

Child & Adult Services
Department



Transfer of Statements and LDA's to ONE Plans

*Advice and procedures for schools, colleges
and other organisations*

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This paperwork is in four parts:

- Introduction 2 pages
- Procedures 4 pages
- Reporting forms TM_1, TM_2 & TM_3
- Sample letters Ex_1 & Ex_2

1. Introduction

As part of the SEND Reforms, Hartlepool Borough Council is committed to transferring SEN Statements and Learning Difficulty Assessments (LDA's) into Education, Health and Care Plans from September 2013. In Hartlepool, an Education, Health and Care Plan is referred to as a 'ONE Plan'. This transfer guidance has been developed over time since August 2013 and has involved consultation with parents and professionals at various meetings and events.

2. The Children and Families Act 2014

Proposals to reform provision for children and young people with special educational needs were first set out in March 2011 in the green paper *Support and Aspiration: A new approach to special educational needs and disability*. On 1st September 2014, part 3 of The Children and Families Act came into force.

The Children and Families Act and associated regulations will take forward wide-ranging reforms of the system for identifying, assessing and supporting children and young people with special educational needs and their families. These reforms make provision for:

- Children, young people and their families to be at the heart of the system;
- Close co-operation between all the services that support children, young people and their families through the joint planning and commissioning of services;
- Early identification of children and young people with SEN;
- A clear and easy to understand 'local offer' of education, health and social care services to support children and young people with SEN and their families;
- For children and young people with more complex needs, a co-ordinated assessment of needs and a new 0-25 Education, Health and Care (EHC) Plan;
- A single, coherent system which spans early years, schools, further education and training;
- New rights and protections for 16-25 year olds in further education and training, comparable to those in school;
- A clear focus on outcomes for children and young people with EHC plans, anticipating the education, health and care support they will need and planning for a clear pathway through education into adulthood;
- Increased choice, opportunity and control for parents and young people including a greater range of schools and colleges which they can request and the offer of a personal budget for those with an EHC plan.

3. Transfer of Statements and LDA's

The Government wants all children and young people with SEND and their families to benefit from the new arrangements as soon as possible. From 1st September 2014 it will no longer be possible to request a new statutory assessment under the Education Act 1996, and that no new LDAs under the Learning and Skills Act 2000 can be commenced. As a Pathfinder area Hartlepool has undertaken all new assessments under the new arrangements since September 2013.

Children and young people with statements and young people in further education or training who are receiving provision to meet their special educational needs as a result of a LDA will be gradually transferred to the new arrangements. We have already begun this process as follows:

Statements / ONE Plans / Transfers as at 1st July 2014 : Rec – Post 19

Year	Nos with Statements / Transfers / ONE Plans/LDA's	Of which are Statements/ LDA's	Of which are Transfers / ONE Plans	To be transferred by Aug 2015	To be transferred by Aug 2016
Rec	7	3	4	0	3
1	10	5	5	5	-
2	18	10	8	0	10
3	14	7	7	0	7
4	16	8	8	8	-
5	28	5	23	5	-
6	24	2	22	0	2
7	46	40	6	20	20
8	34	19	15	19	-
9	28	16	12	0	16
10	48	25	23	25	-
11	52	0	52	-	-
12	17	15	2	15	-
13	16	14	2	14	-
14	9	0	9	-	-
Post 19	58	58	0	15	43
Total	425	212	198	126	101

All young people with a current LDA will therefore be transferred to a single plan within two years.

All children and young people with a statement will therefore also be transferred to a single plan within 2 years.

The transfer process will include:

- The offer of a personal budget to all young people and the parents of children with transferred EHC plans.
- A transfer review to allow for a needs assessment to be conducted which identifies outcomes to be established for the EHC plan.
- The transfer review will replace the annual review in the academic year that the child or young person transfers to the new SEND system.

Detailed information about the process of transferring the statement or LDA is set out in the Procedures section of this document. The transfer meeting will replace the child or young person's Annual Review and should be transferred within 12 months of the previous review.

Transfer Procedures

1. General process

The local authority continues to have a duty to ensure that an annual review of a child or young person's statement is carried out within 12 months of making an initial statement or within 12 months of the previous review meeting.

From September 2013, annual review meetings have been used to transfer the child or young person's statement or LDA into a ONE Plan for their Education, Health and Care if they continue to require special educational provision over and above that which can reasonably be provided from the resources available to mainstream education providers.

