Briefing
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A wealth of information
Your questions on personal health budgets answered

Who should read this briefing?

• Leaders and managers in organisations commissioning and providing NHS-funded care and who are introducing personal health budgets.

What this briefing is for

• This briefing gives practical information for commissioners and providers of NHS-funded care, as they introduce personal health budgets.

Key points

• Personal health budgets are part of a model of person-centred care that also includes support for self-management, shared decision making, improving information and understanding, and promoting prevention.

• They are being rolled out across the NHS – since April 2014 adults eligible for NHS continuing healthcare have had the right to request a budget and from October 2014 they will have the right to receive one. They will also be an important part of the new Integrated Personal Commissioning programme.

• To deliver good outcomes for people, commissioners and providers will need to pay close attention to how budgets are implemented.

• Discussions with NHS leaders and managers identified common needs for information and support on how much implementation will cost; supporting integrated, personalised care through budgets; how to identify which groups will benefit most from further roll-out; how to avoid double running costs and prepare for the interventions people will want; how to manage risk; and where to find practical toolkits.

• This briefing highlights relevant information, support and guidance and answers some frequently asked questions (from page 4).
Across all issues, leaders and managers were keen to avoid ‘reinventing the wheel’, and to benefit from the learning already generated by using toolkits, model policies and examples to develop their approaches to implementation.

Fortunately, information, support and guidance is available from various organisations to address most of the issues raised. This briefing highlights practical help and advice and outlines the solutions to the main issues facing commissioners and providers in rolling out personal health budgets. On some of these issues further work is being done by a range of organisations, including the NHS Confederation, Think Local Act Personal, NHS England, Social Care Institute for Excellence and Skills for Care, to fill knowledge gaps and improve our understanding of solutions; more information will be made available over time on the websites detailed on page 7.

“My main advice to professionals working with personal health budgets for the first time is that although it can feel a lengthy and daunting process to start with, it is worth it in the end.”

Manager for NHS Continuing Healthcare
Questions about how best to implement personal health budgets have become increasingly important since the national roll-out was announced in November 2012. This followed a three-year pilot programme. Adults who are eligible for NHS continuing healthcare and children receiving continuing care have had the right to request a personal health budget since April 2014. They will have the right to receive a budget from October 2014. In adult social care, personal budgets have been in place since 2007 and are the intended delivery mechanism for everyone with an eligible need, regardless of age, disability or mental capacity.

Clinical commissioning groups (CCGs) are also able to offer personal health budgets to those that they feel may benefit from the additional flexibility and control. The NHS Mandate commits to a further roll-out of personal health budgets, from April 2015, to people who could benefit. NHS England and the Department of Health are currently working together to set out in more detail what the Mandate commitment means.

Evaluation of the pilot programme found the use of personal health budgets was associated with a significant improvement in the care-related quality of life and psychological wellbeing of patients, as well as supporting people to manage their condition and reduce the need for acute care. Importantly, it also found that the way in which they were implemented affected outcomes: generally, there was a more positive effect on outcome indicators where budgets were delivered in ways that offered more flexibility and choice to patients.* Commissioners and providers will therefore need to play close attention to how personal health budgets are rolled out.

Existing support for commissioners

All 211 clinical commissioning groups (CCGs) are signed up to the NHS England personal health budget support programme. Of these, 170 have so far benefitted from the Accelerated Development Programme (ADP) – a series of six training sessions held across the country aimed at equipping NHS staff with the knowledge and confidence to offer budgets well. Feedback from the sessions has been positive, with all participants reporting that they felt better prepared to offer budgets.

The second ADP began in July 2014. Staff can access additional support, including regional network events and specialist sessions to explore issues such as the special educational needs and disabilities (SEND) reforms for children and direct payment guidance.

In the context of the broader integration agenda, personal health budgets are set to be a key feature of the Integrated Personal Commissioning programme. This will blend health and social care funding for high need individuals and allow them to direct how this funding will be used. The work is being developed by NHS England and partners, with local expressions of interest to pilot the initiative invited in August 2015. Further information can be found at: www.personalhealthbudgets.england.nhs.uk

Think Local Act Personal has worked with partners to develop a briefing for health colleagues based on what has been learnt in implementing personalisation and personal budgets in social care. Further information can be found at: www.thinklocalactpersonal.org.uk

* PSSRU (2012) Evaluation of the personal health budget pilot programme
Finding practical support

Where can I find examples, model policies and toolkits?
A toolkit has been developed by NHS England, drawing on learning from the pilot programme. The toolkit contains guidance and examples of how pilot sites have implemented particular aspects of personal health budgets. It is available at: www.personalhealthbudgets.england.nhs.uk

Staff working within the NHS and local authorities can join the NHS England personal health budget learning community – a restricted area where people can access example documents, submit policy questions and share experiences with colleagues in a discussion forum. For more information, see: www.personalhealthbudgets.england.nhs.uk

Implementing personal budgets in social care has resulted in a wealth of learning that is transferable to health colleagues. For more information, see: www.thinklocalactpersonal.org.uk/selfdirectedsupport

“...The evaluation of the pilot sites stressed the importance of tackling cultural change issues among staff early on.”

