

A model resource allocation system for children, young people and families

Information and guidance to develop a resource allocation system for children, young people and families in Scotland, based on all children achieving the SHANARRI wellbeing indicators.

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Acknowledgements

This introductory paper builds on and has been adapted from an earlier paper published by In Control (England) in February 2013 titled 'Understanding the Resource Allocation System (RAS)'. The content, and in particular the allocation questionnaires, has been developed following discussion with local authorities, families and providers and particularly is informed by the resource allocation development work in the children's services of Glasgow City, Highland, North Lanarkshire and West Dunbartonshire Councils, as well as drawing heavily on the work of Newcastle City Council.

Specific thanks also go to the authors of the original In Control (England) RAS paper - Nic Crosby, John Waters, Clive Miller, Gerry Kelly, Martin Donkin and Paul Connolly from which large parts of this paper has been adapted. The adaptations, however, provide some specific view points from the present authors (Martin Donkin and Keith Etherington) and therefore are not necessarily the views of the authors of the original February 2013 English paper

Electronic copies of both papers, including all the appendices, can be accessed from the In Control Scotland website at www.in-controlscotland.org in the section Resource Allocation Central or by e-mailing info@in-controlscotland.org.uk

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Introduction

A Resource Allocation System (often shortened to RAS) is simply a way of identifying the sort of financial resources that an individual child, young person and/or their family can access from the funding agency in the area in which they live. The funding is provided so that the child or family can then make a plan and direct the resources available to them to meet their identified support needs and to achieve agreed outcomes. A resource allocation system is simply a means to an end, the end being that children and families can access support and services that work for them, or, to put it another way, that enables children to achieve the universal wellbeing indicators described by the acronym SHANARRI. An effective Resource Allocation System can support the implementation of self-directed support by providing a mechanism to share out available resources equitably, fairly and openly in an area. It is one important and necessary part of an effective implementation plan for self-directed support and part of building a new relationship with children and families.

This document sets out to explain the In Control approach to resource allocation for children, young people and families and to describe a beginning model RAS that can be adapted for use anywhere in Scotland. It is the current iteration of work and experience over several years. It starts from the premise that we want to keep the process as simple as possible, to minimise paperwork and bureaucracy and to ensure that we stay true to the principles of developing a system which is both transparent and participative.

The Social Care (Self-Directed Support) (Scotland) Act comes into force in April 2014 and places new duties on all local authorities. These duties apply to children as well as adults, so there is a necessity to develop a resource allocation system that works for children and young people and families. We believe that this requires a new and particular approach if we are to be successful. This document attempts to explain what a RAS is, set out a common and simple language that can be used and then take the reader through a model process - from starting out through to generating an offer for children and young people in an area.

It is acknowledged that discussing local authority finance, spend, assessments of needs, questionnaires and spreadsheets in a simple way can be a real challenge, in particular in the current context of budget reductions and increasing financial constraints. However, this document aims to demystify resource allocation and be a practical resource for colleagues responsible for taking forward this work, so that more children, young people and families can really take control and direct their own support in the way that makes sense to them.

What is a RAS?

Resource allocation is not a new idea and there have been different approaches to resource allocation in existence for many years. In the context of this paper we discuss an approach which we believe is central to the effective implementation of a system of self-directed support for children, young people and families. The approach comprises three components:

- **Budget.** The funding identified by a funding agency to support a group of children or young people who share a broad set of linked support needs.
- **Eligibility.** A clear explanation of what makes a child, young person or family eligible for funding from this budget.
- **Purpose.** A clear statement of the outcomes which this funding must support the delivery of, by meeting support needs identified through the assessment process.

Families have often reported their concern and opposition to the historic approaches which have been taken to resource allocation. These concerns include feeling strongly that decisions made do not include their views, that decisions are taken 'behind closed doors' and that they do not understand how decisions have been taken. Criticisms which have been levelled at the current systems include:

- assessments are being completed to justify a level of support or offer of services,
- resource panels and similar funding arrangements being inconsistent in their decisions,
- decision-making being adversely affected by how much funding is left in a budget towards the end of the financial year.

In light of this, In Control Scotland underpins its approach to resource allocation with two simple principles:

Transparency – everyone knows what is happening, the basis for decisions being made and no decisions are taken 'behind closed doors'.

Participation – all those who need to be involved, including the family, are involved and their views lead the discussion.

The resource allocation system is one part of supporting families and those working alongside them to make good plans setting out how support requirements will be met and how outcomes will be achieved. The resource allocation system generates an indicative individual budget which acts as a guide to the amount of resource a funder will make available to support the child, young person and their carers. The indicative budget is a guide and not a final figure and in the process of completing and agreeing a plan that will meet the support needs of the child, it may be necessary to increase or decrease the allocation.

The following diagram shows where a RAS is used in a seven step model of self-directed support and how the indicative budget is seen as only one part of the

resources available to meet a child or young person's support needs. For a more complete explanation of the seven steps of self-directed support please reference 'Building a new relationship with children, young people and families' (In Control 2012).¹

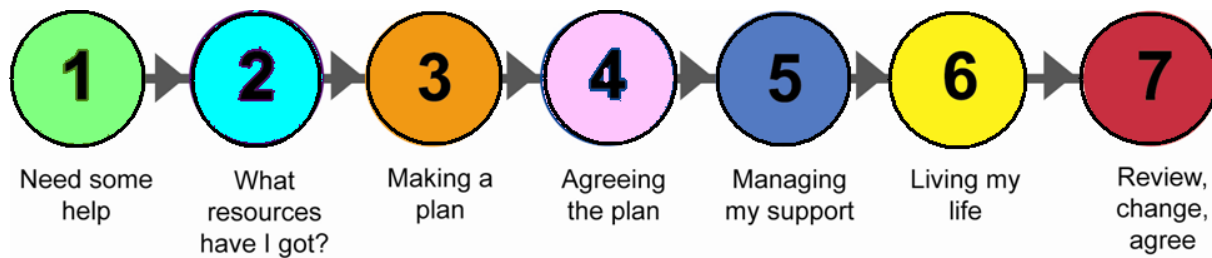


Figure 1 – Seven steps of self-directed support

The RAS generates an indicative individual budget; this is one of the resources a child and family will have available to them with which to plan to achieve outcomes. In the 'real wealth' model below, the budget fits in the assets circle:



Figure 2 – Real wealth

The other resources that a family and young person bring to help them to plan are described as the 'real wealth' in the figure above.

Thirdly, there are all the resources available from across the whole system; mainstream and targeted services and community resources.

¹ <http://www.in-control.org.uk/news/in-control-news/new-paper-building-a-new-relationship-with-children,-young-people-and-families.aspx>



Figure 3 – The quadrants of personalisation

This approach also explains the reasoning behind the offer of an individual budget; looking at the quadrant graphic more closely, an individual budget is offered (in the graphic the box titled 'choice and control') when it is not possible to meet the child or young person's support needs within mainstream and targeted services by accessing local community resources without the allocation of **additional** and individual investment i.e. an individual budget.

A common language

In Control Scotland sets out below, a simple set of words and descriptors which we will use throughout this document.

Allocation questionnaire and allocation questions

There are a multitude of different terms already in use that describe the questions used to indicate the financial resources available; self-assessment questionnaire, personal needs assessment, supported self-assessment questionnaire are just three examples. This is the set of questions completed by the person or family along with professional support which generates an allocation of funding - an indicative budget (see below).

Using the word 'assessment' has caused some confusion. In a move to clarify the resource allocation system questions, we are going to call these questions the 'allocation questionnaire'. Existing assessments, like those used by many disabled children's services, collate information and establish who, if deemed a 'child in need', is best placed to support the child, young person and family. The allocation questionnaire will be completed alongside the assessment as a tool of that assessment. It is not a child's holistic assessment, rather a tool to aid fairer funding decisions and make the process more transparent and participative.

Analysis spreadsheet

In Control have developed a spreadsheet which helps to analyse how a traditional children's services budget can be disaggregated. It is used when ranking the results of a resource allocation system.

It is the first step in beginning to develop a way of allocating indicative budgets based on the results from the allocation questionnaire exercise. It sets out the results of a desktop exercise against the current spend and enables early predictions to be made about how much funding should be allocated to each child or young person. It is useful in exploring the existing way funding has been commissioned and prompting a discussion about what needs to change. We call this the 'Analysis Spreadsheet'

Allocation table

The allocation table takes time to develop. The end result is a public document which shows families how much funding they can expect as an indicative budget following the completion of the allocation questionnaire. In most cases this will mean a table which explains how a total number of points scored by a child, young person and/or family relate to a sum of money.

Explaining the In Control approach to resource allocation

In Control (England) Children's programme began working with children's services in 2007 and more recently In Control Scotland has been supporting a number of local authorities with demonstration work. A key part of this work has been the development of a simple approach to resource allocation based on children, young people and their families achieving outcomes. The work started from having a good knowledge of how adult services were taking forward the allocation of indicative budgets and drew from their learning and experience (both helpful and otherwise!) to shape our approach.

A focus on outcomes

The Getting It Right for Every Child (GIRFEC) framework provides the foundation for an outcomes focused approach, using achievement of the SHANARRI wellbeing indicators as the focus of resource allocation. SHANARRI stands for:

- Safe
- Healthy
- Active
- Nurtured
- Achieve
- Respect
- Responsibilities
- Included

The allocation questionnaire

In Control Scotland has used these SHANARRI outcomes as a basis for developing an allocation questionnaire. It has provided a useful basis for thinking holistically about a child, young person's and family's support needs and moves away from the measurement of deficit and from thinking about needs as a base for allocation e.g. personal care and decision making. In Control uses an iterative approach to the development of resource allocation systems, i.e. we consult, develop, use, learn and revise. The current version of our children's allocation questionnaire will continue to be revised and improved. However, a focus on outcomes will remain as will the way we identify a level of support to supporting the child, young person and family to achieve the outcome. Here is an example:

Figure 4 – An example of a question from the children's SHANARRI allocation questionnaire (see appendix 1 and appendix 2 for full questions)

1. SHANARRI Outcome: Healthy

To be fit and healthy (physical health)			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	13	21	28

Our allocation questionnaire is a simple set of statements, linked to the SHANARRI outcomes within the GIRFEC Framework. The SHANARRI outcomes provide a good starting point for the development of an outcomes approach to resource allocation. By modelling the questionnaire on the SHANARRI outcomes the statements reflect the purpose of public funding to meet a wide range of disabled children's needs which require support to achieve these outcomes. The allocation questionnaire will be used by a wide and diverse group of children and young people. Scoring will reflect the level of support needs the child has. Some children will have high needs in most outcomes; others will need less support to achieve the outcomes. Some children will be able to achieve the outcome without a need for paid support. This is expected and accommodated in this approach. It is not expected that every statement will be scored highly by every child.

Levels of support

Each statement has an accompanying set of answers which are set out as 'levels of support'. The intention is to discuss with the child and family which level best describes the amount of support for the outcome to be achieved by the child or young person. In general terms the bands of support can be described by figure 5 set out on the next page.

No support	... indicates that the child or young person needs no additional support.
Some support	... indicates that the child or young person needs some additional support. There is a level of need over the week that shows that the young person requires a little additional support on a continual basis or a lot of support to manage change.
Lots of support	... indicates that the child needs highly skilled support throughout most of the day, this often includes 1:1 support from specialist services. The child will usually require constant supervision.
Exceptional support	... indicates that the child needs more than consistent, long term and highly skilled/specialist support. The young person has complex needs or there are high levels of risk to manage and usually requires 2:1 support from specialist services. The level of support is complex, round the clock and life-long

Figure 5 - Explaining the levels of support

In the family section of the questionnaire the families' needs are banded in a similar way as those above. This family section refers directly to the support needs of the family rather than the young person's needs.

