



Education, Health and Care Plans - A guide to the decision-making processes

April 2021

Content

1.0 Introduction

2.0 What are Special Educational Needs (SEN)?

3.0 Education, Health and Care Needs Assessment

4.0 Decision as to whether an EHC needs assessment is necessary

5.0 What is an EHC plan?

6.0 What happens if the decision is made to issue an EHCP plan?

7.0 What is an Annual Review?

- Appendix A – Evidence Guidance to consider when deciding whether the Local Authority should conduct an Education Health and Care Plan Needs Assessment
- Appendix B – Checklists and support Materials
- Appendix C – SEN Panel – Terms of reference

1.0 Introduction

1.1. Purpose and function

This is an operational guidance for parents, carers, young people, educational settings, and practitioners from educational, health and care. It aims to support the decision-making process so that these are consistent, transparent and robust.

The guidance outlines practical arrangements related to the South Gloucestershire's SEND decision making processes, specifically the decision to:

- Initiate an Education, Health and Care Needs Assessment (EHCPNa)
- Issue an Education Health and Care Plan
- Amend an Education Health and Care plan.

The guidance should be considered together with key national statutory documents such as the SEND Code of Practice 2015, the Equality Act 2010 and other relevant statutory instruments, which outline duties on local authorities, schools, settings and colleges related to inclusion, equality and disability.

The Code of Practice states (9.16) *Local Authorities may develop criteria as guidelines to help them decide when it is necessary to carry out an EHNC assessment.*

The local authority considers all the needs of children and/or young people **individually** and will depart from the guidelines where there is a compelling reason to do so,

Developing such guidelines is a dynamic process. The local authority together with educational settings across all age groups, parents and carers will work together to monitor the effectiveness of these guidelines and will make adjustments where necessary.

1.2 Our Commitment to Co-production

Co-production with parents, children and young people is key to all our decision making. Having users at the heart of decision-making helps to bring CYP, parents and services together to form a shared vision of a child's needs, make the most appropriate provision and gaining the best possible outcomes. All decisions should be informed by ongoing, detailed analysis of the hopes and aspirations of CYP and parents.

This means that when education settings and advice providers are contributing evidence as part of the EHC process this must show how parents and children have been engaged and included.



To formalise our commitment to co-production and the way we work we have developed a Co- production charter, this can be found on the South Gloucestershire Local offer [link to local offer](#)

2.0 What are Special Educational Needs (SEN)?

The SEND Code of Practice defines a child or young person with Special Educational Needs (SEN) as:

- A child or young person who has a learning difficulty or disability which calls for special educational provision to be made for him or her:
- A child of compulsory school age or young person has a learning difficulty or disability if he or she has significantly greater difficulty in learning than the majority of others of the same age, or
- Has a disability, which prevents or hinders him/her making use of educational facilities of a kind generally provided for others of the same age in mainstream educational settings.

Special Educational provision is provision that is different from or additional to that normally available to children and young people of the same age.

The vast majority of children and young people with special educational needs and/or disability (SEND) are supported in local educational settings.

2.1 What action should be taken when a special educational need is identified?

Once the special educational need is identified it is very important that special educational provision is made. The provision should be evidence based, focused on the identified need and its impact should be monitored over time.

The assessment process and information gathering should include early discussion with the child/ young person and their family.

This additional support is known as SEN Support. School will deliver this via a Graduated Approach which will include 4 stages: Assess – Plan – Do – Review.



Assess - clear analysis is made of needs based on:

- views of the child/young person and their parents/carers
- teacher assessments and observations
- pupil's current attainment
- pupil's previous progress and attainment
- tracking of progress and comparisons with national data
- assessments by external agencies if appropriate

Plan - following assessment, the teacher, SENCO, parent/carers and pupil, agree on a plan of action to include:

- time limited outcomes for the pupil
- the adjustments, support and interventions to be put in place
- a date for review.

All planning must be pupil centred and outcomes focussed and recorded

Do - all the pupil's teachers and support staff are made aware of the plan and implement the adjustments, support and interventions. Teachers are responsible for:

- differentiating and personalising the curriculum
- delivery of 'additional and different' provision for a pupil with SEN
- planning, support and impact measurement of all group and one-to-one interventions delivered by support staff
- linking interventions to classroom teaching

The SENCO supports teachers in the effective implementation of provision.

Review - the quality, effectiveness and impact of provision is evaluated by the review date. This includes sharing information with pupil and parent/carers and seeking their views.

The cycle then starts again at assess with the updated needs of the pupil being considered before planning a continuation of or change to provision.

[South Glos Way](#) provides detailed guidance and support on how to identify SEN and what provision should be ordinarily available in educational settings in the local area. [Link to South Glos Way](#)

2.2 What is not special educational need but could impact on the child/young person ability to learn?

Early years settings, schools and colleges have a duty to monitor progress of all children and young people. Sometimes lack or slow progress becomes a cause for concern. A delay in learning may not indicate that a child or young person has special educational need that calls for special educational provision. Quality of teaching and learning should always be considered as a possible reason for unexpected slow progress and widening gaps in attainment.

Educational settings should also carefully consider if issues other than special educational need impact on progress and/or attainment. They may include:

- Disability (the code of practice outlines the reasonable adjustment duty for all settings schools and colleges provided under the Disability Equality legislation; these alone do not constitute SEN)
- Attendance and punctuality. (Although it is important to remember this may be an indicator of unmet need)
- Medical needs
- Welfare needs
- English as additional language

2.3 Children with medical needs and no special educational need

Children and young people may have medical needs but no special educational needs. Their support should be put in place and monitored in partnership with parents/career and must be informed by the advice from the relevant medical professionals.

The national statutory guidance on supporting children is available

<https://www.gov.uk/government/publications/supporting-pupils-at-school-with-medical-conditions--3>

Local guidance, process and the relevant forms and templates can be found in the [South Glos Toolkit Section 6.19](#)

Children and young people with medical needs and no special educational needs should not be referred for an Education, health and Care Needs assessment.

3.0 Education, Health and Care Needs Assessment

The majority of children/young people who have SEN, will have their needs met through the additional and different provision provided at SEN Support/Graduated Approach in their early years setting, school or college. Please see the South Glos Toolkit [The Graduated Approach](#)

A person-centred approach must be taken and the 'assess, plan, do, review' cycle used.

Every educational setting in South Gloucestershire should provide [high quality teaching](#) that is differentiated, personalised and age appropriate for all children and young people, including those who have SEN. It is important that the educational setting should be able to evidence support delivered to meet needs through record keeping e.g. using [My Support Plan](#).

A minority of children and young people, who have the most complex needs and who despite appropriate and relevant additional interventions are not making progress, may require more specialist assessment. In such situations an EHC needs assessment might be the next step.

3.1 What is the purpose of an EHC needs assessment?

An EHC needs assessment is an opportunity for multiple agencies to assess and define an individual's needs and, if required draw up an EHC plan.

An EHC needs assessment will ascertain whether the child or young person:

- Has SEN that are long term (lasting over a year) severe and complex and has possible SEN related social care and/or health needs.
- Has SEN that have not responded to sustained, relevant and purposeful measures taken by the educational setting and external agencies.
- Needs SEN provision which cannot reasonably be provided within the delegated resources available to mainstream educational settings.
- Requires an EHC plan to ensure that their needs are met.

3.2 Who can request a statutory EHC needs assessment?

- A person acting on behalf of an educational setting e.g., special educational needs co-ordinator (SENCO). This should be with the knowledge and agreement of the parent/carer or young person where possible.
- A child's parent or carer, when the child is under 16 or over 16 if the young person is unable to do so.
- A young person over the age of 16 but under the age of 25.
- Other people who know the child/young person well, e.g., health and social care professionals, early years practitioners, members of youth offending teams, probation officers, family friend. This should be with the knowledge and agreement of the parent/carer or young person where possible.

Most requests for EHC needs assessments are made by the educational setting, school or college.

