

Personal Budgets (Version 4 - April 2014)

Appendix 2 – In Control and SQW ‘Support and
Aspiration: Introducing Personal Budgets’



Support and Aspiration Introducing Personal Budgets

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In Control

In Control has been working to develop self-directed support and personal budgets since 2003 drawing heavily on the work of the independent living movement led by disabled people. Our work with children's services took off in 2007 with the formation of the children's programme; over the past six years we have worked closely with over 50 children's services, many parents, families and other services across England and Scotland.

We have supported services in developing all parts of the infrastructure needed including resource allocation, planning, workforce and market development and commissioning to support personalisation and access to the mainstream and universal world of support for children, young people and their families.

We have worked closely with SQW over the past five years, and have developed strong partnerships and relationships with many organisations across the children and young people's world.

For more information about our work please visit www.in-control.org.uk.uk/children

SQW

SQW was founded in 1983 and is one of the UK's leading providers of social and economic research services. We work with a wide range of public, private and not-for-profit organisations across the UK, including central government departments (such as the Department for Education, Department of Health and Department for Business Innovation and Skills), local authorities, national development agencies and charities (such as the Big Lottery Fund and KIDS). Research and evaluation are at the core of our service offer, and work relating to personalisation, inclusion and service integration form one of our key areas of expertise.

SQW has extensive experience in this important and evolving policy area, which includes specific expertise in the areas of coordinated assessment and planning, multi-agency working (including keyworking), joint commissioning and resourcing (including personal budgets), workforce development and information sharing. Our experience also spans work relating to children, young people and their families, adults and local communities, and has most commonly comprised of long term national evaluations, research to inform decisions about new approaches and action planning at the local level.

For more information about our work please visit: www.sqw.co.uk

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The Vision

The vision underpinning '*Support and Aspiration*', a new approach to SEN and disabilities' (Department for Education – DfE, 2011) for the implementation of personal budgets is as follows:

- ✓ **Children's special education needs (SEN) are picked up early and support is routinely put in place quickly**
- ✓ **Staff have the knowledge, understanding and skills to provide the right support for children and young people who have SEN or are disabled**
- ✓ **Parents know what they can reasonably expect their local school, college, local authority local services to provide, without having to fight for it**
- ✓ **Aspirations for children and young people are raised through an increased focus on life outcomes**
- ✓ **For more complex needs, an integrated assessment and a single Education, Health and Care (EHC) Plan is put in place from birth to 25, and**
- ✓ **There is greater control for parents and young people over the services they and their family use.**

Introduction

In Control and SQW

This document sets out a clear framework upon which your local plans to implement personal budgets for children, young people and families can be built. It draws on:

- The draft Code of Practice for Special Educational Needs (DfE October 2013); in particular Section 7.12 Personal Budgets and more widely sections on the assessment and EHC plan and Family centred approaches.
- The draft Special Educational Needs regulations, in particular Clause 49 Personal Budgets and Direct Payments
- In Control's experience from a decade of work in adult social services, with NHS long-term health conditions services and seven years' supporting children's services through its Children's Programme¹
- The learning and evaluation evidence collated by SQW² in its role as lead evaluators of the Department for Education's³ (DfE) Individual Budget Pilots (2009-2013) and their on-going work (2011-2015) to evaluate the SEND Pathfinders who are seeking to implement the changes as set out in '*Support and Aspiration*', *a new approach for SEN and disabilities*' (DfE 2011).

Audience

This planning framework is aimed at those charged with the responsibility of rolling out personal budgets across SEN, health and social care by September 2014. It is expected this group will include one or more experienced family representatives as the ethos of personal budgets is based upon co-production, and therefore the roll-out should mirror this co-production between family, child, young person and professional.

The implementation planning framework

This document sets out an approach to planning the implementation of personal budgets. It provides a structure that, through extensive piloting has been proven to be very useful. It does not, however set out every detail. There is already much expertise within the SEND Pathfinder sites and those organisations involved in delivering '*Support and Aspiration*' and we recommend that this is drawn upon to help resolve local challenges when implementing personal budgets. Additional evidence to support the implementation of personal budgets and integrated funding mechanisms will also be provided through SQW's on-going evaluation of the SEND Pathfinder programme and through publications made available through the programme's support partners⁴.

¹ www.in-control.org.uk/children

² www.sqw.co.uk

³ www.education.gov.uk

⁴ www.sendpathfinder.co.uk/infopacks

Part 1 - Personal budgets - one part of a whole system change

'Support and Aspiration' sets out a transformational programme of change to the whole system and to the experience families, children and young people have of that system. Personal budgets are only one part of this change.

Personal budgets therefore, should be considered in the context of the system-wide change including the EHC plan, workforce development, market development and simplified assessment processes, and not in isolation. This document should inform wider plans to introduce the changes required to meet the forthcoming reforms of the support system for children and young people with SEN and disabilities, and be considered by partners in SEN, social care, health, schools, family organisations and the local market of support when developing plans.

Terminology

One of the challenges of developing personal budgets is to ensure a common language and a common set of definitions⁵. The following terms are ones used by the DfE, Department of Health (DH) and by SEND Pathfinders, and therefore the ones we have used in this document.

Individual budget – personal budget: The term originally used to describe the social care funding available to meet outcomes of assessed needs was individual budgets. In some areas this is still used, however 'Support and Aspiration' refers to personal budgets and this is the term most commonly used now.

There are different types of personal budgets, these include:

A personal social care budget: This refers to the budget that will be made available if it is clear that a young person or child is assessed as needing additional and individual support at home and when out and about in the local and wider community.

A personal health budget: This refers to the budget that will be made available should a young person or child have complex, long-term and/or a life-limiting condition/s. A personal health budget may also be made available to help with equipment costs or other health services. Children, who are supported through 'Continuing Care' funding, will have the right to request a personal health budget from April 2014. From August 2013, the NHS has the legal power to give direct payments.

A personal SEN budget: This is a sum of money made available by a local authority because it is clear that without this additional (*top-up*) funding it will not be possible to meet the child's learning support needs. The school/college involved will already have funding for learning support across the school; only pupils or students with more complex learning support needs are likely to need a personal SEN budget. In some circumstances the head teacher/principal and school or college/learning provider may choose to offer some funding towards a personal SEN budget; this will always be the decision of the head teacher.

In all cases the availability of a personal budget will be based on the support a child or young person needs in order for them to achieve a set of agreed outcomes and to have their identified support needs met. In some cases an EHC plan may not translate into a child or young person having a

⁵ A detailed glossary of terms is available on the KIDS 'Making it Personal' webpages
<http://www.kids.org.uk/files/107166/FileName/MIPglossaryforweb.pdf>

personal budget. In other cases a child or young person may have a personal budget from more than one source, i.e. social care, SEN and/or health.

Children and young people who don't have an EHC plan

Personal budgets are being used increasingly as part of a strategy around early intervention, recovery, family crisis, exclusion from school, and long-term health conditions or other circumstances identified through assessment.

A child, young person or family may be offered a personal budget for social care or for health support without having an EHC plan, i.e. having an EHC plan is not the only way a personal budget may be offered to meet identified social care or health needs.

Managing a personal budget

There are four ways in which a personal budget can be managed:

1. The family can choose to take the personal budget as a direct payment and manage it themselves (with options for support to do this available).
2. The family can ask a third party service or organisation to manage it on their behalf; this is often called an individual service fund (ISF).
3. The family can ask the local authority to manage it on their behalf.
4. The family can choose to have a mix of the three options; part direct payment, part ISF, and part organised by the local authority.

In some circumstances, usually identified through the assessment process, the choice of taking a personal budget as a direct payment may be withheld. As set out in direct payments legislation the reason is likely to be safeguarding concerns and/or issues around consent (in particular around 16 and 17 year olds⁶).

Commissioning and personal budgets

Personal budgets are only one part of the total support on offer from health and local authority provision and one strand of the comprehensive changes set out in *'Support and Aspiration'* and subsequent drafts of the Children and Families Bill. Such a whole scale system change will involve commissioning at all levels, be in line with government policy and reflect a more joined-up and holistic approach to the meeting of children and young people's needs. Joint commissioning is key to both the successful introduction of personal budgets and the successful enactment of the changes set out in *'Support and Aspiration'*⁷. A robust approach to thinking through commissioning activities at all levels will be vital as shown in the examples below. Commissioning and personalisation is explored in length in *'Making It Personal, a Guide for Commissioners'*⁸ and in the SEND Pathfinder Information Packs⁹.

Personal budgets are one level in a simple three-tiered approach to commissioning:

⁶ <http://www.legislation.gov.uk/ukxi/2009/1887/note/made>

⁷ SE7 Framework for Joint Commissioning, April 2013 www.se7sendpathfinder.org.uk

⁸ Making It Personal, A Guide for Commissioners, OPM and KIDS, www.kids.org.uk/makingitpersonal

⁹ SEND Pathfinder Information Packs, Joint Commissioning, Version 2, Mott Macdonald, September 2013

1. **Strategic commissioning** – On a regional, sub-regional, or strategic level and led by the Health and Wellbeing Board in conjunction with education colleagues.

For example: the strategic commissioning of a number of fully accessible changing rooms across a city, enabling a far wider group of disabled children, young people and adults to use the city centre as and when they choose, with the individual support they need funded by their own personal budget.

2. **Operational/community/targeted commissioning** – focused on a client group, diagnosis, service or local need and led by services in response to local need.

For example: the commissioning of a team of specialist teachers and sensory support workers to cover support across schools in a local authority area. This service's remit includes training personal assistants who are supporting children and young people with complex sensory support needs in school and also outside of school. The personal assistants are employed by families using their personal budgets.

3. **Individual commissioning** – personal budgets (or use of additional funding where a personal budget has not been requested by a family).

For example: a family commissioning a team of personal assistants through the use of their son's personal health budget. These personal assistants would be trained by specialist physiotherapists to support the young man with daily physiotherapy.

A useful starting point for thinking through commissioning, as used by the SE7 SEND Pathfinder group¹⁰ is described below, using a simple graphic to aid discussion and debate about value for money and efficient use of resources, whilst acknowledging that there will be a group of children, young people and families for whom individual and additional provision will need to be made available.



Figure 1: Quadrants for personalisation, In Control 2012¹¹

Universal services and the mainstream: Activities, resource, services and provision accessed by the wider local population, e.g. a mainstream school, accident and emergency services, GPs and local community nurses, a local college, and work experience provision.

Targeted services and support: Services and support focused on a group, community, common need, and/or geographic area, e.g. teenage pregnancy services, cancer support, special schools,

¹⁰ SE7 Framework for Choice and Control, January 2013 www.se7sendpathfinder.org.uk

¹¹ Figure 1: Quadrants of personalisation, based upon work by OPM, 2008

sensory support services, speech and language therapy, family activity and fun days, funded short breaks, literacy support at schools, and youth clubs.

