Criteria and Guidance
Integrated Assessment Education, Health and Social Care Plan (0 to 25 years)
Final code of practice July 2014
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Section 1: The National Context

Introduction


From that date Local Authorities (LAs), all education settings and those who help them – including health and social services – must have regard to it. That means that whenever settings and LAs decide how to exercise their functions relating to children with special educational needs, and whenever the health and social services provide help to children, young people, settings and LAs in this, those bodies must consider what the Code says. These bodies must fulfil their statutory duties towards children with special educational needs but it is up to them to decide how to do so – in the light of the guidance in the Code of Practice. The Code is designed to help them to make effective decisions but it does not – and could not – tell them what to do in each individual case. The duty to have regard to the Code will continue for its lifetime.

Rationale – The Children and Families Act 2014

The vision of the 2014 Act is as follows:

- Children’s SEN are picked up early and support is routinely put in place quickly;
- Staff have the knowledge, understanding and skills to provide the right support for children and young people who have SEN or are disabled;
- Parents know what they can reasonably expect their local school, college, LA & local services to provide, without having to fight for it;
- Aspirations for children and young people are raised through an increased focus on life outcomes, including employment;
- For more complex needs, an integrated assessment and a single Education, Health and Care Plan are in place from birth to 25; and
- There is greater control for parents and young people over the services they and their family use.

This is being achieved through:

- The involvement of children, parents and young people in decision making
- The identification of children and young people’s needs;
- Collaboration between education, health and social care services to provide support;
- High quality provision to meet the needs of children and young people with SEN;
- Greater choice and control for young people and parents over their support;
- Successful preparation for adulthood, including independent living and employment.
Meeting Special Educational Needs in Worcestershire

The SEN Code of Practice advises that all Early Years providers, Mainstream schools and colleges, including academies and free schools, must use their best endeavours to secure the special educational provision called for by a child’s or young person’s needs. (CoP para 1.24)

These settings receive core funding to make general educational provision for all pupils/students and additional funding to help make provision for those who need additional support, including those with SEN. These funds are included in their budgets and they can spend them as they think best. But they should make sure funding is allocated to provide high quality provision for those with SEN. They have a duty to identify, assess and make special educational provision for all children and young people with SEN, whether or not they have an EHC plan. If they can show that a child or young person with SEN requires special educational provision that costs more than a certain threshold they can ask the local authority to provide top-up funding to meet that extra cost, whether or not the child has an EHC plan. See Appendix 1 for a diagram illustrating the National Funding Model thresholds (SEN CoP Para 6.95-6.99)

The Local Authority has set out, in its document entitled " The Entitlement of Pupils in Mainstream Schools - Special Educational Needs Provision – The Local Offer and "Ordinarily Available" in Worcestershire Schools how it expects its children and young people's needs to be met by its Schools and Academies, using their Notional SEN funding. Such provision is available to all pupils attending Worcestershire provision (dependent on levels of need) and an EHC Needs Assessment is not required in order to access this provision. For children in their pre-school years a similar document exists entitled "Early Years Single Funding Formula Inclusion Supplement Guidance & Worcestershire Descriptors for Special Educational Needs "

Where a SEN is identified, early years providers, schools and colleges should put appropriate evidence-based interventions in place. These should be provided as part of a graduated approach, which includes regular review of the progress made and adaptations to the support provided as required.

Plans for the use of support should relate to a clear set of expected outcomes, which should include stretching and relevant academic and developmental targets (including for older children, and young people, targets around preparing for adulthood). Progress towards these outcomes should be tracked and reviewed regularly, at least termly.

These outcomes are most effective where they reflect the views, wishes and feelings of children and young people and their families.

In schools

Support should be planned and reviewed by the class or subject teacher, in collaboration with parents, SENCOs, and, where appropriate, the pupil themselves.

Where a maintained school, maintained nursery school, academy or Pupil Referral Unit begins to make special educational provision for a child or young person without an EHC plan they must tell the child’s parent or the young person that such provision is being made. Involving parents effectively in the setting and review of outcomes from the outset leads to better progress and improved attainment overall.
In colleges

planning and reviews of SEN support should closely involve the student, parents where appropriate, teaching and support staff and a member of staff with oversight of additional SEN support, along with any relevant professionals.

Section 2 – The Four Areas of special educational need

Special educational needs and provision can be considered as falling under four broad areas.
1. Communication and interaction
2. Cognition and learning
3. Social, emotional and mental health difficulties
4. Sensory and/or physical

Many children and young people have difficulties that fit clearly into one of these areas; some have needs that span two or more areas; for others the precise nature of their need may not be clear at the outset. It is therefore important to carry out a detailed individual assessment of each child or young person and their situation at the earliest opportunity to make an accurate assessment of their needs. Making provision and reviewing how effective it is in securing progress can itself be part of the effective assessment of need, informing the next steps in the graduated approach. It may be necessary to test out interventions as part of this process, both to judge their effectiveness for the individual and provide further information about the precise nature of the needs. Practitioners may need training in the use of evidence-based programmes and advice and support on the effective use of specific interventions may need to be sought from external specialists.

