

SEND

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Handbook

CAPITA

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01 Document Change Control

Date	Release	Description				
12/11/2020		SEN2 – Covid-19				
		The DfE have stated that where it is impractical to meet the statutory deadlines for a reason relating to the incidence or transmission of coronavirus (COVID-19), the time limits set out in the SEND Code of Practice will not apply. Instead, the local authority or other body to whom that time limit applies will have to complete the process as soon as practicable.				
		As a result, local authorities should create an internal code to record this coronavirus scenario as an exception so that this can be factored into the calculation of the SEN2 return.				
		The internal code that is created for the coronavirus exception should <u>NOT</u> be mapped to the external code of 'M - SEN assessment in progress over Sep'14 with EHCP issued' as this external code isn't always treated as a standard exception when calculating the SEN2 Return.				
12/11/2020		In 3.68 release 2 new fields EHCP Type and Portal Process Step have been added to the EHCP Form Definition Form Details panel.				
		See Creating a new EHCP Form Template_on page 31				
06/04/2020	3.70	Important Note removed from Step 4: In the Stop Assessment panel, as it was giving incorrect information.				
		See <u>Stopping a Student's EHCP Assessment Involvement</u> on page 68.				
		Additional information added to ' <i>Step 4: Add a Trigger and…</i> ' to provide extra detail to users				
		See <u>Generating a New Schedule Task</u> on page 132.				
03/03/2020	3.70	The Question Reference numbering has been updated to be in line with the Dfe SEN2 Return for 2020.				
		The section 1.2a.iii – Educated Elsewhere – EOTAS now records information from 1.2a.iii.a up to 1.2a.iii.I				
		See <u>Question 1.2a: Establishment</u> (Table 2).				
		The section 2.2a.iii – Educated Elsewhere – EOTAS now records information from 2.2a.iii.a up to 2.2a.iii.I				
		See <u>Question 2.2a: Establishments</u> (Table 7).				

Date	Release	Description			
13/01/2020	3.70 HF	KB-480283 – SEN v4 Panels are bunching after running the SEN2 Return on 3.67			
		This feature update fixes an issue where panels are bunching after running the SEN2 Return.			
		A new Schedule Task has been created to allow returns to be run in the background, avoiding the timeout that causes this issue.			
		See <u>Gener</u>	<u>ating a SEN Return</u> on page 129		
		See <u>Setting</u> 132	g the Scheduled Task for the SEN2 Retu	<u>rn</u> on page	
24/11/2019	3.70	The DfE ha resulting in introduced	ave split three categories in <i>Q1.2a</i> and <i>Q</i> new Placement Type External codes be to record this.	2.2a, ing	
		Lookup Tal	ole ID 0128 – SEN School Type		
		Int Code	Description	Ext Code	
		EHE	Elective Home Education	E_EHE	
		APY	Under 5, not in education, awaiting placement	E_APY	
		APZ	Under 5, in education, awaiting placement	E_APZ	
		See <u>Questi</u> <u>Establishm</u>	o <u>n 1.2a: Establishment</u> (Table 2) and <u>Qu</u> <u>ents</u> (Table 7).	<u>iestion 2.2a:</u>	
15/11/2019	3.70.001	KB481974 - Statutory SEN2 Return: Changes to Question 3			
		Part 3 EHC Plans issued within 20 weeks			
		Previously where a request for assessment was refused, overturned upon mediation/tribunal then an EHCP was subsequently issued, the DfE did not want this scenario included under Part 3.			
		The DfE have now confirmed that they do wish to include this scenario into the SEN2 return. Therefore this feature update will ensure that Part 3 now reflects the DfE change in position.			
		For this scenario to be considered the child or young person must have:			
		1. An EHCP Assessment Involvement where the Assessment Type is an external code of 'INI – Initial Assessment', the Assessment Started checkbox is not checked, the Assessment Start Date is null and the Inactive Reason has an external code of 'REF – Assessment Refused'.			
		2. An EHCF an external o Issued is pop	PAssessment Involvement where the Assess code of 'OVR – LA decision overturned' and t bulated.	ment Type has he Date Final	
		Please note request for a	that the 20 week calculation will commence f ssessment date on the initial assessment.	rom the	
		See Part 3: I	Education, Health and Care Plans issued with	hin 20 weeks:	

Date	Release	Description			
Autumn	3.70	IMPORTANT NOTE FOR SEN2 2020			
2019		This year is the first time that the SEN2 statutory return <u>does not</u> require a count for SEN statements for any of the questions. The DfE guidance states that if SEN statements exist then these should be counted as EHC Plans for SEN2 2020.			
		However, the SEN2 return in Capita One Education does not automatically count students with statements in the system as having EHC Plans in the statutory return. This is because we wanted to highlight to local authorities instances where a student may have data that represents them having a statement, but in reality they have an EHC Plan and the local authority needs to update this in the system. See <u>Part B: Questions in the Return</u> on page 97.			
		Cont'd			
Autumn	3.70	Statutory Returns - Business Rules and Exception Messages			
2013		Part B: Questions in the Return <i>Part 4: Progress transferring children and young people with statements</i> <i>of special education needs to the new system</i> has been removed. This also includes Q4.1.a and Q4.1.b.			
		As a result of removing Part 4, all following questions have been renumbered.			
		The numbering and descriptions have been changed throughout the return to bring them in line with the latest version of the DfE Special Educational Needs Survey 2020. https://www.gov.uk/government/publications/special-educational-needs-survey-2020			
		See <u>Part B: Questions in the Return</u> on page 97.			
		The DfE have split three categories in <i>Q1.2a</i> and <i>Q2.2a</i> , resulting in new Placement Type External codes (<i>Lookup_Table ID 0128</i>) being introduced to record this. See <i>Question 1.2a: Establishment</i> and <i>Question 2.2a: Establishments</i>			
		See <u>Question 1.2a: Establishment</u> and <u>Question 2.2a: Establishments</u> A new External code 'OVR - overturned' has been added to Assessment Type (<i>Lookup_Table ID 0315</i>), which can be used on Assessment Involvements that have been created after the LAs decision has been overturned following a mediation or tribunal. See: <u>A3: Guide on Assessment Type Codes</u> on page 91. and <u>Flowchart</u> on page 96.			
November 2019	3.70	THIS FEATURE UPDATE WILL BE AVAILABLE IMMEDIATELY AFTER THE 3.70 RELEASE.			
		This feature update amends the logic of the SEN2 Return to include cases in Part 3 where it was the local authority's decision to refuse to assess that was overturned. See			
		<u>Part 3: Education, Health and Care Plans issued within 20 weeks</u> : on page 117.			
		This issue was resolved in the Autumn 2019 3.70 (3.70.001) feature update:			
		KB481974 - Statutory SEN2 Return: Late change from the DfE			

Document Change Control

02 Special Educational Needs and Disability (SEND)

Overview of SEND

One Special Educational Needs and Disability (SEND) supports English local authority teams undertaking the assessment and review of students with special educational needs, including those who are disabled, and supports the processes defined in the SEND indicative draft code of practice.

NOTE: Menu paths described in this handbook may be different if your One SEND menu has been customised.

SEN Key Concepts

To help get the most from the system, these are some important key concepts in One SEN v4.

Child/Person Focussed Processing

One SEN v4 software works on the premise that you can search for the student/person first then access all related information and carry out all appropriate business processes for that student/person, subject to access control.

SEN uses business processes to determine the user groups that have access to specific functionality.

Workflow Driven Home Page

As soon as you log in, SEN v4 displays a customisable home page that gives you useful information about your tasks.

My Involvements

For caseworkers and administration officers, this area lists any involvements currently assigned to you. Involvement forms are tailored to each service team with integrated workflow and user-designed fields. For more information on configuring involvement forms, see <u>EHCP Involvement</u> Forms Setup on page 19.

My Activities

My Activities are displayed on **My Home Page** which provides summary information about each activity that the person logged in is involved with. Activities can represent school, home or other agency visits, meetings (e.g. panel meetings, case conferences) or can represent work that a caseworker has to do such as write up a report or preparation time.

My Workflow Messages

This area lists actions due as a result of involvement timelines (e.g. letters to be sent, responses to chase, meetings to arrange).

Reports and Documents

Reports and documents are available directly from the home page.

Case Notes

Case notes are used to record details of events, meetings and communications between people. Case notes can be logged as key events in building up a history of the child.

Case notes can be added by various professionals who are also One users. A case note displays which service team it relates to and provides details of who created the case note.

Any files or documents that are linked to case notes are recorded on the **Case Note** panel and also on the **Chronology** browse.

Access to the Case Notes functionality for SEN is via the Chronology link in the Links panel.

For more information on case notes, refer to the v4 Client help file.

For more information on how to create a case note, refer to *RG_Chronology_Case Notes* available on the <u>One Publications</u> website.

Chronology

The chronology records significant events and changes in the life of a child/young person. The chronology records information about meetings, communications, case notes, which events are key events, etc.

Documents can be attached to the chronology by adding a new event. These attachments can be uploaded to the One database.

For more information on the chronology, refer to the v4 Client help file.

For more information on the chronology, refer to the following reference guides available on the <u>One Publications</u> website.

- RG_Chronology_Case Notes
- RG_Chronology_Using the Chronology.

SEND Key Concepts

Processes in SEND

These following processes are available in One SEND:

- EHCP Involvements
- EHCP Form Builder
- Students Chronology
- EHCP Timelines
- EHCP Case Notes
- EHCP Letters
- Personal Budget
- Child Protection
- Key Contacts
- Service Teams.

EHCP Involvements

EHCP involvements can only be added to a person who has been added a student.

EHCP involvements are accessed via Focus | Services | CSS Involvement Forms.

Involvement Form Details [New Involvement Form]				
💾 Save 📄 New 🔲 Da	ata Panels 📸 UDF Manager			
🕝 💿 01. Involvement l	Form Details			
01. Involvement Form E	Details			
Form Type	-			
	CSS Legal Actions Involvement			
EHCP Assessment Involvement				
	EHCP Mediation Involvement			
	EHCP Re-Assessment Involvement			
EHCP Review Involvement				
	EHCP Standalone Review Involvement			
	EHCP Tribunal Involvement			
	Generic CSS Involvement			

- EHCP Assessment Involvement (based on the existing SEN assessment form). A new EHCP Professional Contacts panel enables you to add multiple professionals with start and end dates. Panels have been updated to improve the assessment business flow.
- **EHCP Mediation Involvement** (based on the EHCP Tribunal Involvement). This form is used to record details about the mediation process for children and young people. The information is required for the SEN2 Return.
- **EHCP Re-Assessment Involvement** (a new involvement) used when parents or schools request an updated assessment due to a change in need.

EHCP Standalone Review Involvement (based on the existing SEN form).

EHCP Review Involvement (based on the existing SEN form). A *conversion review* type is used to move a student from an SSEN to an EHC Plan.

EHCP Tribunal Involvement (based on the existing SEN form).

EHCP Form Builder

You can create a student's EHC Plan in One using the integrated *Form Builder*, which was previously available in One's ICS module.



Student's Chronology

You can use the Chronology, a powerful tool to navigate around the main events in a student's history, such as involvements, case notes, child protection records and EHC Plans.

🖄 Chronology - 🙀 🕺								
Chronology o	Thronology of							
		Drag a column here to grou	up by this column.					
Date	Updated By	Event	CRN	Version Number	Туре	Form Definition Group / Form Type	Status	Chronology
Equals: 🕎	Contains: 7	Contains: 7	Contains: 7	Contains: 7	Co 7	Contains: V	Co 7	9
21/01/2014 16:21:33	System Administrator (SYSADMIN)	Sample Template for the EHC Plan		1 21/01/2014 ARS8039	EHCP		US	
21/01/2014 00:00:00	System Administrator (SYSADMIN)	Sen Stage: School Action Plus Start Date: 21/01/2014 Source: CCS					NA	
21/01/2014 00:00:00	System Administrator (SYSADMIN)	Chris EHOP Assessment Type: Initial Assessment Assessment Date: Need: Physical Disability Source: Department of Social Services				EHCP Assessment Involvement	NA	
21/01/2014 00:00:00	System Administrator (SYSADMIN)	Rays SEN Assessment Involvement Type: Further Assessment Assessment Date: Need: SLD - Speech & Language Source:				SEN Assessment Involvement	NA	
20/01/2014 17:15:00	System Administrator (SYSADMIN)	Meeting at home to discuss needs					us	
01/09/2013 00:00:00	System Administrator (SYSADMIN)	School History School Type: UPP Upper School Registration Type: Main reg base, no dual Start Date: 01/09/2013 End Date:					NA	

EHCP Timelines

New EHCP timeline templates have been created to reflect the 20-week statutory limit for EHC Plans. Also, a new timeline template has been built for the EHCP re-assessment involvement form. For more details on how to link involvement forms to timelines, see:

Using the Timeline Designer section in the SEN Handbook

RG_Involvements_Linking a Timeline on the One Publications website.

EHCP Case Notes

Case notes for Special Education Needs and Disability (SEND) are used to record details of events, meetings and communications between people.

Case notes can be added by various professionals who are also One users. A case note displays which service team it relates to and provides details of who created the case note. Access to the **Case Notes** functionality for SEN is via the **Chronology** link in the **Links** panel. For more information see <u>Adding Case Notes in Chronology</u> on page 49.

EHCP Letters

New letters to contacts are generated from the EHCP Timelines and then stored in the communication log and as linked documents.

For more information, see Viewing the Communication Log on page 59.

Personal Budget

The Provision screen lets you add a *Personal Budget* to record all (or some elements) of the provisions set out in a child's EHC Plan. You can also record discussions about personal budgets in a memo field on the EHCP assessment involvement.

For more information, see *Recording a Student's Provision* on page 79.

Child Protection

Child Protection is accessed via the **Links** panel on the student record. It enables you to indicate whether a child or young person is currently on the Child Protection Register of another CSSR (Council with Social Services Responsibility).

For more information, see *Child Protection* on page 82.

When a **Child Protection Contact Enquiry Record** is created, the child or young person's chronology is updated.

For more information, see <u>Student's Chronology</u> on page 27.

Key Contacts

The key contacts for the subject can be added to the **Contacts** panel in an Education, Health and Care Plan (EHCP), when a question type of 'A person with roles (adult or student)' is selected.

For more information, see Adding Key Contacts to an EHC Plan on page 41.

Reference Guides

The following reference guides are available on the <u>One Publications</u> website to help you with the processes in SEND.

- RG_Administration_Cloning EHCP Form Definitions
- RG_Administration_Creating EHCP Form Definitions
- RG_Administration_Printing ICS and EHCP Forms
- RG_Administration_Quick Reports
- RG_Administration_Viewing EHCP Question Definitions
- RG_Chronology_Case Notes
- RG_Chronology_Using the Chronology
- RG_Involvements_Creating an Involvement Form
- RG_Involvements_Creating an Involvement Record
- RG_Involvements_EHCP Assessment Field Interdependencies
- RG_Involvements_EHCP Professional Contacts
- RG_Involvements_Linking a Timeline to an Involvement
- RG_Involvements_Viewing_Creating EHCP Involvement Forms
- RG_Relationships_EHCP
- RG_Services_EHCP Administration_EHCP User Defaults
- RG_Services_EHCP Administration_EHCP Configuration
- RG_Services_EHCP Administration_EHCP Review Type Setup
- RG Services Setting up a Service Team
- RG_Timelines_Creating a Timeline
- RG_Timelines_Deleting a Timeline
- RG_Timelines_Printing a Timeline
- RG_Timelines_Timeline Details Summary
- RG_Timelines_Using a Timeline

NOTE: Please ensure that you are always working from the latest version.

03 Setting up One SEND

EHCP Administration

There are three new EHCP configuration options, which are based on existing SEN screens, accessible via **Focus | Services | EHCP Administration**:



- EHCP Review Types Setup enables you to set up the types of EHCP review.
- EHCP Configuration enables you to record the EHCP statutory time limits against which the progress of an EHC Plan is compared on the assessment involvement (see the Assessment Progress panel in an EHCP assessment involvement).
- EHCP User Defaults enables you to set your own defaults for SEND roles, i.e. assessment officer, admin officer, medical officer etc.

EHCP Review Types Setup

The **EHCP Review Types** screen enables you to set up the types of EHCP Review for use in One. Review types are used to populate the **Review Type** drop-down when an EHCP review involvement is created. For more information, see EHCP Review Involvement on page 72.

Using the screen:

Select Focus | Services | EHCP Administration | EHCP Review Type Setup to display the EHCP Review Enquiry dialog.

EHCP Review	Enquiry		×
🐴 Search [🖻	Collapse 👻		
1. EHCP Rev	iew Types		
Review Type	2		
Description			
New 💥 🛙	Delete 💼 Open In New Wind	dow	
Review Type	Description	Next Review	Active
ANN	Normal Annual Review	Yes	Yes
INT	Interim Review	Yes	Yes
CON	Conversion Review	Yes	Yes

- To open an EHCP Review Type, double-click the item or click the Open in New Window button. This enables you to change the Description, the Next Review and Active flags. The Review Type Code cannot be edited.
- To create a new Review Type, click the New button to display the EHCP Review Enquiry dialog. Enter the Review Type Code and Description. Consider whether the following fields are appropriate for your processes:

- **Next Review**: If this check box is selected, One SEND automatically sets an EHCP review for one year's time when a **Final Date** is entered and saved on an EHCP assessment involvement.
- Active: this check box allows you to 'archive' a review type. You may wish to do this if a
 review type is <u>not</u> to be used again but has records held against it.

NOTE: EHCP review types cannot share internal codes with SEN review types. However, EHCP and SEN review types can share descriptions if required.

EHCP Configuration

Each phase of an EHC Plan has a statutory time limit specified in the DfE Code of Practice. This screen allows you to enter the timescales as a default, against which the process dates of an assessment are validated on the **Assessment Progress** panel of an assessment involvement.

All phases are defined in weeks and days.

Select Focus | Services | EHCP Administration | EHCP Configuration to display the Statutory Limits For EHCP Assessment dialog.

1. Statutory Limits For EHCP Assessment		
Phase 1 - Decision 6 Weeks	Days	0
Phase 2a - Assessment 6 Weeks	Days	0
Phase 2b - Draft EHCP 4 Weeks	Days	0
Phase 3 - Final EHCP 4 Weeks	Days	0

EHCP User Defaults

EHCP User Defaults enables you to set your own default names for EHCP assessment roles, i.e. assessment officer, administrative officer, medical officer and social services and communication log sender.

NOTE: These names are specific to your User ID and must belong to your service team. It is <u>not</u> mandatory to define all professionals.

Select Focus | Services | EHCP Administration | EHCP User Defaults to display the EHCP User Defaults dialog.

HCP User Defaults			8
🖞 Save 💥 Remove De	efaults nt User Defaults		EHCP Assessment U 🔹 🖋
EHCP Assessment Use	er Defaults		
User Name	(i) System Administrator		
Assessment Officer	Sinead	🔍 🗙 🤱	
Administrative Officer	Phoebe	🔍 🗙 🤱	
Medical Officer	Richard	Q 🗙 🙎	
Social Services	Karen	Q 🗙 🙎	
Communication Log Sender	Administration Officer -		

- To add a default name to a role, click the **Browse** button. This displays a list of people who are assigned to the selected role. Select the required name and then click the **OK** button.
- To remove a default name, click the Clear Selection button. This clears the field for you to reselect, it does <u>not</u> delete the person from the role table.
- To clear <u>all</u> fields, click the **Remove Defaults** button.

Once defined, the names automatically populate the **EHCP Professional Contacts** panel on an EHCP involvement, as in this example:

EHCP User Defaults EHCP User Defaults Save X Remove Do Save EHCP Assessme	efaults nt User Defaults					EHCPA	issessment U 👻		
EHCP Assessment Us	er Defaults	07. E	HCP Ass	essment Invol	vement - EF	ICP Profess	ional Contacts		
User Name Assessment Officer	(i) System Administrator Sinead		Title	Forename	Surname	Role Code	Role Description	Start Date	E
Administrative Officer	Phoebe		Mr	Barry	1.000	EDPSYC	Education Psychologist	21/03/2014	•
Medical Officer	Richard		Mr	Richard	-	DOCTOR	Doctor	21/03/2014	•
Social Services	Karen		Mrs	Karen	Renau I	SOCSRV	Social Services Officer	21/03/2014	•
Communication Log Sender	Administration Officer	•	Mr	Mark	10,000	DPHEAD	Deputy Head Teacher	21/03/2014	•
		_		Judi	-	OPTH	Opthalmologist	21/03/2014	•

For more information, see <u>Adding Assessment Officers</u>, <u>Admin Officers and Professionals</u> on page *57*.

EHCP Involvement Forms Setup

EHCP involvements can only be added to a person who has been added as a 'student'.

This section describes how to set up EHCP involvement forms based on the following templates supplied by Capita:

 EHCP Assessment - A new EHCP professional contact panel allows you to add multiple professionals with start and end dates. Other panels have been updated to improve the assessment business flow.

For more information, see <u>Setting up an EHCP Assessment Form</u> on page 20.

• EHCP Re-Assessment (new template which did not exist before) - This form is used when parents or schools request an updated assessment for a child due to a change in need.

For more information, see <u>Setting up an EHCP Re-Assessment Form</u> on page 22.

• EHCP Standalone Review (based on existing SEN template).

For more information, refer to the SEN HANDBOOK

EHCP Review (based on existing SEN template).

For more information, refer to the SEN HANDBOOK

EHCP Tribunal (based on existing SEN template).

For more information, refer to the SEN HANDBOOK

EHCP Mediation (based on the EHCP Tribunal).

For more information, see Setting up an EHCP Mediation Form on page 25.

To set up an involvement form you give it a description, a caseworker label and then add the lookup codes which display in the drop-down fields on the panels in a student's involvement record.

NOTE: If required, you can create new lookup codes, but lookup tables are shared with the SEN module and therefore are also available for SEN involvements.

Setting up an EHCP Assessment Form

To set up an EHCP Assessment Involvement Form:

1. Select Focus | Services | CSS Involvement Forms to display the Involvement Form Enquiry dialog.

Involvement Form Enquir	×
👫 Search 🖹 Collapse	B
01. Involvement Form D	tails
Form Description	
Form Type	•
📄 New 💥 Delete 🚞 🤇	pen In New Window

2. Click the New button to display the Involvement Form Details dialog. Select EHCP Assessment Involvement from the Form Type drop-down list.

🕝 🕗 01. Involvement	Form Details		
01. Involvement Form	Details		
Form Type		-	<u>C</u> ontinue
	CSS Legal Actions Involvement		
	EHCP Assessment Involvement		
	EHCP Mediation Involvement		
	EHCP Re-Assessment Involvement		
	EHCP Review Involvement		
	EHCP Standalone Review Involvement		
	EHCP Tribunal Involvement		

3. Click the **Continue** button to display the **Involvement Form** panels.

01. Involvement Form I	Details
Form Description	
Form Type	EHCP Assessment Involvement *
Caseworker Label	
Send To ContactPoint	ContactPoint Sensitive Service Involvement

- 4. In the Involvement Form Details panel:
 - Enter a **Form Description** to describe this involvement form.
 - Enter a Caseworker Label. This title is displayed on the involvement form and is the label your Local Authority uses for Caseworkers.
- 5. Click the **Save** button to save the involvement form.
- 6. In the **CSS Service Teams** panel, link the service teams that can use this form to create involvement records for students.

(02. CSS Service Teams		
	Service Team Name	Exclude Involvements from CSS/SEN Summary Reports by Default	🖶 Add
	Chris EHCP Service team	No	💥 Remove

You can associate involvement forms with one or more service teams. This means that a particular involvement form might <u>not</u> be available to a user in another service team.

- a. Click the Add button to display the CSS Service Team Enquiry dialog.
- b. Click the **Search** button to display a list of service teams.

- c. Select the **Service Teams** to whom you want to make the mediation involvement available. You can hold down the **Ctrl** key to select multiple service teams.
- d. Click the **Select** button to close the dialog and add the selected service teams to the involvement.
- 7. In the **Statuses** panel, click the **Add** button to select the involvement statuses that you want to be displayed in the involvements created from this template (*Table_ID 0674*).

03. Statuses					
Internal Code	Description	External Code	Active	Display for Selection	bbA 🛟
Look	sup Codes - Involven	nent Status			St. Williamson
Internal	Code Description	External Code	Active		
LK	0674 - TABLE	JD M	Yes		
A	Active	A	Yes		
C	Closed	С	Yes		

8. In the **Sources** panel, click the **Add** button to select the organisation or individuals that can originate a request for assessment (*Table_ID 1052*).

04. So	ources				
Intern	nal Code E	Description External Code	Active	Display for Selection	🖶 🖶 Add
ſ	S Lookup Co	odes - Involvement Source			and the second second
	🦑 Select All	💞 Select			
	Internal Code	Description	External Code	Active	
	_LK	1052 - TABLE_ID	A	Yes	
	CDA	Child Development Advisor		Yes	
	CP	Clinical Psychology		Yes	

NOTE: The **Reasons** and **Outcomes** panels contain generic functionality and are not part of the statutory EHCP process. You can hide these panels on the student's involvements, if required, using the **Data Panel** button at the top of the page.

 In the EHCP Assessment Types panel, click the Add button to select the statutory assessment types relevant to this involvement (*Table_ID 0315*).

Internal Code	Description	External Code	Active	🔂 Add
S Lookup	Codes - Assessme	nt Type		
Select A	All 🛷 Select			
Internal Co	de Description	External Code	e Active	
LK	0315 - TABLE_I	OTH	Yes	
EP	Educational Psyc	h OTH	No	
ENO	Enquiry	ОТН	Ves	

10. In the EHCP Assessment Categories panel, click the Add button to select the category types relevant to this involvement (*Table_ID 0612*).

08. E	HCP Assess	ment Categori	ies			
Inter	mal Code	Description	External Code	Active		Add 🖶
ſ	🕥 Lookup					
	🤣 Select A	ll 🛷 Select				
_	Internal Cod	e Description	1	External Code	Active	
	_LK	0612 - TAE	BLE_ID		Yes	
	CL	Cognition a	ind Learning		Yes	
	CI	Communica	ation and Interaction		Yes	

11. Click the **Save** button. Saved involvement forms are added to the list in **Focus** | **Services** | **CSS Involvement Forms**. The new involvement form is now available for use by its target caseworkers.

More Information:

<u>EHCP Involvements</u> on page 13. <u>EHCP Assessment Involvement</u> on page 55.

RG_Involvements_Creating an Involvement Form RG_Involvements_Creating an Involvement Record RG_Involvements_Viewing/Creating EHCP Involvement Forms RG_Involvements_EHCP Professional Contacts available from the <u>One Publications</u> website.

Setting up an EHCP Re-Assessment Form

Local authorities may conduct re-assessments when a child or young person that already has an existing EHC Plan has their needs changed significantly. This means that when a child or young person is re-assessed, they should already have an active EHC Plan (*EHCP Assessment Involvement* or *SEN Assessment Involvement* with linked *EHCP Conversion Review Involvement* or *EHCP Re-Assessment Involvement*).

To set up an EHCP Re-Assessment form:

1. Select Focus | Services | CSS Involvement Forms to display the Involvement Form Enquiry dialog.

Involvement Form Enqui	ry		×
👫 Search [🔁 Collapse	• 🕞		
01. Involvement Form E	Details		
Form Description			
Form Type		-	J
📄 New 💥 Delete 💼	Open In New Window		

2. Click the **New** button to display the **Involvement Form Details** dialog. Select **EHCP Re-Assessment Involvement** from the **Form Type** drop-down list.

Involvement Form Detail	s [New Involvement Form]		×
Save New D	ata Panels 🚵 UDF Manager		01. Involvement Forn 👻 🚀
Form Type	CSS Legal Actions Involvement EHCP Assessment Involvement EHCP Review Involvement EHCP Review Involvement EHCP Tribunal Involvement SEN Standalone Review Involvement SEN Standalone Review Involvement SEN Statement Review Involvement SEN Statement Review Involvement SEN Statement Review Involvement SEN Statement Review Involvement SEN Tribunal Involvement	Continue	

3. Click the **Continue** button to display the **Involvement Form Details** panels.

Involvement Form Details	s [New Involve	ment Form]					8
💾 Save 📄 New 🗔 Da	ata Panels 🔗	UDF Manager					
🕘 😔 01. Involvement	Form Details	02. CSS Service Teams	03. Statuses	04. Sources	05. Reasons	01. Involvement Forn	- 9
01. Involvement Form	Details						
Form Description Form Type Caseworker Label	EHCP Re-Ass	essment Involvement		¥			
02. CSS Service Teams			Service Involve	ement			5
Service Team Name Ex	xclude involven	ents from CSS/SEN Summ	ary Reports by	Default		Add 🛠 Remove	2

- 4. In the Involvement Form Details panel:
 - Enter a Form Description to describe this involvement form.
 - Enter a Caseworker Label. This title is displayed on the involvement form and is the label your Local Authority uses for Caseworkers.
- 5. Click the Save button to save the involvement form.
- 6. In the **CSS Service Teams** panel, link the service teams that can use this form to create involvement records for students.

(02. CSS Service Teams				
	Service Team Name	Exclude Involvements from CSS/SEN Summary Reports by Default	🖶 Add		
	Chris EHCP Service team	No	💥 Remove		

You can associate involvement forms with one or more service teams. This means that a particular involvement form may <u>not</u> be available to a user in another service team.

