

Title:	Operational Policy and Procedural Arrangements Relating to Direct Payments		
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1.0 INTRODUCTION / PURPOSE OF POLICY

Direct Payments is one of the options available under Self-Directed Support and are cash payments made in lieu of personal social services to individuals who have been assessed as needing services. Direct Payments were introduced into Northern Ireland in 1996 under the Personal Social Services (NI) Order. Eligibility for Direct Payments was extended further with the implementation of the Carers & Direct Payments Act (NI) 2002, which extended provision to 16 and 17 Year Olds, parents of disabled children, disabled parents and carers. The regulations impose a duty on Trusts to offer Direct Payments to those people who have been assessed and where services have been agreed.

1.1 Background

Self-Directed Support is a new way of providing social care support that empowers individuals to have informed choice about how support is provided to them, with a focus on working together to achieve individual outcomes. Direct Payments is one of the options available, and enables individuals to organise and purchase their own support thus empowering the individual, giving them greater control and independence.

1.2 Purpose

This policy aims to provide clear guidance to staff on the implementation of Direct Payments, for those Users and Carers assessed as being eligible for services. This document should be read in conjunction with the:

- Carers & Direct Payments Act (NI) 2002. Direct Payments Legislation and Guidance for Boards and Trust issued by the DHSSPS April 2004.
- A Guide to Receiving Direct Payments. User Guide, issued by DHSSPS April 2005.
- Guidance on Accounting and Monitoring Requirements for Payments Made Under the Carers & Direct Payments Act (NI) 2002 (Updated 2009).

(Copies of all these documents can be downloaded from www.dhsspsni.gov.uk)

1.3 Objectives

The key objectives of the policy are:

1. To promote the uptake of Direct Payments as an alternative to direct service provision for the Service Users.
2. To ensure consistency in the use and application of Direct Payments.
3. To provide clear guidance for all staff.
4. To ensure correct documentation is completed and protocols are followed.

2.0 SCOPE OF THE POLICY

This policy applies to staff in all service groups involved or potentially involved in the implementation and operation of Direct Payments. Direct Payments are for Users/Carers who have been assessed as needing services. They are cash

payments given so that Users/Carers can arrange the provision of their own services in lieu of services that would otherwise have been arranged for them by the Trust. Those eligible for Direct payments include Disabled People, to whom Section 1 (1) of the Chronically Sick & Disabled Persons (NI) Act 1978 applies, age 16 and over; Carers (including 16 and 17 year old carers) for services that meet their own assessed needs; parents of disabled children and disabled people with parental responsibility.

Those not eligible include the following:

- A person subject to a Probation Order or Combination Order where they are required to submit to treatment for a mental condition or drug or alcohol dependency.
- A person subject to a Guardianship Order.
- Patients detained under the Mental Health (NI) Order 1986 who are on Leave Of Absence from hospital.

It is the ultimate responsibility of the Service Group Director to ensure Direct Payments are offered to all those eligible and to ensure correct procedures are followed in the implementation and monitoring of Direct Payments.

3.0 ROLES/RESPONSIBILITIES

The Responsibilities of the Belfast Trust Self-Directed Support Steering Group

- To oversee the expansion, implementation and monitoring of Direct Payments across the Trust and to provide strategic guidance and support.
- To ensure Departmental and Commissioning Direction Plan Targets are met.
- To ensure high standards in the application of Direct Payments Procedures.
- To ratify recommendations of the Self-Directed Support Programme Board.
- On receipt of the HSCB annual increase in Direct Payments, notify the Finance Department.
- To ensure dissemination of Learning & Development in relation to Direct Payments.

The Responsibilities of the Belfast Trust Self-Directed Support/Direct Payment Implementation Group

- To operationalise the recommendations of the Trust Steering Group.
- To promote partnership working with the SDS Service User and Carer Advisory Group.
- To ensure shared learning and provide a Trust wide forum for discussion/resolution of practice issues.
- To ensure information pertaining to Direct Payments is disseminated across the Trust.
- To identify training and support needs and develop strategies to meet these.

The Responsibilities of Key Workers, Line Manager and Service Managers

- To ensure Direct Payments are offered to all eligible Service Users on completion of assessments/reassessment.
- To provide the necessary advice and support to Users to facilitate take up of Direct Payments.
- To provide ongoing support and advice to Direct Payments Users and to ensure reviews are carried out in a timely manner.
- To ensure correct procedures are followed and applied at all times in respect of Direct Payments.
- To liaise with the Finance Department and ensure completion of the required documentation.
- To assist in the ongoing monitoring of Direct Payments finances. Where discrepancies (such as accumulation of funds) are highlighted by the Finance Department, the key worker must arrange a reassessment of the Service Users needs and review the Direct Payment.
- Service Manager should request an audit is carried out on an annual basis to ensure correct procedures are being followed and that reviews have been carried out as per guidelines.

