

SEND Pathfinder Information Pack



Version 6, March 2015 – Personal Budgets

A word cloud consisting of various UK regions and cities, arranged in a roughly circular shape. The words are in two colors: red and blue. The red words include: North Yorkshire, Darlington, SE7, Hertfordshire, Leicester City, Manchester, Bexley, Solihull and partners, Nottinghamshire, Bromley, Bedford, and Cornwall. The blue words include: Southampton, Portsmouth, City of York, Salford, Calderdale, Lancashire, Enfield, Wigan, and Nottinghamsire (sic).

North Yorkshire
Southampton
Portsmouth
City of York
Hertfordshire
Leicester City
Manchester
Enfield
Wigan
Darlington
Calderdale
Lancashire
Salford
SE7
Bexley
Solihull and partners
Nottinghamshire
Bromley
Bedford
Cornwall

Background and Context

This final version has been updated to reflect the [Children and Families Act 2014ⁱ](#), [Special Educational Needs and Disability \(SEND\) Regulations 2014ⁱⁱ](#), [Code of Practice \(Cop\) \(January 2015\)ⁱⁱⁱ](#) and [updated SEND Transitional Guidance \(March 2015\)^{iv}](#) and builds on learning from [previous packs^v](#). It is designed to draw together useful resources and learning from across England to support all areas in implementing the SEND reforms.

This pack is created for everyone involved in making the reforms work – amongst others, children, young people and families, parent carer forums, local authority children's and adult's services, the health service, early years settings, schools, post 16 institutions and VCS providers. The full set of March 2015 SEND Pathfinder Information Packs cover the following six overarching themes and can be found on the [SEND Pathfinder website^{vi}](#).

- [0-25 Coordinated Assessment and Plan^{vii}](#)
- [Personal Budgets^{viii}](#)
- [Local Offer^{ix}](#)
- [Engagement and Participation of parent carers, children and young people^x](#)
- [Preparing for Adulthood^{xi}](#)
- [Joint Commissioning^{xii}](#)

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Personal Budgets

Introduction *(Last updated March 2015)*

The [Children and Families Act 2014](#)^{xiii} gives parents and young people the right to request that the local authority prepare a personal budget.

'A Personal Budget is an amount of money identified by the local authority to deliver provision set out in an Education, Health and Care (EHC) plan where the parent or young person is involved in securing that provision'^{xiv}.

Parents and young people will be able to request a personal budget when the local authority has completed a statutory EHC assessment and confirmed that it will prepare an EHC plan. They may also request a personal budget during a statutory review of an existing EHC plan.

Implementing personal budgets across education, social care and health as part of the Special Educational Needs and Disability (SEND) Reforms, although rewarding for many families and young people, is complex and takes time. It is important for all parties to understand what personal budgets are (dispelling myths that have arisen), how it works and fits together with other areas of the SEND reforms such as joint commissioning and the EHC Planning pathway, and how personal budgets sit alongside the wider offer of provision available to children and young people.

This pack brings together much of the work over the past three years by the SEND Pathfinders, SEND Champions, Individual Budget pilot sites (2008-2011), the [In Control Children's Programme](#)^{xv} and the work of DfE funded delivery partners. It also sets out areas of work, which are linked to the [SEND Code of Practice](#)^{xvi}.

Each area of work is briefly explained and links to useful resources are highlighted; the aim of this pack is to give people a simple way of working together (with parents, children and young people) to set out a long term plan for implementing personal budgets as a core part of the Local offer and the EHC assessment and planning process.

For further information, case studies and links [please click here](#)^{xvii}.

Act and supporting documents *(Last updated March 2015)*

Act and Code of Practice			
<u>Children and Families Act 2014 (Section 49 – Personal Budgets)</u> ^{xviii}	<u>SEND Personal Budgets Regulations (2014)</u> ^{xix}	<u>SEND Code of Practice (January 2015)</u> ^{xx}	<u>Updated SEND Transitional Guidance (March 2015)</u> ^{xxi}

The Children and Families Act 2014 is the primary legislation underpinning the SEND reforms. Section 49 covers Personal Budgets. The SEND Code of Practice provides further details on related legislation and guidance with links included in the references section.

Personal Budgets, the SEND Reforms....delivering your Local Offer *(New)*

The following section provides some simple statements describing the key elements of personal budgets. Each of these elements/ areas of work are expanded on in subsequent pages of this Information Pack, including steps needed to develop these.

1. Providing **families and those supporting them** with **information** about personal budgets and giving them the opportunity to discuss personal budgets and have their **questions answered**.
2. Providing **indicative information about what funding may be available** for an individual child or young person enabling the family/young person to think about how it can be used and whether they want to formally request a personal budget.
3. Developing child, young person and family centred, **outcomes focused EHC Plans** which make **best and most creative use of all provision** available including the use of a personal budget.
4. **A diverse array of support options** including support for recruitment and training of Personal Assistants, access to mainstream opportunities and focused targeted services and support.
5. A **transparent and participative** agreement process.
6. Provision of **long term Personal Budget (PB) / Direct Payment (DP) support** to families.
7. A **shared commitment** to **maximising** the **potential** of personal budgets whilst **minimising risk**.