Any necessary additional or different provision identified by review should be provided in a timely way. Young people, children and their parents are an essential part of this process.

In all circumstances, schools, colleges, early years and other providers should ensure that they are providing good teaching. The quality and appropriateness of the overall provision should be kept under regular review and its impact on the number of children or young people identified with SEN should be monitored.

Behavioural difficulties do not necessarily mean that a child or young person has a SEN and should not automatically lead to a pupil being registered as having SEN. However consistent disruptive or withdrawn behaviours can be an indication of unmet SEN, and where there are concerns about behaviour, there should be an assessment (by school) to determine whether there are any causal factors such as undiagnosed learning difficulties, difficulties with communication or mental health issues. 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 the Early Help Assessment process may be appropriate. In all cases, early identification and intervention can significantly reduce the need for more expensive interventions or sanctions at a later stage. (CoP para 6.21)
Section 3– The SEN Code of Practice – A Graduated Response

Where a pupil is identified as having SEN, educational establishments should take action to remove barriers to learning and put effective special educational provision in place. This SEN support should take the form of a four-part cycle through which earlier decisions and actions are revisited, refined and revised with a growing understanding of the pupil’s needs and of what supports the pupil in making good progress and securing good outcomes. This is known as the graduated approach. It draws on more detailed approaches, more frequent review and more specialist expertise in successive cycles in order to match interventions to the SEN of children and young people. (CoP Para 6.44) See Appendix 3.

Where reference is made to the SENCO, in Colleges this can be taken to mean the person with oversight of SEN.

Assess Needs - Plan - Do - Review

Assess Needs:

In identifying a child/young person as needing SEN support the class or subject teacher, working with the SENCO should carry out a clear analysis of the pupil’s needs. This should draw 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. It should also draw on other subject teachers’ assessments where relevant, the individual’s development in comparison to their peers and national data, the views and experience of parents, the pupil’s own views and, if relevant, advice from external support services. Educational establishments should take seriously any concerns raised by a parent. These should be recorded and compared to the establishments own assessment and information on how the pupil is developing.

This assessment should be reviewed regularly. This will help ensure that support and intervention are matched to need, barriers to learning are identified and overcome, and that a clear picture of the interventions put in place and their effect is developed. For some types of SEN, the way in which a pupil responds to an intervention can be the most reliable method of developing a more accurate picture of need.

In some cases, outside professionals from health or social services may already be involved with the child or young person. These professionals should liaise with the educational establishment to help inform the assessments. Where professionals are not already working with staff the SENCO (or named person in College with oversight for SEN) should contact them if the parents agree.

Plan:

Where it is decided to provide a pupil/young person with SEN support, the parents must be formally notified, although parents should have already been involved in forming the
assessment of needs as outlined above. The teacher and the SENCO should agree in consultation with the parent and the pupil the adjustments, interventions and support to be put in place, as well as the expected impact on progress, development or behaviour, along with a clear date for review.

All teachers and support staff who work with the pupil/student should be made aware of their needs, the outcomes sought, the support provided and any teaching strategies or approaches that are required. This should also be recorded on the educational establishments information system.

The support and intervention provided should be selected to meet the outcomes identified for the pupil/student, based on reliable evidence of effectiveness, and should be provided by staff with sufficient skills and knowledge.

Parents should be fully aware of the planned support and interventions and, where appropriate, plans should seek parental involvement to reinforce or contribute to progress at home.

Do:

The class or subject teacher should remain responsible for working with the child/young person on a daily basis. Where the interventions involve group or one-to-one teaching away from the main class or subject teacher, they should still retain responsibility for the pupil. They should work closely with any teaching assistants or specialist staff involved, to plan and assess the impact of support and interventions and how they can be linked to classroom teaching. The SENCO should support the class or subject teacher in the further assessment of the child’s particular strengths and weaknesses, in problem solving and advising on the effective implementation of support.

Review:

The effectiveness of the support and the impact on the child/young person's progress should be reviewed in line with an agreed date.

The impact and quality of the support and interventions should be evaluated, along with the views of the pupil and their parents. This should feed back into the analysis of the pupil’s needs. The class or subject teacher, working with the SENCO, should revise the support in light of the pupil’s progress and development, deciding on any changes to the support and outcomes in consultation with the parent and pupil.

Parents should have clear information about the impact of the support and interventions provided enabling them to be involved in planning next steps.

Involving Specialists:

Where a pupil continues to make less than expected progress, despite evidence-based support and interventions that are matched to the pupil’s area of need, the educational establishment should consider involving specialists, including those secured by the establishment itself or from outside agencies.

Educational establishments may involve specialists at any point to advise them on early identification of SEN and effective support and interventions. A setting should always
involve a specialist where a pupil continues to make little or no progress over a sustained period or where they continue to work at levels substantially below those expected of pupils of a similar age despite evidence-based SEN support delivered by appropriately trained staff.