The Responsibilities of the Finance Department

- Service Users must submit quarterly returns to the Finance Department. If these are not received, the Trust Finance Department will pursue the receipt of outstanding documentation from the Service User/Representative and notify the Trust key worker.
- The Trust Finance Department will monitor the Direct Payments arrangement through examination of the required financial records. The Trust key worker and Trust finance Officer will be required to jointly investigate any query or concern regarding the Users management of the Direct Payments.
- The Finance Department will highlight to the key worker any concerns or issues, and where there is an accumulation of over 8 weeks payments.

The Responsibilities of the Service User

- It is the responsibility of all Service Users to submit the required financial records on a quarterly basis to the Trust Finance Department within 10 working days of submission dates.
- Service Users must report an accumulation of over 8 weeks Direct Payments monies to the Trust key worker.
- To retain tax records relating to Direct Payments for 4 years and all other records relating to Direct Payments for 2 years.
- Service Users may use a pay roll service, but the cost of this is included in the Direct Payment.

On cessation of Direct Payments, required financial records must be forwarded to the Trust Finance Department accompanied by a cheque for surplus monies unused.

The Responsibility of the Centre for Independent Living (CIL)

- To provide ongoing support and advice to potential and current Users of Direct Payments and Trust staff.

4.0 KEY POLICY PRINCIPLES

4.1 Definition

Direct Payments were introduced into Northern Ireland in 1996 via the Personal Social Services Direct Payments (NI) Order although initially available only for adults with a disability between the ages of 18 – 65. This was extended to all carers through the Carers & Direct Payments Act (NI) 2002, everyone with a disability over the age of 16 to whom Section 1(i) of the Chronically Sick & Disabled Persons NI Act applies, parents of disabled children and disabled people with a parental responsibility.

Direct Payments are care payments given in lieu of services to Users/Carers to arrange provision of their own services, following assessment. All Users/Carers should be informed about Direct Payments as part of the overall assessment process.

Direct Payments are one of four options under Self-Directed Support, and targets have been set to encourage Trusts to increase the uptake of Direct Payments. Self-Directed Support is an essential part of the Government's "Personalisation" Agenda and is referenced in the Programme for Government Outcomes Framework 2016-2021, and also in 'Power to People' 2017.

(Copies of these documents can be downloaded from www.dhsspsni.gov.uk)

4.2 Key Policy Statement

"Direct Payments increase choice and promote independence. They provide for a more flexible response than may otherwise be possible for the Service User/ Representative and Carer. They allow individuals to decide when and in what form services are provided and who provides them, who comes into their home and who becomes involved in very personal aspects of their lives. Direct Payments put real power into the hands of Service User/Representatives and Carers, and allow them to take control over their lives."

(Direct Payments Policy and Practice Review Report – April 2005 Ref: 323/04)

4.3 Policy Principles

- The Trust must be satisfied that the person's needs will be met through a Direct Payment.
- The Trust must be satisfied that the welfare of a child receiving a Direct Payment will be safeguarded and promoted by using a Direct Payment.
- The Trust must be satisfied that the person is capable of managing a Direct Payment by himself/herself or with such assistance as may be available.
- This Policy is based on the principle of choice, that Service Users/Representatives and Carers can choose whom they employ and when they deliver the service.
- Direct Payments offer Service User/Representatives and their Carers the opportunity to manage their own care tailoring the service to meet their needs in a flexible manner whilst allowing them the opportunity to exert more control over their own lives.

5.0 IMPLEMENTATION OF POLICY

This policy is to be implemented across all service groups. All staff are required to comply with the Policy as detailed. Provision of Direct Payments must be met within available resources. Service groups should develop strategies to outline how future demands for Direct Payments will be met, such as resource allocation panels.

5.1 Dissemination

This policy should be implemented by all Directorates. It is available on the Belfast Trust intranet Self Directed Support section, (please click this [link](#) to review same) and on the Belfast Trust Intranet Policies and Guidelines section.

5.2 Resources

Responsibility for training requirements and other aspects of this policy are detailed in Section 3.0, Roles and Responsibilities

5.3 Exceptions

There are no exceptions.

6.0 MONITORING

It is the responsibility of each programme of care to monitor the implementation of this policy, and ensure adherence to Programme for Government targets.

7.0 EVIDENCE BASE / REFERENCES

This policy is based on the requirements of the Carers and Direct Payments Act (NI) 2002, to offer all Users the opportunity to have Direct Payments. It is also based on the 2004 Department review, the Government's "Personalisation" Agenda, and is referenced in the Programme for Government Outcomes Framework 2016-2021, and in 'Power to People' 2017.