Myth Busting - What is a Personal Budget? (New)

- Personal budgets have been introduced across education for children and young people with special educational needs and disabilities (SEND), social care provision for disabled children and for health services, in particular for funding linked to Continuing health care as part of the whole SEND reform agenda.
- A personal budget is a sum of funding available for children and young people where it is clear that they need additional provision above that available to most children and young people through local services. It is not the sum total of all the resources that are available to support a child or young person and Section J (Personal Budgets) of the EHC Plan does not need to list all the costs associated with supporting a child or young person. Rather, this section should provide a detailed explanation of how a personal budget will be used to deliver agreed provision, the needs and outcomes it will meet, and will explain how the money will be used, spent and managed including arrangements in relation to any direct payments.
- Personal budgets are a key part of the joint commissioning work being undertaken by health, social care, education and family representatives. This includes considering how funding is used across all provision, including mainstream and targeted support, to shape what is available as a personal budget and vice versa.
- As explained in the [SEND Code of Practice^{xxii}](#) young people and families should be given an 'indicative allocation' of funding which they could request as a personal budget should they choose. An indicative allocation is not a final figure but a rough estimate of funding, i.e. it is information the family / young person can use to make an 'informed decision' about whether they wish to request a personal budget and/or how they might use a personal budget alongside the other provision available.
- How a young person or family decide they want to use a personal budget and/or direct payment has to be set out in the EHC Plan, this includes payment process, Section J of the EHC Plan, how the personal budget funded support contributes to the agreed outcomes and how any risk is to be managed.

1) Providing families and those supporting them with information about personal budgets and giving them the opportunity to discuss personal budgets and have their questions answered

This includes:

- Information for families and young people as part of the Local Offer.
- Specific leaflets / videos explaining personal budgets and what they can mean for families and young people, including a simple step-by-step guide to how it will work.
- Skilled people (Local Authority (LA), health, Information Advice and Support Services (IASS), Voluntary and Community Sector (VCS) and Parent Carer Representatives (PCF reps) who can help people think about personal budgets as part of the EHC Pathway.

Useful information, examples and resources:

SEND Pathfinder Website^{xxiii}

Examples of information leaflets (Middlesbrough & Redcar, Newcastle, Wigan, West Sussex and Nottinghamshire)

Making it Personal 2^{xxiv}

Information booklets for Families, Providers and Commissioners

In Control^{xxv}

Information and advice about personal budgets including personal health budgets

People Hub^{xxvi}

Information about using and managing personal health budgets (NHS England funded)

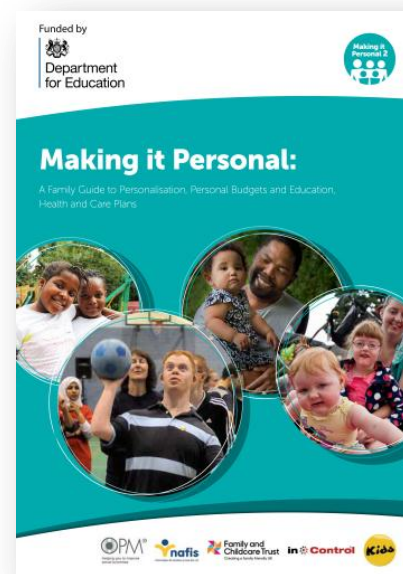


Figure 1: Making in Personal 2 Family Guide

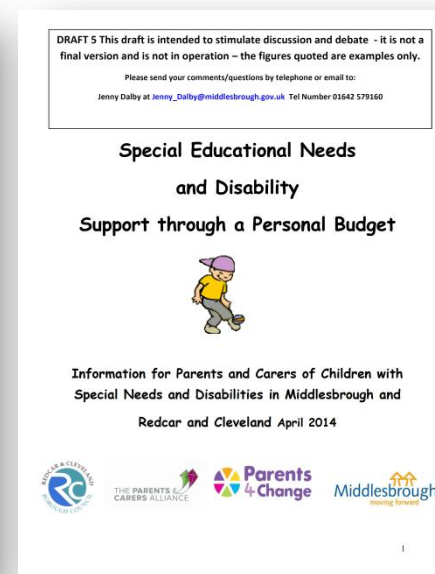


Figure 2: Redcar and Cleveland 'Support through a Personal Budget' Draft Booklet (April 2014)

in  Control[®]

2) Providing indicative information about what funding may be available for an individual child or young person, enabling the family/young person to think about how it can be used and whether they want to formally request a personal budget

This includes:

- A simple and transparent process for identifying funding which is available as a personal budget for eligible children and young people – across education, health and social care.
- A participative and transparent approach to using this and how decisions are made about available funding.
- Informing parents/young people about the funding available and ensuring they are linked to someone who can help them think through how this and all the other draft provision can be used to deliver the outcomes which have been agreed.