The pupil’s parents should always be involved in any decision to involve specialists. The involvement of specialists and what was discussed or agreed should be recorded and shared with the parents and teaching staff supporting the child in the same way as other SEN support.

The SENCO and class/subject teacher, together with the specialists, and involving the pupil’s parents, should consider a range of evidence-based and effective teaching approaches, appropriate equipment, strategies and interventions in order to support the child’s progress. They should agree the outcomes to be achieved through the support, including a date by which progress will be reviewed.

SEN support should include the transitions between phases of education and preparation for adult life

**Expected Progress:**

Class and subject teachers, supported by the senior leadership team, should make regular assessments of progress for all pupils. These should seek to identify pupils making less than expected progress given their age and individual circumstances. This can be characterised by progress which:

- is significantly slower than that of their peers starting from the same baseline
- fails to match or better the child’s previous rate of progress
- fails to close the attainment gap between the child and their peers
- widens the attainment gap

It can include progress in areas other than attainment – for instance where a pupil needs to make additional progress with wider development or social needs in order to make a successful transition to adult life. *(CoP Para 6.17-6.18)*

**EHC Needs Assessment**

The majority of children and young people with SEN will have their needs met within local mainstream early years providers, schools or colleges from within the resources normally available to them. SEN support should be adapted or replaced depending on how effective it has been in achieving the agreed outcomes For further information about this please refer to the Ordinarily Available documents and to WCC's Local Offer.

Where, despite the setting/School/College having taken relevant and purposeful action to identify, assess and meet the special educational needs of the child/young person, the child/young person has not made expected progress to inform its decision the local authority will expect to see evidence of the action taken by the school as part of SEN support. *(CoP Para 6.63)* (See also Para 9.14)

A request for an EHC Needs Assessment should therefore only be made where a child/young person is failing to make expected progress following the Assess/Plan/Do/Review cycles AND
the special educational provision required to meet the child or young person's needs cannot reasonably be provided from with the resources normally available to their setting.

**When should a request be made/agreed – the Law**

1. The Children and Families Act 2014 ("The Act") (Section 3 Para 36(8)) states that the LA MUST secure an EHC assessment where, after having regard to the evidence submitted, the LA is of the opinion that:
   (a) The child or young person has or may have special educational needs and
   (b) It may be necessary for special educational provision to be made for the child or young person.

**Definitions :**

1. **Special Educational Needs** (Section 3 Para 20)
   
   (1) A child or young person has special educational needs if he or she has a learning difficulty or disability which calls for special educational provision to be made for him or her.
   
   (2) A child of compulsory school age or a young person has a learning difficulty or disability if he or she—
      
      (a) has a significantly greater difficulty in learning than the majority of others of the same age, or
      
      (b) has a disability which prevents or hinders him or her from making use of facilities of a kind generally provided for others of the same age in mainstream schools or mainstream post-16 institutions.
   
   (3) A child under compulsory school age has a learning difficulty or disability if he or she is likely to be within subsection (2) when of compulsory school age (or would be likely, if no special educational provision were made).
   
   (4) A child or young person does not have a learning difficulty or disability solely because the language (or form of language) in which he or she is or will be taught is different from a language (or form of language) which is or has been spoken at home.

2. "Special Educational Provision" is defined in the Act (Section 3 Para 21(1) )

As educational or training provision that is additional to or different from that made generally for others of the same age in mainstream schools, nurseries and Post 16 institutions in England.

3. **When is it necessary?**

This is likely to be where the special educational provision required to meet the child or young person’s needs cannot reasonably be provided from within the resources normally available to mainstream early years providers, schools and post-16 institutions.
4. What is "normally available" in Worcestershire?

In Worcestershire that which is "generally available" is clearly set out in the Ordinarily Available documentation explained above and is funded via Schools/ Colleges/ Nurseries notional SEN funding in accordance with established Government Funding Schemes. (see appendix 1) That which is "Generally available" is also set out in Worcestershire County Council's Local Offer.

Additional evidential points

1. When an educational establishment makes a request for statutory assessment to a LA, the child/young person will have demonstrated significant cause for concern. The LA will seek evidence from the school that any strategy or programme implemented for the child/young person in question has been continued for a reasonable period of time (and in Worcestershire this is regarded as at least two terms) without success and that alternatives have been tried, or the reasons why this has not occurred. The LA will need information about the child/young person's progress over time, and will also need clear documentation in relation to their special educational needs and any action taken to deal with those needs, including any resources or special arrangements put in place. When a child/young person arrives suddenly from outside the County with scant information the school will be expected to apply the same processes.

2. By the time the educational establishment considers asking for an integrated assessment of a child/young person's special educational needs, the setting should be able to provide written evidence of the different perceptions of those involved with the child/young person, any immediate educational concerns and an overall picture of their strengths and weaknesses.