- a. Click the Add button to display the CSS Service Team Enquiry dialog.
- b. Click the **Search** button to display a list of service teams.
- c. Select the **Service Teams** you want to make the re-assessment involvement available to. Hold down the **Ctrl** key to select multiple service teams.
- d. Click the **Select** button to close the dialog and add the selected service teams to the involvement.
- In the Statuses panel, click the Add button to select the involvement statuses that you want to be displayed in the involvements created from this template (*Table_ID 0674*).

Internal Code	Description	External Code	Active	Display for Selection	🔜 🔂 🖓
S Lool	cup Codes - Involv	ement Status			S. Allanano or
Sele	ct All 🛷 Select				
Internal	Code Description	External Cod	de Active		
_LK	0674 - TAB	LE_ID M	Yes		
A	Active	A	Yes		
С	Closed	С	Yes		

8. In the **Sources** panel, click the **Add** button to select the organisation or individuals that can originate a request for assessment (*Table_ID 1052*).

ternal Code	Description External Code	Active	Display for Selection	Add 🖶
S Lookup C	odes - Involvement Source			and the second
Select All	💞 Select			
Internal Code	Description	External Code	Active	
_LK	1052 - TABLE_ID	A	Yes	
CDA	Child Development Advisor		Yes	
CP	Clinical Psychology		Ves	

NOTE: The **Reasons** and **Outcomes** panels contain generic functionality and are not part of the statutory EHCP process. You can hide these panels on the student's involvements, if required, using the **Data Panel** button at the top of the page.

9. In the EHCP Assessment Types panel, click the Add button to select the statutory assessment types relevant to this involvement form (*Table_ID 0315*).

Internal Code	Description	External Code	Active	🖶 Add
S Looku	p Codes - Assessme	nt Type		
Select	All 🛷 Select			
Internal Co	ode Description	External Coo	le Active	
LK	0315 - TABLE_ID	OTH	Yes	
EP	Educational Psyc	h OTH	No	
ENQ	Enquiry	ОТН	Yes	

If you want to add an inactive **Assessment Type**, a confirmation message is displayed asking if you want to proceed.

10. In the EHCP Assessment Categories panel, click the Add button to select the categories relevant to the involvement form (*Table_ID 0612*).

08. E	HCP Asses	sment Categori	es	*****		
Inter	nal Code	Description	External Code	Active		🖶 Add
ſ	🛐 Lookuj	p Codes - SEN	Category			
	🤣 Select /	All 🛷 Select				
	Internal Co	de Description		External Code	Active	
•	_LK	0612 - TAB	LE_ID		Yes	
	CL	Cognition a	nd Learning		Yes	
	CI	Communica	tion and Interaction		Yes	

11. Click the **Save** button. Saved involvement forms are added to the list in **Focus** | **Services** | **CSS Involvement Forms**. The new involvement form is now available for use by its target caseworkers.

More Information:

EHCP Involvements on page 13.

Setting up an EHCP Mediation Form

To set up an EHCP Mediation Involvement Form:

1. Select Focus | Services | CSS Involvement Forms to display the Involvement Form Enquiry dialog.

Involvement Form Enquir	ry	×
👫 Search [🖻 Collapse	- 2	
01. Involvement Form D	Details	
Form Description		
Form Type	·	
New 💥 Delete 💼 🤅	Open In New Window	

2. Click the **New** button to display the **Involvement Form Details** dialog. Select **EHCP Mediation Involvement** from the **Form Type** drop-down list.

Save New D	ata Panels 🔮 UDF Manager Form Details	
01. Involvement Form	Details	
Form Type	·	Continue
	CSS Legal Actions Involvement EHCP Assessment Involvement	
	EHCP Mediation Involvement	
	EHCP Re-Assessment Involvement	
	EHCP Review Involvement	
	EHCP Standalone Review Involvement	
	EHCP Tribunal Involvement	

3. Click the **Continue** button to display the **Involvement Form** panels.

01. Involvement Form D	etails		
Form Description			
Form Type	EHCP Mediation Involvement	*	
Caseworker Label			
Send To ContactPoint		ContactPoint Sensitive Service Involvement	

- 4. In the Involvement Form Details panel:
 - Enter a **Form Description** to describe this involvement form.
 - Enter a Caseworker Label. This title is displayed on the involvement form and is the label your Local Authority uses for Caseworkers.
- 5. Click the **Save** button to save the involvement form.
- 6. In the **CSS Service Teams** panel, link the service teams that can use this form to create involvement records for students.

(02. CSS Service Teams		
ſ	Service Team Name	Exclude Involvements from CSS/SEN Summary Reports by Default	🖶 Add
	Chris EHCP Service team	No	💥 Remove

You can associate involvement forms with one or more service teams. This means that a particular involvement form might <u>not</u> be available to a user in another service team.

- a. Click the Add button to display the CSS Service Team Enquiry dialog.
- b. Click the Search button to display a list of service teams.
- c. Select the **Service Teams** to whom you want to make the mediation involvement available. You can hold down the **Ctrl** key to select multiple service teams.
- d. Click the **Select** button to close the dialog and add the selected service teams to the involvement.
- 7. In the **Statuses** panel, click the **Add** button to select the involvement statuses that you want to be displayed in the involvements created from this template (*Table_ID 0674*).

03. Stat	tuses					
Interna	al Code Des	scription Ex	cternal Code	Active	Display for Selection	Add 🛟
ſ	🛐 Lookup Co	des - Involvemen	t Status			S. Calendaria
	🧳 Select All	🛷 Select				
	Internal Code	Description	External Code	Active		
	_LK	0674 - TABLE_ID	М	Yes		
	А	Active	А	Yes		
	с	Closed	С	Yes		

NOTE: The **Reasons** and **Outcomes** panels contain generic functionality and are not part of the statutory EHCP process. You can hide these panels on the student's involvements, if required, using the **Data Panel** button at the top of the page.

8. In the **Mediation Reasons** panel, click the **Add** button to select the reasons for the mediation (*Table ID 1203*).

06. Me	diation Re	asons					
Intern	al Code	Description	External Code	Active		4	Add
	🛐 Looki	up Codes - Reaso	on for Mediation	n			Sec.
	🧳 Select	: All 🛷 Select					
	Internal C	ode Description		External Code	Active		
•	_LK	1203 - TAB	ILE_ID		Yes		
	AFEHCP	After final I	EHC plan		Yes		
07. M	CEEHCP	Cease to m	aintain EHC plan		Yes		

 In the Mediation Outcomes panel, click the Add button to select the outcome of the mediation (*Table_ID 1204*), e.g. *Reached Agreement, Disagree*. Mediation Outcomes must be linked to an External Code.

nternal Code	Description	External Code	Active	🖶 Add	
E Looi	up Codes - Media	tion Outcome			
Selec	🛷 Select All 🛷 Select				
Internal	Code Description	External Cod	de Active		
_LK	1204 - TABI	.E_ID OTHER	Yes		
MEDAG	R Reached Ag	reement MEDAGR	Yes		
MEDDIS	Disagreeme	nt MEDDIS	Yes		

 Click the Save button. Saved involvement forms are added to the list in Focus | Services | CSS Involvement Forms. The new involvement form is now available for use by its target caseworkers.

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More Information:

<u>EHCP Involvements</u> on page 13. <u>EHCP Mediation Involvement</u> on page 74.

RG_Involvements_Creating an Involvement Form RG_Involvements_Creating an Involvement Record RG_Involvements_Viewing/Creating EHCP Involvement Forms RG_Involvements_EHCP Professional Contacts available from the <u>One Publications</u> website.

EHCP Form Builder

Form Builder

You can create a student's EHC Plan by using customisable templates of questions created in the Form Builder, which is accessible via **Tools** | **Administration** | **EHCP Forms**.

An EHCP form template comprises panels of question groups, e.g. *About Me*. Questions groups contain specific questions, e.g. *What is important to me*?

Student's Chronology

Once you have created EHCP form templates you can use them to create students' EHC Plans using the **Chronology**, which enables you to navigate around the main events in a student's history, such as involvements, case notes and EHC Plans.

A student's EHCP question and answer data is carried forward to their next EHC Plan which you can amend, for instance, following a review.



There are two ways to create an EHCP template:

Clone your EHCP Form Template(s) from supplied sample template. The easiest (and recommended) way of creating your own EHCP templates is to clone the Capita-supplied sample template. Once you have done this you can customise the cloned questions to suit your own purposes.

NOTE: You can use ACLs to restrict access to the EHCP sample template. See Set ACL (User Control List) in the online help for more details.

 Build your EHCP Form Template from scratch. The form building process takes longer than cloning because you must define the new template outline, define questions, and add questions to groups.

EHCP Template versions

EHCP templates with the same **Form Definition Code** are treated as being the same by the system. Therefore, only the template with the most recent date will show as **Current**. Any older templates with the same **Form Definition Code** are regarded as **Previous** versions.

A Current template has a start date of either today or in the past.

1. Form Details						
Form Definition Cod		Form De	finition Filter	Current -		
New 💥 Delete	🔄 Open 💼 Open In New Window	😽 Next 🥤	Previous	Current Previous		
Form Definition Code	Title	Start Date	Age Range Star	All	e Ends At	Form Description
EHCP0001	Sample Template for the EHC Plan	01/01/2014	0	25	·	Sample Template for the EHC Plan

Once templates have been used to create a student's EHC Plan they become read-only and cannot be changed.

However, if you need to amend a template you can easily create a new cloned version and make changes. This cloned template supersedes the previous ones, providing you do <u>not</u> change the **Form Definition Code**.

Before you start building EHCP Form Templates

The precise layout of the EHCP Forms is decided locally according to individual local authority's requirements. The following should be considered before building your EHCP templates:

- Decide what EHCP templates you want. You could use one EHCP template for all students. However, you might want three separate templates according to students' age, for example, for students aged between 0 and 5, 6 and 16, 17 and 25.
- Decide on the content and layout of your template. You should decide on the content, i.e. what questions you want to ask and the order you want to show them on the form. Also, you need to choose the posts that will Sign Off and Counter Sign Off student's EHC Plans.
- Clone or build your own EHCP templates? Capita provides a standard EHCP template for you to clone and customise if you prefer not to build an EHCP template from scratch.

EHCP Form Definition	n []	
💾 Save Get ACL 🛛 C	lone	
🔇 🕗 1. Form Details	2. Sign Off	3. Form Que
1. Form Details		
Title		

For more information about cloning an EHCP template, see <u>Cloning an EHCP Template</u> on page 29.

- Decide on the naming conventions for your templates. When you create or clone a template you should give them a meaningful:
 - Title: This is displayed in Chronology when you select a template from which to create a student's new EHC Plan.
 - Form Definition Code: EHCP templates with the same Form Definition Code are treated as being the same by the system. Therefore, only the template with the most recent date will show as Current and be available for selection in a student's Chronology. Any older templates with the same Form Definition Code are regarded as Previous versions.

Search for EHCP Form Templates

1. Select **Tools** | **Administration** | **Form Builder** | **EHCP Forms** | **Form Definitions** to display the **EHCP Form Definition Enquiry** panel.

EHCP Form Definition Enquiry			×
🏦 Search 📧 Collapse 👻			
1. Form Details			
Form Definition Code	Form Definition Filter	Current -	
📄 New 💥 Delete 📰 Open 📄 Open In New Windov	w 🖶 Next 👚 Previous		
ICS Form Definition			
📄 New 🚍 Print			

- 2. To narrow the search results, enter a full or partial **Form Definition Code**. To filter the search, use the **Form Definition Filter** drop-down.
- 3. Click the **Search** button.
- 4. To open a form template, double-click the **Form Definition** you want. If the form template has <u>not</u> been used yet as the basis for a student's EHC Plan, you can edit the form.

NOTE: If an EHCP form template has already been used to create a student's EHC Plan, the template's form questions are read-only.

Cloning an EHCP Template

You can duplicate (clone) and then amend an existing EHCP form template, for example, the Capita-supplied template, 'Sample Template for the EHC Plan'.

Cloning creates a copy of the original form template showing the existing **Form Definition** details with today's date as the new **Start Date**. You can change details to reflect the new EHCP form template and modify the questions required.

For more information about the EHCP template versioning process, see <u>EHCP Template</u> versions on page 28.

1. Select **Tools | Administration | Form Builder | EHCP Forms | EHCP Form Definitions**, to display the **EHCP Form Definition Enquiry** dialog.

EHCP Form Definition Enquiry							
👫 Search [🖻 Collar	治 Search 🖹 Collapse 👻						
1. Form Details							
Form Definition Cod	Form Definition Code Form Definition Filter Current						
New 💥 Delete	드 Open 🛅 Open In New Wind	dow 👆 Nex	t 👚 Previous				
Form Definition Code	Title	Start Date	Age Range Starts At	Age Range Ends At	Form Description	Form	
EHCP0001	Sample Template for the EHC Plan	01/01/2014	0	25	Sample Template for the EHC Plan		

- 2. If required, enter your search criteria, then click the **Search** button to display forms that meet your search criteria.
- 3. Double-click the required form template to display its details.
- 4. Click the **Clone** button to make an editable copy of the EHCP form.

EHCP Form Definition	n [Sample Template for the EHC Pla	n]			×
💾 Save 🎧 Set ACL 🛛 C	lone				
🔇 🕗 1. Form Details	2. Sign Off 3. Form Questions			1. Form Details	- 🕖
1. Form Details					
Title	Sample Template for the EHC Plan			*	
				*	
Subtitle				•	
Form Definition Code	EUCD0001	Start Date	01/01/2014	Ŧ	=
1 of the Definition Code	ENCFUUUI	Start Date	€ 01/01/2014		
Age Range Starts At	0	Age Range Ends At	25		
Form Description	Sample Template for the EHC Plan			*	

- 5. Make the changes you want to the cloned EHCP form template. It is recommended that you:
 - a. Re-name the **Title** to assist identification.
 - b. Retain the same **Form Definition Code** <u>only</u> if you want this cloned form to supersede the previous template.
 - c. Enter the Start Date you want the template to be effective from.
- 6. If required, you can amend the questions and the question groups in the **Form Questions** panel.

3. Form Questions			
Question Selector			
	🕥 Actions 👻		
OU2. Social Care Status Social Care Status Social Care Status (E00180) Social Care Status (E00180) Ou3. EHCP Details Date of EHC Plan (E00001) Version of Plan (E00002) Was Plan Previous SSEN. (E00003) Social Care Status Versions SSEN. (E00004) Date to Review the Plan (E00006) Permissions to Receive the Plan (E00007) OU4. CYP One Page Profile Details A Photograph (E00020) Description of Photograph (E00021) What People Like and Admire About Me (E00022) What Is Important To Me (E00023) How Beet To Sungorth Ma (E00024)	Creatense Add Ques Add Ques E00003 E00004 E00006 E00007 E00020 E00021 E00022 E00023 E00023 E00024 E00025	w Question tion To Form tion To New Group On Form Was Plan Previously a SSEN If So, Date of Previous SSEN. Date to Review the Plan Permissions to Receive the Plan A Photograph Description of Photograph What People Like and Admire About Me What Is Important To Me How Best To Support Me Things I Need More Help With	- III
Things I Need More Help With (E00025) My Hopes and Dreams For The Future (E00026) Contemporation of Page Profile Details Family Photograph (E00040) Contemporation Of Family Photograph (E00041) Contemporation Family May Wish To Share (E00042)	E00026 E00040 E00041 E00042 E00043 E00044	My Hopes and Dreams For The Future Family Photograph Description Of Family Photograph Information Family May Wish To Share Parent / Carer Aspirations	

NOTE: For more information on adding and amending questions, see<u>Creating a new EHCP Form</u> <u>Template</u> on page 31.

7. When you have finished creating the new EHCP form template, click the **Save** button.

Creating a new EHCP Form Template

Overview

Although we recommend cloning the Capita-supplied templates, it is possible to create your own from scratch. There are four stages to creating an EHCP form template:

- Entering form details
- Adding signatories
- Adding/editing questions
- Adding questions to groups.

Enter Form Details

1. Select **Tools** | **Administration** | **Form Builder** | **EHCP Forms** | **Form Definitions** to display the **EHCP Form Definition Enquiry** dialog.

01	EHCP Form Definition En	quiry			×
a	🐴 Search [🖻 Collapse 👻				
(1. Form Details				
ľ	Form Definition Code	Form Definition Filter	Current	•	

2. Click the New button to display the EHCP Form Definition dialog.

ſ	EHCP Form Definitio	n []	×
	💾 Save 😚 Set ACL 🛛	lone	
	🔇 🕗 1. Form Details	2. Sign Off 3. Form Questions	1. Form Details 🔹 🖌
	1. Form Details		^
	Title		
	Subtitle	▲	
		✓	
	Form Definition Code	Start Date	
	Age Range Starts At	Age Range Ends At	
	Hide In Chronology	K EHCP Type	
	Portal Process Step	•	
	Form Description	^	

- 3. Enter the details of the EHCP Form, as follows:
 - Title and Subtitle.
 - Form Definition Code: Use a suitable numbering system for your EHCP Forms. One SEND does not allow a code to start with Z, as this is used elsewhere in One.
 - Start Date: Enter the effective starting date of the EHCP Form. Choose a date from the calendar by clicking the down arrow.
 - **EHCP Type:** Draft EHCP or Final EHCP.
 - **Portal Process Step:** select Request, Assessment, EHC Plan or EHCP Reviews.

- Form Description.
- Form Guidance Notes: Enter text to assist users filling in the printed EHC Plan. When you print a student's EHC Plan, you can choose on the Print dialog whether to include the guidance notes on the printed form.

For more details about printing EHC Plans, see <u>Document Type Options</u> on page 48.

NOTE: Guidance notes can also be added to each panel by entering text in the **Data Group Guidance Notes** field. Guidance notes are in italics and appear above the details of the panel. See <u>Creating and Populating Question Groups</u> on page 35.

4. In the Sign Off panel, in the Establishments->Posts navigation tree, select the Sign Off and Counter Sign Off posts of the One users who are responsible for digitally signing off student's EHC Plans:



NOTE: Students' EHC Plans must be signed off before they are complete. They are then locked for editing, but can be unlocked, if required, by the designated signatories. This creates another editable version of the form. It also keeps a read-only version of the previous answers available on the student's Chronology.

Defining EHCP Form Template Questions

The **Question Selector** panel is the foundation of the EHCP form template. It is a two pane panel which is either:

- pre-populated in the left pane for an <u>existing</u> form or
- blank for a <u>new</u> form.

3. Form Questions	
Question Selector	
	Actions 🗸
	Create New Question
	📓 Add Question To Form
	📓 Add Question To New Group On Form
	E00003 Was Plan Previously a SSEN
	E00004 If So, Date of Previous SSEN.
	E00005 Childs Area of Need
	E00006 Date to Review the Plan
	E00007 Permissions to Receive the Plan 😑
	E00020 A Photograph
	E00021 Description of Photograph
	E00022 What People Like and Admire Abo
	E00023 What Is Important To Me
	E00024 How Best To Support Me
	E00025 Things I Need More Help With

The right pane (ie. the *question bank*) lists all available questions, where you can define additional questions. After creating any required, new questions in the question bank, they then must be added to groups.

To create additional questions:

1. In the **Question Selector** panel, click the **Actions** button and select **Create New Question** to display the **EHCP Question Definition** dialog.

EHCP Question Defin	ition []		
💾 Save			
🔇 💿 Question Inform	ation Question Restrictions		Question Information 👻 🥖
Question Information			
Question Code			
Description			^
			-
Data Type	Text	-	
Memo	×		
Question Restrictions			
Answer Maximum Length		Answer is spell checked 🗙	
Answer is Mandatory	×	Answer appears on the X Chronology	
Answer is constrained	×		
Constraint list (Please write each entry on new			
line.)			

- 2. To define a question:
 - a. Enter a **Question Code** suitable for your purposes. Do <u>not</u> start codes with the letter Z, as these are used elsewhere in One.

NOTE: When entering a **Question Code**, <u>do not paste</u> any values in to this field. This can leave a carriage return in this field, which can cause unwanted results when using forms that have these questions on.

- b. Enter a **Description** suitable for your purposes.
- c. Select a **Data Type** from the drop-down list. The data type controls how the question is displayed on the students' EHC Plans

Question Data Type	Answer Description/Example
Text	Inserts a text box. Use with Answer Maximum Length field.
Integer Number	Only accepts whole numbers. NOTE: When designing SEND forms in the Form Builder and creating new SEND Portal Question Definitions, it is advisable <u>not</u> to use the Integer Number Data Type to capture phone numbers, as a leading zero (0) at the start of the phone number is omitted. If you would like to capture phone numbers, it is advised you use the Text Data Type .
Decimal Number	Only accepts decimal numbers.
Yes/No	Inserts a tri-state checkbox, i.e. tick, cross, blank.
An Address	Displays the Address Enquiry dialog where you can select an address from the Address Manager.
An Agency	Provides a drop-down list of agencies existing on the system.
Date	Only accepts a numerical date in dd/mm/yyyy format.
Service	Opens the Service Enquiry dialog to select a service.
Service Link Provider	Opens the Service Provider Link Enquiry dialog to select a service provider.
Image	Upload an image in .jpg, .jpeg, .gif, .bmp, .png format.
A Person with Roles (adult or student)	Inserts a name and address Contacts panel where you can match a person and add their details to the EHC Plan. It also enables you to choose an address for the contact. If you need to update or add a new address you must first change it on the person record.

- d. **Memo**. Tick the check box to create a **Memo** on the EHCP form. The **Memo** field enables you to perform many common text editing and formatting functions. It also provides a spell-checker.
- 3. In the **Questions Restrictions** panel, enter the following fields:
 - a. **Answer Maximum Length**: Define a maximum character length of the answer, which includes all characters and spaces.
 - b. Answer is Spell Check: Tick the check box if you want the text in a Data Type: Text box to be spell checked.
 - c. **Answer is Mandatory**: Tick if the answer is mandatory. You cannot save an EHC Plan until mandatory fields have been completed.
 - d. Answer appears in the Chronology: Tick if you want the answer to appear in the Chronology panel of the student. If the **Data Type** is **Service** or **Service Provider link**, it is mandatory that these appear in the Chronology.

Date	Updated By	Event	EHC Plan's answers are displayed in this column of the student's Chronology if you tick Answer	Chronol ogy
Equ 🍸	Contains: 🛛 🏹	Contains:	appear in the Chronology	7
17/02/2 014 10:26:4 9	System Administrator (SYSADMIN)	EHC Plan	PWR1892 P	
17/02/2 014 10:21:4 2	System Administrator (SYSADMIN)	EHC Plan	1 17/02/2014 EHC US MXF2954 P	

- e. **Answer is Constrained**: An answer is constrained when the system only allows the answer in a specific format, e.g. a date in dd/mm/yyyy format, Yes or No, an integer, or if there are defined constraints where you can only choose from a drop-down list of items.
- f. **Constraint list**: If the answer is constrained, the **Constraint List** box allows you to enter items that will be displayed on the EHC Plan as a drop-down list. Enter such items as a list separated by the return key, for example,

Apple¶ Pear¶ Orange¶ Banana¶

- 4. Click **Save** button to save the question to the question bank list on the right side of the panel.
- 5. Repeat the steps above until you have defined all the EHCP questions you want to add to the list.

Creating and Populating Question Groups

After creating questions and adding them to the questions bank, they must be added to question groups. The following procedure shows how to create question groups to which you add those questions.

Continuing from the previous steps (above) in the In the EHCP Question Definition dialog:

- 6. In the Form Questions panel, select a question you defined above.
- 7. Click the Actions button and then select Add Question to New Group On Form to display the New Group dialog.

3. Form Questions	
Question Selector	
🖶 Down 🏠 Up 🔚 Actions 🗸	🔊 Actions 👻
	Create New Question
	🕥 Add Question To Form
	🛐 🛛 Add Question To New Group On Form
	E00003 Was Plan Previously a SSEN
	E00004 If So, Date of Previous SSEN.
	E00005 Childs Area of Need
	E00006 Date to Review the Plan
	E00007 Permissions to Receive the Plan
	E00020 A Photograph
	E00021 Description of Photograph
	E00022 What People Like and Admire Abo
	E00023 What Is Important To Me

8. To complete the question group details:

ſ	New Group [New Group]					
	P Save					
	🔇 🜔 Question Group		Question Group	• 🖊		
	Question Group					
	Data Group Name	New Group Name	*			
			-			
	Data Group Guidance		*			
	Notes					

a. **Data Group Name**: This name represents the heading of the panel for that group of questions on the EHCP form.

NOTE: The **Data Group Name** can contain up to 300 characters, but care should be taken that the heading will fit to the screen.

b. Data Group Guidance Notes. You can enter user notes which can be produced on the printed EHC Plan, if required. See <u>Printing EHC Plans</u> on page 47.

NOTE: When printing the plan, if you choose **Print with Guidance Notes**, One SEND produces the EHC Plan with guidance notes displayed. Guidance notes are in italics and appear above the details of the panel.

- c. **Number on Form**: Each question group is shown as a separate panel when the EHC Plan is generated. You must number each panel in the order you want them to display on the EHC Plan. Start from 02. (One SEND automatically inserts the **Subjects** panel as number 01 in the students' EHC Plan.)
- d. **Does the group repeat**: Check the check box to replicate a group of questions. An **Add More** button is added to the toolbar of a student's EHC Plan once you have entered data in the first repeating panel. Use repeating groups, for example, if you have a question group called **Contacts** that requires many names to be added:

001. Subjec	t Details 002. Social Care Statu 3)	006. Contacts (03) 001. Subject Details 002. Social Care Status		
Contacts	Family Name	Datition		003. EHCP Details 004. CYP One Page Profile Details
	Given Name	in an ar ina		005. Family - One Page Profile Details (01)
	Gender Primary Contact number Mobile Person ID	Male	e-Mail Work contact number Date of Birth	006. Contracts (02) 006. Contracts (02) 006. Contracts (02) 007. Professional Views 009. School Placement 010. Resourcing 011. Appendices (01) Status
		8900940	Person Role	
	Principal Address	11 Street		S Addresses ✔ Matched

- 9. Click the **Save** button to add the question to the new question group. The new question group is displayed on the left-side pane on the **Question Selector** panel.
- 10. Repeat steps 1 to 4 to add additional question groups.
- 11. After adding the required question groups, you can assign additional questions to the new groups by:
 - using 'drag and drop' to copy a question from the question bank on right-side pane to the question groups on the left-side panel, or
highlighting the question and selecting Add Question to Form or Add Question to New Group on Form from the Actions menu.



You can only use a question once on a form. If the same question is used on a student's later EHC Plan, the answer will be pre-populated.

For example, if you have a question called 'Required Response' used on EHC Plan A then you re-use that question on EHC Plan B for the same child, form B is pre-populated with the answer from form A.

12. When you have finished, click the **Save** button.

04 Working with EHC Plans

This chapter is for SEN assessment officers/service teams and admin officers within Local Authorities (LAs) who use SEND for their day to-day business processes.

Creating a student's EHC Plan

Once EHCP form templates have been created via **Tools | Administration | Form Builder**, you can use them to record students' EHC Plans via a student's Chronology. A student's EHC Plan is an *instance* of an EHCP form template.

Overview

- 1. Open a student's record.
- 2. Click Chronology.
- 3. Open New EHCP.
- 4. Add/edit Answers.
- 5. Save student's EHC Plan.

Procedure

- 1. Open the student's record.
- 2. Click the **Chronology** link on the **Links** panel on the right-side of the page to display the student's **Chronology** dialog.

🙆 Chro	🕑 Chronology -										×		
New	📄 New 👻 Search 💿 View Specific Chronology 🔻 嶜 Export 嶜 Export to Excel												
Filter													
Events	Between	01/01	/2013	-	and		20	0/02/201	4 🗸]
Case R Number	eference r	All	AII 🗸										
Event T	уре	All (Ex	II (Excluding Attendance)										
SignOf	f Status	Unsigr	igned 🗸										
Exempl	ar Title												
Form D	efinition Group			-									
Person	Summary												
Family	Name		iere .]
Given	Name												
Chose	n Family Name		lere .										
Chose	n Given Name				Gender		Ν	lale	*				
Date o	f Birth	28/12	2/2007	-	CYP			/					
Date D	eceased			-									
Chronolo	ogy of the second second	-											
				Drag a co	lumn here to	gro	oup by this c	olumn.					
Date	Updated B	у		Event		-	CRN	I	Version Number	Туре	Form Definition Group / Form Type	Stat us	Chronol ogy
Equ 🍸	Contains:	\forall	Contains:			7	Contains:	7	Contains: 🛛 🍸	CΥ	Cont 🍸	сY	
<u>17/02/2</u> 014 10:26:4 9	System Adminis (SYSADMIN)	trator	Sample Template for the EHC Plan						1 17/02/2014 PWR1892	EHC P		US	
<u>17/02/2</u> 014 10:21:4 2	System Adminis (SYSADMIN)	trator	Sample Template	for the EHC	Plan				1 17/02/2014 MXF2954	EHC P		US	

Filtering the Chronology Display

If there are existing EHC Plans for the student, they appear in the **Chronology of...** panel at the bottom of the page. A student's chronology may contain many types of events, so you can search using the **Event Type** (*EHCP Assessment Involvement / EHCP Mediation Involvement / EHCP Re-Assessment Involvement / EHCP Review Involvement / EHCP Standalone Review Involvement / EHCP Tribunal Involvement*) drop-down list to find EHCPs.

1. To create a new EHC Plan for the student, click the **New** button and then select the EHCP form template you want from the drop-down list under **New EHC Plan**.