Process	
Question	Answer
How do you make a RAS work?	There is guidance available already on the Mott MacDonald SEND Pathfinder website^{xxvii} as well as the document ' Understanding the RAS^{xxviii} ' produced by In Control. It sets out a simple explanation of making a RAS work.
Will it result in a direct payment?	No, it will result in an indicative allocation of funding which can then, if requested by a family, be used as a personal budget. As part of the planning discussion and process families will be able to decide whether they wish to take and use all or part of the personal budget as a direct payment.
What is the critical path for agreeing and embedding an agreed RAS?	Questionnaire, development and testing: <ul style="list-style-type: none"> • Gathering information about current costs • Exercise to test information and questionnaire • Analyse results • Test with first group of families – ensure it is clear that this is a first trial and indicative • Once plans are live revise questions and allocation table • Publish allocation table.
How do you empower staff to embed a process?	<ul style="list-style-type: none"> • Awareness training; provide simple information which explains it to practitioners and enables them to explain the whole process to families. • Provide ongoing support – local Action Learning Networks (ALNs) to share and support staff and promote consistency in use of the allocation questions.
How do you determine supplementary support?	Assuming 'supplementary' means support where the funding is likely to become part of the 'additional resource' then: <ul style="list-style-type: none"> • Use the quadrants of personalisation or a similar approach/tool, with parents/families and commissioners to work through different funding streams and explore this – there is no national guidance on this, it will be a local decision, and will be part of the information provided as part of the Local Offer. • Most importantly although some funding may come from changes in what is being commissioned by the service, when allocated as an indicative budget it should be focused on the delivery of support for outcomes.

Useful information, examples and resources:

[SEND Pathfinder Website^{xxvii}](#)

Top Tips in developing a RAS developed by the SEND Accelerated Testing Groups (AWGs) on personal budgets and examples including Newcastle and Wigan

[In Control^{xxviii}](#)

Understanding the Resource Allocation System (RAS), checklist and examples including an integrated RAS developed with support from NHS England

3) Developing child, young person and family centred, outcomes focused EHC Plans which make best and most creative use of all provision available including the use of a personal budget

This includes:

- A shared understanding of what ‘personalised’ means across services, schools, colleges, providers and families / young people.
- A willingness to embrace personalisation and make creative use of all provision offered.
- A commitment to the creative and personalised use of any available personal budget as part of the plan.
- A system-wide focus on outcomes and improving individual outcomes for children, young people and families.
- Other funding contributions: Other sources of funding can be drawn in to the ‘personal budget pot’ and used to deliver outcomes, for example personal transport budgets which contribute to ‘independent travel’ and ‘living more independently’ or a school could choose to use some ‘pupil premium’ funding to focus on more flexible approaches to meeting learning outcomes.

Useful information, examples and resources:

[SEND Pathfinder Website](#)^{xxix}

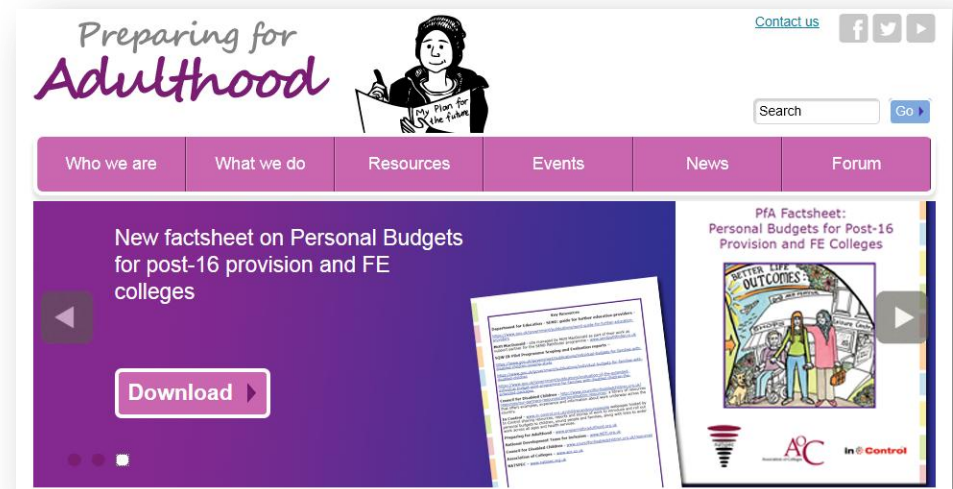
Education Health and Care Plans, and links / examples from Pathfinder Champions

[Personal Transport Budgets and Independent Travel case study](#)

(referenced later in this information pack)

[Preparing for Adulthood](#)^{xxx}

A selection of useful resources on personalisation and personal budgets including a factsheet on Personal Budgets for post-16 provision and FE colleges



4) A diverse array of support options including support for recruitment and training of Personal Assistants, access to mainstream opportunities and focused targeted services and support

This includes:

- A joined up and shared approach to market development across education, health and social care.
- A focus on support which enables children and young people to participate alongside all their peers, to be included and to achieve.
- A commitment to working with providers and services to move from one way of income generation to a new personalised and individual model of income generation.
- A range of offers to families to help them manage a personal budget and direct payments, including schools, colleges, providers, agencies, and parent/family led organisations.
- Support to families to recruit services and/or personal assistants (including information about responsibilities around employment and 'safe recruitment').

