninsula the **SAP Health Needs Assessment** (HNA) is the tool to use for assessing Continuing Health Care needs and for funding panels to make decisions about residential, nursing or complex care packages funding. It should usually be completed after an Overview Assessment, but in some circumstances a Contact and fully completed Health Needs Assessment may contain sufficient detail to enable funding panels to make decisions without duplication of assessment information.
- The Continuing Care (National Health Service responsibilities) Modification Directions 2006 should be referred to (see Dept of Health website: [www.dh.gov.uk](http://www.dh.gov.uk)). It is extremely important that professional decisions are well evidenced and documented and there is separate guidance and training for staff to ensure this takes place. Please seek guidance from your line manager if you have any doubts about this area of work.

## What does this policy exclude?

SAP and this document exclude the policies and the standards that accompany commissioning and service delivery. These aspects will be covered by the specific standards and policies within each organisation.

## SAP Legal & Policy Framework

The Department of Health National Service Framework for Older People 2001 requires NHS and social care organisations to undertake one single assessment process to avoid duplication and ensure a person centred approach. There are a number of other legal responsibilities for NHS or social care organisations which impact upon the Single Assessment Process (SAP). Staff should familiarise themselves with these.

**Table 1 - Legislation for Local Authorities and NHS Organisations**

Local Authority	NHS
NHS and Community Care Act 1999	NHS and Community Care Act 1999
Chronically Sick and Disabled Persons Act 1976	National Health Service Act 1977
	Health Act 1999
Health and Social Care (Community Health and Standards) Act 2003	Health and Social Care Act 2001
	NHS Reform and health care professions Act 2002
Disability Discrimination Act 1995	Disability Discrimination Act 1995
Mental Health Act 1983	Mental Health Act 1983
Mental Capacity Act 2005	Mental Capacity Act 2005
Children Act 2004	Children Act 2004
Carers Act 1996 Carers (Equal Opportunities) Act 2004	Carers Act 1996 Carers (Equal Opportunities) Act 2004
Care Standards Act 2000	Care Standards Act 2000
Community Care (Delayed Discharges) Act 2003	Community Care (Delayed Discharges) Act 2003
National Assistance Act 1948	National Health Service (Consequential Provisions) Act 2006
Race Relations (amendment) Act 2000	Race Relations (amendment) Act 2000
Employment Equality (Sexual Orientation) and (Religious Belief) Regulations 2003	Employment Equality (Sexual Orientation) and (Religious Belief) Regulations 2003
Equality Act 2006	Equality Act 2006
Employment Equality (Age) Regulations 2006	Employment Equality (Age) Regulations 2006
	NHS Code of Practice Records Management 2006

<b>Information Sharing and Holding of Data</b>
Police and Criminal Evidence Act 1984
Common Law Duty of Confidentiality
Data Protection Act 1998
Computer Misuse Act 1990
Human Rights Act 1998
Freedom of Information Act 2000
Local Government Act 1972
Crime and Disorder Act 1998

Most legislation since 1977 has been summarised within three acts of parliament. These received royal assent on 8<sup>th</sup> Nov 2006 and will come into effect on 1<sup>st</sup> March 2007 (subject to a few exceptions). These are: The National Health Service Act 2006, The National Health Service Act (Wales) 2006 and the National Health Service (Consequential Provisions) Act 2006.

### **Information sharing**

The information sharing aspect of Single Assessment is primarily covered by the legislation listed in the table above, together with other specialist legislation on health and social care. Essentially, all personal information collected on the individual must comply with confidentiality rules and be protected as specified in the Acts above. The individual must be properly informed on the use of their information, and their consent obtained before sharing with other agencies involved in their care. For more detailed information on information sharing, see SAP Implementation Guidelines: Section 4 - Sharing and Protecting your Information, and the Southwest NHS and Social Care Information sharing protocol at [www.devon.gov.uk/sap-pro](http://www.devon.gov.uk/sap-pro)

