

Evaluation of the SEND Pathfinder Programme

Quarterly Evaluation Report

June 2012

The logo for SQW, consisting of the letters 'SQW' in a bold, dark red, sans-serif font.

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	Director		

Acknowledgements and terminology

Acknowledgements

The authors would like to thank Carol Lynagh and Catherine North from the Department for Education (DfE), who act as the project manager and research lead for the evaluation. We would also like to thank Carrie Britton and Johanna Smith, who form part of an expert panel of advisors that was set up to provide an advice and challenge function to the evaluation team. Finally we extend our thanks to the Pathfinder areas for supporting the on-going development and delivery of the evaluation.

Terminology

The report makes regular use of the following short-hand terminology and acronyms:

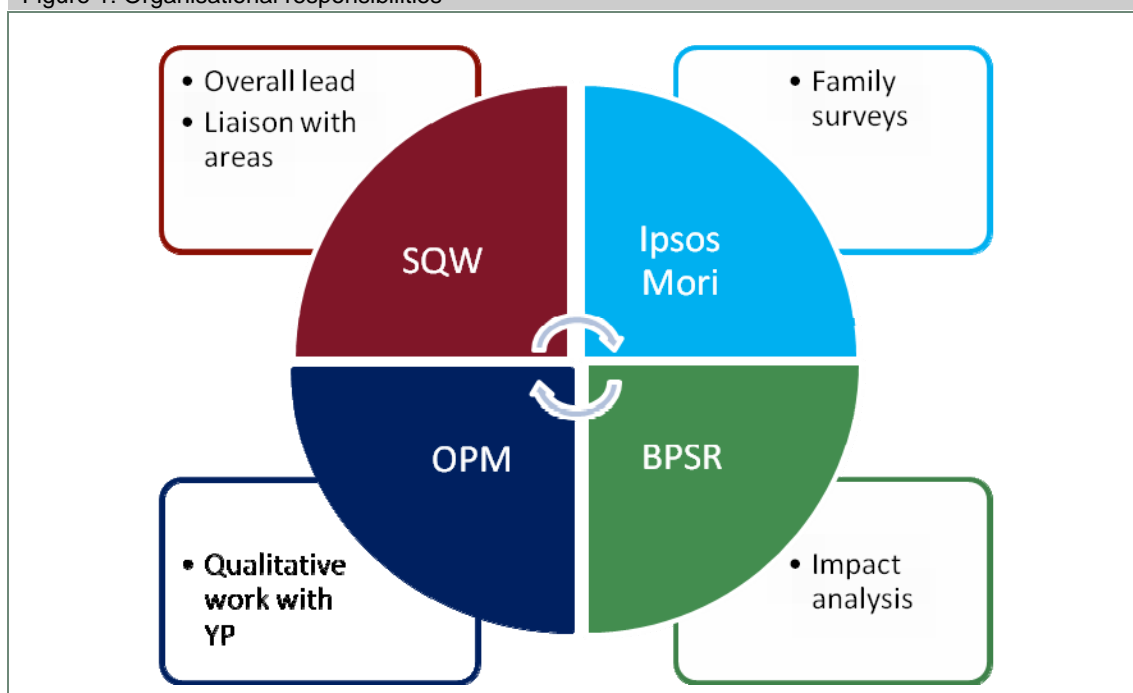
- CDF – Common Delivery Framework
- Families with children with SEND – families with children with disabilities, children with special educational needs and young people with learning difficulty assessments
- IBs – individual budgets
- PBs – personal budgets
- PHB – personal health budgets
- PST – Pathfinder Support Team
- SEN – special educational needs
- SEND – special educational needs and disability
- SEN DPs – special educational needs direct payments
- VCS – voluntary and community sector.

The team

SQW was commissioned by the Department for Education to lead a consortium, including Ipsos MORI, BPSR and the Office of Public Management (OPM), to undertake the evaluation of the SEND Green Paper Pathfinder Programme. The team draws together a wide range of complementary experience. Each organisation has a distinct role to contribute to the effective evaluation the Programme.

Figure 1 sets out the individual responsibilities of each member of the consortium.

Figure 1: Organisational responsibilities



Source: SQW

The Evaluation team

Graham Thom, a Director at SQW, acts as the Project Director of the Evaluation.

Meera Prabhakar, a Senior Consultant at SQW, acts as the Project Manager of the Evaluation.

Rhian Johnson, Laura Henderson, Sheila Sim, Charlotte Clarke, Kerry Fox, Rachel Redman and Tarran Macmillan form the other members of the SQW research team.

Claire Lambert, an Associate Director, acts as the lead for Ipsos MORI.

Susan Purdon and **Caroline Bryson** act as the leads from BPSR.

Annie Hedges acts as the lead for OPM.

Executive summary

1. This report is the third in a series of progress reports that will be produced throughout the course of the 18 month evaluation of the SEND Pathfinder programme. It presents commentary and analysis on the first set of monitoring returns received from all Pathfinder areas, which detailed self-reported progress and cost information from the outset of the Pathfinder Programme to the end of March 2012. It also provides an update on the number of families recruited by sites by June 2012 and the initial scoping undertaken about sites intentions to deliver Special Educational Needs Direct Payments (SEN DPs).
2. The Common Delivery Framework (CDF) was developed to enable structured data collection and assessment of delivery and costs at different stages of the Pathfinder process. It sets out a series of themes and elements which it was anticipated each Pathfinder would need to address as part of developing its local activity. Progress has been and will be tracked on a quarterly basis through the area level monitoring submissions. It is for each area to judge its own progress, which has been reported on a scale from 'not yet begun' through to 'full implementation'.

Progress developing organisational engagement and cultural change

3. The Pathfinder areas had made substantial progress setting up governance structures by the end of March 2012. Three quarters of areas (22) had their board or governance structure fully in place¹, and two thirds (19) perceived that they had agreed a clear set of Pathfinder objectives.
4. A common group of stakeholders had been engaged across the majority of Pathfinder areas including: professionals from Local Authority education and children's services (29 areas); parent/carers (29 areas); professionals from health (28 areas), adult care (25 areas), schools (24 areas); and the local VCS (24 areas). Looking across the areas, two thirds (19) had engaged each of the stakeholders in this common group.
5. By contrast, engagement of stakeholders from early years settings, the national VCS and colleges was less widespread. For example, only nine areas had engaged colleges in the governance of their Pathfinder by March 2012. This lack of engagement may be driven by a number of factors, including relevance to the target group of individual areas.
6. The majority of areas had a designated Lead and a Project Manager in post by March 2012 (in a number of areas the Lead also acts as Project Manager). However, organisational restructuring and subsequent job losses across a number of areas had resulted in changes to the project teams. In some cases this has caused discontinuities and delayed development.

¹ They had either rated themselves as at 'full implementation' or the governance structure was 'Already in place prior to becoming a Pathfinder'

7. Most Pathfinder areas had secured contributions of staff time from each agency to support the development of the Pathfinder. However, far fewer had secured funding for development of the Pathfinder or to resource the resultant service provision.
8. Pathfinder areas had made good progress in terms of engaging the VCS and parent/carers in the development of the Pathfinder by March 2012, although the majority of areas were still in the early stages (or had not yet begun) engaging children and young people in this development.
9. Most of the Pathfinder areas had started to consider the development of their approaches to change management, market development and the local offer by the end of March 2012. However many still perceived themselves to be in the early stages of developing these elements.

Progress engaging and involving families and young people

10. Most areas had begun to consider raising awareness of the Pathfinder with prospective families and young people by the end of March 2012, with only two reporting that they had not yet begun the development of this element. However, much activity was at an early stage and so only limited recruitment had begun.
11. By early June 129 families and young people had been recruited, i.e. they had agreed to take part in the Pathfinder process and had been registered on the monitoring tool, by a total of nine areas (although almost half of families were recruited from one site). Anecdotal feedback from Pathfinder areas showed that many were likely to recruit a small number of families and young people during the Summer school term and then a larger set of families and young people during the Autumn term.
12. Over half of the children and young people had a statement of special educational needs and the vast majority (92%) of children and young people recruited to date were in receipt of SEN services prior to the Pathfinder. Recruiting newcomers to the system will also be important, as this will test how the process will work for families and young people without previous experience of the current system and without existing assessments/plans to draw on.
13. The number of areas that had begun to develop peer support rose between December 2011 and March 2012. However peer support tended to remain at an early stage of development, perhaps reflecting the focus on setting up core Pathfinder structures in the first two quarters.

Progress setting up the Pathfinder infrastructure

14. By the end of March 2012 all Pathfinder areas had begun to develop their assessment and single plan pathway. Assessment processes were most commonly expected to consist of:
 - A set of assessments (by different agencies) being brought together – twelve of 14 areas
 - Single assessment episode supplemented by ad hoc specialist assessments – 8 of 14 areas.

15. The former of the two processes was likely to be used to draw together existing information for those families that were already accessing services. Conversely, the second most common form of assessment was more likely to be used for families that had not previously accessed services.
16. Similarly, the most common planning approaches adopted by the 14 areas were single planning events and the use of a planning coordinator to create the plan with the family and liaise with professionals from relevant agencies to obtain their input.
17. Pathfinder areas tended to be at the early stages of developing personal budgets by the end of March 2012. Moreover, five areas had not yet begun developing a resource and funding mechanism, support planning process or spectrum of choice for managing the personal budget funds.
18. Limited progress had been made on developing IT resources. Yet, timely and secure sharing of information both with families and between agencies will be vital to the success of the new approaches. Therefore, it will be important for areas to rapidly develop appropriate protocols and systems.
19. While 22 of the 29 Pathfinder areas had at least reached early stage development in terms of reviewing relevant safeguarding procedures, most were at an early stage in their thinking.

Pathfinder costs and inputs

20. The Pathfinder areas each received a grant of £75,000 in 2011/12 and were to receive approximately £150,000 each in 2012/13 from the Department for Education. In addition, areas were offered an uplift of 10% for 2012-13, and most have taken up this offer. The Department's funding is to cover development costs, not the cost of service provision. Additional cash commitments were very limited. Six of the areas sourced a total of £22,615 of additional funding.
21. Twenty two of the 29 Pathfinders reported an underspend in their first year. Three areas spent less than half of their grant allocation. However overall, the median level of underspend was just £3,000.
22. In addition the Pathfinders benefited from a median average of 203 in-kind staff days.