3. The LA will require evidence of the type, duration and quality of input at the setting, including details of the involvement of external professionals and the outcomes. The LA will also require details of the provision currently made for the child/young person in accordance with the "Ordinarily Available" documentation and expectations upon the setting/school/college in using their Core SEN Funding.

The evidence, which is required from schools, is not intended to generate additional bureaucracy. As far as possible the paperwork required should already exist as records of assessments, observations, interventions and other records as appropriate. The setting's Special Educational Needs Co-ordinator (SENCo) has the responsibility for ensuring that the steps taken to meet the needs of individual children are recorded and that these records are properly kept and available as needed.

Schools must provide all the evidence required in the sections of the Form RS36 which are marked as mandatory or the request will be returned to school for completion. If an assessment is agreed, the completed form and the accompanying evidence will constitute the school's statutory advice.
Section 4 – Pre-school children and those entering Reception

Integrated Assessments:

1. For a very few children the help given by the early education setting through the Graduated Response may not be sufficiently effective to enable the pupil to progress. All pre-school children who have reached this point will have been referred by relevant professional agencies to the Pre-School Forum (PSF) for the area. The PSF will have been monitoring the child’s progress. As the child begins the final year before Reception a judgment will be made (and if necessary reviewed at each subsequent PSF meeting) as to the likely needs on entry to the Reception year. Decisions which the PSF may take in respect of a child will ultimately be:
   - the child has made sufficient progress to enter Reception without further monitoring;
   - the child has made good progress as a result of interventions overseen by the PSF but will need to enter Reception with the Graduated Response cycle continuing.
   - the child entering school may need some initial transition support on entering Reception to enable school to make necessary adjustments and plans to meet their needs.
   - the child is likely to need an EHC Needs assessment completed and agreed before s/he enters Reception because they are likely to require or would benefit from specialist provision in their Reception year – ie a Special School placement or placement in an Autism Base.

2. Where the PSF determines that statutory assessment should be considered the child will have demonstrated significant cause for concern. The LA will generally seek evidence that any strategy or programme implemented for the child in question has been continued for a reasonable period of time without success (in Worcestershire this is regarded the lifespan of at least two plans) The LA will need clear documentation in relation to the child’s special educational needs and any evidence of action taken to deal with those needs.

How?

1. Parents, Schools and Settings have a statutory right to request an assessment for children for whom they provide nursery education. The LA is then responsible for determining whether a statutory assessment is required. However, the PSF deals locally with all cases and will determine whether the Local Authority should decide on whether a statutory assessment is called for. (See flow chart Appendix 2)
2. Settings must provide all the evidence required on Form RS36. If significant omissions are made (where the information is vital to a decision) the form will be returned to the setting for further completion. If statutory assessment is agreed, the completed form and the accompanying evidence will constitute the setting’s statutory advice.
3. The LA will require evidence of the type, duration and quality of additional provision/support through the graduated response together with details of the involvement of external support.
Transition to school

In some cases a child in an early education setting may have received considerable support without the need for an EHC Plan. If an educational psychologist or a member of the Authority's Support Services and/or an Area SENCo have been involved, liaison with the receiving school staff must be made to assist in preparing for the child’s admission to school.

Any record drawn up by an early education setting for a child with a possible special need should be passed on to the school with the parent’s consent.

Transition into School – Enhanced SEN Support

Some children who are known to the pre-school forum whilst not needing to access specialist provision in their Reception Year will exhibit a high level of need such that further intervention is required. For such children the Pre-School Forum can refer them to specialist teachers from its Learning Support Service or Complex Communication Difficulties Team who can become involved with the child in their Nursery setting and offer advice as to appropriate strategies and interventions for the receiving school.

As the child nears school entry the specialist teacher can prepare a Profile of Strengths and Difficulties which can be used to inform the receiving school and assist them with their transition planning.

Additional top up funding for such children can be made available by SEN Services to the receiving school in order to support the transition period. This funding can also assist the School to provide the necessary support and interventions to enable a decision to be taken as to whether or not a request an Assessment later on during the Reception Year. The allocation of such funding will be dependent on a request from the child's receiving school together with evidence of full use of notional SEN Funding and a requirement for this to be topped up by the LA.

Further Guidance on Enhanced SEN Support is available in a separate document.

Section 5 – Further Education (Post 16)

Introduction

FE colleges, sixth form colleges and 16-19 academies must use their best endeavours to secure the special educational provision which young people need. They must fulfil this duty for students with SEN whether or not the students have EHC plans. This duty applies in respect of students with SEN up to age 25 in further education, including those aged up to 14-16 recruited directly by colleges. The duty will encompass students on a wide variety of study programmes (including some on short programmes) and at every level from entry level upwards. It does not apply to any students on higher education courses, who can access the Disabled Students Allowance. (CoP Para 7.3)

Transition to Post 16 provision

Colleges should be involved in transition planning between school and college so that they can prepare to meet the student’s needs and ensure a successful transition into college life. Chapter
8 of the SEN Code of Practice, paragraphs 8.22 to 8.28, gives guidance to schools and colleges on how they should work together to smooth that transition. Colleges should give all applicants an opportunity before or at entry and at subsequent points, to declare whether they have a learning need, a disability or a medical condition which will affect their learning. If a student makes a declaration the college should discuss with the student how they will provide support. Any screenings and assessments should be differentiated and proportionate to the likely level of SEN.