### **Other Relevant Policies or Strategies**

- Fair Access to Care Services 2003 - guidance on eligibility criteria for social care
- The Continuing Care (National Health Service Responsibilities) Modification Directions 2006
- National Service Framework for Long Term Conditions - Good Practice Guide and Examples 2005
- Urgent Care - Department of Health Direction of Travel for urgent care (2006)
- White paper - "Our Health, Our Care, Our Say" and Making it happen (2006)
- No Secrets guidance developing multi-agency policies and procedures to protect vulnerable adults from abuse 2000



- The Caldicott Report 1997 - (confidentiality principles)
- The Coughlan judgement 1999 (continuing health care)
- The Grogan judgment 2006 (continuing health care)
- National Care Standards Commission Regulation & Standards
- Dignity in Care Campaign - Dept of Health
- NHS Code of Practice on confidentiality
- The Community Care Assessments Directions 2004

For more details of the above and other relevant policy and guidance, see the Department of Health website [www.dh.gov.uk](http://www.dh.gov.uk).

Another useful website with information about various conditions and host of the national SAP website is [www.cpa.org.uk](http://www.cpa.org.uk) (Centre for Policy on Ageing).

## Joint Working & Assessment Standards

### Why joint working?

In the White Paper, "Our health, our care our say " an emphasis is placed on health and social care organisations to work more closely together using a common assessment framework. The Single Assessment Process is a sound basis for the common assessment framework ( CAF) and requires joint working arrangements in place to ensure more effective co-ordinated services are provided across health and social care.

### What are the standards that are required to ensure a quality assessment?

In order to ensure consistency of outcomes to assessment and care planning across organisations, all staff must apply these standards when carrying out the Single Assessment Process.

**Standard 1** - The person being assessed should be fully involved in the process (and also the carer, if the person agrees).

**Standard 2** - Information should be gathered in a way that is respectful and sensitive as well as efficient, proportionate, timely and adequate with due regard to people's equality and diversity needs.

**Standard 3** - The process should help to recognise and build on the strengths of people who use services, and their carers, enabling and supporting people to resolve their needs themselves wherever possible.

**Standard 4** - Assessment should fulfil all legal requirements as described in SAP implementation guidelines 2- Legal & Policy framework)

**Standard 5** - The Single Assessment Process should avoid the need for people to repeat information to different staff involved in assessing and providing for their health and social care needs.

**Standard 6** - Assessments and care plans must be clearly and succinctly recorded providing evidence for decisions made.

**Standard 7** - Records and plans must be communicated and made accessible to the person assessed and their carers where consent is given.

**Standard 8** - Information must only be shared after consent has been given and only for the purposes stated on the consent form.

**Standard 9** - Single assessment and care planning must involve effective communication and collaboration within a culture across health and social care

agencies with a mutual respect and understanding of each other's professional roles and responsibilities.

**Standard 10** - Assessment must include assessment of risk by taking account of the need to protect individuals from harm but also enabling them to make decisions about their own lives including aspects of independence, choice and dignity.

**Standard 11**- Assessments and care plans should be completed within the timescales required by each organisation.

### **Do we have to trust each other's assessment?**

The principles of the Single Assessment Process mean that assessments and care planning information is shared across agencies and professionals and will therefore rely on a degree of trust. This is quite a new concept and will take time to develop but is very much part of a person centred approach where service users and carers do not like having to repeat information and have an expectation that there will be good joint working arrangements in place.

### **Will someone be needed to co-ordinate the assessment and care plan?**

If there are several people involved in one assessment it will be necessary to identify the key worker or care coordinator and discussion needs to take place with the service user and carer about who is the most appropriate person to do this. The personal held record, which is kept in the person's home and contains assessment and care planning information, can help with communication between professionals in these situations (see implementation guidelines 6- personal held record).

### **What difference will eSAP make?**

With the introduction of electronic SAP (eSAP), the amount of sharing of information and joint work on an assessment will be possible to an extent which has never really been possible before.

Whereas in the past each professional would undertake their own assessment and often ask the service user very similar questions, the electronic version of SAP will enable much easier sharing of information and should therefore help improve joint working arrangements. eSAP enables different professionals to be able to work on an assessment together and complete different domains by sending the assessment electronically to each other and being able to access it in one place electronically.

This will take time to get used to and will require better communication and more efficient processes between professionals and scrutiny about whether further assessment or care planning adds value or has already been carried out by someone else.