It is not accurate to apply this general description to every SHANARRI outcome. The questionnaire provides descriptors of how these bandings should be interpreted specifically for each outcome. See the example below which illustrates what the support bands mean in the context of the SHANARRI outcome of being respected and Responsible.

SHANARRI Outcome: Responsible and Respected

5.1 To take responsibility and manage my behaviour			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	11	17	24
<p>No additional support required - the young person is able to listen to adults and other young people. The young person is aware that there are rules that govern behaviour, what they are and why they should be followed. The young person does their best not to get in trouble. The young person can control their anger so that it does not lead to significant harm to others. The young person tries to be helpful.</p>			
<p>Some Support is required - when the young person has an occasional need for support because of difficult recurring behaviour which adults need to manage. When professional involvement to support the family with the young person's behaviour is needed, their behaviour is a key issue which requires ongoing intervention and advice.</p>			
<p>Lots of support is required - when a young person requires 1:1 support to keep themselves and other people safe and well because their behaviour poses significant risks to others or frustration in communication.</p>			
<p>Exceptional Support is required- when a young person needs the support of 2 adults (2:1 support) regularly through the day. This is because they find their day to day life and the environments that they encounter difficult to understand and it impacts upon their communication and the way that they behave. Without this support in place there would be risks of harm to themselves or others.</p>			

Points

As is also shown in Figure 5, each level of support equates to a number of points. The total number of points from a completed form will equate to an allocation of an indicative personal budget.

The difference between the points set against one level of support and another is described as the 'weighting'. The weighting reflects the importance of the outcome i.e. to take responsibility for my behaviour as opposed 'to be relaxed and happy'. Some outcomes need more support set against them than others.

The respective weightings within the In Control Scotland's Children's allocation questionnaires have been based on the In Control (England) weightings of similar outcomes which have been tested in practice over 5 years and have proven to rank need well.

Each level of support is given a point's score that reflects the relative importance of that aspect of life. Once the questionnaire has been completed the individual scores are added together to provide an overall level of support score.

The allocation questionnaire provides a profile of the level of additional support a child and family require to achieve each outcome.

The analysis spreadsheet

The analysis spreadsheet brings together the points scored and the costs of current support.

It will be necessary to compile data on the costs of individual support and services currently used by disabled children, young people, and their families as set out in each current individual plan. Through collecting this data a set of 'unit costs' are shown that can then be used to calculate the total cost of each child or young person's support package. Prior to establishing 'unit costs', care should be taken to only include in the budget which can be disaggregated and which will be used to fund individual support plans. 'Targeted services' for example, music groups, dance troupes, sports brokerage may provide for a wide range of disabled children not just those who receive additional funding and cannot be disaggregated without a loss of service.

In-house services which provide individual provision, for example, children's short break residential care should be considered as part of the unit costing exercise. A discussion at a senior level needs to take place to think through the implications of setting a price that will be charged to families for in-house overnight support. This price may or may not be the same as the true unit cost. (See appendix 3; a note on in-house services and their costs for a fuller discussion of this issue).

The first time many people will use this spreadsheet is following on from their 'desktop exercise'. The desktop exercise will produce a sample of scores from a group of children and young people along with the cost of their current support package. This data is then inputted into the spreadsheet. The spreadsheet is a long term tool and can be added to as and when more allocation questionnaires are completed for more children and young people.

The data which has been inputted is displayed in a number of ways; there is a graph showing a profile of needs and another showing a profile of costs. The 'analysis table' within the Excel workbook shows you how the scores and the costs relate. The 'analysis table' uses a simple accountancy procedure called percentiles. Simply put, it ranks scores from high to low and sets against them current costs in a scale from high to low. The analysis spreadsheet is a tool for exploring current commissioning practice; it shows clearly how current commissioning of support for a child hasn't always directly related to 'level of support need'.

The graph below explains this; spend here is set against need.

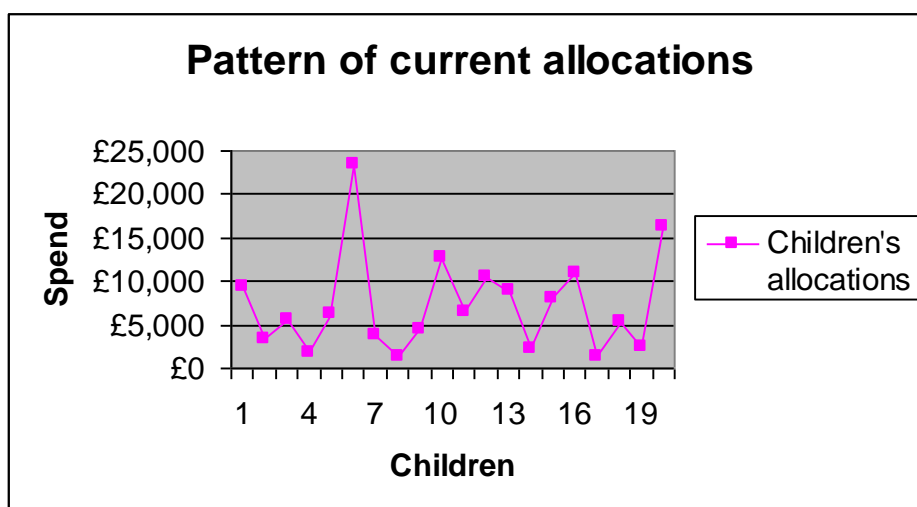


Figure 6 – Pattern of current allocations

Figure 6 shows in the vertical column the current costs of packages for a council from 0 to £25,000. Along the bottom of the graph are percentiles of need based on the RAS score where the 1st percentile represents the amount of children with the lowest level of need and the pattern of funding they presently receive. Children in this percentile are receiving on average between £5000 and £10,000 for a very low level of support needs. In contrast children with a greater level need between the 7th and 9th percentile are receiving less than £5000. This is because some children's packages within these percentiles receive funding that is much higher or lower than their peers with similar levels of need.

It is clear that in this example currently there is no fair funding pattern of allocation related to a child's needs; high allocations are made for children with lower levels of needs or for a number of other reasons, for example they had a package of support put in at a time of crisis and this hasn't been reviewed and/or amended now that the crisis is over and life is more stable.

The analysis table within the spreadsheet offers up a different picture by aligning levels of need represented by scores with spend i.e. the child with the highest score is set against the highest spend and so on down the table to the child with the lowest score attracting the lowest spend. The total budget is then spread across the percentiles of need distributing the funding more evenly.

In completing this analysis a few children with exceptional current costs will distort the analysis. There will always be children for whom we need to think 'outside the box'. It is not useful to see these children's costs as part of an offer for all disabled children. In removing these children's costs from the analysis, the top end of what is presented in the analysis reduces. This is not the same as saying that only allocations at a reduced top level should be offered. Councils have a duty to meet needs and on rare occasions, for a handful of children in every locality, this means funding above the normal range of offers for children with complex needs. These children will usually score above the exceptional support level.

Similarly, historical practice may have led to children whose needs do not suggest an entitlement to individual funding having being offered support packages whose annual cost is out of proportion to the usual costs required to meet low levels of need. These children’s costs should also be removed from the analysis spreadsheet. This is because as a council moves towards building an ‘Allocation Table’ it is not helpful to be prompted to make offers of individual funding below the eligibility threshold.

This is the function of the analysis spreadsheet, to begin to build a relationship between the way that money is spent on support for individual children and young people and their level of support need in order to build towards a fair ‘Allocation Table’.

The graph below represents the analysis table in visual form after taking out the few children with exceptional costs and below the eligibility threshold. It uses spend and children's needs data and sets out the results by realigning need and spend.

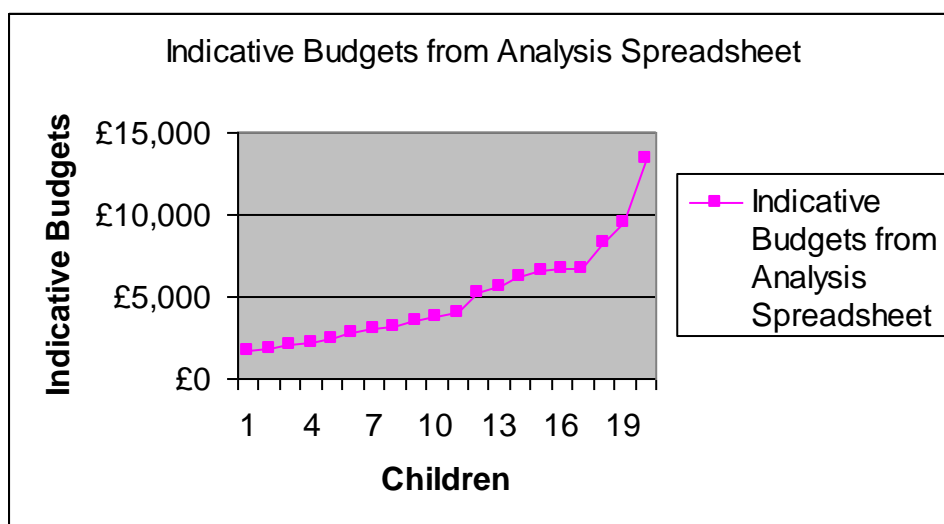


Figure 7 – Pattern of indicative allocations

The next step is to use these initial results based on current practice to begin to construct an ‘Allocation Table’, as explained in the following chapter.

In the process of compiling costs and exploring the analysis spreadsheet many children's services discover issues about practice in the past where large packages of support have been offered to children with low needs or vice-versa. This can be a really useful exercise as it highlights the need to move to a more transparent approach to the allocation of funding. It is important not to see these issues as the fault of the RAS exercise but to see them as historic problems.

The Allocation Table

The **allocation questionnaire** produces a point score by identifying the support a child and family need to ensure good outcomes for the child or young person. The points scored along with information about funding and current costs are put into the

analysis spreadsheet, which provides a tool to explore and interrogate historic allocations set against the support needed by children and young people. This process of exploring leads to the production of a public document which shows how funding will be allocated in the future; the **allocation table**.

The allocation table is a public document which shows the funding a family can expect from the point score of the allocation questionnaire. The Allocation Table ensures that everyone; families, workers, providers and young people know what a fair offer is, within the funding available. See appendix 3 for an example of an allocation table.

Many children's services start the introduction of individual budgets in small scale pilots; it will be a challenge to develop an accurate allocation table in these very early stages. Once children's support plans go live, where an individual budget has been used to support a child or young person and hence the individual budget has been 'agreed', a growing amount of this data will inform the development of an increasingly accurate allocation table.

Step 1: Constructing an allocation table

The analysis spreadsheet sets out the data about how much funding is being spent on children with a whole range of support needs; for example those with a low level of support and those with a higher level of support need. It will show some children with similar needs getting similar funding, and it will also show those where funding does not seem to be funded appropriately (either too high or too low). It will usually show funding rising from low to high needs inconsistently; on a graph it may look like a number of bumps or steps as opposed to a smooth curve.

Developing an allocation table which takes account of the data in the analysis spreadsheet is not as simple as transferring data. The data in the spreadsheet raises a number of questions which need to be explored before any move to publish an allocation table. Here are a number of issues to consider in constructing an allocation table:

- a. **Establish contingency** - the analysis spreadsheet sets out the 'whole spend' across the group of children and young people. This means there is no 'contingency available if there is a crisis or if indicative allocations offered, as evidenced in the child or young person's support plan, do not offer sufficient funding to meet the child's support needs as set out in their assessment. Using the analysis spreadsheet a contingency fund can be set aside to manage this in recognition that crisis does happen, and changes may need to be made to the amount of funding available. Practice in children's services who are at an advanced stage in offering individual budgets would suggest between 10% and 15% is set aside. In constructing the allocation table it is necessary to protect this contingency.
- b. **Look for patterns in the data** - some children with similar needs will show similar levels of funding. Consider whether there is a child or a group of children for which the funding is working well. Benchmark that funding offer as the funding offer for that point score and similar scores. For example, if £6000

looks a good offer for 171 points then highlight that points around 171 should be getting offers in the range of £6000.

