

5. Education Health & Care Assessment Process - Guidance for Children's Services Practitioners

Part One – Introduction

1. Background

The Children and Families Act 2014, the Care Act 2014, and the Special Educational Needs and Disability Regulations 2014 set out changes to the way children and young people 0-25 years with special education needs or disabilities (SEND) are supported.

The changes, known as the SEND reforms, are explained in the Special Educational Needs and Disabilities (SEND) Code of Practice 2015 and include:

- New multi-agency Education, Health and Care (EHC) Needs Assessments: The EHC Needs Assessment uses person-centred approaches to identify needs and desired outcomes for the child/young person and their family.
- EHC Needs Assessments determine whether a multi-agency Education, Health and Care (EHC) plan is required. Where EHC plans are required they replace existing Statement of Special Education Needs and Learning Disability Assessments (LDA).
- EHC plans operate alongside (but do not replace) other Plans such as Child Protection Plans, Child In Need (CIN) Plans, Pathway Plans and Looked After Children (CLA) Plans for children in care. Each should inform the other.
- Where possible EHC planning and review meetings should run alongside other relevant meetings e.g. PEP and CIN meetings, each informing the other.

2. Process Overview

The EHC assessment process is in two stages

- Stage 1 – Request for information to determine if an assessment will take place
- Stage 2 – EHCP assessment

Stage 1 – Request for Information

In the first stage (request for information) a request for information will be sent to the appropriate team (see the [flowchart](#) below). It is appropriate for any practitioner who knows the child through their work as a Family Wellbeing Worker or a Social Worker to respond promptly to this request, providing an overview of any information held which may be relevant to the decision to undertake an EHC assessment. Ideally, it should be a practitioner with prior knowledge of the CYP concerned

Stage 2 – EHC assessment Report

Who should complete the report?

It is appropriate for any practitioner who knows the child through their work as a Family Wellbeing Worker or a Social Worker to complete the report. Ideally, it should be a practitioner with prior knowledge of the CYP concerned, however there will be requests where children are not yet known. The process in that instance is detailed below. This is also set out in the [flowchart](#) attached

Completing the report:

1. Practitioner to complete sections 1–10 of the ‘**Children’s Services Needs Report for EHC Needs Assessment**’ as detailed in this guidance document. Please note that if the child is not currently known to our services and has no history, it is appropriate to complete sections 1-5 providing your view of any needs evident from the information provided.

Sign-off and next steps:

2. Report writer completes ‘Statement of practitioner’ section of consent form and Team Manager authorises.
3. Send to the EHCP Coordinator / relevant business support officer who has requested the report. **Report must be returned within 6 weeks of the date of the request.**
4. Send copy of whole Children’s Services report to parent/carer or young person.
5. If the CYP is an open, it is important that the practitioners attends at the Joint Planning Meeting (JPM) so that Children’s Services are represented.

At the JPM practitioners explore:

- What is important *to* and *for* CYP and their family?
- What is working and not working from the Children’s Services perspective?
- What needs to change to improve outcomes for CYP and their family?
- Outcomes: What would be the benefits of the change for the CYP and their family?

3. Information Sharing

All practitioners must take account of guidance in HM Government Information sharing: Advice for practitioners providing safeguarding services to children, young people, parents and carers (March 2015), which makes clear:

“Whilst the Data Protection Act 1998 places duties on organisations and individuals to process personal information fairly and lawfully, it is not a barrier to sharing information where the failure to do so would result in a child or vulnerable adult being placed at risk of harm. Similarly, human rights concerns, such as respecting the right to a private and family life would not prevent sharing where there are real safeguarding concerns.”

In such cases, the guiding principle for sharing information should be:

Does the benefit of sharing the information outweigh any negative

consequences, particularly for the CYP?

This decision will usually be taken by a Team Manager. If in any doubt, or if there are any safeguarding issues, specific legal advice should be sought.

If needs or safeguarding concerns are identified during the EHC Needs Assessment requiring an urgent or specialist response, the practitioner will need to make a prompt referral to the [Children's Front Door](#). Consent should be sought and clarified.