## How will professional skills and identity be maintained?

SAP will involve a set of skills for joint working to enable standards to be met whilst recognising the value of different professional skills. See standards and joint working arrangements.

## Who should do what?

The **SAP at a glance** outlines which type of staff should complete which tools (see [www.devon.gov.uk/sap-pro](http://www.devon.gov.uk/sap-pro)).

## Sharing and Protecting Personal Information

### 1. The purpose of this section

The purpose of this document is to provide guidance to ensure that the **SAP Information Sharing Protocol** is effectively put into practice and adhered to.

The SAP information sharing protocol is a framework for the secure and confidential obtaining, holding, sharing and storing of information for the Single Assessment Process and can be obtained from the SAP website [www.devon.gov.uk/sap-pro](http://www.devon.gov.uk/sap-pro).

The agreement on information sharing has two focuses:

- The communication between the professional disciplines within joint teams or other service providers contributing to the delivery of the Single Assessment Process.
- The sharing of information gained from the Single Assessment Process with those agencies who are not SAP Participating Organisations, such as housing, education, police and independent providers who represent the wider context of delivering co-ordinated and holistic services.

### 2. What does the SAP information-sharing protocol contain?

The SAP protocol replaces the separate protocols for Devon & Cornwall entitled “Information sharing for SAP”. It contains sections on:

- Reasons for sharing SAP information
- The type of information that can be shared
- The legal basis for sharing confidential and personal-identifiable information
- Disclosures outside the scope of the agreement
- Responsibilities and standards for participating organisations
- Complaints
- Monitoring and review

### 3. What information can be shared?

The components of the Single Assessment Process cover basic personal information, needs and health, and an integrated care plan. This information will be recorded in the current versions of the FACE SAP assessment tools and will be

shared between the parties to this protocol for the purpose of assessment and care planning.

The type of service user information to share will cover:

- Statistical information
- Depersonalized /Anonymous Information
- Personal Identifiable Information

#### 4. Legal responsibilities

The legal framework for the information sharing aspects of Single Assessment are primarily covered by:

- Common Law Duty of Confidentiality
- Data Protection Act
- Caldicott principles
- Human Rights Act

The specific legislation for NHS and Local Authority organisations to share information is set out in the SAP Implementation Guidelines: Section 2 “The Legal and Policy Framework, together with other specialist legislation on health and social care as listed. This is supplemented by a range of Governmental guidance on information sharing, all of which have been used to establish best practice in information sharing.

You should be familiar with the specific guidelines, policies and their application regarding the legislation mentioned above for your organisation.

#### 5. When and how should the “Consent to share and protect your information” form be completed?

As soon as is practically possible, you should ensure that the person being assessed is asked to consent to information sharing across agencies or staff members by signing the "Consent to Share and Protect Your Personal Information" form.

Service users and carers should be advised about what will happen to their information and how it will be shared with all those relevant to the provision of their care. The SAP user/carer leaflet gives details about information sharing as well as the whole process.

The service user should complete the “Consent to Share and Protect Your Personal Information” form at the time of **first** contact or assessment. This is then refreshed each time a new assessment is completed by asking if the consent still stands as the assessment tools are completed (each of the FACE tools (as listed in SAP implementation guidelines 5- Tools) has some questions about consent to share information. If the Consent to Share and Protect Your Information form has already

been completed by one agency then the simple check questions on the SAP assessment tools are all that is required. **The more detailed consent to share and protect your information form must initially be completed once and held on file or recorded on eSAP.**

Once electronic SAP (eSAP) is in place, records will be shared with relevant staff through a robust and secure method. However, until that time interim arrangements have to be put in place to ensure that best practice is followed with the sharing of information under the Single Assessment.

## 6. Why do we have to have secure methods for transferring information?

The reasons for having secure methods for transferring information are two fold:

- To safeguard the service user's legal right to confidentiality and privacy in the exchange of their personal information.
- To safeguard professional staff by providing measures that allow only appropriate and controlled access to service users' personal information to:
  - Ensure they have enough information to form professional judgements and to inform care planning under the Single Assessment Process.
  - Ensure they are informed about known and potential risks.
  - Ensure that a commonly understood framework is available to manage access to information and to protect professional staff.

