

Personal Budgets (Version 5 – October 2014)

Appendix 3 – North East Champion - Personal  
Budgets Policy Checklist

## Personal Budgets Policy - Checklist

### Context

*The following document has been adapted based on a personal budgets policy workshop held in the North East (NE) of England by the North East Pathfinder champion. It is based on feedback from attendees on the day which had representation from 12 local authorities, parent carers, education, health and social care professionals, DfE, Preparing for Adulthood, Early Support and Mott MacDonald. The personal budgets toolkit (An offer of personal budgets by September 2014) is the basis for this document and contains further information. The purpose of developing this output from the day is to help LAs in the NE to draft their policy on personal budgets.*

### Requirement

The Code of Practice stipulates that local authorities must include information around personal budgets and in particular, a personal budgets policy must be produced with parents and young people. References to the relevant sections are included below:

*Taken from Chapter 4: The Local Offer (4.58)*

*The Local Offer ...must include information about the option of having a personal budget, including a **local policy produced with parents and young people**. This should provide:*

- A description of the services across education, health and social care that currently lend themselves to the use of personal budgets*
- The mechanisms of control for funding available...*
- Clear and simple statements setting out eligibility criteria and the decision making processes that underpin them*
- The support available to help families manage a personal budget*

### Key Principles:

- The policy should **not be** developed in isolation, but with active parent carer and young people participation.
- It must be written in an easy to understand manner that uses clear and concise language, with limited use of jargon where possible.
- It will be published as part of the local offer, and as such, will be subject to continual review and updates when required.
- The local offer will contain further information supporting this policy, as well as the services and provision that are available for parent carers, children and young people to access through a personal budget.

**The checklist below is an indicative framework to act as a guide in writing a personal budgets policy. This is based on the views and discussions from the North East champion workshop and has taken a regional perspective on the information contained in the 'An offer of personal budgets by September 2014'. It is the responsibility of each local authority to adapt this to their local area and to ensure that reference is made to the Code of Practice to ensure full compliance.**

Section	Description	Y/N	Action / Owner
Personalisation	Have you provided a short overview of how personal budgets fit in with the wider personalisation agenda and some of the background context? This could be achieved in a couple of paragraphs and should not be any more than 1 or 2 pages at most.		
Information on personal budgets	Have you described in a clear and easy to understand manner, what a personal budget is? There is a definition in the CoP which can be further illustrated using some simple examples of personal budgets (there are lots of examples from Pathfinders in the relevant <a href="#">information packs</a> however it would be best to use local examples where possible). This section also provides a good opportunity to debunk some of the myths associated with personal budgets (see <a href="#">Personal Budget Toolkit and FAQs</a> ).		
How to request a personal budget	Have you included sufficient information on how to go about requesting a personal budget? A key section, it should be very clear how to request a personal budget, including the steps of the process and associated timescales, as well as what happens if the request is declined and any options for redress. This should explain how parents and young people will be supported to consider their options and decide whether to take on a personal budget. This should also highlight where there is cross over and reference to other areas of the SEND reforms such as the EHC Plan and Local Offer. A pathway or process flow chart can be an effective method of presenting this key information. Pathfinders have used a variety of methods including this <a href="#">animated 'Presi' from Hartlepool</a> .		
Mechanisms for delivery of personal budgets	Have you provided information on the 4 different ways a personal budget can be delivered? This can be taken directly from the Code of Practice and illustrated further with some examples or scenarios.		
Direct Payments	Have you provided additional information on direct payments as a method of delivering a personal budget? It is recommended to engage with social care colleagues as many local authorities have		

	found it useful to build on the established systems for managing direct payments within social care that have been in place for many years. It should include sufficient information on consent and capacity, fluctuating capacity, transition, and stopping a personal budget direct payment.		
The differences between education, health and care	Have you included an overview of the key differences between education, health and care personal budgets? This section should include some information on joint strategic commissioning, and how this will seek to increase choice and control over time, and personal health budgets. It also needs to explain who may be eligible for a personal budget across education, health and care and explain the thresholds for accessing support.		
Information, advice and support	Have you provided details on how to access information, advice and support including area specific brokerage, mediation and options for advocacy?		
Safeguarding	Have you outlined the procedures for safeguarding and how existing protections are extended to those with a personal budget?		
Monitoring and reviewing	Have you included information how a personal budget will be monitored and reviewed and the steps and protocols around this? This should include information about changes should the child or young person's circumstances change.		
Key resources and further information	Have you provided details of how to find out more information if the reader cannot find what they are looking for or have difficulty understanding any of the information included within the policy? Key local and national resources such as the pathfinder website and Code of Practice links may be useful to include.		