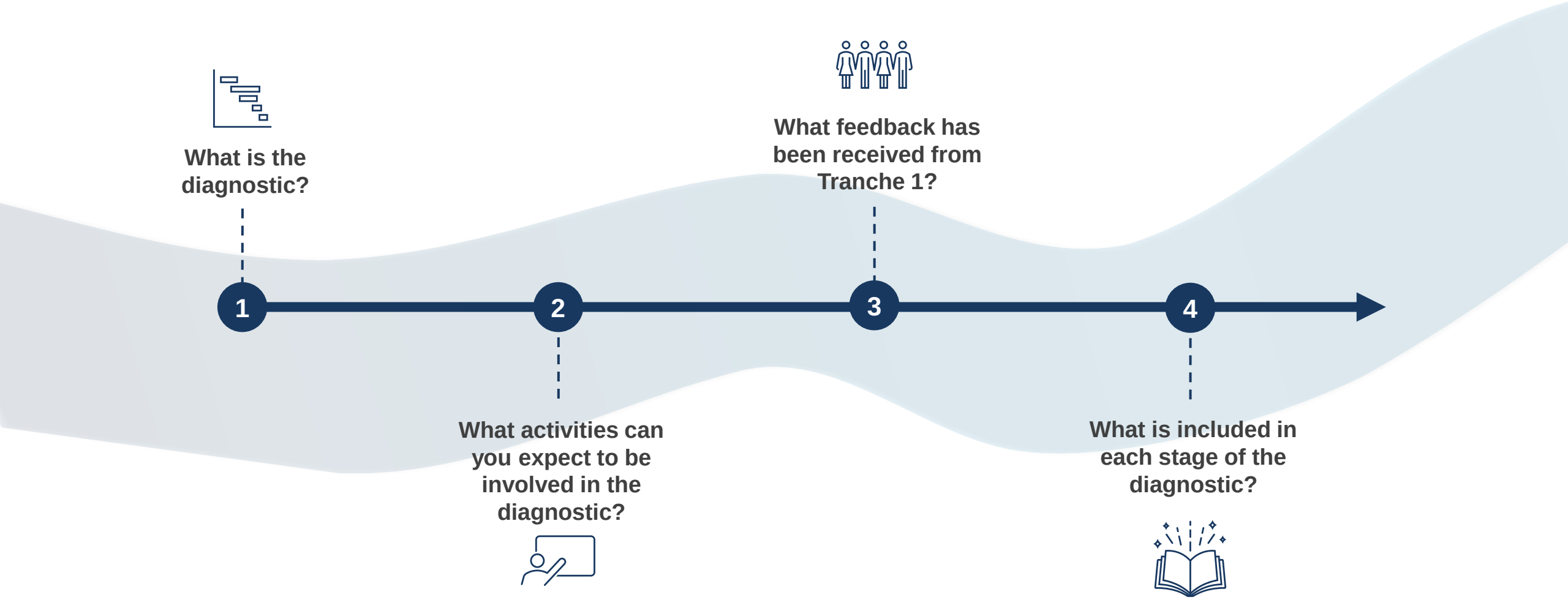
DBV Diagnostic Tranche 3: Early Introduction

DBV
Improving outcomes for children and young people with SEND

Pack Contents



What is the diagnostic?

01

DBV Diagnostic: The Objective & Approach

DBV Programme Objective

Delivering Better Value (DBV) is a programme working to **identify and implement** local and national opportunities to **improve the outcomes** for children and young people with SEND

In order to achieve this we know;

The child or young person must remain at the centre of everything we do.

We must listen to the challenges from the perspective of those receiving support from the system.

Collaboration is key, with your neighbours, partners and the children and families you support.

Funding is a challenge and key source of frustration that should be considered throughout the planning.

Therefore the DBV programme is designing its support through 2 key approaches;

Short Term Help

To identify **sustainable changes in each LA** that can drive **high quality outcomes** for children and young people with SEND, and to support you in building an evidence-based **grant application** to assist the implementation of those changes

Informing Long Term Reform

Build an objective evidence base across a third of the sector, which can be used to:

- **Inform future policy** and reform
- Build a **national playbook** & share best practice
- Inform **future national programmes** of similar scale and intent

DBV Diagnostic: The Objective & Approach

WHAT IS THE DBV DIAGNOSTIC?

The diagnostic will help you **identify sustainable changes** in your LA that can drive **high quality outcomes** for children and young people with SEND, and to support you in building an **evidence-based grant application** to assist the **implementation** of those changes

Participative Process

The process is designed to engage and excite your workforce, local stakeholders and partners, including parent-carers, children and young people, healthcare providers and education providers

Tailoring an Evidence Base

The process will give you a bespoke and tailored evidence base to give your ongoing improvement activities the best possible chance of success

Grant Application

The process is working towards building a grant application for investment to support you through Phase 2 (Implementation)

HOW IS THE DIAGNOSTIC DELIVERED?

The diagnostic is delivered through a **modular approach**, incorporating training, data analysis and engagement activities

This is not a ‘one size fits all’ approach – support is **tailored** to each Local Authority, within this framework, to ensure everyone receives the best outcome

Evaluation & Setup → **Module 1:** Baselines and Forecasts → **Module 2:** Root Cause Diagnostics → **Module 3:** Implementation Planning → Grant Application

Linking Financial & Operational Performance

From the very **beginning**, you will make use of **your data** to link **financial and operational performance**, to ensure a **sustainable** service can be delivered into the future

In-Person Training

Tactical training will be delivered within groups of Local Authorities (waves), allowing **multiple Local Authorities** to come together to **share expertise,** learn from each other and support each other through the process

Engagement Activities

Case reviews and deep-dive activities will be completed engaging all relevant system stakeholders, allowing a multi-disciplinary and co-productive approach to be taken

DBV Diagnostic: Aims & Objectives

Objective: *To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application*

Evaluation & Setup → **Module 1:** Baselines and Forecasts → **Module 2:** Root Cause Diagnostics → **Module 3:** Implementation Planning → Grant Application

In support of your grant application, we'll work with you to demonstrate the evidence needed to meet the **End of Phase 1 criteria** (either through the completion of the modules or submission of pre-existing evidence). This evidence base will need to be supplemented by an investment case for the grant monies.

END OF PHASE 1 CRITERIA

Where possible, local partners & stakeholders have been involved in designing the implementation plan and have been briefed on it

Enabled by Evaluation & Setup

Relationships with local partners and stakeholders are understood

A clear **plan to engage** local partners and stakeholders

The implementation plan has been **co-produced and socialised** with local partners and stakeholders

You know how the impact on key measures will profile over time

Enabled by Module 1 outputs

Clear **profiles of spend** and **numbers of children** receiving different support **in future mitigated and unmitigated positions**

Reasonable **calculations and assumptions** to generate the profiles

You know what to change to have the biggest impact on key measures/outcomes

Enabled by Module 2 outputs

Sufficient **evidence to determine the priority local changes**

Identified biggest impact areas based on **opportunity for improvement and feasibility**

You know the conditions required for a successful implementation and have a plan to meet those conditions

Enabled by Module 3 outputs

Resource required to deliver the implementation is known and there is an approach to secure it

Digital infrastructure required is known and there is an approach to deliver it

Governance for implementation mapped out, decision makers bought in and owners agreed

You have a realistic activity plan to implement the high impact changes

Enabled by Module 3 outputs

Defined workstreams within overall implementation plan

Activity plan per workstream with **clear milestones and expected completion dates**

Risk analysis of implementation plan, with mitigating actions devised

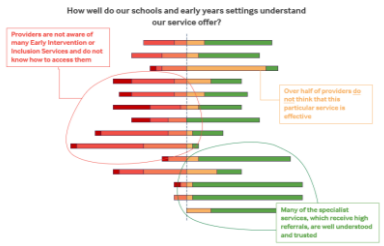
DBV Diagnostic: Illustrative Local Authority Experience

Identify Priority Areas

Understand historical trends and use these to identify priority areas

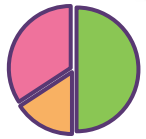
Understand the Gap

Use deep-dives to understand how to address the largest issues



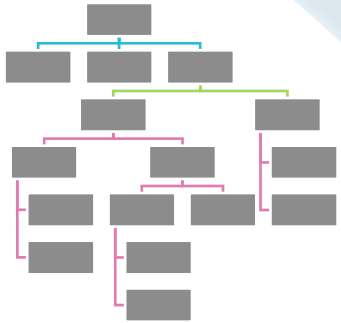
Define the Future Opportunity

Summarise the target total opportunity projected into the future



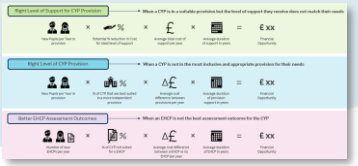
Define What Good Looks Like

Use case reviews to define breakdowns of non-ideal journeys and system barriers



Define the Opportunities

Create an opportunity matrix laying out opportunity areas and potential improvements



Create the Plan

Identify the enablers (people etc) and pull together a plan to realise the opportunities

Module 1 **Module 2** **Module 3**

Grant Application

What sort of sessions can be expected?