## 7. Who can access information and be shared with?

Once a service user has given their informed consent for information to be shared with SAP partner organisations, (as listed in SAP implementation guidelines 1) it is acceptable to share that information based on the "need to know" principle. If a service user is known and has already completed a consent form, there is still a requirement to check that the person still agrees to this consent and fully understands what information they have consented to share. For example, someone may consent to share a contact assessment, then go on to have an overview but may not be in agreement for that detail to be shared so this will need checking.

## 8. What if the person is unable to give consent?

If a person is unconscious or unable, due to a mental or physical condition, to give consent or to communicate a decision, the professionals concerned must take decisions about the use of information. This needs to take into account the person's best interests and any previously expressed wishes, informed by the views of relatives or carers as to the likely wishes of the patient. If a patient has made his or her preferences about information disclosures known in advance, this should be respected. There is a SAP FACE Mental Capacity Assessment tool, which can be used to assess someone's mental capacity if required.

## **9. How should information be transferred between agencies?**

Until an electronic version is available, you should follow your own organisation's safe-haven procedures for transfer of SAP forms, by fax or email. Where email is being used, care must be taken to ensure that the information is encrypted and sent securely.

A care plan, which includes a summary of needs, should be offered to the service user and carer, together with any part of the assessment form which the service user, carer and professional consider useful. The option of a person held record file is available to be kept in the person's home (see SAP Implementation Guidelines: Section 6 - Person Held Record). Assessment co-ordinators should keep a copy of all documents along with a record of what has been sent, to whom and when.

## **10. What about "vulnerable adult" situations?**

In cases of vulnerable adults where adult protection is an issue, care must be taken about information that may be seen by a variety of people in the person's home. For further advice, see your organisation's adult protection policy.

## **11. Complaints**

Any complaint received from or on behalf of a service user or carer, containing allegations of inappropriate disclosure of information, will be dealt with through the internal complaints procedure of the organisation receiving the original complaint.

## **12. Are there separate guidelines for the transfer of information electronically?**

Separate guidelines will be given as part of the training on the electronic SAP system by your organisation.

## Single Assessment Process Tools

The Single Assessment Process (SAP) requires a common set of tools to be used across organisations with a set of domains issued from the Department of Health. There are a number of Department of Health accredited SAP tools. The southwest peninsula has adopted the FACE toolset for use across all the organisations that have signed up to SAP (for list of organisations see [www.devon.gov.uk/sap](http://www.devon.gov.uk/sap)). FACE does not replace SAP –they are simply the tools we have chosen to use for SAP

A southwest peninsula version of the FACE toolset has been purchased on licence to enable us to use this in paper and electronic versions. FACE stands for: **F**unctional **A**ssessment of **C**are **E**nvironments and the tools are based on a sound evidence and research base. The southwest peninsula SAP partnership requested some additional amendments. These include falls check, housing questions and carer's assessments, enabling referral to the falls register and home improvement agencies, and covering the Department of Health carer's information requirements.

FACE has a number of "first line" and "second line" tools. The tools in use across the southwest peninsula and which will be available electronically on eSAP are as follows:

### First line tools

- **FACE SWP v1 - Background and Contact Assessment** – to be completed by health or social care staff to gather basic personal information and an outline of reasons for referral. It also includes brief information about health, social circumstances, housing, carers and falls. Information and advice, services or treatment may be set up with this level of assessment if you consider you have sufficient information to make this decision.
- **FACE SWP v2- Overview assessment** - This is a more detailed holistic assessment, which can be completed by health or social care staff to identify risks and needs and the need for any further specialist assessment. **The Personal View of your Needs form ( v2 June 05)** can be given to the service user to prepare for this assessment.
- **FACE Rapid Assessment** - This is a cut down version of the Overview, which therefore has its limitations. (e.g.. section on carers is missing and some other domains from overview merged) It may be used in emergency situations on paper versions but each organisation will have its own policy about its usage. It will not be part of eSAP as assessment information will be much more quickly recorded on the overview assessment and non-appropriate sections can be easily deleted.