References, including relevant external guidelines:

This Policy aims to provide clear guidance to staff on the implementation of Direct Payments, for those Users and Carers assessed as being eligible for services. This document should be read in conjunction with:

- The Carers & Direct Payments Act (NI) 2002. Direct Payments Legislation and Guidance for Boards and Trust issued by the DHSSPS April 2004.
 - A Guide to Receiving Direct Payments. User Guide, issued by DHSSPS April 2005.
 - The Guidance on Accounting and Monitoring Requirements for Payments Made Under the Carers & Direct Payments Act (NI) 2002 (Updated 2009).
- (Copies of all these documents can be downloaded from www.dhsspsni.gov.uk).

8.0 CONSULTATION PROCESS

This policy has been devised in consultation with the Belfast Trust Self Directed Support Steering Group, and Self Directed Support Service User and Carer Representatives.

9.0 APPENDICES / ATTACHMENTS

Appendix 1	Access NI PIN notification and ID validation form
Appendix 2	Direct Payment Commissioning form
Appendix 3	Direct Payment Scheme Agreement
Appendix 4	Weekly Timesheet
Appendix 5	Direct Payment/Self Directed Support Variation form
Appendix 6	Direct Payment Care/Support Review form
Appendix 7	Direct Payment Leaving Notice
Appendix 8	Quarterly Return Covering Letter

10.0 EQUALITY STATEMENT

In line with duties under the equality legislation (Section 75 of the Northern Ireland Act 1998), Targeting Social Need Initiative, Disability discrimination and the Human Rights Act 1998, an initial screening exercise to ascertain if this policy should be subject to a full impact assessment has been carried out.

The outcome of the Equality screening for this policy is:

Major impact

Minor impact

No impact.

11.0 DATA PROTECTION IMPACT ASSESSMENT

New activities that involve collecting and using personal data can result in privacy risks. In line with requirements of the General Data Protection Regulation (GDPR) and the Data Protection Act 2018 the Trust has to consider the impacts on the privacy of individuals and ways to mitigate against the risks. Where relevant an initial screening exercise should be carried out to ascertain if this policy should be subject to a full impact assessment. The guidance for conducting a Data Protection Impact Assessments (DPIA) can be found via this [link](#).

The outcome of the DPIA screening for this policy is:

Not necessary – no personal data involved

A full data protection impact assessment is required

A full data protection impact assessment is not required

If a full impact assessment is required the author (Project Manager or lead person) should go ahead and begin the process. Colleagues in the Information Governance Team will provide assistance where necessary.

12.0 RURAL IMPACT ASSESSMENTS

From June 2018 the Trust has a legal responsibility to have due regard to rural needs when developing, adopting, implementing or revising policies, strategies and plans, and when designing and delivering public services.

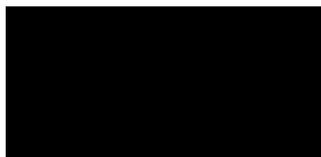
It is your responsibility as policy or service lead to consider the impact of your proposal on people in rural areas – you will need to refer to the shortened rural needs assessment template and summary guidance on the Belfast Trust Intranet. Each Directorate/Division has a Rural Needs Champion who can provide support/assistance in this regard if necessary.

13.0 REASONABLE ADJUSTMENTS ASSESSMENT

Under the Disability Discrimination Act 1995 (as amended), the Trust has a duty to make reasonable adjustments to ensure any barriers disabled people face in gaining and remaining in employment and in accessing and using goods and services are removed or reduced. It is therefore recommended the policy explicitly references "reasonable adjustments will be considered for people who are disabled - whether as service users, visitors or employees.

SIGNATORIES

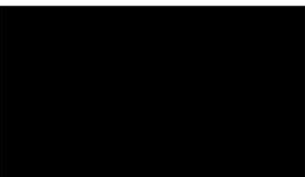
(Policy – Guidance should be signed off by the author of the policy and the identified responsible director).



12 February 2020

Date: _____

Director of Adult Social and Primary Care



12 February 2020

Date: _____

Chief Executive

DIRECT PAYMENTS GUIDANCE FOR STAFF

BELFAST HEALTH AND SOCIAL CARE TRUST

1.0 ASSESSMENT

1.1 The referral for assessment for services is received and the person's ability to contribute where applicable is addressed.

1.2 Following completion of assessment/reassessment, the Trust key worker must offer Direct Payments and provide appropriate information. This may include Centre for Independent Living contact details, who can provide advice for Service users and Trust staff.

1.3 Service User/Representative accepts Direct Payments and line manager informed.

1.4 Service agreed and costed by the Trust key worker with line manager and approved by Senior Manager (Band 8A).

1.5 Service User/Representative advised of outcome. If dissatisfied with this outcome, the Service User/Representative can request a written explanation for this outcome.

2.0 SET UP OF DIRECT PAYMENT PROCESS

2.1 Trust key worker informs Service User/Representative of Direct Payment process and confirms their understanding.

2.2 Trust key worker must advise the Service User/Representative to open a separate bank account to enable Direct Payments to be identified separately from personal finances.

2.3 Trust key worker advises Service User/Representative of their responsibilities as an employer of staff and the requirement to register with Inland Revenue in respect of Income Tax and National Insurance obligations where required.