Part Two - Completing the form:

See [Appendix A](#) for an example of completed 'Children's Services Needs Report for EHC Assessment' and [Appendix C](#) for a process flowchart.

4. Status

The SEND Team will make a check on electronic case recording systems (including LCS, EHM and Childview) to determine whether there is current or recent contact relating to the CYP and on that basis:

- a. **If the CYP is open to a Family Support & Safeguarding Team (including the Children with Disabilities Team)** either as a contact, referral or the child is allocated, the current practitioner will be contacted by the EHCP Coordinator or the relevant business support officer. The allocated practitioner must complete the 'Children's Services Needs Report for EHC Assessment' and return it within 6 weeks of the request to the SEND Caseworker.
- b. **If the CYP is open to the SENDCAS team** as short breaks are being received the allocated practitioner will be contacted by the EHCP Coordinator or the relevant business support officer. The allocated social worker must complete the 'Children's Services Needs Report for EHC Assessment' and return it within 6 weeks of request to the SEND Caseworker
- c. **If the CYP was previously known to Children's Services but is no longer open** the request for the report will be sent to the Duty Inbox of the Family Support & Safeguarding Team which was previously responsible for the work. It must be marked clearly: 'Urgent: Report for EHC Needs Assessment required'. The Team Manager will decide who will complete the report and will inform the EHCP Coordinator or business support officer who will be doing so. It is the expectation that the report will be completed within 14 days of receipt of the request and returned to the SEND Caseworker. If any information held by the Family Support & Safeguarding Team about historical involvement remains relevant to the CYP's current education, health or care needs, desired outcomes or required education, health or care provision, the practitioner completing the report must consider whether it is proportionate to include it in the 'Children's Services Needs Report for EHC Assessment'. Please see section 3 above for more details.
- d. **If the CYP is not known to Children's Services, or historical information held does not appear to be relevant**, the EHCP Coordinator will send the request for information to the Duty Inbox of the Family Support & Safeguarding Team responsible for the area where the CYP lives, and request that a view is provided on any potential care needs arising from the information provided in the request for EHC assessment.
- e. **If for any reason the information is not received in the expected timescales** the SEND Caseworker or the relevant business support officer will escalate the matter to the Head of Service in the first instance. If this does not resolve matters within a week it is expected that the matter is escalated to the relevant Assistant Director.

5. Has child or young person's needs been assessed?

Provide details of the type of assessment, e.g. under Section 17 of the Children Act 1989. If the assessment is being completed write: 'An assessment of [CYP's name] needs is currently in progress'.

Please do not respond solely that the child is not known to Children's Services, as this will delay the process. Appropriate example responses could include:

Example 1 – CYP Not known

I have checked our records and note that [CYP Name] has not previously been assessed by or received a service from a Family Support & Safeguarding Team.

In reviewing the information provided in the request, I believe that the following needs may arise in connection with [CYP Names]'s SEND:

Or:

In reviewing the information provided in the request, I do not believe that any relevant needs may arise in connection with [CYP Names]'s SEND.

Example 2 – CYP Not currently know, but has historical involvement

I have checked our records and note that [CYP Name] is not currently receiving either an assessment or service from a Family Support & Safeguarding Team, but that they have had contact with our services previously.

I have considered the information we hold on [CYP Name] in [system] and I believe that the following needs may arise in connection with [CYP Names]'s SEND:

Or:

I have considered the information we hold on [CYP Name] in [system] and I do not believe that any relevant needs may arise in connection with [CYP Names]'s SEND.

6. Is there a care plan in place?

Provide details of the type of care plan, e.g. Child in Need Plan, Child Protection Plan, Looked After Child Plan, Pathway Plan, Family Support Plan. If the care plan is currently being formulated, write: 'Following an assessment of [CYP's name] a care plan is currently being developed.'

7. Needs identified (Section D of EHC plan)

Needs relate to things that are **important to** (hopes and aspirations) and **important for** (health, safety, welfare) a CYP.

