



Department
for Education

Special educational needs survey

**Guide to the completion of the person
level SEN2 return: 2022**

Version 1.3

January 2022

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Version History

This gives details of any changes made to the content of this document.

Version	Comments	Date
1.0	Baselined version	DISD, February 2021
1.1	<p>Submission date amended to Thursday 3rd March 2022</p> <p>Updates to data protection and data sharing (section 1.1) and privacy notices (1.2)</p> <p>Additional code T added to data item 2.3 Assessment request outcome</p> <p>Correction to data item 2.5 to refer to 'decision to assess' rather than 'initial request'</p> <p>Additional code S added to data item 3.1</p> <p>Additional code (EYP – Early years provider with no GIAS URN) added to data item 3.4c and 4.2c</p> <p>Clarification of wording for data item 4.9</p> <p>Further minor text clarifications added to guidance throughout</p>	DISD, August 2021
1.2	<p>Additional code added to data items 2.3 and 3.1 (H – Historic – Decision to issue was made before the latest collection period) - and guidance for module 3 updated to state named plan information expected for all existing EHC plans</p> <p>EHC plan start date added as section 3.14. This item has previously been included in the technical specification but not referenced in this document.</p> <p>Section 2 – Further detail added to scope of modules 1 and 3 to better align to technical specification.</p> <p>Further detail added to summary of section 2 to clarify data requirements</p>	DISD, November 2021

1.3	Clarification added to item 3.2 following feedback flagging a known issue and providing error text to be returned in COLLECT XML tags as listed in technical specification and validation rules added to data items	DISD, January 2022
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1. SEN2 return

The information collected via the annual SEN2 data collection provides the major source of data collected on children and young people with Education, Health and Care (EHC) plans. It is the only source of data on the totality of EHC plans maintained by individual local authorities.

Without this information it would be very difficult for Ministers, Parliament, central and local government, external organisations and the public at large to monitor government policies and their effectiveness, and to see how many children and young people with EHC plans there are in individual local authorities.

SEN2 collects data about children for whom the local authority has responsibility for the management of the SEN processes, under the 1996 Education Act and the 2014 Children and Families Act. Therefore, where a child or young person are resident in a different local authority to that which holds the EHC plan, then the local authority that holds the EHC plan must return their information on SEN2, rather than the local authority where they are resident.

The SEN2 data collection has, to date, collected aggregated LA level data on EHC plans and their administration. This guidance relates to a 'person level' SEN2 return, designed to replicate and extend the existing aggregated data collection, by collecting information relating to each child or young person for whom EHC plans are administered.

1.1 Data Protection and Data Sharing

Data from which it is possible to identify children, parents and staff (in any medium, including within a MIS) is personal data.

The UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018 (DPA 2018) put in place certain safeguards regarding the use of personal data by organisations, including the department, local authorities and schools. Both give rights to those (known as data subjects) about whom data is processed, such as children, their parents / carers and staff. This includes (amongst other information that the department is obliged to provide) the right to know:

- the types of data being held
- why it is being held
- to whom it may be communicated

As data processors and controllers in their own right, it is important that providers process all data (not just that collected for the purposes of the SEN2 data collection) in accordance with the full requirements of the UK GDPR. Further information on the UK GDPR can be found in the Information Commissioner's Office (ICO) overview of the [UK General Data Protection Regulation \(GDPR\)](#).

1.2 Legal duties under the UK General Data Protection Regulation and Data Protection Act 2018: privacy notices

Being transparent and providing accessible information to individuals about how you will process their personal data is a key element of UK GDPR and the DPA 2018. The most common way to provide such information is through a privacy notice. Please see the Information Commissioner's Office (ICO) website for [further guidance on privacy notices](#).

The department provides suggested wording for [privacy notices](#) that local authorities may wish to use. However, where the suggested wording is used, the local authority **must review and amend** the wording to reflect local business needs and circumstances. This is especially important, as the local authority will process data that is not solely for use within departmental data collections.

It is recommended that the privacy notice is made available to data subjects via the internet as well as handed out in paper form or placed on an accessible noticeboard. Privacy notices do not need to be issued on an annual basis as long as new children, parents and staff are made aware of the notices and they are readily available electronically or in paper format.

1.3 Legal duties under the UK General Data Protection Regulation and Data Protection Act 2018: data security

Providers and local authorities have a (legal) duty under the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018 to ensure that any personal data they process is handled and stored securely. Further information on data security is available from the [Information Commissioner's Office](#).

Where personal data is not properly safeguarded, it could compromise the safety of individuals and damage your reputation. Your responsibility as a data controller extends to those who have access to your data beyond your organisation where they are working on your behalf; for example, where external IT suppliers can remotely access your information. The '[Responsible for information](#)' page provides further guidance and advice.

It is **vital** that all staff with access to personal data understand the importance of:

- protecting personal data
- being familiar with your security policy
- putting security procedures into practice

As such, you should provide appropriate initial and refresher training for your staff.