Trust key worker may inform the Service User/Representative of the availability of CIL's advisory service who can provide information on the responsibilities as an employer.

2.4 Access NI Process - The Trust key worker must discuss the AccessNI process with Service User/Representative prior to commencement of Direct Payment. It is standard good recruitment practice for employers to satisfy themselves as to the identity of those applying for Direct Payment Personal Assistant Positions. In relation to children, AccessNI checks are mandatory and are strongly recommended for adults.

- Trust key worker must record in Service User's file if the Service User declines the AccessNI check for potential staff.
- An Enhanced Access NI check when applicable/requested is required for those employing Personal Assistants through the Direct Payments scheme. This can be requested through the key worker.
- For individuals availing of Direct Payments, the Trust will process the Access NI application for the check and pay the resulting fee to Access NI.
- An individual cannot apply for an enhanced Access NI check. An application for an enhanced check must be countersigned by an Access NI registered organisation – the Trust. Each programme of care has a list of counter signatories who carry out this role and function. Speak to your line manager.
- Each counter signatory has a unique PIN and as key worker, you will require this number for ID verification and processing the application to the next stage. The key worker will need to share the PIN with the applicant for them to enter online. Potential employees are required to complete an online application for Access NI at www.nidirect.gov.uk/accessni.
- As key worker, you will be required to meet with this person/s to verify their identification from the list of acceptable forms of ID outlined on the application form. (Appendix 1)
- Once you, the key worker, has completed (by signing) the ID validation form, this is then sent electronically (scan) or a hard copy to the appropriate counter signatory to process. The applicant should then be informed at this meeting that they are unable to commence employment until the certificate has been seen and checked by the key worker/nominated Trust representative. Therefore, the applicant should make arrangements to meet with the key worker/Trust representative as soon as possible following receipt of their certificate.
- Once the certificate has been verified, the key worker will make a written record of this in the confidential section of the service user's file.
- The Disclosure Certificate should not be held in Service User's file, and held by the Certificate owner only.
- If a disclosure has been made on the Access NI certificate, then the person should be advised that this does not necessarily debar them from work but that you, the key worker, are not authorised to initiate employment and that you are required to escalate with your manager as to how to proceed. This should be escalated immediately to prevent a delay in service provision.
- The key worker will agree with the individual the date the Direct Payment is to commence and inform the Finance Department on the appropriate DP forms.

2.5 Service User/Representative should be advised by Trust key worker that they are responsible for selection and recruitment of staff. Key worker should advise Service User/Representative to contact CIL for up-to-date information in this area. The AccessNI check forms only part of the overall recruitment process and the take-up of references should be considered. The Trust key worker should consider risk assessment as part of the overall process.

2.6 Employers Liability Insurance must be obtained by Service User/Representative prior to the commencement of payments. Initial purchase of Insurance will be reimbursed by Trust Finance Department on the receipt of a memo or Amendment Form (Appendix 5) from the Trust key worker, as authorised by the Senior Manager (Band 8A). Trust key worker must confirm that the Service User/Representative has purchased and renewed their Employers' Liability Insurance each year and request copy of initial and renewal certificate.

2.7 A microboard should be set up if appropriate.

2.8 Trust key worker discusses with the Service User/Representative in detail their responsibilities with regards to financial management and provide the Service User/Representative with the appropriate documentation for financial records (Appendix 4). Time sheets are applicable only if a payroll service is not provided. It is strongly recommended that Service User/Representative keep and maintain timesheets as evidence of payments made, in the absence of payroll summaries.

2.9 Direct Payment Scheme (Contract) Agreement (Appendix 3) must be discussed in detail with the Service User/Representative. Two original copies need to be signed by Service User/Representative, Trust key worker and Senior Manager (Band 8A). One original copy returned to Service User/Representative and one for file and a copy must be sent to Finance Department for their file.

2.10 Commissioning Form (Appendix 2) prepared by Trust key worker and authorised by Senior Manager (Band 8A). Original form must be sent to Trust Finance Department with one copy to Service User/Representative and one held on file. The Commissioning Form and Scheme Agreement must be sent to Finance Department before commencement of payment.

3.0 MONITORING AND REVIEW

Trust Key Worker Responsibilities

3.1 The Trust key worker must review the Service User's needs after six weeks, then after three months and six monthly thereafter. The Care/Support Review form (Appendix 6) must be completed by the Trust key worker and a copy retained on file with a copy given to the Service User/Representative. The use of additional service-area specific review proformas is at the discretion of the Trust key worker.

3.2 Where the Trust key worker notes an accumulation of over 8 weeks Direct Payment monies, the Trust key worker must arrange a re-assessment of Service User needs and review the Direct Payment. Where it is evident that there is an accumulated surplus of monies that are not required, the Trust key worker should

consider if an amount is to be recouped by the Trust and progress this with the Service User/Representative and the Trust Finance Department.