Being sure some scores seem fair for children allows you to build a table from the lowest to highest level of needs. For example a funder who is convinced that six scores are funded correctly across the table might produce a skeleton table like this:

Name	Score	Cost
Jeannie McKechnie	75	£450
Sean Jamison	135	£1 750
Angus Roxburgh	171	£6 000
Jimmy Murray	200	£9 500
Rory Scott	230	£14 400
Marie Wilson	245	£17 500

- c. **Establish an offer based upon your local market costings** - families can use their individual budgets very flexibly but funders should also be clear that the needs of children can be met within the existing market. The above scores now need to be tested against the real local market.
- Calculate how many hours of support from a personal assistant, support worker from an agency, and/or overnight stays could be purchased from the above funding offers.
 - How many opportunities for activities days could be provided for?
 - What support plans could be expected from offering the funding above to all disabled children or young people with this level of needs?

Adjust the funding offer if required after these considerations.

- d. **Consider low level needs** - in the past funders have provided some significant funding that has been spent on specialist services when the family could have had better outcomes connecting to mainstream, targeted or community options. Challenge the assumption that funding should remain high where there are low level needs.

Establish a base level of points below which the offer of support will centre on a discussion about what local opportunities and activities exist which could, possibly with a small allocation of funding be used to enable the child to participate alongside their non-disabled peers.

- e. **Consider high level needs** - children with the most complex support needs often require funding support from health, social care and education. Is the funding offer at the higher level of needs taking this into account? Is it set so that it prompts a discussion about joint funding or is one fund paying to meet all needs and therefore depleting funds for other users?

Step 2: A draft allocation table

Using the data of the analysis spreadsheet and making decisions about the challenges outlined above, the next step is to build a draft allocation table. Constructing an allocation table will focus on setting out levels of funding offered to a range of point scores. The points should illustrate a low allocation of funding set against a low level of support need through to a high allocation of funding set against a high level of support need. The amount of funding set against a level of support will reflect the original data collated in the analysis spreadsheet and the ensuing discussion set out in Step 1.

There are different ways of setting out the allocation table as a single column of points and funding or as Banding – where the table is grouped into bands of needs (see example of Newcastle City Council table in appendix 2).

At the present time, Newcastle City Council has had experience in both drawing indicative allocations from funding by single points and by using a points banding system. This experience suggests that banding is easily understood by families and workers and frames the allocation discussion on the basis of properly understanding the child's support needs to achieve outcomes rather than this discussion being framed by point scoring. A banding system also ties well into the conclusion of an assessment where the results of the questionnaire can be considered alongside the holistic information gathered within the assessment. Banding also makes clear to the council, families and workers the extent of funding provided at different levels of needs. Newcastle's experience is that by banding points alongside general descriptors of needs makes transparent the indicative offer and helps the allocation discussion with families.

Whatever approach is adopted it is vital that parents and parent representatives understand and participate in the discussion which informs the drawing up of the allocation table. Following through on the two underpinning values to this approach; transparency and participation, the end result has to be presented in a simple format and easy for everyone to understand.

Finally consider the impact on existing users within the new table. What would be the impact of introducing these scores? Would this result in overspend or underspend beyond the contingency that has been set? Share the draft table with all stakeholders' families, finance colleagues and providers and consider comments and the ensuing discussion and where necessary amend the allocation table.

Some councils in England have not applied the allocation table at once to existing users but have used transitional arrangements to moderate the gaps between existing funding and the Allocation Table. Any Council agreeing such transitional arrangements needs to ensure that they are financially viable and will not overspend the available budget. This is usually achieved through restricting the level of funding change from the current cost of a package when making an indicative allocation

Agree and publish the allocation table - the table should be open for viewing to all stakeholders. Families should understand how it has been constructed, the contingency that has been used and any reductions or increase of the overall budget that is projected within the figures. Making this document public follows through, as

does the whole process of being transparent and participative. The RAS is an important part of giving families a chance to control the support their child or children get.

Conclusion

This document set out to explain resource allocation systems in an accessible way. Hopefully this document will help people to start and take forward work on resource allocation. It is very easy, especially at a time of financial pressure across public services to become consumed by the allocation system. It is important to remember that using an individual budget will always be only one part of the solution to meeting a child or young person's support needs and making outcomes real. A resource allocation system simply allocates an indicative budget; the real work and focus is on supporting the family to make best use of all the resources and to develop a plan which supports their child and themselves to live a safe, healthy, and happy life together.

In Control Scotland - January 2014

Appendix 1:

Secondary School RAS Allocation Questionnaire



Resource Allocation Questionnaire
(Secondary School Ages, 11 Plus)

SHANARRI Outcomes version v1.2
(January 2014)

Introduction

This questionnaire should be completed when a young person with additional needs is assessed for funding for an Individual Budget. This questionnaire applies only to secondary school pupils and should not be completed for children at primary school. These introductory notes will explain:

- who can get an individual budget
- who is involved in completing the questionnaire
- how the questionnaire fits in with assessments
- how the questionnaire helps to show the outcomes needed
- how bands of support work
- how the points are scored
- how points help the council make an indicative funding offer

Glossary

Some of the words used in this document are not known to everyone. Here is a description for words which we think might not be obvious.

Individual Budget- this is the funding available to support a young person provided by the council. The individual budget is normally identified as an annual amount to provide support for 12 months. The family spend this funding on supporting the young person well and the amount and the support plan are agreed with the council.

Indicative Offer- this is an offer of funding made by the council after assessment. The purpose of the indicative offer is so the family can make a support plan knowing how much the council considers is a fair offer. Sometimes the support plan shows that support is more expensive than first thought due to a young person's needs and the costs of support to meet these needs. Sometimes families do not need all the funding to meet the child's needs. The funding, therefore, may change when the support plan is completed. The funding is considered again when the support plan is completed and confirmed at that point.

Resource Allocation System (RAS) - this is how funding of Individual Budgets is worked out by the council with the aim of providing the right amount of money to meet a young person's needs and the funding being fairly spread between young people who have similar needs. This new system should be fair transparent and easy for families to take part in.

Bands of Support- is the way in which the council describes young people's needs and makes a fair funding offer. For example, when a young person is described as needing 'lots of support' this usually means that their needs are similar to other young people who need the support of an adult to take part in activities. A band, for example, 'lots of support', is confirmed in the assessment and points to what the Indicative Offer should be.

Who can get an Individual Budget?

An Indicative offer of funding for an Individual Budget is made because universal and mainstream services have already been maximised with the skilled support of a lead professional. There is an understanding that without funding the young person will not be able to make best use of universal and mainstream opportunities. Due to the complexity of their support needs the child and their family may need specialist support or opportunities.

Families with small support needs will usually not need to receive an Individual Budget but will be supported through early intervention and community connection work. When small funding is required to support a young person to access a community activity the council may find a small grant to support this or support the activity directly.

Who is involved in completing the questionnaire?

This Resource Allocation System (RAS) questionnaire is designed to help families participate in the decision making about funding and should be shared openly with them. Families and young people should have copies of the questionnaire so that the process is transparent. The RAS questionnaire is a tool the family and social worker use to work together to establish the level of support needed. The paperwork is then completed by the social worker.

How the allocation questionnaire fits in with assessments

The RAS allocation questionnaire is part of the information gathering stage of the assessment and does not by itself meet the Local Authority's duties to assess children in need. The RAS questionnaire is therefore only completed alongside a new assessment. The assessment as a whole is the child's 'statement of need'.

The questionnaire adds to the assessment by scoring the answers to questions and using the total result to work out how much money should be provided. Some young people's needs will score consistently in one support band throughout the RAS questionnaire. This will be taken into account when the social worker evaluates what band of support best describes the young person's needs. This will be stated clearly within the summary of the assessment. Therefore the results of the RAS allocation questionnaire should be read in conjunction with the assessment summary.

When assessing the support that the young person requires, the family circumstances, extended family networks and community resources that are normally accessed are taken into account within the questionnaire. To complete the questionnaire accurately it should be completed 'as if there was no paid support' already involved in supporting the young person.

The questionnaire captures a snapshot of support needs at the present moment in time and should relate to the young person's present circumstances. There will be some examples which do not fit the circumstances of the young person well. No guidance can hope to be so specific that it addresses each child's circumstances exactly.

The funding that follows from the assessment is indicative. The amount of funding can be considered again if requested by the family when the plan is complete. This means before the funding is confirmed the council is clear that the child's needs are met within the support plan by supporting the family to achieve good outcomes for the child and provide the family with reasonable short breaks.

How the questionnaire helps to show what outcomes are needed

It is important to know not just that support to a young person is provided but also that it achieves good results. The questionnaire works out broadly how much support a child requires to meet good outcomes.

SHANARRI Outcomes

The Scottish Government has a set of goals which it believes councils should work towards to support every child to have a good life. These are called the SHANARRI outcomes/well-being indicators and are the most important ambitions that funding should be spent on. The SHANARRI outcomes aim to make sure that Councils help children to be:

- Safe
- Healthy
- Achieving
- Nurtured
- Active
- Respected
- Responsible
- Included

Understanding the Bands of Support

The questionnaire ranks the support needed to work towards these outcomes. There are three bands:

- Some Support (where there is a level of need over the week and mid to long term)
- Lots of Support (where the level of need is significant, daily and long term)

- Exceptional Support (Where the level of support is complex, round the clock and life-long)

In the family section of the questionnaire the families' needs are banded in a similar way as those above. This family section refers directly to the support needs of the family rather than the young person's needs.

How the points are scored

Each statement has a set of points. Some point scores are higher than others because some questions have a bigger impact on the child and family. Where there is some overlap between bands and you feel that the question could be answered in either band always pick the higher band; it is easier to reduce support later on rather than deal with the consequences of providing too little support.

There is no expectation that a child or young person will score in every question, or that every question will be appropriate for every child or young person. Where you are clear that a statement does not relate to the individual they will score zero. An example of this would be when a young person will not be at an extremely low risk of bullying because they have a complex learning disability and have a constant level of adult supervision everywhere they go. The questionnaire is balanced so that children with complex needs will score highly in other parts of the questionnaire.

How points help the council make an indicative offer

Once points have been allocated, then the total points will be calculated against a table of funding bands which rise step by step as the points increase.

The council will always do a lot of preparation before setting peoples allocations so that everyone can see that the young person has received their fair share of the budget. The amount of the indicative allocation is based upon the best estimate of the council about how much money is required to support well a child's needs. At the end of working through the support plan with the family, the council will consider again whether the funding and resources allocated meet the child's needs. When the support plan has been approved the budget is confirmed.

When we are working with children with complex needs it is important to make sure contributions from health, social care and education are co-ordinated together and every effort will be made to ensure that there is joint planning between all agencies working with the family to maximise resources.