1.4 The person level return

The SEN2 person level return for 2022 will run separately to the local authority aggregate level return for 2022. The aggregate level return for 2022 is still required.

The person level collection is expected to be mandatory from 2023, while the aggregate level collection will be discontinued after 2022.

Where this document refers to the “person” it will mean the child or the young person for whom the EHC plan refers.

“Voluntary” refers to the basis on which the entirety of the person level data is returned to the department by the local authority for 2022. All EHC plans should be included in the person level data return.

1.5 Census date and return deadline

The SEN2 person level return follows the same deadlines as the SEN2 aggregate level return. The SEN2 person level return is voluntary for all local authorities in England in 2022. The census date is **20th January 2022** and all completed SEN2 returns should be returned to the department by **3rd March 2022**.

1.6 Contact details

If you have any queries about this document, please contact SEN.statistics@education.gov.uk.

If you have any queries regarding the SEN2 return, please contact us via the [Data collections service request form](#).

Please use the [feedback form](#) if you have any comments about the Data Operations Service Desk or any other aspect of our data collection service.

1.7 Age limits

The relevant legislation states that a local authority may continue to maintain an EHC plan for a young person until the end of the academic year during which the young person attains the age of 25.

1.8 General note

References to specific education legislation are only made to highlight provisions that may be relevant. You would need to form your own view of what the law requires in any specific case.

2. Structure of the person level collection

Each local authority is asked to provide information for each of the following modules. The information requested underpins the data requested in the aggregate level return for Education, Health and Care (EHC) plans with additional data items necessary to form a person level collection.

The return should include all records of all EHC plans relevant to the collection year (2021) and census date (January 2022) where possible, including ceased EHC plans.

The collection consists of six modules, detailed below. Data recorded in modules 2 to 5 will be linkable to a single person recorded in module 1 (person details).

Module 1: Person details

This module should be completed for each person for which an initial request for an EHC needs assessment is made, an assessment is made, or the EHC plan was active at some point in the collection year, or for which an EHC plan is held at the census date. The same person should not be included more than once in this section. Revisions to this section may be required when the persons details change.

Module 2: Requests for EHC needs assessment

This module should be completed for all initial requests for assessment for an EHC plan, regardless of outcome, including requests which do not proceed to the assessment stage.

This allows the department to continue to monitor the number of new initial requests for assessment received by LAs, as in the aggregate level collection. Repeated requests for assessment corresponding to the same person should be recorded separately.

If the initial request for assessment is refused, no information is required in subsequent modules.

Once a decision to assess has been reached, data in this section is not expected to be subject to revision by the local authority.

Module 3: EHC needs assessments

All information in this module should be completed if an initial request for assessment is agreed. This section collects information on the assessment process and, if a decision is made to issue a plan, then details of the plan are to be recorded here including the establishment named on the plan.

Data should be provided for items 3.4 to 3.9 (where applicable) for all existing active EHC plans (including those made prior to the collection year) and any plans that ceased during

the collection year. The decision to issue should be recorded as H – Historic (decision to issue was made before latest collection period). Further data on the decision to issue (including date, exceptions and mediation/tribunal) is not required for plans made prior to the collection year (data items 3.2 to 3.3 and 3.10 to 3.13).

Where a decision is made not to issue a plan, the outcome of the decision not to issue will be recorded along with the date the person was informed.

This section is expected to be completed once only for each request for assessment that is agreed. Once completed, data in this section is not expected to be subject to revision by the local authority unless the details specified on the plan change (for example establishment).

Module 4: Placements

This module should be completed for all active EHC plans on the census day and any plans that have ceased during the census period. It is expected that all spells by the child or young person in different establishments during the census period will be recorded. This information will be used to produce the caseload as at the census date and subsequent breakdowns of this.

Module 5: Ceased plans

This module should be completed for any EHC plans that have ceased. The date that the plan was ceased and reason for cessation are to be recorded.

Once completed, this section is not expected to be subject to revision by the local authority. If a new EHC plan is later requested for the same person, this should be recorded as a new request for assessment.

Module 6: LA details

This module contains any further information at the local authority level that is to be collected.

3. Data items

Module 1: Person details

The information collected in this module will allow the department to continue to record information about the age profile of persons with EHC plans. Gender is a new addition that has not previously been specified in the aggregate level collection. The IDs requested will allow for linking to other data sources to further enrich the data collected on persons with EHC plans.

Item 1.1 Surname <Surname>

Item 1.2 First name / Forename <Forename>

Item 1.3 Date of birth <PersonBirthDate>

Item 1.4 Gender <GenderCurrent>

0 – Not known

1 – Male

2 – Female

9 – Not Specified (indeterminate; unable to be classified as either male or female)

Item 1.5 Home postcode <PostCode>

Item 1.6a UPN – Unique Pupil Number <UPN>

The person's unique pupil number. The UPN must be 13 characters in the format Annnnnnnnnnn with AnnnnnnnnnnA used for a temporary UPN; where 'A' is a character and 'n' is numeric. For further information see [UPN policy and practice guidance](#).