02

DBV Diagnostic: Module Sessions

Evaluation & Setup	**Module 1:** Baselines and Forecasts	**Module 2:** Root Cause Diagnostics	**Module 3:** Implementation Planning	Grant Application
Indicative Timeframes*: 2-3 months	3 weeks	6 weeks	6 weeks	2 weeks

Evaluation & Set-Up

Sharing Data Request

Representative **from Business Intelligence**, Financial Analysis or SEND Analysis teams

System wide DBV Kick-Off Day

(2hr virtual)

SEND Lead, any **Local Area representatives** who will be participating in the diagnostic (incl. LA, Education, Health, Parent/Carers)

Module 1

Training (2 days in-person)

Representatives from **Finance teams** with understanding of financial data, **Budget Holders** from the Service, **SEND Lead**

Holding BI/Finance Team Time (1hr/day)

Representatives from **Business Intelligence** and **Finance** teams with understanding of financial data plus **Budget Holders** from the Service

CIPFA Documentations (8hrs total)

Representatives from **Finance teams** with understanding of financial data, **Budget Holders** from the Service, **SEND Lead**

CIPFA Reviews (2 x 1hr sessions)

Finance teams, **SEND Lead**

Module 2

Training (2 days in-person)

2-5 representatives from **Business Improvement** roles (or **practitioners** involved in improvement), including **SEND Lead**

Holding BI/Finance Team Time (1hr/day)

Representatives from **Business Intelligence** and **Finance** teams with understanding of financial data plus **Budget Holders** from the Service

Case Reviews (3 x 4hr sessions)

Representatives from training as **facilitators**, 2-5 representatives from each of the following groups: LA, Education, Health, Parents/Carers

Deep-Dives (2 hr sessions TBD)

Representatives from case reviews to facilitate, plus required subject matter experts in deep-dive topics

Module 3

Kick-Off (2hr virtual)

Delivery leads, project manager, change leads (likely to be identified in Module 2)

Designing Implementation

(2hr virtual)

Delivery leads, project manager, change leads (likely to be identified in Module 2)

Consolidation Session

(1/2 day in-person)

Delivery leads, project manager, change leads (likely to be identified in Module 2)

Playback Days/Grant Clinic

(2 days in-person)

Delivery leads, change leads & finance team

Weekly Check-In with DBV Team

(30 mins weekly virtual)

Nominated SEND Lead

End of Module DCS/151 Briefings

(3 x 1hr virtual)

SEND Lead, 151 Officer, DCS representative

Check-Ins with Local Steering Groups

(As Required)

Local Authority representatives as usual in each group

Regular Time with Local Partners

(As Required)

Local Authority representatives with existing relationships

**Timeframes are purely indicative and are constantly under review as we learn from Tranches 1 and 2*

Getting Set-Up: Data Return & Getting Our Data Ready

- You will receive information about your **data grant** over the coming weeks, which will aid you in finding resource to help complete the **data return** in Spring 2023
- You may have heard from other Local Authorities completing the data return that it can be challenging, as the return may require data to be in a different format to how it is stored within your Local Authority
- Following feedback from Tranche 1 the format has been edited to align with the SEN2 data request, as well as being easier to complete
- The earlier you can begin the process, the easier it will be to complete in a timely fashion, and the smoother you will be able to enter into the diagnostic process
- Do not worry about taking action now!

What feedback has been received from Tranche 1?

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Tranche 1 Feedback

Module 1

92% of responses thought the **overall training delivery** was exceptional, very good or good

94% of responses thought the **level of engagement** was either exceptional, very good or good

Module 2

92% of responses thought the **overall training delivery** was exceptional, very good or good

97% of responses thought the **level of engagement** was either exceptional, very good or good

> **Everything you've said has resonated with everyone – it's amazing to see how many common themes there are across the different LAs**

> **We rarely get dedicated time to think about the big picture in our day to day, so [this training] has been so helpful in taking a step back**

> **What's been so interesting over the past few days has been the focus on ideal outcomes for the child**

> **The exercise you've done is the first time we've linked our financial data to our operational data**

What is included in each stage of the diagnostic?

04

DBV Diagnostic: The Objective & Approach

DBV Programme Objective

To identify local and national opportunities to **improve the outcomes** for children and young people with SEND

In order to achieve this we know;

The child or young person must remain at the centre of everything we do.

We must listen to the challenges from the perspective of those receiving support from the system.

Collaboration is key, with your neighbours, partners and the children and families you support.

Funding is a challenge and key source of frustration that should be considered throughout the planning.

Therefore the DBV programme is designing its support through 2 key approaches;

Short Term Help

To identify **sustainable changes in each LA** that can drive **high quality outcomes** for children and young people with SEND, and to support you in building an evidence-based **grant application** to assist the implementation of those changes

Informing Long Term Reform

Build an objective evidence base across a third of the sector, which can be used to:

- **Inform future policy** and reform
- Build a **national playbook** & share best practice
- Inform **future national programmes** of similar scale and intent

DBV Diagnostic: What will the ‘Short Term Help’ look like?

Short Term Help

To identify **sustainable changes in each LA** that can drive **high quality outcomes** for children and young people with SEND, and to support you in building an evidence-based **grant application** to assist the implementation of those changes

Informing Long Term Reform

Build an objective evidence base across a third of the sector, which can be used to:

- **Inform future policy** and drive legislative and funding changes
- Build a **national playbook** & share best practice
- Inform **future national programmes** of similar scale and intent

This pack is designed to give you in LAs **some initial information** on what the **diagnostic support** will look like and the **activities** we will need to ensure have taken place before the diagnostic begins.

❑ What DBV Diagnostic Support Is:

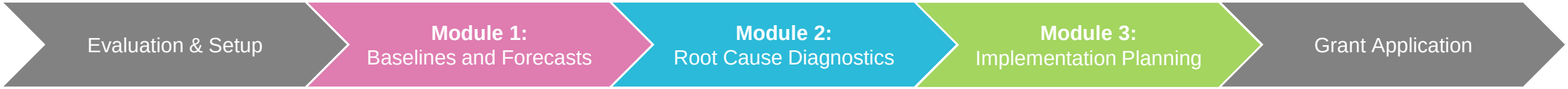
- A **participative process** designed to engage and excite your workforce, local stakeholders and partners, while giving you a bespoke and tailored **evidence base** to give your ongoing service **improvement activities** the best possible chance of success
- Collating evidence on best practice in the sector and shared, thematic challenges
- Build a **grant application** for investment to support Phase 2 (Implementation)

❑ What DBV Diagnostic Support Will Help You Plan For:

- Designing, with frontline staff and CYP/parent/carer networks, the solutions to the biggest problems
- Measuring the impact and iterating in a safe environment
- Adapting the solutions to the needs of individuals, teams or localities
- Creating the assurance and governance mechanisms to assure local adaptations
- Supporting all the relevant staff across the system to work in the new way on an ongoing basis as business-as-usual

DBV Diagnostic: Why have we designed these modules?

Objective: *To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application*



We have developed the 3 modules you see above as we think these are critical to ensuring you can identify sustainable changes that will drive high quality outcomes for CYP, and support you in developing your grant application.

But why?

Module 1 – In order to understand the **volume** and **type of support** your CYP have been achieving historically, and what that might look like going forward we need to build a **baseline** and **forecasts**. We also want to see what this could look like if the changes identified in module 2 were successful.

Module 2 – To have a sustained impact on your CYP outcomes we need to dig into the **root cause** of why it has been **difficult** to achieve the high quality outcomes we want previously. We need to perform **detailed analysis** on data sets, review cases, listen to those experiencing and working in the system and conduct deep dives to understand the root causes of the issues in more detail.

Module 3 – To ensure LAs can practically implement solutions to the root causes we discover from module 2, we need to understand how **'ready'** the people, processes and systems are for change.

Grant application – In order to give you the best chance at securing the **necessary funding** to deliver on your plan we will support you to put this evidence into a grant application that is evidence led.

DBV Diagnostic: Modular Objectives and Activities

Objective: *To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application*

Evaluation & Setup | **Module 1:** Baselines and Forecasts | **Module 2:** Root Cause Diagnostics | **Module 3:** Implementation Planning | Grant Application

Objectives

- Understanding work you already have underway
- Agreeing your detailed **diagnostic plan** (which of the modules and activities you will be receiving)
- Agreeing the plan for Local Area **stakeholder engagement** throughout in order to maximise co-production (across CYP, Education, Health, Parent/Carers etc.)
- Supporting you to **setup** everything that's needed to undertake your tailored diagnostic

Key Activities

- Sharing and discussion of **existing diagnostic outputs** as required
- Local area **stakeholder mapping** and engagement planning
- Weekly sessions to review setup
- **Kick-off day***

Objectives

- Developing a single model that links historic and future **operational and financial performance**, with the ability to **quantify** the impact of different initiatives on key measures and build the foundation to identify root causes in Module 2

Key Activities

- Module 1 training days*
- Baselining key variables*
- Creating forecasts*
- Building a template of quantified and prioritised opportunities*
- Accounting practice assessment*

Objectives

- Supporting you to **identify and quantify** the highest impact **changes** that could be made to deliver **better outcomes** for children and improved **financial sustainability**
- Engage and excite your workforce, local stakeholders and partners

Key Activities

- Module 2 training days*
- Capacity and demand mapping and analysis*
- Pattern of occurrence and variation analysis*
- Case reviews
- Local Area partner interviews
- Root cause investigations
- Best practice identification

Objectives

- Understanding the system's **readiness for change** and its ability to use data and information to drive operational improvement
- Supporting you to build findings into an **effective implementation plan** that delivers the opportunities identified at pace and mitigates risk, building upon existing programme management practices (this will be incorporated into any existing plans)

Key Activities

- Module 3 training days*
- Readiness for change assessment*
- Behavioural impact analysis
- Partnership working assessment*
- Designing the programme architecture
- Creating a comprehensive implementation plan
- Risk identification and mitigation
- Creating an effective governance structure

Objectives

- Supporting you to produce an **evidence-based grant application** using the output of the modules

Key Activities

- Compilation of evidence
- Drafting of investment proposal for grant monies
- Submission of application to DBV Programme Board

* Action required in setup checklist

DBV Diagnostic: Engagement in the process

Objective: *To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application*

Evaluation & Setup | **Module 1:** Baselines and Forecasts | **Module 2:** Root Cause Diagnostics | **Module 3:** Implementation Planning | Grant Application

This insight can not be gathered from datasets alone, and therefore will require a number of stakeholders to be engaged through this process to gather the knowledge and experience to identify opportunities in your area. Below we have indicated the types of engagement we will be supporting you to conduct through the different stages, and will aim to make use of existing forums you have in place to conduct these engagements where possible;

