

# Request for an Education, Health and Care needs assessment

## Guidance for completing K3 (educational evidence) for schools and early years settings

### Introduction

Before completing the request for an Education, Health and Care (EHC) needs assessment please read this guidance, particularly the information about completion of the form, and refer to Hampshire County Council's criteria *SEN Support: Guidance for early years providers, mainstream schools and colleges*, available to download from [www.hants.gov.uk/sen-guidance-forms.htm](http://www.hants.gov.uk/sen-guidance-forms.htm).

**Please note:** Colleges/Further Education settings - please use the **K3 FE form** and guidance available to download at [www.hants.gov.uk/sen-guidance-forms.htm](http://www.hants.gov.uk/sen-guidance-forms.htm).

This guidance aims to assist schools and early years settings in the production of the educational report required as their contribution towards an EHC needs assessment. The purpose of an EHC needs assessment of special educational needs under the Children and Families Act 2014 is to gain a clear picture of the child/young person as a whole person in terms of educational and social strengths as well as educational difficulties. The Local Authority (LA) **must** seek educational advice from the school or setting that the child/young person is currently attending.

You must think very carefully about why you are requesting an EHC needs assessment, not least so that it does not unfairly raise parental expectations. Parental confidence is undermined when an EHC needs assessment does not provide any new information about their child/young person, and when no new or additional resources are provided. Parental confidence is also undermined if a parent/carer is led to believe that an EHC needs assessment is the only way to provide support for their child/young person. As council tax payers, parents/carers have a right to know that the way in which Hampshire County Council delegates its funding for SEN means that intervention and support for children with SEN does not require an EHC needs assessment. This particularly applies when a child is transferring from primary to secondary school.

From the point of view of a child/young person, an EHC needs assessment is likely to subject them to a number of different assessments, sometimes for little clear purpose. There are occasions when carrying out an EHC needs assessment cannot be justified in terms of improved outcomes for the child/young person and as noted above, this includes when it does not provide any new understanding about a child's/young person's needs or any resources beyond those that the child/young person should normally receive in line with a school's responsibilities to meet the needs of all its pupils.

The introductory section of Appendix K3, therefore, asks you to state what difference an EHC plan would make for the child/young person, if one were issued. You must answer this question in terms of the improved outcomes you envisage an EHC needs assessment will lead to.

In Hampshire, when a school or early years setting requests an EHC needs assessment the request is also regarded as the potential educational advice for the assessment. The advice **must not** be influenced by consideration of the name of a school or early years setting at which the child/young person might eventually be placed. Specific schools must not be suggested. The LA will decide placement at a later stage in the light of any preferences or representations made by the parents/carers. However, you may discuss the child's/young person's needs and options in general with parents/carers, and your written advice can include consideration of options for provision including the scope for mainstream education. Your discussions and advice should not commit the LA nor pre-empt the parents'/carers' preferences. These are matters for the LA to determine when it has considered all the advice received.

Reports should be written in straightforward language, avoiding the use of jargon so they can be clearly understood by both parents/carers and other professionals. **It is important to remember that all reports are copied to parents/carers and the other professionals involved in the assessment process.** It is essential that the document is produced clearly and capable of being copied. Any views or comments made in the report should be backed up by clear evidence and care should be taken to avoid subjective descriptions or judgements. There should be an indication of the sources of information that are being used in drawing up your advice. Discussions with parents/carers and other professionals should be referenced and any written reports used should be appended. You should also refer to the nature of any assessments made, such as curriculum-based assessment and standardised tests, giving dates and timescales.

## **Completion of Appendix K3 form**

A recommended proforma for Appendix K3 is available to download from [www.hants.gov.uk/sen-guidance-forms.htm](http://www.hants.gov.uk/sen-guidance-forms.htm).

**Section 1** - asks for the essential details of the child/young person. Please alert the SEN Service to any family arrangements to which it should be sensitive, eg:

- who has parental responsibility/day-to-day responsibility
- the status/relationship of carers to the child/young person
- if the child/young person is a 'looked after' child or subject to a court order
- if the child/young person is with foster parents
- a second name and address if there is joint custody of the child/young person
- other names by which the child/young person is known.

Also include any additional information relating to communication with the parents/carers, eg:

- home language if not English
- if the parent/carer has a learning difficulty or particular communication needs arising from a visual or hearing impairment.

## **Section 2 - External agencies**

Requesting an EHC needs assessment should be a shared decision between you, the child's parents/carers, anyone else working with the child, and in some cases, the young person. Further, an EHC needs assessment should follow from work over a period of time where appropriate external agencies have been involved. Because of changes in service delivery, in particular Hampshire Educational Psychology, you might have accessed support and guidance from an educational psychologist in one of a number of different ways and you should provide evidence of this. Please name the professionals from external services, so they can be contacted to provide advice, should an assessment be agreed.

## **Section 3 - Description of the child/young person**

3.2 Relevant home factors - please provide only factual information related to the child's/young person's special educational needs: family information; medical information; and child's/young person's involvement in clubs/outside activities. If an Early Help assessment has been completed for the child/young person and includes this information there is no need to repeat it, assuming that you are attaching a copy of the Early Help assessment.

