

<b>Title:</b>	Personal Budgets Policy
<b>Citizen group:</b>	Children and Young people with Special Educational Needs aged 0-25 and their Families
<b>Version:</b>	FINAL 2.0
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# Personal Budgets Policy

## Children and Young People

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## 1. Introduction/Background

- 1.1 The aim of Personal Budgets is to give Children and Young People with Special Educational Needs and/or Disabilities and their families more choice and control over the services they receive to meet their particular needs and wishes. It allows more flexibility and creativity in how their care needs are met which in turn should lead to better outcomes.
- 1.2 Social Care Personal Budgets have been available for adults with disabilities since they were introduced by the Community Care (Direct Payments) Act (1996)<sup>(1)</sup>. This was later amended in the Carers and Disabled Children's Act (2000)<sup>(2)</sup> to include 16 and 17 year olds and parents of disabled children.
- 1.3 Changes set out in the Health and Social Care Act (2011) section 58<sup>(3)</sup> which came into effect in 2013 set in place a mandatory duty on all local authorities to offer personal budgets to all eligible people requesting one for their care and health needs.
- 1.4 Health Personal Budgets have been piloted since 2012 and have been readily available since 2014<sup>(4)</sup>
- 1.5 The value of Personal Budgets has been recognised by the Government and in the Children and Families Act 2014<sup>(5)</sup> new duties have been placed on Local Authorities (LAs) and Clinical Commissioning Groups (CCGs) and the support they provide to Children and Young People with Special Educational Needs (SEN) and/or Disabilities (SEND) and Personal Budgets can now be offered for educational needs.
- 1.6 Part 3 section 49 of the Act particularly relates to the duties around Personal Budgets. This is also detailed in the Special Educational needs (Personal Budgets) Regulation 2014<sup>(6)</sup> and The Special Educational Needs and Disability Code of Practice (section 9.92- 9.121)<sup>(7)</sup>
- 1.7 From September 2014 this legislation replaces statements of special educational needs with the introduction of Education Health and Care Plans (EHCPs) which include the right to request a Personal Budget for educational needs<sup>(8)</sup>
- 1.8 An Education, Health and Care Plan (EHCP) brings the child's/young person's education, health and social care needs together into a single document. All information is shared so that families and young people won't have to repeat the same information to different agencies.
- 1.9 An EHCP can cover the age range from birth up to the time of leaving education. A 'young person' in the context of this policy is a person over compulsory school age and under 25.

## 2. What is a Personal Budget?

- 2.1 A Personal Budget is a monetary value put on the provisions that are required to meet the assessed needs as identified by the local authority or health professionals either in an EHCP or Support Plan.
- 2.2 A Personal Budget is used to purchase the services or support required by a child or young person with special educational needs and/or a disability to fully access an educational provision and to live a more independent life.
- 2.3 Where a child or young person is not eligible for an EHCP they could still have identified health or social care needs and these would be identified in a Support Plan.
- 2.4 A Support Plan is a summary of the assessed needs, the outcomes and how to use the personal budget to achieve these outcomes.
- 2.5 For the purpose of this Policy the Education and Health Care Plan or Support Plan may be referred to as “The Plan”.
- 2.6 A Personal Budget can be accessed in a number of ways:
- **Directly/internally delivered services**  
In this situation the individual/family does not receive the money directly but is allocated a budget and participates fully in the planning and decision making around how the money is spent.
  - **Budget held by a third party**  
A different organisation holds the money and helps the individual/family decide how best to meet their EHC outcomes.
  - **Direct payments**  
Money is transferred directly into the individual’s bank account, which has been opened for the purpose, to meet the identified outcomes.
  - **Or any combination of the above**

## 3. Why a policy on personal budgets?

- 3.1 It is good practice for local authorities and the NHS to have a policy on all major procedures they are required by law to have in place and for it to be visible and accessible to the public.
- 3.2 It is a requirement under the Children and Families Act 2014 and the Special Educational Needs and Disability (SEND) reforms for Local Authorities to have a Personal Budgets Policy.
- 3.3 The SEND reforms Code of Practice states that Local Authorities and Health Commissioners are responsible for providing clear information about services and provisions available in the local area that could be used with a Personal Budget.

3.4 This information will be available via each Local Authority's web based directory of services called the "Local Offer".