Engagement

- Local authority staff and partners engaged with overview and objectives of the DBV diagnostic
- Steering group and working group set up to support throughout diagnostic and identify groups to engage with
- Onboarding of those who will have lead roles (e.g comms, finance, voice of the person, workshops, data)

Engagement

- Finance and service staff engagement with training and modelling activity
- DCS and S151 review of module output

Engagement

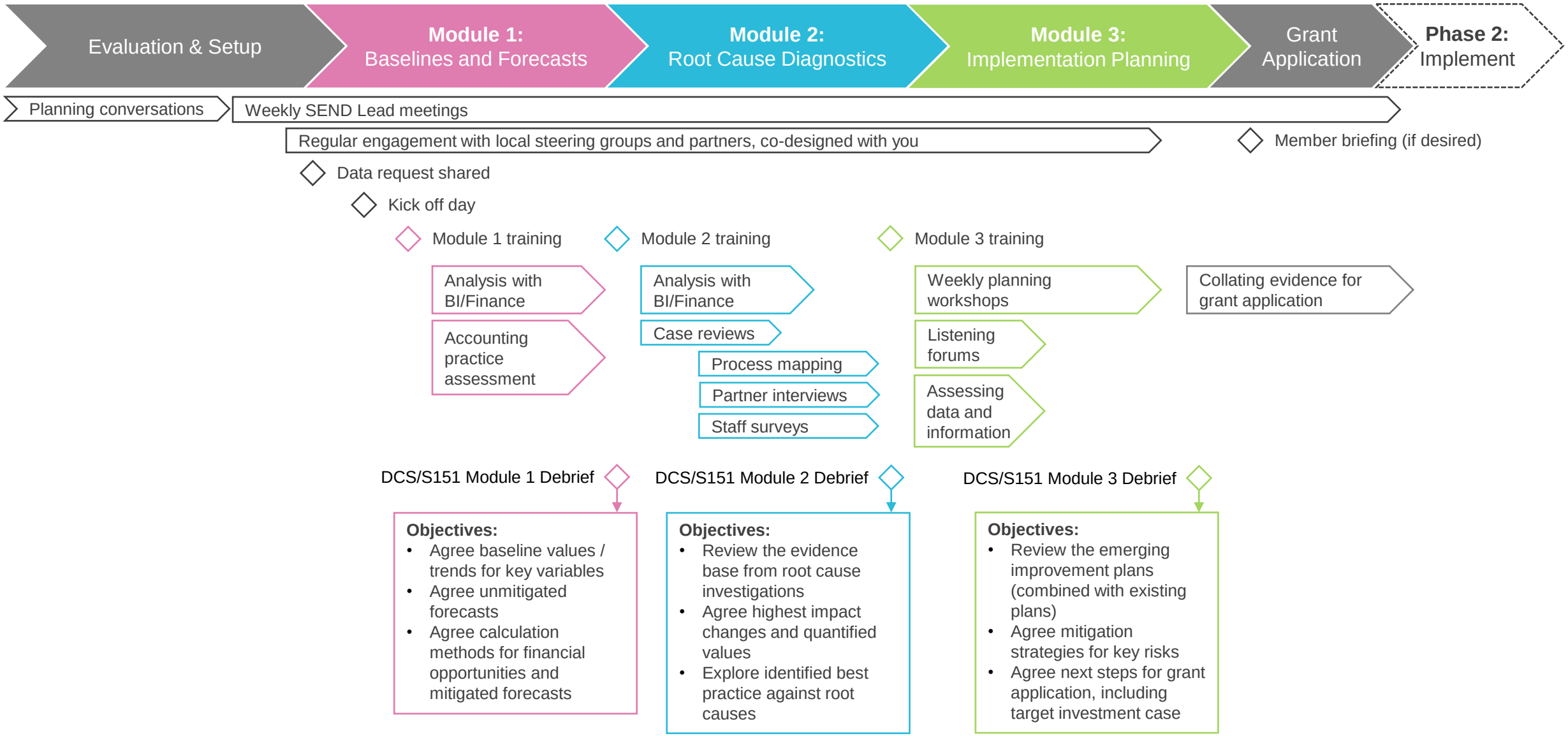
- Case review workshops with representatives from education providers, health, Parent/carer networks
- Local area partner interviews with education providers, health. Parent/carer networks
- Small group discussions to understanding root cause of challenges identified in case reviews, interviews and data analysis
- Process mapping with frontline staff
- Regional networks to discuss best practice
- DCS and S151 review of module output

Engagement

- Listening forums and surveys with partners to understand readiness for change
- Management information colleagues to understand system and data sharing practices
- ‘Forward planning’ workshops for steering group to agree next steps and action plan
- DCS and S151 review of module output
- Feedback to local authority staff and partners on key findings from diagnostic

DBV Diagnostic: Illustrative Local Authority Experience

Objective: *To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application*



DBV Diagnostic: Module 1

Objective: *To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application*

Evaluation & Setup | **Module 1:** Baselines and Forecasts | **Module 2:** Root Cause Diagnostics | **Module 3:** Implementation Planning | Grant Application

Diagnostic Activities: Producing Operational and Financial Baselines and Forecasts

- ❑ **Baselining Key Variables**
  Why? To create a quantified view of historical performance in key operational measures (e.g Number of pupils in need categories, , EHCP growth), to understand historical spend and provide a basis for forecasts
  How? Alongside relevant Finance and Service staff and using pre-existing tools and templates developed by the programme, analysing historical performance of key operational measures, agreeing appropriate baseline methods and calculating baselines

- ❑ **Creating Forecasts**
  Why? To understand likely future movement of key operational measures in mitigated (linked to diagnosed high impact changes) and unmitigated scenarios and how this translates into financial forecasts (e.g. DSG deficit)
  How? Alongside relevant Finance and Service staff, and using pre-existing tools and templates developed by the programme, agreeing appropriate forecasting methods to extrapolate operational measures from agreed baselines and applying assumptions at the root-level (informed by diagnostic activities) to produce mitigated forecasts. Forecasting exercises include provisioning for current inflation rates, forecasting demand by need type and modelling the impact on provision requirements

- ❑ **Building a Template of Quantified and Prioritised Opportunities**
  Why? To summarise opportunities for improvement in outcomes and financial savings against key areas of service delivery
  How? Alongside relevant Finance and Service staff and using pre-existing tools and templates developed by the programme, designing calculation methods which build on information from the baselining and forecasting exercises, including assumptions informed by the diagnostic activities, in order to quantify opportunities

- ❑ **Accounting Practice Assessment**
  Why? To ensure consistency of accounting practice with national guidance
  How? Receiving advice through detailed reviews of DSG accounts with CIPFA consultant

Outputs

This module will help you to:

Create clear baselines and trend analysis, over up to a 5 year historical and forecast period, of key operational and financial variables

Create forecasts of key operational and financial variables, mapping through to relevant budget lines. The forecasts will include unmitigated scenarios and also the mitigated forecasts based on evidence gathered in Module 2

Produce a table showing the expected operational and financial impacts of changes identified in Module 2

DBV Diagnostic: Module 1

Objective: *To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application*

Evaluation & Setup | **Module 1:** Baselines and Forecasts | **Module 2:** Root Cause Diagnostics | **Module 3:** Implementation Planning | Grant Application

Illustrative Outputs: Producing Operational and Financial Baselines and Forecasts

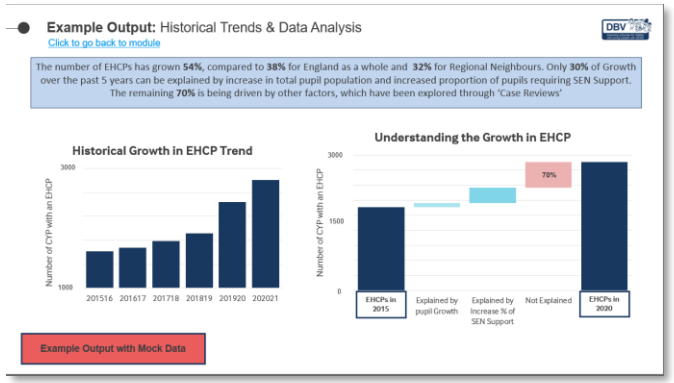
(Click icons to see more)

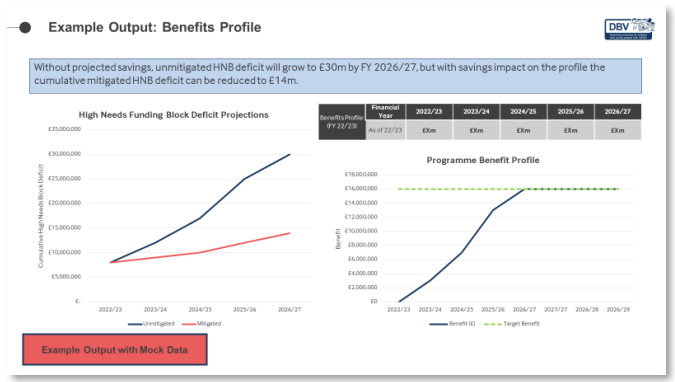
Example Output: 'Opportunity Matrix'