Ohronology -			×
📄 New 👻 🔄 Search 🧔	🛛 View Specific Chronology 👻 碞 Export 🤞	Export to Excel	
New Case Note			
New EHC Plan	•	Sample Template for the EHC Plan	
Search		Template for the EHC Plan	
Event Type	All (Excluding Attendance)	•	
SignOff Status	All 👻		
Exemplar Title			
Form Definition Group	•		
			\equiv
Person Summary			
Family Name	Planal		

NOTE: Current **EHCP Form Templates** are displayed under **New | New EHC Plan**. A current template has a **Start Date** of either today or in the past.

Templates with the same **Form Definition Code** are regarded by the system as being the same template, so only the template with the latest start date is displayed. For more information, see <u>EHCP</u> <u>Template versions</u> on page 28.

2. Fill in the question panels in the displayed form. The first panel is a pre-populated **Subject Details** panel followed by question panels from the EHCP template form you selected in the step above.

Template for the EHC Plan	ages 0 to 5 (version 1) -	[8
💾 Save 📄 Save Offline	Set ACL 🔲 Data Pa	anels 🦞 Alerts 👼 Add I	More 💥 Delete Repeated	l Panel 🛭 🍇 Show <u>R</u> elat	ionships 👻 🧳
Subject	Family Name				
000,000	Given Name				Matched
	Gender	Male 📐 🔹	e-Mail		
	Primary Contact number		Work contact number		
	Mobile		Date of Birth	10/02/2010	
			Middle Names	Andy	
	Person ID	8900939			
	Principal Address	Street			👚 Match 👻
		Jackson			🛷 Matched
		Alphaton			
		Simshire			
		Post code Z1 1AA	Telephone number		
	Ethnicity	AOTA - Other Asian			······································
	Religion		•		
	Home Language	English	* UPN	Q820204210184	
	Primary Area of Need				
Event Date	24/02/2014 14:31:05				J
002. EHCP Details					
Date of EHC Plan	21/02/2014	•	Version of Plan		
Was Plan Previously a SSEN	\checkmark		If So, Date of Previous SSEN.	18/02/2013	•
Date to Review the Plan	12/02/2015	•			

NOTE: The EHC Plan is blank if it is the first EHC Plan for the student. Plan data is carried forward to subsequent EHC Plans, e.g. next year's plan will be pre-populated with the previous year's data.

Carrying forward of question data is determined by 'question codes'. Data is still carried forward even if there is a new EHCP template used, providing the question codes remain the same.

- 3. Fill in the EHC Plan data as required. The following list provides detail pertaining to areas included on the Capita-supplied template:
 - a. **Relationships**: Click the **Show Relationships** button on the toolbar to display this panel. Relationships record the associations between the subject and other members of their family. You can add family contact information here for the student which also updates the **Social Network**. For more information, see *RG Relationships EHCP* on the One Publications website.
 - b. **Subjects Details** panel: Pre-populated with data from the student's record, which gets refreshed every time you create a new EHC Plan. To open the student's person details, click the **Matched** link.
 - c. Status panel: The panel used for digital sign offs. If you are not a designated signatory and you want to send the EHC Plan for sign off, use the Workflow button on the toolbar to send a message to the signatories to sign off the plan. For more details, see <u>Using Workflow to Send EHC Plan for Sign Off</u> on page 43.
 - d. **Printing**: To indicate you want to print a panel, select the check box in the top right of the panel header. For more information, see <u>Printing EHC Plans</u> on page 47.
 - e. Repeating panels: If your EHCP template contains *repeating panels*, e.g. to enable you to add multiple contacts, the Add More button is enabled on the toolbar when you click inside a repeating panel.

Template for the E	HC Plan - []								
💾 Save 📄 Save Offline 🌍 Set ACL 🔲 Data Panels 🤎 Alerts 🔯 Add More 💥 Del 🎯 诊 001. Subject Details 002. Social Care Status 003. EHCP Details 004. CYP One P									
006. Contacts (0)1)								
Contacts	Family Name	Benil							
	Given Name	(Action of the second s							
	Gender	Female	*	e-Mail					

For more information about setting up repeating panels, see <u>Creating and Populating Question</u> <u>Groups</u> on page 35.

4. When you have finished, click the **Save** button. The form is displayed on the **Chronology of...** panel in the student chronology record.

Date De	eceased	•	·						
Chronolo	gy of								
		Drag a c	olu	mn here to grou	p by this colur	nn.			
Date	Updated By	Event		CRN	Version Number	Туре	Form Definition Group / Form Type	Status	Chronology
Eq 💙	Contains: 🛛 🏹	Contains:	7	Contains: 💎	Contai 🏹	C 🏹	Contains: 💎	CΥ	🛛 🖉 🔻
04/03/20 14 10:18:12	System Administrator (SYSADMIN)	Template for the EHC Plan			1 04/03/2014 BRA1394	EHCP		us M	
	·								
- Cl the El	ick to open e student's HCP form		S V	itudent's E ersion no.	HC Plan		US S =	= Uns Signe	signed ed Off

To navigate around the plan, you can use the Exemplar Assistant. For more information, see Using Exemplar Assistant to Navigate EHC Plan on page 42.

5. When you have completed the EHC Plan and it is ready for signing off, click the Workflow button and send a message to the signatories (the Workflow button is not enabled until you have saved the form). For more details, see <u>Using Workflow to Send</u> <u>EHC Plan for Sign Off</u> on page 43.

Adding Key Contacts to an EHC Plan

A person can be added as a key contact via **Student Details | Chronology | New | New EHC Plan | Contacts** panel. It is only possible to add one key contact at a time; therefore, the panel is a repeating panel to enable you to add multiple key contacts.

To add a key contact:

- 1. On the **Contacts** panel, click the **Match | Match Person** button to display the **Person Enquiry** dialog.
- 2. Select the **Key Contacts** tab. The key contacts are listed below the subject.

Key Contacts	
ій ок	
Person Enquiry Key Contacts	
Subject	
Key Contacts	
E- Z & Key Contacts	
E- Z Parents/Carers	
	Ξ
🖻 🗖 🎯 Base Contacts	

- 3. Select <u>only one</u> key contact.
- 4. Click the **OK** button. The matched contact's details are displayed as panel **Contacts (01)**.

Contacts	Family Name			🔒 Match 🗸			
	Given Name						
	Gender	 v e-Mail					
	Primary Contact number	Work contact number					
	Mobile						
	Person ID	Person Role	· · · · · · · · · · · · ·				
	Principal Address						
				Matched			
				Watched			
				Matched			
				W Matched			

5. Click the **Save** button.

To add additional key contacts:

- 1. Click in any field on the previously matched contact.
- 2. Click the **Add More** button at the top of the page to display a new **Contacts** panel (in this case **Contacts (02)**).
- 3. Follow steps 1 5 of **To add a key contact.**

Using Exemplar Assistant to Navigate EHC Plan

The **Exemplar Assistant** is a convenient way of navigating an EHC Plan, instead of using the scroll bar. It shows the status of each panel according to their questions' completeness. The **Exemplar Assistant** is divided into four sections:

- Incomplete Mandatory Questions
- Empty Non-Mandatory Sections
- Partially Complete
- Complete.

Each section refreshes as you fill in the form, moving the question groups into an appropriate section.

1. Click the **Exemplar Assistant** button on the toolbar of an **EHC Plan** to display the **Exemplar Assistant** dialog. (You may need to use the **Show** >> button to expand the toolbar to display the button.)



The **Exemplar Assistant** displays all question groups on the selected EHC Plan:

💫 Exemplar Assistant 📃 🔲 🔀
Empty Non-Mandatory Sections
004. Family - One Page Profile Details
005. Contacts
000. Polessional views
008. Additional Objective
009. School Placement
010. Resourcing
011. Appendices
Partially Complete
002. EHCP Details
003. CYP One Page Profile Details
Complete
💞 015. Extra Questions
Кеу
Section with no questions answered
Section with some questions answered
Section with all questions answered

2. Click a **Question Group**, e.g. **Professional Views** (in the screenshot above) to jump to that panel on the plan with the cursor in the first field of the group.

Using Workflow to Send EHC Plan for Sign Off

The EHC Plan **Sign Off** options are only enabled if all mandatory fields have been completed. Signed-off EHC Plans are non-editable and once saved, their headers display READ ONLY.

Capita One 1.0	
🔃 Focus 💥 Tools 🦷	Window [5] 🛛 😨 Help
🔇 Back 👻 💿 Forward 👻	😫 Show/Hide 🗸 Students Drag and drop menu items here
Sample Template for the EH	C Plan (version 2 12/02/2014 WJG7957) - [Alexander Legal Brack Legal] (READ ONLY)
💾 Save 📄 Save Offline 🐧	🍃 Workflow 😽 Set ACL 📥 Print 🔲 Data Panels 🦞 Alerts 📄 Create New 🍕 Copy Forward
💿 💿 001. Subject Details	002. EHCP Details 003. CYP One Page 004. Family - One 005. Contacts (01) 006. Professio
Type Of Report	
Date Of Report	•
Status	
Digital Signature	On

- 1.
- When the EHC Plan is ready to be signed off by the signatories (who were designated when the form template was built), click the **Workflow** button in the toolbar at the top of student's plan to display the **Add Workflow Item** dialog.

For more information on building a form template, see <u>Creating a new EHCP Form Template</u> on page 31.

 Enter relevant information in the Message box, for example, instructions and by when a response should be made. This is displayed on the signatories' My Home Page in their My Workflow Messages.

Working with EHC Plans

Minimized Add Workflow	Item	83
Message		
Message		*
		Ŧ
Assign To		
System User	C,	
Post	Q	
Due		
Task	v	
Due Date	11/03/2014 💌	
	OK Cancel	

- 3. In the **Assign To** panel, select **System User** or **Post** radio button as appropriate. You can select an individual system user, or all the people assigned to a specific post.
- 4. Click the **Browse** button to open a dialog appropriate to your selection, allowing you to select a system user or post.
- 5. Enter the **Due Date** that you want the EHC Plan to be signed off by. The **Due Date** field defaults to one week ahead.

The designated signatories receive a message in their **My Workflow Messages** on their **Home Page**.

Signing off an EHC Plan

After the EHC Plan is sent for sign-off, the **Sign Off** and **Counter Sign Off** signatories are notified that a plan needs signing in their **My Workflow Message** on their **Home Page**.

The Sign Off options are at the end of the EHC Plan in the Status panel.

One SEND allows an EHC Plan to be countersigned without a sign off, only if the counter signatory enters text in the **Comments** field. Once signed-off, EHC Plans are non-editable and when saved the header displays (READ ONLY).

Sample Template for the EHC Plan (version 2 12/02/2014 WJG7957) - [] (READ ONLY) Save Save Offline Government of Set ACL Print Data Panels Y Alerts Create New Copy Forward Sove 001. Subject Details 002. EHCP Details 003. CYP One Page 004. Family - One 005. Contacts (01) 006. Profession						
Type Of Report	Once signed an l form is <i>read only</i>	EHCP				
Date Of Report						

To sign off the EHC Plan, the signatories must:

1. In **My Workflow Messages** on your **Home Page**, click the link in the **Messages** column for the student's EHC plan that requires signing.

X My Workflow Mess	ages						
🔄 Refresh Deacti	vate 🎢	Search					l
Subject	Task	Due	Assigned By	Post	Assigned On	Message	Click the link to sign
Overdue							off the EHCP form
🗖 🔍 Perkelikana		13/08/2013	System Administ		25/02/2014	ACt 01 : Warning message	
		13/08/2013	System Administ		25/02/2014	ACt 01 : Target message	L
Due Today							
Bob Tarman	Task	Today	System Administ	Yes	26/02/2014	mike please sign!!	

2. Click the **Sign Now** button. The designated post is inserted into the **Digital Signature** field and the current date is automatically entered. The **Counter Signatory** must do the same.

Sample Template for the EHC Plan (version 1)	- []	×
💾 Save 📄 Save Offline ; Set ACL 🔲 Da	i ta Panels 🛛 Y Alerts 👼 Add More 💥 Delete Repeated Panel 🍇 S	how Relationships 💌 🚿
loo2. EHCP Details 002. EHCP Details	ls 003. CYP One Page 004. Family - One 005. Contacts (01)	008. Additional Objec 👻 🕖
Date Of Report	▼	
Status		
Digital Signature	On	
	Sign Now	
Digital Signature	On	
	Sign Now	
Comment	2	
	C	
	B	

Amending an EHC Plan

How you update an EHC Plan depends on whether you need to create a new version of the plan as a result of the changed details. Here is a summary of the types of plan amendment:

Type of change to EHC Plan	Creates new EHC Plan version?	More details
Following a review	Yes	Chronology New EHCP
To correct a mistake on a signed-off form	Yes	Chronology toolbar-> Unlock button
To add/edit answers in latest 'work in progress' unsigned EHC Plan	No	Open latest unsigned Plan: Chronology Of panel-> Click link in Date column

This diagram shows the recommended method to update a student's EHC plan, for example following a review, using the **New EHC Plan** option from the student's **Chronology**:



Data in the EHC Plan questions and answer panels is carried forward from one plan to the next allowing you to make amendments as necessary.

Unlocking a Signed Off EHC Plan

If you need to edit an EHC Plan which has been signed off, you can unlock it if you are a designated signatory. Only signatories designated in the EHCP template can unlock a student's EHC plan for amendment. For more information, see <u>Creating a new EHCP Form Template</u> on page *31*.

Date De	ceased	*						
Chronolog	gy of							(1)
		Drag a colu	imn here to grou	p by this colur	nn.			
Date	Updated By	Event	CRN	Version Number	Туре	Form Definition Group / Form Type	Status	Chronology
Eq 🏹	Contains: 🛛 🖓	Contains: 🛛 🖓	Contains: 💎	Contai 🏹	C 💎	Contains: 💎	cγ	- 🔟 🔻
04/03/20 14 10:11 12	System Administrator (SYSADMIN)	Template for the EHC Plan		1 04/03/2014 BRA1394	EHCP		US	
Clic	k the date lin	k to						
oper EHC	n the student CP form.	's						

1. In a student's **Chronology**, open the EHC Plan you want to amend by clicking the link in the **Date** column of the display panel.

2. To amend a student's EHC Plan that has been signed off by the designated signatories, click the **Unlock** button.



NOTE: The Unlock button is only enabled for EHC Plans that have been signed off.

3. After you have amended the EHC Plan, click the Save button.

When you unlock an EHC Plan, One SEND creates a copy of the EHC plan for editing purposes. The copy has a version number added to the title. Each version is stored in the database and becomes non-editable when signed-off. Signed-off EHC plans are non-editable and once saved, their headers display READ ONLY.

Printing EHC Plans

You can print a student's EHC Plan in two ways:

- Use the Chronology print button to print the form as it appears on the screen. It is useful for printing a draft copy but does not have the flexible layout options available in Quick Reports.
- Use Quick Reports to save and/or import Word Templates, in XML format. Quick Reports provides more flexible layout options than using the Chronology print button. For example, you can use Word templates to create the look and feel you want.

0004/2014 14:24 Sample Template for the EHC Plan Interst difference Arrold 001. Subject Details Subject Details Endly Arrows Arrold Subject Details Endly Arrows Mail Endly Arrows Often Subject Details Femily Name: Beach arrows Mail Other of Birth 1002/2010 Femily Name: Beach arrows Mail Other of Birth 1002/2010 Femily Name: Beach arrows Mail Outer of Birth 1002/2010 Note of Birth Note of Birth Note of Birth Principal Address 111 Street, Jackson, Alphaton, Simshire, Z1 1AA Ethicking Note Name OO2. Social Care Status Social Care Status NoteNamy Arrows NoteNamy Arrows O03. EHCP Details NoteNamy Arrows NoteNamy Arrows NoteNamy Arrows Odd of Birth 100/04/2014 NoteNamy Arrows NoteNamy Arrows Odd of Birth 100/04/2014 NoteNamy Arrows NoteNamy Arrows Social Care Status Interst NoteNamy Arrows Interst NoteNamy Arrows Interst NoteNamy Arrows Date of EHC Plan: Social Care Status Interst NoteNamy Arrows		Sar	mple Education, Health and Care Plan
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EHCP Details	Date to Review the Plan : 30/04/2014		
Encriptedais		FIICP Datalla	
		EHCP Details	

Printed EHC Plan using **Chronology** print button

Printed EHC Plan using **Quick Reports**

When printing, ACL (access control lists) and panel permissions are taken into account and if you do not have permission to view a panel then it will <u>not</u> be included in the printout.

Similarly, if access or visibility restrictions exist for posts, groups, establishments or service teams, these will <u>not</u> be included in the printout.

Using Chronology to Print the EHC Form

You can print a basic EHC Plan as it is displayed on the screen either as a Word document or PDF. A check box on each panel header enables you to include the panel in the printout.

\$	Sample Template for the EHC Plan (version 2 12/02/2014 WJG7957) - [] (READ ONLY)									
	💾 Save 🕼 Save Offline 🧐 Workflow 🛞 Set ACL 📥 Print 🗖 Data Panels 🤻 Alerts 📄 Create New 🔫 Copy Forward									
6	🗿 📀 001. Subject Details	002. EHCP Details 003. CYP One Pag	Click Print button to print	s (01) 006. Profession						
	Type Of Report		the form either as a Word Doc or PDF							
	Date Of Report	-								

Open an EHC Plan, and then click the **Print** button to display the **Print Window** dialog.

Print Window	
Data Panels	Document Type
Select All Deselect All	Normal
Childs Area of Need Other C	Case Note Case Note Add as Case Note Attach WORD Create Bookmark Create Bookmark Page Breaks Insert Page Breaks After Each Panel Print Cancel

The **Print Window** displays a list of the **Data Panels** which have information entered selected, displaying the panel numbers and the headings. (The **Subject Details** panel is automatically checked).

Selecting Data Panels

To select EHC Plan questions and panels to print:

- Click on plus signs to expand the tree to view the questions within a panel and select or deselect as required. If any one question is checked then the panel check box is also activated.
- You can Select All or Deselect All panels.

Document Type Options

To select the document type to print:

- **Normal** the default which prints the selected contents of the EHC Plan.
- Notes prints a blank page after the contents of each selected panel have been printed; the blank page is entitled Notes: [Description of the Panel].

Guidance - prints guidance notes in italics which appear above the details of the panel. If guidance notes have <u>not</u> been entered on the Form Details, on the Form Definition, this radio button is not available. (See <u>Creating a new EHCP Form Template</u> on page 31 for details.)

Including a Case Note

To open the Case Note dialog:

Tick the check box to open the New/Edit Case Note dialog where you can choose whether to attach a case note document. A document can only be attached if the Add as Case Note has been checked.

Document Format

You can print the document in MS Word or PDF format. The default is WORD.

Changing the Font Type and Size

You can change the format of the printouts in the *CCSGenericPrintSettings.ini* file, which is located in the same folder as the **CCSEnterprise.exe**. This .ini file enables you to edit the font type and font size for:

- Panel Title
- Sub-Title

Inserting a Logo

When an EHC Plan is printed you can insert a logo on the plan.

Add a logo as a .jpg to a directory on your local workstation. Then open the *CCSGenericPrintSettings.ini* in the **Capita Childrens Services System** folder and enter the **Logo Path** section as follows:

-- Logo Path LOGOPATH=D:\LOGO\print logo.JPG

Sending the EHC Plan to the Printer

Click **Print** to preview the document. When the document opens it has a number as the file name, click **Save As** to store the document to a local folder.

NOTE: The headings displayed on the printout are in numerical order and not the same as the panel numbers, so although you may have selected Panels 1, 2, 10 and 20 the printout shows 1, 2, 3 and 4.

- Open the document you want to print.
- Select the print option within the application, e.g. MS Word, to send the document to your printer. At any time, you can **Cancel** the print process.

Printing a Quick Report

A specifically designed **Quick Report** template is available in One SEND to extract and print data from an EHC Plan.

- 1. In a student's **Chronology**, open the EHC Plan you want to print by clicking the link in the **Date** column of the display panel.
- 2. In the **Quick Reports** panel on the right-hand side, click the template you want to use.
- 3. Select either Run as Word or PDF from the Run drop-down list.

Working with EHC Plans

📥 Quick Repo	orts
🎑 Action 👻	🖌 Run 🔩 🔯 Data
EHCPC	Run as Word
-	Run as PDF
5.	Run report and Email

For more information on editing data on a Quick Report template, see the One online help topic *How to use Quick Reports*.

NOTE: *RG_Administration_Using Quick Reports is available on the <u>One Publications</u> website to help you with this process.*

Adding Case Notes in Chronology

Use **Case Notes** from the student's chronology to add case notes, for example, details of a meeting. Case notes can be added by various professionals who are also One users.

- 1. Open the student's chronology records by clicking **Chronology** in the **Links** panel on the right side of the page.
- 2. To start a new case note, click the **New** button and select **New Case Note** from the drop-down menu to display the **Case Note** dialog.

e	🕘 Chronology -					×
	📄 New 👻 🔄 Search 💿) View Specific Chronology 👻 吾 Export	t 🤞	Export to Exce		
	New Case Note					
	New EHC Plan		۲		29/03/2014 💌	
	Searc New Case N	lote				
	Event Type	All (Evoluting Attendance)	_			
	2101111900	All (Excluding Attendance)		•		
	SignOff Status	All	•			

- Add the details of the case note:
 - a. Relationships panel: Click the Show/Hide Relationships button at the top of the screen, depending if you want the Relationships panel to be seen. Relationships record the associations between the subject and other members of their family. For more details, see RG_Relationships_EHCP on the <u>One Publications</u> website.
 - b. **Subject Details** panel: This panel is pre-populated with the student's name. To display the **Person Details** dialog, click the **Details** link. Here you can add and edit subject details.
 - c. Case Note panel: Enter details of the case note.

ase Note -	- [New Case Note]			
💾 Save 🌐 Set ACL 🕚	😵 Alerts 🛛 🏀 Show Rel	ationships 🔻		
🔇 💿 🛛 1. Subject Detail	ls 2. Case Note 3. Si	gn Off 4. Cloned Details		2. Case Note 👻
1. Subject Details				
Title				🧟 Select 🗸
Family Name				Details
Given Name				
Gender	Male	Date of Birth	1942 2010)	
		ð		
2. Case Note]
Case Reference		•	Event Type	
- Humber				
Service Team / Establishment			Q X	
Created By				
ICS-Confidential	√		Date	•
Time	15:36			
People Present				•

Service Team is a mandatory field. Establishment is only used for ICS case notes.

The **ICS-Confidential** check box (normally non-editable) shows whether the case note is available to other One users depending on their **Is ISC Post** setting in **Post Details** in their **Post Definition**.

Post Definition [SEN Save New Post Details Us	Admin Officer]	
Post Details		
PostDescription	SEN Admin Officer	_
Is ICS Post Is CP Designated Manager Is CSS Admin Officer	۲ ۲	Used to hide/show case notes

If the ICS-Confidential check box on the Case Note panel is:

- selected, only users with **Is ICS Post** selected (in their **Post Definition** details) can see this case note in the student's chronology.
- deselected, all users with appropriate permissions will see the case note in the child's chronology.
 - d. **Sign Off.** When you have completed all the mandatory fields, you can sign off the case note or use the **Workflow** button to send a message to another user for sign off.
 - 4. When you have entered the case note details, click the **Save** button.

Cloning Case Notes

You can clone a student's case note to use as the basis for another student's case note.

- 1. Open the **Case Note** dialog you want to clone. There are two ways to open a **Case Note** dialog.
- From a student's **Chronology**:

- i. Click **Chronology** in the **Links** panel on the right side of the page to display the **Chronology** dialog.
- ii. In the **Chronology of...** panel, click the case note's link in the **Date** column to display the **Case Note** dialog.

Drag a column here to group by this column.	
Date Updated By Event CRN Version	
Number	Туре
Equals: 🖓 Contains: 🖓 Contains: 🏹 Contai 🦞 Cont 🦿	Co 7
11/06/2014 System Administrator Meeting to discuss EHC plan 13:06:00 (SYSADMIN)	

- From a student's **Case Notes**:
 - i. Click **Case Notes** in the **Links** panel to display the **Case Notes** dialog.
 - ii. In the **Case Notes of...** panel, click the case note's **Edit** field link in the **Open** column to display the **Case Note** dialog.

Case Notes of							
			Drag a	column here to grou	p by this	column.	
Date	Open	Case Note Summary		Event Type	e		CRN
Equals: 🛛 🏹	Co 🝸	Contains:	Y	Contains:	7	Contains:	
<u>11/06/2014</u> <u>13:06:00</u>	Edit	Meeting to discuss EHC plan		Home Visit			

2. In the **Case Note** dialog, click the **Clone** button to create a cloned version of the case note.

Case Note -	- [11/06/2014 13:06:00]	×
💾 Save 🛭 😭 Workflow 🔇 💿 1. Subject Detai	y 😚 Set ACL 🖤 Alerts 📡 Clone � Copy Forward 💥 Delete 🚽 Export/Print 🍇 Show Relationships ▼ ils 2. Case Note 3. Sign Off 🖗 Cloned Details	• 1
1. Subject Details Title	Clone Select -	
Family Name Given Name	Details	
Gender	Male Date of Birth	

NOTE: The new cloned case note contains the contents of the original case note except for these details whose values have been removed: **Subject Details** panel, **Service Team/Establishment** and **Created By**.

3. In the cloned **Case Note** dialog, click the **Select** button, then click **Select Person** to display the **ICS Person Enquiry** window.

Since States States ICS Person Enquiry				
🏦 Search 🖹 Collapse	👻 👬 ContactPoint Search 🔄 C	lear		
Person Enquiry				
Family Name				
Given Name				
Given Name 2				
Gender	Not Specified 🗸	Date of Birth		•
Postcode		Deceased	Not Specified 🔹	
Social Network	×	Same Address	×	
ID				
ID Type	All	•		
🖋 Select 📰 Open 💼	Open In New Window 🛛 🕂 Next	Previous		

- 4. In the **Person Enquiry** panel, enter search criteria, e.g. **Family Name**, to find the subject for the cloned case note.
- 5. Click the **Search** button to display the search results.
- 6. Highlight the required person, then click the **Select** button to display the **Case Note** dialog with the selected person populated in the **Subject Details** panel.

ID Ty	pe	All			•						
Sel	ect 🗾 Open	💼 Open In	New Window 🕹 Ne	xt 👚 Previous							
Flags	Family Name	Given Name	Chosen Family Name	Chosen Given Name	Given Name 2	Gender	Title	Date of Birth	Postcode	CYP	(^
	100.00	-	100.00		-	Female		03/05/1973	-	No	
	-		1010			Male		10/02/2010		Yes	
			100.00	-		Male		17/08/2007		Yes	
			100.00	the second se		Male		05/11/2008		Yes	
	-	1000	100.00	1000		Female		16/08/1997	-	Yes	
	100.00	The second se	100.00	The second se		Female		23/08/2011		Yes	Ξ
		-	100.00	the second se		Male		08/10/2008		Yes	
		-	100.00	Termine (Female		11/12/2001		Yes	
		the second se	100.00	The second se		Male		23/11/2010		Yes	
	-	famous from	100.00	Taxaa Ma		Female		24/07/2008		Yes	
		-	100.00			Female		09/11/2007		Yes	
	-		100.000	-	Transmission (Male		17/08/2007		Yes	
		Contract		The second se	1.000	Female		23/08/2011		Yes	
		for some		Terrate Control of Con	Country of	Female		11/12/2001		Yes	
	-	Sec.		And a second sec		Male		23/11/2010		Yes	T
											,
e ICS	Person Detail	8									
Ne	w 🛍 Contact	Point Retriev	e 🗿 Consolidated R	eport							
		a one nearey	consonated h								
17 1	Records Found										:

- 7. Make any required changes to the case note, e.g. **Case Note Detail**, **People Present** in the **Case Note** panel.
- 8. Click the **Save** button. In the **Cloned Details** panel, the **Cloned From** field displays the original student's details.

Working with EHC Plans

4. Cloned Details		
Cloned From	(Person ID -)
Date Cloned From	44/06/2014 44-44-04	
Last Cloned To	11/06/2014 14:44:01	
Date Last Cloned To		

NOTE: In the original student's case note, the **Last Cloned To** field displays the new person's details.

05 EHCP Involvements

EHCP involvements are based on corresponding SEN involvements, with little change. The EHCP re-assessment involvement does not have a SEN equivalent, but is based on the EHCP assessment involvement. Also, some panels on the EHCP assessment involvement have been modified and these changes are described below.

This chapter describes how to record student's details on EHCP involvements:

EHCP Assessment Involvement on page 55.

Before involvements can be used for students, involvement forms must be set-up and linked to service teams. See <u>EHCP Involvement Forms Setup</u> on page *19* for more details.

EHCP Assessment Involvement

Recording a new request for an EHCP assessment for a student involves creating an EHCP Assessment Involvement. Once you have created an EHCP assessment involvement it is used throughout the statutory EHCP process to add data for all EHCP assessment phases, i.e. from the receipt of a request for assessment to issuing a final EHC Plan, as follows:

Phase	EHCP Process	More information in this Handbook			
Request	Request for assessment	Page 56			
Phase 1	Decision	Page 64			
Phase 2	Assessment	Page 64			
Phase 3a	Draft EHCP	Page 64			
Phase 3b	Final EHCP	Page 66			
Other p	ocedures:				
Transfer In	to your Local Authority	Page 69			
Stopping a	n Assessment	Page 68			

About Saving the Involvement:

It is unlikely that you will enter all involvement data in one go. After you have completed the mandatory fields, you can save the involvement by clicking **Save**.