The allocation questionnaire begins on the next page

The Questions

1. SHANARRI Outcome: Healthy

1.1 To be fit and healthy (physical health)			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	13	21	28
<p>No additional support is required – when the young person has no particular health issues. They get the common illnesses and they recover well. They generally keep good physical health.</p>			
<p>Some Support is required- when the young person has a particular health condition that needs ongoing advice support and monitoring from adults who care for them. For example the young person doing group activities would need staff to be aware of their condition and able to administer treatment but would not require continual day to day support because of their medical condition.</p>			
<p>Lots of support is required- when the young person requires every-day assistance with their health. As a result of impaired mobility, posture and balance the young person needs frequent support from an adult through the day (for example peg feeding, help to go to the toilet, to change their position etc.) The procedures to stay healthy impact a lot on the young person's day to day routine and may need assistance from people who have had guidance and training to meet their health care needs.</p>			
<p>Exceptional support is required- when because of complex physical health needs the young person needs support at all times and often will require more than one person to assist them. Some of this care will be with people who have specialist health care skills. The young person uses equipment essential to their wellbeing.</p> <p style="text-align: center;">Or</p> <p>Where the procedures that are required to maintain the child's physical health require such care that they can only be delivered extremely slowly. These procedures take several hours each day and this has a huge impact on the child's opportunities.</p>			

1. SHANARRI Outcome: Healthy

1.2 To be relaxed and happy (mental wellbeing)			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	13	21	28
<p>No additional support is required - when the young person is generally happy and relaxed. A young person experiences the ups and downs of growing up but does not have prolonged worries for which they need support. The young person with help from parents can cope with new places while experiencing just the usual nervousness most young people have when trying out a new place.</p>			
<p>Some Support is required - when the young person is frequently distressed as a result of issues with their mental health, medical condition, pain management or mood swings. The young person has a frequent sense of stress and anxiety. They need some reassurance, support and supervision on a regular basis to manage their feelings and feel relaxed.</p>			
<p>Lots of Support is required - when the young person's stress and anxiety continually affects their wellbeing and their behaviour can be challenging. A key issue for adults who support the young person is planning how to respond to their anxiety. The young person needs the help of a psychologist or psychiatrist to work towards feeling relaxed and happy.</p>			
<p>Exceptional support is required - when the young person's mental health needs are very complex. Their anxiety and stress is so high that they have extreme challenging behaviour as a result of emotional distress which needs to be managed. In order to ensure that there is not a risk of injury to themselves or others they need the supervision of two adults continually to make sure everyone is safe. The young person needs support from specialist services working to a structured behaviour management plan.</p>			

2. SHANARRI Outcome: Achieve

2.1 To make choices ,express myself and communicate			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	9	14	16
<p>No additional support is required- when a young person is a strong communicator through their first choice of communication and they can make clear their needs wants and wishes they need no support in achieving this outcome.</p>			
<p>Some Support is required- when a young person can explain some of their needs and wants but you need to check regularly that they have understood what they are saying. They may only pick out key words and their understanding of complex sentences may be impaired. If you are talking with the young person you need to check that they have understood what you are saying and are able to act on what has been asked of them.</p> <p style="text-align: center;">Or</p> <p>A young person has a hearing impairment which makes it difficult for them to hear consistently what is being said to them.</p>			
<p>Lots of Support is required- when as a result of a young person's learning disability it is difficult to understand the young person's communication consistently and or they have challenging support needs because of their frustration with communicating. They need 1:1 support in order to make their views known.</p> <p style="text-align: center;">Or</p> <p>The young person is deaf and needs the support of an interpreter to communicate with those who don't know sign language.</p>			
<p>Exceptional support is required - A young person finds it difficult to express their needs and wants and who needs intensive support. This would usually include young people who communicate with technological aids but it requires professional support to be clear that their views have been correctly interpreted. This could also include young people who do not use any form of recognised language like speech, signing or technology and whose communication is interpreted mainly through their behaviour and their speech partners are not confident that they have interpreted their communication correctly.</p>			

(Please be aware that if the young person is deaf and needs interpreting services this may require the indicative allocation to be adjusted because of the high cost of interpreting services. This should be considered upon completion of the assessment.)

2. SHANARRI Outcome: Achieve

2.2 To progress in my learning and skills as best as I can			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	10	17	23
<p>No additional support is required - when the young person is engaged in education or training that will lead to a nationally recognised qualification that will increase their opportunity of getting paid employment. It is a challenge for any young person to move out and live in their own home but they can access the support services that are available to get housing and have the potential to develop the skills to maintain their own home and live an independent life.</p>			
<p>Some Support is required - when the young person is learning new skills. They need consistent support and reminders to stay on task to develop skills. They need this planned support on an ongoing basis if they are to build skills towards independence and employment.</p>			
<p>Lots of Support is required - when the young person will need constant support to perform purposeful tasks. Training courses require to be tailored specifically to their needs. Work experience needs to be carefully crafted and supported by an employment coach constantly on a one to one basis. They need 1:1 support now to work towards the goals of employment and independence.</p>			
<p>Exceptional support is required when the young person needs 2:1 support for their daily living, self-care, and independent skills. This may be a child with complex health needs, a profound disability or challenging behaviour who requires 2:1 support and is at constant risk of being excluded from social life. There is a continuing need for professional advice and guidance from occupational therapy or psychology to develop plans to support the child to maintain and develop skills.</p> <p style="text-align: center;">Or</p> <p>Where the procedures that are required to maintain the child's health require such care that they can only be delivered so slowly that they take several hours each day and this has a huge impact on the child's opportunities for independence</p>			

3. SHANARRI Outcome: Nurtured

3.1 To feel cared for and feel good about myself (personal care)			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	11	17	25
<p>No additional support is required -when a young person has enough food and drink, the house is clean and warm and they are cared for well. The young person responds well to encouragement from their parent /carers to look after them-self</p>			
<p>Some Support is required – when in order to look after them-self there is a need to continually prompt the young person and encourage them to dress, wash, bathe and clean their teeth etc. This is time consuming.</p>			
<p>Lots of Support is required- when the young person needs support for the majority of their self-care and day to day needs. They will need practical help for most of their day to day tasks like dressing, washing and bathing etc.</p>			
<p>Exceptional support is required -When the child has intensive care and support needs and for some self-care tasks this may involve 2:1 support. Where the procedures that are required to maintain the young person’s health requires such care that they can only be delivered so slowly that they take several hours each day and this has a huge impact on the child’s ability to engage in activities.</p>			

4. SHANARRI Outcome: Active

4.1 To be able to use public transport			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	4	6	8
<p>No additional support is required when- the young person can access public transport and has the road safety skills to be able to do so. For older children fifteen plus they have the potential to learn the skills to travel independently (an important skill for life that will increase their opportunities in the future).</p>			
<p>Some Support is required – when the young person does not currently have road safety skills but can learn these skills. They need support to remember skills and a detailed independent travel programme in order to become an independent traveller. Progress will require to be supported through continual review.</p>			
<p>Lots of Support is required - when the young person is expected to always need the support of an adult to use public transport and travel safely.</p>			
<p>Exceptional support is required - when the young person cannot use public transport because either it is not accessible to them or the experience of using it would be too stressful for them or those providing support. They therefore need to use transport that has been adapted to their needs or they need to travel with support.</p>			

4. SHANARRI Outcome: Active

4.2 To join in with activities with other young people my age			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	14	21	27
<p>No additional support is required- when a young person is supported to get involved in their hobbies and leisure interests by their family and face few problems in doing so. A young person can accept the guidance and support from adults leading activities most of the time and can take part in the activity with other young people. The child has few fears or worries about going out and getting involved in activities with people they know well.</p>			
<p>Some Support is required –when a young person needs to know that there is a designated adult or support worker that they can turn to for some assistance and guidance. When a child needs 1:1 support for a short period of time to introduce the young person successfully to the activity. Other adults who support the activity or club require training and or support to ensure that the young person is included.</p>			
<p>Lots of support is required – when a young person needs to be continually supported throughout the activity. For example it is not enough for a parent to be nearby, a supporter needs to participate in the activity alongside the young person, making clear what they need to do or supporting them physically. The young person can only participate successfully in an activity if they have such an individual worker alongside with them and who knows them well.</p>			
<p>Exceptional support is required- When a young person needs 2 supporters to be with them throughout the activity. The support needs to be from people who are very aware of the child’s needs and have specific skills for example in knowing how the child communicates and or in behavioural support.</p> <p style="text-align: center;">Or</p> <p>Where a child may pose a risk to themselves or others and their need for safety as a result of challenging behaviour severely restricts the places they can visit and activities they can take part in.</p> <p style="text-align: center;">Or</p> <p>Where the procedures that are required to maintain the child’s health require such care that they can only be delivered so slowly that they take several hours each day and this has a huge impact on the child’s ability to engage in activities.</p>			

5. SHANARRI Outcome: Responsible and Respected

5.1 To take responsibility and manage my behaviour			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	11	17	24
<p>No additional support required - the young person is able to listen to adults and other young people. The young person is aware that there are rules that govern behaviour, what they are and why they should be followed. The young person does their best not to get in trouble. The young person can control their anger so that it does not lead to significant harm to others. The young person tries to be helpful</p>			
<p>Some Support is required - when the young person has an occasional need for support because of difficult recurring behaviour which adults need to manage. When professional involvement to support the family with the young person's behaviour is needed, their behaviour is a key issue which requires ongoing intervention and advice.</p>			
<p>Lots of support is required - when a young person requires 1:1 support to keep themselves and other people safe and well because their behaviour poses significant risks to others or frustration in communication.</p>			
<p>Exceptional Support is required - when a young person needs the support of 2 adults (2:1 support) regularly through the day. This is because they find their day to day life and the environments that they encounter difficult to understand and it impacts upon their communication and the way that they behave. Without this support in place there would be risks of harm to themselves or others.</p>			

6. SHANARRI Outcome: Included

6.1 To have a circle of friends			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	11	18	24
<p>No additional support is required - when the young person enjoys other children's company and finds it easy to start friendships, meet and make friends.</p> <p style="text-align: center;">Or</p> <p>Some children with autism do not seek friendships and so no extra support is required if they successfully tolerate other children and have learnt how to be with other children without becoming distressed.</p>			
<p>Some Support is required – when the young person needs the support of their family or carers to plan and prepare to get out of their home and meet up with their friends.</p> <p style="text-align: center;">Or</p> <p>When some young people with autism need constant reminders about how to cope with meeting other children they know.</p>			
<p>Lots of Support is required - when the young person needs someone to support them to travel to meet their friends, keep the friendship going and provide support when they are with their friends.</p> <p style="text-align: center;">Or</p> <p>When a young person with autism does not tolerate other children easily and requires 1:1 support when they are around other children.</p>			
<p>Exceptional Support is required - when friendships are hard to keep and the child needs intensive support to keep in touch and keep their friendships. Two to one support is required to support meetings and activities with friends.</p> <p style="text-align: center;">Or</p> <p>Young people who find it very distressing to leave their home or environments that they know well and have extremely limited contact with children their own age.</p>			

7. SHANARRI Outcome: Safe

7.1 To be safe at home			
No additional support required	Some support	Lots of support	Exceptional Support
0	13	20	26
<p>Please note this question is scoring how risk aware the young person is within their home and how much supervision is required to support them to be safe around the house. It is not trying to rank parenting capacity i.e. whether there are any safety issues as a result of the quality of care parents provide. If the council has concerns around parenting issues these would be worked with as a safeguarding or parent support issue.</p>			
<p>No additional support is required - when the young person is safe at home with their family. The young person avoids danger in the home most of the time (e.g. boiling water, plug sockets) or those dangers are now not present because of aids adaptations in the house. The young person would not come to any harm if they were unsupervised for a short time in the house.</p>			
<p>Some support is required when - the young person will try and stay safe. It takes a lot of time to explain everyday risks in the home to the young person. The young person struggles to remember the explanation and they need to be continually reminded about danger.</p> <p style="text-align: center;">Or</p> <p>The young person would be at risk of harm if they were unsupervised for a short time in the house.</p>			
<p>Lots of support is required when - the young person has the ability to reach dangers in the home and adult supervision in the same room is needed to stop the young person from becoming hurt.</p> <p style="text-align: center;">Or</p> <p>Without supervision in the same room the young person would be at risk of harm.</p>			
<p>Exceptional support is required when – there are many concerns about the young person’s safety and there is constant monitoring on a day to day basis by professionals to ensure the young person’s safety. This will be usually connected to the need to monitor the young person’s ability to place them-self in danger even when constantly supervised.</p>			

7. SHANARRI Outcome: Safe

7.2 To be safe in the community			
No additional support required	Some support	Lots of support	Exceptional Support
0	11	17	25
<p>Please note in this question, the lots or exceptional support levels can only be scored if there is a current constant threat from or to the young person to be managed.</p>			
<p>No additional support is required - when the community the young person lives in is a stable neighbourhood. The caring adults in the young person life are trusted and the young person is safe in their company. The young person is safe with the friends they know and bullying is not happening at the moment.</p> <p style="text-align: center;">Or</p> <p>The young person's support needs are high and because they will always have an adult nearby they have not experienced bullying and are at a low risk of being bullied because of this additional protection.</p>			
<p>Some Support is required - when there are worries about the young person's safety in their community. The young person is safe most of the time but there are places where they go to or people they see where they are in danger or are exploited.</p> <p style="text-align: center;">Or</p> <p>They are occasionally bullied by other young people and need advice about how to stick up for themselves</p>			
<p>Lots of support is required when – the young person is facing a constant threat from their community or from adults in their social network.</p> <p style="text-align: center;">Or</p> <p>When the young person's relationships with their peers and places they visit through the week often gets them into conflict with other young people and the police.</p> <p style="text-align: center;">Or</p> <p>The child is distressed by persistent bullying and present support to bring it to an end is not working. The young person needs very regular support to bring it to an end.</p>			

Exceptional support is required when - there is a big chance the young person may be seriously injured because of severe bullying having a big impact on their whole life or severe exploitation or abuse by other young people.