Social capital and community wealth: All the informal networks and support which exists within communities and neighbourhoods, the sum total of a community's members 'real wealth'¹², e.g. social networks, interest or hobby clubs, faith groups, neighbours, action groups, local meeting places and community activities.

Choice and control, self-directed support: Individual level commissioning and the additional funding and support an individual needs to participate, achieve and enjoy their lives like others. This works at the individual level focused on an individual's situation, their family, identity, and beliefs, and, often with support to allow them to be themselves, to have a healthy home life, to participate in learning, local activities and opportunities and to be safe.

The SE7 SEND Pathfinder group uses the quadrant above to explore what is already available locally, i.e. what is currently being commissioned and how personal budgets fit with or challenge current practice. In all cases the discussion focuses on what can be offered through strategic and targeted commissioning to create an accessible and supportive offer in the mainstream and through targeted support to as many children and young people as possible, and where the allocation of a personal budget will be needed to fund the additional support a particular child may need. It can be applied at a strategic level, used to think about provision within a school or learning provider, to think through health services and to think about social care provision. It also helps to think through the repercussions of commissioning decisions.

Personal budgets across SEN, health and social care

'*Support and Aspiration*' promotes a more joined up approach to supporting children, young people and their families; an approach which delivers a more personalised and holistic response. While personal budgets are becoming well established in social care services, the government changed the Direct Payment law in August 2013 so the NHS can give direct payments for personal health budgets and people who have continuing care have been given the "right to ask" for them from April 2014, with an expected expansion to anyone with long-term health issues who will benefit to have the right to ask from April 2015. Within the education field personal budgets are still very new and until recently it has been a challenge to offer a clear definition. It has been particularly challenging as at the same time as introducing an aspiration for personal SEN budgets, a new approach to school funding has been launched¹³.

The process of setting out a pathway for social care personal budgets includes an investment in time to establish an approach to their allocation which in turn means costing current services, direct payment packages and developing a menu of unit costs. A similar approach is underway with regard to health services. The challenge is to explore how this is done in the education world at the same time as school/college or learning provider funding is being redesigned.

In all instances, there should be a common approach to personal budgets that:

- Everyone including families understands,
- Any funding identified as part of a potential personal budget can be taken as a direct payment, and

¹² Page 8, Building a new relationship with children, young people and families, Crosby, N. In Control, 2012 <http://www.in-control.org.uk/media/123106/building%20a%20new%20relationship%20final.pdf>

¹³ <http://www.councilfordisabledchildren.org.uk/schoolfundingparentsbriefing>

- The allocation of a potential personal budget will relate to amount of support the individual child's needs to achieve identified outcomes.

Underpinning this should be a consistent, transparent and participative approach. This in turn raises some simple questions whichever funding stream is being considered:

1. What funding will be made available to form part of a potential personal budget?
2. How will the local authority, schools forum and local Clinical Commissioning Groups (CCGs) meet their responsibilities to provide services to a wide and diverse population of children, young people and families whilst being clear when and how a potential personal budget will be made available?
3. How and what information will be provided to families to enable them to make informed choices about funding and to decide whether they will request a personal budget?
4. How will families access support to help them manage a personal budget as a direct payment?

The EHC plan will set out in detail all the provision being made available (including the additional and individual provision/personal budget). The following diagram (Fig 2) sets out a pathway around the development of an EHC plan including allocation of additional provision (which upon the request of a family can become a personal budget).

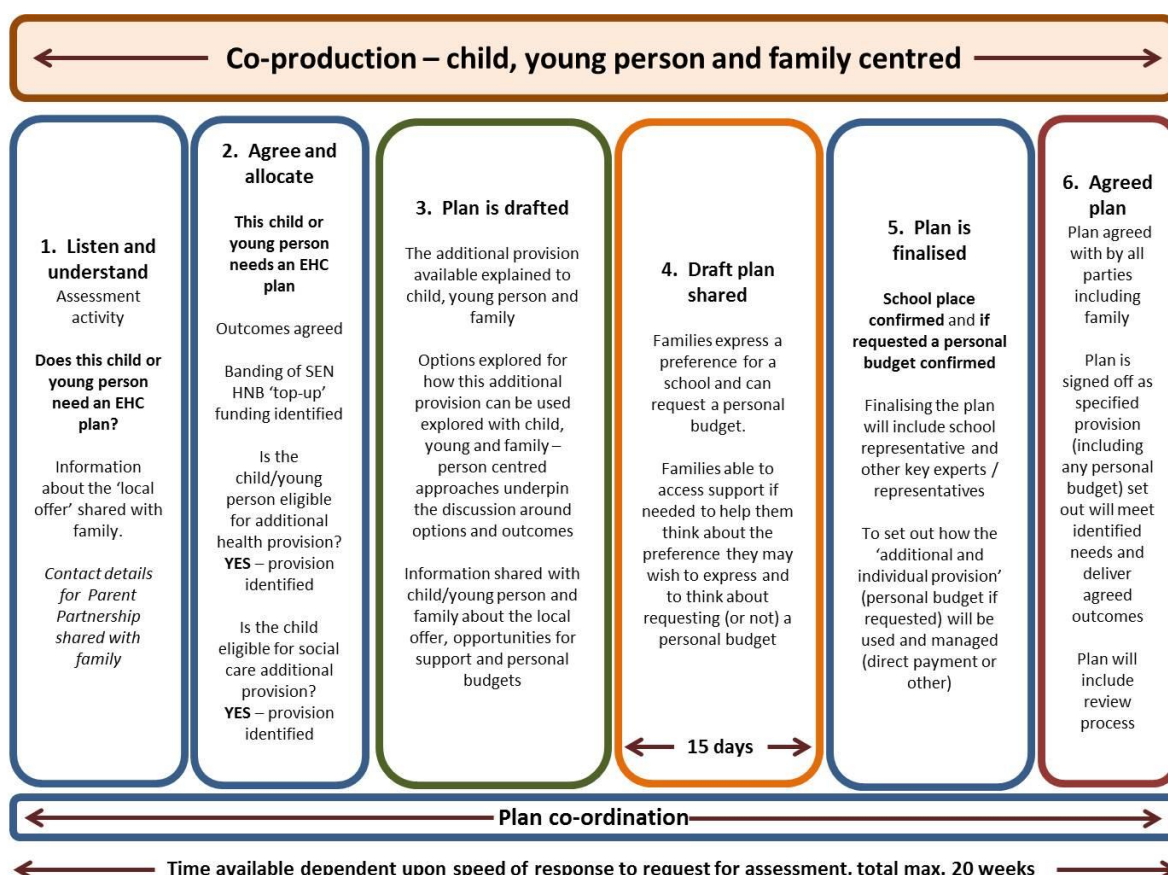


Figure 2: From agreement to offer of an EHC plan to agreement of the plan¹⁴

¹⁴ Developed by In Control, Preparation for Adulthood (DfE SEND Support programme) with SEND Pathfinders (July 2013)

Requesting a personal budget

Within the Children's and Families Bill and in the future Code of Practice it will clearly state that a 'family may request a personal budget' where an EHC Plan is being prepared or where a child or young person have an EHC Plan and where eligibility has been clearly established. The above diagram includes this 'request' as part of the 'draft plan' alongside the 'stating of a preference of school or post-16 learning opportunity' in Step 4. Step 3 in this pathway provides time and support for the family to explore options for the support of their child. This will include using person-centred approaches to explore these options (including schooling). The intention of these steps is to make sure families have all the information they need and some ideas about the different options available when it comes to selecting a school and requesting a personal budget.

If, after exploring the options available to them and in full knowledge of the amount of additional and individual funding available, the family decides not to request a personal budget, the local children's service will use the additional and individual provision, in co-production with the family, to commission the additional support needed.

Aligning personal SEN budgets with school/college funding

Work to align SEN budgets and school funding has been taken forward by a number of SEND Pathfinders. The quadrant graphic below (Fig 3) has been used successfully to describe the different approaches to commissioning.

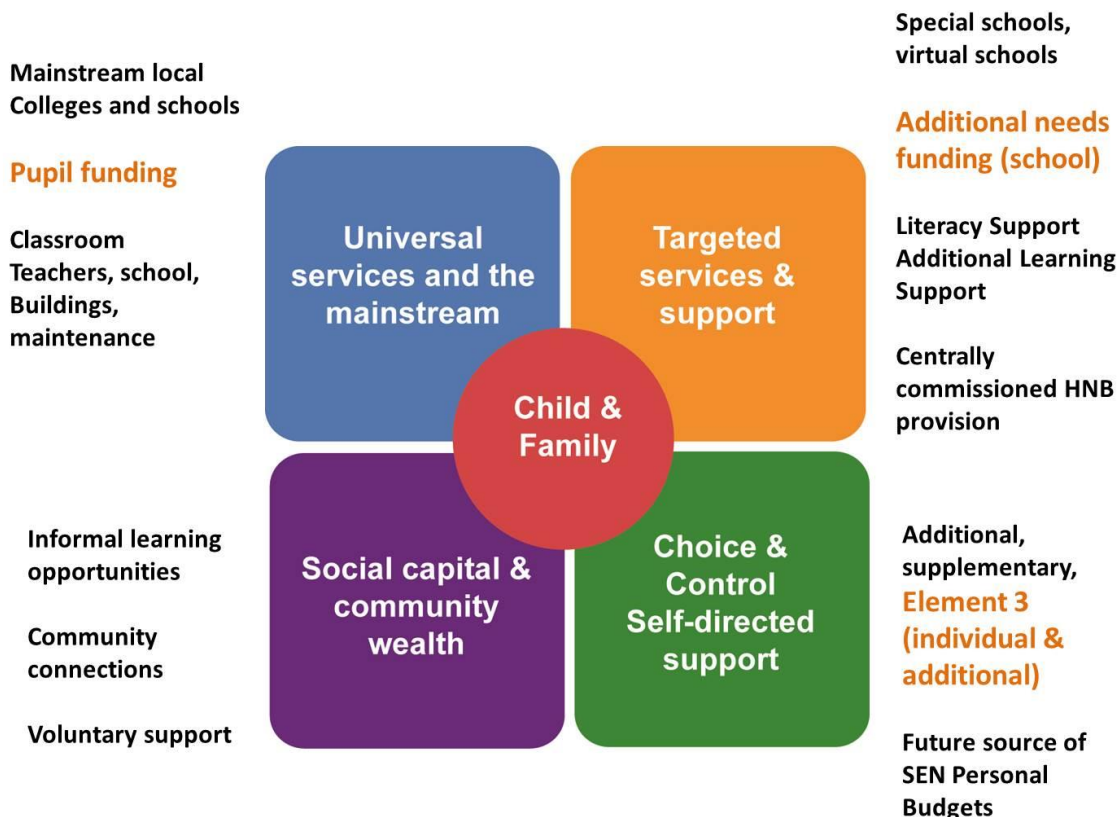


Figure 3: The quadrants and funding from education, health and social care.