Supporting personalised, integrated care

How can I lead culture change among my staff, so that they support personalised care?
The evaluation of the pilot sites stressed the importance of tackling cultural change issues among staff early on. This can be achieved through good communication, engagement with all representatives and development of internal systems. Leadership will be needed from all parts of the system. For further information, see: www.personalhealthbudgets.england.nhs.uk

The leading personal health budget sites have found that getting a good understanding of co-production and investing in the voice of people with direct experience of using budgets has helped support good leadership of the programme. Find out more at: www.personalhealthbudgets.england.nhs.uk

To keep up to date about the broader agenda for personalised healthcare which underpins personal health budgets, visit the Coalition for Collaborative Care website at: http://coalitionforcollaborativecare.org.uk and explore the work of their partners.

Yorkshire and Humber Joint Improvement Partnership has produced a guide to understanding and shaping NHS culture change for personal health budgets. It can be downloaded at: www.personalhealthbudgets.england.nhs.uk

NHS England has produced a guide to communicating personal health budgets to staff and other audiences. This can be found at: www.personalhealthbudgets.england.nhs.uk

Skills for Care has developed a tool for changing staff and workforce culture. It is intended to support employers, regardless of size or services delivered, is as relevant to individuals who employ their own personal assistants as it is to a large employer with many staff, and is transferable to health organisations. Find out more at: www.skillsforcare.org.uk/Skills/Culture/Culture.aspx
Planning for personal health budgets

What will implementation cost?
The set-up costs for pilot sites were, on average, £93,280 in the first year. This included costs for the development of the project board, local systems, workforce, support planning processes and market development. Further details can be found in the pilot’s third interim report available at: www.phbe.org.uk

The Audit Commission has produced a guide containing suggestions on how financial risk can be managed when implementing personal health budgets, available at: www.personalhealthbudgets.england.nhs.uk

How can I build the financial case for rolling out personal health budgets to other groups that may benefit?
Evaluation of the pilot sites found total costs (direct plus indirect) were not significantly different between the personal health budget and control groups. Total costs were significantly lower in the group of people with high value personal health budgets compared to the controls. This suggests that there may be more savings to be made from offering budgets to those with higher levels of need.

Overall cost-effectiveness is discussed further in the final evaluation report available at: www.personalhealthbudgets.england.nhs.uk

What information, support and guidance is available on finding money within existing budgets to put into personal budgets?
There are various strategies available to free-up funds from existing service contracts to pay for personal health budgets, so avoiding double running. This can be done incrementally, with an increasing percentage of a provider’s funding expected to come from personal health budgets. Pages 19 to 26 of the Audit Commission report Making personal health budgets sustainable provides more detail; available at: www.personalhealthbudgets.england.nhs.uk

“There may be more savings to be made from offering budgets to those with higher levels of need.”

How can we implement personal health budgets in ways that support integrated health and social care?
Various guides on the integration of personal budgets across health and social care, drawing on learning from pilot sites, are available at: www.personalhealthbudgets.england.nhs.uk

The NHS Confederation has produced a discussion paper setting out a possible ‘dual carriageway’ approach to joint personal budgets for health and social care, available at: www.nhsconfed.org/Publications

Think Local Act Personal commissioned a guide to support the roll-out of personal health budgets to people with learning disabilities. This can be found at: www.thinklocalactpersonal.org.uk

Think Local Act Personal has also worked with National Voices and partners across health and care to develop No assumptions – a narrative for personalised, coordinated care and support in mental health, which describes the critical outcomes and success factors in the care, support and treatment of people who use mental health services, from their perspective. This can be found at: www.thinklocalactpersonal.org.uk/MIR

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“There may be more savings to be made from offering budgets to those with higher levels of need.”
What information, support and guidance is available on understanding and preparing for the services and interventions people will want?
Personal health budgets that have the biggest impact on quality of life offer flexibility around what can be purchased. It is important to work closely with budget holders, families and existing providers to find out what services and other forms of support budget holders want, and to develop the market so that these are available. More details can be found in NHS England’s Commissioning guide, available at: www.personalhealthbudgets.england.nhs.uk