Students who fell behind at School, or who are studying below Level 2, should have their needs identified and appropriate support should be provided.

The Graduated Response within Post 16 Provision

Where a student has a learning difficulty or disability that calls for special educational provision, the college must use its best endeavours to put appropriate support in place. Young people should be supported to participate in discussions about their aspirations, their needs, and the support that they think will help them best.

Colleges should take the "Assess, Plan, Do Review" cyclical approach to assessing need, planning and providing support, and reviewing and evaluating that support so that it can be adjusted where necessary (see above). They should involve the student closely at all stages of the cycle, planning around the individual, and they should ensure that staff have the skills to do this effectively.

Special educational support might include, for example:

- assistive technology
- personal care (or access to it)
- specialist tuition
- note-takers
- interpreters
- one-to-one and small group learning support
- habilitation training
- travel training
- accessible information such as symbol based materials
- access to therapies (e.g. speech and language therapy)

Specialist help should be involved where the student’s needs are not being met by the strong, evidence-based support provided by the college.

Where, despite the college having taken relevant and purposeful action to identify, assess and meet the needs of the student, the student is still not making the expected progress, the college or young person can consider requesting an assessment for an EHC plan.

Where a young person is aged over 18 consideration must be given to whether or not the young person requires additional time (in comparison to the majority of others of the same age who do not have SEN) to complete their education or training. (CoP para 9.14). It is only if Education and Training outcomes are necessary for young people in Post 16 Provision that a plan will be necessary. (CoP para 9.156)
Post 19 provision

For young people who transition to Post 19 provision of an EHC Plan or assessment for a Plan will only be required where the young person requires longer in education or training to achieve their outcomes and make a transition into adulthood than their peers. The LA will need to consider whether remaining in education or training will enable the young person to progress and achieve those outcomes and help them prepare for adulthood.

Young people who no longer need to remain in formal education or training will not require an EHC Plan. (CoP para 9.151 and 9.152)

Funding for SEN Support Post 16

All mainstream colleges are provided with resources to support students with additional needs, including young people with SEN and disabilities. School and academy sixth forms, sixth form colleges, further education colleges and 16-19 academies receive an allocation based on a national funding formula for their core provision.

Colleges have additional funding for students with additional needs, including those with SEN. This funding is not ring-fenced and is included in their main allocation in a 'single line' budget. Colleges are expected to provide appropriate, high quality SEN support using all available resources.

It is only when this has taken place and it is apparent that the student needs a level of support in excess of that Ordinarily Available that the Post 16 provider can either request Top Up Funding from the LA directly or via a request for an EHC Needs Assessment.

NB: There is no requirement for an EHC plan for a young person for whom a college receives additional top-up funding except in the case of a young person who is over 19.

Section 6 Guidance on criteria – essential evidence needed in every case

In all cases where an integrated assessment for an EHC Plan is being considered the LA will need to consider whether or not the four types of action have been taken to put effective support into place for the child or young person. These actions form part of a cycle through which decisions and actions are revisited, refined and revised with a growing understanding of the pupils needs and what supports the pupil in making good progress and securing good outcomes. (see section 3 above)

The LA will also need to consider whether or not the School, Setting or College has made full use of its own notional SEN funding (Section 2 and Appendix 1) and if so, does the child or young person now require a level of resources above that which is ordinarily available?

For a very few pupils the help given by schools, setting and colleges through the cycle described above may not be sufficient to enable the pupil to make expected progress. It will then be necessary for the setting, in consultation with the parents and any external agencies already involved, to consider whether to ask the LA to initiate an EHC needs assessment.
An EHC Needs Assessment will usually be agreed:

1. when the evidence presented satisfies the Local Authority that the pupil has a level of need of such severity or complexity that requires the Local Authority to determine special educational provision for them. (needs criteria)

And

2. When the evidence presented as part of the request satisfies the Local Authority that despite the early years 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 (process criteria) (SEN CoP Para 9.13)

And in all cases

3. there is evidence that the child may require a level of provision that cannot reasonably be made from within the resources normally available to schools in Worcestershire

The LA will need information about the child’s progress over time and will also need clear documentation in relation to the child’s special educational needs and any action taken to deal with those needs, including any resources or special arrangements put in place. There should be existing reports or written advice from external agencies that should be included with the documentation.

Performance criteria for Cognition and Learning needs are set at or below the second percentile in most areas. Individual pupils may well have needs which span two or more of the areas of need. However, the accumulation of low-level difficulties may not in itself equate with a school being unable to meet the child’s needs through school-based provision.

Exceptional cases will be dealt with on merit.

Section 6 – Further Information relating to Needs Criteria

Criteria for the categories of:

- Communication and Interaction
- Cognition and Learning
- Social, mental and emotional health
- Sensory and/or Physical needs

Communication and Interaction

Introduction

Children and young people with speech, language and communication needs (SLCN) have difficulty in communicating with others. This may be because they have difficulty saying what they want to, understanding what is being said to them or they do not understand or use social
rules of communication. The profile for every child with SLCN is different and their needs may change over time. They may have difficulty with one, some or all of the different aspects of speech, language or social communication at different times of their lives.

Children and young people with an Autism Spectrum Disorder, including Asperger’s Syndrome and Autism, are likely to have particular difficulties with social interaction. They may also experience difficulties with language, communication, social interaction and imagination, which can impact on how they relate to others.

For most children with communication or interaction difficulties their needs can be met within the resources Ordinarily Available to mainstream schools.

Children with the most severe communication and interaction difficulties will be characterised by limitations in accessing the curriculum and may present with emotional and behavioural difficulties. These children will need substantial support to ensure that they are provided with appropriate access to the curriculum and participation in school life.

**Essential Evidence**

When requesting an assessment schools must provide evidence in the majority of the following areas:

- there is clear substantial evidence that the child/young person's communication and interaction difficulties impede the development of purposeful/relationships with adults and/or peer group;
- there is clear and substantial evidence that the child/young person's communication and interaction difficulties give rise to other emotional and behavioural difficulties;
- there is clear and substantial evidence that the child/young person is unable to fully participate in particular aspects of the curriculum without significant adult support;
- the evidence produced should give a clear picture of when such support is necessary and in what curricular or non-curricular areas;
- the child/young person's expressive and/or receptive language development is significantly below that of the majority of pupils of his or her age (1st or 2nd centile);
- there is clear substantial evidence that the child/young person is unable to access the curriculum without substantial adaptation of teaching materials and/or the learning environment;
- evidence that appropriate equipment on loan has been trialled and evaluated;
- evidence of the use of information and communication technology with relevant training for pupil and staff where appropriate;
- evidence of modifications to the setting timetable in order to maximise access for the pupil;
- evidence that any hearing loss contributing to the communication and interaction difficulty has been dealt with appropriately;
- evidence of full parental involvement throughout the process.

**Specific Criteria**

- A significant speech and language disorder/delay compared to other areas of development (usually below the 2nd centile). This assessment will have been carried out over a period of time by a suitably qualified professional from a relevant specialist support service.
Criteria and Guidance
Integrated Assessment Education, Health and Social Care Plan (0 to 25 years)
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- A significant communication and interaction difficulty, which requires augmentative or alternative methods of communication e.g., a manual signing system, the use of graphic symbols or electronic communication aids.
- A significant difficulty in using language to communicate and to interact in a social context and/or to access the curriculum.
- Evidence that substantial adaptation of curriculum content and delivery is required.

Cognition and Learning

Introduction

Support for learning difficulties may be required when children and young people learn at a slower pace than their peers, even with appropriate differentiation. Learning difficulties cover a wide range of needs, including moderate learning difficulties (MLD), severe learning difficulties (SLD), where children/young people are likely to need support in all areas of the curriculum and associated difficulties with mobility and communication, through to profound and multiple learning difficulties (PMLD), where children/young people are likely to have severe and specific learning difficulties (SpLD), affect one or more specific aspects of learning. This encompasses a range of conditions such as dyslexia, dyscalculia and dyspraxia.

The majority of children/young people will have their needs met in a mainstream school within resources ordinarily available but in a minority of cases an educational establishment may need to make a request for an EHC needs assessment.

It is expected that children/young people whose sole difficulty is dyslexia would normally have their needs met within Schools’ notional SEN funding and resources using the Worcestershire Dyslexia Pathways.

Essential Evidence for Integrated Needs Assessment

When requesting an assessment educational establishments must provide evidence in the majority of the following areas

- there is clear and substantial evidence that the child or young person’s cognition and learning difficulties give rise to other difficulties, for example in self-esteem, communication skills or social, emotional and behavioural development;
- there is clear and substantial evidence that the child or young person is unable to participate fully in particular aspects of the curriculum without significant adult support and the evidence produced should give a clear picture of when such support is necessary;
- there is clear and substantial evidence that the child or young person is unable to access the curriculum without substantial adaptation of the teaching and learning environment to remove barriers to learning;
- there is clear and substantial evidence that specialist advice and recommendations have been sought and implemented and their impact evaluated.
there is clear and substantial evidence that the child or young person, where appropriate, has been provided with the opportunity to demonstrate his/her skills, knowledge and understanding using alternative means of recording;
there is clear and substantial evidence that well-evidenced interventions targeted at the child or young person’s area of difficulty have been implemented by appropriately skilled staff and their impact evaluated;
there is clear and substantial evidence of full parental involvement throughout the process;
there is clear evidence that there are significant discrepancies between the child or young person’s academic attainment (or developmental milestones in younger children) and rate of progress, measured by criterion referenced or standardised tests, and the attainment of the majority of children and young people of that age.