## **Section 4 - Relevant early education setting/school factors**

This section responds to concerns raised by the Ofsted *Special Educational Needs and Disability Review (September 2010)* and in particular, concerns that too many schools use low attainment and relatively slow progress as the main indicator of SEN. The recommendations from the review include:

- Schools should stop identifying pupils as having special educational needs when they simply need better teaching and pastoral support
- When a child/young person is underachieving, the school or setting should begin by analysing the effectiveness of its generic teaching and systems for support before deciding that she or he has special educational needs.

The progression charts should be used to log the child's/young person's progress over the last three years **or for a child in an early years setting, attach details of the record of development.**

## **Section 5 - Child's/Young person's current main areas of strength**

You are asked for a description of the child's/young person's current main areas of strength: the child's/young person's skills and attainments, including progress and their extra-curricular interests (or for a child in an early years setting, particular activities that they enjoy). Headings are provided to structure your response.

- **Evidence requirements** - please attach copies of:
  - the three latest consecutive personal plans and any reviews used to support Early Years/School Action Plus
  - evidence of specific interventions and reviews
  - for early years settings, a Portage summary report and/or record of involvement of the area Inclusion Co-ordinator (INCo) and/or outreach provider

- reports/evidence from any early years setting or school the child/young person has attended within the previous 12 months.

## **Section 6 - Child's/Young person's learning difficulties**

Headings are provided to describe the child's/young person's learning difficulties requiring special educational provision.

## **Section 7 - The child's/young person's social, emotional and mental health**

This section is only required if the child's/young person's principal special needs concern difficulties in social, emotional and mental health. An emphasis should be on analysis, not simply the submission of a behaviour log. Please note that details of the interventions used to support a child/young person are required in section 8.

- **Evidence requirements** - please attach copies of:
  - completed behaviour checklists/tally charts with the analysis
  - examples of an ABCC (Antecedent/Behaviour/Consequence/ Communication) chart showing behaviour across at least two separate weeks in the preceding three months
  - analysis of the behaviour over time with reference to the multi-element model to show attempts to understand the behaviour and to put in place proactive and responsive strategies and interventions.

## **Section 8 - Interventions undertaken and information from review and evaluation**

This section requires information about specific interventions undertaken to meet the child's/young person's needs and the outcome evidence available from reviews and evaluation. It is important to indicate what is 'additional to' or 'different from' the provision in place for other children/young people of the same age.

- **Evidence requirements** - please attach copies of: reports from health services (including speech and language therapist, physiotherapist, occupational therapist, or child and family guidance), social care, education welfare and any other documentation relating to interventions that have or are taking place.

## **Section 9 - Parents'/Carers' views - *Our Story* (Appendix K1)**

This is the opportunity for parents/carers to comment on the earlier stages of assessment including the action taken and support given to date. Parents/carers must see the completed report and supporting evidence before being asked to sign. Please ensure parents/carers understand that the way in which SEN funding is allocated in Hampshire means that in general, children/young people do not require an EHC needs assessment in order to be supported. This can be a particular issue in relation to transfer to secondary school, where parents/carers can be led to believe that they are obliged to agree to an EHC needs assessment as the only way of ensuring that their child/young person receives appropriate intervention in the secondary school.

**Please advise parents/carers that they will have the opportunity to comment in greater detail when the LA contacts them about the proposal to do an EHC needs assessment. At this point parents/carers will be asked to submit a completed *Our Story* (Appendix K1).**

## **Section 10 - Child's/Young person's views - My Views (Appendix K2)**

Please refer to the guidance and support materials *My Views - Child's/Young person's contribution to the EHC needs assessment*, available to download from [www.hants.gov.uk/sen-guidance-forms.htm](http://www.hants.gov.uk/sen-guidance-forms.htm).

**Please note**, there are various forms to use. Please select the one most appropriate to the age and understanding of the child/young person.

## **Section 11 - Educational Psychologist's views**

This section must be answered and completed by the Educational Psychologist (EP). If the child is in an early years setting, and there is no EP involvement, this section should be completed and signed by the Area Inclusion Co-ordinator.

- **Evidence requirements** - please attach copies of reports or advice from the educational psychologist.

## **Section 12 - Specialist Teacher Adviser's views**

This section is to be answered and signed by the specialist teacher adviser (STA) (STA for hearing impairment, visual impairment or physical disability). This is essential for children/young people with sensory impairment or physical disability.

- **Evidence requirements** - please attach copies of reports or advice from the STA. This should include a written summary of involvement to date.

## **Section 13 - Important notes and early years setting supervisor's/headteacher's signature**

This section includes important information about the SEN process. Finally, please ensure the form is signed and dated.

## **Section 14 - Checklist of supporting evidence requirements**

This checklist is attached to help you to ensure that all the relevant documents are included.

These guidelines and the Appendix K3 form are available to download from [www.hants.gov.uk/sen-guidance-forms.htm](http://www.hants.gov.uk/sen-guidance-forms.htm).

Please email the completed form to [enquiries.sen@hants.gov.uk](mailto:enquiries.sen@hants.gov.uk)