SETTING	AREA OF OPPORTUNITY	VALUE	% of SPEND	EN-ABLERS
MAINSTREAM	THE RIGHT LEVEL OF CYP IN MAINSTREAM	£ 2-3M	~10%	
	THE RIGHT LEVEL OF PROVISION FOR CYP IN MAINSTREAM	£ 1M		
UNITS	THE RIGHT LEVEL OF CYP IN UNITS	£1-2		
	THE RIGHT LEVEL OF PROVISION FOR CYP IN UNITS	£0.5M		
SPECIALIST SETTINGS	THE RIGHT LEVEL OF CYP IN SPECIALIST SETTINGS	£ 6-12M	~30%	
	THE RIGHT RATIO OF CYP SUPPORTED IN LA AND INDEPENDENT SPECIALIST PROVISION	£ 5M		
	THE RIGHT UNIT COST OF ISP	£ 0.5M		
REVIEWS	THE RIGHT LEVEL OF SUPPORT IN MAINSTREAM AND UNITS AFTER REVIEWS	£ 0.5M	~3%	
	THE RIGHT LEVEL OF SUPPORT IN SPECIALIST SETTINGS AFTER REVIEWS	£0.5M		
TOTAL HNB		£ 17-25M		

In order to deliver benefits, the system requires: Aligned System Vision, Improved Relationships with Parents and Carers, Right Capacity in Key Services, Performance Culture & Behavioural Change, Enhanced Digital and Data Usage

Example Output with Mock Data





DBV Diagnostic: Module 2

Objective: *To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application*

Evaluation & Setup | **Module 1:** Baselines and Forecasts | **Module 2:** Root Cause Diagnostics | **Module 3:** Implementation Planning | Grant Application

Diagnostic Activities: Identifying the changes that will have the highest impact on your CYP outcomes

- ❑ **Capacity and Demand Mapping**
  Why? To identify opportunities for operational improvement, based on capacity constraints or demand management in the system
  How? Process mapping interviews with key individuals in service delivery, data analysis to identify capacity and demand at each point

- ❑ **Pattern of Occurrence and Variation Analysis**
  Why? To identify opportunities for operational improvement based on analysed patterns of occurrence and variation across the service
  How? Initial analysis in a template tool using the standard data schedule, followed by detailed analysis to explore areas of interest

- ❑ **Case Reviews**
  Why? To identify opportunities for improvement based on real cases and where they have deviated from the ideal journey for the CYP
  How? Retrospective reviews of real cases, conducted by groups from across the Local Area (incl. education providers, parent/carers, Health)

- ❑ **Local Area Partner Interviews**
  Why? To identify opportunities for improvement by supplementing analysis with lived experience from local area partners
  How? DBV team interviews with nominated representatives from education providers, Parent/Carers, Health

- ❑ **Root Cause Investigations**
  Why? To investigate identified opportunities in greater depth, seeking to identify and quantify the impact of root causes
  How? Varies depending on the identified opportunities, includes data analysis, shadowing of staff, surveys of staff and/or partners etc.

- ❑ **Best Practice Identification**
  Why? To identify potential improvement initiatives through relevant best practice aligned to the identified root causes
  How? Utilising national and regional networks, as well as DBV work to date, to identify best practice which has been shown to have a positive impact on the root causes which have been identified during the DBV diagnostic

Outputs

This module will help you to:

Build an evidence base that identifies the potential performance of key operational and financial indicators and the high level changes that would need to be made to deliver that performance

Build an evidence base that identifies the detailed, practical changes that would need to be made to deliver the potential operational and financial performance identified

Engage and excite your workforce, local stakeholders and partners

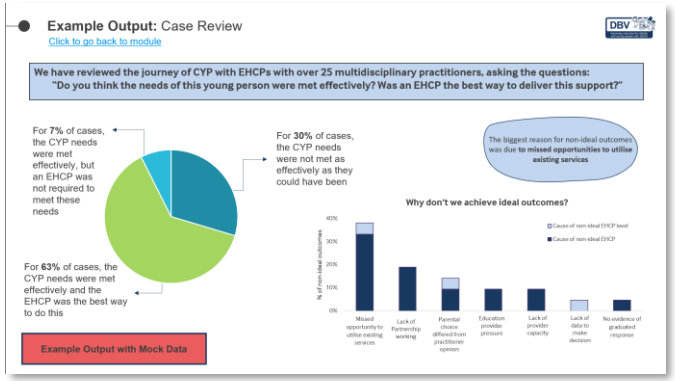
DBV Diagnostic: Module 2

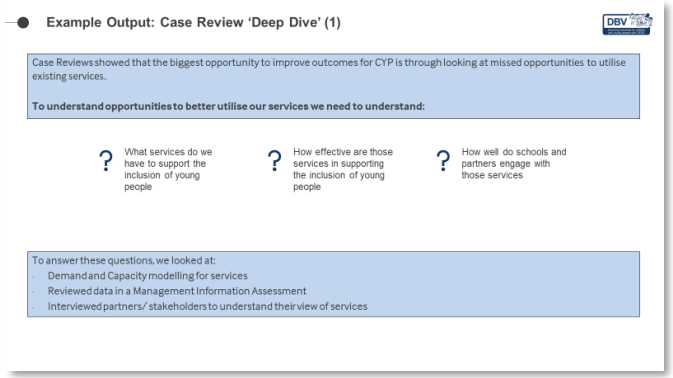
Objective: *To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application*

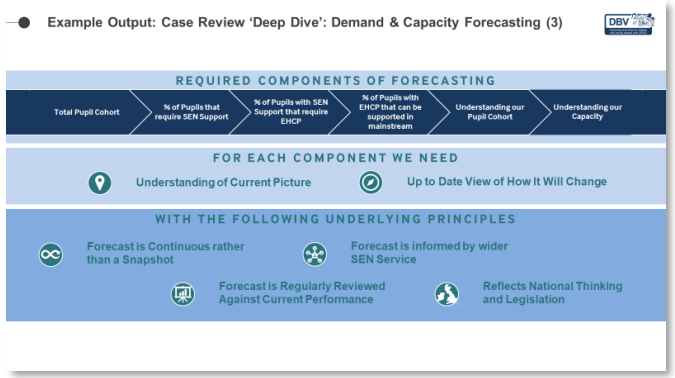
Evaluation & Setup | **Module 1:** Baselines and Forecasts | **Module 2:** Root Cause Diagnostics | **Module 3:** Implementation Planning | Grant Application

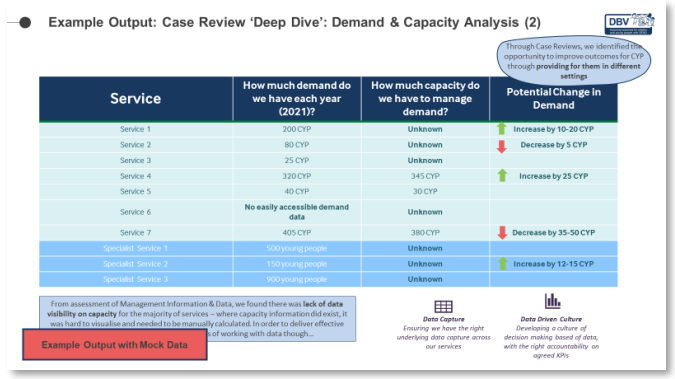
Illustrative Outputs: Identifying the Highest Impact Changes to Make

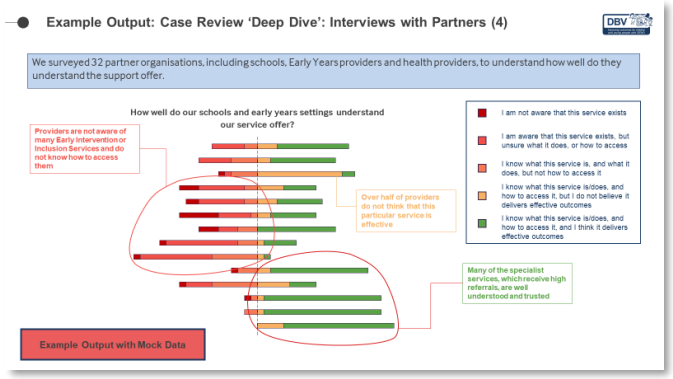
(Click icons to see more)

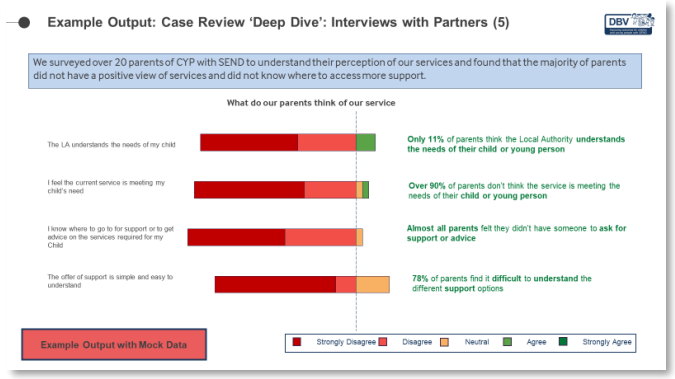












DBV Diagnostic: Module 3 (Part 1)

Objective: *To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application*

Evaluation & Setup | **Module 1:** Baselines and Forecasts | **Module 2:** Root Cause Diagnostics | **Module 3:** Implementation Planning | Grant Application

Diagnostic Activities: Understanding the Practicalities of Making the Changes

- ❑ **Readiness for Change Assessment**
  Why? To understand cultural, structural and organisational barriers to the potential changes which have been identified
  How? Facilitating listening forums, smaller interviews and surveys with Local Authority SEND staff against a readiness for change framework

- ❑ **Behavioural Impact Analysis**
  Why? To understand the complexity of the behavioural changes, across all key stakeholder groups, which will be required to support the improvement plan
  How? Identifying the likely, specific behaviour changes which each key stakeholder group will go through and evaluating the complexity against the group's current behaviours and wider context

- ❑ **Partnership Working Assessment**
  Why? To identify the strengths and challenges in working relationships across a range of partners
  How? Facilitating listening forums, smaller interviews and surveys with Local Area partners against a partnership working framework

- ❑ **Management Information Assessment**
  Why? To identify the digital, data-based, or decision-making barriers to effective service delivery, management and improvement
  How? Investigation of existing data sources, reports and governance forums (formal or informal) which seek to enable service delivery, management and improvement

Outputs

This module will help you to:

Create a robust and evidence-backed articulation of the cultural, behavioural and structural barriers to change. This will cover frontline staff and leadership in the Local Authority, as well as wider stakeholders in the local area (e.g. parents, education providers)

Develop a rich insight into the organisation's data and information barriers to effective service delivery and the managerial barriers to service management and improvement

Further engage and develop relationships with local stakeholders (Education, Health, Parents/Carers)

DBV Diagnostic: Module 3 (Part 2)

Objective: *To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application*

Evaluation & Setup | **Module 1:** Baselines and Forecasts | **Module 2:** Root Cause Diagnostics | **Module 3:** Implementation Planning | Grant Application

Diagnostic Activities: Developing a Plan to Deliver the Changes

- ❑ **Designing the Programme Architecture**
  Why? To identify a work breakdown structure which addresses the areas of opportunity identified through the root cause diagnostics
  How? Workshopping a set of improvement workstreams with distinct deliverables and success criteria, integrating with existing work where necessary

- ❑ **Creating a Comprehensive Implementation Plan**
  Why? To build on existing improvement plans with comprehensive and realistic implementation plans to realise the opportunity identified through the root cause diagnostics
  How? Workshopping implementation plans against each workstream based on findings from Module 1 through 3, integrating with each other and with existing work where necessary

- ❑ **Risk Identification and Mitigation**
  Why? To pro-actively mitigate risk against the implementation plan
  How? Workshopping risks against the implementation plans and designing appropriate mitigation strategies and ownership

- ❑ **Creating an Effective Governance Structure**
  Why? To control and coordinate the body of improvement work such that progress is tracked, risks are mitigated and wider stakeholders are appropriately engaged
  How? Wherever possible, identifying the home for governance within existing system forums and structures and aligning workstream objectives, milestones and progress tracking to existing reporting

Outputs

This module will help you to:

- Address the opportunity areas that have been identified by designing workstreams with a clearly defined scope and success criteria.
- Articulate how the deliverables and success criteria for each scoped workstream will be delivered.
- Identify risks and agree mitigation strategies, considering all evidence gathered in the diagnostic and Newton/CIPFA experience.
- Have an effective governance process in place that is efficient, provides the right oversight across the programme and is effective at unblocking issues.

DBV Diagnostic: Describing the Experience

What will be the Newton/CIPFA support approach feel like?
Our support is outcomes-focused as the primary driver, although we know that financial sustainability is a critical factor for DBV, and therefore we want to take the time to listen to your staff, partners, the CYP you support and their families. We want to work in partnership with you, mixing our skills and experiences for maximum impact. We will be respectful but challenging and we will ask you to be the same.

How do I manage that support? Can I ask for more or less?
You will have two DBV senior points of contact throughout your diagnostic, who will be at the end of the phone to discuss any questions, queries or requests you have around your DBV diagnostic support. We are asking you to setup weekly meetings between your SEND lead and these contacts too.

What will training be like?
Our number one goal is to facilitate knowledge and skills transfer to your teams that outlives the DBV support. Wherever possible, we'll make training days face-to-face. They will contain a lot of theory, but we'll make them engaging and practical too.

How do we make this support tailored?
Over the next few weeks, the subject of our meetings will turn to the specific activities which you wish to undertake in order to support you to develop the most sustainable plan for improving the outcomes for CYP you support. We'll pick and choose between the activities in this pack and speak in detail about the nature of engagement you'd like us to have and/or support with Local Area partners.

What will actually be different by the end of the diagnostic?
No policies or processes will have changed. The main output will be clarity on the priority changes to make, the expected impact of those changes and the plan to achieve them. We hope that people from the Local Area who have participated will feel energised and excited to do more.

What expectations will be on us after we've delivered the modules?
We'll support you to collate the module outputs as your supporting evidence for a DBV grant application. You'll be asked to add one thing: an investment case for the grant monies. We'll be happy to review that too. Once the grant has been approved, it's over to you to deliver the improvement plans.

DBV Diagnostic: Introducing the Delivery Partnership

NEWTON

We have worked with **over 100 public sector organisations**, including **more than 40 Local Authorities.**

These partnerships have delivered **measurable and sustainable improvements in outcomes for people, transformed ways of working and staff engagement, while saving in excess of £300m** (and rising) on a 100% contingent fee basis.

We continuously build practical **knowledge of best-in-class performance in children's services** through our work with national organisations include LGA and CCN**.**

We use this **local insight to drive sector thought leadership with national organisations** and to support central government in developing policy and **delivering complex national programmes.**

"We are delighted that the Department for Education chose us to be their delivery partners for DBV. It's been a pleasure to meet so many of you through the Planning Conversations and we can't wait to get started on the Diagnostics."
Steve Knight, Newton Partner – Local Government

CIPFA

We are the only professional accountancy body in the world **dedicated exclusively to public finance.**

Our **14,000 members** work to ensure **public money is effectively and efficiently managed** and **champion high performance in public services.**

We have extensive experience working in Central and Local Government.

Our team of chartered accountants includes **experienced Local Government finance directors and Section 151 Officers** with **deep knowledge of the education funding system.**

"We are really pleased to be working with Newton and the DFE on the DBV Programme as we believe that working with Local Authorities in this way, together we will be able to make a real difference in the financing and delivery of SEND services for the future."
John O'Halloran, CIPFA Head of Consultancy

Example Output

Example Output: ‘Opportunity Matrix’

Click to go back to module

SETTING	AREA OF OPPORTUNITY	VALUE	% of SPEND	EN-ABLERS
MAINSTREAM	ENSURING CYP ARE SUPPORTED IN THE PROVISION WHICH IS BEST FOR THEM (MAINTSTREAM)	£ 2-3M	~10%	
	THE RIGHT LEVEL OF PROVISION FOR CYP IN MAINSTREAM	£ 3M		
UNITS	THE RIGHT LEVEL OF CYP IN UNITS	£1-2M		
	THE RIGHT LEVEL OF PROVISION FOR CYP IN UNITS	£0.5M		
SPECIALIST SETTINGS	ENSURING CYP ARE SUPPORTING IN THE PROVISION WHICH IS BEST FOR THEM (SPECIALIST SETTINGS)	£ 3-7M	~30%	
	THE RIGHT RATIO OF CYP SUPPORTED IN LA AND INDEPENDENT SPECIALIST PROVISION	£ 4M		
	THE RIGHT UNIT COST OF ISP	£ 0.5-1.5M		
REVIEWS	THE RIGHT LEVEL OF SUPPORT IN MAINSTREAM AND UNITS AFTER REVIEWS	£ 0.5M	~3%	
	THE RIGHT LEVEL OF SUPPORT IN SPECIALIST SETTINGS AFTER REVIEWS	£1M		
TOTAL HNB		£ 15.5-25.5M		

Example Output with Mock Data

In order to deliver benefits, the system requires:
Aligned System Vision, Improved Relationships with Parents and Carers, Right Capacity in Key Services, Performance Culture & Behavioural Change, Enhanced Digital and Data Usage

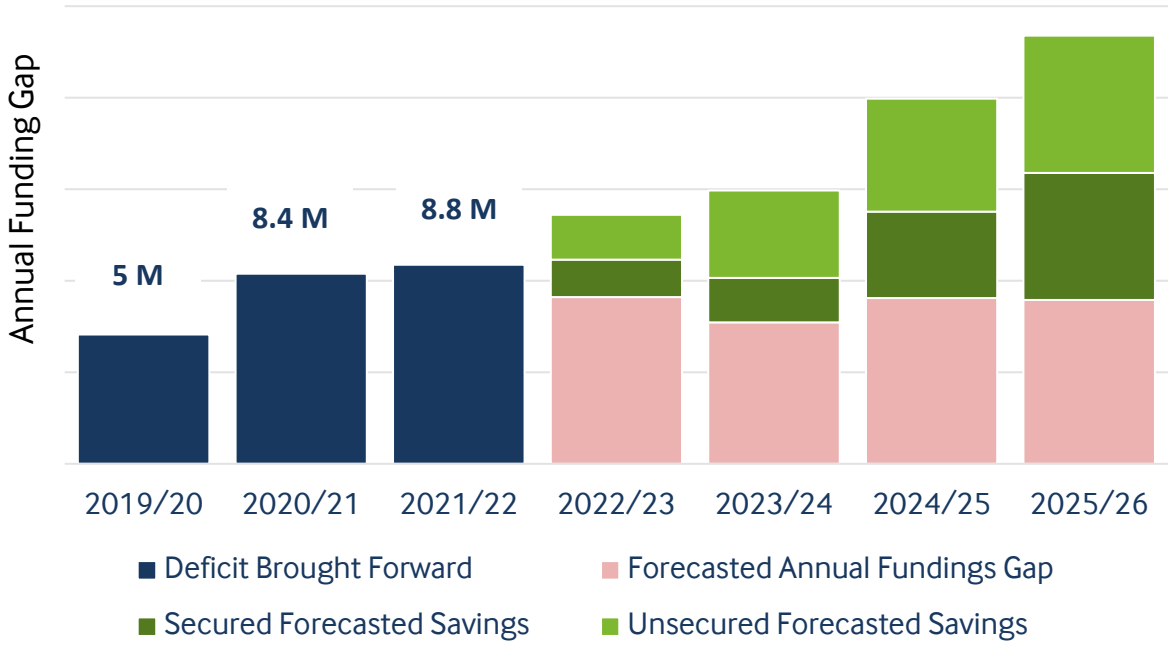
Example Output: Historical Trends & Data Analysis

