

APPENDIX 4

Auditing in SEND:
Intent, Implementation, Impact

Compliance, Collaboration, Communication, Quality

Audit intent in SEND

Themes.

Our audits will:

<u>Compliance</u>	<u>Quality</u>	<u>Collaboration</u>	<u>Aspiration</u>
<p>1. Show we are compliant in statutory time scales at all decision-making points</p> <p>2. Demonstrate section by section compliance</p>	<p>1. Demonstrate section by section quality of completion – clear language, jargon free, understandable</p> <p>2. Show we are improving assessment and plan processes for C&F through feedback action planning because of audit</p>	<p>1. Show our assessments and plans are child centred and a session(s) with the family and where possible and appropriate the young person have taken place.</p> <p>2. Demonstrate the advice from Education, Health and Care is appropriately and accurately documented within one plan that is representative and accurate for the child who's needs must be supported.</p> <p>3. Reflect our collaboration with families and schools</p>	<p>1. Demonstrate the service in which we work and the service we offer is constantly improving</p> <p>2. Reflect improving outcomes and experiences for children and young people</p> <p>3. Evidence that Plans are aspirational for children and young people</p>
<p>1. Assessments and plans are good quality, with clear documentation of need, provision, and outcomes</p>			

Audit Implementation in SEND

Our audits are:

Audit (What)	Who	Why	When	How	Evidence	Impact
Compliance (all plans)	Locality Managers	To ensure all plans are compliant	Draft and Amend (Monthly)	Compliance QA online questionnaire (164-169 CoP)	Online reporting and resulting action plan	Compliant plans, Better plans Fewer complaints
Audit (What)	Who	Why	When	How	Evidence	Impact
Quality (all plans)	Locality Manager	To ensure all plans adhere to quality standards	Draft and amended (Monthly)	Quality Standards online questionnaire	Online reporting and resulting action plan	Quality improvement Fewer complaints / appeals for content
Quality (10% of plans / theme)	Managers (education, health, and care)	To ensure other agencies agree the plans are of quality and advice has been appropriately included	Termly	Quality Standards online audit	Online reporting and resulting action plan	Co-produced, child centred plans Child / parent satisfaction
Audit (What)	Who	Why	When	How	Evidence	Impact
Compliance and Quality Annual Review	Frontline staff – Educational and Skills		Termly			
Audit (What)	Who	Why	When	How	Evidence	Impact
Advice for Assessment and Plans	Multi-Agency Group: EP, PT, OT, S<, Care, SEND, CWD	To ensure good quality advice is received	Termly	Each area leads QA's 10%+ of advice reports against a framework	Forms submitted and next steps agreed	Improved advice should improve plan quality Improved quality should mean better outcomes and more understandable interventions / adjustments

Sheffield Quality Assurance process for SEND

Advice and plans for all those with SEND should be of high quality. The following processes detail the quality assurance activity that will take place at all levels to support development of high quality information and plans.

Quality Assurance process for SEND – SEN Support

Advice givers:

Individual advice for supporting children with SEND should be quality assured and audited as part of usual process for any advice giving service. Each service should have details of this process.

This should include ensuring that information is:

- In plain English and understandable for the family as well as anyone offering support
- Is person centred so focuses both on what is important to and important for the child / young person
- Considers what is working, what is not working and what needs to change
- Is specified and quantified so that those reading are clear what needs to be done
- Details the provision to meet an identified area of need, including identifying any required provision to meet the assessed need that is not available as part of the service commissioned offer

As part of audit processes around SEND, auditors will comment on the quality of advice to report back to advice giving services

SEN Support plans (My Plan):

As part of locality working practice, schools are encouraged to discuss with the locality the plans they are putting in place. This includes considering the quality of My Plans as part of the locality panel process at stage 1

Locality panels will offer advice to schools as to the quality of the plans and proposed changes.

Prior to any request for an EHC Needs Assessment, a school should ensure that they present the case to the locality as part of the locality support process. This will ensure discussion as to the quality of the plan put in place.

EHC Plan:

The following pages detail how EHC Plans will be audited. It is important that auditors consider both the plan and the information that has contributed to the plan when completing the audit tool against the 5 quality standards.

Quality Assurance Audit process for SEND – EHC Needs Assessment

All EHC Plans should be quality assured by locality managers in SENDSARS before being finalised

Each month 5 newly completed EHC Plans will be audited. This is approx. 10% of all plans

Week 1 of month - SENDSARS data officer identifies at random 5 cases from previous month to be audited

1 x pre-5, 1 x secondary or post-16, 3 school age (primary or secondary)

Cases are added to audit tracker

SENDSARS data officer compile packs for identified cases.

To include: Final EHCP, all section K documents

Week 2 of month - SENDSARS data officer distributes individual packs to auditors and records detail on audit tracker. Sent via SENDassess&review@sheffield.gov.uk to SCC and NHS auditors. Sent via SFX to external auditors

1. Head of SEN; 2. SENDSARS Service Manager/0-25 leadership; 3. Principal EP; 4. Locality Lead Head (on rota); 5. Commissioners

Auditors complete audit within 2 weeks and return to SENDSARS data officer. Audit should take 1 hour to complete.

Auditors complete information on SEND case audit tool

Week 4 of month - SENDSARS data officer adds outcomes to Audit tracker and compiles monthly report to be distributed to:

Head of SEN, SENDSARS Service Manager, Principal EP, DCO, SEND Commissioner, Assistant director social care, Inclusion Programme Manager plus individual audit cover sheet to Inclusion Officer, Locality Manager, advice givers and school

Quality Assurance Audit process for SEND – EHC Plan annual review

All EHC Plans should be quality assured by locality managers in SENDSARS before being finalised following the annual review

Each month 10 EHC Plans where the annual review has been finalised will be audited. This is approx. 4% of all plans

Week 1 of month - SENDSARS data officer identifies at random 10 cases finalised from previous month to be audited. This may include plans where changes have not been made as well as those where plans are changed.

1 x pre-5, 2 x post-16, 7 school age (primary or secondary)

Cases are added to audit tracker

SENDSARS data officer compile packs for identified cases.

To include: Final EHCP, Previous EHCP, Annual review report and associated advice, section K documents

Week 2 of month - SENDSARS data officer distributes individual packs to auditors and records detail on audit tracker. Sent via Sent via SENDassess&review@sheffield.gov.uk to SCC and NHS auditors. Sent via SFX to external auditors

1. Head of SEN; 2. SENDSARS Service Manager/0-25 leadership; 3. Senior EP; 4. Maingrade EP ; 5. Health Commissioners; 6. Locality Lead Head ; 7. Citywide SENCO ; 8. Lifelong learning; 9. Early Years; 10. Care services

Auditors complete audit within 2 weeks and return to SENDSARS data officer . Audit should take 1 hour to complete.

Audit should consider both the advice and annual review report and whether this has been reflected in the final EHC Plan

Auditors complete information on SEND case audit tool

Week 4 of month - SENDSARS data officer adds outcomes to Audit tracker and compiles monthly report to be distributed to:

Head of SEN, SENDSARS Service Manager, Principal EP, DCO, SEND Commissioner, Assistant director social care, Inclusion Programme Manger plus individual audit cover sheet to Inclusion Officer, Locality Manager, advice givers and school

Quality Assurance Audit process for SEND – Multi-agency Audit

Each half term 5 newly completed EHC Plans will be audited by the multi-agency QA group.

This group will take 3 hours to complete. It will be chaired by the Principal EP and include representatives from SENDSARS, Education, Health, Care and parent groups. These will be different to the cases completed by individual audit but will receive the same papers

Prior to meeting - SENDSARS data officer identifies at random 5 cases from previous half term to be audited who have not been individually audited

Cases can be any stage or may be specifically requested as a stage by group

Cases are added to audit tracker

SENDSARS data officer compile packs for identified cases.

To include: Final EHCP, all section K documents, all panel cover sheets, name of inclusion officer

SENDSARS data officer distributes documentation to multi-agency quality assurance group before meeting. Sent via SENDassess&review@sheffield.gov.uk to SCC and NHS auditors. Sent via SFX to external auditors

Quality Assurance group meet to review cases jointly.

SEND case audit tool completed

Audit information returned to SENDSARS data officer

SENDSARS data officer adds outcomes to Audit tracker and compiles report to be distributed to:

Head of SEN, SENDSARS Service Manager, Principal EP, DCO, SEND Commissioner, Assistant Director social care, Inclusion Programme Manger plus individual audit cover sheet to Inclusion Officer, Locality Manager, Advice givers and school

Quality Assurance Audit process for SEND – Managing change

Lessons learnt from each audit route will be discussed via the Inclusion Change group meeting to share learning and ensure that the necessary service improvements from this learning are fed into the correct agencies. This meeting will be once per half term and last for an hour. As Quality Assurance moderator the Assistant Director, Education & Inclusion, will also be attend this meeting.

DIAGRAM of Audit process

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