3.5 The Local Offer will include information on;

- how the funding will be made available
- clear and simple statements of eligibility criteria
- the decision-making process

3.6 Nottingham's Local Offer is available via the website<sup>(9)</sup>

#### 4. Who does the policy apply to?

4.1 This policy applies to children/young people with special education needs and/or disabilities who receive Personal Budgets, from age 0 to the point at which they transition into adult services if meeting eligibility.

4.2 There is a Personal Budgets Policy for adults which can be found on the Nottingham City Council Website<sup>(10)</sup>.

4.3 A Personal Budget will be granted to meet the needs outlined in the plan apart from under the following circumstances:

- *The child is in care.* If in long term foster care the foster parents may access a Personal Budget, if there is agreement, as part of a care plan.
- *The child has a Child Protection Plan.* Any use of a Personal Budget would have to be part of the plan agreed at the multi professional Core Group meeting. If the use of it was felt not to meet the aims of the plan, and/or to compromise the safety of the child/young person, it would not be agreed.
- *A person subject to a drug or alcohol treatment programme.* If the person wishes to receive a direct payment and may be covered by this, there will be a discussion between the local authority and the person involved to explore their particular circumstances in relation to the regulations. If a person has a gambling addiction this also may preclude them from receiving a Personal Budget.
- *The young person has a youth rehabilitation order.*

4.4 However, if a child/young person's needs (who have special educational needs and/or disabilities) *can be met* by universal resources without the requirement for additional funding, then they would *not* be eligible for a Personal Budget.

#### 5. How might a Personal Budget be used?

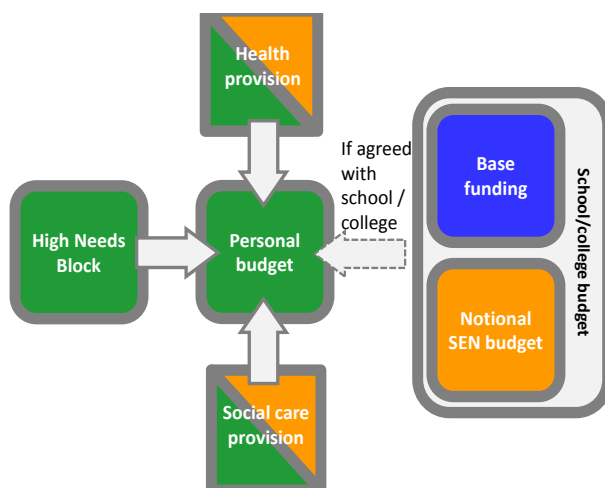
5.1 The plan will outline how the Personal Budget is to be used and will include the cost of the provisions required to meet the outcomes for the child or young person.

- 5.2 The Personal Budget will be agreed and allocated by the Local Authority and/or Clinical Commissioning Group ensuring that it does not cost more than any services provided directly.
- 5.3 Services that are supplied as part of a block contract would *not* normally be offered as a Personal Budget however, this could be looked at on a case by case basis if it is felt that a Personal Budget would provide better outcomes.
- 5.4 A Personal Budget can be used to purchase services from all three components below i.e. education, health and social care if a child or young person is eligible and if the parent and/or young person over compulsory school age requests this.

**a) Education<sup>(11)</sup>**

All schools have funding in their budgets to support pupils with Special Educational Needs and Disabilities (SEND). For a small number of pupils with a higher level of need, the Local Authority provides establishments with additional funding.

In Nottingham, funding to support pupils with Special Educational Needs and Disabilities is allocated to schools in three ways:



**Element 1: Age Weighted Pupil Unit (AWPU)** -This is the amount of funding that all mainstream schools receive for each pupil on roll at the school. Part of this budget

funds an element of provision for pupils with special educational needs and/or disabilities.

**Element 2: Notional Special Educational Needs (SEN) Budget** - All schools also receive additional funding for pupils with special educational needs and/or disabilities in their budgets. This amount varies from school to school. The level of funding allocated to the school is calculated by a formula in line with national guidance.

**Element 3: High Level Needs Funding (HLN)** -For most pupils with special educational needs and/or disabilities, any additional support they require will be funded by school through the AWPU and Notional SEN Budget. However, a small number of pupils will need a higher level of support that some schools may feel they cannot provide from their normal school budget. These will be pupils who already receive a high level of support within school, through the special educational needs support category of the Code of Practice or through an EHCP. For these pupils, mainstream schools can apply for High Level Needs (HLN) Funding.