3.3 Direct Payment Variation (previously Amendment) Form (Appendix 5) must be completed for any amendment to a Direct Payment. Direct Payment Variation Form must be authorised by Senior Manager (Band 8A). Original form to Trust Finance Department with one copy to Service User/Representative and one for file. If there is a decrease in the number of hours allocated, the Trust key worker should complete the DP Variation form, but it does not require authorisation by Senior Manager 8A. The line manager for the key worker can approve the decrease.

3.4 On cessation of a Direct Payment, the Trust key worker must complete Leaving Notice (Appendix 7) and forward as soon as possible to the Trust Finance Department. Original form to Trust Finance Department with one copy to Service User/Representative and one for file.

4.0 MONITORING AND REVIEW

Service User/Representative Responsibilities

4.1 The required financial records with the covering letter (Appendix 8) must be sent to Trust Finance Department each quarter for periods ending 31st March, 30th June, 30th September and 31st December within 10 working days of the above dates.

4.2 The Service User/Representative must report an accumulation of over 8 weeks Direct Payment monies to the Trust key worker. Service Users may be required to repay overpayments.

4.3 The Service User/Representative must report any change in circumstances which may affect their entitlement to Direct Payments.

4.4 The Service User/Representative must retain tax records relating to Direct Payments for 4 years and all other records relating to Direct Payments for 2 years.

4.5 On cessation of Direct Payment, the required financial records must be sent to the Trust Finance Department up to the date of cessation. This must be accompanied by a cheque for any surplus monies unused. However, before the account is closed and monies returned to the Trust, consideration must be given to monies still to be debited from the account (e.g. for HMRC, holiday pay, invoices).

4.6 The Service User//Representative should submit quarterly bank statements and payroll summaries to the Finance Department.

5.0 MONITORING AND REVIEW

Trust Finance Department Responsibilities

5.1 If quarterly returns are not received by the due date, Trust Finance Department will pursue the receipt of outstanding documentation from Service

User/Representative and notify the Trust key worker. If documentation is not returned within one month of quarter end, consideration will be given to suspension of payment following consultation with key worker.

5.2 Trust Finance Department will monitor the Direct Payment arrangement through examination of the required financial records as submitted by the service user. The Trust key worker and Trust finance officer will be required to jointly investigate any query or concern regarding the user's management of the Direct Payment.

5.3 Direct Payment rates will be reviewed annually. Increases in Direct Payment rates will be applied by the Trust Finance Department on receipt of formal notification from the Health and Social Care Board.

Appendix 1

PIN NOTIFICATION AND ID VALIDATION FORM



Applicant instructions

1. Go to www.nidirect.gov.uk/apply-for-an-enhanced-check-through-a-registered-body.
2. Select the green button to [Apply for an enhanced check through a registered body](#).
3. Register your account by creating a user ID and password [keep these details safe as you will need them to track the progress of your case].
4. Once you have successfully logged in, you will be taken to the on-line application.
5. Enter the PIN number below at Step 1 of the form completion.

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6. Complete the remainder of the form and click on **confirm and proceed** to finish the on-line process.
7. You must note below the 10 digit AccessNI reference number in the boxes below:-

Application
Reference¹

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8. Return this form to the person who asked you to complete the AccessNI application.

Identity validation

Three documents should be produced in the name of the applicant; **one from Group 1 and two from Group 1 or 2a or 2b**. At least one document must show the applicant's

¹ This is the 10 digit case reference number provided on the confirmation page(Step 12) and email when the applicant completes their details on the AccessNI on-line system.

current address. If this is not possible, then **four documents from Group 2a and 2b** should be produced, one of which being a birth certificate issued after the time of birth. One document must show the applicant's current address.

Applicant details as they appear on the ID documentation provided:

Surname..... First Name.....Middle Name(s).....

Date of Birth :

		/			/				
--	--	---	--	--	---	--	--	--	--

Current postcode :

--	--	--	--	--	--	--	--

Driving licence number..... Passport number.....

National Insurance Number.....

I confirm I have seen the original ID documentation as indicated on the attached sheet.

Date of ID check :

		/			/				
--	--	---	--	--	---	--	--	--	--

Signed :

Name (Capitals) :

GROUP 1

- | | |
|---|--|
| <input type="checkbox"/> Current passport (any nationality) | <input type="checkbox"/> Original birth certificate (UK, Isle of Man or Channel Islands) issue at time of birth |
| <input type="checkbox"/> Biometric Residence Permit (UK) | <input type="checkbox"/> Original long form Irish birth certificate –issued at time of registration of birth (ROI) |
| <input type="checkbox"/> Current driving licence (UK, ROI, Isle of Man, Channel Islands or any EEA country) | <input type="checkbox"/> Adoption certificate (UK, Isle of Man or Channel Islands) |