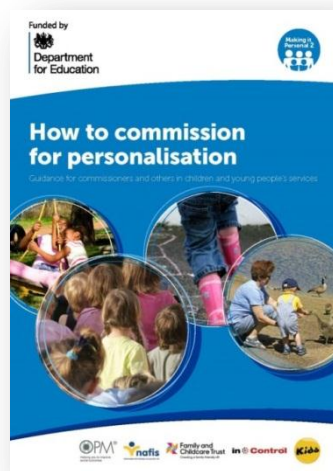


Figure 3: Making it Personal 2 Guide for Commissioners

Useful information, examples and resources:

[Making it Personal 2^{xxxii}](#) - Guide for Commissioners and Guide for Providers (many examples and case studies of market development, new offers of support and commissioning practice)

[Together for Short Lives^{xxxiii}](#) - Briefings and Guides for providers and trustees

5) A transparent and participative agreement process (not specifically a personal budget issue but one which follows through all person/child and family centred approaches and co-producing all steps)

This includes:

- A commitment to doing everything possible to work through differences of opinion and conflict prior to a plan being put forward for 'sign-off'.
- A chance for the young person's / family's voice to be heard as part of the sign off process.
- Plans clearly evidencing the voice of the child and young person alongside the voice of their parents / family members.

Useful information, examples and resources:

[Newcastle Council^{xxxiii}](#) - guide for families which explains the agreement process and their involvement

6) Provision of long term Personal Budget / Direct Payment support to families

This includes:

- Enabling families to have a point of contact to discuss their child's personal budget, report concern, talk about changes in support or situation.
- Potentially, a joined up and commissioned service with adult and health colleagues.
- Linked with local IASS and IS services and support.
- Often joint commissioned across education, health, social care and in partnership with adult social care / health.
- An essential element of good safeguarding practice.

Useful information, examples and resources:

[Embrace Wigan](#)^{xxxiv} - providing support to families with an EHC Plan in Wigan, including a brokerage and support service for those using personal budgets and direct payments

[Making it Personal 2](#)^{xxxv} - guides for providers and commissioners. Both Guides include information about commissioning and providing such support including examples from around the country

7) A shared commitment to maximising the potential of personal budgets whilst minimising risk

This includes:

- Shared safeguarding practice, guidelines, training and a positive approach to safeguarding.
- Clear guidelines around clinical guidance.
- Training on safeguarding available to all personal assistants and a commitment to insisting on DBS/CRB Checks being in place.
- Clear guidance to all including families about what needs to be in place before a plan can be agreed and what needs to be in place before a personal budget / direct payment is released.

Useful information, examples and resources:

NSPCC and In Control will be publishing a joint publication on 'Maximising Potential Minimising Risk' - expected in June 2015. This publication will include examples, guidelines for good practice and case studies provided by a wide and representative Steering group. You will be able to find this document on [In Control's](#)^{xxxvi} website once published.

In Focus: Examples of Personal Budgets *(Last updated March 2015)*

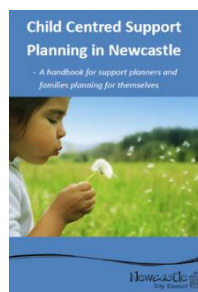
The following section highlights some of the ways local authorities have used personal budgets to help improve outcomes for children, young people and their families. Links are provided for further information and supporting resources as appropriate.

Newcastle Personal Budgets for Transport (New)



Pass It On Parents

Over the past 2 years Newcastle City Council has worked with parents through the parent forum to come up with ways of promoting the use of Personal Transport Budgets. This case study as well as other supporting information and resources can be found in [Appendix 1^{xxxvii}](#) of this information pack.



Education. The initial Making it Personal project aimed to provide support and advice for parents and carers of disabled children and young people, along with commissioners around the subject of personalisation and personal budgets.

MIP2 is the result of a consortium led by KIDS and involving the [Office for Public Management \(OPM\)^{xi}](#), [In Control^{xli}](#), [Family and Childcare Trust^{xlii}](#) and the [National Association of Family Information Services \(NAFIS\)^{xliii}](#).

MIP2 partners worked alongside a number of local voluntary and statutory providers, groups of parents/carers, disabled children and young people and commissioners with an aim of building on the original MIP project to provide a suite of resources aimed at a wide ranging audience.

These resources will support those affected by the SEND reforms brought into force in September 2014 to gain a greater understanding of the changes and the impact these changes will have on the lives of families of disabled children and young disabled people.

A combined/ pooled budget project was also carried out as part of the MIP2 project. The aim of the pilot was to test whether it is possible for families to work together and share financial responsibility for 'commissioning services' for an element of their personal budget. With

KIDS 'Making it Personal 2' (MIP2) Case Studies (New)



[Making it Personal 2 \(MIP2\)^{xxxviii}](#) was developed by [KIDS^{xxxix}](#) from the initial Making it Personal (MIP) project funded by the Department for

families' permission, they sought to record how combined/ pooled budgets could work in practice.