Several market development case studies are available at: www.personalhealthbudgets.england.nhs.uk

Think Local Act Personal has published a model for developing the market, based on the views of people who use services, carers, commissioners and providers. Stronger partnerships for better outcomes can be downloaded at: www.thinklocalactpersonal.org.uk

Over 160,000 individuals across England receive direct payments or a personal budget so that they can employ people to provide care and support in their own homes. Skills for Care has developed a range of products and services to help individual employers with the process of employing a personal assistant and the responsibility of being a manager, as well as providing support to personal assistants. These are available at: www.skillsforcare.org.uk/ Employing-your-own-care-and-support

How should we prioritise the groups to extend personal health budgets to next, beyond community healthcare?
Analysis of the pilot sites suggested that high-value personal budgets (over £1,000) were the most cost-effective. As a result, personal health budgets should be targeted first at those with the greatest need. The overall positive effect of a budget is not strongly related to health condition, so roll-out doesn’t need to be on a condition-specific basis. People under the age of 75 have been shown to benefit more from personal health budgets in terms of quality of life, although people over 75 may incur greater cost savings as they tend to receive higher value budgets. More details can be found in the evaluation report at: www.personalhealthbudgets.england.nhs.uk

Some of the leading personal health budget sites are exploring the use of personal health budgets for people with very complex needs who use a lot of health services, based on the evidence that they help reduce hospital stays. In addition, there is evidence for the cost-effectiveness of budgets in mental health services. A leadership group of mental health demonstrator sites is exploring the use of personal health budgets across a range of settings. You can follow news about these at: www.personalhealthbudgets.england.nhs.uk

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Managing risk

What does a personal health budget mean for clinical governance and risk?
Risk management can be incorporated throughout the process of planning and delivering personal health budgets. Care planning should take place with risks in mind: identifying them; thinking them through; and discussing what level of risk all parties are comfortable with. After the care plan is agreed there should be checks and balances in place to monitor risk and review what is working. The NHS England guide, Choice, risk and decision making, provides more information, available at: www.personalhealthbudgets.england.nhs.uk

How can we mitigate the risk of legal challenge?
The development of personal health budgets must take into account the existing legal framework. Guidance on the direct payment legislation in health is available at: www.personalhealthbudgets.england.nhs.uk

It will be necessary to consider the Human Rights Act 1998, the Equality Act 2010 and the Mental Capacity Act 2005, as well as the NHS duty to involve, the duty of care and health and safety law. More detail can be found in the NHS England guide, Choice, risk and decision making, available at: www.personalhealthbudgets.england.nhs.uk

Information on equalities issues can also be found in the guide, Ensuring equal access, available at: www.personalhealthbudgets.england.nhs.uk

Further information

The NHS England website provides information and news about the Department of Health’s personal health budgets policy and is home to a learning network for NHS and social care professionals involved in personal health budgets. This will be continually updated as the agenda rapidly picks up pace and develops. See: www.personalhealthbudgets.england.nhs.uk

The Personal Health Budgets Pilot Evaluation (PHBE) project provides detailed learning from personal health budget pilots, including for maternity and substance misuse services. See: www.phbe.org.uk

The Personal Health Budgets Toolkit contains guidance and specific examples from pilot sites: www.personalhealthbudgets.england.nhs.uk/Topics/Toolkit

Think Local Act Personal web pages on self-directed support and personal budgets provide information spanning health and social care. See: www.thinklocalactpersonal.org.uk/selfdirectedsupport and www.thinklocalactpersonal.org.uk/coordinatedcare

Social Care Institute for Excellence resources provides learning from the implementation of personal budgets in social care. See: www.scie.org.uk/topic/keyissues/personalisation/personalbudgets

Peoplehub also provides information about personal health budgets from the perspective of people who use them, their families and carers. See: www.peoplehub.org.uk
The NHS Confederation

The **NHS Confederation** is an independent membership body for all organisations that commission and provide NHS services; the only body that brings together and speaks on behalf of the whole of the NHS.

For more information, visit [www.nhsconfed.org](http://www.nhsconfed.org)

Think Local Act Personal

**Think Local Act Personal** is a national partnership committed to transforming health and care through personalisation and community-based support. Our unique strength is bringing together people who use services and family carers with central and local government, major providers from the private, third and voluntary sector and other key groups. We work closely with members of the National Co-production Advisory Group – a network of over 20 people with lived experiences of care and support – to develop our work programme together.

For more information, visit [www.thinklocalactpersonal.org.uk](http://www.thinklocalactpersonal.org.uk)