

Our Reference North East and North Cumbria ICB\
FOI ICB 25–237

North East and North Cumbria ICB
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By Email

29 September 2025

Dear Applicant

Freedom of Information Act 2000 – Request for Information – NHS North East and North Cumbria Integrated Care Board (NENC ICB)

Thank you for your request received on 22 September 2025 for information held by NHS North East and North Cumbria Integrated Care Board (the ICB) under the provisions of the Freedom of Information Act 2000. The ICB covers the areas of County Durham, Newcastle Gateshead, North Cumbria, North Tyneside, Northumberland, South Tyneside, Sunderland, and Tees Valley.

Please find the information you requested on behalf of the ICB as follows.

Your Request

I am writing to make a request under the Freedom of Information Act 2000.

I am seeking to understand how decisions about my care and budget are made. My aim is simply to understand how Personal Health Budgets are administered in practice, and how this ensures that disabled adults are able to achieve the outcomes described in the Care Act 2014 and the National Framework for CHC.

Please send me copies of any documentation, policies, procedures, agreements, or other records relating to the following:

1. Checklist decision-making
 - a. Under what circumstances may the ICB decide not to progress a positive CHC Checklist to a full Decision Support Tool (DST) assessment?
 - b. Who within the ICB (role or team) is responsible for making such decisions?
 - c. Any systems or monitoring arrangements in place to record and review how often positive checklists do not progress, and the reasons for those decisions.
2. Delegation to the Local Authority

- a. A copy of any agreements between the ICB and Northumberland County Council relating to the delegation of CHC or Personal Health Budget functions.
- b. Confirmation of which responsibilities remain with the ICB and which are carried out by the Council.

3. Equality Impact Assessments

Any Equality Impact Assessments (EIAs) or similar assessments carried out in relation to CHC checklist processes, decisions not to progress positive checklists, delegation of CHC functions to the Council, and the operation of Personal Health Budgets in Northumberland.

4. Outcomes monitoring

Any documents showing how the ICB monitors whether CHC or Personal Health Budget arrangements enable younger disabled adults to achieve outcomes such as employment, health improvement, independence, and social participation, as required by statutory guidance (Care and Support Statutory Guidance, para. 10.27).

Clarification

- Questions 2 and 3 relate specifically to Northumberland, given their reference to the Council.
- For questions 1 and 4, I would be grateful if you could provide both:
 - An ICB-wide response (to show the overall framework and consistency across the region), and
 - A Northumberland “place” specific response, so that I can understand how this is applied locally in practice.

I would be grateful if you could provide this information in electronic format. If any part of this request is unclear, or would exceed the cost or time limits, please let me know as soon as possible so that I can refine or narrow the request.

Our Response

We can confirm, as per Section 1(1) of the Freedom of Information Act 2000, the ICB does hold the information requested.

1. Checklist decision-making:

- a. Circumstances include:
 - Needs have changed – if the person’s health or care needs have reduced or altered significantly since the Checklist was completed, meaning the outcome is no longer valid.
 - Further NHS assessments ongoing – where the checklist identifies that the person is still, or will be, undergoing assessments from NHS-commissioned services and their ongoing health needs have yet to be determined. It is evident from the checklist that the individual is having a period of rehabilitation and therefore their ongoing health needs have yet to be determined.
 - Checklist completed incorrectly – where the tool was applied in error or is unsupported by evidence.
 - Duplication – where the individual has already had a recent DST, or one is already in progress, and there has been no material change in need.
 - Fast Track in place – where the checklist might portray a person who is rapidly deteriorating and therefore is eligible for CHC via the Fast Track Pathway, making a DST unnecessary.

- b. The duty nurse is responsible for reviewing the evidence, assessing risk, and documenting the rationale for any decision not to progress a checklist.
- c. All positive checklists that do not progress are recorded on the monthly assurance reports. These reports are reviewed regularly to identify trends, recurring issues, or process gaps. Where the number of checklists not progressed is considered significant, this will trigger an internal audit to investigate root causes and ensure corrective action is taken.

2. Delegation to the Local Authority

A Section 75 agreement is the legal basis for delegation of some CHC functions to Northumberland County Council which also includes PHB's. The ICB still retains oversight and accountability under the delegated arrangement.

3. Equality Impact Assessments

There are no published EqIA specifically focused on CHC checklist processes, decisions not to progress positive checklists, the CHC delegation to Northumberland County Council, or the local operation of PHBs.

The ICB has an EQIA policy (regional ICB EQIA policy) that sets the standard approach for carrying out EQIAs across the system — this would be the procedural framework the ICB uses to quality-assure any CHC-related EqIA if one has been done.

4. Outcomes monitoring

There is a *CHC Patient Level Data Set* (PLDS) collected by NHS England / NHS Digital. This dataset aims to provide person-based information for people over age 18 accessing CHC and helps monitor outcomes like changes in care package, placements, etc. [NHS England Digital](#).

The *CHC & FNC (NHS-funded Nursing Care) statistics* published quarterly show activity such as number of referrals, eligibility, conversion rates, etc.

For Personal Health Budgets (PHBs), there is *mandatory data collection guidance* from NHS England which requires ICBs to report number of people with PHBs (and how those PHBs are delivered – direct payments vs notional vs third party), including specific subgroups (e.g. children & young people, learning disability/autism)

The *Personal Health Budget Quality Framework* sets expectations for ICBs to deliver PHBs in a way that improves outcomes, tackles inequalities, supports wellbeing, etc.

In accordance with the Information Commissioner's directive on the disclosure of information under the Freedom of Information Act 2000 your request will form part of our disclosure log. Therefore, a version of our response which will protect your anonymity will be posted on the NHS ICB website <https://northeastnorthcumbria.nhs.uk/>.

If you have any queries or wish to discuss the information supplied, please do not hesitate to contact me on the above telephone number or at the above address.

If you are unhappy with the service you have received in relation to your request and wish to request a review of our decision, you should write to the Information Governance Manager using the contact details at the top of this letter quoting the appropriate reference number.

If you are not content with the outcome your review, you do have the right of complaint to the Information Commissioner as established by section 50 of the Freedom of Information Act 2000.

Generally, the Information Commissioner cannot make a decision unless you have exhausted the ICB's complaints procedure.

The Information Commissioner can be contacted at Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF or www.ico.org.uk.

Any information we provide following your request under the Freedom of Information Act will not confer an automatic right for you to re-use that information, for example to publish it. If you wish to re-use the information that we provide and you do not specify this in your initial application for information then you must make a further request for its re-use as per the Re-Use of Public Sector Information Regulations 2015 www.legislation.gov.uk. This will not affect your initial information request.

Yours faithfully

Information Governance Support Officer

**Information Governance Support Officer
North East and North Cumbria Integrated Care Board**