A report of their findings from the pilot can be viewed by [clicking here](#)^{xliv}. Furthermore, three case studies can be found below highlighting how a group of parents involved in the pilot have combined/pooled budgets through a direct payment arrangement to set up a Saturday group for their children:



[Please click here to view Case study 1](#)^{xlv}



[Please click here to view Case study 2](#)^{xlvi}



[Please click here to view Case study 3](#)^{xlvii}

Useful MIP2 resources

- [Guidance for providers on how to become 'personal budget ready'](#)^{xlviii}
- [Extended guidance for on personal budgets and direct payments for families](#)^{xlix}
- [Refreshed guidance for commissioners of education, health and social care services](#)ⁱ
- [Case studies](#)^{li} illustrating real life examples of how the reforms can work positively for all

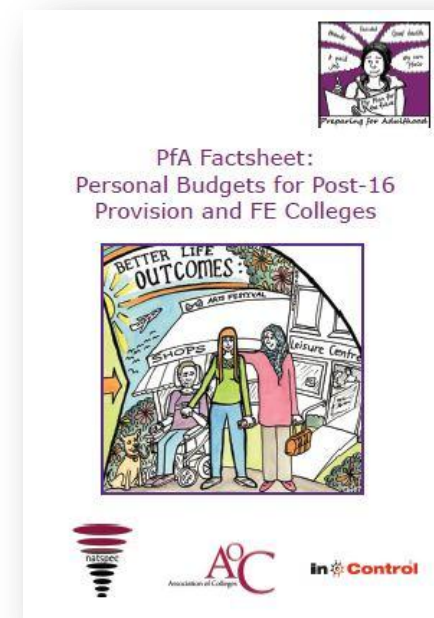
- A [new eLearning suite](#)^{lii} has been developed to explain the changes in simple, easy to digest modules. Users can create a free account.
- [Zone on the Knowledge Hub](#)^{liii} for commissioners to share expertise

Preparing for Adulthood examples of Personal Budgets (New)

Preparing for Adulthood has produced a ['Personal Budgets for Post-16 Provision and FE Colleges' Factsheet](#)^{liv}.

This factsheet includes information on:

- What a Personal Budget is
- What elements it can include
- Real-life case studies
- How Personal SEN Budgets can support students at college
- Frequently Asked Questions
- Other useful links and resources



The following case studies have been taken from the factsheet:

Matthew's Story – Using a Personal Budget to create an Independent Life (New)

Matthew has a personal budget in the form of a payment to support him to live independently including help to cook, clean and shop. Matthew's direct payment has been outsourced to a third party, the fees for which are paid for by the personal budget. Overall this has had a huge impact by helping Matthew to live independently and spend quality time within his family.

[Please click here to view Matthew's video^{lv}.](#)

Extract from Wigan example of integrated budgets for a young person with complex health needs (Last updated March 2015)

The full case study can be read on pages 25-28 of [Version 3 of the Personal Budgets SEND Pathfinder Information Pack^{lv}](#).

The young person and family were offered a personal budget as a pathfinder family. The aim of this was to explore whether outcomes could be met more efficiently by an integrated and personalised approach to assessment, care planning and commissioning. In addition they wanted to test the potential for personalisation, and a personal budget, to offer creative, innovative solutions to best meet his outcomes and improve the family's quality of life.

The personal budget used in this case was funded by the Children's Social Care budget (direct payments budget), SEND budget (non-delegated special schools funding) and Continuing Care budget (NHS budget). The

young person wanted to be more independent and access more learning opportunities and fun activities in the community. This was achieved through person-centred planning and using a personal budget, which has helped develop an integrated approach to the care plan. The outcome of this is increased PA support to enable medically trained PA's to support the family and this has increased confidence in the young person independently accessing activities.

How has this helped improve outcomes for the young person and their family?

- In addition to college, he now accesses a full programme of activities including multiple sports clubs, active choices sessions, relax and self-esteem group, and has been clothes shopping. Importantly, from the family's perspective, this was supported entirely by PAs.
- He also recently travelled home from college independently with PA support.
- The one to one learning support in college is now also used as part of this overall PA package. If he is not in College, the agreement is that the support is provided outside of the learning environment. In the past, there has been a significant reliance on the family to assist with meeting his needs, and there was a recognition within the person centred planning work that this was not sustainable.

The PA package has enabled his family to take a step back from directly providing care with increased confidence, which has improved the balance of commitments in their life.

East Sussex Case Study (*Last updated March 2015*)

Pathfinder background/context

As part of their pathfinder work East Sussex worked closely with a number of schools and families to provide SEN personal budget linked to clear outcomes within an EHC plan. A number of case studies have been summarised below:

Harbour School, Child T Snapshot

Child T is 5 years old and is an only child. He attends Harbour School, has autism, Special Educational Needs and has a 'Band B' statement. He is described as a kind, affectionate friendly child who is full of energy. He enjoys swimming, going to the playground, playing football, riding a bike, playing on the computer and owns an iPad. Both parents are from Lithuania and the family live locally having moved to the area 2 years ago.

What happened that was different?

The Deputy Head teacher set up 3 meetings with the family to:

- Explain the pathfinder and reformed process.
- Discuss the plan and planning.
- Complete the single plan and do T's annual review.

What was included in the EHC plan and which elements would be delivered via a personal budget?

The outcomes from the planning process are linked to statement objectives and written into the plan as outcomes.

Within the plan, the support to meet T's objectives that is being done differently through this process is as follows:

- £300 ASD grant to purchase individual swimming lessons.

School's budget:

- £90 to purchase a communication app for T's iPad.
- £228 for 36 sessions of 'Beanies' after schools club.
- £20 to produce a visual timetable.
- £20 Lego to use at home.
- £15 to purchase a sand timer to support T in doing tasks set by his parents in the home.
- £5 to produce a food chart.