GROUP 2a

- | | |
|---|--|
| <input type="checkbox"/> Birth certificate (UK, ROI, Isle of Man or Channel Islands) issued after time of birth | <input type="checkbox"/> Electoral ID card (NI only) |
| <input type="checkbox"/> Marriage/Civil Partnership Certificate (UK, ROI, Isle of Man or Channel Islands) | <input type="checkbox"/> Current driving licence photocard (full or provisional) All countries outside the EEA |

- HM Forces ID card (UK)
- Current driving licence (full or provisional paper version (if issued before 1998) (UK, Isle of Man, Channel Islands, EEA)
- Firearms licence (UK, Channel Islands and Isle of Man)
- Immigration document, visa or work permit (issued by a country outside the EEA – valid only if the applicant is working in the country that issued the document)

GROUP 2b

- Mortgage Statement (UK, EEA)
- Land and Property Services rates demand (NI only)
- Financial statement, for example ISA, pension or endowment (UK)
- Council tax statement (Great Britain, Channel Islands)
- P45 or P60 statement (UK, Channel Islands)

Above documents must be issued within the last 12 months

- Credit card statement (UK,EEA)
- Bank or building society account opening confirmation letter (UK, EEA)
- Bank or Building society statement (UK, EEA)
- Utility bill (not mobile phone) (UK, EEA)
- Bank or Building society statement (Outside EEA) (Branch must be in the country where the applicant lives and works)
- Benefit statement, for example Child Benefit, Pension etc (UK, Channel Islands)
- Central or local government, government agency, or local council document giving entitlement, for example from the Department for Work and Pensions, the Employment Service, HMRC (UK, Channel Islands)

Above documents must be issued within the last 3 months

- EU National ID card
- Cards carrying the PASS accreditation logo (UK, Isle of Man, Channel Islands)
- 60+ or Senior (65+) SmartPass issued by Translink (NI)
- Letter from head teacher or further education college principal (UK for 16 -19 year olds in full time education – only used in exceptional circumstances if other documents cannot be provided)
- yLink card issued by Translink (NI)
- Letter of sponsorship from future employment provider or voluntary organization (Non UK or non-EEA only for applicants residing outside UK at time of application)

Above documents must be valid at the time of checking

**THIS FORM SHOULD BE RETAINED WITHIN YOUR ORGANISATION
PLEASE DO NOT SEND IT TO ACCESSNI**

Appendix 2

Belfast Health and
Social Care Trust

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SELF DIRECTED SUPPORT - DIRECT PAYMENT SCHEME			
Commissioning Form			
Name of Service User			
DOB		Paris ID No	
		HCN Number	
Address			
Postcode		Telephone	
Key Worker Name & Designation		Telephone	
Please Tick ✓ Service Area	Adult LD <input type="checkbox"/> Adult PSD <input type="checkbox"/> Mental Health N&W <input type="checkbox"/> Mental Health S&E <input type="checkbox"/> OPS N&W <input type="checkbox"/> OPS S&E <input type="checkbox"/> Children's Services PSD <input type="checkbox"/> Children's Services LD <input type="checkbox"/>		Cost Centre Code:
SDS Expense Code	790B4430		
DP/Personal Budget amount agreed per week determined from Assessment of Need and approved by panel / senior manager (Band 8A)			
Weekly DP hours = Amount agreed per week = £			
Has the person's ability to financially contribute where applicable been assessed? (For example: domestic tasks only, under 75) Yes / No			
Date of commencement of Employer's Liability Insurance If insurance not required, please state why			
Date Direct Payment to commence			
Is Service User/Carer Registered with a Payroll service? Please provide details	Yes / No		
Bank Details			
Name of Bank			

Address of Bank			
Account in Name of			
Account No			
Bank Sort Code			
Approved and Authorised by Senior Manager (Band 8A)			
Signature of Senior Manager On behalf of Belfast Health & Social Care Trust		Date	

(1) Copy to Finance Department

directpayments@belfasttrust.hscni.net

(2) Copy to Service User/Representative

(3) Copy for Service User File

Appendix 3

Belfast Health and
Social Care Trust

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SELF DIRECTED SUPPORT

Direct Payment Scheme Agreement

This is a Direct Payment Scheme agreement between Belfast Health & Social Care Trust and:

**Name of person
managing the DP**

Email address

**Address of person
managing the DP**

**Telephone number of
person managing DP**

In respect of services for Service User:

Name

1. Belfast Health and Social Care Trust agree to provide you with a sum of money to enable you to employ and manage your Personal Assistants or Service from an Agency.
2. The amount of money you receive will be based on your need for assistance as detailed in your assessment and in keeping with the Trust's criteria for support at home (see attached Commissioning Form). The rate paid will be set and reviewed annually by the Trust.
3. If you have been assessed as needing longer- term regular payments, each payment will normally be made each calendar month, net of any contributions to be made by you. Any such contribution will be based on a financial assessment made by Trust staff. Payments will normally be made direct to your nominated Direct Payment bank account by BACS.
4. You are required to manage Direct Payments through a separate bank account with a Cheque writing facility. This is to avoid complications of mixing Direct Payments with personal finances. You will be required to submit statements from this bank account to the Trust.
5. You must adhere to the following financial accountability requirements: -