- **SWP Health Needs Assessment (HNA v2 Jan 07)** - This can be completed by a range of health care staff, such as nurses, physiotherapists or occupational therapists. It can also be used to identify continuing health care needs and for funding panels to make decisions about residential, nursing or complex care packages funding. It should usually be completed after an Overview Assessment, but in some circumstances a Contact and fully completed Health Needs Assessment may contain sufficient detail to enable funding panels to make decisions without duplication of assessment information (see SAP Implementation Guidelines: Section 1- SAP Policy- continuing health care). This will be available on eSAP
- **Core assessment (LD)**- this enables a more a detailed assessment to be carried out when a person has learning disabilities or complex needs. This will be available on eSAP.
- **Admission Summary** - This is suitable for use in hospitals for gathering admission information quickly. It will not be available on the eSAP system.
- **Care Plan** - This is a multi-agency care plan that summarises the services or treatment to be provided to the service user. It also contains information about contingency plans in the event of an emergency and a diary sheet, so that all care provided over a week can be easily viewed by all involved with that person, including their carer. The care plan does not need to be signed by the service user, but a copy should be given or sent to the service user. Performance information is collected about this to ensure it is happening. The service user or carer may or may not also wish to have a copy of their assessment tool(s). Each agency may require a more detailed care plan to be completed, but it is each organisation's responsibility to specify what is required in this aspect. This will be available on eSAP
- **Review** - All care plans should be regularly reviewed to ensure that the services or treatments in place meet the person's or their carer's needs. A review date should be set when services or treatment are first set up. There must be agreement with the service user and carer about frequency of reviews, but the minimum is annually. The service user or carer should be informed that they may request a review at any time and know who to contact to do this.
- **Consent to Share and Protect your Personal Information** - This should be completed at the beginning of any new contact and signed by the service user to agree to share information. Once this is on file (or on eSAP, when in place) it will not need to be repeated, unless the information changes or is added to, at which time new consent for new purposes will be sought. For each new assessment, there is a short section on the Background Information and Contact and Overview tools for you to check with the service user whether the original consent still applies.

## Second line tools

There are a range of other tools available as part of the FACE toolset to complement the first line tools and enable more detailed specialist assessments. These are:

- Activities of daily living
- Carers Assessment
- Communication
- Lifestyle and personal strengths
- Physical wellbeing
- Risk profile
- Social
- Welfare Benefits check

## Other specialist FACE tools in development

- Primary care referral
- COPD
- Diabetes
- Heart Failure
- Hospital Discharge
- Mental Capacity Assessment & guidance (available for use from April 07 )

If a professional or organisation identifies value in making use of any of the above second line tools then permission should be sought from your own organisation's SAP lead. Each organisation may vary in their application of second line tools. The list is designed to assist staff in seeing what is already available and avoid the need for unnecessary duplication of tools development. ***Please note that none of these second line tools will be available on eSAP.***

## Feedback or queries about SAP FACE tools

If you would like to provide feedback or have queries on any of the already-adopted FACE tools, please contact your local SAP lead. The SAP lead will ensure that your query will be forwarded on to the eSAP management arrangements, FACE user group (meets quarterly) or other relevant forums.

## Completing the tools

In accordance with the policy principles for SAP, each assessment tool should be completed with the user and carer at the forefront and in proportion to the person's needs.

**This means that not every section needs to be filled in - this must be based on the service user's opinion and your professional judgement.**



Each FACE tool should be used as a guide only. There is an "Assessment Checklist" (available from [www.devon.gov.uk/sap](http://www.devon.gov.uk/sap) ) which can be used for training purposes and/or in conjunction with the tools. FACE guidance notes are also available from the SAP programme office or your local SAP lead.

If there is additional information you think should be added and there is insufficient space to do so on the tool, then complete a separate sheet and attach to the appropriate tool. Any queries or comments about the tools can be directed to the SAP project team, whose contact details are at the end of this guidance.

### **Equality and Diversity**

All assessments must ensure peoples' equality and diversity needs are taken into account. This includes completing the appropriate tool's section, which asks for ethnic and religious information. This needs to be done with an understanding of why this is being asked, that is, to ensure the person receives the appropriate services and treatment and that all aspects of the person's equality and diversity needs are taken into account. It is not a purely bureaucratic process.