In the above graphic:

- **‘Pupil funding’** refers to the standard ‘per place’ allocation of funding to a school.
- **‘Additional needs funding’** refers to the funding made available to the school to meet the additional learning needs of the pupils attending the school. This targeted funding also includes ‘centrally commissioned’ provision, i.e. segments of the high needs block.
- **‘Element 3’** (individual and additional) refers to the ‘top-up’ funding made available through a ‘banding’ approach to meet the additional and individual support needs of a child or young person.

As outlined in the introduction to this document, no part of this funding can be described as a personal budget yet; ‘pupil funding’ will not be part of an SEN Personal Budget. The additional and individual provision (funding) only becomes a personal budget if requested by the family. What is available from SEN funding as a potential personal budget will also be shaped by what school preference is expressed by the family. The graphic above provides a simple basis for understanding the different funding streams, the relationship between different commissioning activities and where there is potential for a personal budget.

The DfE has also set out a simple definition and graphic, as shown below (Fig 4)¹⁵. Their definition of funding to support personal SEN budgets is as follows:

- Can **definitely** come from funding provided by the local authority from their high-needs block
- Can **possibly** come from funding managed by an education provider, where the head or principal is in agreement.

This definition explains where funding will and ‘may’ come from with the agreement of the education provider. There is no expectation that the school will release funding from its own budget, but there is the opportunity for a school to choose to do this if it is clear it is the best way to improve outcomes and the support the child or young person receives.

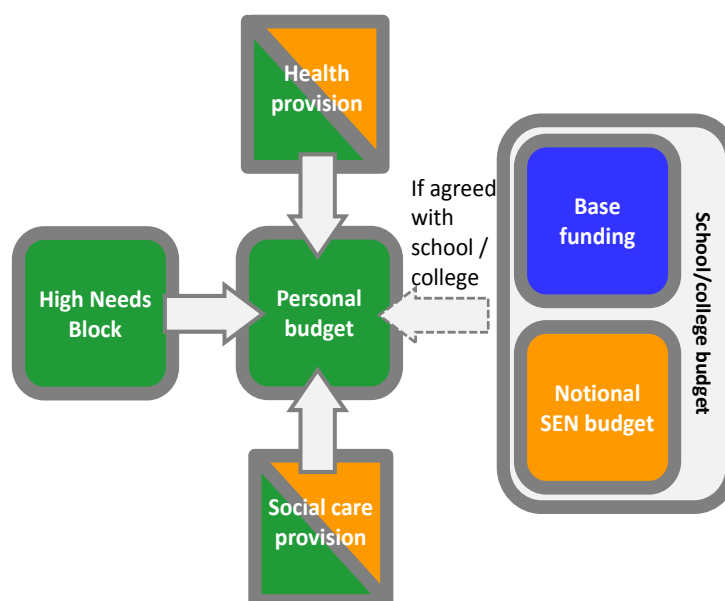


Figure 4: Funding available for a personal budget (DfE and Mott Macdonald, June 2013).

¹⁵ SEND Information Packs, Section B – Personal Budgets, Mott Macdonald June 2013

The 'High Needs Block' (HNB) is seen as the primary source for potential personal SEN budgets; however the HNB is also the source of funding for targeted support such as specialist teacher services, sensory impairment support and of funding for out-of-area placements, i.e. it is a commissioning budget and hence the same approach should be adopted to exploring how it is currently used and how this will develop.

Now it is clear what 'is' and 'isn't' included within a potential personal SEN budget, the challenge is to integrate this with the approaches being developed with local authorities in response to the national school funding reforms. This is best done through the development of an EHC plan for a child or young person as the allocation of potential personal budgets (the additional and individual funding available) will need to be part of the child and family-centred assessment and planning pathway developed to deliver the EHC plans. The steps below outline how this can be done:

1. Once it is agreed that an EHC plan is needed a decision can be taken about the banding of additional learning funding available based upon the assessment. This funding will relate to the additional funding placed within the school/college budget to fund specific support for the child/young person, and in exceptional cases funding on top of that placed within the school budget which may be available as a potential personal budget.
2. At the same time an allocation exercise can be undertaken if the child/young person is eligible for social care funding and/or continuing healthcare funding.
3. A draft plan which sets out the provision made available in addition to that delivered through the school and via social care and health services is shared with the family. The family can then state a preference for a school or college for their child. It is at this point a family can request a personal budget. To support them in this decision information will be available about any potential personal budget and how the additional and individual funding available will be used based on the preference they make.
4. Once the provision delivered through targeted support, the preferred school and any available personal budget has been offered/agreed in response to a request then the family, child, young person and their support person can set how the additional and individual funding will be used and managed.

The finalised plan will set out how all the provision, including that which is funded through a personal budget will meet the support needs of the child or young person. It will also explain how the money in detail will be used, managed and audited.

Integrating a personal budget from more than one source

The EHC plan provides the formal basis for integrating funding from more than one source. The vision set out in '*Support and Aspiration*' aspires to a more holistic approach to support; personal budgets provide a tool to do this in a very practical way. Funding from education, health and social care will all be associated with certain outcomes, support needs and 'conditions' attached, however as per the earlier discussion on joint commissioning, this is an opportunity to unite funding under a common set of outcomes delivered through the EHC plan.

It is the responsibility of the three central partners; social care, education and health, to put in place local arrangements to govern the integration of budgets. There are examples of how this can be done from work by SEND Pathfinders centering on:

- A shared understanding of the benefits of holistic support to child/young person and their family

- A common set of outcomes which outline what the EHC plan will provide
- Senior leadership support and their support in removal of any barriers which may exist
- An EHC plan which evidences how the integrated personal budget will be used to provide the support needed and to deliver the agreed outcomes
- Clarity about funding responsibilities and accountabilities; who is funding what provision and who is accountable for the use of the funding and the delivery of the provision
- The strategic alignment of budgets prior to any allocation focused on delivering a single support package for a child or young person and their family.

Issues such as clinical, safeguarding and learning governance can and should all be built into the EHC plan. In most cases clinical governance remains the duty of the health provider/commissioner, similarly if safeguarding measures need to be in place this rests with the child's social worker and a teacher/SENCO would retain oversight of funding to improve learning outcomes. This means the funding of clinical governance for example is not part of a personal health budget but part of a commissioned/provided service (i.e. targeted). The flow diagram below (Fig 5)¹⁶ shows the early work done in Wigan, drawing from strategically aligned budgets, to allocate an indicative amount of funding from one or more funding streams using a simple set of questions and using this to create a plan delivered with the support of a voluntary service.



Figure 5: Integrating funding from one or more source in a single EHC plan around a child/young person and their family (Wigan 2013) (RIQ – Resource Indication Questionnaire).

How do we measure success?

There are two key principles that underpin what ‘success’ looks like. The whole ‘*Support and Aspiration*’ agenda is based upon moving away from the existing culture experienced by families and services, to a relationship where people are enabled to work together to set out how best a child, young person and their family can be supported to realise outcomes and to ensure that needs are being met in the best way possible. These two principles are:

- **Transparency** – everyone understands what is happening, when and how decisions are reached.
- **Participation** – everyone who needs to take part can do so, and those who need support to participate are supported to do so.

These two principles signal a move away from families’ experiences of feeling that decisions are made behind closed doors and from professionals supporting families feeling they are not able to make decisions as they are not clear about their own responsibilities and sector changes.

Transparency and participation set the base for a more equal and open relationship. Thinking specifically about personal budgets, this can mean professionals being clear about how an allocation

¹⁶ SEND Information Packs, Section B – Personal Budgets, Mott Macdonald September 2013

system works and families understanding how that allocation system will result in a personal budget for their child. It will mean families working alongside key people to develop a plan that sets out how their child gets the support that fits with their life, aspirations and situation. On a wider scale it means local authorities, schools and health services being clear about what resources they have to support children and young people and involving parents and families in decisions about how these resources are used¹⁷.

Ensuring these two principles are at the heart of work on personal budgets and the wider transformation aspired to in '*Support and Aspiration*' means valuing the contribution families make to the welfare, health and education of their child whilst also valuing and making best use of all the skills and expertise within the workforce. It does this through challenging the complicated and inefficient culture of the past by ensuring that everyone understands what is happening and everyone who needs to take part is supported to do so.

This document sets out a framework upon which to base a detailed action plan, and therefore an opportunity to put into practice both 'transparency' and 'participation'. Along with what it means to parents and families, outcomes and outputs, the framework includes examples drawn from across the country where services and families, the local Community Volunteer Services (CVS), health services and schools have worked to deliver personal budgets in a transparent and participative way. Such an approach may take more time and may not be a quick and straightforward way to delivering a policy agenda, but it is clear that this investment in people, time and effort is much more successful and delivers real change.

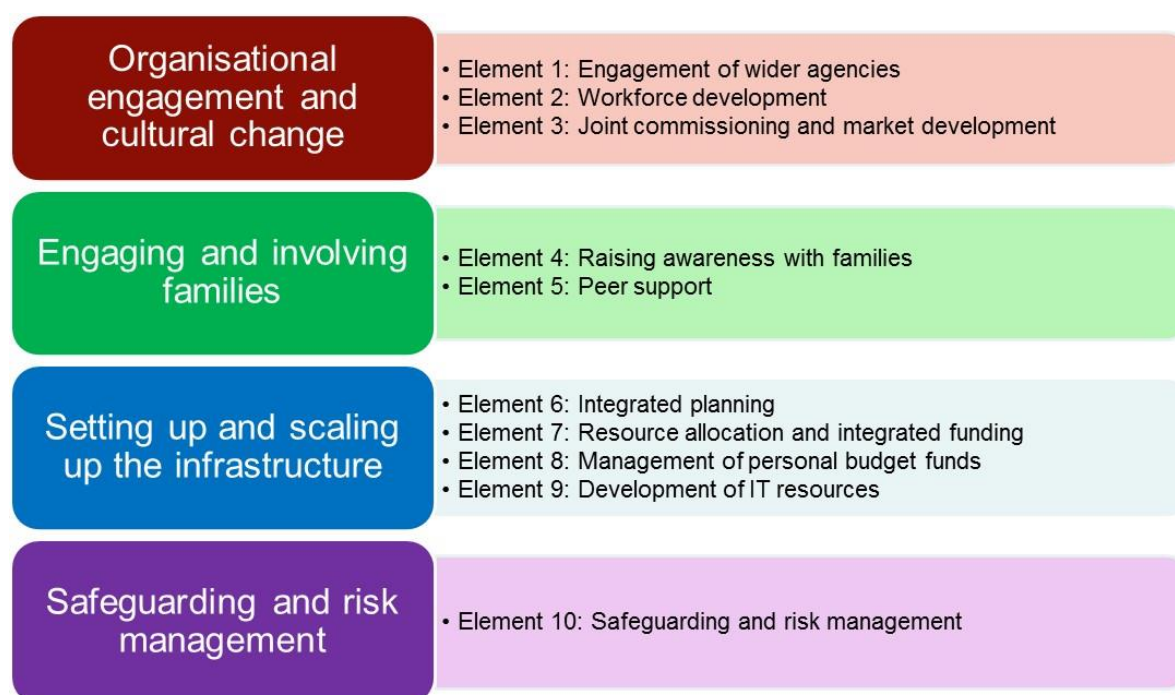
¹⁷ SEND Information Packs – Co-production, Mott Macdonald September 2013

Part 2 - The Common Delivery Model

The Common Delivery Model (CDM) was developed by SQW as part of a scoping study to inform the development of the individual budget (IB) pilot programme for the DfE in 2008-2009. It aimed to provide a flexible framework against which the pilot sites could structure their thinking and activity and through the subsequent SQW evaluation of the IB pilot programme, the CDM was validated as a useful planning tool.