- (i) You are responsible for preparing and submitting quarterly receipts and payment records to the Trust, detailing the use of Direct Payments. These should be completed for the quarters ending 31 March, 30 June, 30 September and 31 December. This will include a copy of the bank statement(s) of the account into which the Direct Payments have been made for the relevant period. The deadline for submission of these returns is 10 working days after the quarter- end.
 - (ii) You should retain tax records relating to Direct Payments for 4 years and all other records relating to Direct Payments for 2 years. It is strongly recommended that service user/representative keep and maintain payroll summaries/timesheets/invoices as evidence of payments made.
 - (iii) If you use Direct Payments to purchase short- term residential care you will be responsible for contributing towards the cost, based on an assessment of your resources.
 - (iv) You are required to repay the Trust any funds determined by the Trust to be surplus.
 - (v) Trust staff and/ or internal and external auditors have the right of access to inspect your Direct Payments records.
6. If you expect to accumulate in excess of 8 weeks monies due to a change in your circumstances (e.g. holiday, hospital admission), you must notify your Trust Key Worker because it may be necessary to suspend your Direct Payment during that period.
 7. As an employer, you are responsible for meeting all statutory requirements in respect of Income Tax and National Insurance contributions. If you employ someone who is "Self Employed" you should ask them to provide a registration from HMRC as proof of their self employed status.
 8. You must ensure that you have adequate Employer and Public Liability insurance, evidence of which must be produced prior to commencement of Direct Payments. You must provide the Trust with a copy of your Insurance Certificate on a yearly basis upon renewal.
 9. As an employer, you are responsible for making sure that your employees are adequately trained for the job. Advice in relation to specialist requirements is available from Trust staff, where appropriate.
 10. You are expected to comply with equality legislation in the selection, recruitment and payment of staff. Trust staff can provide you with details of organisations that can offer advice on these matters
 11. Before making a Direct Payment the Trust must satisfy itself about the suitability of any potential employee(s). It will be your responsibility to ensure that documentation provided by the Trust is completed and returned to enable the Protection of Children and Vulnerable Adults (AccessNI) checks to be carried out.
 12. The Trust will review your requirements after the first 6 weeks of receiving a Direct Payment and 3 months after and 6 monthly thereafter. Any adjustments to your Direct Payments package will be negotiated with you.
 13. You must report an accumulation of over 8 weeks Direct Payment monies to your Trust Key Worker who will then arrange a re-assessment of your needs and review your Direct Payment. Where it is evident that there is an accumulated surplus of monies that are not required, an agreed amount may be recouped by the Trust.

- 14 Your Key Worker can offer to put you in touch with source of support for advice and guidance including, where possible, experienced scheme users keen to help you succeed on the Scheme.
- 15 In signing the agreement you are confirming that you will take personal responsibility for complying with the Scheme's requirements as detailed in this agreement. Should you experience short-term difficulties in running the Scheme, you may be offered additional support to help you through this period. If, however, you experience persistent difficulties in meeting the Scheme's requirements with no indication of these being overcome in the near future, Direct Payments will be discontinued and Trust staff will discuss alternative arrangements with you.
- 16 Where there is evidence of fraud or misuse of funds, membership of the Direct Payments Scheme will cease immediately and the Trust will seek full Repayment of any monies due.

I understand the terms and conditions of this Direct Payment Agreement and I agree to abide by them.

Signature of Direct Payment Recipient		Date	
<i>OR</i>			
Signature of Appointee, Agent or person managing the DP		Date	
State Capacity			

Print Name & Designation of Key Worker			
Signature of Key Worker		Date	

Print Name of Senior Manager (Band 8A)			
Signature of Senior Manager (Band 8A)		Date	
On behalf of Belfast Health & Social Care Trust			

2 Original Copies, one for file, one for Service User. Send Copy to Trust Finance Department.

DIRECT PAYMENT SCHEME – Weekly Timesheet

Name of Employer / Direct Payment Recipient										Name of Personal Assistant		Employment Status: (Delete as applicable)				Employed / Self-Employed Schedule D No / Student P38 (S)	
Tax Week No / Date	Mon	Tues	Wed	Thurs	Fri	Sat	Sun	Total Hours	Total Earned	Deductions		Total Paid	Cheque No Standing Order Cash	PA Signature	Date		
										Tax	Nat Ins						