In many Local Authorities, children/young people need an Education, Health and Care Plan (EHCP) to access this higher level of funding. However, in the City of Nottingham, a child does not need to have an EHCP to have this level of support. This means that pupils with very significant difficulties can have their needs met without the delay of a statutory assessment.

A mainstream school may ask for HLN funding if:

- A child is at SEN Support or above of the Code of Practice, and
- School has already given a child extra help, and
- School decides that a child needs a higher level of support

If school want to request HLN funding for a child/young person, this will be discussed with parents and/or the child or young person at a review meeting.

The funding is allocated by a panel, comprising representatives from schools and the local authority (LA). They will make the decision about whether the funding is agreed or not.

The Panels allocate money for up to two years. Schools must review the support and make new requests at least every two years.

HLN funding for children with special educational needs and disabilities can be used as a Personal Budget.

The school's Local Offer will explain the type of support it is able to provide but these are some examples of things that have been included in Personal Budgets before:

- TA time spent working with a pupil on a one-to-one basis or in a small group or modifying the work to suit a child's ability level.



- TA time spent adapting resources to make them more accessible or creating specialist resources such as communication cards or a sensory box.
- Direct payments to support young people at school or to access/trial different work experience opportunities or activities.
- A school managing a joint funded personal budget delivering a continuity of support between school and home including over the school holidays.

The Personal Budget will not cover the cost of a named educational placement but it could include *Element 2* in certain circumstances where a creative solution to a provision is required. This would have to be agreed by the head/principal.

A request to employ a person to assist with support at school will need to be expressed and agreed at an early stage in the personal budget planning.

Any person employed by parents / young people to support the child or young person whilst at school/college would have to have permission from the Head or Principal to work within that setting and they would need to observe their code of conduct.

## b) Health

Personal health budgets are funded from a Continuing Care Budget. A child or young person does not have to have an EHCP to be eligible for a personal health budget.<sup>(12)</sup>

1. A personal health budget is an amount of money agreed by a team of healthcare professionals required to support a child or young person with any identified healthcare needs.
2. To be eligible for NHS continuing care funding<sup>(13)</sup> a child or young person must be assessed eligible against the Department of Health National Framework (2010) by the Children's Continuing Care Team for Nottingham City by the team as having a primary health need.
3. Families wishing to find out more about health budgets would initially discuss this with a member of their local health team e.g. their GP who would help decide if a personal health budget were appropriate and if the child/young person is eligible.
4. Where a child's/young person's needs can be met through universal or specialist health services a personal health budget would not necessarily be required.
5. The aim of a personal health budget is to give children/young people with long-term conditions and disabilities greater choice and control over the healthcare and support they receive.
6. The assessed level of need and outcomes will be identified in a support plan. Health outcomes will be stated alongside social and education outcome with the



identified budget and how this is going to be spent. The health outcomes to be achieved, the amount of money in the budget and how it is going to be spent.

7. The personal health budget could be used to pay for a wide range of items and services not traditionally commissioned by the NHS. This could include:
  - complementary therapies such as hydrotherapy, aromatherapy or reflexology to help with pain control
  - personal care
  - equipment
  - If the person has a long term condition, is not eligible for continuing care, but would normally receive NHS commissioned services (e.g. physiotherapy or cognitive behavioural therapy), their budget should be calculated using the outcomes-based resource allocation system (appendix 3). If the relevant outcome is not listed in this resource allocation system, the cost of providing them with commissioned services should be calculated. This can then be used as their indicative budget. It is important that their lead clinician is involved in the calculation of the indicative budget to ensure that outcomes are determined accurately.

### c) Care

This funding is drawn from Nottingham City Council's social care budget and will provide support to the child/young person to achieve the outcomes identified in the plan to address their social care needs. The Personal Budget for social care provisions could include funding for the services listed below:

- i.* **Short Breaks** provided under S17 (6) or S20 (4) of The Children's Act 1989<sup>(14)</sup>
- ii.* **Transport** to and from short break services (assessed as necessary by Social Care)
- iii.* **Equipment** (assessed as necessary and appropriate by a Social Care OT)
- iv.* **Minor Adaptations** (but not those that would be funded via a Disabled Facilities Grant [DFG] or housing authorities)

#### (i) Short Breaks:

Disabled children/young people are entitled to a short break if they have a permanent and substantial disability and are unable to access universal service without specialist support or require environmental features to ensure their safety.

Nottingham City Council has developed a pathways approach to the access and eligibility of its short break service. See the Nottingham City Short Breaks statement<sup>(15)</sup> Mission statement<sup>(16)</sup> and the Nottingham City Short Breaks Threshold and Access Criteria<sup>(17)</sup>.