In Control has worked closely with SQW and has, with their permission used the CDM to plan the comprehensive and detailed work needed to successfully introduce personal budgets.

The CDM is set out under four themes, which are broken down where relevant into a set of elements to inform the planning and delivery of individual/personal budgets:



Source: SQW

SQW further developed the CDM, resulting in the Common Delivery Framework (CDF) to provide a similar structure to inform the broader development and evaluation of the SEND Pathfinder areas. [Appendix A](#) provides an illustration of the CDF and its alignment with the CDM.

The link between the CDM and CDF further illustrates the alignment between the introduction of personal budgets and the wider SEND reforms; personal budgets will be key to many families' plans, will challenge the local market and offer of support, will play a key part in commissioning strategies and will have to be part of any workforce development plans as their use is often a radically different way of meeting support needs and delivering outcomes.

Explaining the layout of the implementation plan

Using the CDM, the document provides a set of guidance and practical examples to inform the development and delivery of an offer of personal budgets as part of the changes set out in the Children and Families Bill set to go live in September 2014.

This includes: a brief explanation of each element of the CDM, followed by a table of associated outcomes and outputs to frame your developments; a list of suggested activities to get you started; and a summary of some of the main challenges that may arise during scaling up and rolling out.

The Common Delivery Model: The element of the CDM			
Outcome:	<i>Setting out the outcome of work</i>		
Outputs:	<i>Distinct outputs of work</i>		
Getting started Essential Activities:	<i>Activity 1</i>	<i>Activity 2</i>	<i>Activity 3</i>
Scaling up/roll out	<i>An example of work on this, outcome, outputs and how transparency and participation underpin this work</i>		
Risk	<i>Highlighting risks related to delivering this area of work</i>		

Following the table are examples of good practice gathered from SEND Pathfinder and other areas and links to a number of useful resources.

The challenge of scaling up activity

Scaling up an offer of personal budgets from the early work to a full scale offer central to delivering the reforms set out in 'Support and Aspiration' will mean including personal budgets within the planning pathway and appreciating the impact of personalising provision on the current offer of support to children, young people and families. There should be no assumption that each area will simply adopt exactly the same model as everyone else; solutions will build on local strengths and opportunities and hence the delivery of personal budgets will be informed and steered by both local families and services.

Sources of information

Each element of the CDM includes examples of practice from different areas of the country. There are also links to useful documents, websites and papers. Alongside these there are a key set of publications which underpin all areas of work. These are:

www.sendpathfinder.co.uk – site managed by Mott MacDonald as part of their work as support partner for the SEND Pathfinder programme.

SQW IB Pilot Programme Scoping and Evaluation reports -

<https://www.gov.uk/government/publications/individual-budgets-for-families-with-disabled-children-scoping-study>

<https://www.gov.uk/government/publications/individual-budgets-for-families-with-disabled-children>

<https://www.gov.uk/government/publications/evaluation-of-the-extended-individual-budget-pilot-programme-for-families-with-disabled-children-the-extended-packages>

Council for Disabled Children - <http://www.councilfordisabledchildren.org.uk/resources/our-partners-resources/personalisation-resources>: a library of resources that offers examples, experience and information about work underway across the country.

www.in-control.org.uk/childrenandyoungpeople webpages hosted by In Control sharing resources, reports and stories of work to introduce and roll out personal budgets to children, young people and families, along with links to wider work across all ages and health services.

Organisational engagement and cultural change

Implementing the new Code of Practice, regulations and the Children and Families Bill will require a strategic partnership that takes responsibility for delivering these changes. There are key practical actions this group will need to lead with regard to personal budgets whilst ensuring the whole programme of change is co-ordinated and changes such as the new EHC Plan are taken forward in conjunction with personal budgets.

Engagement of wider agencies

Health and Well-being Boards along with their local education leads and schools forum will be the prime leaders in this development. Strategic leadership is essential, and similar partnerships and close working will need to exist at all levels across health, social care (including adult social care services), education, the local voluntary and community sector and parent/family representative groups.

Many items set out in this plan will need strategic leadership; commissioning a more accessible offer of mainstream support, or, integrating funding from one, two or three different sources for example, along with a whole programme of skills development, job/role evaluation and new workforce structure.

Families, parents, young people and representative groups should be a key part of this, they, often through a representative body, will be members of the strategic group and their participation will be key at all levels of activity. The active participation of families, children and young people (not simply being 'consulted with') will be a measure of the success of the strategy and will be a key factor in successfully reforming the current offer of support.

Engagement of wider agencies	
Outcome:	<p>An engaged, informed and committed local partnership of services, professionals, families, children and young people.</p> <p>A unified approach to delivering personal budgets, linked to the wider '<i>Support and Aspiration</i>' programme and supported by the whole local partnership, with associated sustainable capacity to lead, drive and deliver the required work.</p>
Outputs:	<p>A strategic and operational plan of work signed off by the Health and Wellbeing Board and actively supported through participation by all parties, and a commitment from Board members to support the delivery of the plan including:</p> <ul style="list-style-type: none"> - A plan to commission peer support for children, young people and families - Readiness to offer personal budgets to families in receipt of a statement of SEN or EHC Plan from Sept 2014 - Internal capacity and/or commissioned support to carry out coordinated assessments, co-produce EHC Plans with

<p>families and deliver the outputs as set out in the plan over an agreed time period, i.e. moving from pilot to roll out of an offer of personal budgets (including parent representation and family leadership)</p> <ul style="list-style-type: none"> - A plan to deliver a joined-up approach to the provision of information and to support key family representatives to participate in this process - A joined-up plan for workforce development which includes person-centred approaches, strength-based and outcomes-focused planning and support alongside the new system of assessment, planning and reviewing - A plan to develop a local market of support, access, activity and opportunity for families in using a personal budget alongside a strategic and targeted approach to commissioning access and specialist support across health, SEN and social care - A joint approach to outcomes and impact measurement centred on the EHC Plan and the use of personal budgets as part of the new system. 			
Getting started Essential Activities:	Activity 1 Develop clear and concise information about personal budgets and the challenges they represent for all parties.	Activity 2 Invite all to participate in one or more or on-going workshops/meetings.	Activity 3 Present Action Plan to the group which clearly identifies the roles of all members and seek commitment to support and deliver.
Scaling up/roll-out	<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. 		
Risk	<ul style="list-style-type: none"> - Lack of involvement of one or more partners – their lack of involvement derails, delays or means work is wasted - Lack of involvement reflects resistance and/or misunderstanding or misinformation - Lack of links to wider work means work in either strand is limited in its use due to the lack of 'joined-up' work - Those with commissioning responsibility take forward commissioning decisions which impact on the short and long-term introduction of personal budgets across health, education and social care - A lack of capacity to deliver the joined-up approach 		

- A lack of engagement of families and parent representation including a disparate approach to the provision of information leading to disenfranchised families and increased concern about personal budgets
- Personal budgets being inefficiently used to maintain an underdeveloped and pro-active market, i.e. costs remaining high and no discernible improvement in outcomes (restrictive rules around use of a personal budgets and overly bureaucratic systems both contribute to such inefficiency).

Examples – Engagement of wider agencies

All SEND Pathfinders developed a strategic plan at the outset of the Pathfinder programme, as a means of clarifying their objectives and the activities that would be undertaken to achieve these. The three resources listed below from SE7 represent agreed frameworks across seven local authorities that will underpin work on assessment, planning, personal budgets/choice and control and joint commissioning. These explain the work, the underpinning principles and the key elements of the SE7 approach and hence provide others with a useful structure to begin work and to plan activity. Each of the seven local authorities in SE7 have taken forward work in their own way; the three frameworks simply providing a structure to inform their own planning and activity.

- SE7 Information about personal budgets for families – simple and family-led information about personal budgets across SEN, social care and health.
- SE7 Framework for Choice and Control – personal budgets as one part of promoting choice and control for families, children and young people.
- SE7 Framework for Joint Commissioning – setting personal budgets in a structure of joined-up commissioning across SEN, social care and health.

These resources and many others are available through the SE7 website:

www.se7sendpathfinder.org.uk

The following documents will offer useful information, examples and work which will inform strategic leadership and partnership working. This is not an exhaustive list:

- Making it Personal – Information for families (In Control and KIDS) 2012: Detailed information about personal budgets, their use and stories of the impact of personal budgets on the lives of children, young people and families (being re-drafted 2013-14).
- Making it Personal – Information for Commissioners (OPM and KIDS) 2012: Detailed information and guidance for commissioners across SEN, social care and health (being re-drafted 2013-14).
- Introducing personal budgets for disabled children, young people and their families in Medway (In Control 2011): Report prepared for Medway Children's Services which sets out the first steps to introducing personal budgets structured around the CDM.
- One of many approaches to developing family leadership and supporting parents in developing their self-advocacy skills; Partners in Policy Making
 - <http://www.partnersinpolycymaking.co.uk/About%20Us.aspx>

Workforce development (combines the original recruitment of designated staff and change management elements)

Personal budgets will mean the workforce undertaking a set of different tasks and the potential emergence of a group of new professional roles. New posts may be created such as ‘keyworker’ or ‘plan co-ordinator’, or all staff may be expected to potentially fulfil a plan co-ordination/keyworking role. With such a huge programme of change there is a risk that mythology, concerns and negativity can build up and be directed inappropriately at one part of the change being planned – personal budgets offers itself as one such target. Providing the wider workforce with a chance to hear, learn and discuss what personal budgets can and will mean is therefore a key part of early work.

For families, the support they receive from workers is of paramount importance; they report frequently about a lack of knowledge from the people who are supporting them, meeting workers who don’t understand personal budgets, who don’t see it as a positive approach to support and who often downplay their potential and question families’ enthusiasm. Within the wider programme of change, families will need to be central to the development of new roles such as keyworking or plan co-ordination, with their views taken seriously and their ideas around good support used to model a workforce which sees its role as supporting a family to bring up their son or daughter.