SEN Direct Payments

23. Parliament passed the *Special Educational Needs (Direct Payments) (Pilot Scheme) Order 2012* in January 2012. This Order enables a number of listed Local Authorities (all the SEND Pathfinder areas as well as the Individual Budgets for Families with Disabled Children Pilot sites) to make direct payments relating to provision specified in a SEN statement or a Section 139A Learning and Skills Act 2000 Assessment, or transport.
24. Twenty-three areas signalled an intention to offer SEN Direct Payments. However, at the time of the scoping exercise most areas were still at a very early stage in their thinking. While they could provide an initial indication of their intentions, they were often not able to be very specific about their intentions. Most expected to:

- Focus on school aged young people
 - Offer or see take up amongst a very small number of families (except where they offered money in respect of transport).
25. There were lots of unknowns and concerns amongst local authorities, particularly around demand from families and the likely response from schools and colleges. The required structures for delivering SEN Direct Payments were not yet in place and are likely to take some time to develop.

Conclusions and implications

26. Table 8-1 presents a summary of the progress made by the end of March 2012 against each element of the CDF.

Table 1: Summary of progress made by the end of March 2012 against all elements of the CDF

	Summary of progress made	Commentary
ORGANISATIONAL ENGAGEMENT AND CULTURAL CHANGE		
Engagement of relevant stakeholders	<p>All areas had set up a Project Board/Governance structure and got broad stakeholder engagement</p> <p>Most areas had secured commitment to share staff time to develop and deliver their Pathfinder, but few had secured funding for development of the Pathfinder or confirmed how they intended to resource the packages agreed for the families participating in the Pathfinder</p>	<p>As Pathfinders move forwards, they will subsequently need to consider:</p> <ul style="list-style-type: none"> • How to embed Pathfinder developments within wider structures • How to engage the stakeholders that have proven to be more difficult to engage or that may not be linked to the immediate target group • How to ensure accountability of the resource that is required for the service packages that are put together for families participating in the Pathfinder
Recruitment of designated staff	<p>The majority of areas had a designated Lead and a Project Manager in post</p>	<p>The extent to which operational staff had been actively engaged in the development of the Pathfinders was unclear</p>
Change management	<p>Most areas had begun to consider how to develop the skills and capacity of their workforce and their families</p> <p>Some had also gone on to begin to deliver change management, which was taking place as part of structured/formal events and more informally</p>	<p>Change management should be considered as an on-going and evolving process and should involve both professionals and families. Pathfinder areas should therefore consider when they need to start the delivery of change management to align with the recruitment of families and young people</p>
Market development and the local offer	<p>Most areas were only at the early stages of developing their approaches to market development and the local offer</p>	<p>Given the significance of the local offer within the Next Steps and Progress document, Pathfinder areas will need to carefully consider how best to align their thinking with the Government's intentions</p>

ENGAGING AND INVOLVING FAMILIES

Awareness raising with families	<p>Most areas had started to raise awareness of the Pathfinder with prospective families and young people. However, as yet this recruitment was limited in most areas</p> <p>129 families and young people had been recruited across 9 areas by early June 2012, most of which appear to have used targeted recruitment approaches</p> <p>Many areas were likely to recruit a small number of families and young people during the Summer school term and then a larger cohort during the Autumn term</p>	<p>The intended timescales for the recruitment of families and young people may limit the extent to which the evaluation can evidence the effectiveness of the new approaches. Therefore, it will be important to consider:</p> <ul style="list-style-type: none"> • Whether Pathfinder areas can bring forward their recruitment • Whether the evaluation timescales need to be extended to ensure that the bulk of recruitment in the Autumn term can form part of the evaluation?
Peer Support	<p>Most areas were only at the early stages of developing peer support for families and young people participating in the Pathfinder</p>	<p>Given the early stages of development of this element, Pathfinder areas should consider how and when they intend to deliver peer support</p>

SETTING UP THE INFRASTRUCTURE

Mapping of the single assessment and planning pathway	<p>Early evidence indicated that these pathways were most commonly expected to consist of:</p> <ul style="list-style-type: none"> • Assessments - a set of assessments (by different agencies) being brought together at the end and/or a single assessment episode supplemented by ad hoc specialist assessments • Planning - single planning events and the use of a planning coordinator to create the plan with the family and liaise with professionals from relevant agencies to obtain their input 	<p>The emerging pathways appear to fall out from the particular target groups, i.e. it appeared that the areas that were targeting families that were already accessing services intended to draw together their existing assessments and similarly, those areas that were targeting families that had not previously accessed services intended to use a single assessment episode with ad hoc specialist assessments. Therefore, Pathfinder areas should consider how they can scale up their developing approach for the whole 0-25 yrs and for existing and new cases post the Pathfinder</p>
Development of personal budgets	<p>Development of personal budgets, IT resources and the coordination and delivery of the Pathfinder approach were all in their infancy at the end of March 2012</p>	<p>Given the significance of personal budgets in the Progress and Next Steps document, Pathfinder areas should consider what systems need to be in place to deliver personal budgets</p>
Coordination and delivery of the Pathfinder approach		<p>Again, given the early stage of development of this element, which in turn reflects the limited number of families that had been recruited and were therefore being taken through the new approach, it will be important for Pathfinder areas to consider:</p> <ul style="list-style-type: none"> • The coordination/delivery function? • Sustainability of the approach over the longer term in terms of scalability and resource implications, which could include consideration of how to embed the relevant functions within existing job roles
Development of IT resources		<p>Although a small number of the areas had information sharing protocols in place prior to the Pathfinder, the majority will need to consider how to share information between agencies and with families in a secure and appropriate manner</p>

SAFEGUARDING AND RISK MANAGEMENT

Safeguarding	<p>Most Pathfinder areas had begun to consider safeguarding and risk management or had sufficient systems/protocols in place prior to becoming a Pathfinder</p>	<p>Awareness raising of safeguarding issues and risk management will need to be embedded across operational staff, providers and families to ensure that all are sufficiently informed</p>
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Source: SQW

1: Introduction

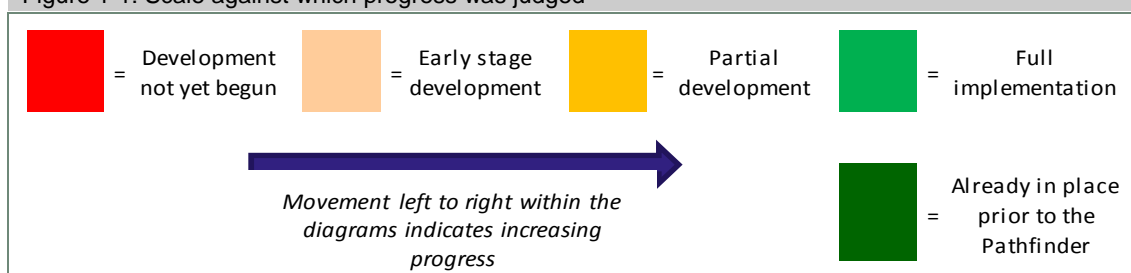
Purpose of this report

- 1.1 This report is the third in a series of progress reports that will be produced throughout the course of the 18 month evaluation of the SEND Pathfinder programme. The first and second reports - *The Evaluation Briefing Report Jan 2012* and *The Evaluation of the SEND Pathfinder Programme Quarterly Report March 2012* – are available at <http://www.education.gov.uk/childrenandyoungpeople/send/b0075291/green-paper/evaluation>.
- 1.2 This report presents:
- Commentary and analysis on the first set of monitoring returns received from all Pathfinder areas, which detailed self-reported progress and cost information from the outset of the Pathfinder Programme to the end of March 2012
 - An update on the number of families recruited by sites by June 2012
 - Feedback on the activities undertaken by the Pathfinder Support Team reported through the monitoring returns for the same period of time
 - An introduction to the Special Educational Needs Direct Payment (SEN DP) Pilot Programme, its evaluation and initial findings from this work
 - An update on the progress made by and next steps of the evaluation team.

Self-reported progress

- 1.3 The Common Delivery Framework (CDF) was developed to enable structured data collection and assessment of delivery and costs at different stages of the Pathfinder process. It sets out a series of themes and elements which it was anticipated each Pathfinder would need to address as part of developing its local activity (see Annex A). Progress has been and will be tracked on a quarterly basis through the area level monitoring submissions. It is for each area to judge its own progress.
- 1.4 Analysis of the submissions made for Quarter 4 of 2011/12 is detailed within this report (with Quarter 3 2011/12 data also illustrated for completeness) under the four themes of the CDF: Organisational engagement and cultural change (Chapter 2); Engaging and involving families (Chapter 3); Setting up the infrastructure (Chapter 4); and Safeguarding and risk management (Chapter 4). Progress was judged on a scale from 'not yet begun' through to 'full implementation' and is illustrated throughout the report using the colour coding shown in Figure 1-1.

Figure 1-1: Scale against which progress was judged



Source: SQW

- 1.5 Each Pathfinder area that received DfE SEND Pathfinder grant funding completed an individual monitoring submission. The data analysis is based on 29 monitoring responses from the 31 Pathfinder areas; as one consortium received a single grant and another pooled their grant funding and thus completed a single monitoring submission.

Work undertaken by the evaluation team

- 1.6 Table 1-1 provides a description of the research that has been undertaken between April and June 2012. This details both the research that forms the basis of this report, and on-going work.