Or

There is a high risk of the young person regularly injuring other people and this has to be constantly managed because the young person has no sense of social boundaries and/or has severe challenging behaviour.

Or

The child is constantly involved in the criminal justice system and has become involved in criminal activity.

8. Family Section

8.1 Family life is good and there is time for everyone in the family to enjoy life and pursue the things that matter to them			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	14	22	30
<p>No additional support is required - when family life is good, the family cope well and are resilient in supporting the young person's needs. The family do not experience regular stress as a consequence of supporting their child's needs. Parent carers have some time regularly to pursue their own interests and to relax</p>			
<p>Some Support is required -when the young person's needs result in the parent/carers regularly experiencing stress. This has an impact on their day to day wellbeing. Parents have very little time to relax.</p> <p style="text-align: center;">Or</p> <p>When there are occasional difficult behaviours which sometimes place siblings at risk and siblings may experience disruption in their ability to have friends around the house or to do homework.</p>			
<p>Lots of Support is required - when the family, the parents and carers, as a result of the impact of caring for the young person, experience severe stress that is affecting their mental or physical health and this is affecting the whole family.</p> <p style="text-align: center;">Or</p> <p>The needs of the young person need such a lot of support and require so much time from parents that the sibling's life is seriously affected and this is resulting in experiencing high levels of stress or tiredness</p>			
<p>Exceptional support is required – when parent/carers feel such high levels of stress as a result of the impact of caring for the young person that the family is in crisis and professional support is needed to sustain the family.</p> <p style="text-align: center;">Or</p> <p>When parents/carers have their own health care needs that have exceptional impact on their ability to support their child day to day.</p>			

Family Section *Continued*

8.2 Parents are well rested and get a good night sleep			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	6	9	12
<p>No additional support is required- when the parent/carers generally sleep well, are usually not disturbed through the night and get sufficient sleep to be able to have the energy to care for the young person without feeling overtired.</p>			
<p>Some Support is required - when the parent/carers are up several times each week to support the young person and as a result they feel overtired throughout the day.</p> <p style="text-align: center;">Or</p> <p>Where the young person goes to bed late or is an early riser and this leads to the parent carer feeling over tired.</p>			
<p>Lots of Support is required - when the parent/carers are up several times through the night every night to support the young person or the sleep pattern of the young person is so erratic that this leads to the parent/carer feeling exhausted.</p>			
<p>Exceptional support is required - when the parent/carers are feeling overwhelmed by the sleep deprivation that caring for the young person entails. This is leading to an extreme level of exhaustion and stress for parent carers and the family as a result is in crisis.</p>			

Family Section *Continued*

8.3 There is support from extended family and family friends which regularly provides parents with short breaks			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	10	15	20
<p>No additional support is required - when the parent/carers are well supported by the extended family there are several people who know and love the young person and are willing to help with caring for them. The parent/carer knows that there is a group of people they can turn to for help on a regular basis.</p>			
<p>Some Support is required - when the parent/carers receive some extended family and friend support but this is infrequent and for only very short times. There are few breaks provided by family and friends for the carer.</p>			
<p>Lots of Support is required - when the parent/carers receive no support from family and friends with the care of the young person and this leads to stress and overtiredness. Although there is not a supportive network amongst extended family and friends there is support from a partner or a family member living with them.</p>			
<p>Exceptional support is required - when a parent/carer feels extremely isolated. One person is caring for the child solely without any support from family or friends. The parent carer is under a great strain as a result and this is having a big impact on their health and wellbeing.</p>			

Allocation score sheet on next page. Please use this to record (tick) the box which best describes the circumstances of the child and/or family.

Allocation summary score sheet:

TALKING POINTS	No additional Needs	Some Support	Lots of Support	Exceptional Support
DESIRED OUTCOME How much support is needed for the child to achieve this outcome? (In the family section consider how much support is required for the family)	There is a support need, but it is met by the family and/or community	The level of need is over the week and mid to long term	The level of need is significant, daily and long term	The level of need is complex, round-the-clock and lifelong
HEALTHY				
To be as healthy as possible				
To be relaxed and happy (mental wellbeing)				
ACHIEVING				
To make choices ,express myself and communicate				
To progress in my learning and skills as best as I can				
NURTURED				
To feel cared for and good about myself (personal care)				
ACTIVE				
To be able to use public transport				
To join in activities with other young people my age				
RESPECTED AND RESPONSIBLE				
To take responsibility and manage my behaviour				
INCLUDED				
To have a circle of friends				
SAFE				
To be safe at Home				
To be safe in the community				
FAMILY				
Family life is good and there is time for the family to pursue what matters to them				
Parents are well rested and get a good night's sleep				
There is support from extended family and family friends which regularly provides parents with short breaks				
Band Totals				
Total Score				

Individual Record Sheet

Name of Young Person: _____

D.O.B: _____

Who helped fill this in? Family Member Child School

Other Professionals

Name of Council Representative
Who Completed Form _____

Date questionnaire completed _____

Comments of worker

Comments of Family

Comments of Young
Person

Appendix 2:

Primary School RAS Allocation Questionnaire



Resource Allocation Questionnaire
(Primary School age children, ages 7-
11)

SHANARRI Outcomes version 1.2
(January 2014)

Introduction

This questionnaire should be completed when a child with additional needs is assessed for funding for an Individual Budget. This questionnaire applies only to primary school pupils and should not be completed for children at secondary school. These introductory notes will explain:

- who can get an individual budget
- who is involved in completing the questionnaire
- how the questionnaire fits in with assessments
- how the questionnaire helps to show the outcomes needed
- how bands of support work
- how the points are scored
- how points help the council make an indicative funding offer

Glossary

Some of the words used in this document are not known to everyone. Here is a description for words which we think might not be obvious.

Individual Budget- this is the funding available to support a child provided by the council. The individual budget is normally identified as annual amount to provide support for 12 months. The family spend this funding on supporting the child well and the amount and the support plan are agreed with the council.

Indicative Offer- this is an offer of funding made by the council after assessment. The purpose of the indicative offer is so the family can make a support plan knowing how much the council considers is a fair offer. Sometimes the support plan shows that support is more expensive than first thought due to a child's needs and the costs of support to meet these needs. Sometimes families do not need all the funding to meet the child's needs. The funding therefore may change when the support plan is completed. The funding is considered again when the support plan is completed and confirmed at that point.

Resource Allocation System (RAS) - this is how funding of Individual Budgets is worked out by the council with the aim of providing the right amount of money to meet a child's needs and the funding being fairly spread between children who have similar needs. This new system should be fair, transparent and easy for families to take part in.

Bands of Support- is the way in which the council describes children's needs and makes a fair funding offer. For example, when a child is described as needing 'lots of support', this usually means that their needs are similar to other children who need the support of an adult to take part in activities. A band, for example, 'lots of support', is confirmed in the assessment and leads to what the Indicative Offer should be.

Who can get an Individual Budget?

An Indicative offer of funding for an Individual Budget is made because universal and mainstream services have already been maximised with the skilled support of a lead professional. There is an understanding that without funding the child will not be able to make best use of universal and mainstream opportunities. Due to the complexity of their support needs the child and their family may need specialist support or opportunities.

Children with small support needs will usually not need to receive an Individual Budget, but will be supported through Early Intervention and community connection work. When small funding is required to support a young person to access a community activity the council may find a small grant to support this or support the activity directly.

Who is involved in completing the questionnaire?

This Resource Allocation System (RAS) questionnaire is designed to help families participate in the decision making about funding and be shared openly with them. Families should have copies of the questionnaire so that the scoring is transparent. The RAS questionnaire is a tool the family and social worker use to work together to establish the level of support needed. The paperwork is then completed by the social worker.

How the allocation questionnaire fits in with assessments

The RAS allocation questionnaire is part of the information gathering stage of the assessment and does not by itself meet the Local Authority's duties to assess children in need. The RAS questionnaire is therefore only completed alongside a new assessment. The assessment as a whole is the child's 'statement of need'.

The questionnaire adds to the assessment by scoring the answers to questions and using the total result to work out how much money should be provided. Some young people's needs will score consistently in one support band throughout the RAS questionnaire. This will be taken into account when the social worker evaluates what band of support best describes the young person's needs. This will be stated clearly within the summary of the assessment. Therefore, the results of the RAS allocation questionnaire should be read in conjunction with the assessment summary.

When assessing the support that the child requires, the family circumstances, extended family networks and community resources that are normally accessed are taken into account within the questionnaire. To complete the questionnaire accurately it should be completed 'as if there was no paid support' already involved in supporting the child.

The questionnaire captures a snapshot of support needs at the present moment in time and should relate to the child's present circumstances. There will be some examples which do not fit the circumstances of the child well. No guidance can hope to be so specific that it addresses each child's circumstances exactly.

The funding that follows from the assessment is indicative. The amount of funding can be considered again if requested by the family when the plan is complete. This means before the funding is confirmed the council is clear that the child's needs are met within the support plan by supporting the family to achieve good outcomes for the child and provide the family with reasonable short breaks.

How the questionnaire helps to show what outcomes are needed

It is important to know not just that support to a child is provided but also that it achieves good results. The questionnaire works out broadly how much support a child requires to meet good outcomes.

SHANARRI Outcomes

The Scottish Government has a set of goals which it believes councils should work towards to support every child to have a good life. These are called the SHANARRI outcomes/well-being indicators and are the most important ambitions that funding should be spent on. The SHANARRI outcomes aim to make sure that Councils help children to be:

- Safe
- Healthy
- Achieving
- Nurtured
- Active
- Respected
- Responsible
- Included

Understanding the Bands of Support

The questionnaire ranks the support needed to work towards these outcomes. There are three bands:

- Some Support (where there is a level of need over the week and mid to long term)
- Lots of Support (where the level of need is significant, daily and long term)
- Exceptional Support (Where the level of support is complex, round the clock and life-long)

In the family section of the questionnaire the families' needs are banded in a similar way as those above. This family section refers directly to the support needs of the family rather than the child's needs.

How the points are scored

Each statement has a set of points. Some point scores are higher than others because some questions have a bigger impact on the child and family. Where there is some overlap between bands and you feel that the question could be answered in either band always pick the higher band; it is easier to reduce support later on rather than deal with the consequences of providing too little support.

There is no expectation that a child will score in every question, or that every question will be appropriate for every child. Where you are clear that a statement does not relate to the individual they will score zero. An example of this would be when a child will not be at an extremely low risk of bullying because they have a complex learning disability and have a constant level of adult supervision everywhere they go. The questionnaire is balanced so that children with complex needs will score highly in other parts of the questionnaire.

How points help the council make an indicative offer

Once points have been allocated, then the total points will be calculated against a table of funding bands which rise step by step as the points increase.