Workforce development	
Outcome:	<p>An informed workforce, who over a period of time are kept up to date with changes, learning and experiences and who understand that they will be involved in taking forward personal budgets, that changes will be explained and that they will have regular opportunities to discuss these changes with others.</p> <p>A knowledgeable and involved workforce, who have clear and widely accepted authority to deliver their roles in the new system-wide approach, with a good understanding of how personal budgets work and how they are a key part of offering children, young people and their families more personalised and tailored support.</p>
Outputs:	<p>Key staff with sufficiently established experience to support wider group of staff to take forward this work.</p> <p>A workforce development plan (linked to wider ‘<i>Support and Aspiration</i>’ work).</p> <p>A training and awareness raising programme to ensure that key messages are communicated clearly, concisely and that staff have access to on-going discussion opportunities.</p> <p>Opportunities for parents/carers to support other families or to carry out keyworking functions for themselves.</p> <p>A library of information, guidance and policy which documents how personal budgets across SEN, social care and health will work, how they will be allocated and can be used, and how they will be reviewed; this should include information about how personal budgets fit with the EHC Plan and how they may be managed through a direct payment, individual service fund, by the local authority or as a mix of these three options.</p> <p>Training resources covering personal budgets, their use, allocation, part within the assessment and planning process and their role in delivering child/young person-centred provision, management and reviewing.</p> <p>A regularly updated information resource/forum keeping staff up-to-</p>

date with work; linking with the work to introduce a single EHC Plan and streamlined assessment process.			
Getting started Essential Activities:	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.	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.	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.
Scaling up/roll out	<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 - 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>		
Risk	<ul style="list-style-type: none"> - Dis-enfranchised staff sabotaging work on personal budgets - Purely giving informational training instead of ensuring “understanding” of the ethics behind self-directed support - Staff resistance as it is viewed as a budget cutting agenda as opposed to one focused on improving outcomes - A lack of creativity and flexibility in the way families are supported to plan and in the actual finished plans - The work to recruit staff to the wider programme of work will be on-going and essential; personal budgets need to be explained as part of this wider approach as opposed to being explained on their own. They are a key part of the reforms - Personal budgets and their use will be a key part of the EHC Plan; work to develop the plan, paperwork and approach should be interlinked to the development and use of personal budgets. 		

Examples – workforce development

Practical examples:

Middlesbrough

The service workforce were involved in three days of training at the very start of work on personal budgets; what it all could mean, resource allocation, and support planning. This early involvement

resulted in a supportive and committed workforce across in-house services, social workers and support staff.

East Sussex

A programme of lunch-time drop-in sessions, some with a focus on key issues such as allocation questionnaires, others more open to pick up current challenges was undertaken. This approach is being replicated across many children's services.

Cambridgeshire – Restructuring the social care workforce (Case study)

In Cambridgeshire, following successful piloting of personal budgets, work was undertaken to re-structure the disabled children's social care service around the use of personal budgets alongside a broader social care restructure with a focus on Social Work Working For Families. One of the key concerns, shared by many others across the country was how to maintain both a focus on creative planning and also manage accountability. Cambridgeshire spent time training team managers, enabling them to feel confident in reviewing and challenging support plans and setting 'creativity' as a key feature of a good plan. Plans which simply replicated the current service offer were viewed as poor plans. This was picked up through supervision. A restructure saw the establishing of two Self Directed Support teams (SDS) across the county. The majority of panel systems have been removed with frontline Social Work Managers able to sign off plans up to a value of £5,000, and Group Managers up to £20,000. Only where the budget exceeds £20,000 does the Head of Service have to be involved in decision-making. Whoever signs off the plan, signs the plan along with the parents/representatives. The overall process of decision-making is then overseen by a monthly monitoring group to ensure consistent practice.

Introducing the role of a keyworker – Darlington Disability Advisory Service commissioned to deliver a keyworking service (Case Study)

Keyworking in Partnership Project is funded by the DfE and aims to develop services that support disabled children, those with SEN and their families.

Keyworking is a way of working with families to make sure they are at the centre when preparing for their new EHC Plan (One Plan) or a statement of SEN by developing skills and person-centred processes to increase choice and control.

Keyworking in Partnership:

- Provides support for children, young people and their families to participate in producing their One Plan
- Provides on-going support to families throughout the assessment and planning processes
- Offers peer support to children, young people and families to participate in the keyworking process
- Offers training opportunities for children, young people and families; including participation training and keyworker training
- Will work closely with Darlington Borough Council's Pathfinder project to achieve better outcomes for children, young people and families.

Newcastle Children's Services – The Big Handbook

'The Big Handbook' written by Tim Keilty and Skills for People for Newcastle Children's Services and sets out the personal budget pathway for social care and in so doing provides a useful and easy to read guide to the whole process. Such information will be as useful to workers as it is to families, children and young people.

https://www.newcastle.gov.uk/sites/drupalncc.newcastle.gov.uk/files/wwwfileroot/care-and-wellbeing/children039s_social_care/the_big_handbook.pdf

Joint commissioning and market development

The development of a market or array of different support options will be led jointly by commissioners from SEN, health and social care. This set of options in turn will need to be translated into a 'Local Offer', which sets out what is offered, to whom, what parents, children and young people can expect and what additional support will be available. Market development and the redesign/re-development of in-house provision will therefore need to be planned as part of a whole-scale commissioning plan focused on developing an inclusive mainstream and universal offer, specific and focused targeted services and clear eligibility for any additional investment by way of a personal budget.

To date activity around market development and the use of personal budgets has mainly focused on social care; in line with commitments to make available personal budgets for SEN and health support the agenda of commissioning needs to take a similarly broad outlook. Schools, colleges, health services and specialists all need to be involved.

The development of 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 will steer the work of the local partnership of local providers and families.

Joint commissioning and market development			
Outcome:		<p>Informed provider sector, participating in work and taking forward their own programme of change, training and development.</p> <p>The provider sector aware of the challenges of providing a far more diverse array of support options and committed to developing ways that families can find out about what they offer without swamping them in paperwork or numerous websites.</p> <p>An array of different options for support, opportunities to participate and access the wider world, which includes costs and availability.</p> <p>A number of different sources of support to plan, use personal budgets and manage them in the long-term which enable families and those supporting them to think through all the different options.</p>	
Outputs:		<p>An information collection/reference point, open to all which explains the local offer, what is available, costs and who to contact across providers of social care, SEN and health support.</p> <p>A single information point where families and others can access up-to-date information about support options, local activities, costs and contacts.</p> <p>Contact information about who can help families think about how they will/can manage their son or daughter's personal budget.</p>	
Getting started	Activity 1	Activity 2	Activity 3
Essential Activities:	<p>Establish a providers' forum across schools, SEN specialists, social care and health providers with a remit of working together to develop an offer of support.</p>	<p>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>Involve the providers' forum in all stages of the 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.</p>

Scaling up/roll-out	<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. 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 - Building a developmental partnership with local providers and families that involves and encourages them to think through the potential changes to their offer and to explore new possibilities.
Risk	<ul style="list-style-type: none"> - The lack of involvement of local providers will mean that there are few if any services which families may be able to purchase - Not involving the whole community of potential providers can lead to dominance by one or two providers and will mean those smaller providers and/or potential providers miss the opportunity to take forward their own development in concert with others - Not involving family members tends to lead to a lack of creative and child/family-centred options for support, i.e. providers continue to offer what the local authority previously purchased from them - Lack of investment in market development will lead to a restricted choice of options and opportunities for children and young people - Lack of information co-ordination will result in families not having access to the full array of choice.

Examples

Gloucestershire

Developing the market and a more inclusive mainstream and universal offer is a long-term plan. Gloucestershire has set out a 10 year plan to move from their current approach to an approach to support based around a more inclusive approach and personal budgets where needed¹⁸.

Gloucestershire's e-market solution: The principle at the heart of the personalisation agenda is that those on the receiving end of services will be active in deciding on and commissioning the support they need. Local authorities, who currently direct almost every aspect of care delivery, will increasingly play more of a supporting and brokerage role.

¹⁸ Reference this in Making it Personal – A Guide for Commissioners

To support this change, Gloucestershire is commissioning an e-procurement portal that utilises marketplace technology to enable people to access support online, whether they are self-funded or using a local authority funded personal budget.

The e-market is also intended to influence the market by raising awareness of the scope and range of potential demand so that suppliers provide a flexible, innovative and appropriate offer for people.

Shoppers will be able to input their requirements on the same principle as the search engines we are familiar with. They will be able to find, arrange and pay for support, services and activities online. People will also be able to seek activities not currently available by advertising to providers what they are looking for.

Marketplace technology has a number of benefits:

- **Real time:** The solution is rapidly responsive.
- **Simplicity:** It offers a highly sophisticated solution without the complexity normally inherent in such a package.
- **Inclusive:** The market can be extended to any supplier of any activity or service. There is no limit to suppliers or purchasers.
- **Flexibility:** It can link to other databases and to charging mechanisms.
- **Management Information:** It is possible to see which suppliers are logging on the most, how long it takes to fulfil requests, areas of unmet need, etc.
- **Familiarity:** This is the way many people currently do business.
- **Quality monitoring:** It has the ability to be able to introduce a user-led monitoring system.
- **24 hour accessibility**

As with other examples of this technology there is usually a front page from which users can navigate to their required information or service. This is virtually limitless so in addition to the straightforward care services could accommodate various links:

- Databases of information and guidance
- An assessment tool

A care matching facility – similar to an online dating agency - allowing service users to identify others with matching needs or requirements and jointly seek solutions could be developed. Developmental costs could then be spread over a number of users.

Newcastle

Specifically commissioned work to re-design contracts and service specifications alongside work to increase uptake of mainstream inclusive activities through their Get Connected programme.

Get Connected is funded and organised by Newcastle City Council and combines musicians, dancers, artists and sports coaches who work together to introduce children to activities, support them while they take part and settle in well. The activities are free or at low cost. 100 children last year were connected to a vast diverse range of activities including; dancing, judo, boxing, photography, music performance, painting and circus skills. There is easy access and self-referral to meeting a Get Connected worker. One phone call begins a conversation to understand the child's strengths and support needs and the worker supports the child to be introduced to a suitable activity.

The Get connected offer can be viewed at <http://www.newcastle.gov.uk/care-and-wellbeing/childrens-social-care/get-connected-leisure-and-cultural-activities-children-and->

Specific commissioning guidance

- SE7 Framework for Joint Commissioning: Setting personal budgets in a structure of joined-up commissioning across SEN, social care and health.
- Making it Personal – Information for Commissioners (OPM and KIDS) 2012: Detailed information and guidance for commissioners across SEN, social care and health (being re-drafted 2013-14).
- Making it Real: A resource developed for the ‘Think Local Act Personal’ adult services initiative to promote the more flexible use of personal budgets.

Engaging and involving families

Personal budgets offer families, parents, children and young people a much greater amount of choice and control over how their support is managed and delivered; it can mean a direct payment or it could mean someone else using the funding on their behalf. Engaging families at an early stage is essential; they will be key members of any project steering group, will be key to any early stages of trialing and testing and their views, experiences and feedback will be key to putting in place a pathway which makes sense to families and not just services.