Item 1.6b Young person unique learner number <UniqueLearnerNumber>

The young person's unique learner number (ULN) as used in the Individualised learner record. For further information see [Individualised Learner Record \(ILR\)](#).

Item 1.6c No identifier (UPN/ULN) available <UPNunknown>

Where no identifier is available, please record one of the following options

UN1 – Child is aged under 6 years old and is not yet assigned a UPN

UN2 – Child has never attended a maintained school in England and has not been assigned a UPN

UN3 – Child is educated outside of England and has not been assigned a UPN

UN5 – Sources collating UPNs reflect discrepancy/ies for the child's name and/or surname and/or date of birth therefore prevent reliable matching (for example duplicated UPN).

UN8 – Person is new to LA (one week before the end of the collection period) and the UPN or ULN is not yet known at the time of the SEN2 return

UN9 – Young person has never attended a maintained school or further education setting in England and has not been assigned a UPN or ULN

UN10 – Request for assessment resulted in no further action before UPN or ULN known

Item 1.7 Ethnicity <Ethnicity>

Record ethnicity according to parents' or child or young persons' wishes. Ethnicity should be recorded in line with the [codeset used for the school census](#). Do not ascribe ethnicity to any pupils. Instead, use:

NOBT if you have not received ethnicity information

REFU if a parent or pupil refuses to record or return their ethnicity

Module 2: Requests for EHC needs assessment

The following information should be recorded for each request for assessment made to the local authority. The information collected will allow the department to continue to report on the timeliness of the assessment process. Requests that have yet to be completed should also be recorded.

For the 2022 data return, we only expect to receive information about requests during 2021. No information on requests for existing plans is required where the request and assessment were prior to 2021.

Information on requests is still required when the request began with another local authority and transferred in before the decision to issue was reached.

Item 2.1 Date request was received <ReceivedDate>

The date the request for an EHC assessment was received. This will be the date used as the start of the 20-week period.

Item 2.2 Initial requests for assessments made whilst in Relevant Youth Accommodation <RYA>

Was the initial request for assessment for an EHC plan made when the child or young person was detained in a relevant youth accommodation (RYA)?

1 - Yes

0 - No

Relevant youth accommodation includes young offender institutions, secure training centres and secure children's homes.

Item 2.3 Assessment request outcome <RequestOutcome>

This item records whether or not the initial request proceeded to the assessment stage

Y - LA proceeded with an assessment

N - LA decided not to proceed with an assessment

A - Decision yet to be made

T – Transferred to another LA before decision to assess was made

H – Historic – Decision to assess was made before the latest collection period

When A or H is selected, no further information is required in this module.

Item 2.4 Date requestor informed of decision about whether to assess <RequestOutcomeDate>

Please enter the date the requestor(s) was informed of the decision about whether the local authority agrees, or not to the request for an assessment.

Item 2.5 Request mediation <RequestMediation>

This item records whether or not the decision to assess was referred for mediation. For further information see Annex C - Mediation

1 – Mediation meeting has occurred, or was offered but declined prior to tribunal occurring.

0 – No mediation

Please record even if tribunal may not happen until next reporting year.

Item 2.6 Request tribunal <RequestTribunal>

This item records whether or not the mediation indicated in item 2.5 was followed by appeal to tribunal. For further information see Annex C - Mediation

1 – Mediation followed by appeal to tribunal

0 – Mediation did not lead to appeal to tribunal

Item 2.7 Assessment completed by another LA <Exported>

This item is to record when a decision to assess has been reached but the assessment is subsequently exported to another local authority. Please record the 3 digit LA code (based on [Common Basic Data Set](#) item N00216). This should be recorded regardless of the outcome reached by the importing local authority. No further information is subsequently required from the exporting local authority.

Module 3: EHC needs assessments

This module collects information on the decision to issue a plan. Where a decision has been made to issue a plan, the detail about the placement named on the EHC plan should be recorded. It is possible that multiple assessments and plans may be recorded for a single person. For example, if an EHC plan has previously ceased and a further plan has later been issued or if it was decided not to issue a plan previously and a new assessment has been agreed following a new request. Changes may occur to this section from one year to the next for the same person, for example where the establishment named on the EHC plan is changed.

For the 2022 data return, we only expect to receive information about assessments during 2021. No information on assessments for existing plans is required where the assessment was completed was prior to 2021.

Item 3.1 Decision to issue EHC plan <AssessmentOutcome>

Y – It was decided an EHC plan would be issued

N – It was decided an EHC plan would not be issued

A – Decision has not yet been made

T – Transferred to another LA before plan issued

S – Plan issued after assessment was completed by another LA

H – Historic – Decision to issue was made before the latest collection period

For T, also include cases where a decision to issue a plan has been reached but the issuing of the plan is to be completed by another LA.

Where A, or T is selected, no further information is required in this module. The 20-week timeliness measure will not apply in cases where a plan has not been issued and where the assessment was completed by one local authority and the plan issued by another.