The mandatory fields required before you can save the involvement are **Status** (in panel 01), **Subject** (in panel 02) and on the **Assessment Details (Phase 1)** panel: **Type**, **Source**, **and Received Date**.

When you want to open the involvement again, either:

- Select the student's record, then select Involvements from the Links panel, or
- Select the saved Involvement from your Home Page, in the Involvement Summary panel. Note you can filter the search results in the Involvement Summary panel to display a more manageable list, if required.

NOTE: One SEND automatically generates a **Case Number** and an **Involvement ID** in the **Involvement Details** panel when you save the involvement.

Adding a Request for Assessment

This section shows how you record details of a request for an assessment on an EHCP assessment involvement. It includes:

- Adding Assessment Officers, Admin Officers and Professionals on page 57
- Using Timeline to Generate Letters to Professional Contacts on page 57.
 - 1. Open the required student's record, then click **Involvements** from the **Links** panel on the right side of the screen to display the **Involvement Summary** dialog.
 - 2. Click the New button to display the Choose an Involvement Form dialog.

S Choose an Involvement Form	x
Select	
EHCP Service Team EHCP Assessment Involvement EHCP Re-Assessment Involvement EHCP Review Involvement EHCP Standalone Review Involvement EHCP Tribunal Involvement SEN Assessment Involvement SEN Statement Review Involvement SEN Standalone Review Involvement SEN Standalone Review Involvement SEN Standalone Review Involvement SEN Tribunal Involvement	
	:

- 3. Highlight the type of EHCP involvement you want to create, e.g. **EHCP Assessment Involvement**, then click the **Select** button.
- 4. Enter the following on the Involvement Details panel on the New Involvement.

EHCP Assessment Involvement [New Involvement]								
💾 Save 🚫 Memo 😚	Set ACL 🔲 Data Panels 🛛 🖤 Alerts	😚 Sql Mail Merge 🚠	Timeline 🔏 Delete Time	line				
🕝 📀 01. Involvement	Details 02. Subjects 03. Reasons	04. Admin Officer 0	5. EHCP Assessme	01. Involvement Deta 👻				
01. Involvement Details	3							
Start Date	21/05/2014 💌	End Date		-				
Status	•	Case File Number						
Description				▲				
Constant Town				•				
Service Leam	SEN							
Involvement Form	EHCP Assessment Involvement	\triangleleft \times						
Involvement ID								
Updated By								
Last Updated		-						
Case Status		*						

- a. **Start Date**: The date the request was received by your local authority, e.g. date of a letter from the student's parents.
- b. End Date: Leave blank while you are setting up the involvement.
- c. **Status** (*Lookup ID 0674*): Add a status to reflect the involvement circumstances, e.g. **Active**.
- d. Description: You can add descriptive text for this involvement, if required.
- e. **Service Team**: This field is populated with the service team already linked to this type of involvement. (For more information, see <u>EHCP Involvement Forms Setup</u> on page 19.)

5. The **Subjects** panel is pre-populated with brief details about the student, e.g. name, date of birth and start date of this involvement. To see more details about the student, select the student, then click the **Details** button.

NOTE: If you created this involvement without selecting a student first, this panel is blank. To select a student, click the **Add** button.

- 6. If required, add reasons for the request, including a **Primary Reason**.
 - a. Click the Add button to display the Involvement Reason Chooser.
 - b. Select the required reasons from the list.
 - c. Click the Select button to add the reasons to the Reasons panel.
- 7. After you have completed the mandatory fields, you can save the involvement by clicking **Save**.

Adding Assessment Officers, Admin Officers and Professionals

The SEN Officers panel, the SEN Admin Officers panel and the EHCP Professional Contacts panel are populated with names defined via Focus | Services | EHCP Administration | EHCP User Defaults. (See EHCP User Defaults on page 18 for more details.)

 In the EHCP Professional Contacts panel, you can add or remove professionals from this involvement, by clicking the Add or Remove buttons. You can also view and change a contact's details by clicking the Details button:

07. EH	CP Asse	essment Invol	vement - El	ICP Professi	ional Contacts						
	Title	Forename	Surname	Role Code	Role Description	Start Date	End Date	Email	ls Lead	Print Lette	Add
	Mr	Barry	Acader	EDPSYC	Education Psychologist	21/03/2014 💌	•		×	V	X Remove
	Mr	Rohard	4.000	DOCTOR	Doctor	21/03/2014 🔻	•		×	\checkmark	Details
	Mrs	Karen	Rotes	SOCSRV	Social Services Officer	21/03/2014 🔻	•		×	✓	=
	Mr	mark	Taynan	DPHEAD	Deputy Head Teacher	21/03/2014 🔻	•		×	✓	
.0		248	Tatatha	OPTH	Opthalmologist	21/03/2014 🔻	•		×	V	-

- 2. You can edit these fields for a professional contact:
 - a. Start and End Date of the professional contact's work with this student. One SEND keeps a history of professional contacts' activity on the involvement.
 - b. Email: Displays the person's email address, if one has been setup on the contact's record.
 - c. **Is Lead**: If there are multiple professionals listed of the same type, you can tick to indicate which person is the lead professional.
 - d. **Print Letter**: Tick to allow this person to be sent a letter from the involvement timeline. Note that this field is selected by default.
- 3. After you have completed the mandatory fields, you can save the involvement by clicking Save.

Using Timeline to Generate Letters to Professional Contacts

The Professional Contacts panel on the EHCP assessment involvement enables you to:

- Maintain a list of professional contacts working on the involvement,
- Specify which professional contacts you want to send letters to, using the assessment involvement timeline.

Professionals' letters are based on predefined templates set up when the EHCP assessment timeline was designed.

MORE INFORMATION:

Workflow (timeline) section of the online help

To enable the timeline to generate letters to professional contacts ensure:

- the Start/End Dates of a professional contact's work are current
- the Print Letter check box is selected
- A letter 'sender' is included on the 05. Assessment Officer panel.

EDPSYC	Education Psychologist	21/03/2014 💌	-		a 🛛 🗶 Ker
		· · ·			
DOCTOR	Doctor	21/03/2014 💌	•	XV] 📃 🔍 Det
SOCSRV	Social Services Officer	21/03/2014 🔻	•	XV	2
DPHEAD	Deputy Head Teacher	21/03/2014 🔻	•	XV	2
OPTH	Opthalmologist	21/03/2014 🔻	•	X 🔽	
	SOCSRV DPHEAD OPTH	SOCSRV Social Services Officer DPHEAD Deputy Head Teacher OPTH Opthalmologist	SOCSRV Social Services Officer 21/03/2014 ▼ DPHEAD Deputy Head Teacher 21/03/2014 ▼ OPTH Opthalmologist 21/03/2014 ▼	SOCSRV Social Services Officer 21/03/2014 DPHEAD Deputy Head Teacher 21/03/2014 OPTH Opthalmologist 21/03/2014 V	SOCSRV Social Services Officer 21/03/2014 X - X - V DPHEAD Deputy Head Teacher 21/03/2014 X - V OPTH Opthalmologist 21/03/2014 X - V

Involvement Timeline Design

During the design of the timeline, **Correspondence Activities** can be created to send letters to professionals based on their **Recipient Role**.



Professional contacts' recipient roles are either fixed or other:

 Fixed recipient roles: There are four fixed correspondence recipients who can have <u>individual</u> letter templates assigned to them based on their assessment involvement role codes, which are:

Involvement Role Description	Involvement Role Code	Timeline Recipient Role
Educational Psychologist	EDPSYC	Inv – Ed Psychologist
Education Welfare Officer	EWO	Inv – Ed Welfare Officer
Medical Officer	DOCTOR	Medical Officer
Social Services Officer	SOCSRV	Social Services

Other recipient roles: i.e. all other professional contacts. In the timeline design, to create correspondence activities for contacts that are <u>not</u> in a fixed role, you should use the Other Recipient Role. Other contacts' letters are based on a generic letter template, so they all receive the same letter content.

MORE INFORMATION:

For more information on designing timeline correspondence activities, see the topic *Activity Properties* from the *Workflow (timeline)* section of the online help.

RG_Timelines_Creating a Timeline.

Involvement Timeline at Runtime:

When you launch a timeline from an involvement, it may resemble this example which shows four fixed letter recipients and a generic *Other* letter for all 'non-fixed' professional roles:

			Involuement Timeline			
			Ĩ			
etter to professionals itatus: InProgress						-
			8			9
Letter 🗹	Letter	Letter	Letter 📷	Letter	Letter 🚮	Letter 🗹
Parent Notification	Warning to Profess	Warning to Profess	Warning to Profess	Warning to Profess	Warning to Profess	Draft Statement is
Parent - Joint Status InPrograms	Inv - Ed Psychologist Status: InProgress	Inv - Ed Weltare Officer Status: InProgress	Medical Officer Status: InProgress	Social Services Status: InProgress	Other Status: InProgress	Named Person Status: InProgress
and a string to a				C	C	a second a s

Other roles receive generic 'Other' letter

Designing Correspondence Activity Using Other Reductor.

When designing a timeline, to generate a correspondence activity to other recipient roles, use the **Other** role. This is different from One SEN, where the **Professionals** panel in the SEN assessment involvement has a **Named Person** role, whereas the EHCP assessment involvement does not. If you design an EHCP timeline correspondence activity with **Named Person** as the recipient role, a message is displayed at timeline runtime:



- To add new recipients, click the **Yes** button. Add the people you want to generate letters to.
- To cancel the message without adding recipients, click the No button.

Viewing the Communication Log

Correspondence to contacts which is generated through timelines is displayed in the student's **Communication Log**. Letters are generated either as Word documents or PDFs and saved as linked documents.

To view a student's correspondence log:

1. Open the required student's EHCP assessment involvement, then click **Communication Log** from the **Links** panel on the right side of the screen to display the **Communication for Involvement** dialog.

Communicatio	on for Invo	lvement :		-		×
🎢 Search [Collapse	- L2				
Communica	tion Log F	iter				
From		23/05/2014 🗸	To	30/05/2014	-	
Communicat	ion Type	Letter -	Communication Direction	Outbound 🗸		
Service Tean	n	(not specified)	•			
New 🎇 🛙)elete 📘	Open 🔚 Log Follow-Up 🤰	🖁 Subject's Log 👻			
Log Date	Log Time	Summary		Multiple Recipients	То	Role
30/05/2014	15:55	Generated from Timeline Corr	espondence Activity - Notify Par	No	the Space Second	Social Services Officer
30/05/2014	15:54	Generated from Timeline Corr	espondence Activity - Notify Par	Yes		Head Principal
30/05/2014	15:53	Generated from Timeline Corr	espondence Activity - Notify Par	No	the same laws	Doctor
30/05/2014	15:53	Generated from Timeline Corr	espondence Activity - Notify Par	No	a house one	Education Welfare Officer
30/05/2014	15:52	Generated from Timeline Corr	espondence Activity - Notify Par	No	a la man	Education Psychologist
30/05/2014	15:51	Generated from Timeline Corr	espondence Activity - Notify Par	Yes	concerning the second	Mother, Parental Responsibility

NOTE: In the above screenshot, letters to 'other' professionals are logged in the highlighted row, displaying **Yes** in the **Multiple Recipients** column.

- 2. Filter the communication log items if required, using the **Communication Log Filter** panel.
- 3. To view correspondence details, double-click the required row to display the **Communication for Involvement** dialog.

Capita One 4.0			J.
🔃 💫 Focus 🛛 🔀 Tools 🔚 Window [5] 📀	Help		
🚱 Back 👻 💿 Forward 👒 🙀 Show/Hide 👻 🛛	rag and drop menu item	s here	
🕙 Offline Work In Progress	Communication for Inv	blvement :	
💥 Delete	💾 Save 🛞 Set ACL 🕚	🕈 Alerts T Sql Mail Merge	
	🚳 🔕 1. Basic Detail	2. Communication Summary 3. Mer	no 4. Subjects/From/To 5. Letter Details
	4. Subjects/From/To		
	Subjects		
	Family Name Given N	ame Chosen Family Name Chosen Giv	en Name Gender Date of Birth
	То		
	Name Role	Establishment	
	Head	Principal	
	Opth	almologist	
	CC - Recipients		
Linked Documents	Name Role Establis	nment	
New X Delete Open >>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>			
File Description File Name me			
Warning to Professionals C:\Users\ rs\mric			
5			

4. To view file details of correspondence content, double-click the required file in the **Linked Documents** panel on the left-side of the screen to display the **File Linked** window.

射 Files Linked									
💾 Save 🗾 Open File 🖗 Upload File									
🕼 💿 Linked Files Details 🗸									
Linked Files Deta Open File									
FileDescription	Warning to Professionals								
File Name	C:\Users\	Temp\C	apita V4\Warning to Profes	ssionals.pdf 🔁					
Linked By	System Administrator								
Linked Date	04/06/2014 09:48:39								
Updated By	System Administrator								
Last Updated	04/06/2014 09:48:39								
Uploaded By	System Administrator								
Uploaded Date	04/06/2014 09:48:39								

- 5. Click the **Open File** button to open the correspondence file, for example, a .pdf document, and view the contents.
- 6. Click the Close button to close the Files Linked window.

MORE INFORMATION:

For more information on using the communication log, see the online help or *RG_Communication_Log_New_Communication* on the <u>One Publications</u> website.

Adding Portal Sharing Users

A key component of SEND enables users of the different portals to share information. The local authority can control which portal users involved with a child can see SEND information. This includes information that is coming into the local authority and also information going out to other organisations and parents.

The **Portal Sharing** panel is located on the student's **EHCP Assessment Involvement**. This panel enables you to record details of any portal users. You can also indicate whether that person has been authenticated to view forms and files uploaded via the Citizen or Professional Portal.

Portal Sharing									
Portal Name	Portal Email	Portal User Type	Role/Relationship	Young Person	Parental Responsibility	Authenticated	Authenticated By	Authentication Reason	Edit

To add a portal sharing user:

1. Click the Add button to display the Portal Sharing [New Portal User] dialog.

-	New Fortal Sharing [New F	Portal User]
[💞 Ok	
	🎯 💿 1. Portal User Det	ails 1. Portal User Details 👻
	1. Portal User Details	
	Portal User	
	Portal Email	
	Portal User Type	
8	Fontar Oser Type	
1	Role/Relationship	
	Young Person	× Parental Responsibility 🗸
	Authenticated	✓ Authentication Reason

2. Enter the required information:

Portal User - use the browse button to select the name of the portal user.

Portal Email – automatically populated when the user is selected.

Portal User Type – automatically populated when the user is selected. If a Professional portal user is selected, this information is automatically shared on the Professional portal.

Role/**Relationship** – enter a role or a relationship. If this is a professional role, then the field is automatically populated.

Young Person – select this check box if the portal user is a young person.

Parental Responsibility – select this check box if the portal user has parental responsibility.

Authenticated – selecting this check box displays the following message:

Are you sure you want to authenticate *(name)*? Authenticating this portal user means that they will be able to see SEND information relating to the subject on this involvement form. When a person is authenticated, an alert is added to the **Messages** area of both portals.

Authentication Reason – this is added as a memo.

- 3. Click the **OK** button.
- 4. Click the Save button on the EHCP Assessment involvement form.

Recording Information Requested

The **information Requested** panel is located on the student's **EHCP Assessment Involvement**. This panel enables you to record details of any information that has been requested. This includes details about the portal user who has requested the information.

Information Requested									
One Person Name	Portal Name	Portal Email Address	Role	Information Requested	Form Title	Information Due	Notified Date	Information Received Date	🖶 Add
									🔝 Edit
									💥 Remove
									Notify
									🖉 Notify all

To add details about requested information:

1. Click the Add button to display the Information Requested [New Info Requested] dialog.

1	Information Requeste	d [New Info Requested]
[🖋 Ok UDF Manager	
8	🚳 📀 1. Information Re	1. Information Reque 👻
	1. Information Requeste	ed Details
	Portal Name	•
	One Person	e, × 8
	Form	•
	Portal Email Address	
8	Role	
	Information Requested	
8		
100		
10	Information Due	✓ Notified Date
Concession of	Information Received	
	Date	

2. Enter the required information:

Portal Name – select the portal user.

One Person – select the user from the One database.

Form – select the form that was submitted via the Citizen portal.

Portal Email Address – automatically populated when the portal user is selected.

Role - enter the user's role.

Information Requested – enter the details of the requested information.

Information Due – select a date.

Notified Date - select a date.

Information Received Date - select a date.

- 3. Click the **OK** button.
- 4. Click the Save button on the EHCP Assessment involvement form.

Enquiring on Progress of the Assessment

To enquire on the progress of an assessment involvement since the start date, use the involvement's **EHCP Assessment Progress** panel. The **Due Dates** are fixed when you save the involvement for the first time, i.e. dates are <u>not</u> dynamically updated as the assessment moves through its statutory phases.

Assessment Process	Statutory Weeks	Statutory Days	Actual Weeks	Actual Days	Days Remaining	Due Date	Completed	-
Phase 1 - Decision	6	0	0	0	42	30/04/2014	No	Ξ
Phase 2a - Assessment	6	0	0	0	84	11/06/2014	No	
Phase 2b - Draft EHCP	4	0	0	0	112	09/07/2014	No	Ŧ
Phase 3 - Final EHCP	4	0	0	0	140	06/08/2014	No	Ξ
Total	20	0	0	0				Ŧ
•								

NOTE: If the actual period has exceeded the statutory period, the dates are displayed in red.

Logging Assessment Details (Phase 1)

To record phase 1 details for an EHCP assessment:

- 1. Open the required student's EHCP assessment involvement.
- 2. Select the Assessment Details (Phase 1) panel.

09. EHCP Assessment	Involvement - Asse	ssment Detail	s (Phase 1)	
Туре	Enquiry		•]
Source	Guardian		•	
Received Date	19/03/2014	-	Assessment Panel Date	•
Phase 1 Complete	×		Notified Date	•
Exception Phase 1	×			
Exception Phase 1				
				0

- 3. Enter details of the assessment:
- Type (Lookup Table_ID 0315): Select the assessment Type from the drop-down, e.g. Enquiry, Initial Assessment.
- Source (*Lookup Table_ID 1052*): Select the origin of the request for this assessment, e.g. Parental/Guardian Request, School, etc.
- **Received Date**: Enter the date the request was received by your Local Authority.

- Assessment Panel Date: Enter the date of the Assessment Panel meeting to discuss the case. This field is not mandatory.
- Phase 1 Complete: Select the check box when phase 1 of the assessment has been completed.

NOTE: This field has been renamed from Proposed in the SEN module.

- Notified Date. Enter the date when the stakeholders, e.g. parents, school etc. were notified by your Local Authority of the decision whether to assess or not.
- Exception Phase 1 (check box): By default, the check box is deselected, but if the statutory time limit of 6 weeks for Phase 1 is exceeded (or you anticipate it will be exceeded) you must record exceptions.
- When one or more exceptions are selected (below) the Exception Phase 1 check box is automatically selected.
- **Exception Phase 1** (text box): To add one or more exceptions:
 - i. Click the **Browse** button to display the **Select Exceptions Chooser** (*Lookup ID* 0316) showing **Exception Reasons** relevant to phase 1.
 - ii. Add the items from the **Chooser** by selecting the required exceptions and clicking the **Select** button.
- Once you have completed the mandatory fields, you can save the involvement at by clicking the Save button.

Logging Assessment Details (Phase 2)

To record phase 2 details for an EHCP assessment:

- 1. Open the required student's EHCP assessment involvement.
- 2. Select the Assessment Details (Phase 2) panel.

Assessment Started	×	Assessment Start Date
5		
Exception Phase 2a	*	
Exception Phase 2a		
		0
Exception Phase 2b	x	
Exception Phase 2b		
		O
Person Centred	🔿 Memo	Child/Young Person
Meeting Memo		Capability
Summary Memo	🚫 Memo	Ed Psych Memo 🚫 Memo
Assessment Completed	×	Assessment Completed
		Date
Assessment Decision	×	Draft EHCP Date
Notified Date - No	-	
Following Assessment		
SEN Category		-
SEN Primary Need		-
Add, SEN Needs		
		0
Medical Primary Need		•
Add Medical Needs		
Add. Wedical Needs		
		0
Personal Budget	×	Personal Budget Memo
Requested	~	Memo

- 3. Enter details of the assessment:
 - Assessment Started: To record that the phase 2 assessment process has started, select the check box.
 - Assessment Start Date: Enter the date on which the assessment process started.
 - Exception Phase 2: When the statutory assessment time limit is exceeded, you must record a phase 2 exception. This is now separated into Exception Phase 2a and Exception Phase 2b.

To add one or more exceptions:

- i. Click the Browse button to display the Select Exceptions Chooser (Lookup ID 0317).
- ii. Select one or more exception reasons relevant to Phase 2 from the Chooser.
- iii. Click the Select button.

NOTE: Exception reasons are defined in **Tools | Administration | Lookups** (Lookup ID 0317) and are mapped to external DfE Codes.

- Memo fields: For example, Person Centred Meeting Memo, Ed Psych Memo etc. Click the Memo button to display the memo pop-up dialog enabling you to add or edit memo text. The memo button colour is red if a memo has been added and saved.
- Assessment Completed: When the assessment is complete, select this check box. You must also enter an Assessment Completed Date which indicates the end of phase 2.

NOTE: The **Assessment Completed Date** must be after the start date and cannot be after today's date.

Assessment Decision: Record the outcome of the assessment:

- If a draft EHCP is to be issued, select the check box, and enter **Draft EHCP Date** (see field below).
- If an EHCP is <u>not</u> to be issued, leave this field deselected, and enter a date in Notified Date – No Following Assessment.
- **Draft EHCP Date**: Enter the date the draft plan was issued.
- On the student record:
 - the **Supporting Details** panel displays **SEN Status** E Education, Health and Care Plan.
 - The SEN Stage History panel displays SEN Stage, Date of Change, Source, Start Date, End Date.
- Notified Date No Following Assessment: Enter a date only if an EHCP is <u>not</u> to be issued. Then follow the steps to make the assessment inactive. For more information, see <u>Stopping a Student's EHCP Assessment Involvement</u> on page 68.
- SEN Category: Select the main Category of Need from the DfE Code of Practice, e.g. CI -Communication and Interaction.
- SEN Primary Need (Lookup ID 0123): Select from the drop-down. The SEN Primary Need is the main reason for the request.

NOTE: This field is displayed on the student's record in the **SEN Needs Statutory Assessment** panel.

- Add. SEN Needs: This field is enabled when you enter the previous field, SEN Primary Need. To display a list of Needs from which to select, click the Browse button.
- Medical Primary Need: (Lookup ID 0613). Select a primary Medical Need from the dropdown list.
- Add. Medical Needs: This field is enabled when you enter the Medical Primary Needs field. To display a list of needs from which to select, click the Browse button.
- Personal Budget Requested: Select this check box if the parents have requested a SEND personal budget.
- Personal Budget Memo. Click to add or edit personal budget memo text, e.g. notes of a discussion with parents about the student's personal budget.
- 4. Click the Save button to record the phase 2 details of the assessment.

Logging Assessment Details (Phase 3)

To record phase 3 details for an EHCP assessment:

- 1. Open the required student's EHCP assessment involvement.
- 2. Select the Assessment Details (Phase 3) panel.

Exception Phase 3	×	43	
Exception Phase 3		<u>e</u>	
		0	
Final Issued	×	Date Final Issued	
CEN Chabus			

3. Enter details of the assessment:

Exceptions Phase 3: If the statutory time limit is exceeded you must record exceptions.

To record a phase 3 exception, click the **Exceptions Phase 3** browse button to display the **Select Exceptions Chooser** (*Lookup ID 0318*). Select one of more exceptions from the chooser, and then click the **Select** button.

- **Final Issued**: When the final EHC Plan has been issued, select this check box and record the issue date in the **Date Final Issued** field.
- SEN Status: This field is system-generated and displays the relevant SEN code described in the DfE Code of Practice. This field is not editable and is updated by the progress of the assessment involvement through its phases. SEN Status is updated to:
 - E When you enter **Date Final Issued** on **Assessment Fields Phase 3** panel. This updates the **Supporting Details** panel and **SEN Stage History** panel on the student's record.
- 4. Click the **Save** button to display the **Involvement Review** confirmation dialog.
- 5. If you want to create a review involvement, click the Yes button. If no review is required, click the no button to save the record. For more information on creating a review involvement, see <u>Saving</u> and <u>Creating a Review Involvement</u> on page 67.

Saving and Creating a Review Involvement

After entering a **Date Final Issued** on an assessment involvement and saving the details, you can create a review involvement for future a date.

- 1. Click **Save** on the **Assessment Involvement** form toolbar to display the Involvement Review dialog.
- 2. To set up a future review, click the **Yes** button to display the **Create Review** dialog. The **Review Date** defaults to one year ahead in anticipation of the **Review Type** being **Annual Review**.

🕥 Create Review		
Review Date	14/04/2015	
Review Type		-
Create Review	Annual Review (AR) Conversion Review (CR) Interim Review (IR)	

- 3. Select the required Review Type.
- 4. If necessary, change the Review Date.
- 5. Click the **Create Review Involvement** button. The review involvement is created in the background and the assessment involvement is displayed.
- 6. Click the **Save** button on the involvement which displays the new EHCP review record on the **Reviews** panel of the EHCP assessment involvement.

To generate a workflow reminder for the next review

- 1. In the **Review** panel of the EHCP assessment involvement, highlight the review involvement, then click the **Edit** button to display the **Review Involvement**.
- 2. Click the **Timeline** button on the review involvement toolbar to display the **Review Timeline**.

- 3. If required, you can change the **Review Date**.
- 4. Click the Save button.

Stopping a Student's EHCP Assessment Involvement

This procedure describes how to make an EHCP assessment involvement inactive during phases 2 or 3 of the assessment process. For example, if a student has moved out of your Local Authority's area.

- 1. Open the required student's EHCP assessment involvement.
- 2. Select the Involvement Details panel.
 - a. Change Status to Closed (or an appropriate value for your Local Authority),
 - b. Enter an **End Date**.

02. Involvement Details	3				
Start Date	04/06/2014 💌	End Date		•	
Status	Active 🗸	Case File Number	576		
Description	Active 0674 - TABLE_ID Closed				
	Monitoril 🔏 Raised in Error Under Review				
Service Team	ServiceTeam				
Involvement Form	EHCP Assessment	Q, X			
Involvement ID	1325				
Updated By	System Administrator				
Last Updated	04/06/2014 09:51:08				
Case Status	Received	*			

- 3. In the **Assessment Inactive** panel:
 - a. Change the Active check box to inactive, i.e. to a cross (X),
 - b. Select an **Inactive Date**,
 - c. Select an Inactive Reason.

13. EHCP Assessment	13. EHCP Assessment Involvement - Assessment Inactive							
Active	×	Inactive D)ate	14/05/2014	•			
Inactive Reason	Moved out of LEA	-]					
Current	0328 - TABLE_ID Assessment Refused				-			
	Assessment Stopped Information Given							
	Notice in Lieu							
	Reconsideration Request Refused							
	Student Deceased							

- 4. In the Stop Assessment panel:
 - a. Select the Assessment Stopped check box.
 - b. Select an **Assessment Stopped Reason** from the drop-down (lookup *Table_ID* 0404),
 - c. Enter the Assessment Stopped Date.

2	11. EHCP Assessment Invo	lvement - Stop Assessment				
	Assessment Stopped 🗸		Assessment Stopped	14/05/2014	•	
	Assessment Stopped Mor Reason	ved 🗸	Date			

5. Click the **Save** button. If a timeline is attached to the involvement, a dialog is displayed.



6. Click the **OK** button to cancel the timeline.

The **Case Status** (displayed in the **Involvement Summary** panel) of an involvement which has been stopped during phase 2 is **Inactive after Recd**.

Involvement Sumn	Involvement Summary []									
🏦 Search 📵 Expand 👻										
📄 New 💥 Delete 📹 Open 📩 Open In New Window 🚽 Next 👚 Previous										
Involvement Form	Status	Start Date	End Date	Service Team	Caseworkers	Case File Number	Case Status	Involvemen		
EHCP Assessment	Closed	04/06/2014	04/06/2014	ServiceTeam		576	Inactive after Recd.	1325		

The Case Status stopped during phase 3 is Assmt. Stopped.

Transferring an Assessment to your Local Authority

This procedure describes how to record a student who has moved into your Local Authority partway through a SEND assessment.

- 1. Open a new **EHCP Assessment Involvement** for the student. For more information, see <u>Adding a Request for Assessment</u> on page *56*.
- 2. In the **Involvement Details** panel, select the **Status** as **Active**.
- 3. In the Assessment Details (Phase 1) panel, enter the following information:
 - a. Type: Select Transfer In Mid Assessment from the drop-down,
 - b. Source: Select the relevant source of the request for the assessment,
 - c. **Received Date**: Enter the date the request was received by the previous Local Authority.
 - d. **Assessment Panel Date**: Enter appropriate date based on the paperwork you have received from the previous Local Authority.

08. EHCP Assessment Involvement - Assessment Details (Phase 1)								
Туре	Transfer In Mid Assessment							
Source	0315 - TABLE_ID Enquiry	-						
Received Date	Further Assessment	i <mark>ent Panel Date</mark>						
Phase 1 Complete	Initial Assessment LEA Transfer	Date						
Exception Phase 1	LEA Transfer Mid Assessment							
Exception Phase 1	Transfer In Mid Assessment							
	6	0						

- 4. In the **LA Transfer** panel:
 - a. **LA Transfer Date**: Select the date the assessment was transferred to your Local Authority.
 - b. Previous LA: Select the previous Local Authority from the drop-down.