Table 1-1: Research undertaken between April and June 2012

Research Method	Description
Monitoring	<ul style="list-style-type: none"> Received complete set of monitoring submissions from all Pathfinder areas in mid April 2012, which reported progress made from the outset of the Pathfinder to the end of March 2012 Reviewed the monitoring submissions and undertook a verification exercise with several areas in cases where data anomalies had been identified Finalised the dataset and undertook an analysis of the data
Parent-carer survey	<ul style="list-style-type: none"> Development of the parent-carer survey, including expert review by the parent-carer representatives that sit on the evaluation expert panel Development of associated survey materials, including advance letters for families Briefing session undertaken with survey interviewers Survey began on the 15th of May 2012
Case study research	<ul style="list-style-type: none"> On-going discussion and negotiation with case study areas to support and monitor their recruitment of both Pathfinder and Comparator families and young people to take part in the evaluation
Additional impact evaluation work	<ul style="list-style-type: none"> Inclusion of an additional non-case study site – Hartlepool & Darlington – who have agreed to recruit a small number of comparison families
Staff work and satisfaction survey	<ul style="list-style-type: none"> Rolling collection of staff contact details from across the Pathfinder areas Dissemination of the baseline staff work and satisfaction survey to over 750 staff

SEN Direct Payments

- 1.7 The SEND Green Paper made a commitment to explore how to increase the scope for making direct payments and to include funding streams from education. This led to the creation of a new power in the Education Act 1996 to establish a set of pilots by order, which enable Pathfinder local authorities as well as the previous Individual Budgets (IBs) for families with

disabled children pilot programme sites, to test the making of direct payments for those education services that are covered by:

- The special educational provision specified in a SEN statement
- Provision identified in a Section 139A Learning and Skills Act 2000 Assessment
- Transport (or anything else that may be subject to arrangements under specified sections of the 1996 Education Act).

1.8 This additional flexibility is being evaluated as part of the evaluation of the Pathfinder Programme and therefore findings from this work will be reported as part of the regular Quarterly Pathfinder Evaluation Reports.

1.9 An introduction to this work and initial findings are reported in a self-contained chapter of this report.

Structure of the report

1.10 The remainder of the report is structured as follows:

- Chapter 2: Progress developing organisational engagement and cultural change
- Chapter 3: Progress engaging and involving families
- Chapter 4: Progress setting up the Pathfinder infrastructure
- Chapter 5: Pathfinder costs and inputs
- Chapter 6: Feedback on the Pathfinder Support Team
- Chapter 7: SEN Direct Payments
- Chapter 8: Conclusions and implications
- Annex A – The Common Delivery Framework.

2: Progress developing organisational engagement and cultural change

- 2.1 The effective delivery of the new Pathfinder approaches will be dependent on the engagement and commitment of a number of stakeholders in each area, including strategic and operational staff, families and the voluntary and community sector (VCS). Moreover, areas will need to consider how to build the skills and capacity of this group of stakeholders, and ensure that adequate resource is provided to communicate and deliver the required cultural change.
- 2.2 This Chapter presents the progress made by the Pathfinder areas against the four elements which make up the *organisational engagement and cultural change* theme of the CDF:
- Engagement of relevant stakeholders
 - Recruitment of designated staff
 - Change management
 - Market development and the local offer.

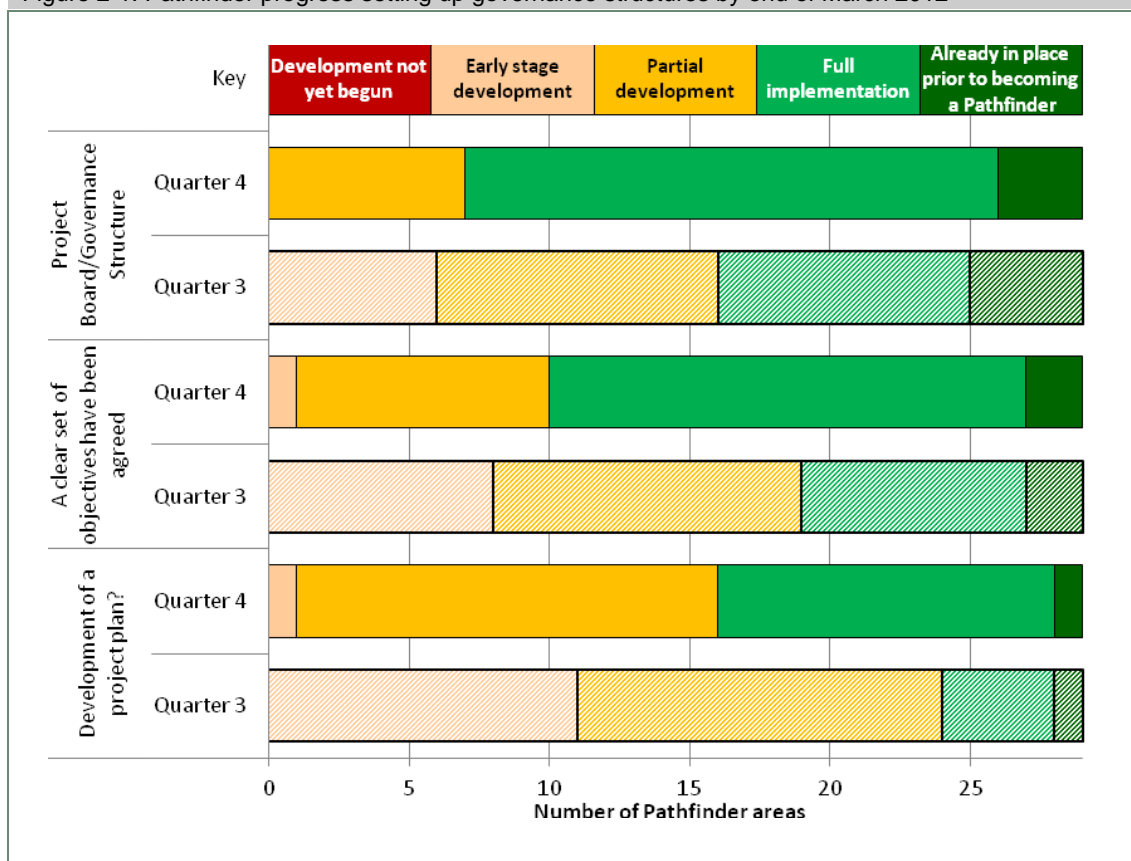
Organisational engagement and cultural change

Setting up Pathfinder governance structures

- 2.3 The Pathfinder areas had made substantial progress setting up governance structures by the end of March 2012 (Figure 2-1). Three quarters of areas (22) had their board or governance structure fully in place², and two thirds (19) perceived that they had agreed a clear set of Pathfinder objectives.

² They had either rated themselves as at 'full implementation' or the governance structure was 'Already in place prior to becoming a Pathfinder'

Figure 2-1: Pathfinder progress setting up governance structures by end of March 2012



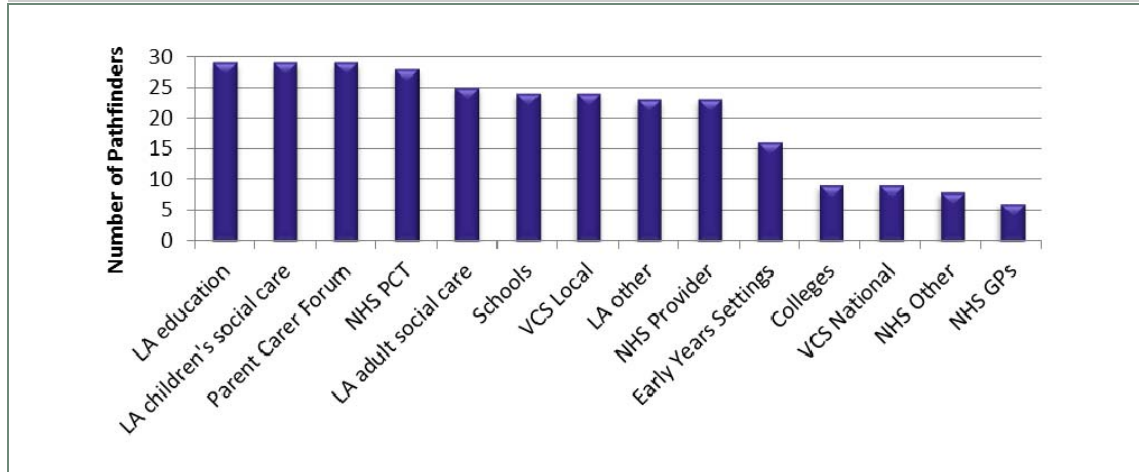
Note: Quarter 4 figures provide the most recent picture of areas self-assessed position (by the end of March 2012). Figures for the end of quarter 3 (December 2012) are also reported to illustrate progress. The colours of the quarter 3 data are hatched to make the distinction between quarter 3 and 4 data clearer

N=29 responses

Source: Pathfinder Monitoring Returns

- 2.4 There appeared to have been good levels of strategic involvement in Pathfinder governance structures from across most parties by March 2012 (Figure 2-2). The data illustrated that a common group of stakeholders had been engaged across the majority of Pathfinder areas including: professionals from Local Authority education and children's services (29 areas); parent/carers (29 areas); professionals from health (28 areas), adult care (25 areas), schools (24 areas); and the local VCS (24 areas).
- 2.5 Looking across the areas, two thirds (19) had engaged each of the stakeholders in this common group. By contrast, engagement of stakeholders from early years settings, the national VCS and colleges was less widespread. For example, only nine areas had engaged colleges in the governance of their Pathfinder by March 2012, and in several cases areas which were intending to focus on older age groups and employment appeared not to have strategic college engagement. This lack of engagement may be driven by a number of factors, including relevance to the target group of individual areas.

Figure 2-2: Which stakeholders have been engaged in governance of the Pathfinder to date?