A member of the SEND team has been allocated to each child or young person with a statement or LDA as the SEND lead officer. It is the responsibility of the SEND lead officer to ensure that the transfer is conducted according to these procedures.

2. The transfer meeting

The SEND Team will continue to work with schools, colleges and other education providers to schedule transfer meetings to ensure that the SEND lead officer for each child or young person is able to attend. In some instances, it will be possible to use a meeting that is already scheduled to transfer the child or young person's statement or LDA (e.g. Child in Need review, Care Co-ordination meeting). To minimise the number of meetings that parents and professionals are expected to attend, this should be done whenever possible.

Meetings should be scheduled for each child or young person with a statement, within 12 months of the previous review meeting or within 12 months of the date of their first statement.

When the confirmed list of dates is available, copies should be sent to the SEND team and the Psychology team. Other appropriate professionals involved with a child or young person should also be informed of the dates well in advance to allow them to confirm their attendance at the meeting.

3. Prior to the meeting

In preparing for the transfer meeting, the local authority recommends that the guidance set out in the SEND Code of Practice on conducting reviews is adhered to:

- *The organiser of the review meeting (usually the education setting) should invite all professionals involved in supporting the child or young person from across education, health and social care, giving them at least two weeks' notice of the date of the meeting;*
- *The organiser of the review meeting should ask all professionals involved in supporting the child or young person to complete the TR_3 reporting pro forma;*

- *The education setting should write and distribute a report at least two weeks before the meeting;*
- *The meeting must focus on gathering information for the ONE Plan, including for the personal profile, and identifying outcomes for the support plan.*

4. People to invite

There are many people who may be able to contribute to the transfer meeting. The local authority recommends that the organiser of the meeting should identify these people in conjunction with the child or young person's parents or carers. The LA may also request that specific people attend.

1. The school/college **must** invite:
 - A relevant teacher who may be the Class Teacher or present tutor;
 - Special Educational Needs Co-ordinator;
 - Parents or carers (who may wish to bring a friend or supporter);
 - The SEND lead officer for the child or young person;
 - Any agency/professional actively involved with the child/young person.
2. The school **may** also invite other people who are available to the pupil for additional expertise:
 - *Headteacher;*
 - *Support staff;*
 - *Educational Psychologist (the EP's involved may have already been prioritised);*
 - *Social Worker*
 - *Other supporting agencies involved e.g. representatives from Speech and Language Therapy, CAMHS, etc.*

5. 'Preparing for the review' booklet and template letter for parents

A sample letter of invitation to the child or young person and their parents is provided (Ex_1) and should specify the suggested date, time and venue for the meeting. When scheduling the transfer meeting, efforts should be made to identify a time and date that the child or young person's parents are able to attend. If a parent is subsequently unable to attend, consideration should be given to whether the meeting should be re-scheduled.

To help children and young people and their parents prepare for the transfer meeting the local authority has produced two booklets titled '*Preparing for your review meeting*' and '*Preparing for your child's review meeting*'. These booklets are designed to gather their views and contribute information to the 'All About Me' section of the child or young person's ONE Plan and should be sent out with the letter of invitation (the child/young person's booklet may be completed in school). A parent may request that a member of school staff – e.g. a teaching assistant – helps the child or young person to complete their booklet. Paper and electronic copies of these booklets are available from the SEND team.

6. Reporting formats – the education report

The education setting should prepare a report using the TM_1 form provided in this document. The report should:

- *Comment on the child or young person's progress towards meeting the objectives of the statement, including reading and spelling ages and other test results or Teacher Assessments, where appropriate. Current performance should be compared with previous performance to show progress. Where National Curriculum levels are not appropriate, P levels should be used;*
- *Provide details of the day to day provision required to meet the child or young person's needs;*
- *Summarise progress achieved in other areas of the curriculum – use NC levels, P levels as appropriate;*
- *Identify any areas of concern and explain how they have been managed;*
- *Comment on any other relevant factors that have affected progress;*
- *Report on arrangements made where the NC is modified or disapplied;*
- *Identify short and long term outcomes for discussion during the transfer meeting and inclusion in the child or young person's ONE Plan.*

7. Reporting formats and template letter – other professionals

A sample letter of invitation to supporting professionals is provided (Ex_2). This should be sent alongside the TM_3 form according to the timescales set out in Section 3 of these procedures.