12. EHCP Assessment Involvement - LA Transfer									
LA Transfer Date	14/05/2014	-							
Previous LA	Avon		•						

- Enter the other relevant assessment details. For more information, see <u>EHCP</u> <u>Assessment Involvement</u> on page 55.
- 6. Click the **Save** button.

EHCP Re-assessment Involvement

Overview

An EHCP re-assessment involvement is a new type of involvement which does not exist in the One SEN module. It is similar to the EHCP assessment involvement but does not include a 6-week phase 1 period to consider a request.

The statutory limit for a re-assessment involvement is therefore 14 weeks.

Local authorities may conduct re-assessments when a child or young person that already has an existing EHC Plan has their needs changed significantly. This means that when a child or young person is re-assessed, they should already have an active EHC Plan (*EHCP Assessment Involvement* or *SEN Assessment Involvement* with linked *EHCP Conversion Review Involvement* or *EHCP Re-Assessment Involvement*).

Use the re-assessment involvement, for example, when parents/schools request an updated assessment for a child due to a change in need.

Creating an EHCP Re-assessment Involvement

- 1. Open the student's record.
- 2. In the Links panel on the right side of the page, select **Involvements** to display the **Involvement Summary** dialog.
- 3. Click the New button to display the Choose an Involvement Form dialog.
- 4. Select EHCP Re-Assessment involvement to display the EHCP Re-Assessment [New involvement] dialog.



5. Add data as required in the data panels. Most panels and fields are the same as the EHCP assessment involvement. For more details, see <u>EHCP Assessment Involvement</u> on page *55*.

HCP Re-Assessmer	nt [New Invo	lvement]							
💾 Save 🚫 Memo	😚 Set ACI	. 🔲 Data Pane	els 🤻 Alerts	Sql Mail Merge	📥 Timeli	ne 🔏 Delete T	imeline		
🕘 📀 01. Involvem	ent Details	02. Subjects	03. Reasons	04. Nithiya - SEN O	fficers 05	EHCP Re-Asses	s 01	. Involvement Deta	- 1
01. Involvement De	tails								
Start Date	04/06/	2014	-	End Date			-		
Status			•	Case File Number					
Description	0674 - Active Closed Monitor Raised Under I	TABLE_ID ing in Error Review					-	•	
Service Team	Service	eTeam							
Involvement Form	EHCP	Re-Assessment		Q X					
Involvement ID									
Updated By									
Last Updated				-					
Case Status				*					
				·······					┥
02. Subjects	-								
Current/Future	~								
Family Name Give	en Name Ch	iosen Family Nar	ne Chosen Gi	ven Name Gender	Date of Birth	n Start Date	End Date	(∰ Add	
-				Male	-	04/06/2014		Edit	

6. When you have finished, click the **Save** button.

EHCP Review Involvement

Overview

There are two EHCP review involvements:

- **Review involvement**: For reviewing a SEN or EHCP assessment involvement, for example:
 - Annual Review type: Created when the EHCP assessment involvement is finalised. (See <u>Saving and Creating a Review</u> *Involvement* on page 67.)
- **Standalone Review involvement**: This is used, for example, to review a student's special educational needs when the student does not have a SSEN or an EHC Plan.

Converting a SSEN to an EHCP

- 1. Open the student's record. In the **Links** panel on the right side of the page, select **Involvements** to display the **Involvement Summary** dialog.
- 2. Click the New button to display the Choose an Involvement Form dialog.
- 3. Select EHCP Review Involvement to display the EHCP Review [New Involvement] dialog.



- Add the required review details in the first four panels Involvement Details, Subjects, Reasons, SEN Officers. These panels are similar to the corresponding SEN review involvement panels. For more information see the One SEN Handbook or the online help.
- 5. On the SEN Assessment Summary panel, click the Add button to display the Involvement Summary window.

1	🛐 Involvement Sumr		J							
	👫 Search 💽 Expand 👻									
🖋 Select 📄 New 💥 Delete 💼 Open In New Window										
	Involvement Form	Status	Start Date	End Date	Service Team	Caseworkers	Case File Number	Case Status	Involvement ID	
	SEN Assessment	Active	02/06/2014		SEN	Ainsworth, Darren	523	Received	1224	

- 6. Highlight the completed **SEN Assessment Involvement** that is the subject of this EHCP conversion review.
- 7. Click the Select button to return to the EHCP Review [New Involvement] dialog.
- 8. In the **Statement Review Involvement** panel, enter the following information:
 - **Review Due**: Enter the date of this review.
 - **Review Type** (mandatory): Select **Conversion Review (CR)**.

07. EHCP Statement R	view Involvement
Review Due	14/04/2015 💌
Review Type	· · · · · · · · · · · · · · · · · · ·
Confirmed Meeting Date	Annual Review (AR) Meeting Time 00:00
Officer Attendance	Interim Review (IR)
Review Report Received	Pupil Voice X
School Recommendation	•
LA Outcome	
Response Complete	

- **Confirmed Meeting Date** and **Meeting Time**: Add the date and time of the conversion review meeting at, for example, the student's school.
- Officer Attendance: Select the necessity for a SEN Officer to attend the review, i.e.
 Essential, Desirable or Not Required.
- **LA Response Due**: Enter the date when your Local Authority is due to respond to the review.
- **Review Report Received**: Enter the date the report is received by your Local Authority.
- **Pupil Voice**: Select the check box if the pupil voice was present in the review meeting.
- School Recommendation: Select the school's recommended action, e.g. Educational, Health & Care Plan.
- LA Outcome (Lookup ID 0441): Select the Local Authority's recommendation following the review meeting, e.g. Issue new EHCP.
- Response Complete: Enter the date on which your Local Authority notifies the outcome to the parents and school.
- Officer Attendance at Next Review: Select the necessity for a SEN Officer to attend the next review.
 - 9. Click the **Save** button. If you chose **Issue New EHCP** in **LA Outcome** in step 8, a confirmation message is displayed.

EHCP Review	×
SEN Status is being updated as E for	the subject
	ОК

The student's record is updated on the **Supporting Details** and **SEN Stage History** panels. The student's SEN assessment involvement remains **Active**.

7.0	01. Student Ident	ifiers UIa. Nation	al Hea 02. Sci	hool History (J3. Address I	Details	07. Supporting Detai	•
Socia	A Services	×		Care Order		×		
stude	ent Carer	x		PEP		x		
ervi	ce Family	x		FSM Eligibilit	ty D	x		
Sifted	d and Talented	×						
lode	e of Travel							
EN :	Status	E - Education Heal	th and Care Plan		*			
EN :	Status Start Date	04/06/2014		Youth Suppo Agreement In	ort Services		•	
_								
				v				
23. S	EN Stage History							
23. S	EN Stage History SEN Stage		Date of Change	Source	Start Date			Here Add
23. S	EN Stage History SEN Stage E - Education He	alth and Care Plan	Date of Change 04/06/2014	Source CCS	Start Date 04/06/2014			Add 💥 Remove

EHCP Tribunal Involvement

If parents disagree with SEND decisions made by the Local Authority, they can appeal to the SEN and Disability Tribunal. Parents must be informed about their right of appeal during the assessment process.

Tribunal details are recorded in One SEND on EHCP tribunal involvements.

The steps for completing an EHCP tribunal involvement are the same as the corresponding SEN tribunal involvement. For more details, refer to the *One SEN Handbook*.

Linking an EHCP Tribunal Involvement to an EHCP Mediation Involvement

Parents and young people can choose to go to mediation before deciding whether to appeal to the first-tier tribunal for health and social care complaints in relation to the EHCP.

However, if an agreement cannot be made, then the mediation involvement needs to be linked to a tribunal involvement.

EHCP Mediation Involvement

Overview

The EHCP mediation involvement enables you to record details about the mediation process for children and young people.

Mediation is a form of alternative dispute resolution. Parents and young people can choose to go to mediation before deciding whether to appeal to the first-tier tribunal for health and social care complaints in relation to the EHCP.

The SEN2 Return requires local authorities to record:

- The number of cases that have gone onto mediation that have been resolved <u>before</u> going to tribunal.
- the number of cases which went on to tribunal.

More Information:

<u>Setting up an EHCP Mediation Form</u> on page 25. <u>Linking an EHCP Mediation Involvement to an EHCP Assessment Involvement</u> on page 77.

Creating an EHCP Mediation Involvement

NOTE: The **Reasons** and **Outcomes** panels contain generic functionality and are not mandatory as part of the EHCP process. You can hide these panels on the student's involvements, if required, using the **Data Panel** button at the top of the page.

To create an EHCP Mediation Involvement:

- 1. Open the student's record.
- 2. In the **Links** panel on the right side of the page, select **Involvements** to display the **Involvement Summary** dialog.
- 3. Click the New button to display the Choose an Involvement Form dialog.



4. Select EHCP Mediation Involvement to display the EHCP Mediation [New involvement] dialog.

On the **Involvement Details** panel, the **Start Date**, **Service Team** and **Involvement Form** are pre-populated; the **Start Date** can be edited.

EHCP Mediation Involver	nent [New Involvement]		
💾 Save 🚫 Memo 🕄	Set ACL 🛄 Data Panels 🦞 Alerts	s 💣 Sql Mail Merge 🚠 Time	line 🔏 Delete Timeline
🌀 😥 01. Involvement	Details 02. Subjects 03. Reasons	04. Caseworker - SEN Officer	s 01. Involvement Deta 👻
01. Involvement Details	8		
Start Date		End Date	•
Status	-	Case File Number	
Description			•
Service Team	SEND		
Involvement Form	EHCP Mediation Involvement	Q, X	
Involvement ID			
Updated By			
Last Updated			

5. Enter the required information into the fields displayed in the above graphic.

Involvement ID, Updated By and Last Updated are populated when the involvement is saved.

NOTE: The **Subjects** panel is pre-populated with the student's details. Click the **Details** button to view the student's details in full. Click the **Inv Summary** button to view a summary of the student's involvements.

6. In the **Reasons** panel, click the **Add** button to display the **Involvement Reason Chooser** dialog and select a reason why the subject requires an EHCP mediation involvement.

03. Reasons						
Reason Code	Description	Active	Primary Reason	Start Date	Updated By	🔂 Add
						🔝 Edit
						💥 Remove
•						4

7. If required, add a caseworker in the Caseworker – SEN Officers panel.

urrent/Future	V					
Post Name	Name	Title	Lead Caseworker	Start Date	End Date	🖶 Add
						🕤 Edit
						💥 Remov
						0.0.1

NOTE: If a SEN Officer has been defined via **Focus** | **Services** | **EHCP Administration** | **EHCP User Defaults**, they are displayed here automatically.

- a. Click the Add button to display the Choose Caseworker from the <SEND> Service dialog.
- b. Select a caseworker; the following message displays:

The System has auto-selected *<Surname, Forename>* as Lead Caseworker. Please review and reassign if required.

- c. Click the **OK** button to add the caseworker.
- In the EHCP Mediation Involvement SEN Admin Officers panel, click the Add button to display the Choose Admin Officer from the <SEND> Service dialog and select an Admin Officer.

Post Name	Name	Title	Start Date	End Date	Email Address	ContactNo	Add
							S Edit
							- Edit
							💥 Rem

9. In the EHCP Mediation Involvement - EHCP Assessment Summary panel, click the Add button to link an EHCP Assessment to this mediation. A mediation involvement must be linked to an assessment involvement.

06. EHC	06. EHCP Mediation Involvement - EHCP Assessment Summary											
Subjec	Case File Number	Case Status	Received Date	Туре	Source	SEN Primary Need	Start Date	Final Date		🖶 Add 🕥 Edit 🗙 Remove		

If the mediation involvement is already linked to an assessment involvement, the **Add** button is greyed out.

10. Record the main details of the mediation process in the EHCP Mediation Involvement - EHCP Mediation Details panel.

07. EHCP Mediation Inv	rolvement - EHCP Mediation Details
Mediation Reason	
Notified Date	05/09/2014
Mediation Provider	
Mediation Outcome	Response Date
Mediation Cerficate No.	

- Mediation Reason is mandatory. Table_ID 1203.
- Notified Date is mandatory. Defaults to today's date but can be edited.
- Mediation Provider is linked to the Base Enquiry.
- Mediation Outcome Table_ID 1204.
- **Response Date** select from the calendar drop-down.

- Mediation Certificate No. an alphanumeric field with a maximum of 30 characters. This
 is used to show that a parent or young person has either sought mediation advice or has
 gone to mediation.
- 11. In the **Outcomes** panel, click the **Add** button to display the **Involvement Outcome Chooser** dialog and select an outcome.

Outcome Code	Description	Active	Outcome Date	User Name	다 Add
					Edit
					Semo

12. Click the Save button. The Involvement Status History panel is populated.

09. Invol	vement Status Histor	у	
Status	Updated On	User Name	10.00
Active	05/09/2014 11:55:26	System Administrator	
4			
		111	

If the **Status** of the involvement is changed, it is recorded in the **Involvement Status History** when the involvement is saved.

Linking an EHCP Mediation Involvement to an EHCP Assessment Involvement

If the parents/young person do not agree with any part of the EHCP process, they can choose to go to mediation before deciding whether to appeal to the first-tier tribunal.

The EHCP Mediation Involvement can be created directly from the following assessment involvement forms:

- EHCP Assessment
- EHCP Re-Assessment

To link an EHCP mediation involvement to an assessment involvement:

1. Open one of the above assessment involvements from **My Home Page**, the **CSS Service Team Workload** page, a student's **Chronology** or a student's **Involvement Summary** page.

	nvolvement Summary [1							×
ć	Search 🔁 Collapse	•								
	1. Involvement Filters			100000000000000						
	Active	V			M	y involvements				
	Service	Q X								
	Involvement ID									
	New 💥 Delete 📰	Open	Open	In New Wind	low 👆 N	ext 合 Previo	US			
	Involvement Form		Status	Start Date	End Date	Service Team	Caseworkers	Case File Number	Case Status	Involvement ID
	EHCP Assessment		Active			SEND		100		
	EHCP Re-Assessment		Active			SEND		3 800 11 13	i i in second	
	SEN Assessment		Active	E N N N		SEN	8589 c. 1939 a	3. 600.00	in the second	Real of the

2. On the EHCP Assessment/Re-Assessment Involvement – Tribunals and Mediation panel, click the Add button to display the Choose an Involvement Form dialog.

EHCP Involvements

15. EHCP Assessme	nt involvement - Tribunals and Mediation	
Notified Date Tribut	al or Mediation Type Hearing Date	🖶 Add
	S Choose an Involvement Form	Edit
•	Select	
	SEN WEHCP Mediation Involvement EHCP Tribupal Involvement	

- 3. Select the EHCP Mediation Involvement to display the EHCP Mediation Involvement [New Involvement] page.
- 4. Enter the information for the other panels on the EHCP Mediation Involvement.
 - Involvement Details
 - SEN Officers
 - SEN Admin Officers
 - EHCP Assessment Summary
 - EHCP Mediation Details.

For more information, see Creating an EHCP Mediation Involvement on page 75.

5. Click the Save button and close the EHCP Mediation Involvement.

The EHCP Mediation Involvement will now display on the student's **Involvement Summary** page.

6. On the EHCP Assessment/Re-Assessment Involvement, click the **Save** button to populate the **EHCP Assessment/Re-Assessment Involvement - Tribunals and Mediation** panel.

Notified Date	Tribunal or Mediation Type	Hearing Date	🖶 Ada
		I MARKAN CAR INC.	💊 Edit
			💥 Dele

Click the Edit button to make any changes to the mediation involvement.

UDFs and EHCP Involvement Forms

User Defined Fields (UDFs) enable you to add extra fields to accommodate data items that One does not store. The **UDF Management** functionality is available on the EHCP involvement forms.

UDFs are created against entities; they can only be used once. When defined, UDFs are stored in a series of UDF tables.

UDFs cannot be deleted; they can only be made inactive by removing them from the entity. If a UDF is removed from an entity, it is removed from all records for that entity; this affects all records regardless of when they were created.

UDF Management is accessed by clicking on the **UDF Manager** button at the top of the relevant **EHCP Involvement Form Details** page or via **Tools | Administration | UDF Management**.

MORE INFORMATION:

For more information on UDFs, see the online help or *RG_Administration_UDFs* on the <u>One</u> <u>Publications</u> website.

Recording a Student's Provision

The student provision functionality in SEN has been enhanced in One SEND to enable you to record:

- whether a provision line is a personal budget
- the type of personal budget, e.g. direct payment, third party arrangement, etc.

Recording a Personal Budget on a Provision Record

When you enter a provision, a **Personal Budget** check box allows you to identify the provision as a personal budget. You can also select the **Personal Budget Type**.

For details on setting up a provision against a student or an involvement, see the *One SEN Handbook*. The following section describes how to assign a provision line as a personal budget.

- 1. Open the required student's involvement.
- 2. Select the **Provision** link in the **Links** panel on the right-side of the screen to display the **Provision Summary** dialog.

Provision S	Provision Summary [for Involvment:]									
🐴 Search	🔁 Collapse	•								
Provision	n Search									
Provider		(🔍 🗙			
Service	Service Q X									
Provision	Provision Year 2014/2015 - Start Date -									
End Date	End Date									
Desulte	[otal								\leq	
Calculate	d Estimate									
Edited Es	stimate									
Amount F	Paid									
New S	🗶 Delete 💼 (Open In New V	Vindow 👋 Tra	ansfer Selected	Provi	isions 👍 Export to Exc	el			
13			Drag	a column here	to gro	oup by this column.				
Sel New	Base Name	Service	Funding Body	Charge Type	DB	Start Date	End Date	FTF	Curr	
	Daservanie	Service	r anang boay	onarge type	10	Start Date	End Date	112	oun	
	Contains: 🍸	Contains: 🍸	Contains: 🍸	Contains: 🍸		Equals: 🗸	Equals: 🛛 🖓	Contains: 🍸	Cont	

- 3. Click the New button to display the Provision Allocation dialog.
- 4. Follow the procedure for creating a provision from the One SEN Handbook.
- 5. In the **Provision Allocation Details** dialog, enter the following information:
 - **Personal Budget**: If the provision is a personal budget, select this check box.
 - Personal Budget Type: Select from the drop-down. This field is only enabled if you selected the Personal Budget check box.
 - If the personal budget provision for a direct payment is a direct payment made to other people, select the Third-Party Arrangement check box.

01. Provision Details				
Service Team	SEN		Q X	
Provider and Service	SEN .	an Manadapater Manager Space (1996)		
Start Date	- 31 BEREIT - 35	 End Date 		▼
Owner				
Base				
FTE	1.0000	Current Rate	100.00	
Hrs/Wk	1.0000	Wks/Year	52.1429	
Shared		CarryOver		
Personal Budget	V			
Personal Budget Type	Direct Payment - Educa	tion 👻		
Third Party	V			
Arrangements				

- 6. Continue completing the remaining panels. For more information, refer to the *One SEN Handbook.*
- 7. Click the **Save** button. In the **Provision Summary** screen, an extra column, titled **PB**, shows whether a provision is an EHCP **Personal Budget** item.

Provision Summary [for	Provision Summary [for Involvment: 10:02/2010]								
👫 Search 💽 Expand	•								
Provision Search	Provision Search								
Provider	Provider Q X								
Service	Service Q X								
Provision Year 2014/2015 - Start Date -									
End Date	End Date								
Results Total									
Calculated Estimate	5214.29								
Edited Estimate	5214.29								
Amount Paid	0								
New W Delete	Open In New Wind	ow A Transf	er Selected Dr	wisio	05	Evport to Evcel			
	open in New Wind	W W Hansi	er belecteu Fit	741510	115				
		Dr	ag a column h	ere to	aroi	up by this column.			
Select Base Name	Service	Funding Body	Charge Type	РВ		Start Date	End Date	FTE	Current Rate
🔲 🏹 Contains: 🏹	Contains: 🛛 🏹	Contains: 🍸	Contains: 🏹		Ēq	uals: 🏾 🍸	Equals: 🛛 🖓	Contains: 🍸	Contains: 🍸
Test Nursery	Special Transport		TR03		6	/04/2014			
Test Nursery	Special Transport	LEAF	TR04		01/	/04/2014		1.0000	100.00

NOTE: The **PB** check box is non-editable and is based on the value of the **Personal Budget** check box on the **Provision Details** panel.

Recording Payee Details on a Provision Record

On the **Provision Allocation** dialog, a new panel **Payee Details** enables you to record brief details about a payee.

03. Payee Details		
Payee Name		
Payee Account Number	Payee Sort Code	
Roll Number		
Third Party Name		

NOTE: The fields on the **Payee Details** panel are 'free text' and not validated by One SEND (except for **Payee Sort Code**, which ensures the correct format is entered).

Adding a Provision to an Involvement

A change to the **Provision Allocation** screen makes adding student's provisions simpler. A new radio button enables you to easily choose between the two methods of recording provision, i.e. **Provider and Service** or **Charge Type**. For more information on provision, refer to the One SEN Handbook.

Provision Allocation [Ne	w Provision Allocation]			×
💾 Save 🔷 Memo 🤎	Alerts Sql Mail Merge 🔮	UDF Manager		
In Provision De In Provision De	tails			01. Provision Details 👻 🖌
01. Provision Details				
Service Team	SEN		QX	
Provider and Service	۲	Charge Type	No.	
Provider and Service			Select 🔍 🗙	
Charge Type			Q X	
Service			Q X	
Start Date	-	End Date		-
Save and Continue]			

06 Child Protection

Overview

Protection from abuse and neglect is a fundamental right of all children. Children suffering or at risk of abuse or neglect need to be identified early and provided with appropriate support to help prevent problems from escalating and give them the best chance to thrive in life.

Professionals working with children need to be able to:

- identify signs of abuse and neglect early.
- assess the needs of the children and their families effectively.
- share information effectively and appropriately within and between organisations.
- develop interventions that are effective in improving the lives of the children they are intended to help.

One uses child protection events to monitor child protection. It records and displays the details of a child's protection registration. It also records the details of a child protection for a child from another local authority, living in the authority using One.

Depending on the type of event, messages are displayed on the **My Home Page** in either **My Workflow Messages** or **My Referrals**.

Permissions

Permissions are granted via Tools | Permissions | User Group Permissions | User Group Permissions Editor:

For more information, refer to the *One Permission Additions and Changes* spread sheet available on the <u>One Publications</u> website via the **Technical Guides** tab.

Child Protection Record

A **Child Protection** record can be manually created by the Local Authority (LA) for a child who is the responsibility of the LA. It enables you to indicate whether a child or young person is currently on the Child Protection Register of another Council with Social Services Responsibility (CSSR).

The **Child Protection** functionality is available via **Focus | People | Students | Student Details | Links panel | Child Protection**. For more information, see <u>Creating a Child Protection Record</u> on page 82.

Creating a Child Protection Record

To create a new child protection record:

1. Select Focus | People | Students | Student Details | Links panel | Child Protection to display the Child Protection Details page.

On the **Person Summary** panel, the **Family Name** and **Given Name** are pre-populated. Click the **Details** button to view full details of the child.

Child Protection Deta	ils en en e		×
🕜 🕑 01. Person Su	mmary 02. Child Pr	otection 03. Child Protection Events	01. Person Summary 🔻 🚀
01. Person Summar	у		
PersonSummary	Title		🔱 Select →
	Family Name		11 Details
	Given Name		

2. If required, select the CSSR check boxes on the Child Protection panel.

1	22. Child Protection	
	s the child/young V Has the child/young X person on the CPR of person previously been another CSSR? CSSR?	
		1

These are tri-state check boxes; the default is blank (unknown). Select the check box once to change the status to true (tick), select again to change the status to false (cross).

3. On the Child Protection Events panel, click the Add button to display the Child Protection Event [New Child Protection Event] dialog.

Event		
Open	Record Type	CP
	-	
▼	End Date	
22/09/2014 💌		
		\Diamond
		1
		<u>ر</u>
		B
	Event	Event Copen Record Type End Date 22/09/2014

Open/Closed, Record Type and Created Date are pre-populated.

- 4. Select a CSSR (Council with Social Services Responsibility).
- 5. Enter a Start Date.
- 6. If required, enter an End Date. The end date cannot be on or before the start date.
- 7. If required, enter a **Comment**. This is a free text field for information relevant to this child protection event.
- 8. On the Child Protection Categories panel (Table_ID 0529), select one or more categories.



9. Click the **OK** button to return to the **Child Protection Details** page; the **Child Protection Events** panel is populated.

03. Child Protect	ion Events				
Open/Closed	Record Type	CSSR	Start Date	End Date	🖶 Add
Open	CP	and a second second and all			💥 Remove
					🔏 Details

10. Click the **Save** button to save the child protection record.

The new child protection record can be viewed on the child's chronology. For more information, see <u>Student's Chronology</u> on page 14.

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Child Protection Contact Enquiry Record

A **Child Protection Contact Enquiry** can be recorded against a child. It enables you to view details of the contact enquiry made about a child or young person for whom you are the key worker or designated manager.

The Child Protection Contact Enquiry functionality is available via **Focus | Contact Record | New Contact Record**. For more information, see <u>Creating a Child Protection Contact Enquiry</u> <u>Record</u> on page 84.

When an enquiry is made regarding a child or young person, a contact record is created. The contact record can be used as a Child Protection Enquiry, if the **Reason of Contact** is set to **Child Protection Plan Enquiry**.

A Child Protection Contact Enquiry enables a key worker of a child or young person to inform an enquirer if the child of whom they are enquiring is protected and if the Council with Social Services Responsibility (CSSR) have received previous enquiries about the child.

NOTE: <u>All</u> child protection contact enquiry records are stored in the database.

Creating a Child Protection Contact Enquiry Record

To create a new child protection enquiry record:

- 1. Select Focus | Contact Record | New Contact Record to display the Contact Record Details [New Contact Record] page.
- 2. On the **Subject Details** panel, **Date of Contact** is pre-populated, but can be edited. **Created On** is pre-populated but cannot be edited.

Contact Record Details -	Contact Record Details - [New Contact Record]									
💾 Save 🦞 Alerts 🧟 Show <u>R</u> elationships 👻 <u>C</u> lone										
🗟 🚱 01. Subject Details 02. Child/young p 03. Current Addre 04. Details of pe 05. Additional Details 01. Subject Details 🔹 🖋										
01. Subject Details										
Date Of Contact			Created On	23/09/2014 08:04:17						
Tick if the child/person is aware of contact			Tick if parent(s)/carer(s) is/are aware of contact							
Contact Created by				Q X						

3. If required, select the check boxes to confirm if the child, young person, parent or carer is aware of the contact.

These are tri-state check boxes; the default is blank (unknown). Select the check box once to change the status to true (tick), select again to change the status to false (cross).

- 4. Select a Contact Created By.
- 5. On the Child/young person's name, address and responsible CSSR panel, enter the relevant details.

02. Child/young pers	on's name, address and re	sponsible CSSR:			
Person Details	Family Name Given Name				🧏 Match 👻 😤 Unmatched
	Gender Primary Contact number Mobile	Not Specified	•	e-Mail Work contact number Date of Birth	
	Estimated Due Date Person ID			Guessed DOB	A
	PrincipalAddress				Match V Wunmatched
		Post code		Telephone number	
DoB or Expected date of delivery		-	Te	elephone	
Social Service Team					
Responsible CSSR	1		•		

6. If the current address is different from the above, enter the details.

03. Current Address if different from above				
Address	Match 🗸			
	🗙 Unmatched			
	Post code Telephone number			
Telephone				

7. Enter the details of the person making contact.

04. Details of person n	naking contact				
Agency Name		•			
Contact's Details	Family Name				🤱 Match 👻
	Given Name				😫 Unmatched
	Gender	Not Specified	•	e-Mail	
	Primary Contact number			Work contact number	
	Mobile			Date of Birth	
	Estimated Due Date			Guessed DOB	
	Person ID				
	Principal Address				🔂 Match ,
					💥 Unmatched
		Post code		Telephone number	
Relation			Te	lephone	
			Rid .		
Does the person making a contact wish to remain anonymous?					

- 8. On the Additional Details panel, select a Method of Contact.
- 9. You <u>must</u> select Child Protection Plan Enquiry for the Reason of Contact.

05. Additional Details			[
Method of contact	Reason of contact	Child Protection Plan Enquiry]
Further details			1
		ر م	
		<u>د</u>	
		В	
		Ι	

- 10. If required, enter any further details.
- 11. On the Action Taken panel, you must select an Action and Assigned To.

06. Action Taken		
Action	Assigned To	•
Action Taken/ Recommendation		\Diamond
		5
		<u>د</u>
		В

- 12. If required, enter the Action Taken/Recommendation.
- 13. Click the Save button to display the Child Protection Contact Enquiry dialog.

Child Protection Contact Enquiry				
Child protection enquiry on: Name: Address:				
Result of Enquiry:				
Advise caller of above details				
	» ع 2			
Close				

The result of the enquiry message varies according to the information available. For example:

No child protection records were found for the child.

Previous protection enquiries exist.

Active child protection record; Key worker <Name>.

CSSR = <LA Name>.

14. Click the **Close** button to return to the **Contact Record Details** page; the record is now readonly.

Viewing Child Protection Contact Records

<u>All</u> child protection contact records are stored on the One database. When they are viewed at a later date, they are <u>read-only</u>.