When considering needs:

- Information provided must be **relevant** and **proportionate** as outlined in Section 3 of this guidance.
- Include details of needs identified during your assessment. Safeguarding concerns and early help needs have an impact on a CYP's education - give an overview of these needs/concerns, as appropriate (specific details do not need to be included).
- For young people in or beyond Year 9, consider whether there are needs relating to preparing for adulthood or independent living e.g. support finding employment, further or higher education, housing or participation in society. Refer to the [Preparing for Adulthood section of the Local Offer](#) for more information.
- Consider whether the information you are providing is relevant to the CYP's desired outcomes, their education and health needs, and any special education, health or care provision that may be required relating to these factors.
- Information will be provided by health and education practitioners about the needs and recommendations specific to these areas, so please limit your information to Children's Services elements of need.
- Do not refer to siblings or other family members by name.
- Avoid statements such as '*must attend school, health appointments*', '*meet developmental milestones*' – these are universal expectations, rather than individual needs.
- Avoid statements e.g. '*referral needed to*' or '*assessment needed by*' – these are embedded solutions, not specific needs.

8. Suggested Outcomes (Section E of EHC plan)

As part of the review of processes and procedures in North Somerset, we have published [guidance on developing shared outcomes for Education, Health and Care plans](#) which will ensure that all partners involved in supporting children and young people are writing SMART outcomes in consistent, clear language. The following are key considerations when developing outcomes:

Before you begin:

- Identify aspirations – what motivates the CYP?
- Identify strengths – what can they do, what are they good at?
- Identify difficulties / needs – what's stopping them reaching their goals?

Writing the outcome:

- An outcome is the **benefit** or **difference** made to a CYP as a result of an intervention. Does your outcome detail what will it '*give*', '*do for*' or '*make possible*' for the CYP?
- Don't mix outcomes with provision – provision is what must be provided to meet the CYP's needs so that the outcomes can be achieved.
- An outcome must be **Specific, Measurable, Achievable, Realistic** and **Time bound** (SMART). Vague outcomes with unclear timescales make it difficult to track progress, leading to drift.
- Be specific about what you would like to see the CYP doing or achieving by a specific review date.
- Outcomes should be written in clear, unambiguous language which is

accessible for parents, carers and CYP wherever possible

Test your outcome:

Good outcomes will do at least one of the following:

- **Build** on something that is working well.
- **Change** something that doesn't work well.
- **Move** the CYP towards their aspirations.

See **Appendix B** for examples of outcomes.

9. Provision (Section H of EHC plan)

Provision detailed in Section H of the plan is divided into two categories, based on the legal status of the provision and the need it meets under the Chronically Sick and Disabled Persons Act 1970 (CSDPA), the Children Act 1989 or the Care Act 2014. Guidance on recording different types of provision is detailed below, but if you are in any doubt please consult the [SEND Code of Practice](#) or discuss with your Team Manager in the first instance.

Where provision listed in Section H is jointly funded, please provide details of the funding arrangement.

H1 – Care provision NEEDED under Section 2 of the CSDPA.

- If a '**need**' can be met with the provision of the types of services listed in a-h below, the Local Authority must decide whether it is '**necessary**' for them to meet this need (in determining this, the Local Authority may consider the family's circumstances, including the situation of the parents and the needs of other children in the family).
- Once a CYP and their family have been assessed as **eligible** for support under the CSDPA the Local Authority has a specifically enforceable **duty to provide** them with services to meet their assessed 'need'.
 - Services assessed as required under CSDPA must be provided or commissioned by the Local Authority **regardless of resources**.
- The CYP must be under 18 years old.
- Provision should be detailed, specific and quantifiable (e.g. type, hours, frequency of support and level of expertise required).
- Do not include any support provided via Direct Payments – this goes under H2.