**Pathway 1** – small support of up to £2,000 per year

Parents/carers and professionals can access a budget of up to £2000 per year without assessment. To be eligible for the self-referral route, the disabled child/young person must be in receipt of the high level care or mobility component of the Disability Living Allowance (or PIP) and have a supporting letter from a professional who knows the child well. Once in place, annual re-application for the package will be required to be made to the Short Breaks co-ordinator (see Pathway 1 guidance). The decision maker for all Pathway 1 applications is the Short Breaks Team Manager.

### **Pathway 2** – some support of up to £6,000 per year

This level of short breaks is provided for disabled children/young people whose needs cannot be met by universal or additional services and the family need more than a small amount of support to maintain an ordinary life. This level of short breaks is available after a short specialist assessment of need by the Disabled Children's Team. The decision maker for all Pathway 2 cases is the relevant Team Manager of the Disabled Children's Team.

### **Pathway 3** – lots of support of up to £9,000 per year

This level of short breaks is for those disabled children /young people with very high level of need. This will include those children/young people who need specialist overnight care in a regulated setting. This level of short breaks is available after a full specialist assessment, usually by a qualified Social Worker. The decision maker for all Pathway 3 cases is the Service Manager, Disabled Children's Service.

### **Pathway 4** – exceptional support of up to £17,000 per year

This level of support is for the very few disabled children/young people who have highly complex needs in addition to their disability. This level of support is available after a full specialist assessment by a qualified social worker and a continuing care assessment by a qualified nurse. The decision maker for all of Pathway 4 cases is the Continuing Care and Complex Needs Panel.

### **Types of short breaks:**

The following short breaks are available in Nottingham via the pathways model:

- Residential short breaks
- Family Based short breaks
- Linkwork/befriending
- Homecare
- Sitting Services
- Day care

### **(ii) Transport:**

The provision of transport will be included in part of the child's/young person's and/or carers assessment of need and can only be agreed when the family cannot reasonably transport the child/young person themselves to the short break or where it would not give them sufficient break by doing so.

**(iii) Community Equipment provisions:**

Nottingham City Council may make Direct Payments to a disabled person to enable them to purchase any community equipment that has been identified as necessary and appropriate by an Occupational Therapist following an assessment that would otherwise have been provided by Social Care (see section 14 in the Nottingham City Council Direct Payments Policy/Guidance for Adults)<sup>18</sup>. The equipment would need to meet professional specifications and any maintenance of the equipment which may be required would have to be given consideration within the support plan and the budget.

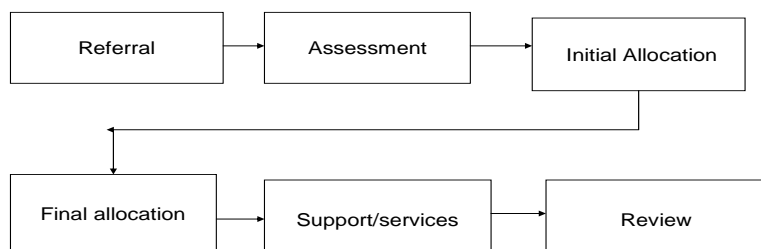
**(iv) Minor Adaptations:**

A Personal Budget can also be used for families of disabled children/young people to pay for minor adaptations which would otherwise have been provided or arranged by Social Care, following an assessment as above via a Direct Payment.

- 5.5 All families in receipt of any of the above services will be recorded as receiving a Personal Budget whether they choose to access a direct payment or not. The Personal Budget allocated will be outlined in their plan.

## 6. Accessing Personal Budgets

The diagram below represents the recognised process for accessing a personal budget and would be used by all three disciplines.



- 6.1 Personal Budgets are *optional*. If a child or young person and their family are happy with the current provision in place they do not need to have a Personal Budget.
- 6.2 The request for a personal budget can be made either during an assessment or a review.
- 6.3 When an assessment of need commences, the Personal Budget process will be discussed with the family (or young person if post compulsory school age) by the relevant professional to see if they are eligible and if it is something they wish to pursue. The benefits and responsibilities around the Personal Budget will be explained at this point.
- 6.4 Personal Budgets can increase the responsibility on the child or young person and their family, for instance, being responsible for the employment aspects of any person directly employed as part of this process.
- 6.5 In Nottingham City, there is a dedicated Key Worker Team to provide assistance to families accessing a personal budget for more than one of the elements. Alternatively, the child or young person may already have someone working closely with them who they would like to be their key worker. If it is agreed that this person can provide that support, the Key Worker Team can help that individual to support the child or young person through the process.
- 6.6 If a child/young person is eligible for an EHCP the personal budget for care/health will be incorporated into the final EHCP if one is issued.
- 6.7 In Nottingham there are four steps used during the process for accessing a Personal Budget. It follows a pattern of **assess** → **plan** → **do** → **review**. See below.