For an active plan, where the decision to issue was made before the latest collection period (H - Historic), information is still required on the plan itself.

Where a statement of SEN was previously transferred to an EHC plan, record as H.

Item 3.2 Date of outcome <AssessmentOutcomeDate>

Either record:

Date of which EHC plan was issued, or

Date at which person was notified of decision not to issue a plan

If a decision to issue has been made but no plan has been issued, please leave blank. This will lead to an error being flagged in COLLECT validation rule 1019. This is a known issue. Please record the following as a return level note: 1019: All entries with no assessment outcome date recorded have been checked and confirmed as accurate

Item 3.3 20-week time limit exceptions apply <Week20>

1 – Yes, exceptions apply

0 – No, exceptions do not apply

Full details of exemptions are provided in annex D

Item 3.4 Establishment currently named in EHC plan

Please complete one of 3.4a to 3.4c only. For further guidance on recording establishment, see Annex A. Placement rank (primary or secondary placement) should also be completed (Item 3.5) for each placement.

Item 3.4a Establishment type – URN <URN>

Please enter the URN of the establishment currently named on the EHC plan. Please refer to [Get information about schools](#) (GIAS) to obtain the Unique Reference Number (URN) of the establishment named. If no URN is available, see item 3.4b.

URN should only be provided for early years providers if present in GIAS. Please do not return 6-digit Ofsted URN as not consistent with GIAS. An option has been provided in 3.4c 'other' if no URN or UKPRN is available.

Item 3.4b Establishment type – UKPRN <UKPRN>

Please enter the UKPRN of the establishment currently named on the EHC plan. If the establishment does not have a URN, then UK Provider Reference Number (UKPRN) should be provided. The [UK Register of Learning](#) provides details on UKPRN. If no URN or UKPRN available see item 3.4c.

Item 3.4c Establishment type – other <SENsetting>

Please enter one of the following settings if URN or UKPRN are not provided

OLA – Other – arrangements made by the local authority in accordance with Section 319 of the Education Act 1996 or Section 61 of the Children and Families Act 2014

EHE – Elective home education

OPA – Other – arrangements made by parents in accordance with Section 7 of the Education Act 1996

EYP – Early years provider with no GIAS URN

OTH – Other – Where this is used, the local authority will be prompted for further information in COLLECT

Item 3.5 Placement Rank <PlacementRank>

Up to two concurrent placements may be recorded for each person. If more than two placements are used at the same time, then please record the two that are typically attended most in an average week or term as applicable. Placement rank must be recorded as follows:

1 – Primary placement

2 – Secondary placement

Where a pupil has a single placement, please return as 1.

Item 3.6a SEN Unit indicator <SENUnitIndicator>

Please indicate whether the child's placement in Item 3.4 is for the purposes of attending the school's SEN unit.

The SEN unit or Resourced provision must be local authority approved. For more information, see Annex B.

Item 3.6b Resourced Provision indicator <ResourcedProvisionIndicator>

Please indicate whether the child's placement in Item 3.4 is for the purposes of attending the school's resourced provision.

The SEN unit or Resourced provision must be local authority approved. For more information, see Annex B.

Item 3.7 Residential Settings <PlanRes>

Please indicate if the placement named on the plan is a residential setting.

A – 38 to 51 weeks

B – 52 weeks

Item 3.8 Work based learning activity <PlanWBP>

Please indicate if the plan specifies participation in work-based learning activity.

A – Apprenticeships

T – Traineeships

S – Supported internships

Item 3.9a Personal budget taken up <PB>

Has a personal budget been taken up?

1 – A personal budget has been taken up

0 – A personal budget has not been taken up

Item 3.9b Personal budget – organised arrangements <OA>

Organised arrangements are where the local authority or partner retains the funding and commissions the support specified in the plan (sometimes called notional arrangements).

1 – Organised arrangements are in place

0 – Organised arrangements are not in place

Item 3.9c Personal budget – direct payments <DP>

Direct payments, including payments to nominees and third parties.

E – Education only

S – Social care only

H – Health only

I – integrated payment for a combination of the above

Item 3.10 Assessment mediation <AssessmentMediation>

This item records whether or not the decision to issue a plan was referred for mediation. For further information see Annex C - Mediation

1 – Mediation meeting has occurred or was offered but declined prior to tribunal occurring.

0 – No mediation

Please record even if tribunal may not happen until next reporting year.

Item 3.11 Assessment tribunal <AssessmentTribunal>

This item records whether or not the mediation indicated in item 3.10 was followed by appeal to tribunal. For further information see Annex C - Mediation

1 – Mediation followed by appeal to tribunal

0 – Mediation did not lead to appeal to tribunal

Item 3.12 Other mediation <OtherMediation>

This item records whether or not the assessment was referred for mediation for any reason other than the decision to assess or the decision to issue a plan. This includes mediation with respect to the content of the plan. For further information see Annex C - Mediation

1 – Mediation meeting has occurred or was offered but declined prior to tribunal occurring.