The SAP tools can be obtained from the SAP website as PDF or word template versions, on [www.devon.gov.uk/sap-pro](http://www.devon.gov.uk/sap-pro) or ordered in hard copy through EROS for NHS staff and Local Authorities' usual forms printing process.

### **Other useful information**

The **SAP flow chart** (showing the SAP process), **SAP at a glance** (one page chart giving information about each tool, who should complete it, when and what for) and the **SAP assessment checklist** can all be obtained from the SAP website under information for south west peninsula health and social care staff, see [www.devon.gov.uk/sap-pro](http://www.devon.gov.uk/sap-pro)

## Person Held Record

### What is a Person Held Record?

A person held record (sometimes called **yellow folder**) is a folder that contains a record of assessment and care planning information, which is kept in the home of the person receiving services or treatment. It has been designed for situations where there are several staff visiting people's homes and communication can be a problem e.g. people with long-term conditions or there are likely to be emergencies where out of hours staff would find it useful to have easily accessible information to make urgent decisions. A sticker is placed on the person's fridge to highlight the existence of a person held record. The record should be kept by the fridge or phone if possible for easy access.

The folder contains useful information for the service user and carers such as:

- Contingency plans
- SAP assessment and care planning information
- GP information
- Diary sheets
- Contact sheets
- Self care information

### What are the criteria for issuing a Person Held Record?

The Person Held Record is issued and owned solely by the PCT and will be distributed to people who have been identified by GPs, District Nurses and other health and social care staff as having multiple and/or complex care needs with health and social care input. The Person Held Record is therefore applicable for people who:

- Have complex care packages delivered in their own homes.
- Have treatment and care delivered and managed by a number of practitioners/agencies.
- Are known to request frequent unscheduled care from the GP (including out of hours services) or their District Nurse.
- Have required a number of unscheduled admissions to hospital in the last year.
- Are at 'risk' of needing emergency care.
- Are managed for a 'Long Term Condition' or 'Complex Care Pathway'.

### How can I set up a Person Held Record?

If you consider the person would benefit from a personal held record then you should first discuss this with your line manager or the person's GP (check agreed process in your organisation from your SAP lead). The folders are issued by the PCT; so if you work for social care, discuss this with the health member of staff involved. If social

care only is involved it is unlikely a folder will be required (see criteria) but in certain circumstances it may be possible to set one up (see line manager or SAP lead)

