



Directorate for Children's Services, Schools & Learning Division

Transfer Review planning Guidance for completing K3 Transfer Review (TR)

SEN Assessment & Review Team

Children's Services Department
SEN Service

September 2014

Introduction

Before undertaking planning for the transfer review please read this guidance.

For children and young people who are the subject of a statement and are in the following year groups:

- Year R-2
- Year R-1
- Year 1
- Year 2
- Year 6
- Year 7
- Year 8
- Year 9
- Year 11

It is necessary for the Local Authority (LA) to undertake a transfer review which will transfer the child/young person from a statement to an Education, Health and Care (EHC) plan. To enable the LA to achieve this in a timely way and ensure that all children who are at this potential transition point the support of staff in schools is required.

Children in these year groups will not have an annual review of the statement instead schools are asked to undertake a planning meeting with parents/carers, and other professionals as appropriate, at which the needs of their child will be considered, revised outcomes identified and the K3 (TR) document is completed. In preparation for the meeting it would be expected that some sections of the document will be completed prior to the meeting and shared with parents prior to the meeting.

This guidance aims to assist schools, colleges and early education settings in the production of the planning for transfer review report required to enable the LA to undertake the transfer review process of changing a child or young person's statement to an EHC plan. This transfer document will enable the LA to gain a clear and up to date picture of the child/young person as a whole person in terms of educational and social strengths as well as educational difficulties.

A key element of the newly introduced EHC plan is the focus on outcomes rather than the nature of provision for the young person. This will require both those who know the child or young person well and the young person themselves to consider what an EHC plan is intended to achieve. Section 9 of the transfer planning document asks you to consider both what outcomes are needed to make a difference to the child and for the child and an appropriate timescale for these to be achieved.

This document will be the educational advice (K3) for the EHC plan and will appear as one of the appendices of the plan. The advice **must not** be influenced by consideration of the name of a school, college or early years setting at which the child/young person might eventually be placed, nor will considerations of the type of future placement presented in section. The LA will decide placement at a later stage in the light of any preferences or representations made by the parents. However, you may discuss the child's/young person's needs and options in general with parents and the young person themselves if appropriate, and your written advice can include consideration of options for provision including the scope for mainstream education.

But your discussions and advice should not commit the LA nor pre-empt the parents'/carers' preferences. These are matters for the LA to determine on the basis of its consideration of all the advice received.

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

Completion of Appendix K3 (TR) form

A recommended format for Appendix K3 (TR) is available upon request from the SEN Assessment & Review Team.

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

- who has parental responsibility/day-to-day responsibility
- the status/relationship of carers to the child/young person
- if the child/young person is a 'looked after' child or subject to a court order
- if the child/young person is with foster parents
- a second name and address if there is joint custody of the child/young person
- other names by which the child/young person is known.
- Also include any additional information relating to communication with the parents/carers, eg:
 - home language if not English
 - if the parent/carer has a learning difficulty or particular communication needs arising from a visual or hearing impairment.

Section 2 - External agencies

Depending on the age of the child/young person and the complexity of their needs, there may have been significant and long term involvement with external agencies; for other children/young people the assessment of their needs and the provision of a Statement may have been sufficient for schools to work successfully with the young person and their family over an extended period of time.

Please identify any external agencies from which you have accessed support in the past 12 months. Because of changes in service delivery, in particular the Isle of Wight & Southampton Psychology Service, you might have accessed support and

guidance from an educational psychologist (EP) in one of a number of different ways and you should provide evidence of this. Please name the professionals from external services. They will be contacted to be asked to consider whether the advice from their agency needs to be updated. It is anticipated that this will be exceptional rather than routine.

Section 3 - Child's/Young person's current main areas of strength

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

- **Evidence requirements** - please attach copies of:
 - the three latest consecutive personal plans and any reviews used to support Early Years/School Action Plus
 - Evidence of specific interventions and reviews
 - for early education settings, a Portage summary report and/or record of involvement of the Early Years SEN Team and/or outreach provider
 - reports/evidence from any early education setting, school or college the child/young person has attended within the previous 12 months.

Section 4 - Relevant early education setting/school factors

Educational progress data is key to help demonstrate the child or young person has made progress as a result of being the subject of a statement. Provision will have been made over time to promote attainment and the progression charts should be used to log the child's/young person's progress over the last three years. **For a child in an early education setting, attach details of the record of development.**

Section 5 - Child's/Young person's learning difficulties

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

Where outcomes for the child/young person's are required in the areas in social, emotional and mental health details should be included in this section. An emphasis should be on analysis, not simply the submission of a behaviour log.

Section 6 – Summary of special educational needs

This section requires you to review the areas of difficulty that the child/young person has and to reframe into areas of need. A child/young person may not have needs under all the headings, only include details of early learning skills for children transitioning from the foundation stage of education.

Section 7- Health needs

Where health needs are identified and continue to be relevant to the child or young person's educational needs please include copies of reports.

Completion of this section will not be necessary for all children who are the subject of a statement. Some children may have had health needs when the statement was first issued which are no longer present or new needs have been identified which have routinely been recorded in subsequent annual reviews.

Section 8 – Social care needs

Completion of this section will only be necessary for very few children who are the subject of a statement. It may be that care needs have been identified and recorded during the annual review of the statement and these have been recorded or may not be necessary for many children who are the subject of a statement.

Section 9 - Summary of all needs

Section 10 - Special educational needs outcomes

Appropriate outcomes will vary according to the age of the child or young person. For children, outcomes are likely to focus on building their capacity to be successful in schools. For young people, it is appropriate to consider the outcomes that may be needed to help them successfully transition to adult life.

Section 11 - Parents'/Carers' views (Appendix K1)

This is the opportunity for parents/carers to update their contribution to our understanding of their child's needs. A guidance document and format has been prepared to aid them in making their contribution. It is not necessary for parents to describe their child's educational journey but instead to focus on the current situation and the wishes for the future.

Section 12 - Child's/Young person's views 'My Story' (Appendix K2)

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

Section 13 – Conclusions for consideration by the Local Authority

Section 14 - Important notes and early education setting supervisor's/ headteacher's signature

Section 15 - Checklist of supporting evidence requirements

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

These guidelines and the Appendix K3 (TR) form are available electronically; please contact the SEN Assessment & Review Team.

Please email the completed form to the Casework Officer for your school