0 – No mediation

Please record even if tribunal may not happen until next reporting year.

Item 3.13 Other tribunal <OtherTribunal>

This item records whether or not the mediation indicated in item 3.12 was followed by appeal to tribunal. For further information see Annex C - Mediation

1 – Mediation followed by appeal to tribunal

0 – Mediation did not lead to appeal to tribunal

Item 3.14 EHC plan start date <StartDate>

Please provide the date the EHC plan started.

Module 4: Placements

This module collects information on the current placement of any person with an active EHC plan, and any placements in the census period for those with an active EHC plan or a plan that has ceased during the census period. This will allow the department to continue to report on the EHC plan caseload and subsequent breakdowns of this. It is expected that this will be returned at each census date, and no revisions will be made to data once returned.

Item 4.1 Transferred in from another LA (3-digit code) <TransferLA>

If the EHC plan was transferred in from another local authority during 2021 then enter the 3 digit LA code of the exporting local authority (based on [Common Basic Data Set](#) item N00216).

Item 4.2 Establishments attended during the year

Please complete one of 4.2a to 4.2d only. For further guidance on recording establishment type, see Annex A. Placement rank (primary or secondary placement) should also be completed (Item 4.3) for each placement.

URN should only be provided for early years providers if present in GIAS. Please do not return 6-digit Ofsted URN as not consistent with GIAS. An option has been provided in 4.2c 'educated elsewhere' if no URN is available.

Item 4.2a Establishment type – URN <URN>

Please enter the current URN of the establishment currently attended. If no URN available see item 4.2b. Where a URN has changed during the year, please return the current URN where possible. Where this is not possible, it is possible to return two concurrent records with different URNs as long as they do not overlap.

URN should only be provided for early years providers if present in GIAS. Please do not return 6-digit Ofsted URN as not consistent with GIAS. An option has been provided in 4.2c 'other' if no URN or UKPRN is available.

Item 4.2b Establishment type – UKPRN <UKPRN>

Please enter the UKPRN of the establishment currently attended. If no URN or UKPRN available see item 4.2c.

Item 4.2c Establishment type – Educated Elsewhere <SENsetting>

Please enter the alternative setting if 4.2a or 4.2b not applicable

OLA – Other – arrangements made by the local authority in accordance with Section 319 of the Education Act 1996 or Section 61 of the Children and Families Act 2014

EHE – Elective home education

OPA – Other – arrangements made by parents in accordance with Section 7 of the Education Act 1996

EYP – Early years provider with no GIAS URN

Item 4.2d Establishment type – Not in education <SENsetting>

Please enter one of the following if 4.2a to 4.2c do not apply

NEET – Not in education, training or employment

NIEC – Not in Education - Notice to cease issued

NIEO – Not in education – Other – Where this is used, the local authority will be prompted for further information in COLLECT

Item 4.2e Establishment type – Start Date <EntryDate>

Please record the start date for each placement in the census period

Item 4.2f Establishment type – End Date <LeavingDate>

Please record the end date of any placements that ended in the census period. Do not record an end date for any current open placements.

Item 4.2g Establishment type – Attendance Pattern <AttendancePattern>

The attendance pattern data item records the pupil's planned attendance pattern at the establishment recorded.

FT - if a pupil attends full-time

PT - if a pupil attends the placement part-time

Please note that, for the purposes of this data item, part-time is defined as being expected to attend fewer than 10 sessions per week at the establishment recorded.

Item 4.3 Placement Rank <PlacementRank>

Up to two concurrent placements may be recorded for each person. If more than two placements are used at the same time, then please record the two that are typically attended most in an average week or term as applicable. Two placements cannot be recorded as having the same rank.

Placement rank must be recorded as follows:

- 1 – Primary placement
- 2 – Secondary placement

Where a pupil has a single placement, please return as 1.

Item 4.4a SEN Unit Indicator <SENunitIndicator>

Please indicate whether the child's placement in items 4.2 (or 4.3 if applicable) are for the purposes of attending the school's SEN Unit.

The SEN unit or Resourced provision must be local authority approved. For more information, see Annex B.

Item 4.4b Resourced Provision Indicator <ResourcedProvisionIndicator>

Please indicate whether the child's placement in items 4.2 (or 4.3 if applicable) is for the purposes of attending the school's resourced provision

The SEN unit or Resourced provision must be local authority approved. For more information, see Annex B.

Item 4.5 Residential Settings <Res>

Please indicate if the child or young person is currently in residential settings for 38 weeks or more.

- A – 38 to 51 weeks
- B – 52 weeks

Item 4.6 Work based learning activity <WBP>

Please indicate if the person is currently participating in work-based learning activity.

- A – Apprenticeships

T – Traineeships

S – Supported internships

Item 4.7 Primary Type of Need <SENtype>

Please record the nature of the individual’s special educational need. These options are consistent with those collected within the spring term school census. Where multiple types of need are recorded and ranked, the primary type of need should be ranked 1 under Type of need rank (Item 4.8), and if applicable a secondary type of need should be ranked 2.