### **How will the Out of Hours services know about the Person Held Record or Yellow Folder?**

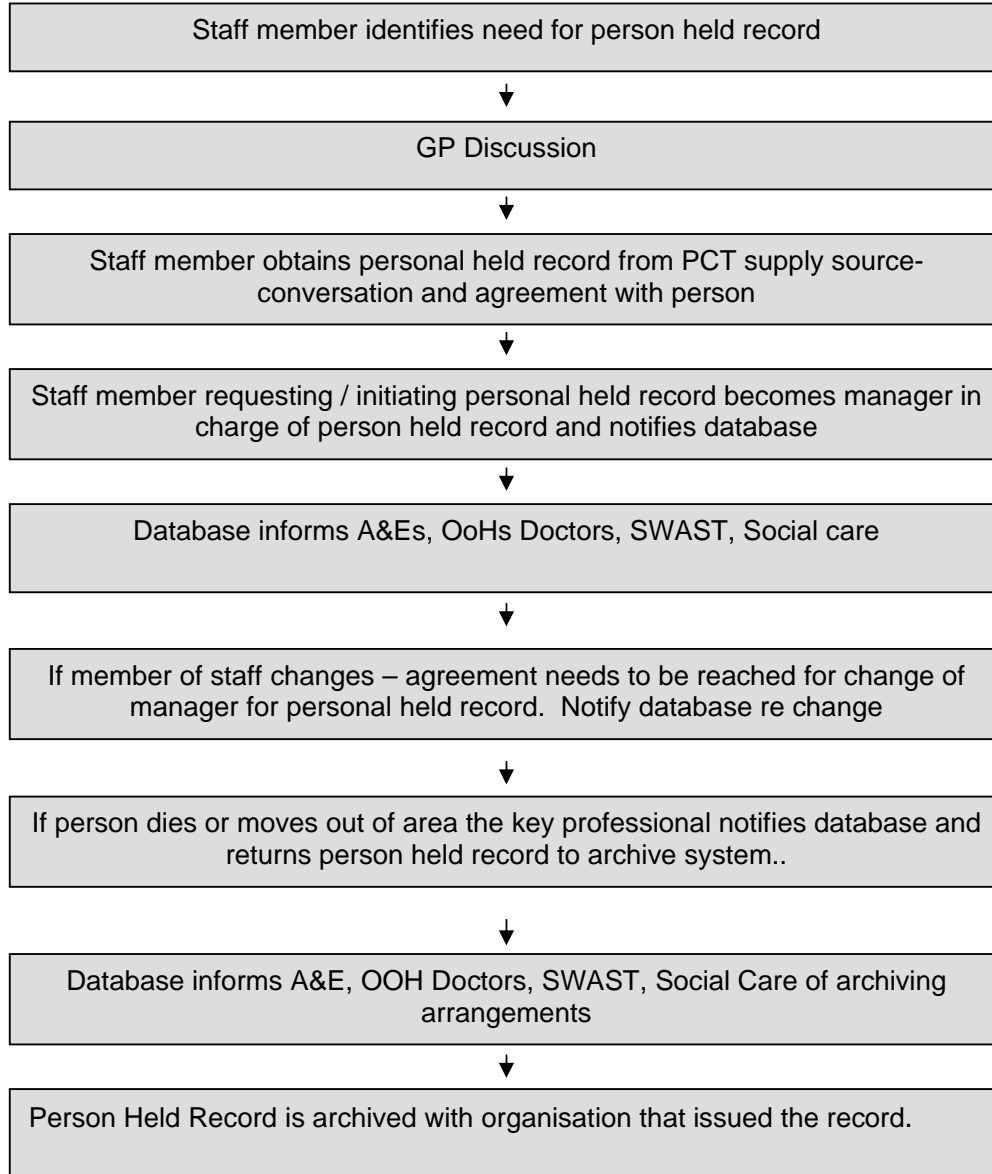
The Out of Hours services, such as South Western Ambulance Trust, Devon Doctors and social care emergency duty teams have all signed up to the personal held record and welcome the opportunity to use this and be informed when it is in place. A record of the issue of a folder must be put on your local PCT database and sticker placed on the person's fridge showing there is a folder in place.

### **Where can I find out more about the Person Held Record?**

The **Person Held Records Protocol** explains the procedure for issuing folders, ownership arrangements, storage and retrieval. There is also a training PowerPoint presentation available. For further information, see [www.devon.gov.uk/sap-pro](http://www.devon.gov.uk/sap-pro) .

A Person Held Record process flowchart can be found overleaf.

## PERSON HELD RECORD PROCESS FLOWCHART.



## SAP Education, Training and Development

### Outline of SAP and eSAP training

Training for the Single Assessment Process (SAP) consists of the following different types of training:

➤ **SAP Basic awareness** – 6 modules :

1. **Implementing SAP in your area**- PowerPoint presentation, Success with SAP DVD, SAP Policy and Legal context.
2. **Effective assessment skills**- exercises and handouts on what makes a good assessment.
3. **Person centred approach to assessment**- includes 20 min film Keeping Milly Happy, exercises and handouts
4. **Sharing and protecting information** – how to complete consent form and guidelines for staff linked to information sharing protocol.
5. **Person held record** –an introduction to its use what it consists of , what are the criteria for issuing one etc.
6. **Introduction to FACE tools** – provides a basic understanding about what are FACE tools, what they replace and how to complete them.

**NB:** More detailed FACE Tools training is available on the use of FACE Tools and can be purchased at an additional cost from FACE on a train the trainer basis but should not be completed before the SAP basic awareness training.

- **eSAP training** - This training will be designed to enable you to use the peninsula-wide eSAP system and will be provided about 4 weeks prior to using the eSAP system to ensure skills can quickly be put in to practice.