Raising awareness

The opportunities presented by personal budgets mean changes for families as well as services; there is much confusion and myth around personal budgets and how they will work which means that many families are worried. Information needs to be readily available from an early stage which explains what personal budgets are, and the plan over time to introduce them.

Ensuring that both ‘transparency and participation’ underpin the whole approach will provide a basis upon which discussion and consultation can take place in a healthy way. This is a new approach for all; families need to be engaged with as equal partners.

Raising awareness	
Outcome:	Families provided with information and support to think about the opportunities and responsibilities that come with personal budgets as one part of how their son or daughter may get the support they need. Families able to think through whether they want to request a personal budget and to understand how their child will be supported if they do not request a personal budget. Families able to understand the processes by which it is agreed that additional funding is needed, allocated, used, managed, audited and reviewed.
Outputs:	A programme of workshops, consultation meetings where families are supported to learn together about personal budgets, the support they may need, which will be offered and what it might mean for their son or daughter. Supporting information which explains the plans to introduce personal budgets, provide opportunities to engage in this process

	<p>and named people who families can contact if they have any queries or wish to find out more about opportunities to participate.</p> <p>Information about personal budgets co-produced with experienced families provided to all families whose son or daughter is eligible for an EHC Plan.</p> <p>Access point for families to discuss the potential of a personal budget and to think about the way their son or daughter may need to be supported.</p>		
Getting started Essential Activities:	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.	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.	Activity 3 Invite parents/families from the local authority and from outside to share their experiences and stories with other families.
Scaling up/roll out	<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>		
Risk	<ul style="list-style-type: none"> - A disenfranchised group of families worried and concerned about personal budgets - An offer of personal budgets which is not informed and hence not seen as useful to families - A lack of take-up of personal budgets - A lack of information or confusing and incomplete information will lead to dis-enfranchised families and suspicion that personal budgets are a negative development and/or move to cut services - Confusing, obtuse or complicated processes will similarly impact on families' perceptions of personal budgets and the wider move to introduce the EHC Plan. 		

Examples – Local Authorities providing information

Newcastle Children's Service publish all their information along with copies of their paperwork which are all downloadable from:

<http://www.newcastle.gov.uk/care-and-wellbeing/childrens-social-care/individual-budget>

Newcastle Children's Service commission their Family Information Service to offer information to families about opportunities and activities along with contact details for providers:

http://www.newcastlefis.org.uk/kb5/newcastle/fsd/category_results.page?category=7560

Middlesbrough offer their short breaks through an individual budget:

<http://www.middlesbrough.gov.uk/CHttpHandler.ashx?id=8185&p=0>

National sources of information

Seven Steps of Self-directed Support – In Control

<http://www.in-control.org.uk/related-pages/publications/the-7-steps.aspx>

KIDS Making it Personal – Information for families

http://www.kids.org.uk/information/106214/making_it_personal/

Peer Support

Building capacity by linking families will be a key part of the successful introduction of personal budgets; families sharing information, helping each other with the planning and potentially pooling budgets to group commission services or purchase support or access to activities. This is not only about parents and carers, children and young people are key partners in the development of new ways of working and will need support to think about their futures, the support they need and what is really important to them.

Peer support can be formal, for example via a local Parent and Carer Forum, a young people's group or informal through Facebook or social activities. The local authority and its partners should see this as part of their commissioning agenda; peer support which tackles isolation, an experience common for many families with a child with additional needs will help sustain mental health as well as family life.

Peer support	
Outcome:	<p>Informal networks, with formalised support if needed, of existing 'user' families who support new families to develop plans and use personal budgets.</p> <p>Formal opportunities and workshops for parents, carers and/or young people to come together, consult and participate in the development of an offer of personal budgets.</p> <p>Funding where available to maintain these formal and informal networks.</p> <p>Space, time and capacity provided to develop and sustain informal and formal networks of parents, children and young people.</p> <p>Skills and support shared to develop plans, think about personal budgets, use personal budgets and more importantly, bring families together to support each other.</p> <p>Less isolation experienced by families with a child or young person with SEN and/or disabilities.</p>
Outputs:	<p>Clear information about personal budgets, how they can be used, managed and reviewed and how they are only one part of the wider support available (linked to earlier work on information).</p> <p>Commissioned capacity to support formal networks and informal opportunities to bring families/young people together to share skills and to work together.</p> <p>Commissioned 'seed' support to develop family networks in the local area as a central part of the plan to roll-out personal budgets and the</p>

new EHC plan.			
Getting started Essential Activities:	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.	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).	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.
Examples:	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 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.		
Links	Parent and family engagement and the participation of the local parent carer forum will be part of the wider work to take forward ' <i>Support and Aspiration</i> '.		
Risk	<ul style="list-style-type: none"> - The same people at every meeting – it will take some effort to reach out and involve a much wider group of families however this will be necessary and is best done by or with the local Parent Carer Forum - A lack of investment in this will place more work on the agencies leading the development and delivery of personal budgets; investing in family support/peer support and networks has a disproportionate positive impact on bringing families together and supporting them to support each other. 		

Examples

Pass it on Newcastle – an informal family-led Facebook network of families supporting each other to develop plans, meet, socialise and use personal budgets:

<https://www.facebook.com/groups/passitonnewcastle/?fref=ts>

The Insider Guide – Brighton AMAZE:

<http://amazebrighton.org.uk/services-and-support/training-support-groups/>

Setting up and scaling up the infrastructure

Delivering the whole programme of reform will require a whole new infrastructure; new planning support, new ways of joining up assessment which will link with allocation systems, new workforce structures, new back office systems and revised provision of information and support to plan for

families. As stated frequently throughout this document personal budgets will be part of this whole system change; this section deals with specific infrastructure requirements and challenges relating to the availability and offer of personal budgets.

Integrated planning

Developing the awareness and the skills to support families, building the capacity of families to work together and develop their son or daughter's support plan, and ensuring that plans deliver the relevant outcomes in the most efficient ways will require an investment of time, personnel and capacity. Skills development and awareness raising is dealt with in a previous section; when thinking through infrastructure development the focus moves to what arrangements are required to effectively deliver personal budgets and therefore provide families with the chance to think through the creative and efficient use of their son or daughter's personal budget alongside support available from the wider opportunities and activities in local communities.

From the earliest days of introducing personal budgets positive outcomes have been achieved where families have been supported to work together and help each other to think about their son or daughter's plan. Such an approach, early in the planning process will set an outcomes-focus and person-centred approach at the heart of the development of the statutory EHC Plan.

Integrated Planning	
Outcome:	<p>An offer of skilled and knowledgeable support to families and key professionals (which includes peer support from other families and family groups – see 'Peer Support'), of independent and skilled support from the local authority.</p> <p>Clarity backed up with clear information about any legal guidance for example about the allocation and use of personal budgets and/or direct payments.</p>
Outputs:	<p>Clear information/guidance explaining the required components of a support plan, advice on sources of information about support, opportunities and activities and ways of managing personal budgets including direct payments and ISFs.</p> <p>Images of what is possible – a variety of stories of creative and flexible plans that have been driven and self directed by families – with and without support.</p> <p>Clear information, approaches and a set of templates for those children and young people who do meet thresholds for an EHC and/or those who do not meet thresholds for 'additional and individual provision' (personal budget).</p> <p>A list of skilled people (statutory and/or VCS) with contact details where families can seek help to set out their son or daughter's support plan.</p> <p>An on-going programme of training for staff and families focused on key person-centred thinking skills and tools.</p> <p>A published offer of different sources of support available to families.</p> <p>Clear guidance to staff about accountability and governance arrangements; what they are accountable for, the flexibility and creativity desired within the use of personal budgets and how personal budgets are focused on improving outcomes through personalising support, participation and access. This guidance to include clear responsibilities around 'sign-off/agreeing' final plan</p>

<p>and who has the authority to do this.</p> <p>Shared guidance on legal issues relating to personal budgets, direct payments and the 'signing off' of a plan.</p> <p>Shared guidance on the points in the process (linked to the Code of Practice) where families may challenge the draft plan and what the response (including timescales) will be from the lead agency.</p>			
<p>Getting started</p> <p>Essential Activities:</p>	<p>Activity 1</p> <p>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</p> <p>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</p> <p>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>Scaling up/roll out</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.</p> <p>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 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>Risk</p>	<ul style="list-style-type: none"> - A lack of investment in support planning will mean a lack of creativity, flexibility and resulting lack of efficient use of the personal budget - It will mean that person-centred thinking hasn't been embedded within the service and as such these skills won't be available to draw in to the development of the EHC Plan - Professionals and families will feel more confident if there is clear information about accountability, legal issues and safeguarding and a focus on outcomes in making child and family-centred decisions about the use of personal budgets. 		

Examples

Newcastle

Newcastle commissioned a support planning support offer 'The Support Planning Hub' as part of their offer of help to families to develop plans. This service was provided by 'Skills for People' and acted as a hub for anyone developing plans, offering space, information and training to any and all those involved.

Bury

The early work in Bury to introduce personal budgets was led, with support from the local authority, by the local Parent and Carer Forum. The Parent Carer Forum led all work on planning, bringing families together, meeting in people's homes and exploring ways of using personal social care budgets. Feedback from parents and families has been very positive as documented in their evaluation report. This has led to moves to explore the wider role the Parent Carer Forum can have in the long-term; this includes exploring whether the Parent Carer Forum can set itself up as a social enterprise. A presentation outlining the early work to put this in place can be found at:

<http://in-control.org.uk/media/111963/children's%20personal%20budgets,%20bury%20council.pdf>

A report has been compiled which covers this early work and the feedback from families:

<http://www.in-control.org.uk/media/137783/final%20blowing%20our%20own%20trumpet%20picture%20-%20nov%202012.pdf>

All these examples have come from a commitment to build on local strengths, partnerships and organisations.

Already cited and as discussed the provision of support to make 'good plans' will be a key part of the remit for commissioners:

- SE7 Framework for Joint Commissioning: Setting personal budgets in a structure of joined-up commissioning across SEN, social care and health.
- Making it Personal – Information for Commissioners (OPM and KIDS) 2012: Detailed information and guidance for commissioners across SEN, social care and health (being re-drafted 2013-14).

Resource allocation and integrated funding

A resource allocation system (with regard to personal budgets) should provide a transparent and participative approach for identifying what additional and individual provision¹⁹ is available across education, health and social care. With personal budgets becoming an option for SEN, health and social care there will need to be a framework and agreement in place which outlines how the funding can be integrated 'around a child'; following through on a joined-up assessment process, an EHC plan supported by a joined-up approach to allocating a single budget²⁰.

The development of an allocation system should include consideration of the following three questions:

¹⁹ See 'Part 1 – Personal Budgets and the EHC Plan' Page 9

²⁰ See 'Part 1 – Integrating personal budgets from more than one source' Page 14

- **Budget** – What funding is available? What funding is available to fund additional and individual provision (potentially a personal budget)?
- **Eligibility** – Who is the money for? What is the threshold?
- **Outcomes** – What outcomes is the funding focused on delivering?