Services specified under CSDPA are:

- a) Practical assistance in the home (e.g. with personal care or eating)
- b) Provision or assistance in obtaining recreational and educational facilities at home and outside the home (e.g. after-school clubs, play schemes, non-residential short breaks)
- c) Assistance with travel to access facilities in the community
- d) Help with special equipment and adaptations to the home
- e) Facilitating the taking of holidays
- f) Meals at home or elsewhere

- g) Provision or assistance in obtaining a telephone and any special equipment necessary
- h) Non-residential short breaks (included in H1 on the basis that the child and parent will benefit from short break)

Exceptions: Any provision listed above provided as short-term support due to current circumstances e.g. short-term school holiday support, support whilst a parent is unwell, support after a child has an operation etc. is provided under Section 17 of the Children Act 1989, and therefore should be written under H2.

H2 – other care provision REASONABLY REQUIRED under the Children Act 1989 or the Care Act 2014.

- a) Provision reasonably required (which may have been identified through early help/universal services).
- b) Provision reasonably required identified in CIN, CP or LAC plans (but not included in H1). This could also include detail about frequency of social worker and Independent Reviewing Officer (IRO) visits, care plan reviews, core group meetings, and placement details (if relevant).
- c) Overnight short breaks and services provided to CYP under 18 years old arising from their SEN but unrelated to a disability.
- d) Support delivered via Direct Payments (NB: This may be subject to change during the currency of this guidance. The Council for Disabled Children is still seeking clarity around this area).
- e) The Adult Care and Support Plan for young people eligible for support from Adult Services under the Care Act 2014 should be incorporated into Section H2.

All provision in H1 and H2 must be agreed by Children's Services and include the date when the provision will next be reviewed or will cease.

10. Appendices

Consider whether it would be relevant or proportionate to share any other support plans for the CYP with the agreement of the family, for example:

- Moving and handling plan
- Behaviour management plan
- Child in Care plan (following discussion with IRO)
- Short Break care plan
- Family Group Conference plan
- Plans relating to Youth Justice interventions

11. Report writer

- The SEND Team request for advice and information from Children's Services is part of the EHC process, which is based on statutory maximum timescales. Responses from report writers are therefore time critical.
- Practitioners **must** provide their response **within six weeks of the request**, using the 'Children's Services Needs Report for EHC Assessment' template.
- Practitioners **must** prioritise attendance at EHC planning meetings where requested, so they can contribute fully to the planning process.

12. Sharing your Report

- It will rarely be appropriate to share an entire assessment or care plan document directly, as they contain sensitive family information and history (as well as information about parents, siblings and others) which are likely not relevant for the purposes of EHC planning. Report writers must use professional discretion about the relevance and usefulness of information shared as outlined in this guidance.
- Practitioners **must** use the '*Children's Services Needs Report for EHC Assessment*' template when providing information and advice as part of the EHC Needs Assessment process.
- Practitioners **must** discuss and share their Report with young person and/or their parents or carers, and gain written consent using the '*Agreement to Share Personal Information*' template within the Report.
- When a CYP is in need of protection, consent to share information remains desirable but is not essential. Please apply the standards as outlined in [Working Together to Safeguard Children](#).
- Your completed Report will form an attachment to the EHC plan and therefore it is critical make the CYP and their parent or carer aware of this prior to obtaining their consent.
- Practitioners must send their completed report to the SEND Team **within six weeks of the request**.

13. Further advice and support

If you require further advice or guidance about completing your report, or advice and information about the SEND reforms or EHC planning, please consult the detailed guidance published on the [Local Offer](#) website where further policies and advice are published. This document is part of a suite of guidance documents, which form our approach to delivering services across the local area.

Appendix A - Completed Example

Children's Services Needs Report for EHC Assessment

1. Child or Young Person's details	
Child or Young Person's Name	Jay Castlewood
Date of Birth	22/11/03
Address	87 Forest Drive
Who has parental responsibility (if child is under 18 years)	Mother and father (names)

2. Status – mark 'X' as appropriate			
	Open Referral or Open Case	Previously known to service	Not known to service
Early Help		Date closed:	
Children's Services Children's Services – Specific Team:	X	Date closed:	
Adult Children's Services		Date closed:	