Code	Description
SPLD	Specific learning difficulty
MLD	Moderate learning difficulty
SLD	Severe learning difficulty
PMLD	Profound and multiple learning difficulty
SEMH	Social, emotional and mental health
SLCN	Speech, language and communication needs
HI	Hearing impairment
VI	Vision impairment
MSI	Multi-sensory impairment
PD	Physical disability
ASD	Autistic spectrum disorder
OTH	Other difficulty

Item 4.8 Type of need rank <SENtypeRank>

If only one type of need is recorded, this should be recorded as rank 1. If multiple types of need are recorded, then the primary type of need should be recorded as rank 1 and the secondary type of need should be recorded as rank 2. Up to two types of need can be recorded.

Item 4.9 EHC plan review decisions date <LastReview>

Please enter the date when the LA wrote to the parent or young person with the notification as to whether to retain, cease or amend the plan following the annual review meeting. Note that this date is unlikely to be the same as the date of the review meeting.

Module 5: Ceased plans

This module collects information on the date and reason of cessation for each EHC plan. The data in this module is not expected to be subject to revision once complete.

Item 5.1 Date EHC plan ceased <CeaseDate>

Please provide the date the EHC plan ended or the date the EHC plan was transferred to another local authority. Do not record the date of the decision to cease. Local authorities must continue to maintain the EHC plan until the time has passed for bringing an appeal or, when an appeal has been registered, until it has been concluded.

Item 5.2 Reason EHC plan ceased <CeaseReason>

Please provide the reason the EHC plan ended from the list below

- 1 – Reached maximum age
- 2 – Ongoing educational or training needs being met without an EHC plan
- 3 – Moved on to higher education
- 4 – Moved on to paid employment, excluding apprenticeships
- 5 – Transferred to another LA
- 6 – Young person no longer wishes to engage in education
- 7 – Child or young person has moved abroad
- 8 – Child or young person deceased
- 9 – Other - Where a large number of cases are recorded as other, the local authority will be prompted for further information in COLLECT

Module 6: LA details

This module replicates the existing information collected at a local authority level in the SEN2 collection.

Designated Medical / Clinical Officer (DMO/DCO)

A Designated Medical or Clinical Officer (DMO/DCO) can both support relationships across the health sector and between education, health and care partners. The role is currently non-statutory and set out in the 0- 25 SEND Code of Practice.

Often the DMO will be a consultant paediatrician or in some cases a General Practitioner and the Designated Clinical Officer (DCO) is in most cases a nurse or a therapist.

These roles can vary according to local arrangements and some clinical commissioning groups have both DMO/DCO roles in place who will have the appropriate knowledge and can carry out the functions listed in the SEND Code of Practice. They can cover a number of Clinical Commissioning Group (CCGs) if they are within a larger local authority footprint.

The 'Recruitment in progress' indicator is meant to cover those local areas that are recruiting to the post or are in discussion with their CCG(s) and others about how to ensure the strategic function of the DMO/DCO is covered.

Note: Please consult your CCG lead or Children's Commissioner for advice if you are unsure on the current position of these roles.

Item 6.1 Designated Medical Officer <DMO>

Does your local authority area have a Designated Medical Officer (DMO) in place on census day?

Y – Yes

N – No

R – Recruitment in progress

Item 6.2 Designated Clinical Officer <DCO>

Does your local authority area have a Designated Clinical Officer (DCO) in place on census day?

Y – Yes

N – No

R – Recruitment in progress

Annex

A - Establishment types

URN - Available in Get Information about Schools (GIAS)

If the establishment has a URN, record this, includes

- schools - State funded nursery, primary, secondary, special, general hospital schools, non maintained special schools, independent schools (including special).
- person typically recorded on school census with UPN

UKPRN - Available in UK Register of Learning

If establishment has UKPRN rather than URN, record this

- includes 16-18/further education providers
- person typically recorded on Individualised Learner Record (ILR) with young person unique learner number

Educated elsewhere

If no URN/UKPRN, is the person under

- elective home education
- arrangements made by the parents
- arrangements made by the local authority

Not in education/Other

If none of the above apply

- not in education, employment or training (NEET) but engaged with local authority
- not in education, employment or training and notice to cease has been issued
- other (LA to be prompted for further information)

B – Local authority approved provision

Special educational needs (SEN) units

SEN units are special provisions within a mainstream school where pupils with SEN are taught mainly within separate classes.

Units:

- are designated by the local authority specifically for making SEN provision, and sometimes accommodate pupils registered at other schools on a part-time basis;
- receive funding of £6,000 or £10,000 per place, and usually top-up funding for the excess costs of additional support required by individual pupils;
- cater for a specific type or types of SEN (for example autistic spectrum disorders);
- are usually for pupils with an education, health and care (EHC) plan (but may also provide support for pupils with SEN support).

Schools and academies should only record that a SEN unit is present where the SEN unit has been formally recognised as such by the local authority where the school is located.