A range of professionals were involved in writing the plan and have committed their services:

- Staff at Harbour School including T's Individual Needs Assistant for day to day school support and learning.
- Speech and Language Therapy – T is going to have a speech and language assessment done by a Lithuanian Speech and Language Therapist to assess how much he knows and understands in his own language.
- Specialist teachers at Peacehaven Infant SEN facility.

- T's GP.
- Paediatrician.
- SENCOs.
- Educational Psychologist.
- School Nurse.

How have T and his family responded to the approach?

Throughout this process, the parents felt that they were discussing what T could do rather than what he couldn't, which they said made them feel differently and more positively about the system. They felt the focus was on what T wanted and therefore wrote the plan from T's point of view and not from theirs and T selected photos to go into the plan. The planning process enabled the family and home links to be made and by completing a Circle of Support the teaching staff discovered

things about the family that they did not know. This was significant, because the school followed person-centred approaches as a matter of course and felt that this was good model for finding out things about the family, but the new approach led to a greater understanding.

Key outcomes:

- Communication between home and school is excellent.
- After School Clubs are very successful.
- Lunchtime support is working well for T.
- T is now having weekly swimming lessons.

What is the key learning to share with others?

- The importance of personalisation as an approach to SEN Personal Budgets.
- The need to be clear about the funding available for an SEN Personal Budget.
- The importance of looking to a family's resources and 'real wealth' as a valid and important contribution to the whole.
- The importance of understanding outcomes and having the confidence to lead conversations away from identifying the need to access services as an outcome.
- Supporting schools to develop creative and solution focused approaches as examples of good practice.

West Sussex Pathfinder Snapshot – SEN Personal Budgets and Integrated Personal Budgets (including examples of budgets comprised of funding from Education and Social Care) *(Last updated March 2015)*

Pathfinder background/context

- Building on existing introduction of personal budgets in social care.
- Two schools; 1 secondary mainstream (4 young people) and 1 special school (discussion on-going) plus 3 individual personal SEN budgets.
- Using as person centred approach (Good day/Bad day) exercise as basis for developing an action plan (How can we have more good days?) to improve outcomes.
- Schools have engaged enthusiastically and are keen to understand the changes they may need to make in their school day and to consider making available some of their own funding.

Amy Case Study

Background

Amy is a 15 year old girl with severe physical difficulties who attends mainstream school. As a result, she needs a lot of support with personal care and other everyday activities.

The family already had a Social Care personal budget. However, in school, Amy's personal care needs were also supported by PAs funded and arranged by the SEN part of the local authority. There were problems with this arrangement due to changes of staff and inconsistency in care across home and school.

What provision was included during planning and which elements would be delivered via a personal budget?

Following discussion between the family, school, the SEN team manager and Amy's social worker, it was agreed that the money being used to meet Amy's personal care needs in school could be given directly to Amy's mother as part of the existing Personal Budget. This would enable her to employ a PA who would also go into the school to provide the care needed.

How have these changes benefited Amy and her family?

- The changes have allowed Amy's mother to employ an excellent PA. Having the education and social care payments together mean she can offer more consistent hours so 'better' staff members are keen to commit.
- Through this, Amy and her family have better continuity of care between school and home and reduced levels of stress.
- Amy's mother has described the arrangement as 'life changing'.

How have these changes benefited Amy's school?

The arrangement also appears to have had a positive impact at school. It has also produced benefits for the school in that it has simplified the arrangements for meeting Amy's holistic needs. PA and Teaching Assistant working very well together and message regarding school being more consistently shared with the family

Glossary (New)

This glossary only covers terms and words directly linked to personal budgets and the SEND Reforms:

- **Allocation system** (also known as RAS, Resource Allocation System) - the approach being taken by a local authority to allocating funding which may be available as a personal budget. An allocation system will identify an indicative budget which can then be used to help develop the child or young person's EHC Plan.
- **Allocation questions** (also known as RIQ, Resource Indication Questionnaire) - the set of questions practitioners and family members / young people which helps identify an indicative budget.

- **Allocation table** - some children's services are publishing their allocation table; this table will tell children, young people, families and practitioners what level of funding may be available as an indicative budget based on the results from the 'allocation questions'.
- **Brokerage** - a set of skills which need to be built into one or more offers of support for young people and families helping them to think about how they may use a personal budget and direct payment to get the support they need. This may include seeking out costs from services, supporting recruitment, helping families set up bank accounts and to manage their budget.

- **Direct payment** - one of the three ways a family can choose to manage their child's personal budget. In this case it means the local authority, having agreed the child's plan, paying the identified funding to the family as a 'direct payment' and the family using it, as set out in the plan, to deliver the support their child needs.
- **Indicative budget** - the amount of funding, identified through the completion of an allocation exercise which is a 'rough' estimate' of the funding likely to be needed as a personal budget if the family choose to request one.
- **Individual budget** - another name for a personal budget. Used in the early work in both children and adult services, and still in use in a small number of services.
- **Individual Service Fund** - an approach to creating personalised support and opportunities used by a 'provider service'. The provider service identifies funding within its 'block' contract which it can link directly to an individual and manages this 'like' a personal budget, i.e. creating a person centred support plan. Such an approach will likely include recruitment of support workers, accessing mainstream activities, participating in their local community.
- **Personal Budget** - a personal budget is a sum of funding which can be taken by a family and managed in one of three ways to deliver parts of the provision as agreed in the EHC Plan / care plan / healthcare plan.

