

Personal Budgets (Version 4 - April 2014)

Appendix 3.1 – Stock-take against Common Delivery

Model *(Please note: This stock-take exercise has been updated to reflect the 0 – 25 SEND Code of Practice, July 2014)*

Stock-take against Common Delivery Model

Progress Scale				
Development not yet begun	Early Stage Development	Partial Development	Full implementation	Already in place prior to reforms
0	1	2	3	4

CDM Element	Essential Activities	Scaling up/Roll out	Status of progress	Actions
1. Engagement of wider agencies	<p>Activity 1 Develop clear and concise information about personal budgets and the challenges they represent for all parties.</p> <p>Activity 2 Invite all to participate in one or more or on-going workshops/meetings.</p> <p>Activity 3 Present Action Plan to the group which clearly identifies the roles of all members and seek commitment to support and deliver.</p> <p>Activity 4 Provide information on Personal Budgets as part of the Local Offer. Including:</p> <ul style="list-style-type: none"> - A policy that sets out a description of the services across education, health and social care that currently lend themselves to the use of Personal Budgets. - How that funding will be made available. - Clear and simple statements of eligibility criteria and the decision-making processes. 	<p>There are a key set of challenges for the partnership of services and people leading this work:</p> <ul style="list-style-type: none"> - Developing and taking forward a joined-up approach to commissioning - Monitoring outcomes and impacts of the EHC Plan and any personal budget being used - Ensuring a sustained and on-going approach to the provision of information - Maintaining a commitment to supporting families through investment in peer support - Maintaining a shared investment in the capacity to take this work forward as part of the overall '<i>Support and Aspiration</i>' programme of work. 		
2. Workforce development	<p>Activity 1 Gather the workforce together and share key messages about what personal budgets are, how they will work, what they will mean for all parties and offer on-going opportunities to talk these through as work progresses.</p>	<p>Key challenges which will arise from the introduction of personal budgets for the workforce:</p> <ul style="list-style-type: none"> - Establishing a clear shared values approach - Establishing clear authority for any new roles, ensuring they are widely accepted and therefore effectively delivered 		

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	<p>Activity 2 Identify key people who can participate more fully in the development work, acknowledge the time this will mean they need to commit and support them to take part.</p> <p>Activity 3 Through newsletters and updates keep the workforce up-to-date with all the developments, stories and learning and offer future events for them to attend and participate in key consultation issues.</p>	<ul style="list-style-type: none"> - Ensuring key training and/or skills development opportunities are in place and increasingly become part of mainstream workforce development - Ensuring a long-term plan for addressing capacity of staff and commitment to making changes to over all workforce structure and responsibilities. <p>Practically, ensuring there is capacity invested in personal budgets, the development of, roll-out and in taking the whole workforce through the change will be essential.</p>		
3. Joint commissioning and market development	<p>Activity 1 Personal Budgets should reflect the holistic nature of the EHC plan and can include funding for special education, health and care provision. Explore integrated commissioning approaches by bringing together key budget holders and commissioners to agree an approach; this approach is likely to evolve with the scope expanding over time.</p> <p>Activity 2 Establish a providers' forum across schools, SEN specialists, social care and health providers with a remit of working together to develop personal budgets policy and an offer of support.</p> <p>Activity 3 Link this forum with local Parent and Carers Forum; providers need to listen to what children, young people and families are wanting and needing in terms of support, access and opportunity.</p> <p>Activity 4 Involve the providers' forum in all stages of the</p>	<p>To use personal budgets there will need to be a full range of options available to families and those supporting them. These options need to encompass learning, health and home, family and community life.</p> <p>Alongside the provision of support to children and young people will be a variety of sources of information, advice, guidance and longer term support with the management of personal budgets, including some options where a support provider (including schools) will manage the money on behalf of a child/young person and their family.</p> <p>Challenges include:</p> <ul style="list-style-type: none"> - Engaging providers (including in-house services, schools and colleges) from the outset - Developing a market position statement or its equivalent which provides a clear outline of the commitment, approach, vision and outcomes of work on personalisation and personal budgets expected from providers <p>Building a developmental partnership with local providers and families that involves and encourages them to think through the potential</p>		

