

Risk Description	Assessment of Current Risk (assume current controls in place)			New Controls	Risk Owner	Target Date	Assessment of Controlled Risk		
	Impact	Likelihood	Current Risk Rating				Impact	Likelihood	Current Risk Rating
STRATEGIC RISKS									
<p>DMP001 – Financial – Treat</p> <p>The cumulative deficit on the high needs block (£21.7m as at March 2022).</p> <p>If not mitigated, it will undermine the financial sustainability of the Council and/or lead to cuts to general fund expenditure that will result in the Council failing to meet its statutory duties.</p>	8	8	88	<p>The Council is currently completing an application for £23m 'Safety Valve' funding over a period of five years.</p> <p>If successful, elimination of the DSG deficit in exchange for the successful delivery of the Southwark SEND Strategy.</p>	DW / DQT	31/12/2022	8	6	77
<p>DMP002 – Financial – Treat</p> <p>Actual inflation rates are greater than rates applied to expenditure in the DSG management plan.</p> <p>Treasury rates (as at July 2022) for expenditure applied at 6% / 4% / 2% in 2022-23; 2023-24; 2024-25 & 2025-26 and beyond.</p>	8	10	95	<p>The Council's medium term financial plan has estimated a non-staffing inflation rate of 6% and staffing at 3% for 2023-24.</p> <p>The annual inflation rate in the UK increased to 9.9% in August of 2022.</p>	DW / DQT		8	10	95
<p>DMP003 – Financial – Treat</p> <p>Accurate forecasting of the future number of EHCPs in the DSG management plan is critical to the ability to deliver the plan and recover the DSG deficit by 2026-27</p>	6	9	81	<p>Launch Southwark SEN Standards in late September 2022 with increased capacity to support implementation</p> <p>Current projections are based on manually captured historical data, with the pandemic possible affecting the trend data over the previous two financial years, both in terms of overall numbers and</p>	YE / FY		6	6	60

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				numbers of children and young people in each age range. Implement case management system to maintain data quality and derive business intelligence to inform future case number projections, sufficiency and commissioning strategies.					
DMP004 – Financial – Treat Delivery of the capital programme is critical to the success of reducing the number of children and young people with ASD or Complex needs educated out-borough	5	8	67	Strong engagement is required between SEND service and capital delivery to ensure there is no delays. Maximise opportunities of surplus capacity in maintained primary schools. Create Education Capital Board to oversee capital delivery programme.			5	5	41
DMP005 – Financial – Treat Continuing stakeholder engagement with children, young people and their parents and carers as well as schools, including Schools Forum is critical to the success of the delivery of the DSG management plan.	6	7	68	Good working relationships with: Southwark Independent Voice (parent/carer council) Maintained schools School Forum School Forum High Needs sub-group critical in supporting and	YE	15/09/22	6	4	42

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<p>Capping of top up rates – unpopular with special schools</p> <p>Increased inclusion in maintained schools – more pressure on notional SEND budget</p> <p>Schools Block transfer – not guaranteed due to small increase in SB allocation and rising costs of salaries and running costs</p>				endorsing the proposed actions to eliminate the deficit					
<p>DMP006 – Financial – Treat</p> <p>The Council's medium term financial plan indicates a savings requirement of £26m for 2023-24.</p> <p>The Council has not included a contribution from general fund to the DSG deficit within its current MTFP estimates.</p>	5	10	80	Consideration of growth requirements to be dealt with during Budget Challenge programme for 2023-24	DW/ DQT	28-02-2023	5	9	74
<p>DMP007 – Reputational – Treat</p> <p>Non-delivery of DSG deficit management plans and there are insufficient controls and mechanisms in place to track progress.</p> <p>Leading to failure to secure future safety valve funding from the DfE.</p>	8	8	88	<p>Appointment of project manager to coordinate all the actions, hold leads to account, collate data monthly, write monitoring reports and keep the project on track.</p> <p>Oversight of the plan by a SEND Partnership Board which is chaired by the council's Chief Executive</p>			8	5	70