To view a child protection contact record:

1. Select Focus | Contact Record | Manage Contact Records to display the Contact Record Enquiry page.

On the **Contact Record Information** panel, the **End Date** defaults to the system date and the **Start Date** defaults to seven days prior to this; these can be edited.

Contact Record Enquiry					×
👫 Search 🔁 Collapse	-				
Contact Record Informa	ation				
Start Date		✓ End Date		-	
Person Family Name					
Person Given Name					
Agency Name				1	
Contact's Family Name					
Contact's Given Name					
Reason For Contact					•
Action Taken			•		
Supervisor Action Taken			•		

- 2. Any of the above fields can be used as search criteria. Enter the required details.
- 3. Click the **Search** button. This returns a list of contact records matching your selection criteria.
- 4. Select a record, then click the **Open In New Window** to display the <u>read-only</u> **Contact Record Details** of the child or young person.

07 | Statutory Returns

Introduction

An SEN statutory annual return is required by the Department for Education (DfE).

The **SEN2 Return** is an annual analysis of student data produced by Local Authorities in England at the beginning of each year and sent to the DfE.

It is required by the Education Act 1996 and provides the major source of data on children and young people with an Education, Health and Care Plan (EHCP), introduced as part of the Children and Families Act 2014.

This information is different from the data collected as part of the School Census, which counts the number of pupils with statements and EHC Plans (England only) in schools.

Students are only included if they are the responsibility of the Local Authority producing the return.

The SEN Returns menu consists of the following two returns:

- SEN2 to accommodate the introduction of the EHCP.
- SEN2<=2014 / STATS2 for pre/2015 SEN2 returns in England.

The SEN2 Return is accessed via Focus | Analysis Reporting | Data Collection | SEN Returns | SEN2 / SEN2<=2014/STATS2. Selecting an option displays the appropriate SEN Return Enquiry page, enabling you to search for an existing return or generate a new one.

Children and Families Act 2014

As a result of the Children and Families Act 2014, the SEN2 return has been changed to allow the collection of information:

- on those pupils with an education, health and care plan
- from birth to 25 years
- on pupils with ongoing assessments, or completed by the Return Date, but no decision has been made.
- on requests for an assessment that were refused
- on pupils with EHC Plans who were taken out of school to be educated at home
- on pupils whose statement was issued within 20 weeks
- on pupils transferring from existing statements or learning difficulty assessments (LDA) to EHC pans
- on the number of personal budgets and direct payments taken up
- on the number of cases going into mediation.

Business Rules and Exception Messages

Part A: Introduction

The SEN2 return is produced by Local Authorities in England at the beginning of each calendar year and the information is entered into the Department for Education (DfE) COLLECT system for country-wide data analysis. The return is required by the Education Act 1996 and under the Children and Families Act 2014 and provides information on the students within the Local Authority who have been assessed for an Education, Health and Care plan (EHC Plan) within the previous calendar year. Only those students that are the responsibility of the Local Authority producing the return are included.

This document describes the business rules used to gather EHC Plan information from Capita One Education, along with the exception messages produced where data anomalies are found in the information.

A1: Structure of the Return

The return consists of:

- Part 1 Educational Arrangements
- Part 2 Assessments and Placements
- Part 3 Education, Health and Care Plans issued within 20 weeks
- Part 4 Number of Personal Budgets
- Part 5 Effectiveness of Mediation
- Part 6 Designated Medical / Clinical Officer (DMO / DCO)

When a return is generated, One gathers information for all parts of the return.

The information gathered includes:

Counts relevant to each subsection for each part.

Questions are often split into subsections, and this document identifies the business rules which ensure a child is counted in each subsection.

Detail of the Student or Assessment Record collected.

To assist our customers in the checking of the return result prior to submission, the SEN2 return application also stores information on the students and assessment records that make up the count. This information is presented in the **Reconciliation Report** log.

A2: Assumptions

The information collected for this return is based on a number of assumptions, which are noted below:

- The questions within this return relate only to EHC Plans for which the Local Authority is responsible under the provisions of the Education Regulations 1996 and the Children and Families 2014 Acts.
- The dates of birth entered for students are accurate.
- Where appropriate, students with an EHCP have a placement recorded that reflects where they are currently on roll, or the nature of their provision if they are being educated other than in school.

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The return collects information on the type of placement, using the placement for the registered base if more than one placement is recorded. Students without an appropriate placement record or with a placement type mapped to an external code that is not in the valid range for this return are counted as awaiting provision.

- The SEN School Type placement type lookup (*Table_ID 0128*) has been mapped to the correct range of external codes required by the return to collect placements accurately.
- Students have the correct Assessment Type (Table_ID 0315) as outlined in section A3: Guide on Assessment Type codes in this document.
- Where a student is assessed but the Local Authority decides not to issue a statement, the EHCP assessment involvement has been made inactive and one of the following has taken place:
 - A note in lieu decision has been recorded in the involvement.
 - The external code of MWS Met Without Statement has been used for the SEN Inactive Reason (Table_ID 0328) on the involvement.
- Where a student is assessed but the Local Authority decides not to issue an EHC Plan, the EHCP assessment involvement has been made inactive and one of the following has taken place:
 - The Notified Date No Following Assessment has been recorded in the involvement.
 - The external code of MWS Met Without Statement has been used in the SEN Inactive Reason (Table_ID 0328) on the involvement.
- Where a student with an EHC Plan has transferred, an appropriate transfer record has been recorded.
- The Transfer Type lookup (Table_ID 0129) has been mapped to one of the appropriate external codes:
 - T01 Ordinary > Other School (DfE)
 - T02 Other School > Ordinary (DfE)
 - T08 From mainstream/academies > Home Education
 - T09 From maintained or non-maintained Sp schools, Sp academies or ind schools > Home Education
- Where a statement or EHC Plan has been reviewed and discontinued, the relevant involvement has been made inactive and a reason has been recorded.
- Where a statement is assessed but the student has left school, the involvement record is made inactive and the external code LEF Left Education Setting has been used as the SEN Inactive Reason (*Table_ID 0328*) on the involvement.
- The lookup SEN Inactive Reason (Table_ID 0328) has been mapped to the correct external codes for the return:
 - MOV (Moved to another Authority)
 - MWS (Needs met without Statement)
 - OTH (Other)
 - REF (Assessment Refused)
 - LES (Left Educational Setting)
 - RFS (Reassessed)

From September 2014, a new Code of Practice that includes rules for converting statements to EHCPs came into force. The transitional arrangement documents set out that Local Authorities who are undertaking SEN assessments which are not complete before 1st September 2014 can issue an EHCP at the end of the assessment, rather than issuing a statement.

In order to prepare for making this change in the SEN2 statutory return, a new code has been added to lookup tables 0316, 0317 & 0318 (relating to the phase exceptions fields in the SEN and EHCP assessment forms), as follows:

Ext. Code	LOOKUPS_FULL (30 Characters are allowed)	LEATABLE_FULL
М	Assessment moved to EHCP from Sept. 14	Assessments moved to EHCP from Sept. 2014

Where a student has converted from a statement to an EHCP using the EHCP review involvement with a Review Type of Conversion Review, Outcome of Issue New EHCP and a date in the Response Complete field, that student is counted in the EHCP Result column.

For more information see the Active EHC Plan as at a Date section of <u>Part D: Definition of</u> <u>Common Terms</u> on page *125*.

Also, where a student has transferred from a statement to an EHCP using the EHCP assessment involvement with an **Assessment Type** of **Transfer From Statement** (external code of **TFS**) and the **Final Issued** completed, that student is counted in the **EHCP Result** column.

For more information see the Active EHC Plan as at a Date section of <u>Part D: Definition of</u> <u>Common Terms</u> on page *125*.

- Tables for EHCP and SEN involvements are shared, but field names on the UI are not always the same. This document refers to the UI field names on the SEN involvements (unless specifically mentioned as EHCP involvements).
- The following check is applied to questions 1.1, 1.2, 2.1, 2.2, 2.4, 2.5, and 2.6:

Assessment LA Transfer Date (*INV_FORM_SEN_ASSESSMENT.LT_TRANSFER_DATE*) is NULL OR a date that is on or before the **Return Date**.

Detailed business rules are defined for all respective questions throughout the rest of this document.

A3: Guide on Assessment Type Codes

The external code of the 'Assessment Type' that is entered on to a child or young person's Involvement will determine what questions of the SEN2 return they will be counted in.

10. EHCP Assessment involvement - Assessment Details (Phase 1)			
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The codes that can be used are as below:

EXT Code	Internal Code	Descriptio n	Definition
INI	Defined by your local authority	Initial Assessment	This code should be used on an EHCP Assessment Involvement when your local authority receives a request for an EHC assessment for a child or young person (assuming your local authority would maintain their EHC Plan if they were to be issued with one).
LEA	Defined by your local authority	LEA Transfer	This code should be used on an EHCP Assessment Involvement when a child or young person with an existing EHC Plan or SEN Statement has transferred from another local authority in to your local authority. When the transfer is complete your local authority will be maintaining their EHC Plan.
INI	MID	Transfer In Mid Assessment	This code should be used on an EHCP Assessment Involvement when a child or young person moves in to your authority (the importing authority) during the EHC needs assessment or EHC Plan development process originally started by another LA (the exporting authority).
FUR	Defined by your local authority	Further Assessment	This code should be used on an EHCP Re-assessment Involvement when your local authority needs to conduct a reassessment for a child or young person whose EHC Plan your local authority maintains. Note: As this code should only be used on EHCP Re- assessment Involvements, you should remove it so that it is no longer available for selection on EHCP Assessment Involvements.
TFS	Defined by your local authority	Transfer from Statement	This code should be used on an EHCP Assessment Involvement when transferring a child or young person from a statement of special needs to an EHC Plan in accordance with the SEND Code of Practice that came in to force in September 2014. Note: Once your local authority has completed your transfers from statements to EHC Plans, you should remove this code from being available for selection on EHCP Assessment Involvements.
OVR	Defined by your local authority	LA decision overturned	This code should be used on an EHCP Assessment Involvement when the process restarts after an LA's decision not to continue the SEND process has been overturned following mediation or tribunal. Examples of decision not to continue the SEND process include (a) refusing an assessment, (b) not issuing an EHC Plan after an assessment, or (c) discontinuing an EHC Plan. Once the process restarts after the overturned decision, the LA should create a new Involvement with this 'OVR' code. The Involvement where the decision was

EXT Code	Internal Code	Descriptio n	Definition
			originally made not to continue the SEND process should be made inactive.
			Note: If your local authority was already using an internal code to record this scenario before the Autumn 3.70 release then this should be mapped to this OVR external code.
			If your local authority was not previously capturing this scenario in the system using an internal code then you will have to manually amend historic records so that the SEN2 Return counts this correctly
OTH	Defined by your local authority	Other Type	This code should be used when using any of the other codes is not appropriate to be recorded on the child or young person's Assessment Involvement. Using this code will not count this child or young person in the SEN2 Statutory return.

This guide aims to explain which Assessment type code should be used in specific scenarios.

- When an assessment request is received for a child or young person in my LA (where my LA would maintain their EHC Plan if they were to be issued with one): The code 'INI – Initial Assessment' should be used.
- 2. When a child or young person with an existing EHC Pan issued by another LA moves in to my LA. When the transfer is complete, my local authority will maintain the EHC Plan:

The code 'LEA – LEA Transfer' should be used.

- 3. When a child or young person with an existing EHC plan issued by my LA moves in to another LA. My LA will no longer maintain their EHC Plan after the move: The 'Assessment Type' code that should be used is not affected by the fact that the child is moving out of the LA. However, the 'Inactive Reason' that should be applied to the Involvement is 'MOV Moved to other LEA'.
- 4. When a child or young person moves in to your LA (the importing authority) during the EHC needs assessment or EHC Plan development process originally started by another LA (the exporting authority). Specific examples of this include:
 - a. When a child or young person moves in to your LA (the importing authority) after a request for an assessment was made to another LA (the exporting authority), but before the decision to assess was made
 - b. When a child or young person moves in to your LA (the importing authority) whilst they were being assessed by another LA (the exporting authority), but before the decision on whether to issue an EHC Plan has been made
 - c. When a child or young person moves in to your LA (the importing authority) after they have been assessed by another LA (the exporting authority), but before the EHC Plan has been issued.

The internal code of 'MID – Transfer In Mid Assessment' which is automatically mapped to the external code of 'INI – Initial Assessment' should be used.

Using this code will count the child or young person in *Part 2: Assessments and Placements* of your SEN2 Return. An example scenario that mentions why this should be

counted is in the SEN2 guidance which states that when "the exporting local authority carried out the assessment but the importing local authority issued the EHC plan during the calendar year: the importing local authority should count these cases in Part 2, the exporting local authority should not count these cases in Part 2".

Using the 'MID – Transfer In Mid Assessment' code will also exclude the child or young person from the count of *Part 3: EHCPs issued within 20 weeks*. This is because the SEN2 guidance states that when the "*exporting local authority carried out the assessment but importing local authority issued the EHC Plan: both the importing and exporting local authorities should not count these cases in part 3.*"

- 5. When a child or young person moves out of your LA (the exporting authority) during the EHC needs assessment and EHC Plan development process. Specific examples of this include:
 - a. When a child or young person moves out of your LA (the exporting authority) after a request for an assessment was made to your LA, but before the decision to assess was made
 - b. When a child or young person moves out of your LA (the exporting authority) whilst they were being assessed by your LA, but before the decision on whether to issue an EHC Plan has been made
 - c. When a child or young person moves out of your LA (the exporting authority) after they have been assessed by your LA, but before the EHC Plan has been issued

The code 'INI – Initial Assessment' should be used for the 'Assessment Type' because at the point you received the assessment request for the child or young person they were in your local authority. When the child or young person moves out of your LA during the EHC needs assessment or EHC Plan development process, the Involvement should then be made inactive and given an 'Inactive Reason' of 'MOV – Moved to other LEA'.

To avoid double counting, the DfE have determined that children who move out of a local authority during an assessment should not be counted in 'Part 2: Assessment and Placements' of the exporting authority's SEN2 return. The SEN2 guidance states "the exporting local authority carried out the assessment but the importing local authority issued the EHC Plan during the calendar year: the importing local authority should count these cases in Part 2, the exporting local authority should not count these cases in Part 2.

6. When a child or young person who currently has an EHC Plan needs a full statutory reassessment:

The code 'FUR – Further Assessment' should be used on an EHCP Re-assessment Involvement.

7. When a child or young person is transferred from a statement of special educational needs to an EHC Plan:

The code 'TFS – Transfer from Statement' should be used on an EHCP Assessment Involvement.

Note: Once your local authority has completed your transfers from statements to EHC Plans, you should remove this code from being available for selection on EHCP Assessment Involvements.

- 8. When you want to record details about a child or young person's SEND process restarting after an LA's decision has been overturned following mediation or tribunal. Specific examples of this include:
 - a. When the LA's decision to refuse an assessment has been overturned
 - b. When the LA's decision to not issue an EHC Plan after an assessment has been overturned
 - c. When the LA's decision to discontinue an EHC Plan has been overturned

The LA should create a new EHCP Assessment Involvement using the 'Assessment Type' code of 'OVR – LA decision overturned' once the child or young person's SEND process restarts. The Involvement where the decision was originally made not to continue the SEND process should be made inactive.

9. When you want to record details about a child or young person's SEND in an Assessment Involvement, but your local authority does not maintain the EHC Plan or manage any part of their SEN process:

The code 'OTH – Other' should be used. This will exclude the child or young person from being counted in any part of the SEN2 Return.

Note: The historical codes of '**OLI** – **Assessment for Other LA**' and '**OLF** – **Other LA Responsible**' are no longer required to be used. These codes focused on the funding responsibility of the LA. This is no longer criteria the DfE is looking for, instead inclusion in the SEN2 Return is now based on whether the LA has responsibility for the management of SEN processes and if the LA holds the Statement or EHC Plan. As a result, it is recommended that you remove these codes from being available for selection on your Involvements.

Ext. Code	LOOKUPS_FULL (30 Characters are allowed)	Purpose
OLF	Other LA Responsible	Assessment/EHCP details recorded where the student is not the responsibility of the Local Authority for funding or assessment purposes.
OLI	Assessment for Other LA	Assessment/EHCP details recorded where the Local Authority undertakes an assessment of a student, but they are not the Home Local Authority for funding purposes.

The historical definitions of OLI and OLF are below for reference:

Flowchart

When creating an Involvement for a child, the flowchart on the following page can be used to help users decide which **Involvement** to use and which **Assessment Type** code to record on it.

A Word version is available on the <u>One Publications</u> website, should you wish to share this flowchart with your SEND team.

If this is to be shared with your SEND team, then you should replace the text highlighted in yellow with the internal code description you have set up for the **Assessment Type**. You should also replace the text highlighted in green with what you have named your Involvements. You may also want to remove the text that describes which external code it is mapped to, if it is not relevant for your SEND team to know this.

Statutory Returns



Part B: Questions in the Return

This section describes the business rules for each question within each part of the return.

IMPORTANT NOTE

This year is the first time that the SEN2 statutory return <u>does not</u> require a count for SEN statements for any of the questions. The DfE guidance states that if SEN statements exist then these should be counted as EHC Plans for SEN2 2020

However, the SEN2 return in Capita One Education does not automatically count students with statements in the system as having EHC Plans in the statutory return. This is because we wanted to highlight to local authorities instances where a student may have data that represents them having a statement, but in reality they have an EHC Plan and the local authority needs to update this in the system.

As a result, if it is noticed there is a count in the 'Statements Result' column in Capita One Education then the local authority should check to see if the child or young person has a statement or EHC Plan in real life and take one of the following actions:

1. If the child or young person does have an EHC Plan in real life, then the local authority should update this so it is reflected on the student's Involvements. The SEN2 return should then be run again from Capita One Education and the student will then appear in the count as having an EHC Plan.

2. If the child or young person does have an SEN statement in real life, then the local authority can keep the data in the student's Involvements as it is. However, when the local authority is submitting their results to the DfE using COLLECT, then they should manually add the total in the 'Statements Result' column in Capita One Education to the count of EHC Plans in COLLECT.

It is likely to be very rare that this course of action is required as we have confirmed with the DfE this will only happen in exceptional circumstances when the local authority and parents/young person have reached an agreement that transferring from an SEN statement to an EHC Plan was not in anyone's interest (e.g. where there was a terminal illness and the process was simply adding a burden to the child/family). It was estimated by the DfE that this is only likely to happen once or twice per local authority at a maximum.

Part 1: Educational Arrangements

State the number of children and young people as of the **Return Date** for whom the authority maintains one of the following:

- A SEN Statement under the provisions of the Education Act 1996.
- An Education, Health and Care Plan (EHC Plan) under the Children and Families Act 2014.

Question 1.1: Age

This question is a count of the number of statements and EHC Plans maintained by the Local Authority at the **Return Date**, split out by age.

Steps

- 1. Collect records for students who have one of the following:
 - an active statement as at the **Return Date**.
 - an active EHC Plan as at the **Return Date**.
- 2. For those students that qualified for inclusion in Step 1, use the student's Date of Birth to derive their age as at the Age Breakdown Date.

Students with an active statement as at the **Return Date** aged less than 19 years on the Age Breakdown Date are counted in the **SEN Result** column.

Students with an active statement as at the **Return Date** aged 19 or over and less than 25 years on the **Age Breakdown Date** are counted in the **EHCP Result** column.

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Students with an active EHC Plan as at the **Return Date** aged less than 25 years on the Age Breakdown Date are counted in the **EHCP Result** column.

3. Using the ages derived at Step 2, count the numbers of students for each of the following age groups.

Question Reference	Age Range (Statement Result)	Age Range (EHCP Result)
1.1.a	< 5	< 5
1.1.b	5-10	5-10
1.1.c	11-15	11-15
1.1.d	16-19	16-19
1.1.e	N/A	20-25
1.1.f	This value is the total of counts in question 1.1.a – 1.1.d	This value is the total of counts in question $1.1.a - 1.1.e$.

Table 1 – Age Ranges to be counted

Exceptions

- If One finds that there are any students with more than one active statement or active EHC Plan as at the **Return Date**, it counts the first issued statement only and generates exception message SEN2_001 for that student.
- If the student's age is greater than or equal to 19 years on the Age Breakdown Date, One excludes the student from the Statement Result count. Instead, the student will be counted as an EHCP Result.
- If the student's age is greater than or equal to 25 years on the Age Breakdown Date, One excludes the student from the EHCP Result count.
- If any student is currently undertaking one of the apprenticeships, traineeships and supported internships and also undertaking a formal qualification at one of the listed establishment types, then the student is counted only once. However, the respective earliest start date placement type is counted in questions 1.2a and 1.2b.
- If any student is currently placed in residential special schools or colleges and also undertaking a formal qualification at one of the listed establishment types, then the student is counted only once. However, the respective earliest start date placement type is counted in questions 2.2a and 2.2c.

NOTE: This count includes children who are below age 1.

Question 1.2a: Establishment

This question is a count of the number of statements and EHC Plans maintained by the Local Authority at the **Return Date**, split out by placement type. It uses the records collected during step 1 of question 1.1.

Steps

- 1. For the records collected during step 1 of question 1.1, look for the associated active statement or EHCP placement record as at the Return Date.
- Where an active EHCP placement record exists on the Return Date, use the external code of the Placement Type and count the number of placements for each of the placement categories in the following table.

Question Reference	Placement Category	Associated One Placement Type External code
1.2a.i.a	Non-maintained early years settings in the private and voluntary sector	E_EYES
1.2a.i.b	Mainstream school: LA maintained (including foundation schools)	E_MMS
1.2a.i.c	Mainstream school: LA Maintained (SEN unit)	E_SUMM
1.2a.i.d	Mainstream school: LA maintained (resourced provision)	E_USMM
1.2a.i.e	Mainstream school: Academy	E_ACD
1.2a.i.f	Mainstream school: Academy (SEN unit)	E_ACS
1.2a.i.g	Mainstream school: Academy (resourced provision)	E_RAC
1.2a.i.h	Mainstream school: Free school	E_MFS
1.2a.i.i	Mainstream school: Free school (SEN unit)	E_FSS
1.2a.i.j	Mainstream school: Free school (resourced provision)	E_RFS
1.2a.i.k	Mainstream school: Independent school	E_OINS
1.2a.i.l	Special school: LA maintained (including foundation schools)	E_MSS
1.2a.i.m	Special school: Academy / Free	E_SAC
1.2a.i.n	Special school: Non-maintained	E_NMSS
1.2a.i.o	Special school: Independent special school	E_INSS
1.2a.i.p	AP/PRU: LA maintained	E_PRU
1.2a.i.q	AP/PRU: Academy	E_APA
1.2a.i.r	AP/PRU: Free school	E_AFS
1.2a.i.s	Hospital schools (including foundation schools)	E_HOSP
1.2a.i.t	Post 16: General FE and tertiary colleges / HE	E_GTC
1.2a.i.u	Post 16: Other FE	E_OFE
1.2a.i.v	Post 16: Sixth form college	E_SFC
1.2a.i.w	Post 16: Specialist Post-16 institutions	E_ISP
1.2a.ii	Total of 1.2a.i	This value is the total of the counts in questions 1.2a.i.a to 1.2a.i.s for Statement Results and questions 1.2a.i.a to 1.2a.i.w for EHCP Results
1.2a.iii	Educated elsewhere	EOTAS

Table 2 - Placement Types (SEN School Type) to be counted

Question Reference	Placement Category	Associated One Placement Type External code
1.2a.iii.a	Permanent excluded and not placed	No placement record present
1.2a.iii.b	Other or within secure units or Young offender institutions (arr. made by LA Sect 61)	E_OLE or E_RYA
1.2a.iii.c	Elective Home Education – the number of children with EHC Plans who are subject to elective home education	E_EHE
1.2a.iii.d	Other (arrangements made by Parents Sect 7 of Ed Act 1996), excluding those who are subject to elective home education	E_OPA
1.2a.iii.e	Awaiting provision - children below school age (under 5) who are in education, have been issued an EHC Plan, awaiting placement in another setting	E_APZ
1.2a.iii.f	Awaiting provision - children of compulsory school age (5 – 15) who are in education, have been issued an EHC Plan, awaiting placement in another setting	E_APAA
1.2a.iii.g	Awaiting provision - young people in education setting with EHC Plan, awaiting placement in another setting	E_APB
1.2a.iii.h	Awaiting provision - children below school age (under 5) who are not in education, have been issued an EHC Plan, awaiting placement in another setting	E_APY
1.2a.iii.i	Awaiting provision - children of compulsory school age (5 – 15) who are not in education, have been issued an EHC Plan, awaiting placement in another setting	E_APC
1.2a.iii.j	Awaiting provision - young people not in education setting with EHCP, awaiting placement in setting	E_APD
1.2a.iii.k	NEET - Young people who have an EHC Plan but are not in employment, education or training	E_NEET
1.2a.iii.l	Other-Including those who have been issued a notice to cease (for example, after taking up of employment) and the decision is currently subject to an appeal to the Tribunal	E_OTH

Exceptions

- If the placement type is mapped to an external code which is not in the valid range of placement categories (i.e. an external code starting with a W), its category cannot be derived and One doesn't count the student in any Questions.
- If more than one placement is collected, One counts the placement record for the base marked as the student's registered base (STUD_HIST.REG_BASE) and no exception message is generated.

If none of the placements are marked as the student's registered base, then the placement with the earliest start date is counted. One generates exception message SEN2_008 for that student for the placement category collected.

3. Where an active EHCP placement record does not exist on the **Return Date**:

If an active EHC Plan as at the **Return Date** is found to have no associated placement, One identifies whether this record should be counted for question 1.2a.iii.a:

The record is counted for 1.2a.iii.a, if the student associated with the EHCP has an Active Permanent Exclusion Record and has not been placed since their Date Off Roll (DOR).

NOTE: If you are recording a placement record for a student that is not in an educational setting (e.g. they are NEET or awaiting provision), then a dummy base will need to be created to save the placement record.

Question 1.2b: Apprenticeships, Traineeships and Supported Internships

This question is a count of the number of young people entered in item 1.2a who are undertaking apprenticeships, traineeships and supported internships.

Steps

- 1. Of those students counted for inclusion in questions 1.1 and may have already counted in 1.2a and 1.2c, look to see if they are undertaking an apprenticeship, traineeship or supported internship.
- 2. The external code of the **SEN School Type** is used to count the number of young people undertaking an apprenticeship, traineeship or supported internship.

Question Reference	SEN School Type Category	Associated One Placement Type External code
1.2b.a	Apprenticeships	E_APP
1.2b.b	Traineeships	E_TRA
1.2b.c	Supported Internships	E_SUIN

Table 3 – Placement Types (SEN School Type) to be counted

Question 1.2c: Residential Settings

This question is a count of the number of young people entered in item 1.1 who are placed in residential special schools or colleges

Steps

1. Of those students counted for inclusion in question 1.1 and may have already counted in 1.2a and 1.2b questions, look to see if they are also placed in a residential special school or college.

The external code of the SEN School Type is used to count the number of young people undertaking an apprenticeship, traineeship or supported internship and Use the student's Date of Birth to derive their age as at the Age Breakdown Date.

Table 4 – Placement Types (SEN School Type) to be counted

Question Reference	SEN School Type Category	Associated One Placement Type External code
1.2c.a	Residential Setting (for 38-51 Weeks)	E_RSS
1.2c.b	Residential Setting (for 52 Weeks)	E_RSL

2. Using the ages derived at Step 1, count the numbers of students for each of the following age groups:

Table 5 – Age Ranges to be counted

Question Reference	Age Range (Statement Result)	Age Range (EHCP Result)
1.2c.a	For 38 – 51 weeks	For 38 – 51 weeks
1.2c.a.a	< 5	< 5
1.2c.a.b	5-10	5-10
1.2c.a.c	11-15	11-15
1.2c.a.d	16-19	16-19
1.2c.a.e	N/A	20-25
1.2c.a.f	This value is the total of counts in questions 1.2c.a.a to 1.2c.a.d	This value is the total of counts in questions 1.2c.a.a to 1.2c.a.e
1.2c.b	For 52 weeks	For 52 weeks
1.2c.b.a	< 5	< 5
1.2c.b.b	5-10	5-10
1.2c.b.c	11-15	11-15
1.2c.b.d	16-19	16-19
1.2c.b.e	N/A	20-25
1.2c.b.f	This value is the total of counts in question 1.2c.b.a – 1.2c.b.d	This value is the total of counts in question 1.2c.b.a – 1.2c.b.e

Part 2: Assessments and Placements:

Assessments and placements by the local authority.

Please state the number of children and young people for whom an Education, Health and Care (EHC) Plan under the Children and Families Act 2014 was made for the first time during the return year.

Question 2.1: Age

This question is a count of the number of initial EHC Plans that were made final by the Local Authority within the return year, split out by age.

- 1. Select the records where all of the following conditions are true:
- The Final Date field (INV_FORM_SEN_ASSESSMENT.STAT_COMPLETE_DATE) has a date within the return year.
- The Assessment Type is mapped to the external code INI or OVR.
- This filter does not check the status of the Current or Active field for the involvement as statements that are ended (*INV_FORM_SEN_ASSESSMENT.STAT_END_DATE*) before the Return Date are included in the count if they were issued within the return year.
- 2. For those students that qualified for inclusion in step 1, use the Date of Birth to derive their age as at the Age Breakdown Date.
- 3. Using the ages derived at step 2, count the numbers of students for each of the following age groups.