The council will always do a lot of preparation before setting peoples allocations so that everyone can see that the child has received their fair share of the budget. The amount of the indicative allocation is based upon the best estimate of the council about how much money is required to support well a child's needs. At the end of working through the support plan with the family, the council will consider again whether the funding and resources allocated meet the child's needs. When the support plan has been approved the budget is confirmed.

When we are working with children with complex needs it is important to make sure contributions from health, social care and education are co-ordinated together and every effort will be made to ensure that there is joint planning between all agencies working with the family to maximise resources.

The allocation questionnaire begins on the next page

The Questions

1. SHANARRI Outcome: Healthy

1.1 To be fit and healthy (physical health)			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	13	21	28
<p>No additional support is required - when the child has no particular health issues. They get common illnesses and they recover well. They generally keep good physical health.</p>			
<p>Some Support is required- when the child has a particular health condition that needs ongoing advice support and monitoring from adults who care for them. For example when the child is doing group activities they would need staff to be aware of their condition and able to administer treatment but they would not require continual day to day support because of their medical condition.</p>			
<p>Lots of support is required- when the child requires assistance with their health every day. As a result of impaired mobility, posture and balance the child needs frequent support from an adult through the day (for example peg feeding, help to go to the toilet, to change their position etc.) The procedures to stay healthy take up some time in the child's day which gets in the way of other activities the child needs to do. The child requires assistance from people who have had guidance and training to meet their health care needs.</p>			
<p>Exceptional support is required- when the child needs support at all times and often will require more than one person to assist them because of their complex physical health needs. Some of this care will be with people who have specialist health care skills. The child uses equipment essential to their wellbeing.</p> <p style="text-align: center;">Or</p> <p>Where the procedures that are required to maintain the child's physical health require such care that they can only be delivered extremely slowly. These procedures take several hours each day and this has a huge impact on the child's opportunities.</p>			

- **SHANARRI Outcome: Healthy**

1.2 To be relaxed and happy (mental wellbeing)			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	13	21	28
<p>No additional support is required - when the child is generally happy and relaxed. A child experiences the 'ups and downs' of childhood but does not have prolonged worries for which they need support. The child, with help from parents, can cope with new places while experiencing just the usual nervousness most children have when trying out a new place.</p>			
<p>Some Support is required - when the child is frequently distressed as a result of issues with their mental wellbeing, medical condition, pain management or mood swings. The child has a frequent sense of stress and anxiety. They need some reassurance, support and supervision on a regular basis to manage their feelings and to feel relaxed.</p>			
<p>Lots of Support is required - when the child's stress and anxiety continually affects their wellbeing and their behaviour can be challenging. A key issue for adults who support the child is planning how to respond to their anxiety. The child needs the help of a psychologist or psychiatrist to work towards feeling relaxed and happy.</p>			
<p>Exceptional Support is required - when the child's mental wellbeing needs are very complex. Their anxiety and stress is so high that they have extreme challenging behaviour as a result of emotional distress which needs to be managed. In order to ensure that there is not a risk, of injury to them self or others, as a result of their anxiety and stress they need the supervision of two adults continually to make sure everyone is safe. The child needs support from specialist services working to a structured behaviour management plan.</p>			

- **SHANARRI Outcome: Achieve**

2.1 To make choices ,express myself and communicate			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	9	14	16
<p>No additional support is required- when a child is a strong communicator through their first choice of communication and they can make clear their needs, wants and wishes they need no support in achieving this outcome.</p>			
<p>Some Support is required- when a child can explain some of their needs and wants but you need to check regularly that they have understood what they are saying. They may only pick out key words and their understanding of complex sentences may be impaired. If you are talking with the child you need to check that they have understood what you are saying and are able to act on what has been asked of them.</p> <p style="text-align: center;">Or</p> <p>A child who has a hearing impairment which makes it difficult for them to hear consistently what is being said to them.</p>			
<p>Lots of Support is required- when as a result of a child's learning disability it is difficult to understand the child's communication consistently and/or they have challenging support needs because of their frustration with communicating. They need 1:1 support in order to make their views known</p> <p style="text-align: center;">Or</p> <p>The child is deaf and needs the support of an interpreter to communicate with those who do not know sign language.</p>			
<p>Exceptional support is required - A child finds it difficult to express their needs and wants and who needs intensive support. This would usually include children who communicate with technological aids but it requires professional support to be clear that their views have been correctly interpreted. This could also include children who do not use any form of recognised language like speech, signing or technology and whose communication is interpreted mainly through their behaviour and their speech partners are not confident that they have interpreted their communication correctly.</p>			

(Please be aware that if the child is deaf and needs interpreting services this may require the indicative allocation to be adjusted because of the high cost of interpreting services. This should be considered upon completion of the assessment)

2. SHANARRI Outcome: Achieve

2.2 To progress in my learning and skills as best as I can			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	10	17	23
<p>No additional support is required- when although it is a challenge for any child to learn and achieve in school and all children have temporary difficulties the child is progressing well in their education. There is an expectation that the child will go on to achieve nationally recognised qualifications at secondary school and will develop good life skills.</p>			
<p>Some Support is required - when the child needs continual planned support through the curriculum through the week on an ongoing basis to learn new skills. They need consistent continual support and reminders to stay on task to develop skills</p>			
<p>Lots of Support is required - when the child will need constant support every day to perform purposeful tasks in school. The child needs intensive learning support through most of the school day to learn well.</p>			
<p>Exceptional support is required – when the child needs very individualised support to develop their learning. This may be a child with complex health needs, a profound disability or challenging behaviour who requires 2:1 support and is at constant risk of being excluded from social life. There is a continuing need for professional advice and guidance from occupational therapy or psychology to develop plans to support the child to maintain and develop skills.</p> <p style="text-align: center;">Or</p> <p>Where the procedures that are required to maintain the child’s health require such care that they can only be delivered so slowly that they take several hours each day and this disrupts their school day and has a huge impact on the child’s opportunities for learning.</p>			

3. SHANARRI Outcome: Nurtured

3.1 To feel cared for and feel good about myself (personal care)			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	11	17	25
<p>No additional support is required -when a child has enough food and drink, the house is clean and warm and they are cared for well. The young person responds well to encouragement from their parent /carers to look after them.</p>			
<p>Some Support is required –when in order to look after themselves there is a need to be alongside the child continually prompting them to dress, wash, bathe and clean their teeth etc. This is time consuming.</p>			
<p>Lots of Support is required- when the child needs support for the majority of their self care and day to day needs. They will need practical help for most of their day to day tasks like dressing, washing and bathing etc.</p>			
<p>Exceptional support is required -When the child has intensive care and support needs and for some self care tasks this may involve 2:1 support. Where the procedures that are required to maintain the child’s health requires such care that they can only be delivered so slowly that they take several hours each day and this has a huge impact on the child’s ability to engage in activities.</p>			

4. SHANARRI Outcome: Active

4.1 To be able to use available transport, including public transport			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	4	6	8
<p>No additional support is required - when the child can safely use public transport or the family car with the support of their family and has an awareness of road safety.</p>			
<p>Some Support is required – when the child does not currently have road safety skills but can learn these skills.</p> <p style="text-align: center;">Or</p> <p>The child may need reassurance on their journey but with an adult being next to them they are able to use public transport and travel in a car.</p>			
<p>Lots of Support is required - when the child has no sense of road safety or traffic awareness and cannot therefore play outside without being constantly supervised.</p> <p style="text-align: center;">Or</p> <p>The child needs intensive or physical support to prevent them from becoming very distressed or harming themselves when on a journey.</p>			
<p>Exceptional Support is required - when the child cannot use public transport because either it is not accessible to them or the experience of using it would be too stressful for them or those providing support. They therefore need to use transport that has been adapted to their needs or to travel with two adults to keep them safe in the vehicle.</p>			

4. SHANARRI Outcome: Active

4.2 To join in with activities with other children my age			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	14	21	27
<p>No additional support is required- when a child is supported to get involved in their hobbies and leisure interests by their family and face few problems in doing so. A child can accept the guidance and support from adults leading activities most of the time and can take part in the activity with other children. The child has few fears or worries about going out and getting involved in activities with people they know well.</p>			
<p>Some Support is required – when a child needs 1:1 support for a short period of time (in addition to the usual support provided to children within the group) to introduce them successfully into the activity. Other adults who support the activity or club require training and/or support to ensure that the child is included.</p>			
<p>Lots of support is required – when a child needs to be continually supported throughout the activity. For example it is not enough for a parent to be nearby, a supporter needs to participate in the activity alongside the child, making clear what they need to do or supporting them physically. The child can only participate successfully in an activity if they have an individual worker alongside with them and who knows them well.</p>			
<p>Exceptional support is required- When a child needs two supporters to be with them throughout the activity. The support needs to be from people who are very aware of the child’s needs and have specific skills, for example in knowing how the child communicates and/or in behavioural support.</p> <p style="text-align: center;">Or</p> <p>Where a child, as a result of challenging behaviour, may pose a risk to themselves or others and this severely restricts the places they can visit and activities they can take part in.</p> <p style="text-align: center;">Or</p> <p>Where the procedures that are required to maintain the child’s health require such care that they can only be delivered so slowly that they take several hours each day and this has a huge impact on the child’s ability to engage in activities.</p>			

5. SHANARRI Outcome: Responsible and Respected

5.1 To take responsibility and manage my behaviour			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	11	17	24
<p>No additional support required - the child is able to listen to adults. The child is aware that there are rules that govern behaviour, what they are and that they should be followed. The child does their best not to get in trouble. The child's expressions of anger can be managed by parents in such a way that difficult moments do not lead to significant harm to others.</p>			
<p>Some Support is required - when the child has an occasional need for support because of difficult recurring behaviour which adults need to manage. When professional involvement to support the family with the child's behaviour is needed. Their behaviour is a key issue which requires ongoing intervention and advice.</p>			
<p>Lots of support is required -when a child requires 1:1 support in all situations (it is natural at this development stage for most children to need the support of adults close by in many situations) to keep them self and other people safe and well because their behaviour poses significant risks to others or to overcome frustration due to communication difficulties.</p>			
<p>Exceptional Support is required- when a child needs the support of 2 adults (2:1 support) regularly through the day. This is because they find their day to day life and the environments that they encounter difficult to understand and it impacts upon their communication and the way that they behave. Without this support in place there would be risks of harm to themselves or others.</p>			

6. SHANARRI Outcome: Included

6.1 To have a circle of friends			
,No additional support required	,Some Support	Lots of Support	Exceptional Support
0	11	18	24
<p>No additional support is required -when the child enjoys other children's company and finds it easy to play with other children, meet and make friends and continue friendships.</p> <p style="text-align: center;">Or</p> <p>Some children with autism do not seek friendships and so no extra support is required if they successfully tolerate other children and have learnt how to be with other children without becoming distressed.</p>			
<p>Some Support is required – when the child always needs the support of their family or carers to plan and prepare to meet up with their friends. Meetings with friends only happen when adults make arrangements and need close supervision when they happen</p> <p style="text-align: center;">Or</p> <p>When some children with autism need constant reminders about how to cope with meeting other children they know.</p>			
<p>Lots of Support is required - when the child will need constant support while with other children and need adults to organise their play activity. It takes a lot of effort for parents to support their child to interact with other children, keep the friendship going and provide support when they are with their friends.</p> <p style="text-align: center;">Or</p> <p>When a child with autism does not tolerate other children easily and requires 1:1 support when they are around other children.</p>			
<p>Exceptional Support is required - when friendships are hard to keep and the child needs intensive support to keep in touch and keep their friendships. 2:1 support is required to support meetings and activities with friends.</p> <p style="text-align: center;">Or</p> <p>Children who find it very distressing to leave their home or environments that they know well and have extremely limited contact with children their own age.</p>			