## The Steps:

**1) Listen and Understand (ASSESS)** – The EHCP process begins with a person centred review meeting which will be held with the child or young person, their carers and professionals from education, health and social care. The meeting will outline the assessed needs from all the different professionals' perspectives and form the basis of the plan identifying what outcomes are required to support the child or young person. This may also identify where further assessments are required. Professionals from health and social care will carry out their own person centred assessment outside of the EHCP process if this is required.

**2) Agree and Allocate (PLAN)** – If it is agreed that a personal budget is appropriate based on the information previously gathered a draft plan is issued and an initial allocation of money is calculated. This is worked out via a Resource Allocation System (RAS). The initial allocation of funding is called an indicative budget. An indicative budget gives a rough idea of the level of funding that will be allocated to an individual in their personal budget to meet their assessed needs. This gives the parents and/or child/young person the opportunity to contribute to their support plan and say which aspects they would like covered in a Personal Budget. The Personal Budget would only be agreed if assistance is required in managing it, where support has been secured.

**3) Planning (DO)** – The child or young person uses the indicative budget to decide how they would like to use their Personal Budget to meet their outcomes. This will involve making the best use of what is available locally and considering options available to meet the outcomes in the plan.

If the child or young person agrees to the draft plan and it is approved, a final plan will be issued. This will include;

- The details of the agreed Personal Budget and how it will be used
- What it will be used for and any flexibility in its use

If a young person wishes for a third party to manage their personal budget this will be expressed and agreed at an early stage and the local authority will follow best practice procedures in relation to the appointment of people for this purpose which will include reference and DBS checks.

The management of a Personal Budget by a third party can be withdrawn or changed at any point by notifying the local authority in writing and requesting it. The local authority will immediately stop making any payments on receipt of the notification until a suitable alternative can be agreed.

**4) Review and Learn (REVIEW)** – Once the support identified in the plan has started, reviews will identify what things have worked well and what has worked not so well. The reviews will set out any changes that may need to be made. (Section 8)

## **7. If Direct Payments are to be used**

*(Please also see the NCC Direct Payments Policy and NHS Nottingham City CCG Personal Budget Policy)*

- 7.1 Parents and/or the young person will be expected to sign a Direct Payment Agreement which will outline how the payments will be used and managed.
- 7.2 To receive a direct payment, the recipient must open a bank account designated for the direct payments only in order to assist auditing and monitoring and to protect the recipient's financial privacy.
- 7.3 The uses of a direct payment can meet the need in a flexible way such as employing staff or purchasing a service.
- 7.4 Personal Assistants (PAs) and care agencies are paid at an hourly rate which is set by the family/young person as an employer.
- 7.5 Parents/young people would be expected to keep within the direct payment amount, although the provision could be topped up by another source such as personal finances or a local charity.
- 7.6 Individuals must be able to provide reasonable evidence of their income and expenditure on direct payments for monitoring purposes.
- 7.7 On an ongoing basis, any amount left in the bank account that is not owed to a person or organisation must be repaid to the local authority. Any unused funds in the account may be accessed and if this occurs, a reassessment will take place and the direct payment amount adjusted accordingly.

## **8. Monitoring/reviewing**

- 8.1 Regular reviews of the needs will be carried out by the relevant professional and these will be conducted in terms of the child/young person's development and whether or not the outcomes are being met.
- 8.2 The EHCP will be reviewed at least annually using the person centred process. More regular reviews of the plan can occur as required by the involved worker if required for instance if the family/young person requests a change to their arrangements or if they feel the current ones are not meeting their needs.
- 8.4 Financial monitoring by each agency would occur at regular intervals to ensure that the agreed budget is being used appropriately for provisions to meet the outcomes in the plan. If you fail to provide the monitoring information, when requested we may suspend or stop the funding.