In establishing a clear budget available to fund personal budgets there will need to be activity addressing the disaggregation of current spend e.g. costing up services and funding tied to individual support, and block contracted and commissioned support.

The underlying principles, (as set out in the earlier section ‘What does good look like’) are of particular importance when working on the allocation of resources:

- **Transparency** – everyone understands how and why decisions are made about available additional and individual provision.
- **Participation** – everyone who needs to take part can, and those who need additional support are offered such support.

Actual systems relate to simple and easy ways of identifying how much is available; there are a number of common approaches in use based on much hard work and will in the main be focused on social care funding. These tend to focus on outcomes as a basis for the allocation, be strength-based as opposed to deficit-led and result in an indicative budget or indicative provision being offered commensurate with the amount of support to meet an agreed set of outcomes. Work is underway using a similar structure on systems to allocate health funding and to link with school funding approaches.

The most efficient allocation systems balance accuracy with solid investment in planning support, recognising that it is in the planning where energy needs to be directed. The final figure for a personal budget will be agreed when the whole plan is agreed as meeting the identified needs and outcomes.

Resource allocation and integrated funding	
Outcome:	A transparent and participative approach to the allocation of additional funding from education, and social care/health if eligible. The amount identified to be termed ‘indicative’; it will only become clear that it is the right amount once a school place has been confirmed and the plan sets out in full how the funding alongside other provision will meet the support.
Outputs:	<p>A set of allocation questions which result in an allocation of funding as set out in an allocation table with the pro-viso that this may work slightly differently with regard to the different funding streams of SEN, social care and health.</p> <p>A clear decision-making policy that explains to all how decisions are made and when challenges may be made.</p> <p>A clear statement including allocation questions, where appropriate, of the process by which an allocation of additional funding is arrived at.</p> <p>A published allocation/banding table of levels of additional funding available.</p> <p>Clear information that sets out transitional arrangements for children and young people with regard to the amount of available funding and any increases or reductions relative to their existing packages of support.</p>

Getting started Essential Activities:	Activity 1 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 (<i>Essential</i>).	Activity 2 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.	Activity 3 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.
Please note these are very brief descriptions of the very first activities needing to be completed when developing an allocation system. They are likely to need refining and revising as you become more confident with this new approach and in how this approach works alongside other funding streams and the development of the coordinated assessment process and EHC Plan.			
Scaling up/roll out	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.		
Risk	<ul style="list-style-type: none">- A lack of transparency and participation will result in families continuing to feel decisions are made behind closed doors, that the opportunity to resolve the current culture of conflict and challenge has been missed- That the RAS becomes associated with moves by services to reduce their spend in light of financial pressures- A good allocation system will result in a sound and efficient basis for financial management open to all and understood by all.		

Examples

In Control have been working with services over the past six years to further simplify and improve approaches to making allocations. This work continues and is now focused on joining up allocations of SEN funding, social care (where eligible) and health (where needed) in a single approach. In Control published a simple guide to resource allocation 'Understanding the RAS' in 2013, a link to this is below:

<http://www.in-control.org.uk/what-we-do/children-and-young-people/publications/children's-programme-publications/understanding-the-ras-feb-2013.aspx>

There are numerous examples of approaches to allocation systems; a comparative analysis of those used by the DfE funded IB Pilots and wider areas are covered within SQW Evaluation reports and Resource Allocation Thematic Paper, and those used as part of the national personal health budget pilots are covered in the relevant evaluation report:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/182088/DFE-RR145d.pdf

<https://www.gov.uk/government/publications/evaluation-of-the-extended-individual-budget-pilot-programme-for-families-with-disabled-children-the-extended-packages>

<https://www.gov.uk/government/publications/personal-health-budget-pilots-fifth-interim-evaluation-report>

A library of different approaches which is regularly updated can be found at:

[http://www.in-control.org.uk/what-we-do/children-and-young-people/useful-resources/resource-allocation-systems-\(ras\).aspx](http://www.in-control.org.uk/what-we-do/children-and-young-people/useful-resources/resource-allocation-systems-(ras).aspx)

Management of personal budget funds

There are four ways that a personal budget can be managed:

- As a direct payment
- By the local authority/health service on behalf of the child/young person
- By an independent other; provider, school, agency
- A mix of the first three options.

Linked with the provision of support to develop good plans, there will need to be specific support provided to families to aid them in deciding how they may want to manage their personal budget. Building on existing support to direct payment users there will need to be a more comprehensive service offered which may include the management of budgets, accountancy and banking alongside payroll etc., which is currently offered. This may be an in-house or an outsourced service.

Providers (including schools) will need to explore their approach to managing a personal budget on behalf of a child and family, the financial systems they will need to develop and how reporting will link to the annual review of an EHC Plan.

Management of PB funds

Outcome:	<p>An offer of support to those choosing to use direct payments.</p> <p>The management of personal budgets to be linked to the EHC Plan and reviewing processes.</p> <p>Four options for families to choose from when they come to consider how they would like to manage their personal budget. These four options to be backed up with the skills and systems needed to facilitate each approach; a direct payment support services, the capacity within providers to manage ISFs, the capacity and skills within the local authority (and/or health service) to manage a personal budget and the offer of a mix of the previous three options.</p> <p>Families able and supported to make clear informed choice about the management of their son or daughter's personal budget.</p>
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Outputs:	<p>Information about direct payments including sources of further support, information and advice; available to all parties including families.</p> <p>A pathway for the EHC Plan which includes reviewing the use of any allocated personal budget, and a plan format that includes details about the use and management of any allocated personal budget.</p> <p>The finance and audit systems in place to support the four options.</p> <p>Clear information produced for families to enable them to choose their preferred management option.</p> <p>A review process which includes approaches to auditing and reviewing the use of the personal budget which ever option for management is chosen by the family.</p>		
Getting started Essential Activities:	<p>Activity 1</p> <p>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</p> <p>Linked to market development involves 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</p> <p>Set out clearly the different sources of support, sources of information and the responsibilities and accountabilities for all.</p>
Scaling up/roll out	<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>		
Risk	<ul style="list-style-type: none"> - Clarity about management of personal budgets is a key part of the safeguarding policy in place to support the use of personal budgets and direct payments; lack of clarity and/or robustness will create safeguarding issues and the potential for financial abuse will be greatly increased - Without the positive promotion of personal budgets and/or direct payments families may be left feeling that it is all too complicated and hence might miss out on opportunities to take more of a role in planning their child’s support - Clear and independent information is a necessity to enable families to make the right choice for them. 		

Similar support structures to the ones outlined here will already exist in support of personal budgets for adult social care and are being developed in support of the national roll-out of personal health budgets. These will be strengths useful to build on, i.e. developing a whole offer around the management of personal budget funds across adult, children and health services.

Examples

Wigan (Case Study)

Wigan SEND Pathfinder commissioned Wigan & Leigh EMBRACE to provide brokerage support to families to develop and deliver their EHC plans. This has included support to a school to manage an EHC plan which has elements of personal budgets from SEN, health and social care. Their role is clearly built in to the Wigan EHC plan.

The Brokerage service delivered through a voluntary sector organisation is separate to the council and provides an independent voice and real expertise regarding local services negotiated on behalf of the families. This is demonstrated in the case at the school where the teaching assistant will now support mum in the home if the young person is ill and cannot attend school.

Both the broker and keyworking function involves elements of negotiation, empathy, problem solving and planning. EMBRACE Wigan and Leigh provide person-centred and objective support to a family to make an EHC plan happen.

Oldham (Case Study)

A teenage male child with learning difficulties whose parents have their own needs was struggling to access community activities and to make any appropriate peer friendships. He attends the Secondary Special Needs School where he has some friends but once home is socially isolated.

A budget was agreed at resource panel for the social care and education elements. The family, school and social worker, keeping the child's needs and viewpoint at the heart of discussions, worked on a support plan with a clear set of outcomes for the child and family which included independence skills development support.

The support is being provided by two members of the school's staff team who the child knows well, and will work with him to enable access to community activities where he can meet peers and start to form friendships. This support plan is for the whole year not just term time ensuring that the child can still meet friends and enjoy social activities in holiday times when he is most vulnerable.

The budget agreed is managed by the school as the parent's needs meant they wouldn't be able to cope. This works well as the social care element from the authority is paid direct to the school and they administer to cover the additional work for the two staff members. To cover the fact staff would be offsite in the community the public liability insurance amount required was paid to the school as part of the set up arrangements. To keep costs down the workers have looked at more local activities that are a short walk or bus ride linked to independent travel development. Any additional transport costs have been factored as a percentage into the budget and will need to be monitored.

This is the first pilot of an education personal budget in a school setting that is also administered by the school. The school are very willing to, and can see the value in, providing support for the child. Going forward Oldham have since had discussions the need to consider administration fees as this work grows in future.

Information Technology resources

Your children's services and health partners will have protocols and IT software systems which require sharing information, inputting and accessing data and linking with each other. The children's information system, existing assessment, plan and review information will all be investigated alongside the complete reworking of the single approach to assessment and planning. Key from the angle of personal budgets will be the capacity of these systems to store data about how any

additional and/or personal budgets are being used to meet needs and outcomes, including data on spend, management and review/audit arrangements.

Within providers (including schools and colleges) who wish to offer the ability to manage a personal budget on behalf of a child or young person there may need to be adaptations made to their own software to include the ability to individually track spend and provide reports to support the annual review process.

Development of IT resources			
Outcome:		<p>Data collected which enables the IT record to include information about how the personal budget (additional funding) is being used as part of a personalised approach to support for the child/young person.</p> <p>The ability of providers including schools, colleges and health providers to set out how a personal budget is being used to meet the needs and outcomes identified in the EHC Plan.</p> <p>Clarity about what data is stored, why, how it is accessed and who by, who is accountable, and how information about personal budgets is audited and reviewed.</p>	
Outputs:		<p>An EHC Plan which collects information about spend, the part the personal budget plays in meeting needs and outcomes (including spend set against any safeguarding issues), logs how a budget will be managed and the arrangements for reviewing.</p> <p>Guidance to key worker/lead professional/responsible person on entering data, what data needs to be provided and how it can be accessed, who by and when.</p> <p>An IT resource focused on the EHC Plan which has the capacity to store and provide a means of sharing key data about personal budgets as explained.</p> <p>Data sharing agreements underpinning an EHC Plan and joined up approach to the use of personal budgets.</p>	
Getting started	Activity 1	Activity 2	Activity 3
Essential Activities:	Map current systems with your colleagues in IT Support (this work is likely to be underway as part of developing an EHC Plan).	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.	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.
Examples:		<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 'Support and Aspiration'.</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>	

<p>where accountability lies.</p> <p>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>	
Risk	<ul style="list-style-type: none"> - An IT system which doesn't enable key data to be collected and reported, raising safeguarding concerns and costing time and capacity, i.e. an inefficient use of time and capacity - Lack of capacity to store data about personal budgets will create confusion and extra work on the part of families and professionals - Lack of information sharing protocols will impede effective multi-agency working and can give rise to instances of abuse.