Question Reference	Age Range (EHCP Result)
2.1.a	< 5
2.1.b	5-10
2.1.c	11-15
2.1.d	16-19
2.1.e	20-25
2.1.f	This value is the total of counts in question $2.1.a - 2.1.e$.

Table 6 – Age Ranges to be counted

NOTE: If a child or young person has moved out of an LA (exporting authority) during the EHC needs assessment or EHC Plan development process then they will be excluded from Part 2. For this to happen, the following conditions need to be met:

- Code 'INI Initial Assessment' is used for the 'Assessment Type' (this would be recorded because the child or young person would have been living in the exporting local authority's area when the initial request for assessment was made)
- The EHCP 'Date Final Issued' field is blank (this would be blank because the EHC needs assessment and EHC Plan development process was not complete because the child or young person moved out of the area during this process)
- The Involvement is inactive with an 'Inactive Reason' of 'MOV Moved to other LEA' (this is because the child or young person moved out of the exporting LA before the EHC needs assessment and EHC Plan development process was completed)

Exceptions

If the student's age is greater than 25 years at the Age Breakdown Date, One excludes the student from the EHCP Result count.

- If any students have more than one EHCP issued within the return year, One counts the first issued only and warns the user with exception message SEN2_003 for that student.
- If any student is currently undertaking one of the apprenticeships, traineeships and supported internships and also undertaking a formal qualification at one of the listed establishment types, then the student is counted only once. However, the respective earliest start date placement type is counted in questions 2.2a and 2.2b.

NOTE: This count includes children who are below age 1.

Question 2.2a: Establishments

Children and young people entered in item 2.1 on the roll of the following establishments.

- 1. Of those assessment involvements that counted for inclusion in Question 2.1 Step 1, look for the associated active EHCP Placement Record at the Return Date.
- 2. Where an active EHCP Placement Record(s) exists, use the external code of the Placement Type and count the number of placements for each of the valid range of placement categories, as detailed in the following table.

Question Reference	Placement Category	Associated One Placement Type External code
2.2a.i.a	Non-maintained early years settings in the private and voluntary sector	E_EYES
2.2a.i.b	Mainstream school: LA maintained (including foundation schools)	E_MMS
2.2a.i.c	Mainstream school: LA maintained (SEN unit)	E_SUMM
2.2a.i.d	Mainstream school: LA maintained (resourced provision)	E_USMM
2.2a.i.e	Mainstream school: Academy	E_ACD
2.2a.i.f	Mainstream school: Academy (SEN unit)	E_ACS
2.2a.i.g	Mainstream school: Academy (resourced provision)	E_RAC
2.2a.i.h	Mainstream school: Free school	E_MFS
2.2a.i.i	Mainstream school: Free school (SEN unit)	E_FSS
2.2a.i.j	Mainstream school: Free school (resourced provision)	E_RFS
2.2a.i.k	Mainstream school: independent school	E_OINS
2.2a.i.l	Special school: LA maintained (including foundation schools)	E_MSS
2.2a.i.m	Special school: Academy/Free	E_SAC
2.2a.i.n	Special school: Non-maintained	E_NMSS
2.2a.i.o	Special school: independent special school	E_INSS
2.2a.i.p	AP/PRU: LA maintained	E_PRU
2.2a.i.q	AP/PRU: Academy	E_APA

Table 7 – Placement Types (SEN School Type) to be counted

Question Reference	Placement Category	Associated One Placement Type External code
2.2a.i.r	AP/PRU: Free school	E_AFS
2.2a.i.s	Hospital schools (including foundation schools)	E_HOSP
2.2a.i.t	Post 16: General FE and tertiary colleges / HE	E_GTC
2.2a.i.u	Post 16: Other FE	E_OFE
2.2a.i.v	Post 16: Sixth form college	E_SFC
2.2a.i.w	Post 16: Specialist Post-16 institutions	E_ISP
2.2a.ii	Total of 2.2a.i	This value is the total of the counts in questions 2.2a.i.a to 2.2a.i.w for EHCP Result.
2.2a.iii	Educated elsewhere	EOTAS
2.2a.iii.a	Permanent excluded and not placed	No placement record present
2.2a.iii.b	Other or within secure units or Young offender institutions (arr. Made by LA Sect 61)	E_OLE or E_RYA
2.2a.iii.c	Elective Home Education – the number of children with EHC Plans who are subject to elective home education	E_EHE
2.2a.iii.d	Other (arrangements made by Parents Sect 7 of Ed Act 1996), excluding those who are subject to elective home education	E_OPA
2.2a.iii.e	Awaiting provision - children below school age (under 5) who are in education, have been issued an EHC Plan, awaiting placement in another setting	E_APZ
2.2a.iii.f	Awaiting provision - children of compulsory school age (5 – 15) who are in education, have been issued an EHC Plan, awaiting placement in another setting	E_APAA
2.2a.iii.g	Awaiting provision - young people in education setting with EHCP, awaiting placement in another setting	E_APB
2.2a.iii.h	Awaiting provision - children below school age (under 5) who are not in education, with an EHC Plan, awaiting placement	E_APY
2.2a.iii.i	Awaiting provision - children of compulsory school age (5 – 15) who are not in education, with an EHCP, awaiting placement in setting	E_APC
2.2a.iii.j	Awaiting provision - young people not in education with EHCP, awaiting placement in setting	E_APD
2.2a.iii.k	NEET - Young people who have an EHC Plan but are not in employment, education or training	E_NEET

Question Reference	Placement Category	Associated One Placement Type External code
2.2a.iii.l	Children and young people that do not fit in to any of the other categories	E_OTH

Exceptions

- If a check finds that the placement type is mapped to an external code not in the valid range of placement categories (i.e. an external code starting with a W) it cannot be counted. In this case, One doesn't count the student in any Question.
- If more than one placement is collected, count the placement record for the base marked as the student's Registered Base (STUD_HIST.REG_BASE).

If none of the placements are marked as the student's registered base, then the placement with the earliest start date is used. One generates exception message SEN2_008 for that student for the placement category collected.

Where active EHCP Placement Record does not exist as at Return Date

If an EHCP is found to have no associated placement, One identifies whether this is because the first time EHCP has been withdrawn and the placements have therefore been ended when the EHCP ceased, or if a count is made for question 2.2a.iii.a.

• **EHCP Withdrawn:** Where a first time EHCP has been withdrawn, look for a placement(s) associated with that EHCP that also ended on the date the EHCP was withdrawn.

Where there are placement records, use these and follow the flow in question 2.2 for *Where an EHCP Placement Record does exist.*

Where there were no placement records active when the EHCP was withdrawn, make checks for final question 2.2a.iii.a.

Count for 2.2a.iii.a: Where the student associated with the EHCP has an Active Permanent Exclusion Record and has not been placed since their Date Off Roll (DOR), that student is added to the count for question 2.2a.iii.a.

NOTE: Count for 2.2a.iii.d – Previously where there are no placements details and are not counted in 2.2a.iii.a and are counted in 2.2a.iii.d as awaiting placements. From Autumn 2017 release, where a child or young person is awaiting provision and he is not awaiting college places following compulsory schooling or young people who are Not in Education, Employment or Training (NEETs) then create a dummy base and a placement record with the 'Placement Category' as **E_AAP - Awaiting Provision** to count in 2.2a.iii.d, edit this dummy base to actual base and placement record to actual placement when the placement is allocated.

Question 2.2b: Apprenticeships, Traineeships and Supported Internships

This question is a count of the number of young people entered in item 2.1 of EHCP Result who are undertaking apprenticeships, traineeships and supported internships.

For those students counted for inclusion in questions 2.1 and may have already counted in 2.2a, look to see if they are undertaking an apprenticeship, traineeship or supported internship.

The external code of the **SEN School Type** is used to count the number of young people undertaking an apprenticeship, traineeship or supported internship for an EHC Plan.

Table 8 - Placement Types (SEN School Type) to be counted

Question Reference	SEN School Type Category	Associated One Placement Type External code
2.2b.a	Apprenticeships	E_APP
2.2b.b	Traineeships	E_TRA
2.2b.c	Supported Internships	E_SUIN

Question 2.3: Decisions Not To Issue

Please state the number of children and young people who were assessed under Section 323 of the Education Act 1996 and the Children and Families act 2014 during the return year for whom it was decided not to issue an Education, Health and Care plan (EHC plan) under the Children and Families Act 2014.

Count for 2.3: An EHC Plan

This question is a count of the number of assessments completed during the return year where either of the following conditions has been met:

- It has been decided not to issue an EHC Plan and the Notified Date No Following Assessment field has been completed.
- It has been recorded that the SEN needs can be met without an EHC Plan.

Steps

- Select all SEN assessment involvements recorded where the Assessment Completed (INV_FORM_SEN_ASSESSMENT.ASS_COMPLETE_DATE) date is in the return year (this excludes EHCP assessment involvements that have an Assessment Type of TFS).
- 2. Of the assessments selected in step 1, identify those that have not resulted in an EHC Plan. These assessments are identified where one of the following conditions is true:
- There is a date that is in the return year recorded in the Notified Date No Following Assessment (INV_FORM_SEN_ASSESSMENT.NOTIFIED_DATE_PHASE_2) field.

OR

- All of the following sub conditions are true:
 - There is no date recorded in the Notified Date No Following Assessment field (INV_FORM_SEN_ASSESSMENT.NOTIFIED_DATE_PHASE_2).
 - The Inactive Date (INV_FORM_SEN_ASSESSMENT.INACTIVE_DATE) is within the return year.
 - The Inactive **Reason** (*INV_FORM_SEN_ASSESSMENT.INACTIVE_REASON*) (*Table_ID* 0328) has an external code of **MWS Met Without Statement**.

OR

- All of the following sub conditions are true:
 - There is no date recorded in the Notified Date No Following Assessment field (INV_FORM_SEN_ASSESSMENT.NOTIFIED_DATE_PHASE_2).
 - There is no date recorded in the Inactive Date (INV_FORM_SEN_ASSESSMENT.INACTIVE_DATE) field.
 - The Assessment Completed Date (INV_FORM_SEN_ASSESSMENT.ASS_COMPLETE_DATE) is in the return year.

• The Inactive Reason (*INV_FORM_SEN_ASSESSMENT.INACTIVE_REASON*) (*Table_ID 0328*) has an external code of **MWS** - **Met Without Statement**.

Exception

Any student with more than one assessment counted for this question is included once in this count, using the assessment with the earliest completion date. In this scenario, One generates exception message SEN2 005 for that student for Question 2.3.

NOTE: This count now includes all assessment types other than **OLI**, **OLF** and **TFS**. A student is excluded if they were assessed in 2014, but the **Notified Date – No Following Assessment** or **Inactive Date** on their assessment involvement was in the return year.

Question 2.4: Currently Being Assessed

State the number of children and young people who are still being assessed, or those where an assessment has been completed by the **Return Date**, but no decision has been taken for an EHC Plan.

This question is a count of the number of EHCP assessments at the **Return Date** where the assessment is ongoing or has been completed but no decision recorded.

Steps

- Select all EHCP assessment involvements where the Assessment Start Date (INV_FORM_SEN_ASSESSMENT.ASS_START_DATE) is not NULL and is in the return year.
- 2. Of the assessments selected in Step 1, identify those which meet all of the following criteria:
- The Draft Date (INV_FORM_SEN_ASSESSMENT.STAT_DRAFT_DATE) is either NULL or after the Return Date.
- The Notified Date No Following Assessment field (INV_FORM_SEN_ASSESSMENT.NOTIFIED_DATE_PHASE_2) is either NULL or after the Return Date.
- The Inactive Date (INV_FORM_SEN_ASSESSMENT.INACTIVE_DATE) is either NULL or has a date that is on or after the Return Date.

Exception

Any student with more than one EHCP assessment counted for this question is included once in this count, using the assessment with the earliest completion date. In this scenario, One generates exception message SEN2_005 for that student for Question 2.4.

NOTE: This count now includes all assessment types other than OLI and OLF.

The count also excludes students who have a **Draft EHCP Date** which is on or before the **Return Date** on their EHCP assessment involvement, and where the final plan has not been issued.

It also excludes students who have a **Notified Date – No Following Assessment** which is before the **Return Date** on their EHCP assessment involvement, and where there is no **Inactive Date** given for that EHCP assessment involvement.

Question 2.5: Assessments Refused

State the number of initial requests for assessment during the return year that were refused for EHC Plans.

This question is a count of the number of refused requests for EHCP Assessment during the return year.

Steps
- Select all EHCP assessment involvements recorded where the Received Date (INV_FORM_SEN_ASSESSMENT.REQUEST_DATE) is on or before Return Year and the Assessment Type is INI.
- 2. Of the assessments selected in Step 1, identify those where the assessment was refused. These assessments are identified if all of the following conditions are true:
- The EHCP assessment involvement form Started check box (INV_FORM_SEN_ASSESSMENT.ASS_START) not selected.
- The Assessment Start Date (INV_FORM_SEN_ASSESSMENT.ASS_START_DATE) is NULL.
- The Inactive Date (INV_FORM_SEN_ASSESSMENT.INACTIVE_DATE) is within the Return Year.
- The Inactive Date (INV_FORM_SEN_ASSESSMENT.INACTIVE_DATE) has a SEN Inactive Reason (INV_FORM_SEN_ASSESSMENT.INACTIVE_REASON) (Table_ID 0328) external code of REF - Assessment Refused.

NOTE: This count excludes students with the **Assessment Started** check box selected or a completed **Assessment Start Date**.

Question 2.6: In Year Transfers between Establishments

For children with a SEN statement or EHC Plan that was made <u>prior</u> to the return year, state the number of children who transferred during the return year or who were taken out of school by their parents to be home educated.

Count for 2.6: Statement of Special Educational Needs

This question identifies the number of students with statements issued <u>prior</u> to the return year who have either transferred during the return year from one type of establishment to another (part a) or from an establishment to be home educated (part b).

Steps

- 1. Select all SEN assessment involvements where all of the following conditions are met:
 - There is a date in the statement Final Date (INV_FORM_SEN_ASSESSMENT.STAT_COMPLETE_DATE) that is prior to the return year.
 - The involvement has a transfer record with a Transfer Date (INVOLVEMENT_PLACEMENT.PLACE_START_DATE) that falls within the return year.
 - The placement is the result of a Transfer (INVOLVEMENT_PLACEMENT.PLACE_TRANS).

NOTE: Placements and transfers have been combined within v4. In v4, **Transfer** is an attribute of **Placement**, rather than two separate records as in v3.

SEN assessment involvements with an attached EHCP Review Involvement record that meets all of the following criteria are excluded from the **Statement Result** count in this question.

The EHCP Review Type (INV_FORM_SEN_REVIEW.REVIEW_TYPE) is Conversion Review (CR).

The LA Outcome (INV_FORM_SEN_REVIEW.REVIEW_OUTCOME) is Issue New EHCP (INE).

The **Response Complete** (INV_FORM_SEN_REVIEW.LA_RESPONSE_COMPLETE) field is populated with a completed date.

2. Of the transfer records selected in step 1, collect information on those students where the student age is less than 19 years, assessments and transfers and then count the number of

transfer records with a **Transfer Type** external code (*Table_ID 0129*) for each of the transfer categories in the following table and count in **Statement Result** column and where student or young people age is 19 or over and less than 25 count in **EHCP Result** column.

Exceptions

Where multiple transfer records are collected for a statement, One counts the one with the earliest date and generates exception message SEN2_007 for that student for either question 2.6.a OR 2.6.b.

Question Reference	Transfer Category	External Code for Transfer Type
2.6.a.i	From mainstream settings to special or settings	T01
2.6.a.ii	From special settings to mainstream settings	Т02
2.6.b.i	Mainstream settings	Т08
2.6.b.ii	Special settings	Т09

Table 9 – Transfer Types to be counted for 2.6.a

Count for 2.6:EHC Plans

For children with an EHC Plan made <u>prior</u> to the return year, state the number of children who either transferred during the return year or were taken out of school by their parents to be home educated.

This question identifies the number of students with EHC Plans that were issued <u>prior</u> to the return year who have transferred either during the return year from one type of establishment to another (part a) or from an establishment to be home educated (part b).

Steps

- 1. Select all EHCP assessment involvements and EHCP Re-assessment involvements for which all of the following conditions are true:
- There is a date in the EHCP Date Final Issued (INV_FORM_SEN_ASSESSMENT.STAT_COMPLETE_DATE) prior to the return year.
- The involvement has a transfer record with a Transfer Date (INVOLVEMENT_PLACEMENT.PLACE_START_DATE) that falls within the return year.
- The placement is the result of a transfer (INVOLVEMENT_PLACEMENT.PLACE_TRANS).
 AND

Select all SEN assessment involvements for which all of the following conditions are true:

- The involvement has an attached EHCP review involvement record where:
 - The EHCP Review Type (INV_FORM_SEN_REVIEW.REVIEW_TYPE) is Conversion Review (CR).
 - The LA Outcome (INV_FORM_SEN_REVIEW.REVIEW_OUTCOME) is Issue New EHCP (INE).
 - The **Response Complete** (*INV_FORM_SEN_REVIEW.LA_RESPONSE_COMPLETE*) field has a completed date that is <u>prior</u> to the return year.
- The involvement has a transfer record with a Transfer Date (INVOLVEMENT_PLACEMENT.PLACE_START_DATE) that falls within the return year.

• The placement is the result of a transfer (INVOLVEMENT_PLACEMENT.PLACE_TRANS).

NOTE: Placements and transfers have been combined within v4. In v4, **Transfer** is an attribute of **Placement**, rather than two separate records as in v3.

2. Of the transfer records that were selected in step 1, collect information on those students where the student age is less than 25 years, assessments and transfers and then count the number of transfer records that have a Transfer Type external code (*Table_ID 0129*) for each of the transfer categories in the following table.

Question Reference	Transfer Category	External Code for Transfer Type
2.6.a.i	From mainstream settings to special or settings	T01
2.6.a.ii	From special settings to mainstream settings	T02
2.6.b.i	Mainstream settings	Т08
2.6.b.ii	Special settings	Т09

Table 10 – Transfer Types to be counted for 2.6.a

Exceptions

Where multiple transfer records are collected for an EHC Plan, One counts the record with the earliest date and generates exception message SEN2_007 for the student for either question 2.6.a OR 2.6.b.

Question 2.7: Discontinued Statements and EHC Plans (Compulsory School Age)

State the number of SEN Statements and EHC Plans that have been reviewed and discontinued in the return year. Only include children of statutory school age.

Count for 2.7: Statement of Special Educational Needs

This count identifies the number of statements for students under Compulsory School Age that have been reviewed and discontinued during the year of the return and splits them by the reason their statements were discontinued.

1. Select all discontinued statements within the return year and check whether the student still has an active statement as at the day after the end date of the return year.

Exceptions

- If One identifies that the student has an inactive SEN involvement identifying a discontinued statement in the return year but still has an active SEN involvement identifying a current active statement, then the record is collected and exception message SEN2_009 is generated for that student in order to identify potential data issues.
- Students with more than one discontinued statement are only collected and counted once.
- 2. For all of the withdrawn statements identified at the end of Step 1, exclude any where the student is over 16 years of age on the Age Breakdown Date.

For example, a student who was below 16 years on the Age Breakdown Date would have their withdrawn statements included. A student who was above 16 years or above on the Age Breakdown Date would have theirs excluded.

AND

For all of the withdrawn statements identified at the end of step 1, <u>exclude</u> any where the child is under 5 years of age on the date the statement was discontinued.

For example, a child who was 4 years and 364 days old on the date their statement was discontinued would be excluded.

 For all the withdrawn statements identified at the end of step 2, count the number of withdrawn statements with external codes for SEN Inactive Reason (Table_ID 0328) (INV_FORM_SEN_ASSESSMENT.INACTIVE_REASON) for each of the Inactive Reason categories in the following table.

Question Reference	Inactive Reason Category	External Code for Inactive Reason
2.7.a	Transferred to another Local Authority	MOV
2.7.b	Special needs being met without a statement	MWS
2.7.c	Other	ОТН

Table 11 – Discontinued Reasons to be counted

NOTE: The external code of **RFS – Re-assessed Further Statement** is also present in the lookup. This code is not counted in this question.

Exclusions

The following assessments are excluded from the count:

- SEN assessment involvements whose statements were discontinued in order to be moved to an EHC Plan as an EHCP assessment involvement with an **Assessment Type** of **TFS**. These SEN assessment involvements are treated as being converted to an EHC Plan rather than discontinued.
- SEN assessment involvements whose statements were discontinued in order to be moved to an EHC Plan as an EHCP review involvement with a **Review Type** of **Conversion Review** (**CR**). These SEN assessment involvements are treated as being converted to an EHC Plan rather than discontinued.

Count for 2.7: EHC Plans

This count identifies the number of EHC Plans for students of statutory school age that have been reviewed and discontinued during the year of the return and splits them by the reason that their EHC Plans were discontinued.

Steps

- 1. Select all discontinued EHC Plans within the return year. This step also includes EHCP Reassessment Involvements that have been discontinued. It also includes EHC plans where the local authority made the decision to discontinue the EHC plan and this decision was later overturned following mediation or tribunal.
- 2. Check if each student still has an active EHC plan as at the day after the end date of the return year.

Exceptions

If One identifies that the student has an inactive EHCP assessment involvement that identifies a Discontinued EHC plan in the return year but also has an active EHCP Assessment involvement that identifies a current active EHC Plan, then the record is collected and exception message SEN2_009 is generated for that student in order to identify potential data issues. (The message

SEND

text of exception SEN2_009 reads "Student has a discontinued EHC Plan but still appears to have an active EHC Plan").

- If a child or young person has an EHCP Assessment, SEN Assessment with linked Conversion Review, or EHCP Re-assessment Involvement that has been made inactive as a result of a reassessment (the Inactive Reason was linked to the external code 'RFS' of 're-assessed'), then this will not be counted as a discontinued EHC Plan.
- Students that have more than one discontinued EHC plan are counted once only.
- 3. For all the withdrawn EHC Plans identified in step 2, <u>exclude</u> any where the student is over 16 years of age on the **Age Breakdown Date**.

For example, a student who was below 16 years on the **Age Breakdown Date** would have their withdrawn statements included. One who was above 16 years or above on the **Age Breakdown Date** would have theirs excluded.

AND

For all the withdrawn EHC Plans identified in step 2, <u>exclude</u> any where the child is under 5 years of age on the date the EHC Plan was discontinued.

For example, a child who was 4 years and 364 days old on the date their EHC Plan was discontinued would be excluded.

4. For all the withdrawn EHC Plans identified in step 2, count the number of withdrawn EHC Plans with external codes for the **SEN Inactive Reason** field (*Table_ID 0328*) (*Inactive Reason field on EHCP assessment involvement*) for each of the inactive reason categories in the following table.

Question Reference	Inactive Reason Category	External Code for Inactive Reason
2.7.a	Transferred to another Local Authority	MOV
2.7.b	Special needs being met without an EHC Plan	MWS
2.7.c	Other	ОТН

Table 12 – Discontinued Reasons to be counted

NOTE: The external code of **MWS** is also relevant to scenarios where the child or young person's needs are being met without an EHC Plan.

The external code of **RFS** – **Re-assessed Further Statement** is also present in the lookup and is not counted in this question.

Question 2.8: Discontinued Statements and EHC Plans (School Leavers)

Please state the number of SEN Statements and EHC Plans that have been discontinued in the return year due to pupils leaving school either at the end of or after compulsory schooling.

Count for 2.8: Statement of Special Educational Needs

This question identifies the number of statements for students who are over the compulsory school leaving age that have been discontinued during the return year.

Steps

1. Select all discontinued statements that are within the return year and check if the student still has an active statement as of the day after the end date of the return year (see exception).

Exceptions

- If the application identifies that the student has an inactive SEN involvement that identifies a discontinued statement in the return year, but still has an active SEN involvement that identifies a current active statement, then the record is collected. Exception message SEN2_009 is generated for that student in order to identify potential data issues.
- Students that have more than one discontinued EHC Plan are counted once only.
- 2. For all the withdrawn statements identified at the end of step 1, <u>exclude</u> any where the student is under 16 years of age on the Age Breakdown Date.

For example, a student who was 16 years on or before the Age Breakdown Date would have their withdrawn statements included. A student who was 15 years and 364 days on the Age Breakdown Date would have their statement excluded.

 For all the withdrawn statements identified at the end of step 2, count those statements with a SEN Inactive Reason (INV_FORM_SEN_ASSESSMENT.INACTIVE_REASON) external code of LES - Left Educational Setting.

Count for 2.8: EHC Plans

This question identifies the number of EHC Plans for students who are over the compulsory school leaving age that have been discontinued during the return year.

Steps

- 1. Select all discontinued EHC Plans that fall within the return year. This step also includes EHCP Re-assessment Involvements that have been discontinued.
- 2. Check whether each student still has an active EHC Plan as of the day after the end date of the return year.

Exceptions

- If the application identifies that the student has an inactive EHCP Assessment involvement that identifies an EHC Plan in the return year, but also has an active EHCP involvement that identifies a current active EHC Plan, then the record is collected and exception message SEN2_009 is generated for that student to identify potential data issues. The message text of exception SEN2_009 reads "Student has a discontinued EHC Plan but still appears to have an active EHC Plan".
- If a child or young person has an EHCP Assessment or EHCP Re-assessment Involvement that has been made inactive as a result of a re-assessment (the Inactive Reason was linked to the external code 'RFS' of 're-assessed'), then this will not be counted as a discontinued EHC Plan.
- Students that have more than one discontinued EHC Plan are counted once only.
- 3. For all the withdrawn EHC Plans identified in step 2, <u>exclude</u> any where the student is under 16 years of age on the Age Breakdown Date.

For example, a student who was 16 years on or before the Age Breakdown Date would have their withdrawn EHC Plans included. One who was 15 years and 364 days on the Age Breakdown Date would have theirs excluded.

 For all the withdrawn EHC Plans identified in step 2, count those EHC Plans with an SEN Inactive Reason (Inactive Reason field on EHCP assessment involvement) external code of LES - Left Educational Setting.

Question 2.9: Initial Requests for EHC Plan Assessments

Please state the number of initial requests that were made for assessment for an EHC Plan during the calendar year.

Select the records where all of the following conditions are true:

- The Received Date field (INV_FORM_SEN_ASSESSMENT.REQUEST_DATE) has a date within the return year.
- The Assessment Type is mapped to the external code INI.

This filter does not check the status of the Current or Active field for an involvement.

Exclusions

The following assessments are excluded from the count:

- EHCP assessment involvements with a SEN assessment involvement whose statements were discontinued in order to be moved to an EHC Plan as an EHCP assessment involvement with an **Assessment Type** of **TFS**. These SEN assessment involvements are treated as being converted to an EHC Plan and not a new EHC Plan request.
- EHCP review involvements with a **Review Type** of **Conversion Review (CR)** whose statements were assessed and completed and are moving to an EHC Plan from a SEN assessment involvement. These SEN assessment involvements are treated as being converted to an EHC Plan and not a new EHC Plan request.
- EHCP assessment involvements with an Assessment Type of OVR.

Question 2.10: Initial EHC Plan Requests for Relevant Youth Accommodations

Please state the count of initial requests received for an EHC Plan where the child or young people was detained in relevant youth accommodation by the Local Authority during the calendar year.

Steps

- 1. Select the records where all of the following conditions are true:
- The Received Date field (INV_FORM_SEN_ASSESSMENT.REQUEST_DATE) has a date within the return year.
- The Assessment Type is mapped to the external code INI.

This filter does not check the status of the **Current** or **Active** field for an involvement.

2. Where an active EHCP placement record exists, use the external code of the **Placement Type** and count the number of pupils with the placement, as detailed in the following table:

Table 13 – Placement Types (SEN School Type) to be counted

Question Reference	SEN School Type Category	Associated One Placement Type External code
2.10.	Youth Accommodation (RYA)	E_RYA

Exclusions

The following assessments are excluded from the count:

- EHCP assessment involvements with a SEN assessment involvement whose statements were discontinued in order to be moved to an EHC Plan as an EHCP assessment involvement with an **Assessment Type** of **TFS**. These SEN assessment involvements are treated as being converted to an EHC Plan and not a new EHC Plan request.
- EHCP review involvements with a Review Type of Conversion Review (CR) whose statements were assessed and completed and are moving to an EHC Plan from a SEN

assessment involvement. These SEN assessment involvements are treated as being converted to an EHC Plan and not a new EHC Plan request.

• EHCP assessment involvements with an **Assessment Type** of **OVR**.

Part 3: Education, Health and Care Plans issued within 20 weeks

The data collected measures the percentage of EHC Plans that are issued within 20 weeks of the initial request (or the child or young person otherwise coming to the local authority's attention), within each calendar year.

Question 3.1: EHC Plans issued within 20 weeks (including exceptions)

Steps

- 1. Select all EHCP assessment involvements recorded where:
 - The Date Final Issued (INV_FORM_SEN_ASSESSMENT.STAT_COMPLETE_DATE) is in the return year.
 - The Assessment Type is:
 - INI
 - or
 - OVR LA decision overturned' (Note: OVR involvements will only be included when an EHC plan is issued after an LAs overturned decision of refusing to assess a child or young person following mediation or tribunal). The system will determine if the overturned decision was for a refusal to assess by checking if the previous Involvement satisfies the following conditions:
 - The EHCP assessment involvement form Started checkbox (INV_FORM_SEN_ASSESSMENT.ASS_START) is not checked.
 - The Assessment Start Date (INV_FORM_SEN_ASSESSMENT.ASS_START_DATE) is NULL.
 - The Inactive Reason (INV_FORM_SEN_ASSESSMENT.INACTIVE_REASON) (Table_ID 0328) has an external code of REF Assessment Refused.