- 8.5 Monitoring will take place more often where there are concerns around usage or when a package is first set up. If it is found that the funding has not been used for the agreed purpose we may stop the payment and request that you repay the funding. We may also refer the matter for further investigation.
- 8.6 Parents would have control of the agreed Personal Budget in regard to the management of it until the end of Y11 when this will change to the young person, unless they are unable to do so under the Mental Capacity Act 2005<sup>(19)</sup> or unless the young person requests that the family manage the funding on their behalf.
- 8.7 At the point of transfer, if an agreement is made that a young person is of an age and wishes to manage the budget, a social worker or mental health worker would normally make the decision about the mental capacity of the young person.
- 8.8 If a child's needs are fluctuating, for instance a child who has different health and care needs dependent upon a health condition; this will be taken into account in the support plan. It could either indicate that the family need to request a "top up" amount or there being a contingency amount that could be reclaimed by the appropriate agency at the end of the financial year.
- 8.9 If help is required in managing a Personal Budget this would be available from the Personal Budgets and Direct Payment Team (see below).

## 9. Changes to Circumstances

- 9.1 On a formal basis any significant changes in the needs will be taken into account during a planned review and the outcomes/plan will be amended accordingly. This can occur for the individual elements by the individual worker without the need for a Person Centred Review.
- 9.2 Any slight changes in circumstances can be taken into account as part of a regular informal ongoing review of needs by the relevant professional and this would also be an opportunity for the family/young person to say whether they feel that the Personal Budget is working for them or not.

## 10. When might a Personal Budget end?

- 10.1 Personal Budgets may end for the following reasons;
- If the person is in the categories listed in section 4 of this policy.
  - If it were discovered that the Personal Budget was not being used to meet the provision/outcomes outlined in the plan.
  - If the recipient no longer wished to use a Personal Budget to provide the provision and the request is received in writing.
  - If the use of a Personal Budget is having an adverse impact on other services provided by the local authority/health authority and/or having an impact on the provision for other children and young people.



- If there has been no consent from a young person post statutory school age.
- In circumstances as stated in paragraph 8 of this policy

10.2 In all of these circumstances, notice will be given in writing by the local authority to the recipient along with the rights of appeal, advising that they intend to cease the payments.

10.3 If appropriate, alternative arrangements can be made as required.

## 11. The Appeal Process

- 11.1 If an individual feels that the local and/or health authority are failing in their duties as outlined in this policy, or that it has been applied unfairly, they can follow the Appeals Process as outlined below.
- 11.2 An appeal can occur under the following circumstances:
- If an aspect of the provision identified in the plan has not been offered in a Personal Budget, which is wished for by the parent or young person if old enough and with the mental capacity to appeal.
  - If a Personal Budget has not been offered.
  - If the monies listed are felt not to be sufficient to cover the needs of the young person.
- 11.3 An appeal must be submitted in writing to the Special Educational Needs Team, the Disabled Children's Team or the Clinical Commissioning Group (details below)
- 11.4 A legal process regarding any appeals will be followed as laid out in the Children and Families Act 2014 and/or the Code of Practice relating to Personal Budgets for the Special Educational Needs and Disabilities aspects of this legislation.

## 12. Complaints/Compliments

- 12.1 Nottingham City Council and Nottingham City Clinical Commissioning Group work in partnership to ensure that the policy and the Personal Budgets processes are followed correctly.
- 12.2 If an individual wishes to make a complaint or compliment to either authority on the way this policy has been applied, the contact details are as follows;

### **For Nottingham City Council:**

#### **For Social Care:**

Social Care Complaints Service  
The Clock Tower  
Eastcroft Depot,  
London Road  
Nottingham NG2 3NG  
Tel 0115 876 5974  
E-mail: [socialcarecomplaints@nottinghamcity.gov.uk](mailto:socialcarecomplaints@nottinghamcity.gov.uk)

#### **For Education:**

Dispute, resolution and mediation  
Glenbrook Management Centre  
Wigman Road,  
Bilborough  
Nottingham

NG2 3NG  
Tel 0115 876 4300  
E-mail:[special.needs@nottinghamcity.gov.uk](mailto:special.needs@nottinghamcity.gov.uk)

**For Nottingham City Clinical Commissioning Group:**

Patient Experience Team  
NHS Nottingham City CCG,  
Standard Court,  
1 Park Row,  
Nottingham NG1 6GN  
Tel 0115 883 9570 or 0800 183 0456  
E-mail:[patientexperienceteam@nottinghamcity.nhs.uk](mailto:patientexperienceteam@nottinghamcity.nhs.uk)