**NB- eSAP training can only be completed following basic IT skills training** – This should be part of the mainstream training provided by each organisation and is needed in preparation for the electronic single assessment process (eSAP) system.

### How will training be delivered?

Each organisation has a responsibility to ensure each member of staff is trained and each local implementation team should have a joint health and social care education, training and development plan in place prior to SAP implementation. A key element of SAP and eSAP training is learning to work together across health and social care and to trust each other's assessments. **Wherever possible SAP training must be undertaken on a joint agency basis.**

## Training materials

The SAP training has been designed by a group of learning and development leads from each organisation. The aim of the material is to ensure a consistent approach to SAP training across the peninsula. There is one set of agreed training materials. These are:

### 1. SAP Basic Awareness learning and development pack

-contains 6 modules with exercises and handouts and reference to the following additional training resources:

- **SAP basic awareness PowerPoint presentation** - a ten minute introduction to SAP
- **SAP basic awareness learning and development pack** - a set of modules and handouts for team meetings or a half-day workshop [www.devon.gov.uk/sap-pro](http://www.devon.gov.uk/sap-pro)
- **"Success with SAP"** - A four-minute DVD with service-user and carer's experience of SAP and the person held record with a short explanation of what eSAP will do.
- **"Keeping Milly Happy"** - A 20 minute film (video or DVD) telling the true story of a husband and wife's experience of health and social care providing a discussion vehicle for person centred care and improving assessment skills.
- **"Listen To what I am Saying"** - person- centred care and the single assessment process-national DVD.
- **Large pull up poster boards** - featuring a SAP cartoon and case study- available from SAP programme team.
- **Handouts** - As listed in SAP Basic Awareness Learning and Development Pack.
- **e-Learning SAP Basic Awareness** - An e-learning module that introduces SAP. This can be found at [www.devonlearning.net](http://www.devonlearning.net) (available from March 07).

### 2. FACE Tools

FACE tools supplier provides the following guidance and training materials which include case vignettes and a completed overview assessments.

- FACE overview assessment v5 - Users guide
- FACE SAP Tool set v5 - Training materials
- Meeting the Standard - The FACE overview tools

These are available on the SAP website at [www.devon.gov.uk/sap-pro](http://www.devon.gov.uk/sap-pro)

### 3. eSAP Training

- **Training materials and handbook for eSAP training** - (This training is not yet available. It will be developed with the eSAP supplier IBM.)
- Before this takes place each member of staff should have completed some basic IT skills training and a training needs questionnaire to assess the level of IT skills. This should be part of existing IT programmes and available from each organisation's IT department. A sample IT training needs questionnaire is available from the SAP website [www.devon.gov.uk/sap-pro](http://www.devon.gov.uk/sap-pro)

#### Aspects of training not covered in SAP

- Basic IT skills training
- Training on the business processes/procedures used within each organisation.
- Training on the use of each organisation's existing or planned IT systems.
- Equality training (apart from awareness raising and good practice within SAP)
- Risk management
- Continuing health care (but SAP basic awareness be carried out prior to this)
- Other specialist assessment training

## Queries or Complaints about SAP

**Note:** To avoid unnecessary complaints, please ensure all staff are fully aware of the content of the implementation guidelines and adhere to these in carrying out SAP to high quality standards.

### What do I do if a Service User or Carer Complains?

The SAP Information leaflet should be given to service users and carers at the start of an assessment. This leaflet explains the SAP process and provides phone numbers of each organisation and details about how to make a complaint. Staff should direct the service user or carer to the most appropriate person within the organisation to take the complaint or the complaint should be put in writing.

All complaints about the Single Assessment Process should be dealt with in accordance with the internal complaint procedure of the organisation receiving the original complaint.

It will be important that reception staff have some knowledge of SAP and what to do in the event of a query, comment or complaint. Service users or carers may also be directed to the local Patient Advice and Liaison Service (PALS).

### Where can I get copies of the Single Assessment Process Leaflet?

Printed leaflets should be available from your organisation or can be downloaded from the SAP website [www.devon.gov.uk/sap](http://www.devon.gov.uk/sap). These can also be offered in different formats if the person requires such as other languages, braille, large print or audio versions.