Most pupils placed in units will have an Education, Health and Care plan. It is unlikely that a child would be placed in a unit and also receive support from resourced provision, but a school could have resourced provision for one type of need and a unit for another.

Resourced provisions

Resourced provisions are places that are reserved at a mainstream school for pupils with a specific type of SEN, taught mainly within mainstream classes, but requiring a base and some specialist facilities around the school.

Resourced provisions:

- are designated by the local authority specifically for making this kind of SEN provision;
- receive funding of £6,000 or £10,000 per place, and usually top-up funding for the excess costs of additional support required by individual pupils;
- cater for a specific area or areas of SEN (for example specific learning difficulties);
- are usually for pupils with an education, health and care (EHC) plan, but could include pupils with SEN support.

Local authorities should only record that resourced provision is being used where the resourced provision has been formally recognised as such by the local authority.

C - Mediation

Parents or young people who wish to register an appeal to the First-tier Tribunal (Special Educational Needs and Disability) may do so only after they have contacted an independent mediation adviser and discussed whether mediation might be a suitable way of resolving the disagreement. After receiving information, it is for the parents and young person to decide whether to take part in mediation or appeal to the Tribunal without taking part in mediation. If they decide to take part in mediation, once it has finished, they can then decide whether or not to appeal to the Tribunal.

These arrangements do not apply when the appeal is solely about the name of the school, college or other institution named in the EHC plan, the type of school, college or institution or the fact that no school, college or institution is named. Local authorities will arrange for the provision of mediation information and mediation itself where the parent or the young person wishes to take part in this.

D - Guide for local authorities completing Education, Health and Care (EHC) plans issued within 20 weeks

Timelines for assessments and drawing up Education, Health and Care plans

The Special Educational Needs and Disability Regulations 2014¹ set out the time limits for conducting an EHC needs assessment as required under s.36(11) of the Children and Families Act 2014. The whole process includes all of the required steps from:

‘Day 1’: when the local authority receive a formal request for an EHC needs assessment, or the child or young person is identified or otherwise comes to the local authority’s attention as someone who has or may have special educational needs and is in the authority’s area to the date when the final plan is issued by the local authority, which must take no more than 20 weeks.

The local authority needs to conclude this process as soon as is practicable, and in any case within that 20 weeks.

The key steps in the process which have statutory timescales, and which begin in each case on ‘Day 1’, are:

¹ The Special Educational Needs and Disability (Detained Persons) Regulations 2015 contain similar provisions to those in the 2014 Regulations. The statistics being collected in SEN2 include those for detained persons but, for simplicity, the detained persons legislative provisions are not referenced separately in this guide.

- 6 weeks to make a decision whether or not an assessment is necessary and to communicate that decision to the parents of the child or to the young person; with the authority to do this as soon as is practicable and in any case before the end of that period;
- where a local authority decides following an assessment that it is not necessary for special educational provision to be made for a child or young person in accordance with an EHC plan, it must inform the parents of the child or the young person as soon as is practicable and in any case within 16 weeks;
- 20 weeks to finalise and issue a plan; with the authority to do this as soon as is practicable and in any case before the end of that period.

Definitions

The 20 week period comprises Day 1 + 139 calendar days. The end of the period is the date on which the authority writes to the parents of the child or the young person with the final EHC plan.

Exceptions to the time limits

Where there are exceptional circumstances, it may not be reasonable to expect local authorities to comply with the time limits above. The Special Educational Needs and Disability Regulations 2014 set out in Regulations 5(4), 10(4) and 13(3) specify exemptions as follows.

The authority need not comply with the initial 6-week limit or the 16 and 20 week limits if it is impractical to do so because:

- 1) The local authority has requested advice from the head teacher or principal of a school or post-16 institution during a period beginning one week before any date on which that school or institution was closed for a continuous period of not less than 4 weeks from that date and ending one week before the date on which it re-opens;
- 2) The authority has requested advice from the person identified as having responsibility for SEN (if any), in relation to, or other person responsible for, a child's education at a provider of relevant early years education during a period beginning one week before any date on which that provider was closed for a continuous period of not less than 4 weeks from that date and ending one week before the date on which it re-opens;
- 3) Exceptional personal circumstances affect the child, the child's parent, or the young person; or

- 4) The child, the child's parent, or the young person are absent from the area of the authority for a continuous period of not less than 4 weeks.

The local authority should inform the child's parent or the young person if exemptions apply so that they are aware of, and understand, the reason for any delays. Local authorities should aim to keep delays to a minimum and as soon as the conditions that led to an exemption no longer apply the local authority should endeavour to complete the process as quickly as possible. All remaining elements of the process must be completed within their prescribed periods, regardless of whether exemptions have delayed earlier elements.

E – Aggregate to person level mapping

The following outlines how the person level collection aims to replicate the measures collected in the current aggregated LA level collection.