**Contacts**

Education: Special Educational Needs Team, Nottingham City Council  
[special.needs@nottinghamcity.gov.uk](mailto:special.needs@nottinghamcity.gov.uk)  
Tel 0115 876 4300

Health: Nottingham City Clinical Commissioning Group  
[customer-care@nottinghamcitycare.nhs.uk](mailto:customer-care@nottinghamcitycare.nhs.uk)  
Tel 0115883 9654

Social Care: Disabled Children's Team, Nottingham City Council  
[disabledchildren.team@nottinghamcity.gov.uk](mailto:disabledchildren.team@nottinghamcity.gov.uk)  
Tel 0115 883 8266

**Other useful Contacts**

Personal Budgets and Direct payments Team: Nottingham City Council  
Tel 876 4237 or 876 4195  
[direct.payments@nottinghamcity.gov.uk](mailto:direct.payments@nottinghamcity.gov.uk)

Transport Team: Nottingham City Council  
0115 9150692  
Fax: 0115 9157869  
[transport.team@nottinghamcity.gov.uk](mailto:transport.team@nottinghamcity.gov.uk)

**Independent advice and support is available locally from:**

**Independent Supporters**

Clarendon Chambers  
32 Clarendon Street,  
Nottingham NG1 5LN  
Tel 0115 948 2888

E-mail: [independentsupport@futuresadvice.co.uk](mailto:independentsupport@futuresadvice.co.uk)  
[www.ppsnotts.org.uk](http://www.ppsnotts.org.uk)

**Parent Partnership Services**

Tel 0115 948 2888  
E-mail: [enquiries@ppsnotts.org.uk](mailto:enquiries@ppsnotts.org.uk)

**Rainbows Parent Carer Forum**

Tel 07837 278981  
[www.parentcarersforum.org.uk](http://www.parentcarersforum.org.uk)

**Ask Iris**

Tel 0115 883 1157/883 1158  
E-mail: [contactus@askiris.org.uk](mailto:contactus@askiris.org.uk)  
[www.askiris.org.uk](http://www.askiris.org.uk)

**Nottingham City Families Information Service**

Tel 0800 458 4114  
<http://fis.nottinghamcity.gov.uk/kb5/nottingham/fsd/home.page>

**National/regional support is available from:**

**In Control**

Carillon House  
Chapel Lane  
Wythall  
West Midlands  
B47 6JX  
Tel 01564 821 650  
Email: [admin@in-control.org.uk](mailto:admin@in-control.org.uk)  
[www.in-control.org.uk](http://www.in-control.org.uk)

**The Council for Disabled Children**

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London  
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Tel 0207 843 1900  
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## Appendix

- <sup>1</sup><http://www.legislation.gov.uk/ukpga/1996/30/section/1>
- <sup>2</sup><http://www.legislation.gov.uk/ukpga/2000/16/contents>
- <sup>3</sup><http://www.legislation.gov.uk/ukpga/2001/15/part/4/crossheading/direct-payments>
- <sup>(4)</sup> <http://www.nhs.uk/choiceintheNHS/Yourchoices/personal-health-budgets/Pages/about-personal-health-budgets.aspx>
- <sup>5</sup><http://www.legislation.gov.uk/ukpga/2014/6/contents/enacted>
- <sup>6</sup><http://www.legislation.gov.uk/ukdsi/2014/9780111114056>
- <sup>7</sup>[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/398815/SEND\\_Code\\_of\\_Practice\\_January\\_2015.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/398815/SEND_Code_of_Practice_January_2015.pdf)
- <sup>8</sup>[http://www.councilfordisabledchildren.org.uk/media/724468/send\\_reforms\\_guide-to-ehc-plans\\_2014-1.pdf](http://www.councilfordisabledchildren.org.uk/media/724468/send_reforms_guide-to-ehc-plans_2014-1.pdf)
- <sup>9</sup>[www.nottinghamcity.gov.uk/localoffer](http://www.nottinghamcity.gov.uk/localoffer)
- <sup>10</sup><http://www.nottinghamcity.gov.uk/article/29638/Personal-Budgets>
- <sup>11</sup>[http://search3.openobjects.com/mediamanager/nottingham/fsd/files/funding\\_for\\_children\\_with\\_send\\_in\\_mainstream\\_schools\\_-\\_information\\_for\\_parents\\_-\\_september\\_2014.pdf](http://search3.openobjects.com/mediamanager/nottingham/fsd/files/funding_for_children_with_send_in_mainstream_schools_-_information_for_parents_-_september_2014.pdf)
- <sup>12</sup><http://www.england.nhs.uk/healthbudgets/understanding/child-young-family/>
- <sup>13</sup><http://www.nhs.uk/CarersDirect/guide/practicalsupport/Documents/National-framework-for-continuing-care-england.pdf>
- <sup>14</sup> <http://www.legislation.gov.uk/ukpga/1989/41/contents>
- <sup>15</sup> <http://www.nottinghamcity.gov.uk/CHttpHandler.ashx?id=40350&p=0>
- <sup>16</sup> <http://www.nottinghamcity.gov.uk/CHttpHandler.ashx?id=41397&p=0>
- <sup>17</sup> [www.nottinghamcity.gov.uk/CHttpHandler.ashx?id=31501&p=0](http://www.nottinghamcity.gov.uk/CHttpHandler.ashx?id=31501&p=0)
- <sup>18</sup> <http://gossweb.nottinghamcity.gov.uk/nccextranet/CHttpHandler.ashx?id=35569&p=0>
- <sup>19</sup>[http://www.legislation.gov.uk/ukpga/2005/9/pdfs/ukpga\\_20050009\\_en.pdf](http://www.legislation.gov.uk/ukpga/2005/9/pdfs/ukpga_20050009_en.pdf)