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				Operational delivery group that reviews progress on a quarterly basis that is chaired by the S151 officer Monthly budget monitoring to monitor savings and financial performance					
DMP008 – Legal & Regulatory – Tolerate? Outcomes of SEND review: right support, right place, right time – particularly national banding rates	6	4	42	Continue responding to consultation and taking into account in future funding allocations			4	3	18

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OPERATIONAL RISKS									
DMP101 – Operational – Treat Despite creation of sufficient capacity for the majority of children and young people with ASD, the LA is unsuccessful in bringing those children and young people placed out borough back to local provision	6	7	68	Work more closely with young people and their families to match provision to their needs Provide parents with a range of options and create new / strengthen existing high quality educational pathways for complex / multiple needs	ND / YE		3	5	26
DMP102 – Operational – Treat Failure to harness the opportunities presented with the Family Hubs and Start for Life programme to drive partnership working and develop improved services children and young people with SEND and their families within the community	5	5	41	Engagement with senior leaders establishing ownership and commitment to drive the programme commenced with CAB report 31/08 (Sign up required by 31/10/22) Collaboration from SEND team to improve early intervention and support for parents with very young children or who are expecting a baby where there appear to be a higher chances of the child having SEND	YE / JB		4	5	32
DMP103 – Operational – Treat Lack of engagement from mainstream providers (to be more inclusive), Special Schools (to provide outreach service) and children and young people and	5	7	59	Include School leaders and SENCos in any changes so that these are coproduced. Need to encourage schools to work together to support each other which links with the Schools Bill	YE / ND		3	5	26

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their families (to coproduce new process				LA has excellent relationships with parent carer forum and much work has been undertaken together to ease the way forward.					
DMP104 – Operational – Treat Resistance and / or objection to offering alternatives programmes to young people 19-25 years old i) may not accept a move from current placement ii) may find a personal budget and timetable hard to manage	5	7	59	Good information, communication and a clear offer Personal planning/planners developed to assist families in holding their YPs personal plan and helping a family deliver.	YE		5	5	41
DMP105 – Financial – Treat HNB centrally retained expenditure reduction i) Impact on Children’s and Adults services currently funded by general fund; and ii) School Forum not approving the re-distribution across remaining DSG funding blocks	4	5	32	Address the impact on the Council’s general fund during the 2023-24 budget setting process. High Needs sub group engagement to ensure endorsement of the LA approach and consequent approval by the School Forum, prior to distributing the 2023-24 DSG	ND		4	4	25
DMP106 – Financial – Treat Freezing top up rates for local government funded provision i) Schools Forum not approving the LA approach	6	5	51	Discussion with Heads of maintained special schools and special academies in advance of wider discussions. HN sub group engagement to ensure endorsement of the LA approach and consequent			6	4	42

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ii) Insufficient funding to cover substantial increasing in costs, above assumed inflation rate of approx. 6% per annum				approval by the School Forum, prior to distributing the 2023-24 HNB Special schools have met the 3% MFG since 2021-22 and have achieved broad equivalence with the MFG for mainstream schools over the same period.					

The council's risk appetite and tolerance¹

The council has set its risk tolerance. This is displayed in the risk matrix below. The risk matrix will then help you assess the importance of each risk. As a general rule of thumb:

- Green risks May only require to be monitored every 3 months
- Yellow risks May require some additional controls to reduce or manage the risk
- Amber risks Will require to be actively managed. Likely to require active management and regular monitoring.
- Red risks Red risks are risks that are considered to be key risks to the council. Therefore these must be effectively mitigated as soon as possible and escalated to senior management for consideration. These will require on going monitoring.

Impact	10	55	64	72	79	85	90	94	97	99	100
	9	45	54	63	71	78	84	89	93	96	98
	8	36	44	53	62	70	77	83	88	92	95
	7	28	35	43	52	61	69	76	82	87	91
	6	21	27	34	42	51	60	68	75	81	86
	5	15	20	26	33	41	50	59	67	74	80
	4	10	14	19	25	32	40	49	58	66	73
	3	6	9	13	18	24	31	39	48	57	65
	2	3	5	8	12	17	23	30	38	47	56
	1	1	2	4	7	11	16	22	29	37	46
	1	2	3	4	5	6	7	8	9	10	
	Likelihood										

¹ Section 3.1, Risk Management Procedures (Southwark Council July 2018)