(**Note:** if the internal code of 'MID - Transfer In Mid Assessment' which is mapped to the external code of INI is used – then this is excluded from Part 3).

(**Note:** if the external code of the involvement is 'OVR – LA decision overturned' then this will be excluded from Part 3, except for the scenario when an EHC plan is issued after an LAs overturned decision of refusing to assess a child or young person following mediation or tribunal).).

 Calculate the timescale to issue the final EHC plans in days, as mentioned in the SEN Assessment Notified/Requested Duration (in Days) section of <u>Part D: Definition of Common</u> <u>Terms</u> on page 125.

Note: for 'OVR – LA decision overturned' involvements that are included, the timescale for the length of time to issue the EHC plan is calculated by the length of time between the Received Date on the first inactive Involvement where the assessment was refused compared with the Date Final Issued on the second 'OVR – LA decision overturned' involvement + 1 day.

Count for 3.1a – All EHC Plans

Selects all the EHCP assessment involvements from step 1, irrespective of whether Phase 1, 2, 3a and 3b exceptions are recorded on the EHC Plan.

NOTE: EHCP assessment involvements with phase exception *M* - **SEN** assessment in progress over **Sep'14 with EHCP issued** are treated as without exceptions and <u>are</u> counted.

Count for 3.1b - All EHC Plans issued within 20 weeks

Selects all the EHCP assessment involvements from step 1, irrespective of whether Phase 1, 2, 3a and 3b exceptions are recorded on the EHC Plan, where one of the following conditions is met:

- Step 2 is less than or equal to 140 days.
- Step 2 is less than or equal to 182 days and the student has exception code M in phase 1, 2 and 3. The student may or may not have other exceptions recorded in Phase 1, 2 and/or 3 on their EHC Plans.

Question 3.2: EHC Plans issued within 20 weeks (excluding exceptions)

Count for 3.2a - All EHC Plans

Selects all the EHCP assessment involvement records from step 1, excluding students who have had Phase 1, 2, and/or 3 Exceptions with codes other than **M** - **SEN assessment in progress over Sep'14 with EHCP issued** recorded on their involvement.

Count for 3.2b - EHC Plans issued within 20 weeks

Selects only the students from step 1 where one of the following conditions is met:

- Step 2 is less than or equal to 140 days (excluding the students who have had Phase 1, 2 and/or 3 exceptions recorded on their EHCP assessment involvement).
- Step 2 is less than or equal to 182 days and the phase exception code M has been recorded in Phase 1, and/or 3 on the student's involvement.

Part 4: Number of Personal Budgets

Question 4.1: Personal Budgets

Please state the number of personal budgets in place for all EHC Plans maintained on the **Return Date**.

Steps

- 1. Select all active EHCP type involvements (EHCP assessment, EHCP re-assessment, EHCP review and EHCP tribunal), except those standalone reviews for which a student's provision is recorded and maintained on the Return Date.
 - Provisions maintained on Return Date are verified as follows:
 - The Start Date (PROVISION.START_DATE) is less than or equal to Return date
 - The End Date (PROVISION.END_DATE) is empty/greater than or equal to the Return Date
- Count the number of provisions which are identified as personal budgets, irrespective of the Personal Budget Type (viewable from Provision Allocation | 01. Provision Details | Personal Budget check box) for the following:
 - EHCP reviews and EHCP tribunals that are linked to EHCP assessments and also including personal budget provisions that are assigned to a main EHCP assessment.
 - EHCP reviews and EHCP tribunals that are linked to EHCP re-assessments and also including personal budget provisions that are assigned to a main EHCP re-assessment.

NOTE: This count includes personal budgets that are linked to EHCP review and EHCP tribunal involvements. Previously, it only included personal budgets that were linked to assessment involvements.

Personal budget provisions that are assigned directly to a student are **not** included.

Question 4.2: Personal Budget Types

For those students selected in question 4.1, give the number of personal budgets that have organised arrangements or direct payments.

This question gives the number of personal budgets in place for all EHC Plans maintained on the **Return Date**, split by **Personal Budget Type**.

- 1. Select all records from question 4.1.
- 2. Count provision allocation details which have the specific **Personal Budget Type** (**Provision Allocation | 01. Provision Details | Personal Budget Type**) with an external code (*Table_ID 1195*) for each of the personal budget categories in the following table:

Table 12 – Personal Budget Type to be counted

Question Reference	Personnel Budget Type	External Code
4.2.a	Organised arrangements	ORARR
4.2.b.i	Direct payments for education	DPE
4.2.b.ii	Direct payments for social care	DPSC
4.2.b.iii	Direct payments for health	DPH

Question Reference	Personnel Budget Type	External Code
4.2.b.iv	Direct payments for integrated payment (or combination of above)	DPIF

NOTE: This count includes personal budgets that are linked to EHCP review and EHCP tribunal involvements. Previously, it only included personal budgets that were linked to assessment involvements.

Personal budget provisions that are assigned directly to a student are **not** included.

Exceptions

The Personal budgets linked to inactive EHC Plan involvements will not be included in the count.

Part 5: Effectiveness of Mediation

Please state the number of cases that have gone on to mediation in the return year (i.e. any cases where a mediation meeting has occurred, regardless of the outcome) and followed by appeals to the Tribunal.

Question 5.1: Effectiveness of Mediation

Count for Question 5.1.i

The number of EHCP mediation cases that have been held i.e. where a mediation meeting has occurred, regardless of the outcome

This question counts the number of EHCP Mediation involvements with a Mediation outcome that was created during the return year.

Steps

- 1. Select all recorded active, inactive and withdrawn EHCP assessment forms.
- 2. Of the records that were selected in step 1, select all the EHCP mediation involvements in the return year that are linked directly to EHCP assessment forms.
- 3. Of the records that were selected in step 2, select the EHCP mediation involvements whose Notified Date (INV_FORM_MEDIATION.NOTIFED_DATE) is in the return year and that are linked directly to EHCP assessment forms.
- Of the records that were selected in step 3, count the EHCP mediation involvements where the Mediation Outcome (INV_FORM_MEDIATION.MEDIATION_OUTCOME) have an outcome status (Disagreement OR Other OR Reached Agreement).

NOTE: It is considered that the Mediation Outcome is only recorded when mediation meeting is being held.

Count for Question 5.1.ii

The number of cases which were followed by appeals to the Tribunal.

This question gives the number of EHCP mediation involvements that were created during the return year and are linked to a tribunal involvement.

Steps

- 1. Select all active, inactive and withdrawn SEN assessment/EHCP assessment forms that were recorded for the return year.
- Of the records selected in step 1, select all EHCP mediation involvements whose Notified Date (INV_FORM_MEDIATION.NOTIFED_DATE) is in the return year and that are linked to EHCP tribunal involvements.

NOTE: This count includes EHCP mediation involvements that are linked to EHCP tribunal involvements.

Part 6: Designated Medical / Clinical Officer (DMO / DCO)

A Designated Medical Officer (DMO) supports relationships across the health sector and between education, health and care partners. The role is non-statutory and set out in the 0-25 SEND Code of Practice. Often the DMO will be a consultant paediatrician, but they can also be a nurse or therapist, in which case they will be a Designated Clinical Officer (DCO). There is no difference between the role of a DMO and a DCO. It is common for one DMO/DCO to cover a number of Clinical Commissioning Group (CCG) areas.

From the 2015 SEN2 return, these questions are not collected from within One. Instead, the Local Authority must enter the information required manually.

Record the count for each in **Analysis Reporting | Data Collection | SEN Returns | SEN2 | Panel 04. Manually Entered Responses** and then click on the **Recalculate** button to show the count in the main SEN2 return EHCP Result column.

Question 6.1: Designated Medical Officer

Does your local authority have a Designated Medical Officer (DMO) in place on the Return Date?

Question 6.2: Designated Clinical Officer

Does your local authority have a Designated Clinical Officer (DCO) in place on the Return Date?

Question 6.3: DMO / DCO Function

Is the function of the DMO or DCO carried out by another member of staff on the Return Date?

Part C: Exception Messages

This section details the exception messages that are produced by the SEN2 Return. The messages are always associated with a student and involvement start date and are displayed in the **Reconciliation Report** or **Error Log**.

Message Referenc e	Q#	Message Text	Possible Action Required
SEN2_001	1.1	Please check. Student appears to have multiple EHCPs active on the Return Date. Only first	Confirm that the EHCP that was collected is the correct one for the return, as this EHCP is used to collate the placement information for section 1.2.
		issued counted.	You might need to adjust the student assessment data, as a student should only have one current EHCP.
SEN2_003	2.1	Please check. Student appears to have multiple first time EHCPs in the year of the return. Only first issued counted.	Confirm that the EHCP that was collected is the correct one for the return, as this EHCP is used to collate the placement information for sections 2.2.
			as a student should only have one current EHCP.
SEN2_005	2.3 and 2.4	Student appears to have more than one Assessment completed during return period where an EHCP has not been issued. Assessment with earliest completion date counted.	The return requires a count of the number of children who were assessed during the return year but were not issued with an EHCP. This message is generated if One has identified that more than one assessment of this sort has been collected for a student. Confirm the assessments have been recorded correctly
			and adjust the student data if required.
SEN2_007	2.6	Student's assessment appears to have more than one transfer record in the return period. Earliest transfer has been counted.	The return requires a count of the number of children who transferred during the return year. This message is generated if One identifies that more than one transfer record has been collected for a student.
			Confirm the correct transfer record has been counted and adjust the student data if required.
SEN2_008	1.2.1 and 2.2.1	Student appears to have multiple placements but is not registered at any. Earliest placement has been counted.	Confirm that the correct placement record has been counted for the return.
SEN2_009	2.7 and 2.8	Student has an EHCP discontinued but still appears to have an active EHCP.	Confirm that the record collected for this question has been allocated with the correct Inactive Reason , in accordance with the business rules for that question.
			You should also confirm that the student should continue to have an active EHCP subsequent to the earlier EHCP being withdrawn.
SEN2_010	1.2.3 and 2.2.3	Student with an EHCP has been permanently excluded but has no current placement. Earlier placement whilst excluded has been counted.	Please confirm that the correct placement record has been counted for the return.

Please note that the following exception messages are not currently in use:

- a. SEN2_002.
- b. SEN2_004.
- c. SEN2_006.

Statutory Returns

Part D: Definition of Common Terms

The following table lists the common terms used in these business rules, along with their definition in database terms:

Common Term	Definition in Database Terms	
Return Date	The date entered by the user in the SEN2 Return Date field.	
Return Year	The calendar year 'yyyy' entered by the user in the SEN2 return year field. The return year runs from 01/01/yyyy - 31/12/yyyy, inclusive for all questions associated with the return year.	
Age Breakdown Date	The date used to calculate a student's age. The date to be used is 31/08/yyyy, where yyyy = the return year.	
Statement	An SEN assessment involvement where there is a date in the Final Date (<i>INV_FORM_SEN_ASSESSMENT.STAT_COMPLETE_DATE</i>) field.	
	Note that SEN assessment involvements do not count as statements if there is a date recorded in the Notes in Lieu (<i>INV_FORM_SEN_ASSESSMENT.STAT_INLIEU_DATE</i>) field.	
Active Statement	An SEN assessment involvement that meets both of the following conditions:	
As At The Return Date	The Final Date (<i>INV_FORM_SEN_ASSESSMENT.STAT_COMPLETE_DATE</i>) is on or before the Return Date .	
	The involvement meets one of the following criteria:	
	 The Statement Ended (INV_FORM_SEN_ASSESSMENT.STAT_END_DATE) field is NULL. 	
	 The Statement Ended (INV_FORM_SEN_ASSESSMENT.STAT_END_DATE) field has a date that is on or after the Return Date and the LEA transfer date (INV_FORM_SEN_ASSESSMENT.LT_TRANSFER_DATE) is either NULL or a date that is on or before the Return Date. See Appendix 1 for a table providing a further explanation of this definition. 	
	See Appendix 1 for a table providing a further explanation of this definition.	

Common Term	Definition in Database Terms
Active EHC Plan	An EHCP assessment involvement that meets one of the following sets of criteria:
Date	All of the following criteria are met:
	 The Final Issued (INV_FORM_SEN_ASSESSMENT.STAT_COMPLETE_DATE) date is on or before the Return Date.
	 The Statement Ended (INV_FORM_SEN_ASSESSMENT.STAT_END_DATE) field is either NULL or has a date that is on or after the Return Date.
	 The LEA Transfer Date (INV_FORM_SEN_ASSESSMENT.LT_TRANSFER_DATE) is either NULL or a date that is on or before the Return Date.
	There is an active statement as at the Return Date record with an attached EHCP review involvement record where all of the following criteria are met:
	 The EHCP Review Type (INV_FORM_SEN_REVIEW.REVIEW_TYPE) is Conversion Review (CR).
	 The LA Outcome (INV_FORM_SEN_REVIEW.REVIEW_OUTCOME) is Issue New EHCP (INE).
	 The Response Complete field (INV_FORM_SEN_REVIEW.LA_RESPONSE_COMPLETE) has a date that is on or before the Return Date.
Discontinued Statement Within Dates	An assessment record where the Statement Ended field (<i>INV_FORM_SEN_ASSESSMENT.STAT_END_DATE</i>) has a date that is within the date range in question.
	The dates used are derived from the return year. To ensure consistency with the derivation of an active statement, the withdrawn dates used are the days before the start and end dates of the return period. For example, the date range for return year 20nn would be $01/01/nn - 31/12/nn$.
Discontinued EHC Plan Within Dates	An EHCP assessment or EHCP re-assessment record where the End Date field has a date that is within the date range in question.
	This also includes SEN assessment involvements where the End Date field has a date that is within the date range in question, but also has an attached EHCP review involvement record that meets all of the following criteria:
	The EHCP Review Type (INV_FORM_SEN_REVIEW.REVIEW_TYPE) is Conversion Review (CR).
	The LA Outcome (<i>INV_FORM_SEN_REVIEW.REVIEW_OUTCOME</i>) is Issue New EHCP (INE) .
	The Response Complete field (<i>INV_FORM_SEN_REVIEW.LA_RESPONSE_COMPLETE</i>) has a completed date.
	These involvements are included because they are discontinued EHC Plans.
	The dates used are derived from the return year. To ensure consistency with the derivation of an EHC Plan, the withdrawn dates used are the days before the start and end dates of the return period. For example, the date range for return year 20nn would be $01/01/nn - 31/12/nn$.

Common Term	Definition in Database Terms
Active Statement or	A placement that is associated with one of the following:
Record As At The	An active statement as at the Return Date
Return Date	An active EHC Plan as at the Return Date that has both of the following:
	 A Placement Start (INVOLVEMENT_PLACEMENT.PLACE_START_DATE) before or equal to the Return Date.
	 A Placement End (INVOLVEMENT_PLACEMENT.PLACE_END_DATE) that is either after the date in question or NULL; meaning that a placement is still active if the Placement End date is on or after the date in question.
Active Permanent	An exclusion record with both of the following:
Exclusion Record	An Exclusions Category external code of PERM (Table_ID 0310).
	A Date off Roll (<i>EXCLUSIONS.DATE_OFF_ROLL</i>) that is on or after the statement's Final Date
	before the Return Date .
SEN Assessment Notified/Requested Duration (in Days)	The way in which the SEN Assessment Notified/Requested Duration (in Days) is calculated from the SEN assessment involvement varies depending on the Source (Table_ID 1052) external code that is in use:
	If Source (<i>Table_ID 1052</i>) external code is A then SEN Assessment Notified/Requested Duration (in Days) is calculated as
	[(INV_FORM_SEN_ASSESSMENT.STAT_COMPLETE_DATE) – (INV_FORM_SEN_ASSESSMENT.ASS_NOTIFIED_DATE)] + 1
	If Source external code is not A then SEN Assessment Notified/Requested Duration (in Days) is calculated as
	[(INV_FORM_SEN_ASSESSMENT.STAT_COMPLETE_DATE) – (INV_FORM_SEN_ASSESSMENT.REQUEST_DATE)] + 1
EHC Plan Requested	The EHC Plan Requested Duration (in Days) is calculated from the EHCP assessment involvement as follows:
Duration (in Days)	[(INV_FORM_SEN_ASSESSMENT.STAT_COMPLETE_DATE) – (INV_FORM_SEN_ASSESSMENT.REQUEST_DATE)] + 1

Part E: Appendix 1

The following table illustrates the definition for active statement as at the **Return Date**:

Scenario	Date in Final Date	Date in Ended	Date in LA Transfer	Count as Active as at the Date?
1	NULL	N/A	N/A	No – not a statement.
2	After the date in question.	N/A	N/A	No –became a statement after the Return Date .
3	On or before the date in question.	NULL	NULL	Yes
4	On or before the date in question.	NULL	On or before the date in question.	Yes
5	On or before the date in question.	NULL	After the date in question.	No – LA became responsible after the Return Date .
6	On or before the date in question.	Before the date in question.	N/A	No
7	On or before the date in question.	On or after the date in question.	NULL	Yes
8	On or before the date in question.	On or after the date in question.	On or before the date in question.	Yes
9	On or before the date in question.	On or after the date in question.	After the date in question.	No

Generating a SEN Return

Finding the Report to Run

To find the SEN Return to run:

1. Select Focus | Analysis Reporting | Data Collection | SEN Returns | SEN2 to display the SEN2 Return Enquiry dialog.

🔃 Focus 💥 Tools 🔚 Windo	[0] wc	🚱 Help				
Adoption	F	- Drag and drop menu items here				
Analysis Reporting	•	Areas, Clusters and Groupings				
Aspects Management	•	Data Collection	•	Assign Bases		
Bases	+	Report		Projects		
Contact Record	+	Snapshots		Census Options		
Data Management	•	Attainment Target		SEN Returns	Þ	SEN2
Fostering	•			EOTAS Census		SEN2<=2014 / STAT2

2. Enter a full or partial Return Name, then click the Search button.

SEN Return Enquiry	×
A Search 🖻 Collapse 🔹	
SEN Return Enquiry	
Return Name	

To display a list of <u>all</u> returns, click the **Search** button with no criteria selected.

Generating a New Return

To create a new return:

1. Click the **New** button to display the **SEN Return Detail** dialog.

SEN2 Return Detail [New	Return]				
💾 Save 😚 Set ACL 🤤	Recalculate				
🕜 闷 1. Return Details	2. Questions 3. Reconci	iliation 4. Manually Enter	ed Responses	1. Return Details	•
1. Return Details					
Return Name					
Return Type	· ·				
Return Description	SEN2				
Return Date		Return Year			
Age on Date		-			
Created By					
Date Initiated		- Last Calculated			

- 2. Enter a Return Name.
- 3. Select the Return Type: i.e. SEN2.
- 4. Enter a Return **Description**.
- 5. Select a Return Date and enter a Return Year.
- 6. Click the **Save** button to generate the return.

Note: If you experience an issue where panels are bunching up after running the SEN2 Return, this is caused by the process timing out before completing. A Schedule Task is available to allow returns to be run in the background, avoiding the timeout that causes this issue.

The Schedule Task is optional and not required if the issue does not occur.

If the Scheduled Task for the SEN2 Return is running the following message will be displayed (see <u>Setting the Scheduled Task for the SEN2 Return</u> on page 132 for more details):



Once the return has been generated a Workflow message will be displayed. Click on the message to go to the SEN2 Return Detail screen to view the DfE Questions.

Solution Messes	ages			
🔄 Refresh 💥 Deactiv	vate 👫 Search			
Subject	Task Due	Assigned By F	Post Assigned On	Message
Due Today	Today	System Administ	13/01/2020	SEN2 return generated Successfully for Test99

If the Scheduled Task is not running the following message will be displayed:

Please wait					
	D	Þ	B	2	
		Generating Re	etums		
					Cancel

Once complete the DfE Questions will be displayed.

NOTES: Age on Date is automatically populated, based on the Return Year.

Created By, Date Initiated and Last Calculated are automatically populated when you save the return.

Answering DfE Questions

When the data is generated, a list of questions posed by the DfE for the SEN Return is displayed in the **Questions** panel, showing the number of students included in the report for each question.

Question	EHCP Result	Description	
4.1	15	The number of personal budgets in place for all EHC Plans maintained on the Return Date.	
4.2		The number of personal budgets in place for all EHC plans maintained on the Return Date that have:	
4.2.a	7	Organised arrangements	
4.2.b.i	1	Direct payments for education	
4.2.b.ii	3	Direct payments for social care	
4.2.b.iii	4	Direct payments for health	
4.2.b.iv	0	Direct payments for integrated payment (or combination of above)	
5.1		Effectiveness of mediation, during the calendar year	
5.1.i	0	The number of mediation cases that have been held i.e. where a mediation meeting has occurred, regardless of the outcome	
5.1.ii	0	The number of cases which were followed by appeals to the Tribunal	
6		Designated Medical / Clinical Officer (DMO / DCO)	
6.1	No	Does your local authority area have a Designated Medical Officer (DMO) in place on the Return Date?	
6.2	No	Does your local authority area have a Designated Clinical Officer (DCO) in place on the Return Date?	
6.3	No	is the function of the DMO / DCO carried out by another member of staff on the Return Date?	

In the Questions panel, select a question to display the Reconciliation panel which shows:

- Student names with their **Date of Birth** and **Student ID**.
- The assessment **Requested** date included in the report for that specific question.
- An Error Description, if there are any errors.

Family Name	Given Name	Date of Birth	Student ID	Requested	Error Description	🚨 Details

To display a specific student's record, click the **Details** button.

Adding Manually Entered Responses

The **Manually Entered Responses** panel enables you to manually record responses for section 6 of the SEN2 return.

4. M	anually Entered Responses	
6	Designated Medical / Clinical Officer (DMO / DCO)	
6.1	Does your local authority area have a Designated Medical Officer (DMO) in place on the Return Date?	No
6.2	Does your local authority area have a Designated Clinical Officer (DCO) in place on the Return Date?	No
6.3	Is the function of the DMO / DCO carried out by another member of staff on the Return Date?	No

Error Log

To display any records which have failed to be in included, click the **Error Log** icon on the **Questions** panel.

The student's **Name**, **Date of Birth**, **Student ID**, **Requested Date** and an **Error Description** are displayed enabling you to investigate the student record and rectify the error.

NOTE: You can edit **Return Name** and **Return Description** after saving the return. Edited fields, when saved, do <u>not</u> affect the **Last Calculated** value.

Recalculate

If you change the **Return Date**, you can update the results of the return by clicking the **Recalculate** button. If you recalculate the return, the **Last Calculated** field is automatically updated.

Printing the Statutory Return and Reconciliation Report

You can print the statutory return and the reconciliation report in either Word or PDF format.

- 1. In the **Quick Reports** panel on the right-hand side, click the required report or return.
- 2. Click the **Run** button to display the drop-down menu.
- 3. Select either Run as Word or PDF to generate the report.

📥 Quick Reports				
🕼 Action 👻 📝 Run 🥆 🔯 Data				
EHCPC 🔤	Run as Word			
	Run as PDF			
5	Run report and Email			

NOTE: The reconciliation report shows reconciliation data for the selected question. The **Question Description** is included in the report output.

You can run a reconciliation report for each question.

RG_Administration_Using Quick Reports is available on the <u>One Publications</u> website to help you with this process.

Setting the Scheduled Task for the SEN2 Return

To find the SEN2 Return Scheduled Task:

1. Select Tools | Administration | Scheduled Task to display the Schedule Task dialog.



2. Enter a full or partial **Task Name**, then click the **Search** button.

Schedule Task		×
👫 Search 🖻 Collapse	•	
Schedule task Search		
Task Name		
Enabled	V	

To display a list of <u>all</u> tasks, click the **Search** button with no criteria selected.

3. Ensure the task is enabled and the Trigger is not expired.

Generating a New Schedule Task

To create a new schedule task:

1. Click the **New** button to display the Schedule Task dialog.

	ScheduleTask []		
	💾 Save 📄 New		
(3 01. General 02.	Trigger 03. Actions 04. Next 10 sched 05. History 01. General	-
	01. General		
	Name	SEN2 Return	
	Description	SEN2 Return	
			Ŧ
	If the task is already running, then the following rule applies	Do not start a new instance	
	Logging level	Unspecified - Enabled -	
	Application Server	Application Server 1 -	
	Author Name		
	Created on		
	Updated By		
	Last Updated		

- 2. Enter an appropriate Name and Description.
- 3. Select a Logging Level eg. Error.

Note: It is not advisable to select a logging level of Detailed as this will produce large amounts of information which could compromise server performance.

4. Add a **Trigger** and ensure the next scheduled date is in the future, otherwise the SEN2 Return will not be populated with data.

02. Tri	02. Trigger								
Туре	Start	End	Details		🖶 Add				
<				>	X Remove				

5. Add an Action and select Run SEN2 Return.

03. Actions		
Action Run SEN2 Return		Add Edit Remove
Ok Ok Ol. General Ol. General Action	01. General Run SEN2 Return	

6. Click OK, then Save.

08 Audit Trail

Overview

The Audit Trail enables you to monitor the data being added, modified or deleted by One users. This includes User Defined Fields (UDFs), if they have been flagged for Audit Journaling.

The audit trail records the Entity name, Audit Type, by whom and the date and time the record was accessed.

If a record has been created, it is a new record and the audit trail lists all of the details. If the record has been edited, the audit trail lists only the changes.

The data can be exported to an Excel spreadsheet and a Print button is available to print the audited details.

The audit trail is accessed via Tools | Audit Trail | Audit Trail.

MORE INFORMATION:

For more information on UDFs, see the online help or *RG_Administration_UDFs* on the <u>One</u> <u>Publications</u> website.

Using the Audit Trail

To view items on the audit trail:

- 1. Select **Tools | Audit Trail | Audit Trail** to display the **Audit Enquiry** page, enabling you to search for existing record that have had changes made to them.
- 2. Enter a full or partial description in one or more of the fields.

Audit Enquiry					×
🐴 Search 🔁 Collapse	e •				
Audit Enquiry					
Revision By					
Revision From	03/09/2014	-	То	10/09/2014	-
Family Name					
Given Name					
Full Form Title					
Main Form ID					
Inserted			Updated		
Deleted	v		Viewed	v	
Printed	V		Exported	V	

- **Revision By** click the browse button to select a One user.
- **Revision From** defaults to seven days prior to the system date but can be edited.
- (Revision) To defaults to the system date but can be edited.
- Family Name.
- Given Name.
- Full Form Title this is the Entity name, e.g. Person, EHCP Assessment Involvement.
- Main Form ID this field is not required for SEND. The enquiry results also display Sub Form ID.

- 3. Select the following Audit Type check boxes to filter the records accordingly:
 - Inserted
 - Updated
 - Deleted
 - Viewed
 - Printed
 - Exported.
- 4. Click the **Search** button to display a list of records matching the selection criteria.

🗾 Open 🛽	🖰 Open In N	ew Window 😽 Next	Previous	吾 Export to E	ixcel			
		D	rag a column he	ere to group by	this column.			
Audit Type	Revision By	Revision Date	Family Name	Given Name	Full Form Title	Main Form ID	Sub Form ID	
Updated	SYSADMIN	10/09/2014 07:28:39	23 23 23	1	Person			
Updated	SYSADMIN	10/09/2014 07:28:00	No. of Concession, Name	and the second s	Person			
Inserted	SENDCW	09/09/2014 16:04:56			Person		1200 2 121	
Viewed	SYSADMIN	09/09/2014 12:28:16	1 mil		EHCP Assessment			
Updated	SYSADMIN	09/09/2014 12:16:08			Form Instance : Sa			
Inserted	SYSADMIN	09/09/2014 15:26:01	1	Tent	EHCP Tribunal Invo			
Viewed	SYSADMIN	09/09/2014 15:25:37	The second second		EHCP Assessment	10000		

- 5. To export the enquiry results as a spreadsheet, click the **Export to Excel** button.
- 6. To view more details for a specific record, click the **Open** or **Open in New Window** button to display the **Audit Details** page.

Audit De		×
📥 Print		
EHC	P Assessment Involvement	^
Family Given Addeo	y Name: Name: I by SENDCW on 08/09/2014 12:34:55	
Sr. No.	List of Changes	
1	Start Date From: (Not set) To: 08/09/2014	
2	Status	14
	• Description From: (Not set) To: Active	
3	Service Team From: (Not set) To: SEND	
4	Involvement Form	
12	Source	
	• Description From: (Not set) To: Current School	E
13	Received Date From: (Not set) To: 08/09/2014	

The **List of Changes** displays details of each change that was made to the selected record. A serial number (**Sr.No.**) displays, indicating the number of changes made to the record.

If this is a new record, <u>all</u> the details are listed and **From:** displays as (Not Set).

If a record has been edited, then the **List of Changes** only displays **From:** and **To:** for the data item that has changed.

Sr. No.	List of Changes	
1	Start Date From: 08/09/2014 To: 09/09/2014	

7. Click the **Print** button at the top of the page to print the list of changes.

SEND Assessment Type Codes Flowchart

When creating an Involvement for a child, the flowchart on the following page can be used to help users decide what **Involvement** to use and what **Assessment Type** code to record on it.

If this is to be shared with your SEND team:

- Replace the text highlighted in yellow with the internal code description you have set up for the Assessment Type.
- Replace the text highlighted in green with what you have named your Involvements.
- You may also want to remove the text that describes what external code it is mapped to, if it is not relevant for your SEND team to know this.



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