3. Has child or young person's needs been assessed?	
Type of assessment	Child and Families Assessment
Date assessment completed	10/02/17
Next assessment due	August 2017

4. Is there a plan in place?	
Type of care plan	Child in Need Plan
Date of last review	23/05/17
Date of next review	23/08/17

5. Needs identified (Section D of EHC plan)
<p>What Children's Services needs have been identified as a result of an assessment? You must follow advice in <i>Guidance Note 5</i></p> <p>Jay receives a package of support from the children's disabled team, this has been in place since Jay was 10 years old. A CiN review meeting was held in May 2017 to update Jay's support plan and Child and Families Assessment was completed in February 2018. This recommended an increase in his support because Jay's anxiety had increased, and he was becoming more socially isolated</p> <p>Jay was having frequent anxiety attaches and would bang his head with his fists or on walls</p>

Jay enjoys attending his local drama group, but has recently started to need significant preparation before the group to help him manage his anxiety, His family had to spend a lot of time encouraging and preparing Jay to attend which has impacted on the time they could spend with his sisters; this became even more difficult to manage during school holidays as the lack of structure in Jay's day can make his behaviour more difficult to manage

Jay requires a structured approach to social situations outside of school in order to reduce his anxiety. Travelling on public transportation is difficult for Jay as the crowds and unpredictable setting can heighten his anxiety, He needs to develop greater self – confidence in unfamiliar settings or with unfamiliar people

Jay requires support with his personal care needs

6. Suggested Outcomes (Section E of EHC plan)

What are the intended outcomes for the child or young person?

- Outcomes **must** be Specific, Measurable, Achievable, Realistic, Timed (**SMART**)
- Outcomes **must** be linked to the child or young person's aspirations or needs
- You **must** follow advice in *Guidance Note 6*

1. Jay has at least two friends whom he sees outside of school times, and Jay reports being more confident in developing and maintaining friendships

2. Jay auditions for a role in his drama group's yearly public performance in October 2020

3. Jay will tell people who are unfamiliar to him what he needs and wants, and he will use a range of strategies to remain calm in unfamiliar environments by the end of 2020

4. Jay uses public transport at least once per week by 2020

7. Provision (Section H of EHC plan)

You **must** follow advice in *Guidance Note 7*

Section H1:	Section H2:	Start, review and end dates:	How is support, intervention or provision delivered?
What support, interventions or provisions are being provided (or funded) by your service under s2 of the CSDPA to achieve the outcomes detailed in (6) above?	What other support, interventions or provisions are being provided (or funded) by your services under the Children Act 1989 or Care Act 2014 to achieve the outcomes detailed in (6) above?	1. When did support, intervention, or provision start? 2. When will support, intervention, or provision next be reviewed, or cease?	1. Who is delivering it? 2. When/where does it take place? 3. For how long? 4. How often?
Support worker to help Jay attend his drama group		Social Services agree Direct Provision funding of support worker on 01/09/19 Review can be requested sooner if	Core Assets provide support for 4 hours per week Support worker travels with Jay on public transport to and from drama

		Jay or his family's needs change	group and waits for Jay at the group Parents will schedule the 4 hours per week support directly with the Core Assets
	Personal Assistant (PA) will take Jay out into the community to enjoy activities and broaden his social networks	Social Services agreed Direct Payments funding for a PA on 01/02/19. Next review in August 2019 Review can be requested sooner if Jay or his family's needs change	Parents use DP to employ a PA 4 hours per week Each week PA takes Jay to local events and activities that will broaden his social networks
	Advice and guidance for Jay and his family to use Social Stories, Now and Next, Visual Timetables etc. to help prepare and reassure Jay for unfamiliar settings or people so he is less anxious	Jay and his family are being supported to use tools: progress will be reviewed at CiN meeting in August 2019	Social Worker liaising with school about tools they are currently using with Jay Social Worker explaining and exploring tools with family during home visits

8. Appendices

If relevant, detail any additional plans you will be submitting with your report

For example:

- Moving and Handling Plan
- Behaviour Management Plan
- LAC Care Plan
- Short Breaks Care Plan

9. Report Writer

Please read *Guidance Note 9* when completing this section

Name: Job Title: Team Name: Telephone: Email:	
Date this report was requested: Requester name:	Date report returned to SEND Team:

10. Sharing your report

- When child is in need of protection, consent to share information remains desirable but is not essential
- In **all** other circumstance consent must be gained before sharing report
- Reports must be provided within six weeks of request
- You **must** follow advice in *Guidance Note 10*

Parent/Carer

Has report been discussed and shared with parent/carer?