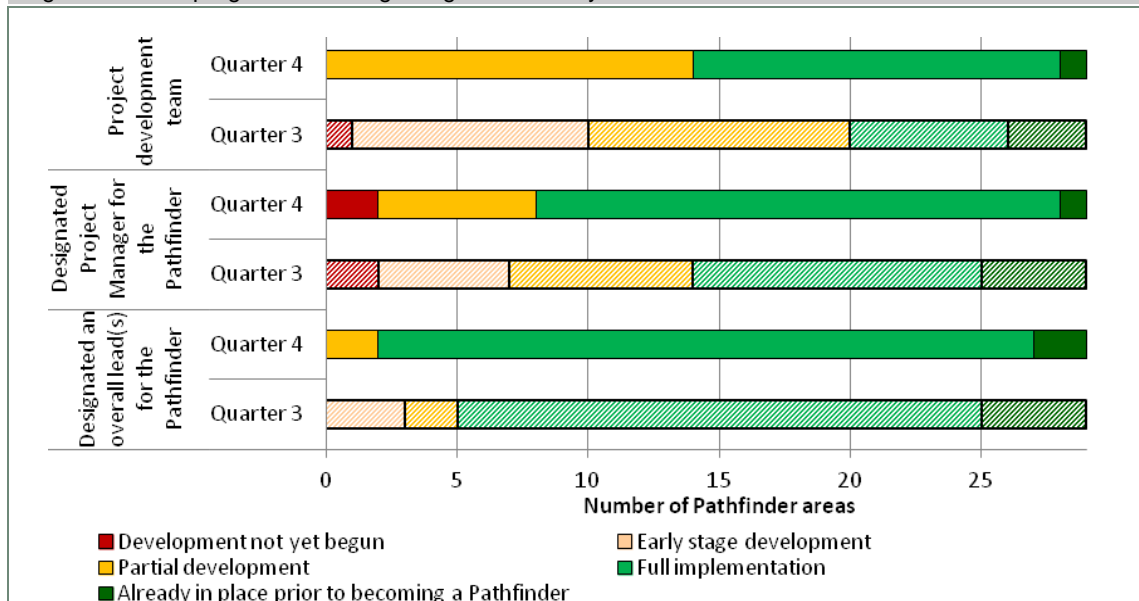
N=29 responses

Source: Pathfinder Monitoring Returns

Recruitment of staff

- 2.6 The majority of areas had a designated Lead and a Project Manager in post by March 2012 (in a number of areas the Lead also acts as Project Manager) (Figure 2-3). However, organisational restructuring and subsequent job losses across a number of areas had resulted in changes to the project teams. In some cases this has caused discontinuities and delayed development.

Figure 2-3: Site progress recruiting designated staff by end of March 2012

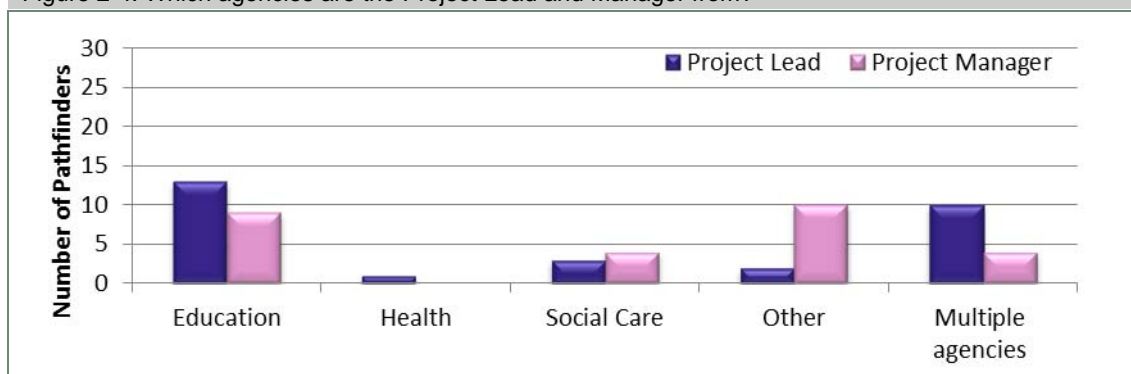


N=29 Responses

Source: Pathfinder Monitoring Returns

- 2.7 The individuals leading the Pathfinders most often came from an education background, in recognition that much of the programme is focussed around education and SEN (Figure 2-4). Exceptions included individuals sourced from a multi-agency background, for example a combined education, health and social care background.

Figure 2-4: Which agencies are the Project Lead and Manager from?

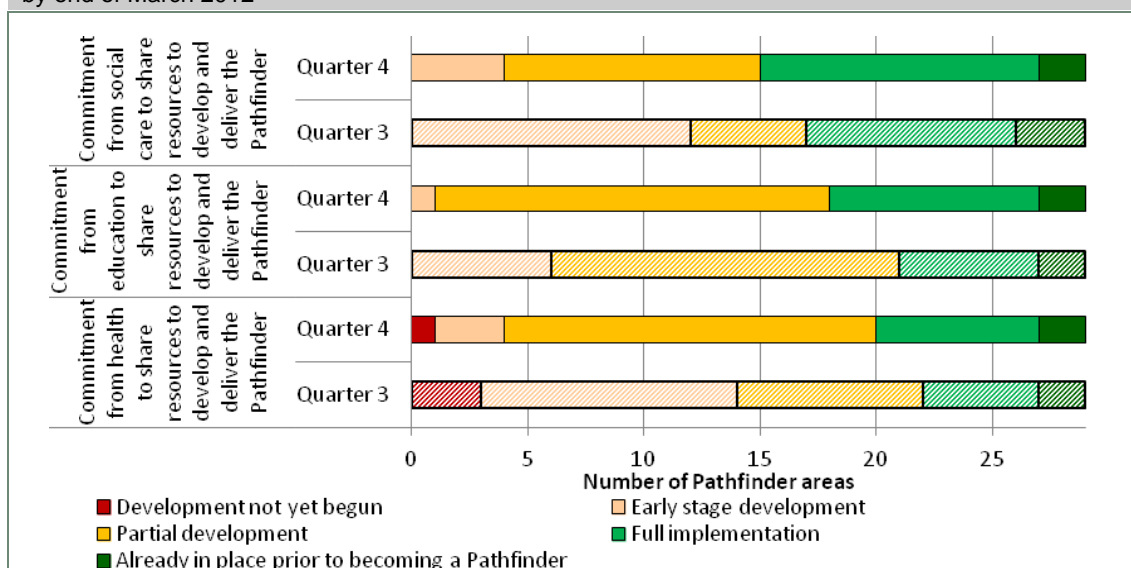


Project Lead N=29 responses, Project Manager N=27 responses, Areas were only asked which agency their Project Manager was for if they had rated their progress on 'Designated Project Manager for the Pathfinder' at least at 'partial development'.
Source: Pathfinder Monitoring Returns

Commitment to share resources

- 2.8 By the end of March 2012, most Pathfinder areas reported that they had at least partially developed commitment from education (28), social care (25) and health (25) to share resources (Figure 2-5), signalling a growth in collective responsibility to develop and deliver the Pathfinder from Quarter 3 to 4.

Figure 2-5: Site progress gaining commitment to share resources to develop and deliver the Pathfinder by end of March 2012



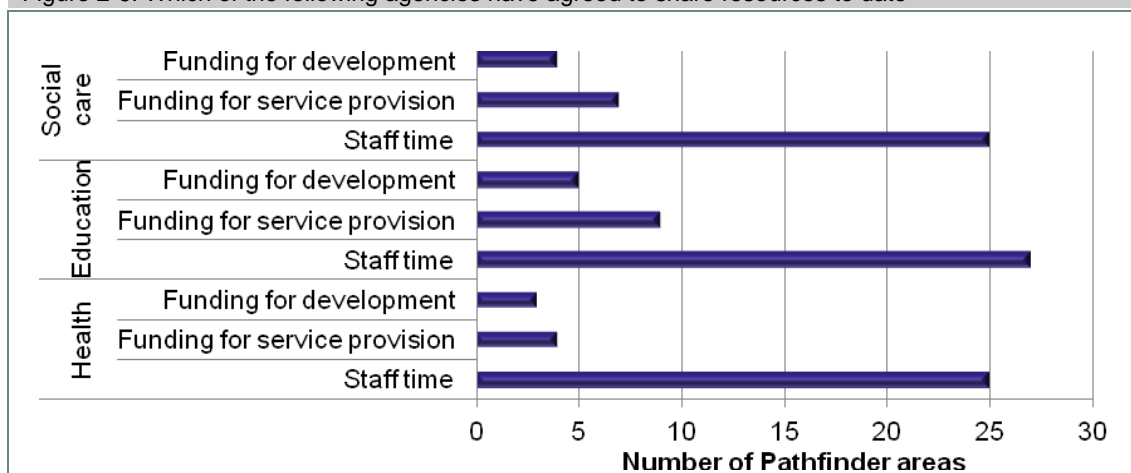
N=29 Responses
Source: Pathfinder Monitoring Returns

- 2.9 Most Pathfinder areas had secured contributions of staff time from each agency to support the development of the Pathfinder. However, far fewer had secured funding for development of the Pathfinder or to resource the resultant service provision (Figure 2-6).
- 2.10 In cases where areas had successfully leveraged funding, most had been sourced from the service background of the Project Lead. For instance six of the 12 areas where the Project Lead was from social care (or from multiple agencies including social care) had been able to leverage social care funding for service provision and four had been able to leverage funding for development. By comparison, only one of the 17 areas without a social care Project Lead

had been able to leverage social care funding for service provision and none had been able to obtain social care funding for development.

- 2.11 This finding implies that Pathfinder Leads may initially be able to exert their influence within their own service background, i.e. the situation within which they are most comfortable, and it remains to be seen whether they can and will subsequently work outwards from this basis. However, it will be important for all the relevant agencies to agree how they intend to resource the packages agreed for the families participating.