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	work to introduce personal budgets; whether focused on one funding stream or across all three. Their participation will be key to the success of this work.	changes to their offer and to explore new possibilities.		
4. Raising awareness	<p>Activity 1 Involve parent representatives including the local Parent Carer Forum (PCF) in discussion from the outset; agree information and communication and set out basic information available.</p> <p>Activity 2 Agree information about personal budgets; set up workshops to share and include parent representatives as the work develops. Provide support via telephone and/or meetings to parents and families to allay concern.</p> <p>Activity 3 Invite parents/families from the local authority and from outside to share their experiences and stories with other families.</p> <p>Activity 4 Provide information on Personal Budgets as part of the Local Offer. Including:</p> <ul style="list-style-type: none"> - A policy that sets out a description of the services across education, health and social care that currently lend themselves to the use of Personal Budgets. - How that funding will be made available. - Clear and simple statements of eligibility criteria and the decision-making processes. 	<p>Scaling up will mean extending the awareness of personal budgets as part of the new approach and the EHC Plan across all families who may/may not already have a child with a statement for SEN or may be in the process of one being developed.</p> <p>Scale up will call for simple robust and easy-to-understand information backed up with simple and easy-to-understand processes; transparency and participation at the heart.</p>		
5. Peer support	<p>Activity 1 Bring families together to share plans, first steps towards introduction and how families can be part both of the development process and explore the opportunities of personal budgets.</p>	The building of formal and informal networks of families is a key part of making personal budgets work and in light of the wider transformation under the ' <i>Support and Aspiration</i> ' banner on taking forward the proposed EHC Plan and new way of doing		

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	<p>Activity 2 Support families who have begun to use a personal budget to meet, share and think through how they may continue to work together and share their experiences (include the local Parent Carer Forum).</p> <p>Activity 3 Based on learning and experience, explore ways with families (drawing on practice from elsewhere) of how they and/or the Parent Carer Forum might take a leading role in supporting families who have a personal budget for their son or daughter.</p>	<p>things. Peer support will need to be invested in, often with 'seed' funding to get networks up and running; the local Parent Carer Forum will be a key partner in taking this forward.</p>		
6. Integrated planning	<p>Activity 1 Identify key people to participate in early activity and involve them along with early groups of families in training and developing support plans.</p> <p>Activity 2 Gather examples of support planning guidance from other children's services. Use these to set out a guide for families which explain the 'do's' and 'don'ts', sources of information and who to talk to locally.</p> <p>Activity 3 In co-production with agencies and families develop an assessment and planning pathway/process for the EHC plan which incorporates personal budgets.</p> <p>Activity 4 Once first group of plans have been agreed seek feedback from all participants, revise guidance and support staff who were involved to begin sharing their skills with others.</p>	<p>The roll-out of the new EHC Plan will mean a new approach to planning; a more child and family-centred approach, the use of personal budgets when requested, financial data about the use of additional funding and how different funding streams will come together to create a more holistic approach. Efficient, imaginative and creative uses of personal budgets rely on good person centred and outcomes focused practice; this will need to be embedded into the new pathway around the development of the EHC Plan. This new approach will not only require a new pathway but the embedding of a new set of skills across the workforce; any professional supporting families to set out their son or daughters plan will need to be conversant with person-centred thinking and approaches. Commissioners need to explore how they will create and fund support outside of that which is offered by the local children's and health services. Building on the commissioning of the Family Information Service, the local parent partnership and the Parent and Carer Forum will all offer the opportunity to extend current</p>		