Click to go back to module

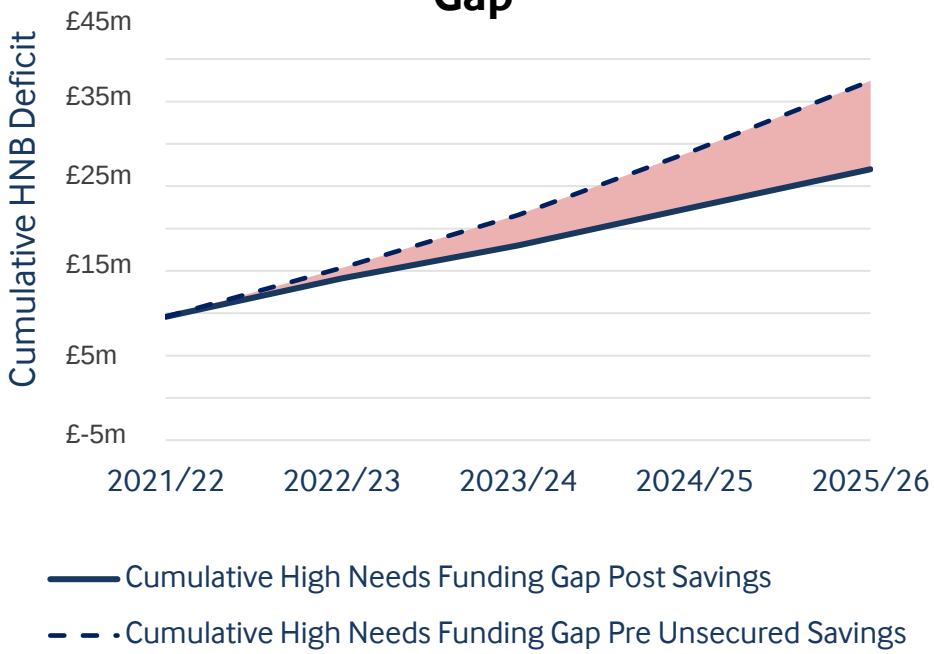
Detailed **data analysis** and understanding of unmitigated and mitigated financial forecasting, resulted in a cumulative **£18 M reduction in forecasted savings** by FY 2026/27.

Failing to deliver the previously forecasted savings will bring **cumulative deficit** in 2025/26 from **59 M to 77 M**

In Year Funding Gaps



Cumulative High Needs Funding Gap



Example Output with Mock Data

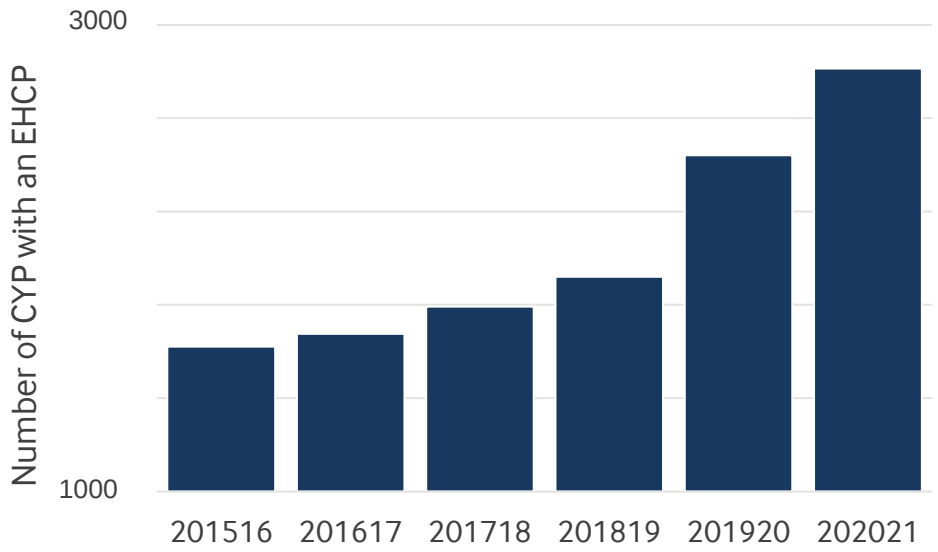
The original forecast did not account for the 120+ children from Early Years for whom a specialist school place was needed

Example Output: Historical Trends & Data Analysis

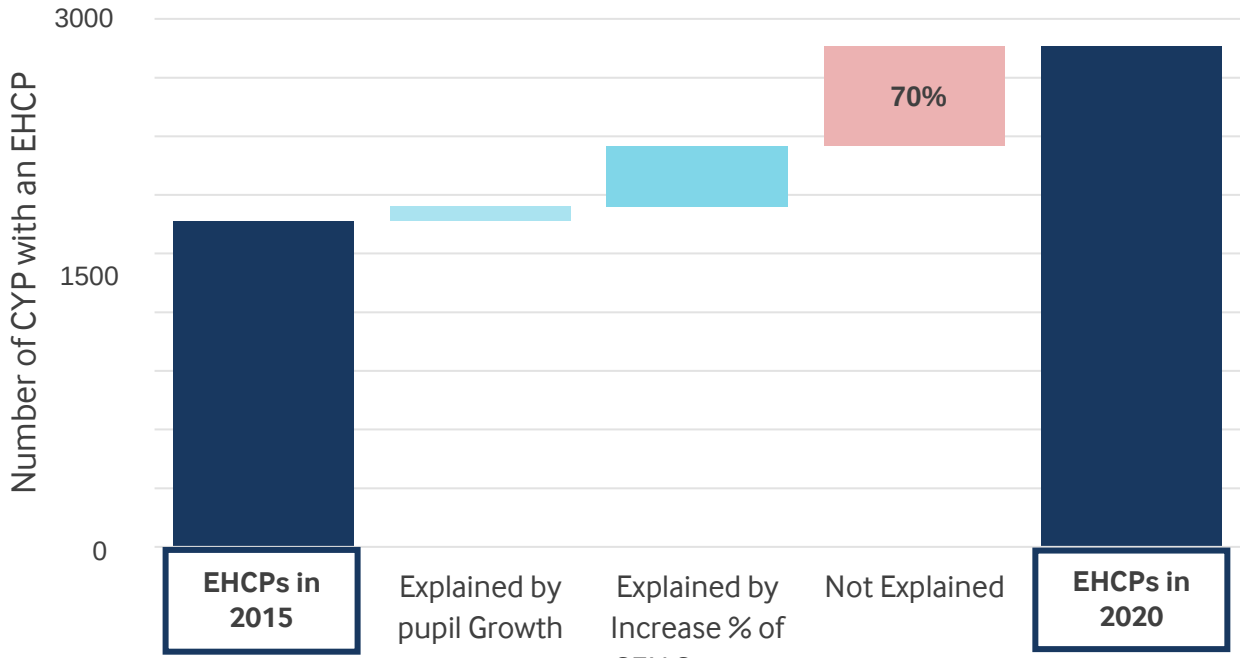
Click to go back to module

The number of EHCPs has grown **54%**, compared to **38%** for England as a whole and **32%** for Regional Neighbours. Only **30%** of Growth over the past 5 years can be explained by increase in total pupil population and increased proportion of pupils requiring SEN Support. The remaining **70%** is being driven by other factors, which have been explored through 'Case Reviews'