Examples

East Sussex

Developing an information sharing system around the development of a plan where families can access information alongside professionals and others involved.

Gloucestershire (Case Study)

Outcomes measurement

Gloucestershire is developing a user-friendly data collection and analysis tool that can perform the following functions:

- Record, analyse and report on the impact of interventions offered to individual children
- Analysis of provision and expenditure on an individual, group and project-wide basis
- Monitoring of budgets in relation to the project on an individual, group and project-wide basis
- Analysis of the relationship between provision and outcomes achieved for individuals, groups and across the project
- Calculation of resource allocation for individual children which relates to their assessed level of need and the achievement of specified outcomes
- Allow allocation of children to lead professionals
- Record and present information about provision/support packages for individual children
- Record, present and analyse financial information
- Calculate Individual Budgets for children
- Capture, present and analyse generic and individual outcome information
- Provide demographic and other reporting/analysis including production of statistical information to support hypothesis testing.

Safeguarding and risk assessment

Personal budgets and the personalising and tailoring of support for an individual have the potential to become a key element of delivering the wider safeguarding strategy by local children's services; minimising the number of different professionals involved in directly supporting a child, the child or young person being much more visible in their local community, knowing who is supporting the child and that the support is tailored to the individual are all components of strong safeguarding practice.

Rather than viewing 'safeguarding' as a separate section safeguarding should run through every stream of work and will clearly link with wider implementation of the SEND reforms, and the wider drive to improve safeguarding approaches across all services and activities.

Safeguarding and risk management			
Outcome:	<p>Safeguarding viewed as everybody's responsibility and that everyone has a part to play in supporting children and young people lead an exciting healthy life.</p> <p>A shared understanding of how personal budgets can, as part of the wider support being used by the family, deliver a strong and positive approach to safeguarding and minimising risk.</p> <p>Confidence in the process of agreeing plans, the support being offered to manage money and plans and in the staff supporting an individual child, young person and their family.</p>		
Outputs:	<p>Clear guidance on CRB checks and the process of agreeing support plans which include how I keep safe – thus encouraging families to think more closely about safeguarding and what risks they take or not.</p> <p>Risk assessment process within the development of the plan which allows for discussion and use of personal budgets if needed to be set against managing risk and/or safeguarding concerns.</p> <p>Within information for families about personal budgets, clear guidance on management of crisis or changes in needs or family situation.</p> <p>All families provided with a point-of-contact in the children's service.</p> <p>Information about key safeguarding issues/practice to be included within wider workforce development programmes for all staff.</p>		
Getting started	Activity 1	Activity 2	Activity 3
Essential Activities:	<p>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>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>Agree policies if needed and guidance and publish as part of an approach to support planning and child/family-centred support.</p> <p>Set information and approaches within the training to the workforce and across partners including parents and families.</p>
Scaling up/roll out	<p>Safeguarding is an overriding concern and will run through the whole programme of work to deliver 'Support and Aspiration'.</p> <p>Safeguarding will link with 'good planning', 'management of personal budget funds', 'market development' and 'raising awareness' with families.</p>		
Risk	<ul style="list-style-type: none"> - Over-safeguarding might stop a child getting a life! - Safeguarding concerns not addressed leading to the child, young person and family being exposed to risk - 'Unsafe' people able to become involved in supporting vulnerable children and young people 		

Examples

Newcastle

Newcastle Council has responded to a number of key issues in safeguarding children within the development of personal budgets:

Vetting and Barring unsuitable staff: The council regards the lack of a DBS check for a Personal Assistant as grounds to deem a direct payment unsafe. Exceptional circumstances will be considered and guidance is set out for practitioners as to what constitutes exceptional circumstances.

Recruitment and management of personal assistants: There is a clear expectation that Personal Assistants will experience safe recruitment and management procedures. Families are advised by a voluntary sector provider Disability North when considering a direct payment as to their legal responsibilities in regard to safe employment with training. Safe employer training is provided free periodically to families.

Financial Guidance for Families: This supports families to think about what they need to present at audit and the scope of what can be spent on personal budgets. This guidance can be viewed at <http://www.newcastle.gov.uk/care-and-wellbeing/childrens-social-care/individual-budget>

Being Safe: Communicated as a key outcome of the children and young peoples plan. The manager approving a support plan therefore considers the safety aspects of the plan including proportionate risk management.

Case Study – in a parent's words

(All names have been changed)

Jon is 18 and has had support through direct payments since he was 14. The focus of his direct payment was to enable him to do the ordinary things that teenagers like — going to the cinema, sport, gaming, doing his Duke of Edinburgh Award - but with another young person, not a 40-something year old woman who is also his foster mum!

I approached recruiting a PA in the same way as I would approach finding anyone else I needed to support me with some aspect of my life - I asked someone who might know. I live in a small village and the person who knows everything that's going on is James who runs the village shop. James knows Jon well and I asked if he could think of any young people in the village who might be up for being his PA. He suggested a young man called Rob who I didn't know and qualified his suggestion by saying, 'Rob might not be other people's first choice as he's been in quite a lot of trouble at school, but I think he'd be great with Jon.' Rob is 4 years older than Jon and went to the same local Comprehensive school, so they already knew each other a bit. I made the approach, chatted to Rob and his parents and we agreed a trial period. Yes, we did CRB checks, but if I'm honest, that's only because the Council insist on them for people employed via direct payments — my own risk assessment was done in his mum and dad's kitchen over a cup of coffee.

Rob has been an amazing force for change in our lives. He quickly became part of our lives as much more than paid support, and helped Jon to try new things that I would never have thought of (I didn't even know what bouldering was, but Jon is now very proficient!). He brought an incredible sense of pragmatism to our problem-solving as he just thought about how he or one of his friends would do things. He will challenge me if he thinks I'm being too 'mum-like' but reassure me when my demands are reasonable. When Jon got a place at college that required him to get the train, we were able to help Jon learn the route in one day — they met at the train station and I told Rob that I didn't want him to come home until he was confident that Jon could make the journey safely! It took them all day and

Jon made 5 trips back and forth, but he was ready to go to college the following Monday when his course started — he could have done a travel training course, but there was a waiting list and it would have been a 12 week programme.

One of the things in all my PAs job descriptions is that they introduce my kids to their friends. This is the opposite approach to the traditional support worker role, where keeping professional boundaries is paramount. As I type this, Jon is at Rob's house — he is now a university student in a city 30 miles from where we live. Every Thursday afternoon, Jon gets the train to Rob's, they go bouldering together and then to the supermarket where they shop for the ingredients for dinner that night — which Jon pays for. They go home to Rob's house that he shares with 3 other people and Jon (with some support) cooks the evening meal. They then hang out together doing what young people do — chatting, playing computer games, watching DVDs and a whole bunch of other stuff that I don't know about and probably shouldn't. Jon stays the night and tomorrow morning will go to his work experience with Rob. I don't pay Rob for the overnight stay - Jon does that by cooking dinner for the house. That's what you call ordinary.

Concluding remarks

The development and delivery of personal budgets forms an integral part of the transformational programme of change that local areas will need to make over the coming year to meet the requirements of the forthcoming SEN and disability related reforms. This should include consideration of how to effectively offer SEN, health and social care related personal budgets, their associated eligibility criteria and their subsequent integration within the resourcing models developed to support local EHC plan pathways.

The CDM set out in this document, combines the learning and established good practice gathered to date, to provide a flexible framework to support both the initial development and subsequent scaling up of the delivery of personal budgets. Over time, this will be complemented by additional evolving practice, particularly as more areas begin to offer the suite of social care, SEN and health related personal budgets.

Both In Control and SQW will continue to support the effective delivery of personal budgets for children and young people with SEN and disabilities, and will therefore seek to provide additional learning as the delivery of personal budgets becomes more commonplace. If you have any queries or suggestions for areas of future work, please don't hesitate to get in touch with us. The main points of contact at the two organisations are:

In Control – Nic Crosby, Director children and young people, In Control – nic.crosby@in-control.org.uk

SQW – Meera Craston, Director and Lead for Support and Research relating to Personalisation and Service Integration – mcraston@sqw.co.uk

Annex 1 – the Common Delivery Framework (CDF)

The evaluation of the individual budgets pilot for families with disabled children illustrated the effectiveness of the SQW CDM²¹, which provided a framework to inform and assess the development of the pilots. The CDM was revised by SQW for use in the Pathfinder evaluation, where it has been termed the Common Delivery Framework (or the CDF).

The CDF (see Figure 5) was developed to enable structured data collection and assessment of delivery and costs at different stages of the Pathfinder process. It sets out a series of elements which it was anticipated each pathfinder would need to address as part of developing its local activity. Progress was base-lined, tracked and reported against the themes/elements of the CDF for the first 18 months of the Pathfinder programme, which is illustrated in the suite of evaluation reports²².

Figure 5: The Common Delivery Framework



Source: SQW

As part of phase 2 of the Pathfinder programme (April 2013 – Sept 2014), SQW are continuing to evaluate the progress of the Pathfinder areas in relation to the CDF and will therefore develop further evidence to illustrate the differing models and pathways being deployed across the programme.

²¹ More information can be found at

<https://www.education.gov.uk/publications/standard/publicationDetail/Page1/DFE-RR145>

²² <https://www.gov.uk/government/organisations/department-for-education/series/send-pathfinders>

References

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SQW Evaluation reports

Individual budgets; Scoping Study, Prabhakar, M. Thom, G. and Johnson, R. SQW 2009
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SE7 Pathfinder documents - <http://www.se7pathfinder.co.uk/se7-documents>

SE7 Framework for Assessment and Planning
 SE7 Framework for Choice and Control
 SE7 Framework for Joint Commissioning

SEND Pathfinder Information packs - <http://www.sendpathfinder.co.uk/infopacks/>

0 – 25 Coordinated Assessment Process and Education, Health and Care Plan (EHC) Plan - Version 2, September 2013.

Personal Budgets (focused on SEN Personal Budgets) - Version 2, September 2013.

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Additional reading

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Personalisation for children, young people and families; Briefing 2 – Roundtable discussion, Crosby, N. In Control, 2009

Personalisation for children, young people and families; Briefing 3 – Evaluation and outcomes, Crosby, N. In Control, 2009

A Fairer Start, Murray, P. Centre for Welfare Reform, 2012

Personalised Transition, Cowan, A. Centre for Welfare Reform, 2010

Sources of Information

Council for Disabled Children - <http://www.councilfordisabledchildren.org.uk/resources/our-partners-resources/personalisation-resources> A library of resources which offer examples, experience and information about work underway across the country.

www.in-control.org.uk/children webpages hosted by In Control sharing resources, reports and stories of work to introduce and roll out personal budgets to children, young people and families, along with links to wider work across all ages and health services.