Figure 2-6: Which of the following agencies have agreed to share resources to date

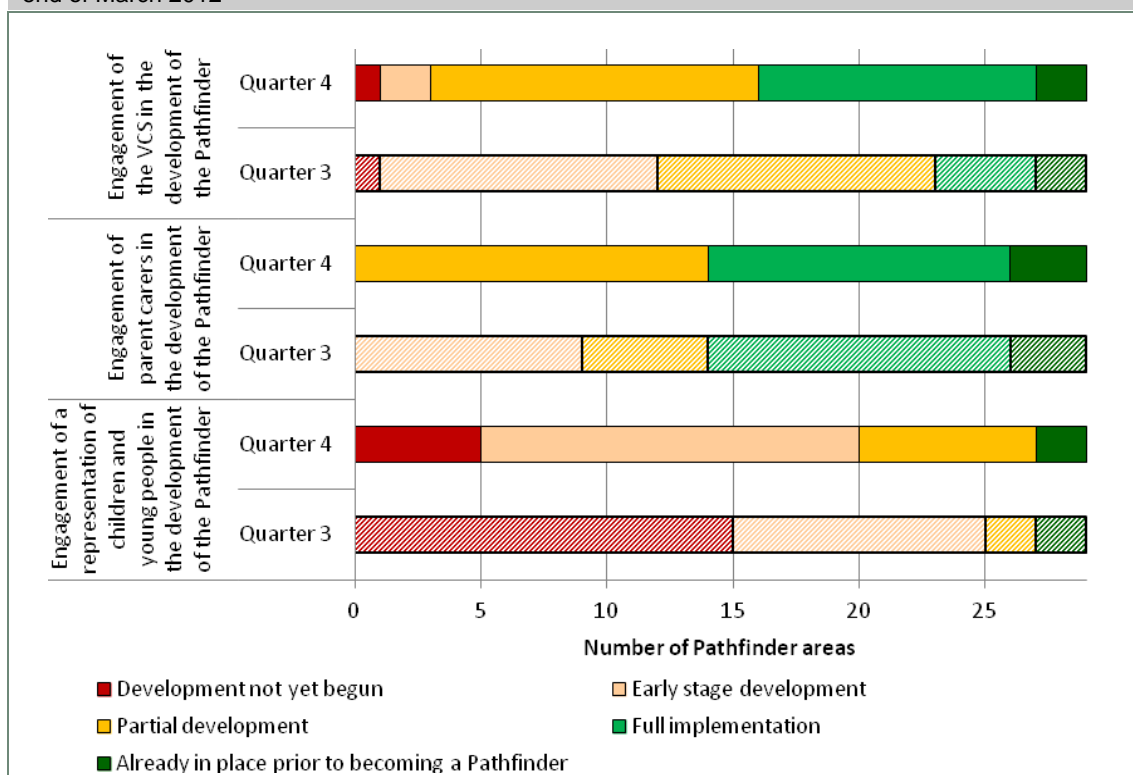


Social care N= 25 Responses, Education N= 28 Responses, Health N = 26 Responses
Source: Pathfinder Monitoring Returns

Engagement of parent/carers, children/young people and the VCS

- 2.12 Pathfinder areas had made good progress in terms of engaging the VCS and parent/carers in the development of the Pathfinder by March 2012, although the majority of areas were still in the early stages (or had not yet begun) engaging children and young people in this development (Figure 2-7). Many areas had used a combination of methods to engage parent/carers in the development of the pathfinder, including recruitment through their Parent Carer forum and of volunteers. Understanding of how these representatives were engaged and involved in the Pathfinder areas will be gathered through the case study research.

Figure 2-7: Pathfinder area progress engaging parent/carers, children/young people and the VCS by end of March 2012



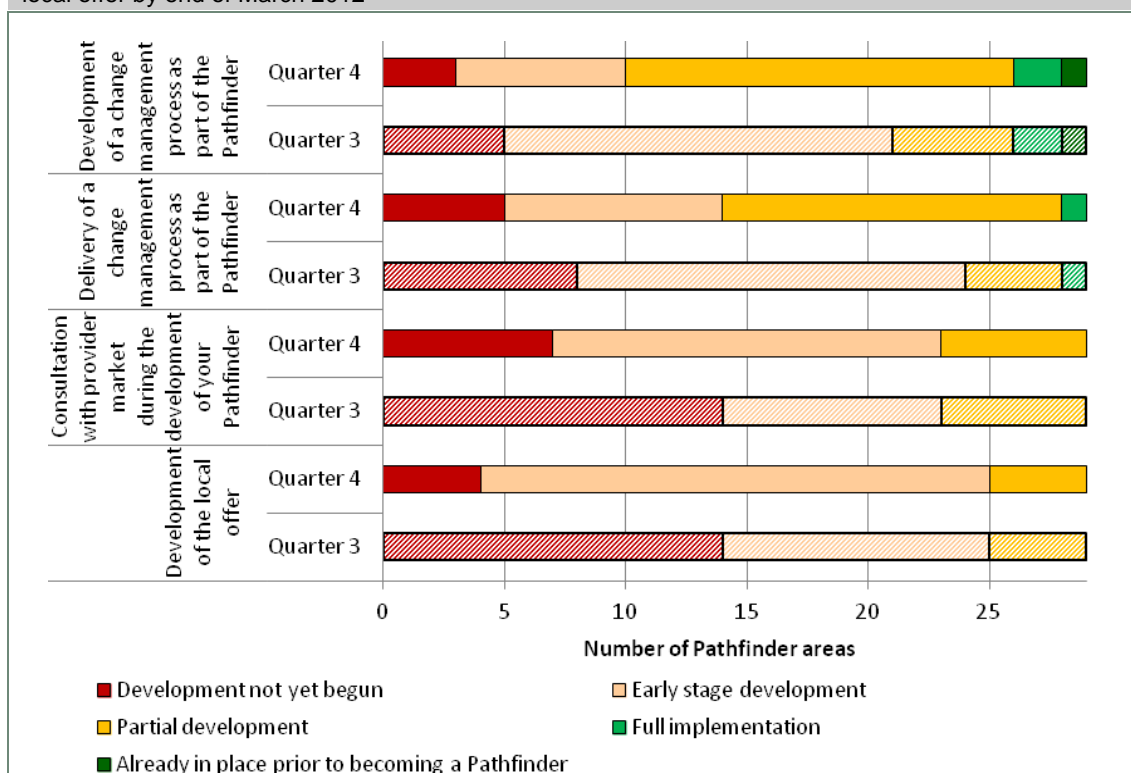
N=29 Responses

Source: Pathfinder Monitoring Returns

Change management, market development and the local offer

- 2.13 Most of the Pathfinder areas had started to consider the development of their approaches to change management, market development and the local offer by the end of March 2012. However many still perceived themselves to be in the early stages of developing these elements (Figure 2-8). This finding mirrored the position reported by the ten case study areas in February/March 2012, where for example, thinking around market development/the local offer had included only initial discussions on what this should include and how best to take this forward.

Figure 2-8: Pathfinder area progress developing change management, market development and the local offer by end of March 2012



N=29 Responses

Source: Pathfinder Monitoring Returns

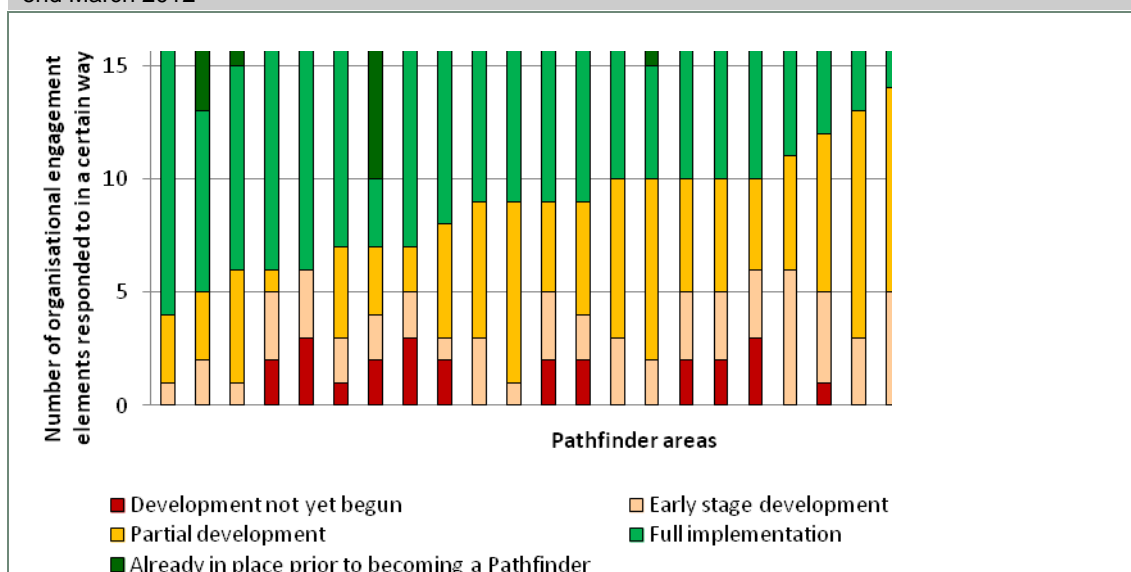
- 2.14 Of the three elements, most progress had been made in relation to change management. Fourteen of the 15 areas that had reached at least ‘partial development’ on delivery of their change management process by March 2012 had delivered this through a mixture of formal and informal routes; where formal change management had involved organised workshops and training, and informal change management had involved staff supporting each other informally to learn new ways of working.

Variations in self assessed progress across Pathfinder areas

- 2.15 Figure 2-9 provides an illustration of the perceived progress made by each of the Pathfinder areas (each column represents a single area’s responses) against each of the 16 constituent progress measures contained in the organisational engagement and cultural change theme. This highlights that whilst 19 of the Pathfinder areas judged at least a third of the 16 progress measures to be fully in place³, 13 areas were still in the early stages of developing (or had not yet begun) a third of their progress measures. This variation may reflect the differing starting points and/or initial focuses of each of the areas, as well as the differing perceptions of individual areas in relation to when they have reached the relevant stage of development.

³ Either at ‘full implementation’ or ‘already in place prior to becoming a Pathfinder’

Figure 2-9: Responses to traffic light questions on organisational engagement and cultural change at end March 2012



N=29 Responses

Source: Pathfinder Monitoring Returns

Summary

- 2.16 Table 2-2 presents a summary of the progress made against the organisational engagement and cultural change theme of the CDF by the end of March 2012.

Table 2-1: Summary of progress made against the Organisational engagement and cultural change theme

- Pathfinder areas had made substantial progress setting up Pathfinder governance structures by March 2012, and appeared to have good levels of strategic engagement from most parties including parents and the VCS
- The majority of areas had a designated lead for their Pathfinder and a Project Manager in post
- Most Pathfinders were led and/or managed by staff drawn from education
- Most areas had secured commitment to share staff time to develop and deliver the Pathfinder, but few had secured funding for development or to finance the resultant service provision from education, health or social care
- Limited progress had been made in shaping and delivering change management for professionals and families and similarly, only most Pathfinder areas were only at the early development stage in relation to market development and their local offer
- While there was variation in the extent to which areas were fully implementing organisational engagement and cultural change by March 2012, all areas had reported at least some level of development against 13 or more of the 16 progress measures.