Historical Growth in EHCP Trend



Understanding the Growth in EHCP

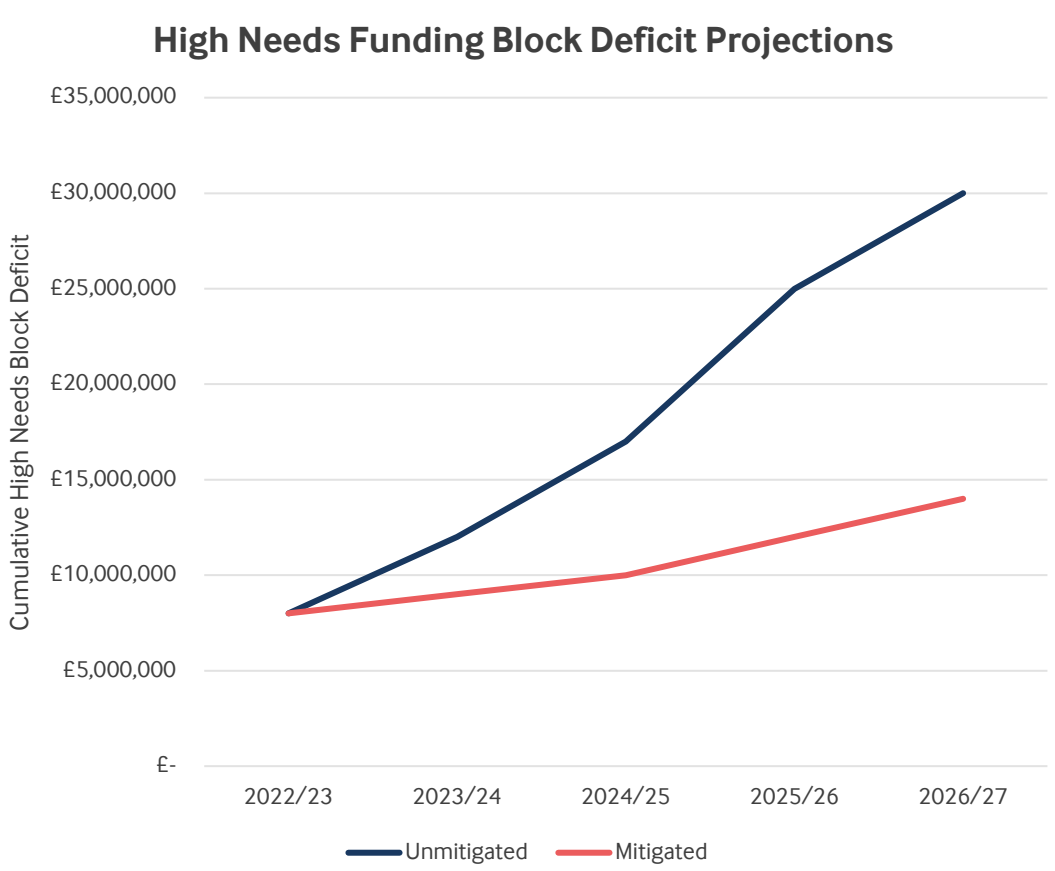


Example Output with Mock Data

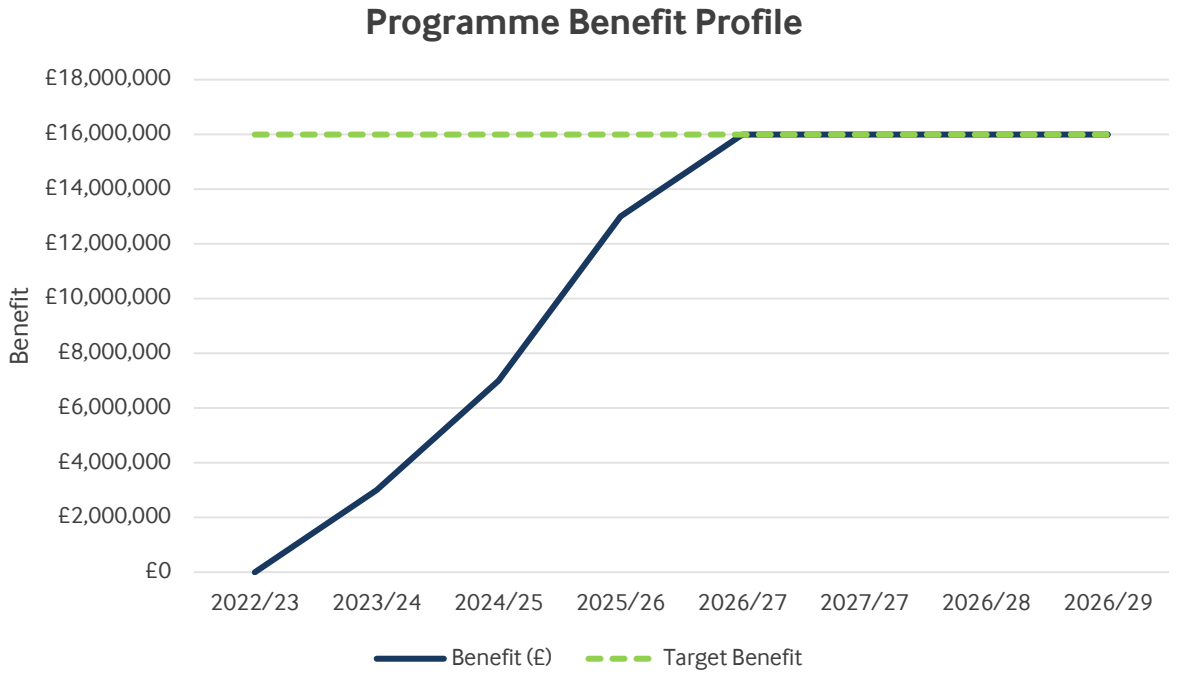
Example Output: Benefits Profile

Click to go back to module

Without projected savings, unmitigated HNB deficit will grow to £30m by FY 2026/27, but with savings impact on the profile the cumulative mitigated HNB deficit can be reduced to £14m.



Benefits Profile (FY 22/23)	Financial Year	2022/23	2023/24	2024/25	2025/26	2026/27
	As of 22/23	£Xm	£Xm	£Xm	£Xm	£Xm



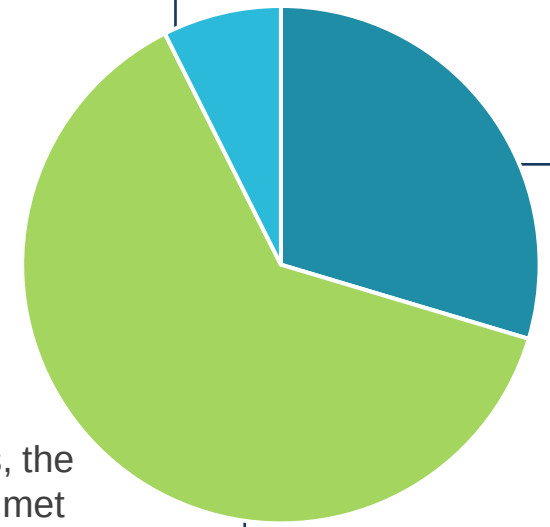
Example Output with Mock Data

Example Output: Case Review

Click to go back to module

We have reviewed the journey of CYP with EHCPs with over 25 multidisciplinary practitioners, asking the questions: "Do you think the needs of this young person were met effectively? Was an EHCP the best way to deliver this support?"

For **7%** of cases, the CYP needs were met effectively, but an EHCP was not required to meet these needs

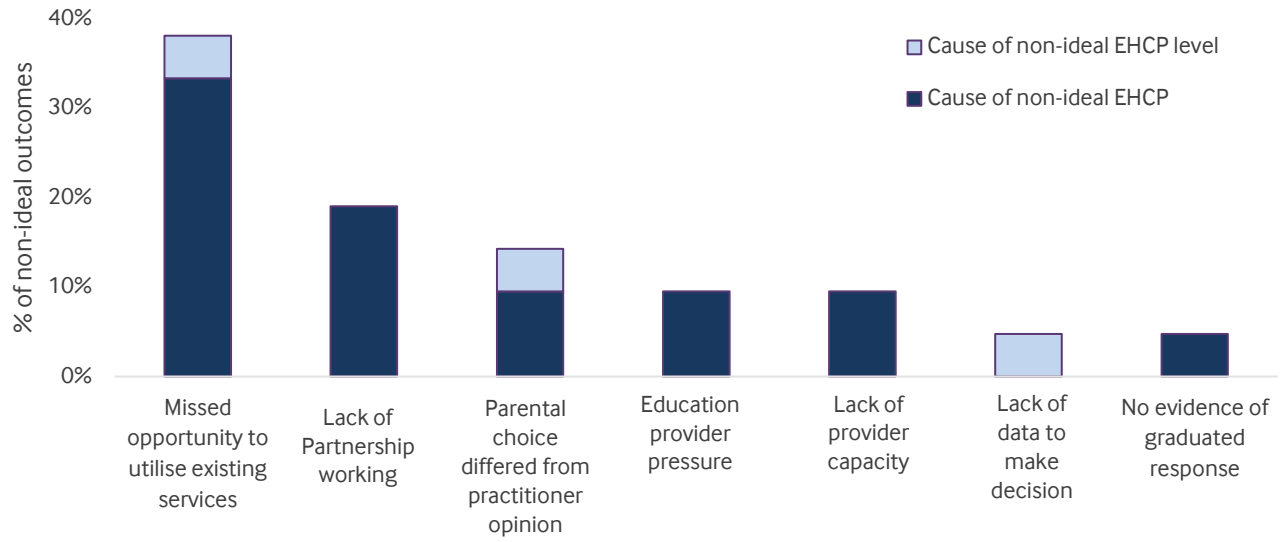


For **30%** of cases, the CYP needs were not met as effectively as they could have been

For **63%** of cases, the CYP needs were met effectively and the EHCP was the best way to do this

The biggest reason for non-ideal outcomes was due **to missed opportunities to utilise existing services**

Why don't we achieve ideal outcomes?



Example Output with Mock Data

Example Output: Case Review ‘Deep Dive’ (1)

Click to go back to module

Case Reviews showed that the biggest opportunity to improve outcomes for CYP is through looking at missed opportunities to utilise existing services.

To understand opportunities to better utilise our services we need to understand:

? What services do we have to support the inclusion of young people

? How effective are those services in supporting the inclusion of young people

? How well do education providers and partners engage with those services

To answer these questions, we looked at:

- Demand and Capacity modelling for services
- Reviewed data in a Management Information Assessment
- Interviewed partners/ stakeholders to understand their view of services

Example Output: Case Review 'Deep Dive': Demand & Capacity Analysis (2)

Click to go back to module

Through Case Reviews, we identified the opportunity to improve outcomes for CYP through **providing for them in different settings**

Service	How much demand do we have each year (2021)?	How much capacity do we have to manage demand?	Potential Change in Demand
Service 1	200 CYP	**Unknown**	**Increase by 10-20 CYP**
Service 2	80 CYP	**Unknown**	**Decrease by 5 CYP**
Service 3	25 CYP	**Unknown**	
Service 4	320 CYP	345 CYP	**Increase by 25 CYP**
Service 5	40 CYP	30 CYP	
Service 6	**No easily accessible demand data**	**Unknown**	
Service 7	405 CYP	380 CYP	**Decrease by 35-50 CYP**
Specialist Service 1	500 young people	**Unknown**	
Specialist Service 2	150 young people	**Unknown**	**Increase by 12-15 CYP**
Specialist Service 3	900 young people	**Unknown**	

From assessment of Management Information & Data, we found there was **lack of data visibility on capacity** for the majority of services – where capacity information did exist, it was hard to visualise and needed to be manually calculated. In order to deliver effective s of working with data though…

Example Output with Mock Data

Data Capture
Ensuring we have the right underlying data capture across our services

Data Driven Culture
Developing a culture of decision making based of data, with the right accountability on agreed KPIs

Example Output: Case Review ‘Deep Dive’: Demand & Capacity Forecasting (3)

Click to go back to module

REQUIRED COMPONENTS OF FORECASTING

- Total Pupil Cohort
- % of Pupils that require SEN Support
- % of Pupils with SEN Support that require EHCP
- % of Pupils with EHCP that can be supported in mainstream
- Understanding our Pupil Cohort
- Understanding our Capacity

FOR EACH COMPONENT WE NEED

- Understanding of Current Picture
- Up to Date View of How It Will Change

WITH THE FOLLOWING UNDERLYING PRINCIPLES

- Forecast is Continuous rather than a Snapshot
- Forecast is informed by wider SEN Service
- Forecast is Regularly Reviewed Against Current Performance
- Reflects National Thinking and Legislation