8. Format of the transfer meeting

The SEND Code of Practice highlights the principles which underpin the code so that LA's must have regard to:

- *The views, wishes and feelings of the child or young person, and the child's parents*
- *The importance of the child or young person, and the child's parents, participating as fully as possible in decisions, and being provided with the information and support necessary to enable participation in those decisions*
- *The need to support the child or young person, and the child's parents, in order to facilitate the development of the child or young person and to help them achieve the best possible educational and other outcomes, preparing them effectively for adulthood.*

(Code of Practice 2014 page 8)

The local authority has adopted person centred planning for children and young people with special educational needs, and the transfer meeting should be structured according to person centred planning principles.

The format of the meeting should be as follows:

1. Welcome and Introductions
2. Purpose of the meeting – *to transfer the child or young person's statement or LDA into a ONE Plan, gather information for their personal profile and identify short and long term outcomes. The use of a Personal Budget may also be discussed, should the child or young person and their parents wish to explore this option;*
3. Facilitated discussion focusing on:
 - *What do people like and admire about the child or young person?*
 - *What's important TO the child or young person (from their perspective)?*
 - *What's important FOR the child or young person (from adults' perspective)?*
 - *What's working well?*
 - *What support is required*
 - *Issues and questions*

Each of these headings should be written on a piece of flipchart paper and fixed onto the wall in the meeting room. Details of the discussion will be recorded on the flipchart paper for all attendees to see.
4. Identification of short and long term outcomes – *using the education and professionals' reports, the objectives of the statement and verbal contributions.*
5. Review schedule

8. During the meeting – roles and responsibilities

There are two formal roles to be fulfilled during the transfer meeting – Chair/Facilitator and Scribe. The SEND lead officer will normally act as the Scribe but the role of Chair can be fulfilled by a range of professionals (although this will normally be the organiser of the meeting). It is the responsibility of the Chair to ensure that the child or young person and their family feel comfortable and able to contribute to the meeting.

It is the responsibility of the SEND lead officer to ensure that sufficient information is collected for the child or young person's ONE Plan, including for their personal profile and support plan. Additional information will be transferred from the child or young person's statement or LDA.

All attendees at the meeting have a responsibility to contribute to the content of the child or young person's ONE Plan, including their family. Professionals supporting the child or young person have a statutory responsibility to provide information about their current needs and provision.

9. After the meeting

The organiser of the transfer meeting (usually the education setting) should complete the TM_2 form and send it to the SEND team within 2 weeks. This is a record of the meeting and should include any views noted.

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The SEND lead officer will use the reports and information gathered during the transfer meeting to co-ordinate the writing of a draft ONE Plan for the child or young person, which will replace their statement or LDA. This will be sent to the child or young person's parents and supporting professionals.

Education Report for Transfer Meeting
(To be distributed two weeks before the date of the meeting)

TM_1

Child or young person's name:	D.O.B.:	Year Group:
School/College:	Date of annual review:	
<p>1. Summary of progress towards statement objectives &/or IEP targets since the last review <i>(Include actual test scores and assessment results e.g. Reading scores, National Curriculum levels or P Scales for the last few years to indicate the progress that has been made)</i></p>		
<p>2. Day to day provision required to meet the child/young person's needs <i>(Attach a timetable showing how much extra support is provided in each lesson, if appropriate)</i></p>		
<p>3. Summarise any areas of concern since the last review and how they have been managed</p>		
<p>4. Comment on any other factors (e.g. physical, social or emotional) that have affected progress</p>		

Continued overleaf

5. State education outcomes for discussion during the transfer meeting and inclusion in the ONE Plan

These should be both short and long term, specific, measurable and achievable but ambitious and could reference the objective in the child or young person's statement

6. Actual attendance and % for the period since the last annual review meeting:

Actual _____ out of _____ :- _____ %

7. Details of any exclusions from school since the last annual review meeting:

8. Describe any significant additions to the present provision

Identify new programmes, additional support or special expertise required

Signature

Position

Print Name

Date

Record of Transfer Meeting

TM_2

Child or young person's name:	D.O.B.:	Year Group
School/College:	Date of annual review:	

After the transfer meeting this form should be completed and returned to the SEND Team, within 2 weeks of the meeting. Please ensure that you attach any reports written for the review.