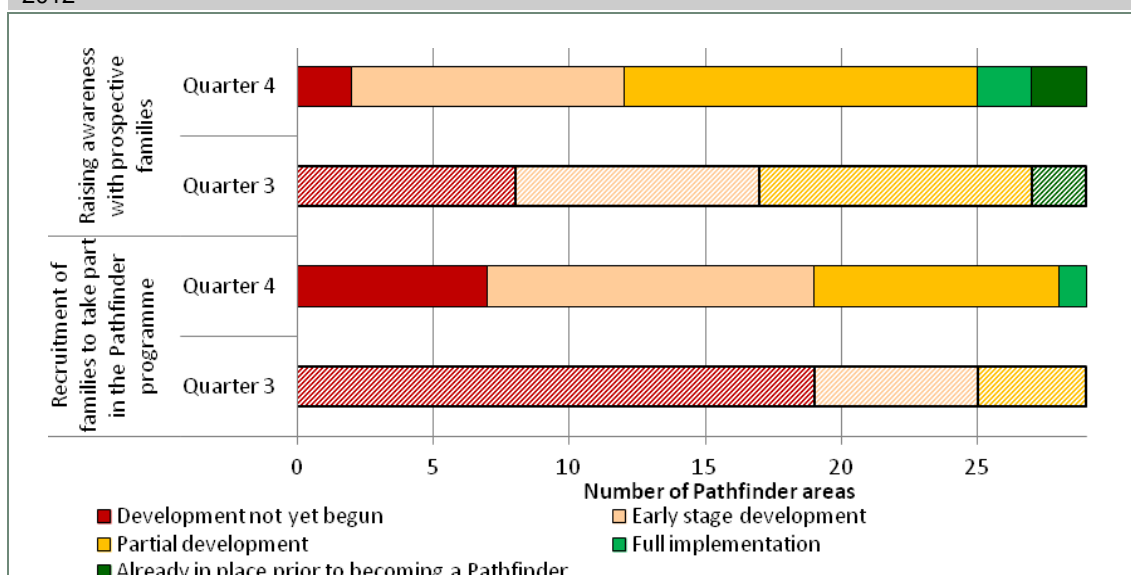
3: Progress engaging and involving families and young people

- 3.1 As part of the Pathfinder, areas will need to raise awareness of the programme and communicate the opportunity to participate to prospective families. Then, once families are recruited, areas will need to offer some form of support to their participating families. This may include the VCS providing individual or group support to participating families to help build their confidence and skills, and/or families providing advice to each other as they progress through the relevant assessment and single plan pathway.
- 3.2 This Chapter of the report presents progress made by the Pathfinder areas against the two elements which make up the *engaging and involving* theme of the CDF:
- Awareness raising with families
 - Peer support.

Awareness raising with families

- 3.3 Most areas had begun to consider raising awareness of the Pathfinder with prospective families and young people by the end of March 2012, with only two reporting that they had not yet begun the development of this element (Figure 3-1). As a result of the limited awareness raising, only limited recruitment had begun to take place, with only ten areas having reached partial development or beyond.

Figure 3-1: Pathfinder progress of awareness raising with families and young people by end of March 2012



N=29 responses

Source: Pathfinder Monitoring Returns

Recruitment to date

- 3.4 By early June⁴ 129 families and young people had been recruited, i.e. they had agreed to take part in the Pathfinder process and had been registered on the monitoring tool, by a total of nine areas (although almost half of this initial cohort were recruited from one site). A further 34 comparator families and young people had been recruited by three Pathfinder areas⁵ (Table 3-1).

Table 3-1: Families and young people recruited by 11th June 2012

	Number of families and young people recruited to date	Number of areas that have recruited to date	Range of families and young people recruited per area
Pathfinder families and young people recruited	129	9	1 – 61
Comparator families and young people recruited	34	3	6 – 20

Source: Site Monitoring Returns

- 3.5 Anecdotal feedback from Pathfinder areas showed that many were likely to recruit a small number of families and young people during the Summer school term and then a larger cohort during the Autumn term. Therefore, findings from the parent-carer survey, which will act as the primary source of family based impact information, are likely to present a limited picture of the effectiveness of the new approaches based on early experiences of smallish numbers, rather than from delivery of a system which has at least been piloted to a larger cohort.

Nature of the Pathfinder families and young people

- 3.6 Of those families and young people that had been recruited to take part in the Pathfinder by early June 2012 (see Table 3-2):
- Over two thirds (71%) of the children and young people recruited were male
 - The majority were from white ethnic backgrounds
 - A small proportion (3% or 4 children and young people) were known to have looked after status
 - Children/young people had been recruited across each of the age groups set out above; suggesting the Pathfinder will provide the opportunity to test approaches with children/young people at different stages of development.
- 3.7 Given the figures present partial recruitment from only nine of the 29 Pathfinder areas, it is too early to draw conclusions about the representativeness of the cohort.

⁴ Figures as of the 11th June 2012

⁵ A number of the Pathfinder areas are recruiting comparator families, who will go through the traditional assessment and planning pathway as Pathfinder families go through the new Pathfinder approach.

Table 3-2: Characteristics of Pathfinder families recruited

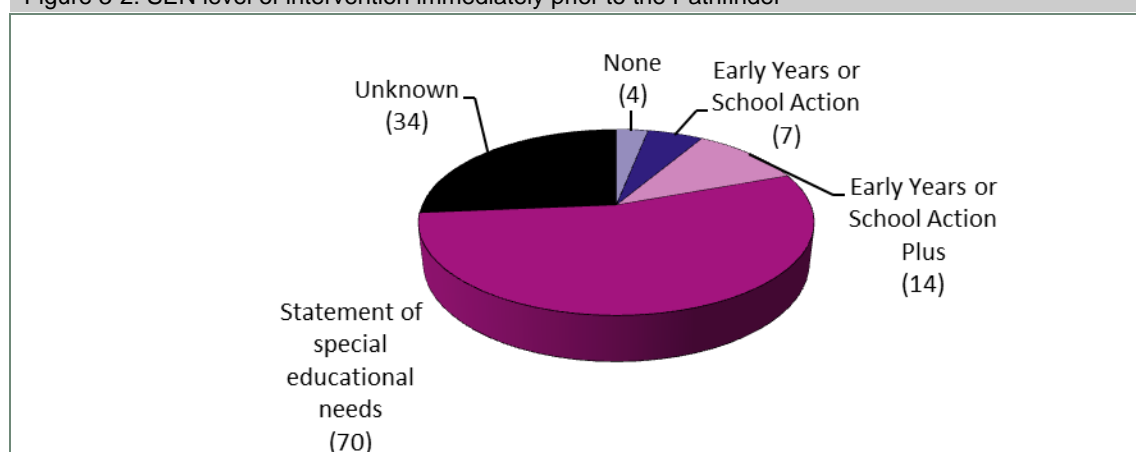
		N	%
Gender of child/young person	Male	91	71%
	Female	36	28%
	Undisclosed at time of reporting	2	2%
Ethnicity	White	110	85%
	BME	8	6%
	Undisclosed at time of reporting	11	9%
Age	0-4 years	26	20%
	5-10 years	51	40%
	11-15 years	27	21%
	16-18 years	17	13%
	19+	8	6%
Looked after	Yes	4	3%
	No	90	70%
	Undisclosed at time of reporting	35	27%

N=129 families. Excludes comparator families.

Source: Pathfinder Monitoring Returns

- 3.8 Over half of the children and young people had a statement of special educational needs and the vast majority (92%) of children and young people recruited to date were in receipt of SEN services prior to the Pathfinder, although four (3%) had no additional educational support upon entering the Pathfinder⁶ (Figure 3-3). In addition the majority (80%) were in receipt of specialist health services and half were in receipt of social care services, implying that nearly all of those recruited were receiving support from at least two of the three agencies.

Figure 3-2: SEN level of intervention immediately prior to the Pathfinder



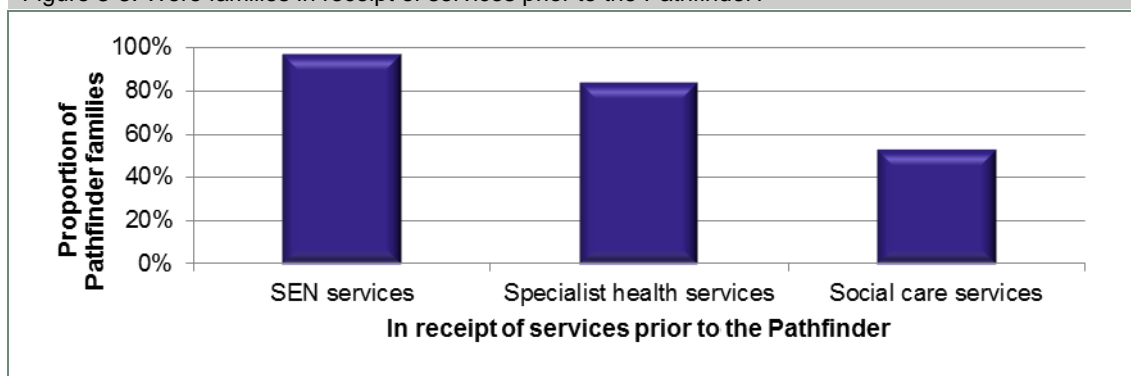
N=129 families. Excludes comparator families.

Source: Pathfinder Monitoring Returns

⁶ None of the young people recruited to date were reported to hold a Learning Difficulty Assessment, which may be the result of gaps in the data at the point at which the information was drawn out of the monitoring tool.

- 3.9 Testing the Pathfinder approach with existing service users will enable areas to understand the ease and issues associated with translating existing assessments and plans into a Single Plan and whether/how this affects user experience, service provision and/or outcomes of the children, young people and their families. Conversely, recruiting newcomers to the system will also be important, as this will test how the process will work for families without previous experience of the current system and without existing assessments/plans to draw on. Therefore, the Pathfinder areas should be encouraged to recruit a mixture of both existing service users and newcomers to the system.

Figure 3-3: Were families in receipt of services prior to the Pathfinder?



N=126 families. Excludes comparator families and families where information on their prior use of services had not yet been entered into the monitoring system.

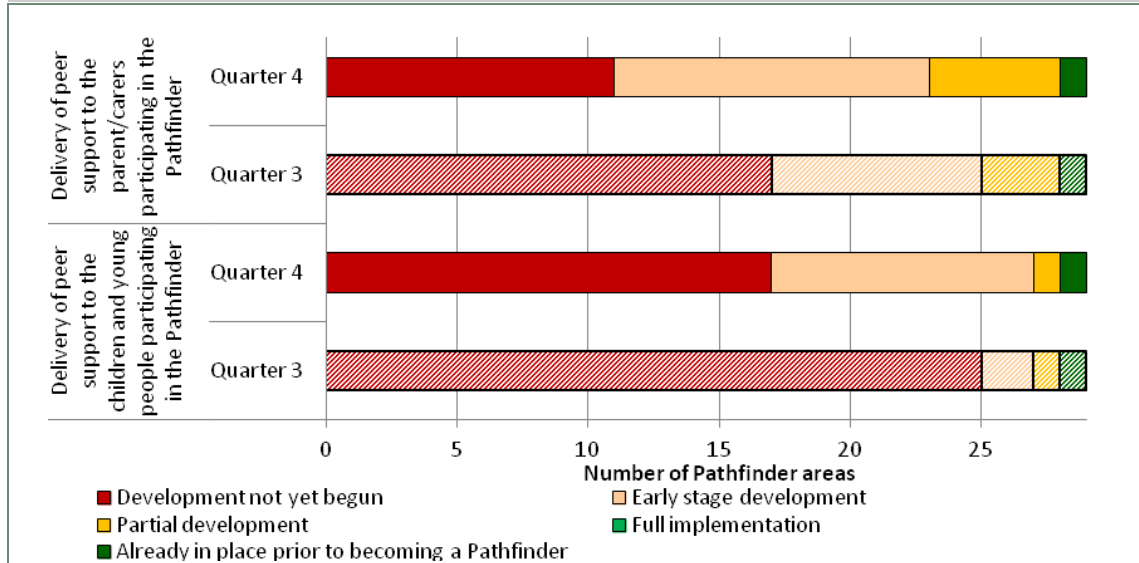
Source: Pathfinder Monitoring Returns

- 3.10 Families and young people had most commonly been referred into the system by Local Authority based education professionals (in 43% of cases), although a number had also been recruited through schools (20%) and via parent/carers (17%).

Peer support

- 3.11 The number of areas that had begun to develop peer support rose between December 2011 and March 2012 (Figure 3-4). However peer support tended to remain at an early stage of development, perhaps reflecting the focus on setting up core Pathfinder structures in the first two quarters.

Figure 3-4: Site progress on delivery of peer support by end of March 2012



N=29 responses

Source: Pathfinder Monitoring Returns

Summary

- 3.12 Table 3-3 presents a summary of the progress made against the engaging and involving families theme of the CDF by the end of March 2012.

Table 3-3: Summary of progress made against the Organisational engagement and cultural change theme

- By early June, nine areas had recruited a total of 129 families and young people.
 - The level of recruitment varied by site.
- Children and young people were recruited from across the 0-25 age bracket. They tended to have an existing statement of special educational needs and already be accessing services.
- The development of peer support was in its infancy, but expected to progress as families and young people began to go through the Pathfinder process.

4: Progress setting up the Pathfinder infrastructure

4.1 Each Pathfinder has been tasked with developing and delivering a new multi-agency assessment and single planning approach, which seeks to bring together the range of support on which children, young people and their parents/carers and families rely. The *setting up the infrastructure* theme of the CDF covers four elements, each of which will contribute to this process:

- Mapping of the single assessment and plan pathway
- Development of personal budgets
- Coordination and delivery of the Pathfinder approach
- Development of IT resources.

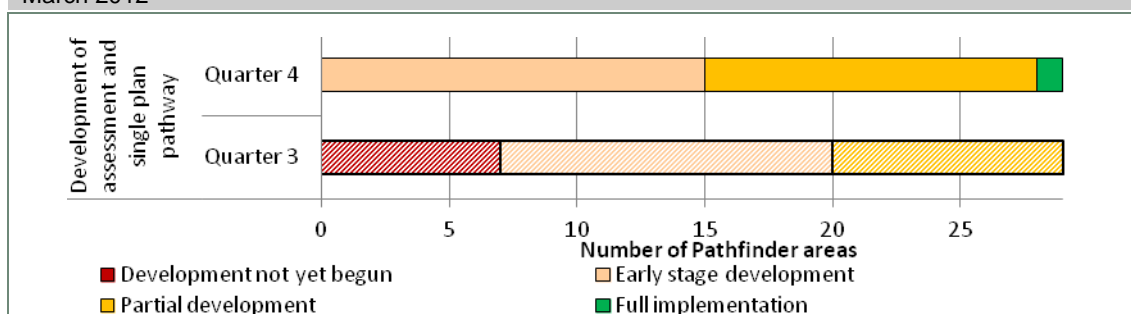
4.2 This Chapter provides an account of the progress made against this theme and subsequently summarises progress made against the final theme of the CDF – *safeguarding and risk management*.

Setting up the infrastructure

Mapping the single assessment and plan pathway

4.3 By the end of March 2012 all Pathfinder areas had begun to develop their assessment and single plan pathway, and around half of the areas had reached ‘partial development’ of the assessment and single plan pathway, and were thus able to provide some detail of their planned approach (Figure 4-1). This mirrored the evidence gathered during the initial round of case study visits⁷, which found that most of the ten case study areas had developed an initial vision for their Pathfinder approach, whilst only some had progressed further and begun to flesh out more detailed pathways.

Figure 4-1: Pathfinder area progress on mapping of the single assessment and plan pathway by end of March 2012



N=29 responses

Source: Pathfinder Monitoring Returns

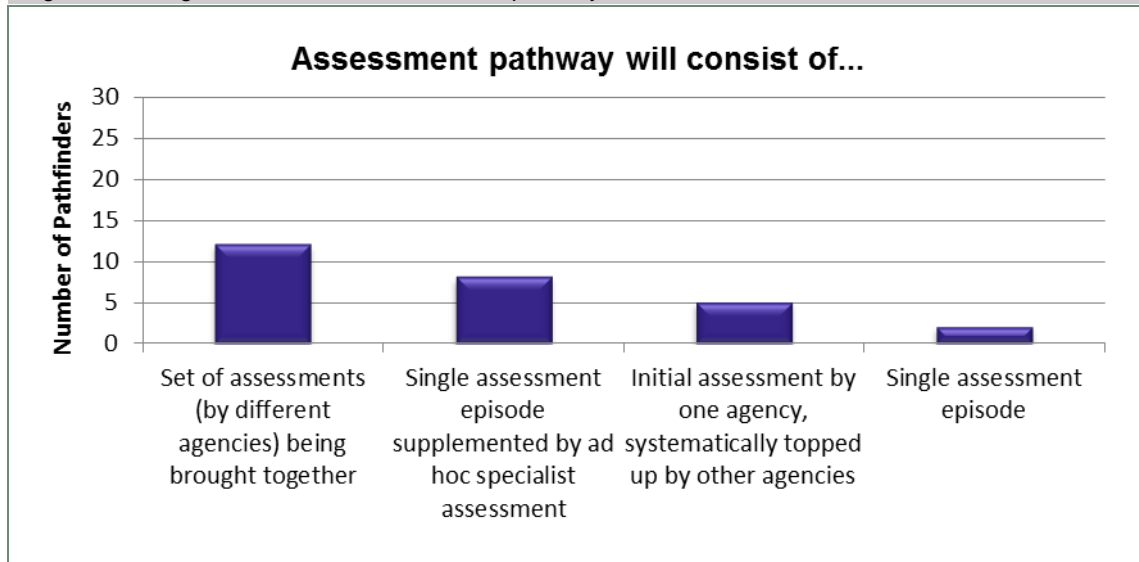
⁷ First round case study visits were undertaken in February/March 2012 in ten of the Pathfinder areas

4.4 Some common approaches appeared to be developing around Pathfinders intended pathways. (Figure 4-3). Assessment processes were most commonly expected to consist of:

- **A set of assessments (by different agencies) being brought together** – twelve of 14 areas
- **Single assessment episode supplemented by ad hoc specialist assessments** – 8 of 14 areas.

4.5 The former of the two processes was likely to be used to draw together existing information for those families that were already accessing services. Conversely, the second most common form of assessment was more likely to be used for families that had not previously accessed services. The extent to which this divergence in approach for the two groups becomes a reality will be monitored over the course of the evaluation.

Figure 4-2: Single assessment element of the pathway

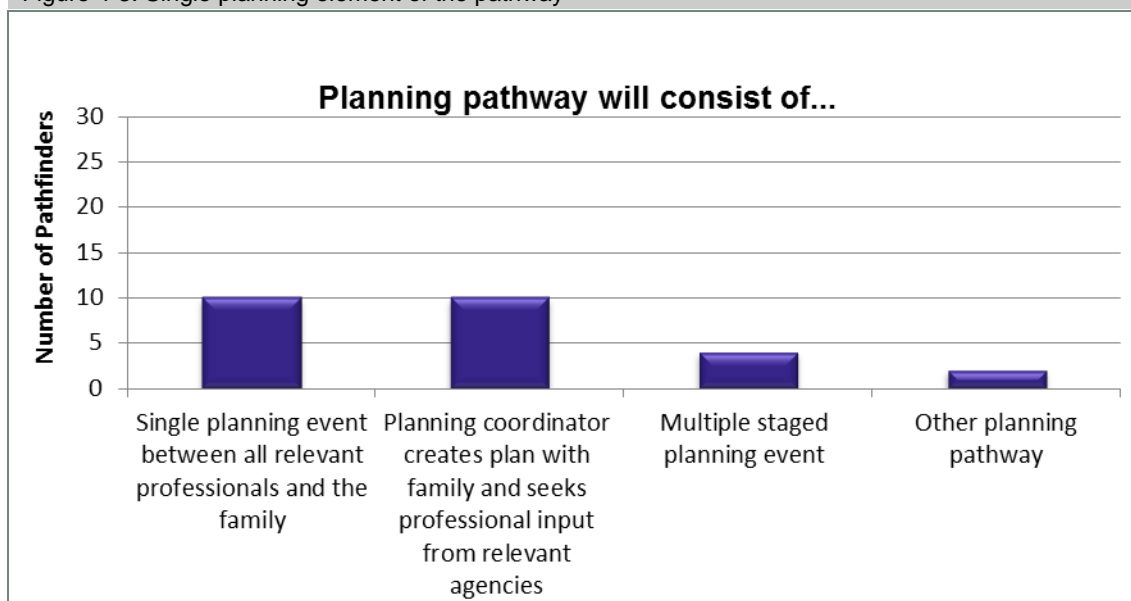


Note: Pathfinder areas were asked to select the two most commonly used forms of assessment and planning in their pathway N=14 responses. Areas were only asked the question if they were at least at 'partial development' in terms of developing a single assessment and planning pathway.