Aggregate SEN2 collection data item	Person level variables	Notes
1.1 Age band - caseload	1.3 Date of birth	Further detail available as individual person age can now be calculated Caseload derived where start date is populated and date EHC plan ceased is null
1.2a Establishment types – caseload	3.4 Establishment named in EHC plan	Establishment ID to be mapped to Get Information about Schools (GIAS) data to provide establishment types. Secondary source of UK RLP to be used for providers not listed in GIAS. Allows consistent comparisons to other DfE data collections Caseload derived where start date is populated and date EHC plan ceased is null
1.2b Work based placements - caseload	4.6 Work based learning activity	Recorded as in EHC plan and current position Caseload derived where start date is populated and date EHC plan ceased is null
1.2c Residential settings – caseload	4.5 Residential Settings	Recorded as in EHC plan and current position Caseload derived where start date is populated and date EHC plan ceased is null
2.1a Age bands - new claims	1.3 Date of birth 3.1 Decision to issue EHC plan 3.2 Date of outcome	New claims where date of outcome in calendar year and decision to issue = Y

2.2a Establishment types - new claims	3.4 Establishment named in EHC plan 3.1 Decision to issue EHC plan 3.2 Date of outcome	Establishment ID to be mapped to Get Information about Schools (GIAS) data to provide establishment types. Secondary source of UK RLP to be used for providers not listed in GIAS. Allows consistent comparisons to other DfE data collections New claims where start date in calendar year
2.2b Work based placements - new claims	3.8 Work based learning activity	Recorded as in EHC plan and current position New claims where start date in calendar year
2.2c Residential settings - new claims	3.7 Residential Settings	Recorded as in EHC plan and current position New claims where start date in calendar year
2.3 Decisions not to issue	3.1 Decision to issue EHC plan 3.2 Date of outcome	Count where date of outcome in calendar year and decision to issue = N
2.4 Currently being assessed	3.1 Decision to issue EHC plan 2.5 Date requestor informed of decision about whether to assess	Count where date requestor informed of decision about whether to assess in calendar year and decision to issue = A. i.e., assessment to occur but not complete yet
2.5 Assessments refused	2.4 Assessment request outcome 2.5 Date requestor informed of decision about whether to assess	Count where date requestor informed of decision about whether to assess in calendar year and assessment request outcome = N
2.6 In year transfers between establishments	4.2 Establishment attended (Year N, N-1)	Compare position from one collection to next Greater range of breakdowns

		available Would not be available in first collection
2.7 Discontinued plans (compulsory school age)	5.1 Date EHC plan ceased 5.2 Reason EHC plan ceased	Aggregate count of plans ceased by reason Combined with 2.8 Discontinued plans (school leavers)
2.8 Discontinued plans (school leavers)	5.1 Date EHC plan ceased 5.2 Reason EHC plan ceased	Aggregate count of plans ceased by reason Combined with 2.7 Discontinued plans (compulsory school age)
2.9 Initial requests for EHC plan assessments	2.2 Date request was received	Aggregate count of requests recorded where date request was received in calendar year
2.10 Initial requests for assessments made whilst in relevant youth accommodation	2.2 Date request was received 2.3 Initial requests for assessments made whilst in RYA	Aggregate count of requests recorded where date request was received in calendar year and RYA flag = Y
3.1a EHC plans issued within 20 weeks (including exception cases) - denominator	3.1 Decision to issue EHC plan 3.2 Date of outcome	New claims where date of outcome in calendar year and decision to issue = Y and assessment mediation = N and assessment tribunal = N
3.1b EHC plans issued within 20 weeks (including exception cases) - numerator	2.2 Date request was received 3.1 Decision to issue EHC plan 3.2 Date of outcome	New claims where date of outcome in calendar year and decision to issue = Y and interval (date of outcome, date request received) is 20 weeks or less and all mediation = N and all tribunal = N
3.2a EHC plans issued within 20 weeks	3.1 Decision to issue EHC plan 3.2 Date of outcome	New claims where date of outcome in calendar year and decision to issue = Y and 20-week time limit

(excluding exception cases) - denominator	3.3 20-week time limit exceptions apply	exceptions apply = N and all mediation = N and all tribunal = N
3.2b EHC plans issued within 20 weeks (excluding exception cases) - numerator	2.2 Date request was received 3.1 Decision to issue EHC plan 3.2 Date of outcome 3.3 20-week time limit exceptions apply	New claims where date of outcome in calendar year and decision to issue = Y and 20-week time limit exceptions apply = N and interval (date of outcome, date request received) is 20 weeks or less and all mediation = N and all tribunal = N
4.1 Personal budgets and 4.2 Personal budget types	3.9a Personal budget taken up 3.9b Personal budget – organised arrangements 3.9c Personal budget – direct payments	Same questions at person level, aggregate count where start date is populated and date EHC plan ceased is null (as per caseload variables)
5.1 Effectiveness of mediation	2.6 Request mediation 2.7 Request tribunal 3.10 Assessment mediation 3.11 Assessment tribunal	Mediation cases = aggregate count of mediations recorded Tribunal cases = aggregate count of tribunals recorded



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