3.3 How can an EHC needs assessment be requested?

Educational settings in partnership with the young person and/or their parents or carers, can request an EHC statutory assessment by completing the Education Health and Care Needs Assessment request form and appending relevant up to date evidence.

This form can be found in section [6.4](#) of the South Glos Toolkit

Such requests should be discussed at the review meeting of the Assess plan do review cycle. It is very likely that other professionals would be invited and take part in this discussion.

EY settings/schools/colleges must ensure that the parent signing the form has parental responsibility and that they have given informed consent for the request to be made. Forms that are not signed will be returned.

The young person, their parent or carers and other people who know the child or young person may request an EHC needs assessment in writing, by post or email, to the address below

Access and Response

PO Box 1955 Bristol BS37 0DE

Accessandresponse@southglos.gov.uk

Tel. 01454866000

It is very helpful to give reasons why an EHC needs assessment is necessary.

It is always best to discuss such request with the educational setting as education setting will always be asked to provide advice even if a CYP or parent makes the initial request.

Parents/Carers and young people may find it helpful to use this form. [Parent/carer/young person request form](#)

4.0 Decision as to whether an EHC needs assessment is necessary.

The vast majority of CYP will have their needs met by the school without the need for an EHC needs assessment. An EHC needs assessment and plan is ONLY required for the children and young people with the most complex and long-term SEN.

When making a decision to start an EHC needs assessment there must be evidence that the young person may have special educational needs that significantly impacts on his/her ability to access education.

The local authority will carry out an EHC needs assessment for children and young people who have SEN and there is evidence that there may be

- Special educational needs that are long term, severe and complex, and
- The level/severity of special educational need remains, despite sustained, relevant and purposeful measures taken by the educational setting and external agencies; using a graduated approach which includes successive assess, plan, do, review cycles.

For detail set of indicators of need, please refer to Appendix A of this guidance - **Evidence guidance** to consider when deciding whether the Local Authority should conduct an Education Health and Care Plan Needs Assessment.

Helpful checklists are set out in **Appendix B**

It is expected that the vast majority of requests for statutory assessment will follow the above guidelines however in line with the SEND Code of Practice (9.16) the local authority considers the needs of all children and/or young people individually and will depart from the guidelines where there is a compelling reason to do so.

Exceptional or Individual circumstances

In some instances when the above evidence is not available an EHC needs assessment is still appropriate. For example, this could be when the child or young person develops severe and complex needs as a result of an illness or accident or when they move into South Gloucestershire having not previously had access to an EHC needs assessment.

4.1 What happens once an EHC Needs assessment request is received?

When an EHC needs assessment, request is received by the Education Health and Care Plan Co-ordination Team it will be considered at the weekly New Assessment panel.

A representative of the Access and Response Team confirm receipt of the request.

The local authority must make a decision as to whether to go ahead with an EHC needs assessment within 6 weeks from receiving a request.

Following the decision, a representative of the LA will communicate with parents/carers and educational settings giving a formal notification.

4.2 What evidence is the local authority going to consider when making a decision if to agree for an EHC needs assessment to go ahead?

The 2015 SEN Code of Practice emphasises the need for a Graduated Approach to meet the needs of children and young people with SEN through early, appropriate, and relevant intervention and prevention strategies.

In deciding whether an EHC needs assessment is necessary, the local authority will consider whether there is enough evidence to show that despite the school having taken relevant and purposeful action to identify, assess and meet the SEN of the child or young person, the child or young person has not made the expected progress.

Detailed information related to the necessary evidence is set out in **Appendix A**

4.3 Who decides whether an EHC needs assessment takes place?

The decision whether to start an EHC needs assessment is made by the Chair of the SEN panel. For more information about the panel please refer to **Appendix C of this guidance** (SEN Panel, terms of reference). Decisions are based on the written evidence presented to the members of the panel.

Parents and educational settings are informed of the Panel's decision by their EHCP Coordinator Officer. A formal letter is then sent to confirm the decision:

- If the EHC needs assessment is agreed the EHCP Coordinator will write to request the relevant assessments and will coordinate the process. The coordinator will also be a single point of contact throughout the assessment.
- If an EHC needs assessment is not agreed, the letter will state any reasons why. The EHCP Coordinator will always offer the opportunity to speak with the parents and/or educational settings to discuss the reasons for the decision and the way forward for the individual child or young person. The letter will also provide information about independent advice and support and the route to appeal.

4.4 Who can support young people and parents/carers with EHC needs assessments?

The SEND Code of Practice requires local authorities to offer impartial information, advice and support that must be available to young people/parents/carers throughout the EHC assessment and planning process.

South Gloucestershire Council commissions Supportive Parents, a local organisation, to provide a SEND Information, Advice and Support Service (SENDIASS) for parents and young people. Further details of the range of services they provide can be found on their website. [Link to Supportive Parents website](#).

Further information about this service can be found on South Gloucestershire's SEND Local Offer at [South Gloucestershire Local Offer](#)

5.0 What is an EHC plan?

The EHC needs assessment process may or may not result in the local authority issuing an EHC plan.

An EHC plan is a legal document which is issued when it is necessary to specify the SEN provision.

The EHCP brings together advice gathered during the EHC needs assessment including the views of parents and children and young people and focuses on developing and achieving agreed outcomes. For more information about the EHCPs [South Glos Local Offer EHCPs](#)

5.1 Deciding whether to Issue an Education Health and Care Plan

The SEN Resource Allocation Panel members will be asked to consider whether the information gathered during the need's assessment indicates that the plan should be issued.

At this point the following factors should be considered alongside all the information gathered during the EHC needs assessment and the information available to the local authority prior to the assessment.

- The child's SEN
- The special educational provision made

Specifically

- Whether these have confirmed that the child's needs cannot be met within the school's own resources
- Whether despite well matched application of assess, plan, do, review the child is not making progress

It is imperative that the quality and suitability of provision is considered when making this decision.

Deciding about suitable placement.

South Gloucestershire Local Authority is committed to enabling children with SEND to achieve their potential and aspirations in a caring and supportive community. Services and provision are planned to enable children and their families to feel supported and included within their local community ([South Gloucestershire SEND Strategy 2018- 2023](#))

Therefore, whenever possible, we will aim for children with SEND to be placed in a mainstream setting within the local area in which they reside.

EHC plans must specify the special educational provision required to meet each of the child or young person's special educational needs. The provision should enable the outcomes stated in the plan to be achieved.

When considering the provision necessary to deliver the outcomes within an EHCP the Statutory panel will consider the following elements.

- The aspirations, desires and hopes of the child and the parents.
- The needs of the child and of provision necessary to meet those needs.
- Whether inclusion in the setting would be unsuitable for the age, ability, aptitude or SEN of the child or young person.
- Whether the attendance of the child or young person would be incompatible with the efficient education of others, or the efficient use of resources.

When considering the efficient use of resource to meet needs and the compatibility with the efficient and effective education of other children in the school, it is important that schools indicate that they have considered, explored and tried all reasonable adjustments that they could make.

To do this schools would be well advised to consider.

- Best practice as demonstrated/undertaken in other similar schools.
- Seeking support from their SEND cluster and appropriate professionals.
- Ensuring that when designing provision, they have done so on the basis of evidence of proven good practice, for example from organisations such as the Education Endowment Foundation.

Mainstream education cannot be refused by a local authority on the grounds that it is not suitable.

5.0 What happens if the decision is made to issue an EHCP plan?

Once the decision to issue an EHC Plan is made the LA will send a letter of confirmation to the parents of the child there will then be a draft planning meeting.

Draft Planning Meeting

Once the decision to issue an EHC plan is made, the case officer will contact the child's parents, the school setting and contributing professionals to confirm the draft planning meeting.

At this meeting the details of the plan will be shared, and Outcomes described within the plan be refined and finalised.

Best Practice in writing Outcomes.

We want the best possible long-term outcomes for all children with SEND. Therefore, expressing our intentions for a child with SEND in terms of outcomes allows us to maintain our focus on what is important **to** and important **for** the child.

Outcomes must address the special educational needs identified and inform the provision we make to meet those needs.

In brief Outcomes need to be:

- Aspirational - Move the child's learning towards a future they and their family want.
- SMART - Specific, Measurable, Achievable, Relevant and Time bound.
- Offer a range of outcomes focussing on the needs of the whole life of the child.
- Be forward thinking.
- Based on what the young person can control and influence.
- Something that everyone can clearly visualise.
- Can demonstrate what "Difference/Benefit/ Change" is expected.

When writing outcomes, it can be helpful to:

Write your outcome as though it has already been achieved, as this makes it more compelling

Write it as positively moving towards something you want to achieve rather than away from something you want to avoid.

It is essential not to confuse outcomes with provision.

If the decision is made not to issue an EHC Plan

The case officer will contact the parents of the child and school to inform them of the decision of the panel and to communicate to the parents their route to appeal.

The information within the assessment will then be shared with school to inform the approach they should take providing support at SEN Support. In addition, all professionals will ensure that reports have been shared with parents and the education setting.

Details of the range and type of support offered at SEN Support is detailed within the [South Glos Toolkit](#)

7.0 What is an annual review?

EHC plan review meetings are part of the continuous cycle of assess-plan-do-review. They should be held annually but if there is evidence that needs of the child or young person change or if there is a danger of placement breakdown they may be held more frequently.

If a children or young person with an EHCP is at risk of permanent exclusion an emergency review **must be held**.

[Annual review paperwork can be found here.](#)

An EHC plan review, sometimes called an SEN review must:

- Focus on a child or young person's progress towards their outcomes and longer-term aspirations, as specified in EHC plan.
- Make consideration as to how the young person is being supported to move on to their next stage of education, (transition) being prepared for adulthood or future employment.
- Identify any change in circumstances.
- Consider whether the existing description of needs, outcomes, longer term aspirations and supporting provision remain appropriate.
- Be undertaken in partnership with the child or young person and their parent, taking account of their views, wishes and feelings.
- Consider whether any changes to provision or the educational setting are to be recommended.
- Consider whether the EHC plan should be discontinued.
- Include written contributions from all professionals involved with the child.

[Decisions following annual reviews.](#)

An EHCP is a legal document informed by ongoing reviews.

It is important for the annual review meeting considers evidence from the child, the parents and all the professionals currently involved.

After an annual review, the local authority can take the decision to

- Maintain the EHCP with no change
- Maintain the EHCP with changes
- Cease the EHCP
- A reassessment of needs

It is normally expected that when writing an EHCP that outcomes will be sustained over the following key stage. Although with very young children, whose needs may change more rapidly, changes may be needed more frequently than for older children.

Minor changes related to small steps progress will not normally indicate the need to change the wording of the EHCP.

Should there be a need for significant changes, the local authority will require evidence of assessments, contributions or reports relevant to the requested change. For example, a request for a change in the level of need or provision related to speech and language will normally require advice from a speech and language therapist.

Requests for significant increases in the level of support or a change of type of placement will be referred to the Resource Panel which will consider evidence provided through the annual review process.

Requests for change will be most effectively expressed if they show detailed analysis of need including the impact of SEN on the child's learning, evidence that the setting has taken all possible steps and made reasonable adjustments as well as implementing advice from the appropriate professionals.

Appendix A - Evidence guidance to consider when deciding whether the Local Authority should conduct an Education Health and Care Plan Needs Assessment.

In considering whether an EHC needs assessment is necessary, the local authority should consider whether there is evidence that despite the early year's provider, school or post-16 institution having taken **relevant and purposeful** action to **identify, assess and meet** the special educational needs of the child or young person, the child or young person has not made expected progress.

The local authority must have regard to the views of parents, children and young people and ensure that they have access to impartial information, advice and support so that they can take part in the assessment and planning process.

Each request for a statutory EHC needs assessment is considered individually.

Written evidence is presented to the members of the New Assessment Panel to ensure consistency and transparency of decision-making.

In line with the requirements set out in the SEND code of Practice (9.14), the decision to undertake statutory assessment is informed by these principal considerations:

- The severity, complexity and long-term nature of the special educational need
- Despite relevant, purposeful, evidence-based support and making reasonable adjustments the child/young person is not making progress

Consideration 1. The severity, complexity and long-term nature of the special educational need

The key issue will be whether the severity of child/young person's difficulties will prevent them accessing learning.

Severity

The severity of need will be considered within the context of:

- (i) Standardised tests and teacher/practitioner assessment levels which provide objective evidence about attainment and progress (Appendix A).
- (ii) The percentage of the population achieving the same level or below.
- (iii) Observations and assessments over time (typically at least six months).

It is essential that when describing need that this description benefits from considerable analysis and exploration. That context, frequency, and implications on the child's ability to learn is evaluated and described and that the identification of needs is informed by and impacts upon the support the child has been given.

Complexity

Some children and young people have needs that span across two or more areas of SEN. It may be possible for a number of less severe special educational needs to have a significant cumulative effect on a child/young person's progress and an EHC needs assessment may be appropriate

Consideration 2. Despite relevant, purposeful, evidence-based support and making reasonable adjustments the child/young person is not making progress.

The code requires educational settings to implement relevant, purposeful, evidence-based support and making reasonable adjustments the child/young person is not making progress.

National financial regulations specify that a child/young person is described as having high need if in addition to the universally available good teaching and learning (equivalent of £4K) the educational institution should provide additional SEN support costing over £6K (the provision should be additional to or different from usual differentiation or general approaches).

In the majority of cases, the local authority will expect schools to have implemented the actions set out in the [South Glos Toolkit](#) and to have evaluated and monitored the impact of these over time before requesting an EHC needs assessment. In addition, it is expected that in the vast majority of cases that the child or young person will have received at least six months of appropriate evidence informed support and yet has still made less than expected progress given his/her age and individual circumstances.

When considering whether the school has made relevant and purposeful activity it is important to consider if the educational setting has:

- Correctly identified SEN?
- Selected evidenced based intervention matching the type of need and is proportionate to the severity of need?
- Deployed best practice as described by the education endowment foundation?
- Engaged relevant specialist agencies? It is expected that any advice from specialists has been implemented and given time to support the learner and show progress.

It is important to have addressed any factors outside of SEN that may be impacting on progress for example the child's attendance at school. Schools need to show evidence of how they have sought to meet these factors.

Consideration 3. Progress over time

It is expected that all children/young people's progress is regularly assessed and monitored. Progress is principally about learning and teaching practice rather than 'within the child' barriers to achievement.

In some cases, despite consistent application of high-quality teaching and appropriate, focused additional support the child/young person is not making anticipated progress.

Concerns about progress can be characterised by progress which:

- Is significantly slower than that of peers starting from the same baseline
- Child/young person fails to match or better previous rate of progress
- Child/young person fails to close the attainment gap, or the gap widens.

(6.17, 9.14, SEND Code of Practice)

Consideration 4 - Exceptional circumstances

It is expected that the vast majority of requests for statutory assessment will follow the above guidelines however in line with the SEND Code of Practice (9.16) the local authority considers the needs of all children and/or young people individually and will depart from the guidelines where there is a compelling reason to do so.

In exceptional circumstances it may be necessary to request a statutory assessment without the evidence of actions taken by the early years setting, school or college.

These circumstances include:

- A child/young person, previously not known to the LA or educational setting (for example mover in from abroad or a different local authority who has been in receipt of a very high level of support without the requirement of an EHC plan) whose learning difficulties are so severe that they are likely to require immediate specialist support, aid or adaptations over and above that normally available through the graduated response at SEN support.

or

- An unexpected/sudden and significant special educational need which occurred as a result of a medical condition or an accident.

Consideration 1 - The severity, complexity and long-term nature of the special educational need

The Code of Practice describes Special Educational Needs (SEN) in four broad areas of need:

- Cognition and learning
- Communication and Interaction
- Social Emotional and Mental Health
- Sensory and/or Physical Needs

The following are guidelines only. These scores are not used in isolation and should be considered with the full set of considerations as set out above. It is likely that the child/young person may have needs across more than one area of special educational needs.

Cognition and learning

Children and young people with cognition and learning difficulties learn at a slower pace than their peers, even with appropriate differentiation.

The Code of Practice details the types of need (see below) that fall within cognition and learning.

It is important to consider the needs of each child individually through a graduated approach together with appropriate contributions from specialist professionals.

Learning difficulties cover a wide range of need:

- moderate learning difficulties (MLD)
- severe learning difficulties (SLD) - associated mobility and communication difficulties and support is needed in all areas of the curriculum
- profound and multiple learning difficulties (PMLD) - severe learning difficulties as well as a physical disability or sensory impairment
- specific learning difficulties (SpLD) - one or more specific aspects of learning are present as in dyslexia, dyscalculia and dyspraxia

The following are guidelines only. These scores are not used in isolation. It is likely that the child/young person may have needs across more than one area of special educational needs.

Relevant Assessments:

Chronological Age	Early Years Foundation Stage (EYFS)	
0 – 48 months	Function at less than half their chronological age several aspects of the three prime areas which result in having a significant impact on accessing the EYFS.	Nursery/pre-school
48-60 months	<ul style="list-style-type: none"> • Personal, Social and Emotional Development • Communication and Language • Physical Development <p>Additional evidence from the four specific areas of learning will be considered if appropriate.</p> <ul style="list-style-type: none"> • Literacy • Mathematics • Understanding the World • Expressive Arts and Design 	Reception

Why are we using the Pre key Stage 2 standards?

In 2020-21 The Pre-Key Stage Standards are provided for the statutory assessment of pupils engaged in subject-specific study who are working below the overall standard of the national curriculum tests and teacher assessment frameworks.

If a pupil is working below the standard of these pre-key stage standards, their outcome should be reported using the engagement model or the relevant P scales in the 2020/21 academic year only.

The engagement model must be used from the 2021/22 academic year. Hence the pre key stage standards will only be used until the engagement model is established.

	Chronological Age	National Curriculum Year	Attainment Level on a recognised and approved test	For 20-21 we suggest using PKS standard rather than P levels for Reading Writing and Maths
Key Stage 1	5-6	Year 1	Two or more years below chronological age	In Reading, Writing and Maths (RMW) Pre-Key 2 Stage Standards 1 the child will be working within EYFS pitch In non-subject specific study P 1-4 levels or the engagement profile
	6-7	Year 2	Below 5 years	In RWM Pre Key 2 Stage Standards 2 and 3 or below Working towards Y1 or EYFS pitch
	7-8	Year 3	Below 5 years 6 months	In RWM study Pre Key 2 Stage Standards 3 and 4 working towards Y1 pitch
Key Stage 2	8-9	Year 4	Below 6 years	In non-subject specific study P 1-4 levels or the engagement profile
	9-10	Year 5	Below 6 years 3 months	In Reading Writing and Maths study working toward Y2 pitch Pre Key 2 Stage Standards 5 In non-subject specific study P levels or the engagement profile
	10-11		Below 6 years 9 months	In RWM PKS Year 6 working below Y2
Key Stage 3	11-12	Year 7	Below 6 years 9 months	In RWM Working within Key stage 1 in all core subjects
	12-13	Year 8	Below 7 years	KS2 PKS and Y6 standards for writing will also be relevant.
	13-14	Year 9	Below 7 years 3 months	Working within Key stage 1/emerging key stage 2 in KS2 PKS and Y6 standards for writing will also be relevant.
Key	14-15	Year 10	Below 7 years 9 months	all core subjects

Stage 4	15-16	Year 11	Below 8 years	
Key Stage 5+	Post 16	Additional to the above, consideration should be given to the specific education and/or training pathway the young person has chosen to do		Year 12 +

Supporting evidence

Assessment evidence must be provided to support understanding of the severity of need.

Use of formal assessment tools can be useful when used as part of the assessment of special educational need. However, it is very important that they are considered within the overall context of the child's need and taken into account when making decisions about provision and progress. For example, a very anxious child, a child who has missed education or a child who has English as an Additional Language may not perform well under assessment conditions.

Selection of assessments must take into consideration the age of child and type of need the test is designed to assess. The context in which the assessment was standardised especially how recently this was undertaken.

When considering standardised scores typically scores with 2 standard deviations from the mean i.e., 70 or below, taken over time, provides helpful and appropriate supporting evidence as part of an assessment profile.

Evidence of Special Educational Need:

The evidence of the relevant assessments should be recorded using the following:

- Request for statutory EHC needs assessment and My SEN Support Plan
- Internal or external reports/assessments/consultation records used by external agencies
- Summary of the analysis of assessments and the rate of progress (especially in case of any inconsistencies in assessment results)
- A record of successive cycles of your graduated approach (assess plan do review) which may be evidence using the My Support Plan
- Evidence that appropriate, person centred, and evidence-based intervention and support has been deployed with fidelity to the programme
- Record of the review meeting where a decision to make a request for an EHCNA was made.

Communication and interaction:

Children and young people with communication and interaction needs have difficulties in communicating with others.

This may be because they have:

- Speech and language delay
- Developmental language disorder and/or speech sound disorder
- Social communication difficulties
- A combination of language and social communication needs.

Speech and language delay (receptive and/or expressive language) and/or disorder:

Children with speech sound difficulties can have a range of impairments that need on-going support, classified as the following in most cases the impairments below would have been diagnosed by a health professional most usually a speech and language therapist.

Impairment	Area of deficit
Delayed speech	The child is using only a few contrasts in their phonological system, resulting in the use of a few sounds in the place of non-developed sounds.
Consistent speech sound disorder	Speech which contains unusual/non-developmental sound patterns which are used in a consistent manner.
Inconsistent speech sound disorder	Speech has a high degree of variability (40% or more). The child will therefore often produce the same word in different ways.
Developmental verbal dyspraxia	Another form of speech disorder resulting from an underlying impairment of motor planning, characterised by inconsistency.

These speech sound impairments can directly impact on learning, as difficulties relate to:

- Acquisition of sounds
- Development of the sound system
- Phonological awareness
- Phonological processing skills
- Associated literacy difficulties - Difficulties linking spoken sounds to written letters and segmenting, blending and manipulating sounds in words.

It is important to note that:

- Children with a severe speech sound disorder, whose difficulties are impacting on their functional communication, interaction with others and/or their learning, will meet the criteria for statutory EHC needs assessment.
- Children make progress with their speech sounds when there is joint working between the speech and language therapy team, families, and their educational setting.

Possible Indicators of Needs

In an early years setting tracked progress indicates a significant developmental delay, which could be 1 year behind at 24 months, 2 years behind at 48 months.

In an early years setting or school, a speech and language therapist identifies severe language disorders affecting vocabulary, phonology and a range semantics and pragmatics. The child or young person presents with frequent and intense social interaction difficulties which severely impact on their access to the curriculum e.g., severe difficulties in following instructions, highly atypical behaviours, significant resistance to changes in routines, highly inappropriate social behaviour leading to social isolation.

Additional Indicators

Associated social, emotional and/or mental health difficulties and/or speech and language difficulties affecting self-esteem, social skills and relationships and/or involvement from a wider multidisciplinary team is required to plan and monitor progress and/or requires additional support from social care where the child/young person’s disability has a substantial or critical impact on the quality of the child/young person’s life and/or information from health and/or social care professionals indicates continuing health care needs or that a continuing health care needs assessment is necessary.

Relevant Assessments

Age	Discrepancy
4 and below	Below 50%

5	25 months
6 and above	Additional assessment evidence may be provided to support understanding of the severity of need. Typically, standardised scores with 2 standard deviations i.e., standard score of 70 or below or a percentile rank of 2 or below, taken over time, provides helpful and appropriate supporting evidence as part of an assessment profile

Social Communication

Area of Need	Examples of Nature/Severity of Need
Impairment of social interaction	<ul style="list-style-type: none"> ▪ Lack of social and emotional reciprocity ▪ Significant impairment in the ability to develop meaningful peer relationships leading to highly inappropriate social behaviour, causes social isolation/anxiety
Impairment of social communication	<p>Nonverbal</p> <ul style="list-style-type: none"> ▪ Limited use of gestures ▪ Limited inappropriate facial expression ▪ Unable to read emotion from facial expression ▪ Clumsy/gauche body language. <p>Verbal</p> <ul style="list-style-type: none"> ▪ Significant impairment in the ability to initiate, sustain or end a conversation with others ▪ Stereotyped and repetitive use of language or idiosyncratic language ▪ Speech that is formal, pedantic, long winded and repetitive ▪ Comprehension with a tendency to be literal and concrete leading to difficulties in understanding of simile, metaphor, humour, sarcasm which has significant impact on access to learning or interaction with peers.
Impairment of imaginative thinking/behaviour	<ul style="list-style-type: none"> ▪ Inflexible adherence to specific routines and rituals and resistance to change. ▪ Stereotyped and repetitive motor mannerisms (whole body movements, hand flapping) ▪ Persistent preoccupation with objects ▪ Highly atypical behaviour such as obsessive challenging and/or withdrawn behaviours and signs of distress or emotional disturbance without obvious cause
Sensory difficulties	<ul style="list-style-type: none"> ▪ Easily distracted/upset by noise, touch, light ▪ Unusual responses to sensory difficulties

Evidence of Special Educational Need:

The evidence of the relevant assessments should be recorded using the following:

- Request for statutory EHC needs assessment and My SEN Support Plan
- Internal or external reports/assessments/consultation records used by external agencies
- Summary of the analysis of assessments and the rate of progress (especially in case of any inconsistencies in assessment results)
- A record of successive cycles of your graduated approach assess plan do review) which may be evidence using the My Support Plan
- Evidence that appropriate, person centred, and evidence-based intervention and support has been deployed with fidelity to the programme.
- Record of the review meeting where a decision to make a request for an EHCNA was made
- A risk assessment

Social, emotional and mental health difficulties

Children and young people with social, emotional and/or mental health needs may become withdrawn or isolated or display challenging, disruptive or disturbing behaviour. These behaviours may reflect underlying difficulties such as anxiety or depression, self-harming, substance misuse, eating disorders or physical symptoms that are medically unexplained. Other children and young people may have disorders such as attention deficit disorder (ADD), attention deficit hyperactive disorder (ADHD) or attachment disorder (AD). Schools and colleges should have clear processes to support children and young people, including how they will manage the effect of any disruptive behaviour, so it does not adversely affect other pupils. DfE guidance Mental Health and Behaviour in Schools

Possible Indicators of Need

- Displays emotional and/or social difficulties which are barriers to the individual's own learning and or that of the group e.g., emotional and behavioural difficulties of considerable duration and frequency in a variety of situations in the educational setting
- Little measurable improvement despite a carefully designed series of interventions involving outside agencies as part of the assess, plan, do review cycle
- A wider multidisciplinary team is involved in planning and monitoring the child/young person's needs and progress Under the Equality Act 2010 if a child/young person has a recognised medical condition (including a mental health condition) educational settings are expected to provide effective support to enable them to access and enjoy the same opportunities as other children and young people.

Schools should differentiate between those pupils that are experiencing social, emotional and mental health difficulties associated with a pupil's special educational needs and those which are associated with disaffection or difficulties that a child/young person might be experiencing due to their social or domestic circumstances.

Relevant assessments

Area of Need	Nature and Severity of Need
Access to the curriculum and impact on learning	<ul style="list-style-type: none"> ▪ Severely reduced ability to focus, engage and participate in learning, inadequate to meet the requirements of an already appropriately differentiated Curriculum ▪ Rate of progress is unsatisfactory, or rate of progress only achieved when consistent, high levels of interventions are in place and they are beyond that normally expected.
Impact on safety/welfare of the child/young person and/or others	<ul style="list-style-type: none"> ▪ Evidence of mental health needs for example attachment difficulties, high levels of anxiety, mood swings, depression which significantly impact on relationships with adults and peers ▪ History of self-harming ▪ Frequent and regular episodes of destructive behaviours, e.g., damaging property ▪ Frequent and regular aggressive verbal and physical behaviours or withdrawn/isolated behaviours

The degree of difficulties will be assessed against the evidence of:

- The appropriateness of behaviours particularly in relation to age and context
- Frequency (at least daily incidents)
- Severity/intensity

- Its persistence over time
- Impact on learning
- Progress over time (this should reference the impact of appropriately focused intervention and relevant targets)

Evidence of Special Educational Need:

The evidence from the relevant assessments should be recorded using the following:

- Request for statutory EHC needs assessment and My SEN Support Plan.
- Internal or external reports/assessments/consultation records used by external agencies
- Summary of the analysis of assessments and the rate of progress (especially in case of any inconsistencies in assessment results)
- A record of 2 successive cycles of your graduated approach assess plan do review) which may be evidence using the My Support Plan
- Record of the review meeting where a decision to make a request for an EHCNA was made
- Risk assessments
- Pastoral Support Plans
- Evidence that appropriate, person centred, and evidence-based intervention and support has been deployed with fidelity to the programme
- Antecedent, Behaviour, Consequences, Communication records (or equivalent)

Sensory and/or physical needs:

Some children and young people require special educational provision because they have a disability which prevents or hinders them from making use of the educational facilities generally provided. These difficulties can be age related and may fluctuate over time. Many children and young people with visual impairment (VI), hearing impairment (HI) or a multi- sensory impairment (MSI) will require specialist support and/or equipment to access their learning, or habilitation support. Children and young people with an MSI have a combination of vision and hearing difficulties. Some children and young people with a physical disability (PD) require additional ongoing support and equipment to access the full curriculum.

Possible Indicators of Need

- Evidence of physical disability and/or sensory impairment that is complex, severe and long term
- Evidence from a specialist that the level of need is above that which is provided at SEN support
- Has an individual healthcare plan, drawn up in partnership with parents and relevant health care professionals?

Adaptations made to the school environment to meet duties under the Equality Act 2010 and/or associated social, emotional and/or mental health difficulties and/or involvement from a wider multidisciplinary team is required to plan and monitor progress and/or requires additional support from social care because a disability has a substantial or critical impact on quality of life and/or information from health and/or social care professionals indicates that the individual has continuing care needs or that a continuing care needs assessment may be necessary and/or the child or young person has a degenerative condition.

Vision Impairment (VI)

Consideration for a statutory EHC needs assessment will be guided by the evidence of:

- Child/young person has very limited functional vision as an indicator, pupils who have a distance vision of 6/24 or poorer for distance or N12/14 or N24 depending on age may be a cause for concern as they are likely to be unable to access the curriculum without substantial mediation and/or adaptation of materials or the learning environment (evidence from an ophthalmologist/orthoptist must be provided) and/or use of alternative/tactile means of accessing print.
- Evidence of progressive visual impairment where the functional vision is expected to deteriorate.
- Evidence that the child/young person visual difficulties significantly impair his or her mobility, emotional or social development, access to the curriculum, ability to take part in classroom activities or participation in early years/classroom/school/college life.

- Evidence that the child/young person's visual difficulties place him/her under significant stress with associated withdrawn or frustrated behaviour.

Deafness/Hearing Impairment (HI)

Consideration for a statutory EHC needs assessment will be guided by the evidence of:

- Child/young person has a severe to profound sensory-neural hearing loss (as an indicator an average hearing loss in the better ear of 71-95 dBHL) and possibly a long term, chronic conductive hearing loss (evidence from audiological and medical sources must be provided).
- The impact of the hearing loss is such that a pupil is unable to access the curriculum without substantial mediation and/or adaptations of curricular materials and/or the learning environment (modifications of materials likely to require adult support and/or specialist equipment, including adaptations to the acoustic environment).
- Progressive hearing loss exists to such a degree that the child/young person's functional hearing can be expected to deteriorate or a late onset hearing loss.
- The child/young person hearing loss significantly impairs his/her emotional or social developments, ability to take part in early years/classroom/school/college activities.
- Evidence based on specific examples that the child/young person hearing difficulties places him/her under immense stress with associated listening fatigue or withdrawn or frustrated behaviour.
- It is likely that additional consideration should be given to the child/young person language needs specified in the communication and interaction.

Multi Sensory Impairment (MSI)

Some children and young people have a combination of vision and hearing difficulties (deaf/blind).

Consideration for a statutory EHC needs assessment will be guided by the evidence of a combination of factors and the compound effect of having HI and VI – refer to VI and HI above.

Physical Difficulties (PD)

Consideration for a statutory EHC needs assessment will be guided by the evidence of:

- The child/young person is unable to participate in the curriculum without significant adult support and/or substantial adaptation of teaching materials and the learning environment compare to the majority of other children/young people of the same age
- The child/young person experiences significant self-help and/or mobility difficulties in relation to others of the same age group for example high level of adult support is needed to meet basic care needs.
- The condition gives rise to serious safety issues requiring close adult supervision
- There is a substantial evidence base upon specific examples that the child/young person's inability to take part in early years/school/college life places him/her under significant emotional or physical stress

Evidence of Special Educational Need:

The evidence of the relevant assessments should be recorded using the following:

- Request for statutory EHC needs assessment and My SEN Support Plan
- Internal or external reports/assessments/consultation records used by external agencies
- Summary of the analysis of assessments and the rate of progress (especially in case of any inconsistencies in assessment results)
- A record of successive cycles of your graduated approach assess plan do review) which may be evidence using the My Support Plan
- Evidence that appropriate, person centred, and evidence-based intervention and support has been deployed with fidelity to the programme
- Record of the review meeting where a decision to make a request for an EHCNA was made

Consideration 2 - **Despite the graduated approach at SEN support the child/young person is not making expected progress.**

In considering a request for a statutory EHC needs assessment the local authority will require evidence of the graduated response, which shows that despite the relevant, evidence-based actions taken by the educational setting the child or young person continues to experience significant difficulties and is not making progress.

Typically, it is expected that the evidence will include:

- At least two cycles of assess plan **do?** review SEN Support stage, typically over a period of at least 6 months. Evidenced in a My Support Plan or equivalent
- Information about the provision and support already in place which reflects the delegated resources for SEN

The evidence should demonstrate:

- The support provided by the early years setting/school/college has been proportionate and relevant to the assessed special educational need. The quality of support should also be considered (for example is this evidence based, delivered by appropriate staff, relevant to the identified need)
- How the special educational provision has been planned and how it relates to the short-term targets and longer-term outcomes
- What different teaching/support approaches, materials and/or equipment have been used, how the environment has been adapted
- What is the impact of the support already in place? Has the child/young person made progress? if not does the support need to change rather than increase
- Specialist advice of the relevant professional has been used to inform, additional assessments, effectiveness of support and monitoring of outcomes
- What is the impact of the support already in place? Has the child/young person made progress? if not does the support need to change rather than increase
- Is it evidence based?
- Is it relevant to the type of identified SEN?
- Proportionate to the severity of SEN

A request for the EHC needs assessment should outline how an EHCP would enhance the special educational provision already in place and how is it going to be additional to and different from the provision usually available at the SEN Support (as set out in the Graduated- My Support Plan).

The educational settings should engage the relevant outside agencies necessary to support the pupil, and to obtain their written opinions, before submitting a request for a statutory assessment. N.B. One –off reports are not able to provide evidence of progress over time. The LA should be able to clearly determine the recommendations of outside agencies, see evidence of how these recommendations have been implemented and a review of their effectiveness.

Appendix B - Checklists and support materials

1. Good Practice - what research tells us?

The Education Endowment Foundation (EEF) is an independent charity dedicated to breaking the link between family income and educational achievement. As such it evaluates, and research approaches and offers advice to education professionals. In its 2020 report *Special Education in Mainstream Schools* the EEF makes five evidence-based recommendations to support pupils with SEND, providing a starting point for schools to review their current approach and practical ideas they can implement.

When considering evidence presented as a request for assessment as part of a needs assessment it is important that the panel members feel confident that the following recommendations have been applied by the school. This will ensure that panel are confident that relevant, purposeful, evidence-based support and making reasonable adjustments have been made:

NB Working with parents.

All decisions regarding the provision made to meet children's special educational needs must be as a result of both co-production with parent and child and be conducted in a person-centred manner.

Create a positive and supportive environment for all pupils without exception. An inclusive school removes barriers to learning and participation, provides an education that is appropriate to pupils' needs, and promotes high standards and the fulfilment of potential for all pupils.		
Is there evidence that the school has considered....?		Yes/ No Comments
Promoted positive relationships, active engagement, and wellbeing for this pupil?	Is the child included whenever possible in the activities of the school/class? Have staff taken steps to build a relationship with the child e.g., check in time with the teacher, assigning consistent support, access to therapeutic approaches, ELSA Have staff taken steps to build a relationship with the family? E.g., Regular meetings with the family, co-production of support access to a family link worker. Have staff taken actions to build relationships with other children? E.g., circles of friends, social skills group, lunch and extra curricula groups.	
Ensure all pupils can access the best possible teaching	Has the class teacher taken an active part in the provision for this child is there input evident in APDR? Has the SENCO supported and monitored class teaching? Has the class teacher received training in the needs this child experiences? Does the child receive explicit teaching of learning behaviors appropriate to their needs?	
The school adopts a positive and proactive approach to behavior.	There is evidence of: <ul style="list-style-type: none"> • Input from the child • Small steps of progress which result in building self-esteem • Positive feedback/rewards are used consistently and appropriately • The young person is increasingly able to note their own progress 	
Build an ongoing and holistic picture of your pupils and their needs.		
Is there evidence that the school has considered the elements below?		Yes/ No Comments
Schools should aim to understand individual pupil's learning needs using the graduated approach of the	Assessment is regular and purposeful rather than a one-off event and should seek input from parents and carers as well as the pupil themselves and specialist professionals. Assessment informs decision making, its impact can be seen in design of the programme and the progress of the child. This is evidence in APDR. The class teacher's assessment informs the next steps for the child.	

'assess, plan, do, review' approach	Assessment is reflective of the range of learning needs. Analysis of needs and their impact on learning informs next steps.	
Ensure all children have access to high quality teaching		
Is there evidence that the school has considered the elements below What might this look like for this child? What do we need to ask to find out what is effective for this child?		Yes/ No Comments
Has the teacher developed a repertoire of strategies that they can use flexibly in response to the needs of the pupil?	This may include <ul style="list-style-type: none"> • flexible grouping. • cognitive and metacognitive strategies. • explicit instruction. • using technology to support pupils with SEND; and • Scaffolding pupils learning e.g., supportive learning environments, aids and equipment e.g., writing slopes, visuals, sensory aids, number lines, learning prompts, sentence starters. 	
Compliment this teaching with carefully selected small group and 1-1 intervention		
Is there evidence that the school has considered...?		Yes/ No Comments
Small-group and one-to-one interventions can be a powerful tool but must be used carefully. Ineffective use of interventions can create a barrier to the inclusion of pupils with SEND.	Has the selection of actions and intervention been based on the advice from professionals and precise assessment of need? Have the actions of the school been delivered with fidelity to design of the intervention programme? Were they delivered at required frequency? By trained/qualified staff? Were they delivered in a suitable environment/grouping? Is this reflected in the feedback from the child and parents?	
High quality teaching should reduce the need for extra support, but it is likely that some pupils will require high quality, structured, targeted interventions to make progress.	How do interventions fit with class teaching? How are interventions structured so that class teaching is not missed or compromised?	
The intensity of intervention (from universal to targeted to specialist) should increase with need.	This is evidenced through APDR	
Interventions should be carefully targeted through identification and assessment of need.	<ul style="list-style-type: none"> • Precise identification of need (entry and exit data are also good indicators)? • Be reviewed and amended. • An evidence base – see Education and Endowment Foundation for evaluation of approaches. • A well-designed cycle of assess, plan, do and review that indicates refinement and adaptation in response to learning? • Been based on Person centred planning? • Or recommendation from external professionals. 	
Interventions should be applied using the principles of effective implementation	<ul style="list-style-type: none"> • Treat implementation of an intervention as a process, not an event; plan and execute it in stages. Allow enough time for effective implementation, particularly in the preparation stage; prioritise appropriately 	

described in the EEF's guidance report Putting Evidence to Work: A School's Guide to Implementation .	<ul style="list-style-type: none"> • Create a leadership environment and school climate that is conducive to good implementation. Set the stage for implementation through school policies, routines, and practices. • Define the problem you want to solve and identify appropriate programmes or practices to implement. • Create a clear implementation plan, judge the readiness of the school/teacher/TA to deliver that plan, then prepare staff and resources • Support staff, monitor progress, solve problems, and adapt strategies as the approach is used for the first time. • Plan for sustaining and scaling an intervention from the outset and continuously acknowledge and nurture progress. 	
Work effectively with teaching assistants.		Yes/ No Comments
Effective deployment of teaching assistants (TAs) is critical. School leaders should pay careful attention to the roles of TAs and ensure they have a positive impact on pupils with SEND.	The programme includes: Opportunities to work with the teacher and with peers. Direct teaching of metacognitive strategies. Precise direction of the teaching assistant to learning goals. A focus on building independence. Support that promotes wellbeing, social connection and relationships.	
TAs should supplement, not replace teaching from the classroom teacher	TA led interactions are designed to ensure that the child remains part of the class. Class teacher delivers key elements of learning. Evidence of joint planning and liaison.	

2. Checklist for educational settings before submitting an EHCNA referral

Please use this checklist to ensure that:

- the request is appropriate
- attached evidence is supporting all 3 considerations outlined in the guidance
- ensure that all sections of the application are fully completed, and relevant evidence is attached

Please note that failure to provide appropriate documentation may result in unnecessary delays.

Criteria	Evidence - review and list the evidence provided as part of your application and its relevance to the criteria set out in the guidance. For example:	Attached Yes/No
Consideration 1 - The severity, complexity and long-term nature of the special educational need and evidence of how school has identified the implications for the individual child's learning/well-being/future.		
Cognition and learning	<i>E.g., Cognitive assessments, summary of teacher assessments/observations</i>	
Communication and interaction	<i>E.g., Speech and Language Assessments/Reports Sensory questionnaires</i>	
Social Emotional and Mental Health	<i>E.g., = ABC records, SDQ, Boxall Profile</i>	

Visual impairment (only if relevant)	E.g., Ophthalmological report, specialist VI teacher assessment	
Hearing Impairment (only if relevant)	E.g., Audiological reports, specialist HI teacher assessment	
Physical development (only if relevant)	E.g., Medical advice	
Consideration 2 - Despite relevant, purposeful, evidence-based support and making reasonable adjustments, it is not possible to meet the special educational needs within existing/delegated resources		
Analysis of the rate of progress		
This may include <ul style="list-style-type: none"> - My Support Plans - progress data - specific interventions that escalated progress, - contextual background information - explanation of any inconsistencies in assessment results 		
Consideration 3 - Despite relevant, purposeful, evidence-based support the child/young person is not making expected progress over time		
Person centred planning	E.g., Evidence of child/young person and family's contribution	
Focus on outcomes/targets	E.g., Clear link with assessed need and support Outcomes focus on the needs of the whole child are SMART and detail benefit to the child And are produced in co-production with parents	
Differentiated quality first teaching	E.g., Examples of how who school/class approach to learning has been differentiated	
Graduated approach assess-plan- do- review	E.g., Evidence based strategies in place, evidence of regular reviews (at least 2 cycles over min 6 months), support relevant and proportionate to the assessed needs, impact monitored and evaluated, relevant reports outlining specific recommendations monitored over time	
Application made under exceptional circumstances	Provide detail on Individual/exceptional circumstances and reasons why the usually expected cycle of assess- plan – do – review cannot be followed before the application is made under the 3 considerations set out above.	

3. Checklist for panel members

The checklist below is designed to inform the decision-making processes of the New Assessment Panel.

Each case must be considered on its own individual merits and the panel may depart from these criteria where individual circumstances warrant and where there is a compelling reason to do so.

Evidence:	Yes/no
Evidence demonstrating that the child has accessed high quality teaching as detailed in the South Gloucestershire SEND Toolkit.	
Evidence draws on the teacher's assessment and experience of the pupil, their previous progress and attainment, as well as information from the school's core approach to pupil progress, attainment, and behaviour?	
Evidence detailing at least two cycles of assess plan do and review through an individual plan at SEN Support e.g., through My Support Plan.	
Evidence communicating the voice of the child and parents in co-production of the child's My Support Plan?	
Planning and progress are expressed and measured through SMART person-centred outcomes.	
Each element of the assess, plan do, review cycle is thorough, detailed and informs the next cycle of support.	
This evidence incorporates and builds upon advice from relevant professionals e.g., Educational Psychologist, Speech and Language Therapist, Inclusion Support Coordinators?	
Identification of type and severity of need.	
There is evidence that where progress has been made, it has only been as the result of much additional intervention and support over and above that which is usually provided?	
This is demonstrated through a costed provision maps or costed My Support Plans.	
The school has demonstrated that it has taken steps to identify the needs of the child accurately?	
There is evidence of the child or young person's academic attainment (or developmental milestones in younger children) and rate of progress information about the nature, extent and context of the child or young person's SEN.	
There is evidence that includes information as to the severity, complexity and long-term nature of the special educational need.	
There is evidence of the child or young person's physical, emotional and social development and health needs? This draws on relevant evidence from clinicians and other health professionals.	
If it is thought housing, family or other domestic circumstances may be contributing to the presenting behaviour, a multi-agency approach, supported by the use of approaches such as the Early Help Assessment, has been adopted. And despite this action the child still has significant needs.	
There is evidence that indicates that the young person requires additional time, in comparison to the majority of others of the same age who do not have special educational needs, to complete their education or training.	
There is evidence that remaining in formal education or training should help young people to achieve education and training outcomes, building on what they have learned before and preparing them for adult life.	

Appendix C – SEN Panel – Terms of reference

Where the term ‘child’ is used throughout this document it refers to children within the Early Years sector and of statutory school age and the term ‘young people’ refers to those in further education, training or apprenticeships up to 25 years old.

Contents

1. Context
2. Role of the panel
3. Membership
4. Confidentiality
5. Process and procedure
6. Monitoring and evaluation
7. Review arrangements

1. Context

The Special Educational Needs and Disability Code of Practice 2014 require local authorities to make decisions in a transparent way. It states ‘*It is helpful for local authorities to set up moderating groups to support transparency in decision – making. Such groups can improve the consistency of decision making about whether to carry out an EHC needs assessment and whether to issue an EHC plan*’ (9.60, SEND Code of Practice).

Terms of reference of the SEND Panels should be read as part of the full Council’s Scheme of Delegation for SEND and High Needs funding. The Scheme of Delegation outlines all relevant national legislation and local guidance.

In the spirit of the new SEND Code of Practice, South Gloucestershire Local Authority is committed and aims to ensure that the following principles are met throughout the decision-making process:

- The participation of children, their parents and young people in decision making
- Aspirational and person-centred approach
- Focus on inclusive practice and removing barriers to learning
- Ensuring high quality provision to achieve good and outstanding progress
- Evidence based decision making, proportionate to identified need and agreed outcomes
- Efficient use of resources

2. Role of the SEN panels

There are two types of SEN panels:

- EHC Needs Assessment Panel
- Resource Allocation Panel

The key purpose of the EHC Needs Assessment Panel is to:

- consider requests for Education Health and Care needs assessments (EHCna)

The key purpose of the Resource Allocation Panel is to:

- consider whether to issue the draft Education, Health and Care Plan (EHCP)
- allocate appropriate funding to meet the provisions identified within the EHCP
- identify appropriate educational placement

- provide a 'joint sign off' of EHCPs from all agencies i.e., Education, Health and Care in terms of content and quality
- consider significant changes to EHC Plans that may result in additional costs

Any potential joint funding arrangements with health and/or social care, which sit outside normally commissioned services should be referred to the Multi Agency Resource Panel.

3. Membership

Panel members are equal participants, whose professional views are equally valued and considered. They offer advice and recommendations that enable the LA decisions to be made by the Chair. Every effort is made to reach agreement on each case. Final responsibility for decisions is with the LA through the Chair of the Panel. To enable effective and informed decisions a minimum of three members are required for the Panel to be quorate and this should include a representative from health, social care and an educational psychologist.

Members work to principles set out above and:

- Provide expertise in their own specialist area and offer impartial advice on individual cases without promoting the interest of their service or setting
- Use their experience and knowledge and offer views on assessment, outcomes, appropriate and proportionate provision and other matters in relation to children and young people with SEN age 0-25
- Offer relevant advice about legislation, codes of conduct, reforms and priorities in education setting, services and organisations
- Provide a moderating function by seeking to ensure consistent decision making across all cases

Members of the Panel are required to read all relevant papers in advance of the meeting. They make recommendations to the Local Authority Officer (the Chair of the Panel) who will make final decisions on a case-by-case bases.

EHC Needs Assessment Panel members include representatives from:

- Senior Case Officers (EHCP Coordination Team)
- Educational Psychology Service
- Cluster Lead SENCO
- Children's/Adults Social Care representative
- Health services representative (DCO)
- Early Years Team

Resource Allocation Panel members include representatives from:

- Educational Psychology Service
- SEN Support Service Representatives
- SLT representatives from mainstream, special schools and FE
- Children's/Adults Social Care representative
- Health services representative (DMO/DCO)
- A head teacher from a mainstream school
- A head teacher from a special school or specialist setting

EHC Case Coordinators participate in parts of the panel meetings relevant to the cases they are involved in.

Other agencies or services may be invited as required.

The Chair of the SEND Statutory Panel

The SEND Panels are chaired by the EHCP Coordination Team Manager or Senior Case Officer. The Chair is the responsible Local Authority Officer who makes final decisions on all issues referred to the Panel.

The Chair must ensure:

- All cases are dealt with fairly and decisions are reached consistently
- Panel members are aware of the purpose of the meeting

- Panel members are aware of the statutory provisions and national and local guidance which must be applied in each case
- Each panel member has been given the opportunity to express their views
- The decision including reasons and actions (if relevant) are recorded accurately and that sufficient information is available for case officers as a result of the Panel meeting
- Data is collated and analysed to provide reports as required

Observers

In order to promote continuing joint working, joint understanding and workforce development, observers are welcome to attend Panel at the discretion of the Chair. They will need to request attendance in advance with the Panel Administrator, observe strict confidentiality. Observers should not take part in any elements of the Panel discussion and should not be present during cases which they are directly involved in.

Role	Role on Panel	Decision Maker	Authoriser
LA EHCP Coordination Team Manager Education (and/or Senior Case officer)	Panel Chair - Responsible LA Officer for decisions on requests for EHC needs assessment, agreement to draft an EHCP issuing EHC Plans and allocating resources for EHC plans. Compliance with statutory duties.	✓	✓
LA Educational Psychologist	Advice on psychological needs of child/family and interventions, compliance with statutory duties.	✓	
Head Teacher/College/ EY Practitioners (Mainstream or Special)	Advice from schools and settings perspectives in relation to appropriate school-based interventions. Advice on general school improvement and school duties relating to SEND.	✓	
Advisory services/ specialist teachers	Advice relevant to their areas of expertise.	✓	
Designated Clinical Officer	To provide health advice and sign off on the health elements of Education, Health and Care Plans.		✓
Social Care	To provide advice and 'sign off' of the social care element of Education, Health and Care Plans.	✓	✓
Panel Administrator	To ensure all relevant information is circulated in advance, compiles and maintains the list of attendees and observers, panel decisions are accurately recorded, actions arising are cascaded to the relevant persons for further action if required.		

4. Confidentiality

Panel representatives must uphold confidentiality in all cases considered at Panel and act in accordance with the Data Protection duties of the LA and working together to safeguard children.

Panel members should not advise on decisions about cases which they are directly involved in or where there may be a conflict of interest.

5. Process and procedure

Frequency and structure of Panels

Both SEN panels meet weekly throughout the year.

Pre-panel preparation

The EHC Casework Officers act as a keyworker for children, their families or young people. They are in regular contact with parents or young people and take responsibility for ensuring that all contributions, representations, views, wishes and professional assessments and reports are available to the Panel Members.

Case officers must complete a panel sheet (Appendix A) and outline:

- What decision is requested
- Ensure that the panel pack reflects the evidence necessary to make that decision, e.g., a request to issue EHCP must include all appendices, a request for change of placement must include all relevant evidence and options including availability of places and transport costs

This information must be submitted to the panel administrator so that papers can be circulated in advance of the Panel meeting. In exceptional circumstances, new or additional information can be presented at the panel meeting.

It is important that information and evidence presented to the Panel is up to date and relevant. **Cases with insufficient evidence will be deferred.**

Administration details

- Required paperwork must be sent securely to ART by all partners
- Agenda and paperwork are circulated to all Panel members by Friday of the preceding week
- Following the discussion, the Chair, who is the officer with designated Local Authority decision making responsibility makes the decision and explains the reasons
- The Panel Administrator records the decision, reasons for the decision, any relevant actions and QA mark for the EHCP
- Decision is signed by the Chair

Post Panel arrangements

Following the panel meeting, the EHCP Casework Officer:

- Informs parents and/or young person, the educational settings and other service involved (as appropriate and relevant) of the decision and the reasons for the decision
- Confirms all decisions in writing
- If appropriate, a meeting with the family, young person and/or educational provider is offered to discuss the implications of the decision
- The relevant case records including resource implications (electronic or file) must be updated
- Data recording systems are updated including the provision on Mosaic

Review arrangements

These terms of reference will be reviewed by the EHCP Coordination Team Manager annually. Changes will be presented to the 0-25 Partnership Board for governance and final sign off.

Appendix 4 Reading panel papers Advice for new panel members

Reading panel papers may seem daunting at first. Here are some tips from established panel members that will support you. When you are reading paperwork, it is important to bear in mind the questions outlined in the checklist on page 27:

- First make a note of the purpose for the paperwork (Panel log) being submitted to panel contained within the panel agenda. Is this a request for an assessment? A completed assessment where panel have to decide whether to issue a plan? A request for change of placement or funding?
- When reading reports, it is often helpful to read the conclusion or summary first overview first, particularly the EP and S< reports and then compare this to APDR submitted by the school.

- Allocate enough time for reading.
- Break up the task.
- Focus on the decision you are being required to make - Note key information that will inform your decision and any information that presents discrepancies or gaps in the information submitted.
- The decision as to whether to issue a plan at the end of the assessment or whether to start the assessment in the first place needs to be guided information detailed in appendix 2. The questions contained in the checklist will support you with this.
- The panel's strength is its multi-disciplinary composition this means that each member contributes their own area of expertise. Head teachers are advised to read the school reports first.

Your contribution at panel

The chair of the panel will run the meeting and will ensure that all members contribute although free discussion of significant elements is positively encouraged.

The panel is an advisory body, decisions will be made by the chair of panel though they will be informed by your contributions.

Feeding back to your service

Panel members are responsible for feeding back to their services so that improvements can continuously be developed.

Making a judgement as to the Quality assurance of Plans

When reading the plan panel members must consider the wording from the perspective of their own areas of expertise. Detailed guidance is given as part of our quality assurance policy but broadly speaking.

- Do needs, outcomes and provision build a coherent plan?
- Are technical terms communicated in an accessible manner?
- Are needs, outcomes and provision in the correct location?
- Are parents and child's voice communicated?