Appendix 5

SELF DIRECTED SUPPORT – VARIATION FORM (previous title- Amendment Form)			
Name of Service User			
DOB		Paris Id:	
		H&CN Number :	
Address			
Postcode		Telephone	
Key Worker Name & Designation		Telephone	
Line Manager Name & Designation		Telephone	
Service Area (Cost Centre)			
Service Area (please tick)	Adult LD <input type="checkbox"/> Adult PSD <input type="checkbox"/> Mental Health N&W <input type="checkbox"/> Mental Health S&E <input type="checkbox"/> OPS N&W <input type="checkbox"/> OPS S&E <input type="checkbox"/> Children's Services PSD <input type="checkbox"/> Children's Services LD <input type="checkbox"/>		
SDS Expense Code	790B4430		

Increase in Hours Per Week				
From		To		
Increase in £ Per Week:				
From	£		To	£
Reason for Amendment				
Decrease in Hours Per Week				
From		To		
Decrease in £ Per Week:				
From	£		To	£
Reason for Amendment				
One-off Amendment – Reason for Amendment				

Total Payment:	£	
Date to be Paid		
One-off Amendment – Reason for Amendment		
Total Payment:	£	
Date to be Paid		

Has the person's ability to financially contribute where applicable been assessed?
(Domestic tasks under 75 only)

Yes / No

Specify Agreed Service Provision/ Amount across SDS Options as outlined in the boxes below

Note: Nil should be entered for options not applicable

Amended Direct Payment Amount in £	Core Services In hours E.g. Home care, Independent Sector provider	Carer Support E.g. grant, DP, short break, therapies etc.
Managed Budget Amount in £	Please state frequency of: Day care, Respite/Short breaks/sits per week/month. E.g. – 3 days of day care, or 2 night sits	

Variation Form Completed by:			
Signature	Role	Print Name	Date
Approved and authorised by Operations Manager (8A or above)			
Signature of Senior Manager		Date	
On behalf of Belfast Health & Social Care Trust			

(1) Original Copy to Trust Finance Department –if DP or Managed budget only DirectPayments@belfasttrust.hscni.net

(2) Copy to Service User/Representative

(3) Copy for Service User File

Appendix 6

Belfast Health and
Social Care Trust

caring supporting improving together

DIRECT PAYMENT SCHEME
Care / Support Review

Client Name			
Date of Birth		Review Date	
Address			
Date of Commencement of Direct Payment			

In Attendance

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R2 Basic Information Updated	Yes / No
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Current Care / Support Package

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Recent Significant Events

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Physical Health
Mental Health
Key Workers Comments
Service User's Views
Service User's Representative(s) Views
Changing Needs (to include risks / concerns)
Additional Comments
Difference of Opinion (if any)
Unmet Need:

Carer's Assessment			
Already Completed	Yes / No	Date if Known	
If 'no', record date referral made if Assessment requested			

Did Service User have staff checked through AccessNI?	Yes / No
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Financial Arrangements	
Date last Bank Statements submitted to Trust Finance Department	
Is there an accumulated cash surplus in excess of 8 weeks payments?	Yes / No
If Yes, please outline the reasons for this and your actions to address:	
Have you informed Trust Finance Department about this cash surplus?	Yes / No
Is the Employer Liability Insurance Certificate valid? If not, advise Service User of action to take.	Yes / No
Does Service User receive payment for a Payroll Service?	Yes / No
Is this still required?	Yes / No

Outcomes / Action Plan

<u>DIRECT PAYMENT SCHEME</u>

Care / Support Review

Name of Service User	
-----------------------------	--

<i>Date of Review</i>	
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Service User Signature		Date	
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OR

Service User's Representative Signature		Date	
--	--	-------------	--

Print Name & Designation of Person Completing Review			
---	--	--	--

Signature of Person Completing Review		Date	
--	--	-------------	--

Print Name of Key Worker			
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Key Worker's Signature		Date	
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Next Review Due	
------------------------	--

SELF DIRECTED SUPPORT/DIRECT PAYMENT

Leaving Notice

Name of Direct Payment Recipient			
Paris ID Number			
HCN Number			
DOB			
Address			
Postcode		Telephone	
Key Worker		Telephone	

The above named person will leave / has left the Direct Payment Scheme on:

Date	
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Comments

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Print Name of Key Worker			
Signature of Key Worker		Date	

(1) Original copy to Trust Finance Department
directpayments@belfasttrust.hscni.net

(2) Copy to Service User

(3) Copy to Service User File

Date	
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Service User Name and Address:

Returns for the Quarterly Period Ending: (please tick appropriate box)

- June 30th
- September 30th
- December 31st
- March 31st

Please find enclosed, copies of Bank Statements for the above financial quarter

Signature of Direct Payment Recipient / Representative	
Print Name	
Relationship to Direct Payment Recipient	

Please note that the above documentation should be received by the Trust Finance Department within 10 days from the end of each financial quarter.

Now send this form to:
Direct Payments Monitoring Officer
Belfast Health and Social Care Trust
Finance Department
Dorothy Gardiner Unit
Knockbracken Health Care Park
Saintfield Road
Belfast
BT8 8BH
OR
Email to: directpayments@belfasttrust.hscni.net
Telephone: 028 9504 5250