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		<p>commissions as opposed to creating new services needing 'new' funding. Early examples of support being offer to families to develop and manage their child include the commissioning of children's centres to provide this support.</p>		
<p>7. Resource allocation and integrated funding</p>	<p>Activity 1 Personal Budgets should reflect the holistic nature of the EHC plan and can include funding for special education, health and care provision. Resource allocation and Integrated funding arrangements to support this approach should be explored and put in place.</p> <p>Activity 2 Explore current spend, unit cost services and establish a set of data from which it is possible to cost up the current cost of individual support packages.</p> <p>Activity 3 Seek examples of approaches from other children's services (there are many). Agree the trial format and complete a test activity setting the results of the allocation questions against the current spend on individual support packages.</p> <p>Activity 4 In consultation with other children's services set out a simple table of allocations so everyone can see roughly what allocation they will get based on the result of the allocation questions, an 'indicative figure'. Local authorities should be clear that any figure discussed at the planning stage is indicative and a tool to support the planning process, including the development of the draft EHC plan. The final allocation of funding budget must</p>	<p>A simple approach to involving the child/young person and family in decisions about the amount of additional funding available if it is clear that the child/young person will need such additional funding to ensure that their support needs and outcomes are met. At the centre of the process are the principals of transparency and participation as outlined at the beginning of this document. School funding formula acts as a resource allocation system; benefits will be gained from ensuring that this is transparent and participative. Eligibility for additional funding across social care, health and SEN will be a necessity – these eligibility guidelines will need to be accessible to families so that they understand when or if their son or daughter may have a personal budget made available.</p>		

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	be sufficient to secure the agreed provision specified in the EHC plan and must be set out as part of that provision.			
8. Management of PB funds	<p>Activity 1 Discuss with your adult service colleagues the systems they have in place to support the use of direct payments and to manage budgets in-house. Explore opportunities to 'co-commission' and or jointly fund.</p> <p>Activity 2 Linked to market development involve providers in thinking through how they can manage personal budgets on behalf of a child/family. This will be one of the offers providers can make to families.</p> <p>Activity 3 Set out clearly the different sources of support, sources of information and the responsibilities and accountabilities for all. This includes providing information about organisations that can provide advice and assistance to help parents and young people make informed decisions about Personal Budgets.</p>	<p>The family will need information about the options, what they will mean, how budgets will be reviewed and what control they will have over how the personal budget is used; this will include if they should decide to take the funding as a direct payment.</p> <p>As explained there are four ways a personal budget (if requested) can be managed. This offer needs to be clearly made and skills embedded so that it is a true/real choice for the family.</p>		
9. Development of IT resources	<p>Activity 1 Map current systems with your colleagues in IT Support (this work is likely to be underway as part of developing an EHC Plan).</p> <p>Activity 2 Linking with people taking forward the EHC Plan to ensure there are appropriate 'fields' or 'areas' which will enable you to capture data on spend, management, use and reviewing of any personal budget.</p>	<p>The design and commissioning of IT support and resources will feature as part of both on-going business within your children's services and as part of taking forward '<i>Support and Aspiration</i>'.</p> <p>As noted there are key elements of personal budgets that need to influence how information is input, stored and reviewed. These elements include: finance data about the use of additional and individual funding/personal budgets; how they will be used and by whom; and how they will be managed, audited and reviewed and</p>		

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	<p>Activity 3 As part of your work on market development and management of PB funds encourage providers to examine their current IT systems and challenge them to ensure they can capture and report essential data.</p>	<p>where accountability lies. With the move to a more holistic approach to personalising support across health, education and social care thought will need to be given to how an EHC Plan and its storage on IT systems provides the basis for joined-up thinking about personal budgets and also about access to data across the three areas.</p>		
10. Safeguarding and risk management	<p>Activity 1 Seek evidence and paperwork from children's services who have progressed personal budgets, along with a review of current approach and practice across local services and partners.</p> <p>Activity 2 Involve key people within your area from services, families and VCS in setting out safeguarding guidance if needed which includes CRB checks (link to guidance on support planning).</p> <p>Activity 3 Agree policies if needed and guidance and publish as part of an approach to support planning and child/family-centred support. Set information and approaches within the training to the workforce and across partners including parents and families.</p>	<p>Safeguarding is an overriding concern and will run through the whole programme of work to deliver '<i>Support and Aspiration</i>'. Safeguarding will link with 'good planning', 'management of personal budget funds', 'market development' and 'raising awareness' with families.</p>		