Attendee name	Position	Attendee name	Position

Apologies:

1. Summary of discussion of transfer meeting

2. Additional information not recorded elsewhere

For FORMAL Recommendations see next page

Recommendations	
<p>The formal recommendation of the Transfer Meeting should be either 1 or 2 below. Please tick the relevant box.</p> <p>A Statement or LDA will only be transferred to a ONE Plan when the special educational provision required by the child or young person is over and above that which can reasonably be provided from the resources normally available to mainstream education providers.</p> <p>In cases where the special educational provision can be provided from the available resources, the statement or LDA will be transferred into a non-statutory Co-ordinated Support Plan. The responsibility for this plan will be transferred to the education setting they attend.</p> <p style="text-align: right;">Please tick</p>	
<p>1. Special educational provision over above that which can reasonably be provided from the resources normally available to mainstream education providers continues to be required. The statement or LDA should be transferred to a ONE Plan.</p>	
<p>2. Special educational provision required can be provided from the resources normally available to mainstream education providers and a non-statutory Co-ordinated Support Plan is needed.</p>	

If not noted elsewhere please record here any differences of opinion recorded during the review meeting:

Signature

Position

Print Name

Date

Transfer meeting report

This report should be completed in preparation for a child or young person's Transfer Meeting. This is the statutory process established by the local authority to transfer statements or LDA's to ONE Plans.

Name of child/young person		D.O.B	
Supporting organisation			
Completed by			

What are the child/young person's needs?
Include clinical details, diagnoses and how this affects them in different aspects of their functioning

--

What assessment work has been completed?
Include details of recent and previous assessments, including standardised scores if applicable and the implications for the child on a day to day basis

--

What are the outcomes of your support?
What are the child's current targets, and what are they aiming for in the longer term?

--

What support does the child or young person need to help them achieve these targets?
Specific details e.g. reviews, equipment, ongoing assessments

How often will they get/do they need this support?

Who will provide the support?

Sample letter to parents

Dear Mr & Mrs (Surname)----- and ----(Name of Child)-----

RE: - Transfer of statements and LDA's to ONE Plans

You may be aware that The Children and Families Act 2014 has introduced changes to the system for children and young people with special educational needs. As part of this programme of work, the Local Authority will be using the annual review process to transfer statements and LDA's into new Education, Health and Care Plans. In Hartlepool, these are known as ONE Plans.

I would like to invite you and -(Name of Child)--- to a transfer meeting on (Day & Date)----
----- at (Time).

This is a chance for everyone working with your child to look at their progress over the past year, gather information for their personal profile and identify short and long term outcomes for inclusion in their ONE Plan.

The local authority has produced two booklets to help you and your child prepare for the review meeting and record your views. These are called 'Preparing for your child's review meeting' and 'Preparing for your review meeting' and I have enclosed a copy of each booklet for you. If you wish to use these booklets, please complete and bring them to the transfer meeting with you. Staff in school/College can also help you to fill them in.

Please return the slip below to confirm that you will attend. You are welcome to bring a friend or an adviser to the meeting. Please let me know if you need more information about the meeting. The Local Authority's Parent Partnership Service can also be contacted for advice on 01429 284876 or parentpartnership@hartlepool.gov.uk

Headteacher

Detach and return to school

Transfer meeting for (Name of Child):

Date of meeting:

Please tick as appropriate:

We / I can attend the transfer meeting	
We / I cannot attend the transfer meeting	
My friend / relative / independent parent supporter will also be coming to this meeting. Their name is	

Sample letter to professionals

Dear

RE: - Transfer of statements to ONE Plans
Child's Name & DOB to be inserted here

You will be aware that The Children & Families Act 2014 has introduced changes to the system for children and young people with special educational needs. As part of this programme of work, the local authority will be using the annual review process to transfer statements and LDA's into new Education, Health and Care Plans. In Hartlepool, these are known as ONE Plans.

I would like to invite you to a transfer meeting on (Day & Date)---- ----- at (Time).

I am inviting you to: -

- a) Complete a written report using the enclosed TM_3 form, which should be returned to school/College by so that those attending the review will receive it two weeks prior to the meeting; and
- b) Attend the meeting to be held as above.

Please complete and return the slip below. Thank you for your assistance in this matter. I look forward to hearing from you.

Yours sincerely

Headteacher

Please return to school/College by (enter date)

Transfer meeting for **(school/college should enter name)**

D.O.B **(school/college should enter)**

I will be able/will not be able to attend the meeting on

I confirm that I will provide a written report, which I will submit by the return date above

Signed: Date:

Print name: Position: