

SEND Strategic Partnership Risk Log

8/6/23

Ref	Risk Description/Impact	Date Raised	Raised by	Likelihood	Impact	No.	Date	Mitigating Actions to Reduce Risk	Current Risk Score	Current Risk Category	When was risk last reviewed / updated?	Risk Lead
1	<p><b>Shortage of EPs locally and nationally</b> causing the service to <b>fail to meet statutory timescales</b> against significant increased demand for assessment particularly for pre-school children, <b>not delivering contracted sessions to schools</b>, impact on early intervention and prevention, recruitment and retention challenges, more assessments being done remotely. <b>This shortage affects the nationally published KPI around timeliness of assessment and the KPI included in the APP around timeliness of Educational advice.</b> Appointment of the PEP post is currently being held with Tina Axup acting PEP. 2 main grade and 1 fixed term Senior EP have resigned. EP team currently unable to produce any statutory advice within 20 weeks affecting KPIs and increasing complaints and unable to deliver commissioned school visits affecting their ability to meet income targets.</p>	01/07/2021	GB/CM	5 Almost Certain	5 Critical	i	Dec-22	Agreed that EPs will work to a 14 week deadline for advice rather than the usual 6 week	25	High	Dec-22	Tina Axup
						ii	Dec-22	Agreed that EPs do not have to attend EHC Multi Agency Panel each week			Dec-22	Tina Axup
						iii	Oct-22	Agreed that Locum EP contract could be extended for Summer Term			Dec-22	Tina Axup
						iv	Nov-22	Agreed to replan school visits for Spring Term in line with available EPs and negotiate a reduction if required			Dec-22	Tina Axup
						v	Dec-22	Agree to review the recruitment and retention package for EPs - GB proposal shared with HR and agreed to present paperwork to WTP in June			Jun-23	Tina Axup
						vi	Feb-23	Agreed to seek further Locum EP by raising a R2R and if approved pursuing through Hays. Two additional part time locums have been appointed to focus on backlog of assessments and provision of statutory advice			Apr-23	Tina Axup
						vii	Jun-23	Recovery plan bid prepared to ensure sufficient capacity moving forwards across SEND partnership but risk will be our inability to recruit despite improving the recruitment package due to national shortages			Jun-23	Gary Bloom
						viii	May-23	Agreed that Locum EP contract could be extended for Autumn Term subject to procurement agreement to extension			May-23	Tina Axup
						ix	May-23	WTP paperwork to recruit permanent Principal EP submitted				
2	<p><b>Available specialist skills and expertise to progress key areas of work</b> including Communications, Voice of Child/Co-Production, Self Evaluation Framework, Quality and Outcomes Framework, Inspection Preparation and Business Intelligence expertise. <b>This will mean that key areas of the Accelerated Progress Plan and SEND Strategy cannot be delivered in a timely manner meaning the APP will remain in place and an inspection under the new framework will be in 2023. Progress made following the WSOA will decline. We will not be suitable prepared for a SEND Area inspection under the new framework in 2023/24</b></p>		GB/AP/CM	5 Almost Certain	4 Major	i	Jun-22	Some of the work of the SEND Projects Officer and the Local Offer Team was reprioritised to support this work but it is not sustainable and does not provide sufficient capacity to complete all tasks in a timely manner	20	High	Dec-22	GB
						ii	Jun-22	The SEND Capacity review highlighted additional capacity but staff to support these areas of work were not agreed			Dec-22	GB
						iii						
						iv						
						v						
3	<p>Limited <b>Parent Carer Forum capacity</b> to engage fully in all programmes/projects. Placing too much pressure on too few to cover the full PCF remit. Meaning some tasks will have to be dropped causing a risk that PCF will come under continued challenge and scrutiny causing them to cease to exist</p>		GB/PJ	5 Almost Certain	5 Critical	i	Dec-22	Investigate with Contact the possibility of offering a 3 year contract to the PCF to enable them to confidently recruit a member of staff to support delivery in addition to the Social Media support already in place. Update- Agreed this can be done and the MOU updated accordingly	25	High	Jan-23	GB
						ii	Mar-21	Investigate premises to support SSIF - Alternatives were investigated but nothing was financially viable. SSIF content to work from Committee Rooms but storage remains an issue			Jan-23	GB/PJ

						iii	Jan-23	Agree a annual financial contribution across the 3 year period to ensure SSIF sustainability. Seek agreement to joint SCC/SICB funding			Apr-23	GB/CMc
						iv						
						v						
4	Staff turnover within SEND Team increasing due to challenges of role and ongoing requirement to work from home leading to vacancies whilst new staff are recruited. <b>Causing performance against KPIs to drop, phase transfer deadlines to be missed, increased parental complaints, tribunals and member activity, reputational risks.</b> Interim staff are unable to deal with the volume and complexity of role such as SEND Service Manager. <b>Staff burnout a real risk and goodwill of staff to work additional hours on an ongoing basis will be exhausted.</b> Additionally vacancy at Director Level and supporting new and Interim Staff has lessened Head of SEND's availability to deliver on some the risks identified in row 2 of the risk log		GB	5 Almost Certain	4 Major	i	Jun-22	SEND Capacity Review highlighted areas of pressure across the SEND Service. BTR funding agreed for 12 months to employ an additional EHCNA Officer and an EHCP Coordinator	20	High	Jan-23	GB
						ii	Sep-22	Interim expertise brought in from an Agency whilst recruitment was taking place to assist with the backlog of plans to be written and quality assured			Jan-23	Maria Clarke
						iii	Dec-22	Interim Tribunal Officer support brought in to support the third interim SEND Service Manager			Jan-23	CN
						iv	Dec-22	Request made for enhanced support from corporate Legal Services who currently provide very little education advice and support.			Jan-23	MM
5	Available <b>commissioner capacity for Southend SEND work programme</b> , draft structure released for consultation with scaled down resource for CYP functions. Lack of commissioner capacity for Southend SEND work programme means that the development of commissioning plans that enable service users and carers to exercise choice and control in relation to how their needs are met and that ensure value for money is not robustly adhered. We are not fully engaging and using market intelligence to inform our decisions and promote innovative approaches. We are not fully responding to the offer of resources regionally and nationally and as such missing out on various opportunities to develop programmes that meet the needs of children and their families. Effective project reporting and monitoring of benefit realisation is lessened by not having a commissioner associated to the SEND agenda from an LA prospective		AP/CM	5 Almost Certain	3 Moderate	i	Jan-21	Additional support in this area was requested to senior management but recognition that there was increased demand across the system meant that this was not progressed	15	High		
						ii		Review of existing staffing/establishment across the Department (Education, CSC, and Public Health) to review resources and how additional capacity (medium to long term) can be developed and/or shared				
						iii						
						iv						
						v						
6	Delay in consultation and publication of the <b>Southend SEND Partnership Strategy</b> to accommodate any potential outcome from the Members Peer Review. <b>This will mean the APP will not be able to be cleared</b> , providing reputational risk and risk of early inspection under the new framework.		GB	4 Likely	4 Major	i	Jun-22	Work closely with SSIF over summer period to ensure that Strategy incorporates all appropriate parental feedback and is written in parent friendly language	16	High	Jan-23	SEND Scrum
						ii	Nov-22	Attend Scrutiny Committee November 22 to respond to Member Queries regarding strategy			Jan-23	Gary Bloom
						iii	Jan-23	Provide support to Members Working Group to resolve their issues with the Strategy to gain approval in Feb 23			Jan-23	Gary Bloom
						iv	Jan-23	Revise strategy to incorporate working group revisions and resubmit to Executive Briefing and Cabinet for approval			Jan-23	Gary Bloom
						v	Jan-23	Issue executive summary of Strategy Feedback on Your Say Southend so parents can see what the comments were and where they were incorporated into the Strategy			Jan-23	Carron Jacobs
7	Timeline extended for the <b>Balance System therapies programme</b> - complexity of the programme initially understated		RG			i						
						ii						
						iii						

	(Essex wide programme) and acute system pressures limiting active provider participation					iv									
						v									
8	<b>Neu Approach Pathway</b> launch paused following pilot		CM			i						Moderate	High		
						ii									
						iii									
						iv									
						v									
9	Not gathering <b>pupil voice</b> sufficiently to influence strategy or service improvements		GB/AP/CM	4 Likely	4 Major	i		SEND Local Offer Team giving additional focus to gathering the voice of the child regarding the SEND Strategy						Jan-23	CJ
						ii	Nov-22	Discuss with Tara Poore taking on lead role for the Voice of the Child Group - Agreed to take on work but concerned about age range of pupils covered						Jan-23	GB
						iii	Apr-23	Discuss with Multi Schools Council potential ongoing involvement in supporting pupil voice in Southend				16	High	Jan-23	RG
						iv									
						v									
10	Significantly Increased volume of <b>EHC Needs Assessments</b> and no additional staff will impact our ability to meet the KPI around timeliness leading to complaints/tribunals and member activity, reputational risk with parents and schools. Risk exaggerated by established staff member leaving after a prolonged notice period		GB	5 Almost Certain	4 Major	i	Nov-22	BTR funding requested for an additional EHCNA Officer but 5 month delay in resignation/appointment lead to one person trying to do the work of 3 and plans completed on time dropping from 95% to 50% with a significant backlog to clear						Jan-23	GB
						ii	Nov-22	Interim Agency Support brought in to support plan writing						Jan-23	GB
						iii	Feb-23	Third EHCNA Officer to start in Feb				20	High	Jan-23	GB
						iv	Feb-23	Approval sought and granted to extend the secondment of the acting Casework Manager for a further 6 months when the substantive post holder returns from maternity leave to enhance management capacity around assessments and school age case work						Jan-23	GB
						v	Feb-23	Agreement from DfE that we can process some plans out of sequence to ensure that some plans are completed on time Jan - Mar 23						Jan-23	GB
11	<b>Increased Tribunal Activity</b> and lack of legal support to prepare an present cases. Significant increase in the number of tribunals mean the work involved is too great to be absorbed into the SEND Service Manager role. Interim staff have not been able to cover of the work and the full role, other SEND staff do not have the capacity or knowledge to fully cover the work. Causing us to concede or lose tribunals and having to issue plans deemed unnecessary by panel or allocate scarce special school places to pupils who panel felt did not merit them.		GB	4 Likely	4 Major	i	Jan-23	Interim Tribunal Officer support brought in to assist the third interim SEND Service Manager						Jan-23	GB
						ii	Jan-23	Request made for enhanced support from corporate Legal Services who currently provide very little education advice and support.						Jan-23	MM
						iii	Dec-22	Interim SEND Service Manager instructed to focus on legal work and tribunal activity for first month in role				16	High	Jan-23	GB
						iv	Feb-23	Commissioning additional places at 3 special schools over and above that originally agreed for ESFA return to secure places for appropriate reception age pupils						Jan-23	GB
						v	Apr-23	BTR request to recruit tribunal officer on a 12 month contract						Apr-23	GB

12	Reprocurement of <b>Open Objects EHC Hub</b> concerns that any newly procured system will require significant migration from the EHC Hub and sufficient time to achieve this has not been factored into the reprocurement. Reputational risk that the current provider is reproced when there is some dissatisfaction with the current system with schools and parents.		GB	3 Possible	2 Minor	i	Jan-23	Head of SEND involvement alongside SEND Project Officer to ensure procurement via G Cloud	6	Low	Jan-23	GB
						ii	Feb-23	Evaluations taking place during February half term			Jan-23	GB/CJ/CN
						iii	Feb-23	Provide HUB advice as part of SEND Surgeries for Parents and attend SSIF, STRM, Little Heroes Coffee mornings to provide advice and guidance			Jan-23	CJ
						iv						
						v						
13	Reprocurement of Livewell Southend including <b>SEND Local Offer</b> risk that the reproced product will not be sufficiently flexible to accommodate the requirements of CYP/Parents and will not be sufficiently standalone from SCC Website. Reputational risk but also Inspection Risk if new Local Offer is not seen as an improvement of current system		GB	3 Possible	3 Moderate	i		Work closely with Project Manager to ensure Local Offer requirements are front and centre of the reprocurement process	9	Moderate	Jan-23	GB/CJ
						ii		Ensure any redesign is managed through LORG process and is coproduced with CYP and Families			Jan-23	CJ
						iii		Redesign LORG to have group that concentrates more explicitly on Local Offer Website and content			Jan-23	CJ
						iv						
						v						
14	Limited resources and <b>Short Beaks Offer</b> - The local authority has a statutory duty as part of the range of services they provide for families, breaks from caring to assist parents and others who provide care for disabled children to continue to do so, or to do more effectively and as such improve the quality of care provided to children with a disability. Currently our offer is viewed as limited and does not fully meet the needs of children and their families. The resources (financial and other) are limited as is not reflective of the needs associated to this cohort. Short Breaks is not directly/officially associated to any service within CSC and as such has bot been robustly reviewed and developed to meet the growing needs of the population in the local area. The risk associated to the lack of an effective provision is that the LA is not adhering to its statutory obligations, the needs of children and their families are not being met, lack of early intervention, escalation to specialist services and tiers, children not meeting their educational potential		AP	4 Likely	3 Moderate	i		DFE innovation bid completed March 2022 – this was not successful	12	Moderate	Dec-22	AP
						ii		DFE innovation bid completed November 2022 – awaiting response; due 16 January 2023			Dec-22	AP
						iii		Review of existing resources across the Local Area to review resources and review current local and regional activities that may broaden our offer			Dec-22	AP
						iv						
						v						
15	<b>Member Understanding and influence</b> on the SEND System. Cllr queries and requests for information placing significant additional workload for officers. Members delaying progress of key documents and commissioning additional scrutiny putting additional pressure on officers leading to reputational risk and supports the APP remaining in place and increased risk of early		GB/AP/CM	5 Almost Certain	5 Critical	i	Jan-23	Provide two sessions of member training in line with topics requested by members - Data and information about Southend and myth busting and how SEND is funded to provide members with key signposts and advice for constituents	25	High	Jan-23	BM
						ii	Apr-23	Design an ongoing member training programme with input from right across the SEND partnership that will have an impact on members understanding of SEND issues			Apr-23	EH/GB

	inspection under new framework					iii	Jan-23	Provide timely responses to all member queries regarding the SEND Strategy and Scrutiny review of SEND			Jan-23	MM/GB
						iv	Mar-23	Attend scrutiny sessions to consider, Coproduction, member training, SEND Network, parent voice			Apr-23	GB/CJ
						v						
16	Limited special school places available in Southend , increased demand despite significant % above national average are placed in special schools in Southend. Significant demand for places but schools unable to admit will lead to increase independent school places (budget pressure) or CYP not getting their needs met in mainstream schools of bases. Risk of increased number of EOTAS packages and EHE. Increasing Special School places will risk Southend mainstream schools not including pupils that can succeed in mainstream school.	GB/Education Board	5 Almost Certain	4 Major		i	Jan-23	Continue to work towards establishing 4 primary and 2 secondary ARBS - further request to Heads to nominate to host at primary and secondary association meetings in Jan 23	20	High	Jan-23	GB
						ii	Feb-23	Meet with Special School Heads to commission additional places outside those agreed with SEN Trust Southend at annual commissioning cycle. Seek agreement of Finance lead to fund outside of ESFA from Council budget with paper for June Education Board.			Jan-23	GB
						iii	Apr-23	Investigate potential expansions at St Christopher (onsite and split site) and Kingsdown (onsite). Contact made about potential former Viking Avro Site			Apr-23	GB/JM/Alan Richards
						iv	Apr-23	Contact made with PLT around taking on Alleyn Court Thorpe site			Apr-23	GB
						v	Mar-23	Paper for Education Board to be prepared			Mar-23	GB/JM
17	Limited number and range of mainstream resource base places available in Southend - Causing parents who do not want a mainstream with support place to seek a special school place causing significantly increased demand for special school places which outstrips capacity (see risk 16 above)	GB/Education Board	3 Possible	3 Moderate		i	Jan-23	Continue to work towards establishing 4 primary and 2 secondary ARBS - further request to Heads to nominate to host at primary and secondary association meetings in Jan 23	9	Moderate	Apr-23	GB/SOPHA/S OSA
						ii	Jan-23	Link into Inclusion task and finish group to investigate further resource base options/solutions			Apr-23	GB
						iii	Feb-23	Discuss with existing Learning Resource Base potential for expansion			Apr-23	Maria Clarke/GB
						iv	Feb-23	Discussions with Cullum Trust around establishing Cullum Centres in Southend			Apr-23	SG/GB
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