## Glossary

<b>Assessment</b>	A robust assessment of the eligible individual's need for support forms the basis of the process for Personal Budgets. The Assessment and Review Policy covers this element of the process.
<b>Children and Young People with Special Educational Needs and/or Disabilities (CYP with SEND)</b>	The policy is aimed at children and young people with special educational needs and/or disabilities and their families. It will support children and young people with a disability even if they do not have a special educational need.
<b>Children's Continuing Care</b>	Continuing care is provided to individuals to meet the cost of their care where their need for care primarily is a health need.
<b>Continuing Care</b>	Children's Continuing Care is where a specialist assessment and a multi-agency package of care is needed to support the family caring for a child or young person with multiple, complex and enduring health care needs due to disability, accident, life limiting or sudden illness.
<b>Direct Payment</b>	When a cash payment is made to an individual in lieu of services following an assessment of need to purchase their own support this is a direct payment.
<b>Education, Health and Care Plan (EHCP)</b>	An Education, Health and Care Plan (EHCP) brings the child's education, health and social care needs into a single legal document. The EHCP will describe the outcomes that we would like to see the child achieve, what support is needed to achieve the outcomes, who will provide the support, and when the support will happen
<b>Eligibility Criteria</b>	There are rules governing who will get help and support from different services. These rules are called eligibility criteria. These criteria define the circumstances in which people can expect to receive help.
<b>Indicative Personal Budget (IPB)</b>	An indicative budget gives a rough idea of the level of funding that will be allocated to an individual in their personal budget to meet their eligible needs.

<b>Personal Budget (PB)</b>	A personal budget is an amount of money identified by the local authority or health authority as being required to deliver parts or all of the provisions set out in an Education, Health and Care Plan or Support Plan to meet the needs of eligible individuals.
<b>Person Centred Review (PCR)</b>	Person centred reviews enable organisations to reflect on the progress or changes that need to be made in a person's life. The person is involved, has a role in organising the meeting and who they invite, and how it is run.
<b>Primary Health Need</b>	An individual has a primary health need if the main aspects or majority part of the care they require is focused on addressing and/or preventing health needs.
<b>Resource Allocation System (RAS)</b>	The system of estimating the funds required to meet the eligible assessed needs of the individual. The RAS generates an indicative personal budget which is based on the assessment, the costs of meeting the assessed needs and the resources available.
<b>Support Plan</b>	A support plan may be created as an alternative to an EHCP when a child/young person does not have a special educational need. A support plan is a summary of the assessed needs, the outcomes and how to use the personal budget to achieve these outcomes. During the planning stage of the process it is agreed how a child/young person will use their personal budget to meet the needs outlined in their plan. The Support Planning Policy covers this element of the process.
<b>Third Party</b>	A <i>third-party</i> is an individual/organization with whom a contract is created. This person could be someone known to the family or could be a corporate organization/individual offering a service.
<b>Universal Services</b>	Universal services are resources or facilities that provide a service that are available to all citizens across the city. People would not need to be known to the local authority to access these.