Has parent/carer consented to report being shared?

Child/Young
Person

Has report been shared with child or young person? If not please state reason

SEND Team

Once consent has been given to share this report you **must** forward the report and any appendices to the SEND caseworker within the requested time (see *Guidance Note 10*)SEND
Education Inclusion Service
Town Hall
Weston – Super – Mare
North Somerset
BS23 1UJ

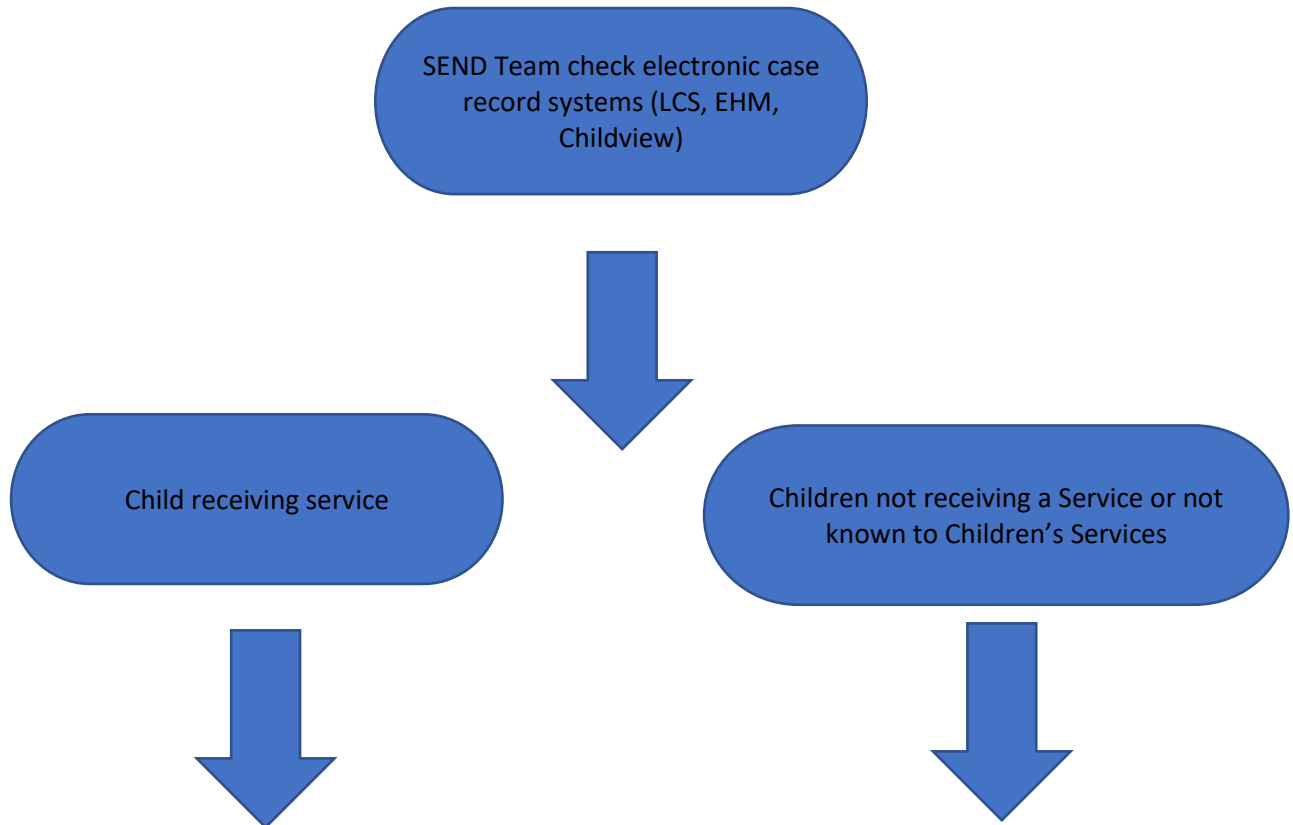
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Appendix B – Working towards Outcomes: the ‘golden thread’

