Health Providers EHCP Processes Self-Assessment Tool

The Self-Assessment Tool is intended to be used in conjunction with the Good Practice EHCP principles. The tool is designed to identify areas of good practice and areas for development that ICB and health providers can use as a benchmark to ensure a robust, comprehensive, and lawful response to requests for health advice for Education, Health and Care need assessments (SEND Code of Practice 2015).

The findings from the self-assessment are intended to be utilised by the ICB and health providers to identify good practice and to develop an action plan to address areas of non-compliance and emerging areas for development, and for reporting via the ICB and SEND governance routes. The good practice principles and self-assessment tool are recommended as an integral element of the local area's quality assurance processes.

The Tool has identified areas that are Essential (E) and Desirable (D) components of the health advice EHCP pathway. Please provide comments and supporting information for each rag rating.

			Yes	Emerging	No	Comments
1	D	Is there a mechanism in place to receive early warning of an EHCP request?				
2	E	Is there a single referral route in place for incoming EHCP referrals? (There should be a single route for each provider service).				
3	D	Are all services using the single route of access?				
4	E	Is there a mechanism in place for collecting and reporting 6 week return data?				
5	E	Are 6-week compliance exceptions reported, together with relevant narrative, to identify any themes and barriers to compliance?				
6	E	Is 6-week compliance reported on the health SEND dashboard and shared with partners?				
7	E	Are there mechanisms/escalation processes in place to challenge and rectify insufficient responses from services?				
8	E	Is there a process in place and embedded into the single route of access pathway, to return information, advice, or assessment, so that there are no responses made of "Not Known to Service"?				

9	E	Are all practitioners required to attend *SEND Compliance* training which contains information regarding statutory responsibilities and requirements?				
10	D	Are SEND Compliance training and competencies discussed and signed off at practitioner supervision sessions? Are these aligned to the training assurance framework from CDC? [Special Educational Needs and Disability (SEND) Training Assurance Framework for Health Professionals (councilfordisabledchildren.org.uk)](#)				
11	D	Is SEND training and case discussion a part of practitioner supervision?				
12	D	Is the uptake of SEND Compliance training monitored with 100% as the target, in line with requirements for safeguarding compliance training?				
13	D	Do you have a regular practitioner forum for SEND case discussions?				
14	E	Does the service participate in local area Case Tracking Audits?				
15	E	Is the voice of the BCYP (CYP and / or parent carer) captured during the assessment process and included in subsequent health advice / reports?				
16	E	Is there a monitoring system in place to check that health advice, information and/or assessment are co-produced with parent and / or child or young person?				
17	E	Is there a monitoring system in place to check that health advice / reports are written in a way that is *understandable* to a layperson and does it clearly state the impact on the BCYP's ability to access the curriculum.				
18	D	Are mechanisms in place to ensure that there is health representation at EHCP panels?				
19	E	Do practitioners see a draft version of the EHCP for review before finalised?				
20	E	Is there a process / mechanisms in place to inform health practitioners				

		of annual review dates and are they enabled to contribute information?				
21	E	Do health practitioners participate in an audit and improvement cycle in place for the specific auditing of health advice?				
22	E	Are there clear position statements from services, on the process and response to advice requests and assessment requests, available on websites and on the Local Offer including Easy Read information?				
23	E	Does the ICB require EHCP processes for health to be adhered to e.g., is it specifically referred to and monitored as part of contract arrangements?				
		Total				
		Overall RAG Rating				

Rag ratings:

RED – if all essential criteria are not met or the greatest number of rating are 'No/Red'.

AMBER – if all essential criteria are met and the majority of ratings are 'Emerging/Amber'.

GREEN – all essential criteria are met, and majority of ratings are 'Yes/Green'.