Specific Criteria

The Child or Young Person should be functioning at or below the following attainment levels for the LA to consider that it may need to determine the Special Educational Provision for them:

**Nursery/pre-school**
EYFS entering ‘8 – 20 months’*

In the 6 key aspects of Listening and attention, Moving and handling, Reading, Writing, Numbers and Shape, space and measure.

**Reception**
EYFS entering ‘16 – 26 months’*

**Year 1 to Post 16**
Tests of cognitive and/or reading ability: Standardised Score less than 70
Or
Percentile Rank 1 or 2

**Social, emotional and mental health difficulties**

**Introduction**

Children and young people may experience a wide range of social and emotional difficulties which manifest themselves in many ways. These may include becoming withdrawn or isolated, as well as displaying challenging, disruptive or disturbing behaviour. These behaviours may reflect underlying mental health 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, attention deficit hyperactive disorder or attachment disorder.
Early Years settings, 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

Essential Evidence

Evidence is required of the nature of the child/young person’s difficulties. This should include evidence that one or more features of inappropriate behaviour are present across a variety of contexts and over an extended period of time with analysis of the antecedents to and consequences of the behaviours described. For example, a pattern of withdrawn and/or anxious behaviour, unpredictable, bizarre, obsessive or egocentric behaviours, poor relationships with peers and/or adults, a pattern of severely disruptive behaviour, a pattern of poor communication.

- evidence that the child/young person is not engaged in appropriate learning tasks for a significantly greater proportion of time than the majority of their peers.
- Copies of the child/young person's Pastoral Support Programme and reviews.
- Incident record/behaviour diary.
- Holistic evidence of the differences observed in a child/young person's social and interactional skills (behaviour) in different teaching or social environments e.g. in literacy based and non literacy based subjects (English and Physical Education) structured and unstructured activities (classroom and playground).
- Medical diagnosis and action taken by Health workers.

Sensory and/or Physical Needs

Introduction

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 vision impairment (VI), hearing impairment (HI) or a multi-sensory impairment (MSI) will require specialist support and/or equipment to access their learning. Children and young people with an MSI have a combination of vision and hearing difficulties, which makes it even more difficult for them to access the curriculum or study programme than for those with a single sensory impairment. Information on how to provide services for deafblind is available through the Deafblind guidance.

Some children and young people with a physical disability (PD) require additional ongoing support and equipment to access all the opportunities available to their peers.

Provision for children with physical disabilities and sensory impairments can usually be met from resources available to mainstream schools from the LA Support Services.
Guidance for Children with Physical Disabilities

Essential Evidence for Statutory Assessment
All of these factors must be presented.

- evidence that the child/young person is unable fully to participate in particular aspects of the curriculum without significant adult support and/or substantial adaptation of teaching materials or the learning environment;
- evidence of significant self-help and/or mobility difficulties;
- evidence that the loan of appropriate equipment to enable access to the curriculum has been tried and evaluated and that advice relating to its use has been provided;
- evidence that advice from school health and therapists, with respect to the implications of any medical or physical difficulty has been sought at via the graduated response and acted upon accordingly;
- evidence that the use of Information and Communication Technology with relevant training for the pupil and staff, if appropriate, has been implemented and evaluated;

Specific Criteria

- Significant adult support – evidence produced would need to give a clear picture of when such supervision was essential and in what curricular or other areas. From this the degree of support can be determined. Examples would include practical curriculum support and self help areas and physical support for access in and around the school environment.
- Substantial adaptation of teaching materials – evidence would be required that the provision of specialist resources and equipment is essential.
- Substantial adaptation of the environment – evidence would be required that certain specialist equipment or furniture is required.
- Evidence that simple adaptations and minor building works have been provided by the school such as the provision of handrails in the toilet facilities.
- Evidence that modification to the school timetable in order to maximise opportunities for access for the pupil and of changes in the use of the building have been implemented.
- Evidence that the implications of side effects of any medical treatment (and/or medication) and/or prolonged school absence have been fully considered before identifying the child’s special educational needs.
- Evidence of joint planning with teachers involved in home tuition and/or hospital based tuition if appropriate.

Guidance for Hearing Impaired, Visually Impaired & Multi-Sensory Impairment (MSI)

Essential Evidence for Statutory Assessment

- evidence that the child/young person is unable to fully participate in particular aspects of the curriculum without significant adult support - the evidence produced should give a clear picture of when such support is necessary and in what curricular and non-curricular areas;
Criteria and Guidance

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- there is clear substantial evidence that the child/young person’s sensory impairment impedes the development of purposeful relationships with adults and/or peer group;
- there is clear substantial evidence that the child/young person’s sensory impairment gives rise to other emotional and behavioural difficulties;
- there is clear substantial evidence that the child/young person is unable to access the curriculum without substantial adaptation of lesson content and curricular material;
- evidence of modifications to the school timetable in order to maximise access for the pupil.

Specific Criteria:

- The child/young person has a profound or significant hearing loss and that the LA needs to determine SEN provision
- The child/young person is blind or has a significant visual impairment and that the LA needs to determine SEN provision
- The child/young person is deaf/blind and that the LA needs to determine SEN provision
- The child/young person requires significant, long-term support from an Intervenor, Communicator or Teaching Assistant.
- The child/young person needs access to a deaf or visually impaired peer group.
- The child/young person

Appendix One

National Funding Model for SEN

Under the funding changes implemented in April 2013, that introduced a ‘place-plus’ approach, mainstream schools and academies receive £4k (‘core education funding’) to provide a standard offer of teaching and learning for all pupils, including those with high needs. Schools also receive a notional SEN budget, from which they will contribute the first £6,000 of the additional support costs of high needs pupils. Funding requirements above this £10k level can be accessed through the statutory assessment process as set out by respective local authorities and paid in the form of a top-up from the High Needs Block.

High needs pupils and students are defined as those requiring provision costing more than around £10,000 per year. The DfE have selected a financial threshold, as opposed to an assessment-based threshold (such as having an Education, Health and Social Care Plan or a Statement of Special Educational Needs), since linking statutory assessments to additional funding can create perverse incentives by making assessments an end in themselves to secure additional resource rather than as a tool to identify needs and select the appropriate response.

The essence of the DfE approach is best encapsulated by this figure:
### Criteria and Guidance

**Integrated Assessment Education, Health and Social Care Plan (0 to 25 years)**

Final code of practice July 2014

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<table>
<thead>
<tr>
<th>Pre-16 SEN and AP</th>
<th>Post-16 SEN and LDD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Mainstream settings</strong></td>
<td><strong>All settings</strong></td>
</tr>
<tr>
<td>Mainstream per-pupil funding (RAMPU)</td>
<td>Base funding of £10,000 for SEN and £8,000 for AP placements, which is roughly equivalent to the level up to which a mainstream provider would have contributed to the additional support provision of a high needs pupil. Base funding is provided on the basis of planned places.</td>
</tr>
<tr>
<td>Contribution of £6,000 to additional support required by a pupil with high needs, from the notional SEN budget</td>
<td>Mainstream per-student funding (as calculated by the national 16-18 funding system)</td>
</tr>
</tbody>
</table>

**Element 1: Core education funding**

**Element 2: Additional support funding**

**Element 3: Top-up funding**

“Top-up” funding from the commissioner to meet the needs of each pupil or student placed in the institution.
Appendix 2 A summary of the work of the Pre-School Forum and the Statutory Assessment process

Child identified as having Special Educational Needs is referred to the Pre-School Forum and listed for first discussion.

First discussion – involvement of external professionals and need for specialist provision considered. Review date set. Child continues to be monitored and reviewed via forum. A Q5 form will be sent to the main setting every 6 months in order to update the forum as to the child’s development and the settings and parent’s views.

Approx 12 months prior to School entry Pre-School Forum starts to give consideration to needs prior to School Entry.

Pre-School Forum considers that EHC Needs assessment may be required because child is likely to need or would benefit from specialist provision

Pre-School Forum decides that EHC needs Assessment will not be required. Child continues to be monitored. Once School placements determined in April of year of school entry:

- Forum identifies that child has a high level of need. Referred to Specialist teacher for Profile of Strengths and Difficulties Teacher provides advice to receiving School
- Forum recommends that child enters school with Enhanced SEN Support. Letter and review paperwork sent to receiving school. Top Up funding may be available
- Child has a lesser level of need and does not require specialist input
- If external agencies involved – Forum recommends that school continues to implement Graduated Response. Letter and review paperwork sent to receiving school.

Date set for evidence to be considered by the Local Authority

Approximately 6 weeks before consideration meeting SEN Services sends form RS323P to setting for completion and writes to parents to request their views. Other agencies involved with child (eg SaLT) also asked to provide advice.

LA decides whether or not criteria are met.

INTEGRATED ASSESSMENT AGREED

INTEGRATED ASSESSMENT NOT AGREED

If no external agencies involved – LA writes to School and recommends that School implements Graduated Response or, no further action taken and file closed.
Appendix 3
The Code of Practice Graduated Response 0-25 Years

Request for Integrated Assessment made and agreed

START

Graduated Response

The Code of Practice Graduated Response 0-25 Years

Appendix 3

Statutory EHC Plan Process

Criteria for Assessment for Education, Health and Social Care Plan
Version 6 – Final Code of Practice July 2014
Criteria and Guidance
Integrated Assessment Education, Health and Social Care Plan (0 to 25 years)
Final code of practice July 2014