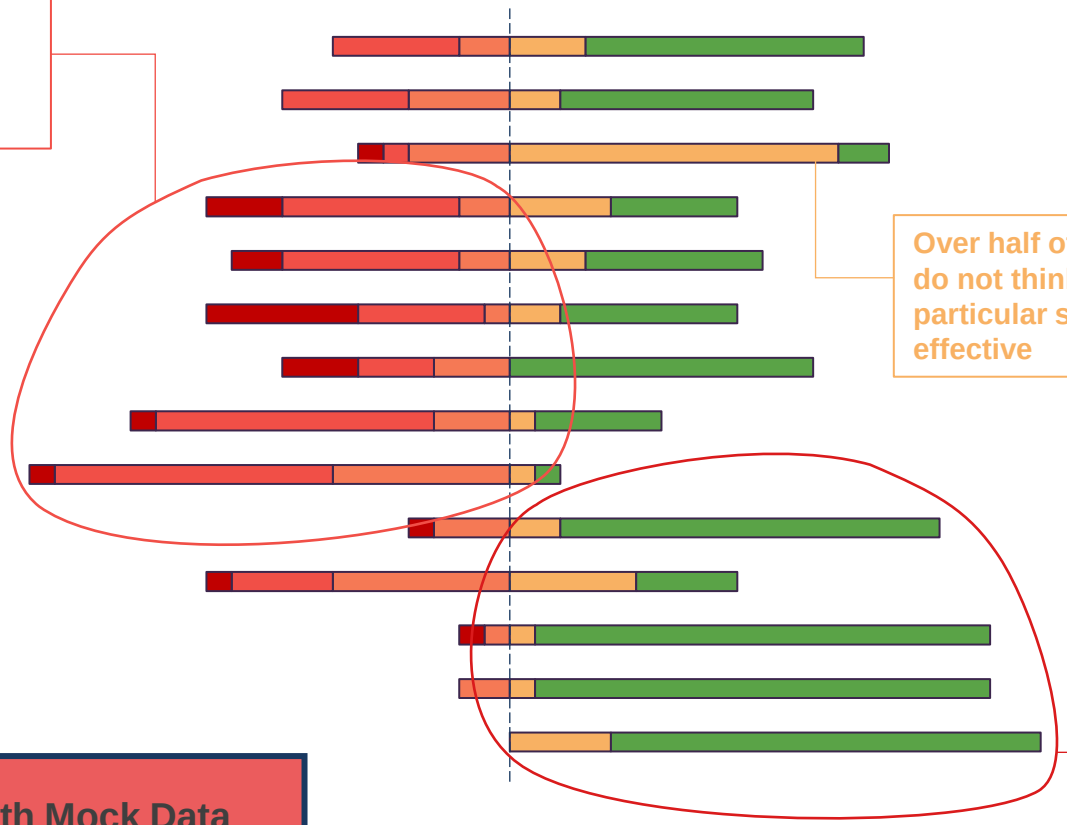
Example Output: Case Review ‘Deep Dive’: Interviews with Partners (4)

Click to go back to module

We surveyed 32 partner organisations, including schools, Early Years providers and health providers, to understand how well do they understand the support offer.

How well do our schools and early years settings understand our service offer?

Providers are not aware of many Early Intervention or Inclusion Services and do not know how to access them



Over half of providers do not think that this particular service is effective

Many of the specialist services, which receive high referrals, are well understood and trusted

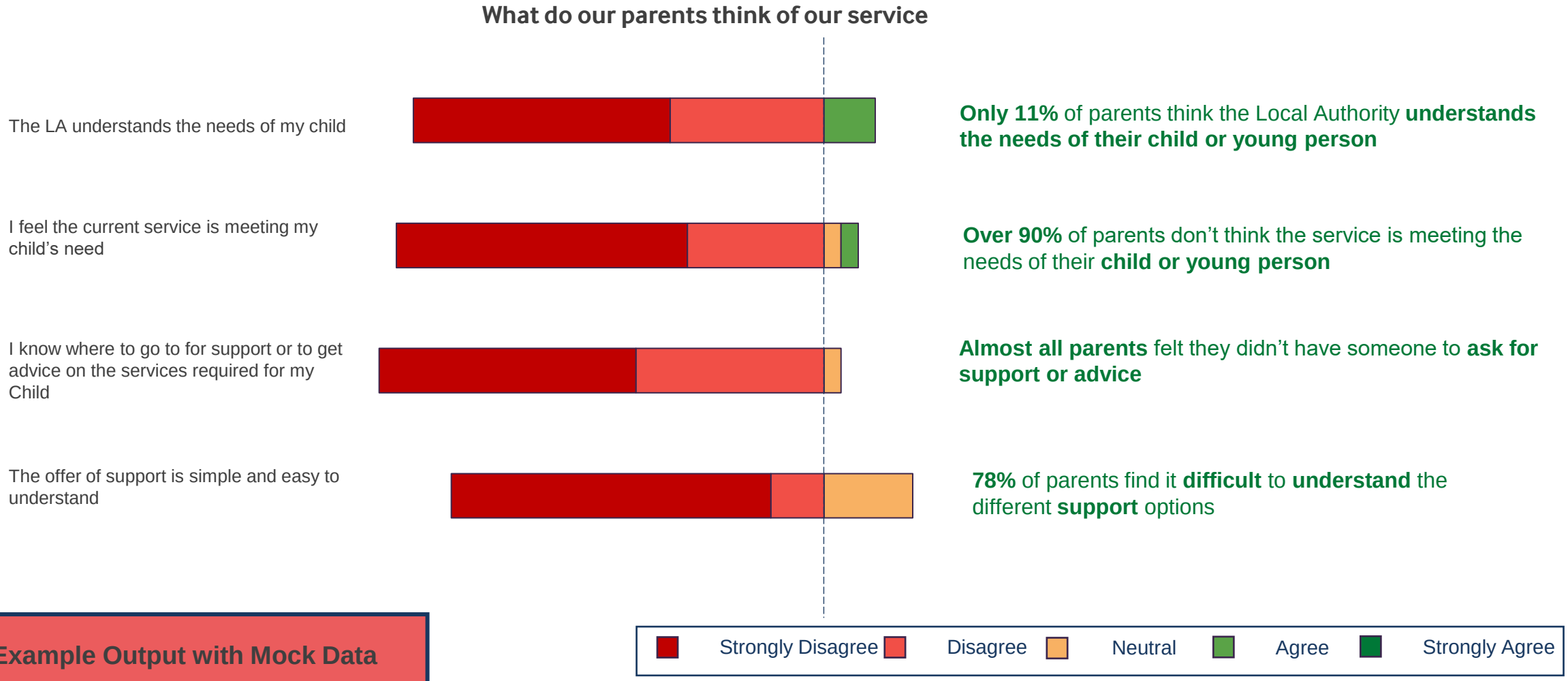
- I am not aware that this service exists
- I am aware that this service exists, but unsure what it does, or how to access
- I know what this service is, and what it does, but not how to access it
- I know what this service is/does, and how to access it, but I do not believe it delivers effective outcomes
- I know what this service is/does, and how to access it, and I think it delivers effective outcomes

Example Output with Mock Data

Example Output: Case Review ‘Deep Dive’: Interviews with Partners (5)

Click to go back to module

We surveyed over 20 parents of CYP with SEND to understand their perception of our services and found that the majority of parents did not have a positive view of services and did not know where to access more support.



Only 11% of parents think the Local Authority **understands the needs of their child or young person**

Over 90% of parents don’t think the service is meeting the needs of their **child or young person**

Almost all parents felt they didn’t have someone to **ask for support or advice**

78% of parents find it **difficult** to **understand** the different **support** options

Example Output with Mock Data

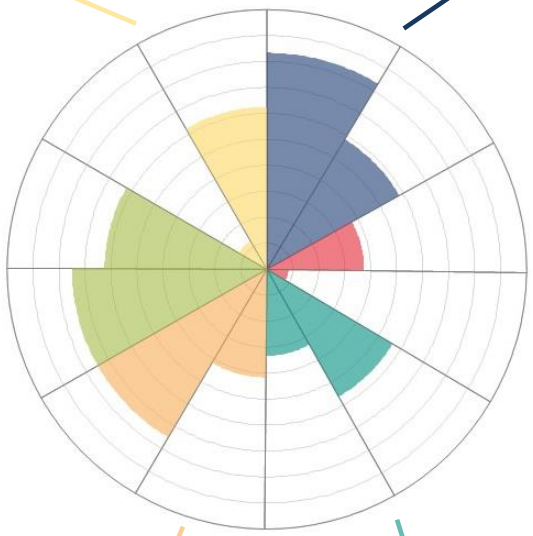
Example Output: Environment for Change

The Environment for Change is a description of how ready a system is to support a transformation, highlighting its strengths and barriers to change. Landing an change in an organisation requires maximising the strengths and overcoming the barriers, through better change management and design. We facilitate a survey which produces strengths and areas to improve across the 6 areas:

Practicalities of this change
- The data is trusted and measures can be easily baselined
- The organisational structure is simple (# of sites/ people/ locations)
- The change is simple to understand

Capacity
- Key stakeholders have the capacity to be visible and support the programme
- Front line staff have the capacity to go through the change – including training and practising new ways of working
- There is business support and specialist change team resource to support this programme

Capability
- Front line staff have all the necessary skills for their BAU roles
- Managers are able to measure and improve staff and team performance
- There are no internal or external risks to this work



Leadership
- Senior leaders are united on a clear direction and the organisation has a clear set of business priorities
- Senior leaders are all aligned on the need for this specific change and are willing to be held accountable

Internal communications & engagement
- A comms team exists and supports the business priorities with effective communication plans
- Operational teams have a culture of communicating and engaging with staff and use face-to-face opportunities regularly and effectively

Culture
- Staff understand their roles and responsibilities and work collaboratively
- There's a drive towards continuous improvement
- Staff are trusted, empowered, listened to and valued