Aspiration	Need	Outcome	Provision
Jon wants to be able to play in the garden with his family and friends	The garden is not wheelchair accessible due to steps, so Jon ends up staying indoors a lot	Jon feels fully involved in family life and enjoys family BBQs because he can move around the garden independently in his wheelchair	Adaptations to garden to allow wheelchair access. Groundworks in garden to begin in October 2019
Jane wants to have her own flat when she leaves college	Jane doesn't have the skills needed to be able to live away from her family home	When Jane is around 19, she will be living in accommodation that suits her needs and preferences. She will have the support she needs to feel happy and safe	Social Services agreed funding for Jane to attend a 14-week Life Skills training programme beginning June 2019
Jack wants to have friends to play with	Jack is struggling to maintain relationships because he becomes aggressive when feeling anxious, frustrated or emotionally overwhelmed	Jack will recognise when his feelings of frustration, fear, anxiety and anger are increasing and will be using tools and strategies to manage these feelings. If he begins to feel overwhelmed Jack will alert others so he can be supported	A positive behaviour plan details the provision
Janie would like to travel into town to go shopping on her own	Janice relies on her mother to take her into town because she is anxious about going on the bus	Janice will be using public transport independently at least once each month, for example, to enjoy shopping trips	Travel training provided by July 2017
Jordan's parents want to feel energised to meet the care needs of all of their children	Parents are exhausted by their caring responsibilities due to Jordan's complex needs. They struggle to spend quality 1:1 time with the other children because of this	Parents will have periods of respite whilst Jordan is at respite, to recharge their energies and spend quality 1:1 time with Jordan's siblings	Funding agreed, and placement identified to ensure Jordan receives 20 nights per year at residential respite

Appendix C – Process Flow Chart

Request for EHC Information First Stage – Request for Information



- Direct Email from SEND team to professional working with the family, copied to the relevant [Duty Inbox](#) in case of absence and in order that the case can be logged by the team
- Family Support & Safeguarding Team to provide relevant information to the SEND team.
- Request for EHCP advice should be recorded on LCS record for open cases.

- SEND team acknowledge on EHCP checklist not known and not receiving a service and the date of the check.
- If unknown, the request for information email sent to the [Duty Inbox](#) of Family Support & Safeguarding Team responsible for the child's home address.
- Family Support & Safeguarding Team should respond to the request as per the guidance.

Request for EHC Information

Second Stage – EHC Assessment

If CYP is currently or recently known or is already receiving a service, the SEND team will approach the allocated children's services practitioner for completion of EHCP information template.

If CYP is not known to children's services, or any historical information is no longer relevant to EHC needs, the request will be sent to the Family Support and Safeguarding Team covering the area where the CYP lives.

Family Support & Safeguarding Team review the EHC panel information received at stage 1 and make decision on any social care needs.

If the practitioner considers there may be social care or family wellbeing needs, the advice should be provided on the agreed template and returned to the SEND team within 6 weeks.

If the practitioner consider there are no social care or family wellbeing needs, they will respond, clearly stating they have reviewed the information and there are no needs associated with the CYP's SEND

If the case is open, the Family Support & Safeguarding Team updates LCS

SEND team upload final EHC plan or School support plan to LCS

Appendix D – Duty Inbox Addresses

- Family Support & Safeguarding Team East – CFTEastAdmin@n-somerset.gov.uk
- Family Support & Safeguarding Team South – WestonsouthBS@n-somerset.gov.uk
- Family Support & Safeguarding Team North – CFTNorthBS@n-somerset.gov.uk