- **Education** - funding available as a personal budget which can be used to deliver support as part of the total provision set out and agreed in a plan. This funding could be from what is called the 'Element 3' budget managed by a local authority, it could be from a school/college's budget (if agreed to by the school/college) and it could encompass other funding linked to specific outcomes such as the 'pupil premium'.
- **Social care** - funding to eligible children and young people from a local authority's social care budget, which could include short breaks funding.
- **Health** - all funding linked to Continuing Care and a growing amount of funding linked to supporting children and young people with 'long term conditions'. What funding outside of that for CHC, is available will be a local decision taken by the CCG(s).
- **Resource allocation system** (see 'Allocation system')
- **Supported Assessment Questionnaire** (see 'Allocation questions')
- **Third party arrangements** - most often used when planning health support using a personal health budget. In this instance the third party (a community / voluntary / agency organisation will manage the budget and the support on behalf of the young person and/or family.

- ⁱ Children and Families Act (2014), Part 3, Clause 30 ‘Local Offer for children and young people with special education needs’. The Children and Families Act 2014 is available at <http://www.legislation.gov.uk/ukpga/2014/6/contents/enacted>
- ⁱⁱ Special Educational Needs and Disability Regulations 2014, available at <http://www.legislation.gov.uk/uksi/2014/1530/contents/made>
- ⁱⁱⁱ SEND Code of Practice - <https://www.gov.uk/government/publications/send-code-of-practice-0-to-25>
- ^{iv} SEND Transitional Guidance (March 2015) available at <https://www.gov.uk/government/publications/send-managing-changes-to-legislation-from-september-2014>
- ^v Previous versions of Engagement and Participation of parent, carers , children and young people, available at: <http://www.sendpathfinder.co.uk/personal-budget-information>
- ^{vi} SEND Pathfinder website available at www.sendpathfinder.co.uk
- ^{vii} 0-25 Coordinated Assessment and Plan SEND Pathfinder Information Pack, available at <http://www.sendpathfinder.co.uk/coordinated-assessment-process>
- ^{viii} Personal Budgets SEND Pathfinder Information Pack, available at <http://www.sendpathfinder.co.uk/personal-budget-information>
- ^{ix} Local Offer SEND Pathfinder Information Pack, available at <http://www.sendpathfinder.co.uk/local-offer-information-pack-resources>
- ^x Engagement and Participation of parent carers, children and young people SEND Pathfinder Information Pack, available at <http://www.sendpathfinder.co.uk/engagement-and-participation-information-pack>
- ^{xi} Preparing for Adulthood SEND Pathfinder Information Pack, available at <http://www.sendpathfinder.co.uk/preparing-for-adulthood-information-pack>
- ^{xii} Joint Commissioning SEND Pathfinder Information Pack, available at <http://www.sendpathfinder.co.uk/joint-commissioning-information-pack>
- ^{xiii} Children and Families Act 2014, Section 49, available at <http://www.legislation.gov.uk/ukpga/2014/6/contents/enacted>
- ^{xiv} SEND Code of Practice (*January 2015*), Section 9.95, p. 178, available at <https://www.gov.uk/government/publications/send-code-of-practice-0-to-25>
- ^{xv} Information on In Control’s Children’s Programme, available at <http://www.in-control.org.uk/what-we-do/children-and-young-people.aspx>
- ^{xvi} SEND Code of Practice (*January 2015*) available at <https://www.gov.uk/government/publications/send-code-of-practice-0-to-25>
- ^{xvii} SEND Pathfinder Personal Budgets webpage, available at <http://www.sendpathfinder.co.uk/personal-budget-information>
- ^{xviii} Children and Families Act 2014, Section 49, available at <http://www.legislation.gov.uk/ukpga/2014/6/contents/enacted>
- ^{xix} SEND Personal Budgets Regulations (2014), available at http://www.legislation.gov.uk/uksi/2014/1652/pdfs/uksi_20141652_en.pdf
- ^{xx} SEND Code of Practice (*January 2015*), available at <https://www.gov.uk/government/publications/send-code-of-practice-0-to-25>
- ^{xxi} SEND Transitional Guidance (March 2015) available at <https://www.gov.uk/government/publications/send-managing-changes-to-legislation-from-september-2014>
- ^{xxii} SEND Code of Practice (*January 2015*), available at <https://www.gov.uk/government/publications/send-code-of-practice-0-to-25>
- ^{xxiii} SEND Pathfinder website, available at: www.sendpathfinder.co.uk
- ^{xxiv} KID’s ‘Making it Personal’ case studies, available at <http://www.kids.org.uk/mip>
- ^{xxv} In Control website, available at www.in-control.org.uk
- ^{xxvi} People Hub website, available at www.peoplehub.org.uk
- ^{xxvii} SEND Pathfinder website, available at: www.sendpathfinder.co.uk
- ^{xxviii} In Control ‘Understanding the RAS’ document, available at http://www.in-control.org.uk/media/131598/understanding_the_ras%20-%20final%20for%20print.pdf
- ^{xxix} SEND Pathfinder website, available at: www.sendpathfinder.co.uk
- ^{xxx} Preparing for Adulthood website, available at www.preparingforadulthood.org.uk
- ^{xxxi} KID’s ‘Making it Personal’ case studies, available at <http://www.kids.org.uk/mip>