7. SHANARRI Outcome: Safe

7.1 To be safe at home			
No additional support required	Some support	Lots of support	Exceptional Support
0	13	20	26
<p>Please note this question is scoring how risk aware the child is within their home and how much supervision is required to support them to be safe around the house. It is not trying to rank parenting capacity i.e. whether there are any safety issues as a result of the quality of care parents provide. If the council has concerns around parenting issues these would be worked with as a safeguarding or parent support issue.</p>			
<p>No additional support is required - when the child is safe at home with their family. The child avoids danger in the home most of the time (e.g. boiling water, plug sockets) or those dangers are now not present because of aids adaptations in the house. Parents do not need to stay all the time in the same room with the child as they are safe in their play.</p>			
<p>Some support is required when- the child will try and stay safe. It takes a lot of time to explain everyday risks in the home to the child. The child struggles to remember the explanation and they need to be continually reminded about danger.</p> <p style="text-align: center;">Or</p> <p>The child can play safely but needs an adult to regularly check that they are safe if they are unsupervised in a room in the home.</p>			
<p>Lots of support is required when-the child has the ability to reach dangers in the home and adult supervision in the same room is constantly needed to stop the child from becoming hurt.</p> <p style="text-align: center;">Or</p> <p>Without continual supervision in the same room the child would be at risk of harm. This would include children who cannot move out of the way of danger or who, if unsupervised, would not be able to change their posture.</p>			
<p>Exceptional support is required- when there are many concerns about the child's safety and there is constant monitoring on a day to day basis by professionals to ensure the child's safety.</p> <p style="text-align: center;">Or</p> <p>There is a need to monitor the child's ability to place them self in danger even when they are continually supervised.</p>			

7. SHANARRI Outcome: Safe

7.2 To be safe in the community			
No additional support required	Some support	Lots of support	Exceptional Support
0	11	17	25
<p>Please note that in this question the lots of support levels required or exceptional support levels can only be scored if there is a current constant threat from or to the child to be managed.</p>			
<p>No additional support is required - when the community the child lives in is a stable neighbourhood. The caring adults in the child's life are trusted and the child is safe in their company. The child is safe with their friends and bullying is not happening at the moment.</p> <p style="text-align: center;">Or</p> <p>The child's support needs are high and because they will always have an adult nearby they have not experienced bullying and are at a low risk of being bullied because of this additional protection.</p>			
<p>Some Support is required- when there are worries about the child's safety in their community. They are occasionally bullied by other children and the family need support to bring this to an end.</p>			
<p>Lots of support is required when – The child is facing a constant threat from their community or from adults in their social network.</p> <p style="text-align: center;">Or</p> <p>The child is distressed by persistent bullying and present support to bring it to an end is not working. The child needs very regular support to bring it to an end.</p>			
<p>Exceptional support is required when - There is a big chance the child may be seriously injured, because of severe bullying which is having a big impact on their whole life, or because of severe exploitation or abuse by other children.</p> <p style="text-align: center;">Or</p> <p>There is a high risk of the child regularly injuring other people and this has to be constantly managed because the child has no sense of social boundaries and/or has severe challenging behaviour</p>			

8. Family Section

8.1 Family life is good and there is time for everyone in the family to enjoy life and pursue the things that matter to them			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	14	22	30
<p>No additional support is required- when family life is good, the family cope well and are resilient in supporting the child's needs. The family do not experience regular stress as a consequence of supporting their child's needs. Parents or carers have some time regularly to pursue their own interests and to relax.</p>			
<p>Some Support is required-when the child's needs result in the parent/carers regularly experiencing stress. This has a continual impact on their day to day wellbeing. Parents have very little time to relax.</p> <p style="text-align: center;">Or</p> <p>When there are occasional difficult behaviours which sometimes place siblings at risk and siblings may experience disruption in their ability to have friends around the house or to do homework.</p>			
<p>Lots of Support is required - when the parents and carers experience severe stress as a result of the impact of caring for the child and this is affecting their mental or physical health and this is in turn affecting the whole family.</p> <p style="text-align: center;">Or</p> <p>The needs of the child require a lot of support and time from parents and this leads to the other children in the family being seriously affected and this is resulting in siblings experiencing high levels of stress or tiredness.</p>			
<p>Exceptional support is required – when parent/carers feel such high levels of stress as a result of the impact of caring for the child that the family is in crisis and professional support is needed to sustain the family.</p> <p style="text-align: center;">Or</p> <p>When parents/carers have their own health care needs that have exceptional impact on their ability to support their child day to day.</p>			

Family Section

8.2 Parents are well rested and get a good night sleep			
No additional support required	Some Support	Lots of Support	Exceptional Support
0	6	9	12
<p>No additional support is required- when the parent/carers generally sleep well, are usually not disturbed through the night and get sufficient sleep to be able to have the energy to care for the child without feeling overtired.</p>			
<p>Some Support is required - when the parent/carers are up several times each week to support the child and as a result they feel overtired throughout the day. Or where the child goes to bed late or is an early riser and this leads to the parent/carer feeling over tired.</p>			
<p>Lots of Support is required - when the parent/carers are up several times throughout the night every night to support the child or the sleep pattern of the child is so erratic that this leads to the parent/carer feeling exhausted.</p>			
<p>Exceptional support is required - when the parent/carers are feeling overwhelmed by the sleep deprivation that caring for the child entails. This is leading to an extreme level of exhaustion and stress for parents or carers and the family as a result is in crisis.</p>			

Family Section

8.3 There is support from extended family and family friends which regularly provides parents with short breaks

No additional support required	Some Support	Lots of Support	Exceptional Support
0	10	15	20

No additional support is required- when the parent/carers are well supported by friends, neighbours and their extended family. There are several people who know and love the child and are willing to help with caring for them. The parent/carer knows that there is a group of people they can turn to for help on a regular basis.

Some Support is required - when the parent/carers receive some support from their extended family and friends but this is infrequent and for only very short times. There are few breaks provided by family and friends for the parents or carers.

Lots of Support is required - when the parent/carers receive no support from family and friends with the care of the child and this leads to stress and overtiredness. Although there is not a supportive network amongst extended family and friends there is support from a partner or a family member living with them.

Exceptional support is required - when a parent/carer feels extremely isolated. One person is caring for the child solely without any support from family or friends. The parents or carers are under a great strain as a result and this is having a big impact on their health and wellbeing.

Allocation score sheet on next page. Please use this to record (tick) the box which best describes the circumstances of the child and/or family.

Allocation Summary Score Sheet

TALKING POINTS	No additional Needs	Some Support	Lots of Support	Exceptional Support
DESIRED OUTCOME How much support is needed for the child to achieve this outcome? (In the family section consider how much support is required for the family)	There is a support need, but it is met by the family and/or community	The level of need is over the week and mid to long term	The level of need is significant, daily and long term	The level of need is complex, round-the-clock and lifelong
HEALTHY				
To be as healthy as possible				
To be relaxed and happy (mental wellbeing)				
ACHIEVING				
To make choices ,express myself and communicate				
To progress in my learning and skills as best as I can				
NURTURED				
To feel cared for and good about myself (personal care)				
ACTIVE				
To be able to use public transport				
To join in activities with other young people my age				
RESPECTED AND RESPONSIBLE				
To take responsibility and manage my behaviour				
INCLUDED				
To have a circle of friends				

A model resource allocation system

SAFE				
To be safe at home				
To be safe in the community				
FAMILY				
Family life is good and there is time for the family to pursue what matters to them				
Parents are well rested and get a good night's sleep				
There is support from extended family and family friends which regularly provides parents with short breaks				
Band Totals				
Total Score				

Individual Record Sheet

Name of Child:

D.O.B:

Who helped fill this in?

Family Member Child School

Other Professionals

Name of Council Representative

Who Completed Form

Date questionnaire completed

Comments of worker

Comments of Family

Comments of Child

APPENDIX 3:**SAMPLE FUNDING TABLE (NEWCASTLE CITY COUNCIL)****Children with Disabilities Service RAS allocation table (Secondary aged school children)**

Assessed needs and access criteria	RAS Points Score	Indicative budget per year
No Support (no specialist support required) Under 69 points means the young person's needs are established and good outcomes can be met through universal services	0-69	n/a
Small Support- Low level needs Between 70 and 115 points to a budget of up to £500 per year is available to support a young person's involvement in activities they enjoy. This will be managed through early intervention	70-115	£500
Indicates a higher level of need within the small support band. At this score an Individual Budget may be required if universal services cannot meet the young person's needs.	116-130	£1,000
Indicates the highest level of small support and shows usually that there is a mix of needs for support depending on the young person's activities. An Individual Budget may be required if universal services cannot meet the child's needs.	131-145	£1,500
Some Support Moderate Support Needs The child has continuing support needs and will require an Individual Budget to meet assessed need if universal services cannot meet all identified needs	146-160	£2,800
Indicates a higher level of some support. The young person has continuing support needs and will require an Individual Budget need if universal services cannot meet all identified needs	161-170	£4,500
Indicates the highest level of some support needs and shows that there is a mix of needs identified including some 1:1 support an Individual Budget may be required if universal services cannot meet the young person's needs.	171-185	£6,500
Lots of Support - High Level Needs The young person has significant one to one support needs and will require substantial funding through an Individual Budget	186-200	£9,000
Indicates a higher level of some support with some scores indicating exceptional support in some areas	201-210	£11,500

Exceptional Support - Very Complex Needs and/or Exceptional Circumstances	211-220	£13,500
<p>The young person has high care needs and requires a multidisciplinary discussion about how education and health funding will work in tandem with the substantial social care Individual Budget</p>		
<p>Indicates a higher level of Exceptional Support. The young person has high care needs and requires a multidisciplinary discussion about how education and health funding will work in tandem with the substantial social care Individual Budget</p>	221-30	£15,000
<p>Indicates the highest level of Exceptional Support. The child has high care needs and requires a multidisciplinary discussion about how education and health funding will work in tandem with the substantial social care Individual Budget</p>	231 plus	£17,500

APPENDIX 4:

A NOTE ON IN-HOUSE SERVICES AND THEIR COSTS

Some councils provide their own in house services, overnight short break residential care, shared care or short break fostering, outreach or befriending services and others.

For in-house services, personalisation has many challenges. The principles of self-directed support are that families should be able to create their own support plan making informed choices as to how to spend the funding available. Council investments in their services are part of the funding which disabled people should be able to make choices about. Putting this principle into practice while ensuring that there is a viable service for families to choose to use has some challenges. Key issues include:

- **The decline of the use of children’s residential care;** as a preferred service provision, children’s residential care is in terminal decline with fewer homes open in this decade than the last and parental choice seeking more child centred provision than building based services
- **A higher cost base for public services;** in the main this is usually because council services pay wages to staff, who have service conditions and entitlements above the lower wage economy which much of the private care sector is built upon. Initiating a crude price comparison can expedite a ‘race to the bottom’ where only services with the poorest paid and trained staff are retained
- **Registration Requirements;** it is not possible often to incrementally reduce staffing following incremental reductions in demand because of minimum registration requirements needing to remain in place for children who are left in the overnight provision.
- **A place from which to manage crisis;** many children’s residential services assist the council to manage additional family pressures, crisis and breakdown by offering a quick readymade short term support for a child when a family is under strain.
- **Family choice;** many families value these services and some children enjoy and appreciate their stays. There is a need to balance different family choices.

Pricing the in house offer can determine the viability of the whole service over time. Newcastle City Council has had experience of trading at £360 per night for its short break in-house overnight provision, which was the cost of the utilities, staffing and front line management (not the full unit cost which would include a proportion of overheads to sustain the service). Based upon that costing, 30% of families with budgets decided to use their funding externally from these council services. This creates a problem if the council cannot reduce its investment in the service by 30%. Effectively, such a situation leads to double funding, as there is no budget to be freed up.