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- ^{xxxii} Together for Short Lives, briefings on personal budgets, available at http://www.togetherforshortlives.org.uk/news/4363_briefings_to_help_services_prepare_for_send_personal_budgets
- ^{xxxiii} Newcastle City Council, guide for families which explains the agreement process and their involvement, available at <http://www.newcastle.gov.uk/health-and-social-care/disabilities/children-with-disabilities/individual-budgets>
- ^{xxxiv} Embrace Wigan, available at www.embracewiganandleigh.org.uk
- ^{xxxv} KID's 'Making it Personal' case studies, available at <http://www.kids.org.uk/mip>
- ^{xxxvi} In Control website, available at www.in-control.org.uk
- ^{xxxvii} Personal budgets Information Pack (Version 6) Appendix 1, available at <http://www.sendpathfinder.co.uk/personal-budget-information>
- ^{xxxviii} KID's 'Making it Personal' case studies, available at <http://www.kids.org.uk/mip>
- ^{xxxix} KID's 'Making it Personal' available at <http://www.kids.org.uk/MiP2>
- ^{xl} Public Management (OPM), available at <http://www.opm.co.uk/>
- ^{xli} In Control 'Understanding the RAS' document, available at http://www.in-control.org.uk/media/131598/understanding_the_ras%20-%20final%20for%20print.pdf
- ^{xlvi} Family and Childcare Trust, available at <http://www.familyandchildcaretrust.org/>
- ^{xlvi} National Association of Family Information Services (NAFIS), available at <http://www.familyinformation.org.uk/>
- ^{xlii} Making it Personal Pilot - Combined/Pooled budget pilot – report of findings, available at <http://www.kids.org.uk/Handlers/Download.ashx?IDMF=1a77b950-b24a-4643-b732-a2d4fc5fdf37>
- ^{xlii} Making it Personal Pilot - Combined/Pooled budget pilot – report of findings - Case Study 1, available at <http://www.kids.org.uk/Handlers/Download.ashx?IDMF=db185d1d-ee6f-4b69-a8a1-6c85eb32121c>
- ^{xlii} Making it Personal Pilot - Combined/Pooled budget pilot – report of findings - Case Study 2, available at <http://www.kids.org.uk/Handlers/Download.ashx?IDMF=d0f63fa1-900e-4b2b-95a7-e09eab27c63b>
- ^{xlii} Making it Personal Pilot - Combined/Pooled budget pilot – report of findings - Case Study 3, available at <http://www.kids.org.uk/Handlers/Download.ashx?IDMF=1990df33-121b-421b-bcaf-025cb7aef4f9>
- ^{xliii} A Provider Guide to Personalisation, Personal Budgets and Education, Health and Care Plans, Consortium led by KIDS and involving the Office for Public Management (OPM), In Control, Family and Childcare Trust and the National Association of Family Information Services (NAFIS), September 2014. Available at <http://www.kids.org.uk/Handlers/Download.ashx?IDMF=71e64858-af2b-4db7-9a79-fe1e1bea17093>
- ^{xlix} A Family Guide to Personalisation, Personal Budgets and Education, Health and Care Plans, Consortium led by KIDS and involving the Office for Public Management (OPM), In Control, Family and Childcare Trust and the National Association of Family Information Services (NAFIS), September 2014. Available at <http://www.kids.org.uk/Handlers/Download.ashx?IDMF=3d9a1b43-084c-4210-988b-d957293f2acd>
- ⁱ How to commission for personalisation - Guidance for commissioners and others in children and young people's services, Consortium led by KIDS and involving the Office for Public Management (OPM), In Control, Family and Childcare Trust and the National Association of Family Information Services (NAFIS), September 2014. Available at <http://www.kids.org.uk/Handlers/Download.ashx?IDMF=0ff9b856-7d75-4aab-a5ba-579b111243c4>
- ⁱⁱ KID's 'Making it Personal - case studies 2', available at <http://www.kids.org.uk/making-it-personal-case-studies-2>
- ⁱⁱⁱ The KIDS eLearning suite, available at <http://elearning.kids.org.uk/>
- ⁱⁱⁱ Knowledge hub Group 'Making it Personal – commissioners', available at <https://knowledgehub.local.gov.uk/web/makingitpersonalcommissioners>

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- ^{liv} PfA Factsheet: Personal Budgets for Post-16 Provision and FE Colleges, available at [http://www.preparingforadulthood.org.uk/media/377922/pfa_factsheet -
personal budgets for fe post-16v5final.pdf? sm au =ijVvNJ2Mv2FvBSJ3](http://www.preparingforadulthood.org.uk/media/377922/pfa_factsheet_-_personal_budgets_for_fe_post-16v5final.pdf?sm_aui=ijVvNJ2Mv2FvBSJ3)
- ^{lv} Matthew's Story, available at [http://www.media19.co.uk/production/matthews-story/? sm au =ijVvNJ2Mv2FvBSJ3](http://www.media19.co.uk/production/matthews-story/?sm_aui=ijVvNJ2Mv2FvBSJ3)
- ^{lvi} Version 3 Personal Budgets Information Pack, available at <http://www.sendpathfinder.co.uk/personal-budget-information>