Some of the issues shown above are part of the reason why a council may find it difficult to reduce this type of provision in line with family choice. Newcastle City Council now trades at £184, a rate which matches the personal assistant rates for support over a 24 hour period. This price to date has resulted in a slight increase in uptake of residential services. This is effectively cross subsidising the price to protect the council's services. Whether to entirely expose council services to competition or to protect services is a policy decision. Price should be considered in this light rather than setting a price and then dealing with the policy issues later. The issue of price therefore requires a decision and an understanding of the implications in terms of threats to funding /service and alternatively the viability of subsidising a service in the long term.

This is connected to the key issue of what the council, families and young people see as the vision for the future of overnight residential services. In considering the future, should the council choose to retain its own services; its present level of in-house provision and the range of services it intends to commission in the future become critical questions. For example, a council which has several children's homes providing short breaks may conclude that its provision needs to diversify in both using the voluntary sector and/or increasing family to family services, for example, short break fostering, befriending and volunteering.

Another council serving a large population of disabled children with only one remaining children's home may wish to retain some overnight provision (in order to ensure minimum provision and flexibility of response), but this may need to be transformed to open only at the peak times when families want a service with an increased level of choices of activities available.

It would seem that the most sensible way to progress is to develop a vision of future service provision in discussion with families and providers prior to setting a price, so that the prices of council services can reflect the conclusions of those discussions. For example, a council which wanted to test out the popularity of the service on a pure market model competing at real unit costs would require to be prepared to manage possible closure if the risk of parents using this funding externally was realised. A council which wished to retain a mixed economy would be more likely to

offer a price providing some choices to families but less than the unit cost, effectively providing a council subsidy to maintain continuity of a key service.

In deciding how to price other council services the ambition for growth and long term viability of the service should similarly be considered. For example, for some services, such as befriending, it should be explored whether this is a targeted service or a short term service and whether it should remain separately funded, or be part of the services available for purchase with an individual budget.

The range of decisions will vary from locality to locality but the principle should remain that families have a choice as to whether they use in-house services and/or can take at least some funding with which to make alternative arrangements. It is important that in setting a price everyone knows the risks they will be managing and the policy implications of the decision of the level at which the price has been set.

APPENDIX 5:

KEY STEPS FOR A COUNCIL IN DEVELOPING A RAS

1. Developing a Questionnaire

- 1.1 Research existing questionnaires and consider how well they relate to key outcomes for children with additional needs and how well they describe need.
- 1.2 Design, adopt or adapt draft questionnaires (*Two model age related questionnaires are attached to this paper as Appendixes*) which are age specific, rank need well and describe the outcomes for children you wish to fund.
- 1.3 Show this questionnaire to those who will be using it (families, workers, and managers) and receive comments from them about it. Amend where you think it can be improved.
- 1.4 With the workers who will be using the questionnaire, explain the principles of RAS to them and ask them to do a desk top trial by trying out the questionnaire with a child in their mind who they know well. (This is a desktop exercise so does not involve families at this point) This is to give workers a chance to learn about the questionnaire and discuss it together. Improve the questionnaire if necessary after this discussion.
- 1.5 Provide another training session for the workers, which is a consistency exercise. This involves a team member providing information about a child and the whole team completing the RAS questionnaire on the same child.
- 1.6 Repeat the exercise two weeks later with a different child in mind to explore whether big variations in scoring are now corrected. Social workers should be scoring within at least 20 points of each other. When the managers of the service are convinced that the team is scoring consistently the council is ready to begin a desktop exercise.
- 1.7 Begin a desktop trial of the RAS by asking workers to complete RAS questionnaires on as many children as possible they work with who receive funding.(without involving families). The sample of children should be at least 50% of the children who receive paid services.
- 1.8 Place on a spread sheet the children's names and total score for each child and rank from highest to lowest. Challenge managers to consider if this is a

true ranking of relative need. It may be that they would wish to revise where certain children are placed and revisit conversations with the workers who completed the scores and request amendments to the scores. When the manager is convinced that the scoring is correct then an analysis of costs can begin. If this stage has been achieved with few amendments to the questionnaire then the council can feel confident it has a viable questionnaire which meets needs.

2. Analysing Costs and Needs

- 2.1 Calculate the cost of each child's package by breaking down the cost of each 'element' (the unit cost). For example, including the cost of hour by hour support or overnight children's residential care.
- 2.2 If some elements are In-house services then after considering the issues (*as in Appendix 4 of this paper*) decide on a price for the 'unit cost' for in-house services.
- 2.3 Multiply each element of the package's unit cost separately to make an annual cost of each element and then combine all the annualised elements to calculate the total annual cost of the child's package of support.
- 2.4 Place the annual cost of each package on the spreadsheet alongside the score results for each child.
- 2.5 At this point it is common to see variation between the level of need described through the total point scores and the funding provided by packages.
- 2.6 Before using the analysis spreadsheet (*spreadsheet RAS 5.2*) remove from the survey those children who you feel should not meet the minimum criteria for receiving a funding service and those few children who have exceptionally high costs as an alternative to becoming accommodated
- 2.7 Apply the analysis spreadsheet at this point by in-putting the following within the analysis spreadsheet pages (*in the coloured sections*):
 - Copy and paste the RAS scores into "input current needs"
 - Copy and paste the current costs into "Input Current costs"
- 2.8 The Analysis Spreadsheet will now produce a draft allocation table in the ' "Allocation Table" page of the work book. This will now show a potential funding offer for every child. The spreadsheet calculates this by reassigning percentiles of needs and costs so they staircase more consistently.
- 2.9 Now in-put figures into the analysis spreadsheet as follows:
 - Copy and paste the RAS scores into "input IB needs"

- Copy and paste relevant figures from the allocation table into “Individual Budget costs”
- 2.10 Consider this data and its patterns. It is useful to look at the following:
- Does the draft RAS allocation table over or under-spend your existing budget.
 - Are there funding offers which make sense to managers shown on the excel spreadsheet.
 - How much is spent on under 7s, primary school children and secondary school children.
 - How much is being spent on groups of children who have different levels of needs currently and in the RAS draft allocation table.
 - How does the draft allocation table ‘staircase’ i.e., does it produce funding leaps etc.
- 2.11 When the analysis is complete this should provide you with a series of prompts from the data the council has considered, which should feed through into building a final Allocation Table for publication.

3. Building an Allocation Table

- 3.1 Decide on the councils commissioning strategy with parent groups in outline. Where funding should be best used in the future? How should children with low-level needs and high-level needs be funded in the future? Be clear about what the councils commissioning intention is.
- 3.2 Build in a contingency between 10% and 15% to protect the overall budget. For example, if current costs add up to £1 million for 200 children and you set your contingency at 10%, the council now have £900,000 to fund the allocation table and £100,000 to draw from to deal with exceptional circumstances. This is essential as there will always be some children who require more funding than the allocation table.
- 3.3 Identify children with similar levels of support needs which can be met by similar funding offers and group these together banded by scores. (See *the sample template in Appendix 3*).
- 3.4 Build descriptors for these possible bands. What are the key characteristics of the support needs the council is funding?
- 3.5 Adjust this table to ensure that the funding offers scale sensibly and that provision can be bought by an Individual budget which will reasonably meet the child’s needs at the funding band proposed.

- 3.6 Re-apply the new allocation table offers to the RAS scores in the desktop exercise. Does it overspend/under spend the budget when the contingency is applied?
- 3.7 Ensure that this is a fair transparent offer which will meet need locally.
- 3.8 Consult with parents and parent organisation explaining the purpose of the table and the banding descriptors. Adjust as necessary.
- 3.9 An allocation table is now ready to offer funding to new referrals after assessment and the RAS questionnaire has been applied.
- 3.10 Consider at least three options for existing users:
 - Apply the table and redistribute funding
 - Provide after financial review the reviewed existing package as the individual budget
 - Restrict how much a child's individual budget will vary from the existing package. For example not letting the budget rise too much or fall to steeply from their existing package
- 3.11 Decide what options are financially viable for the council and consult with all the families affected by the Individual budget change to decide what system should be used with existing users.
- 3.12 Publish and consider the results of the consultation.
- 3.13 The council should make decisions about approving the funding offer set out in the Allocation Table and making clear the arrangements for existing users.
- 3.14 Now the council is ready to go forward with making individual funding offers proportionate to need which families can use to develop a plan how to meet good outcomes.

APPENDIX 6:

SHANARRI RESOURCE ALLOCATION SYSTEM – FREQUENTLY ASKED QUESTIONS – JANUARY 2014

Why do we need different allocation questionnaires for different ages of children/young people?

Disabled children tend to need more funding as they grow older and the different questionnaires reflect this. For example, it normally costs more to support a teenager to get out and about and learn the skills they need, than for a younger child to have some play experiences. Parents are also expected to provide one to one support for all their children when they are young and this is expected to change/diminish as they grow older, but parents of a disabled child often need to continue to provide additional support for longer. This can also mean that there is a greater need for short breaks as the disabled child grows older. The Shanarri RAS suggests three age ranges where the allocation process and funding should be different:

0-6 early years;

7-11 primary school;

12-18 secondary school and sixth form/college

Can we use the same allocation questionnaire for all children in need or will this just work for disabled children?

The Shanarri questionnaires are weighted to measure disabled children's needs. While there are many outcomes for funding which could work for all children, the questionnaire would need to be adapted for other children to reflect the purpose of funding for that group of children.

What is the reasoning behind the weightings/points allocation for each allocation question and banding?

All the outcomes in the questionnaire are important, but some outcomes are more important than others. For example, it is more important to ensure that a child is safe (at home and in their community) than to ensure they are supported to use public transport. By providing higher scores/weightings for some outcomes in the questionnaire, it should lead to an offer of a budget sufficient to ensure that high priority needs are met. The actual weightings/points allocated in each of the questions are based on the experience of using similar questions over several years

that have led to allocations that can be shown to produce offers reasonably ranked from highest to greatest need.

Why is there specifically a question about public transport?

Accessing public transport is a key indicator of how difficult it is for the young person to get out and about and therefore a good way of ensuring there is provision and support for the young person to get out and about

Why are there only a relatively small number of points available in the family questions? Shouldn't there be a greater weighting here so that children in families who have fewer resources can still achieve the universal outcomes?

The RAS questionnaire is not trying to measure the need for family support per se, but the impact on family life of the additional support required in caring for the disabled child. As such, the balance of the questionnaire is weighted towards the support needs of the child. Also remember that questionnaire is just a tool which is used to indicate fairer funding allocations and should not be seen as separate from the broader assessment. The assessment as a whole allows a council to see if the ranking of need suggested by the RAS is able to provide enough funding for families to make a support plan that can be expected to achieve the SHANARRI outcomes.

Why have you used the SHANARRI well-being indicators as the basis for the allocation questionnaire?

Achieving the SHANARRI indicators is a public statement and contract (as part of Getting It Right For Every Child) between the Scottish Government and the Scottish people about what it is reasonable to expect for all children in the country. It provides a solid foundation to inform the debates and considerations about how much funding should be provided and for what purpose, while respecting all children's equal rights to a happy fulfilling childhood.

We are not required by legislation to develop a RAS or give families information about an allocation upfront i.e. before they make a plan, so why do you think that is so important?

Giving families an indication of the available funding in advance of making a final support plan (upfront allocation) is an important part of the new relationship with families and young people in an effective system of self-directed support. It enables families to really direct the support, make choices, take control and to deploy all available resources in a way that makes most sense to them.

A model resource allocation system

We believe a coherent and consistently applied Resource Allocation System will be a fairer way to allocate resources if it is developed in a way that is transparent, participative and accountable to the families and the public who fund the support. It offers families a chance to take part in providing information and checking with the council how that information is being understood.

Alongside the allocation questionnaire is work to make the allocations a fair share of the council's available budget and because the allocation is shown as an annual sum, it allows the family to weigh up whether the funding is sufficient to support their child to meet the SHANARRI outcomes. Through the whole process the amount can be changed if new information comes to light, or if there is an exceptional circumstance. The alternative is a situation where families need to plan and try to make choices with only partial information, followed by a series of negotiations leading to arbitrary funding decisions which are not very accountable.