Source: Pathfinder Monitoring Returns

4.6 Similarly, the most common planning approaches adopted by the 14 areas were single planning events and the use of a planning coordinator to create the plan with the family and liaise with professionals from relevant agencies to obtain their input (Figure 4-3). We will explore the detail behind these developments during the next round of case study visits.

Figure 4-3: Single planning element of the pathway



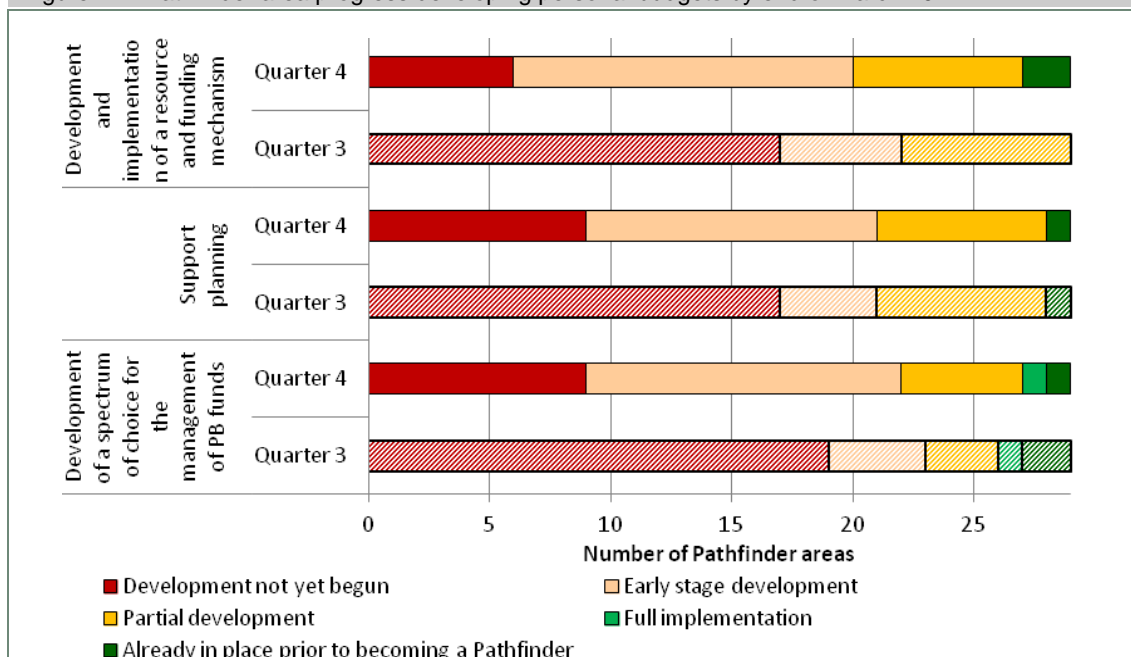
Note: Pathfinder areas were asked to select the two most commonly used forms of assessment and planning in their pathway N=14 responses. Areas were only asked the question if they were at least at 'partial development' in terms of developing a single assessment and planning pathway.

Source: Pathfinder Monitoring Returns

Development of personal budgets

- 4.7 Pathfinder areas tended to be at the early stages of developing personal budgets by the end of March 2012 (Figure 4-4). Moreover, five areas had not yet begun developing a resource and funding mechanism, support planning process or spectrum of choice for managing the personal budget funds. This finding again reiterates the evidence detailed in the March 2012 Quarterly Evaluation Report, which identified personal budgets as one of the least developed areas.

Figure 4-4: Pathfinder area progress developing personal budgets by end of March 2012



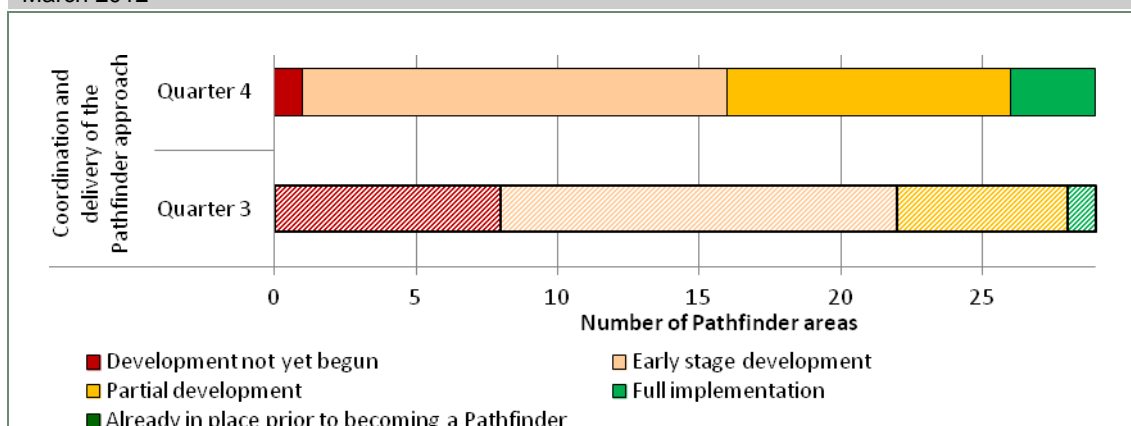
N=29 responses

Source: Pathfinder Monitoring Returns

Coordination and delivery of the Pathfinder approach

- 4.8 All but one of the areas had begun to think through how to coordinate and deliver their Pathfinder approach by the end of March 2012, although most had not yet passed early stage development (Figure 4-5). Evidence gathered during the first round of case study visits in February-March 2012 identified that all of the case study areas intended to provide participating families with some form of key worker or lead professional. The evaluation will explore the development of this role over the course of the programme.

Figure 4-5: Pathfinder area progress on coordination and delivery of the Pathfinder approach by end of March 2012



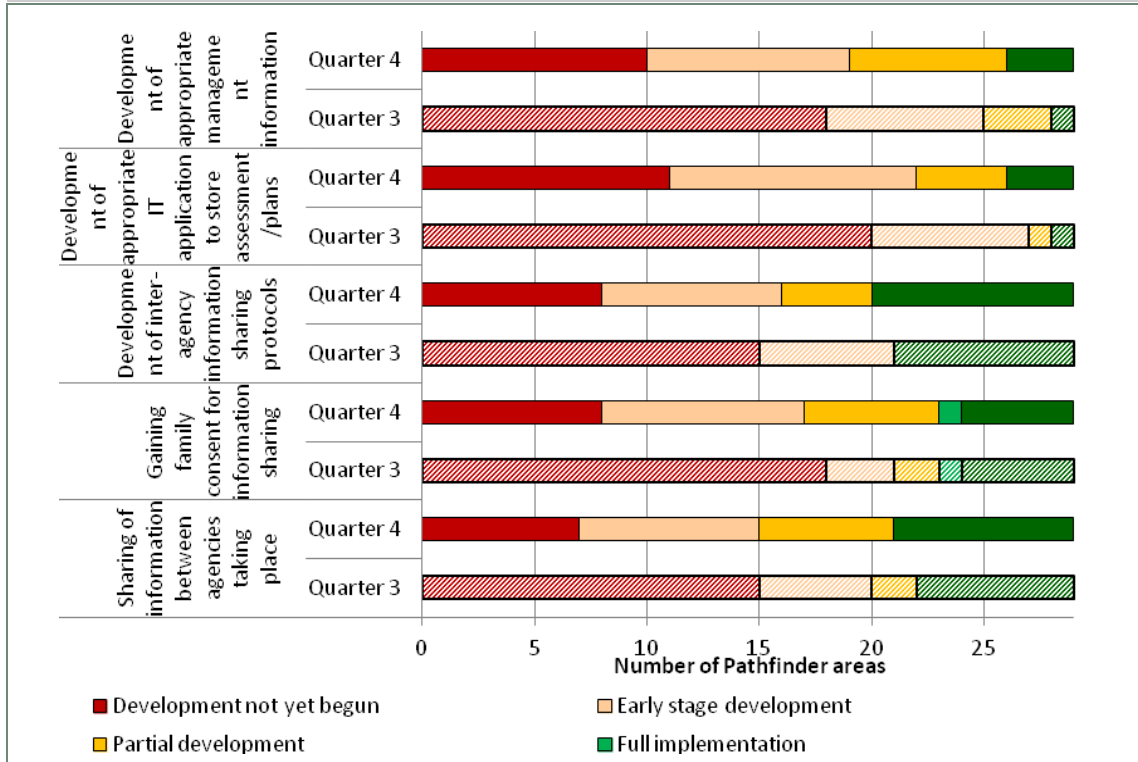
N=29 responses

Source: Pathfinder Monitoring Returns

Development of IT resources

- 4.9 Limited progress had been made on developing IT resources (Figure 4-6). Although most areas had made progress since the start of the Pathfinder, four areas had not yet begun development against any of the IT elements. Timely and secure sharing of information both with families and between agencies will be vital to the success of the new approaches. Therefore, it will be important for areas to rapidly develop appropriate protocols and systems.

Figure 4-6: Pathfinder area progress developing IT resources by end of March 2012



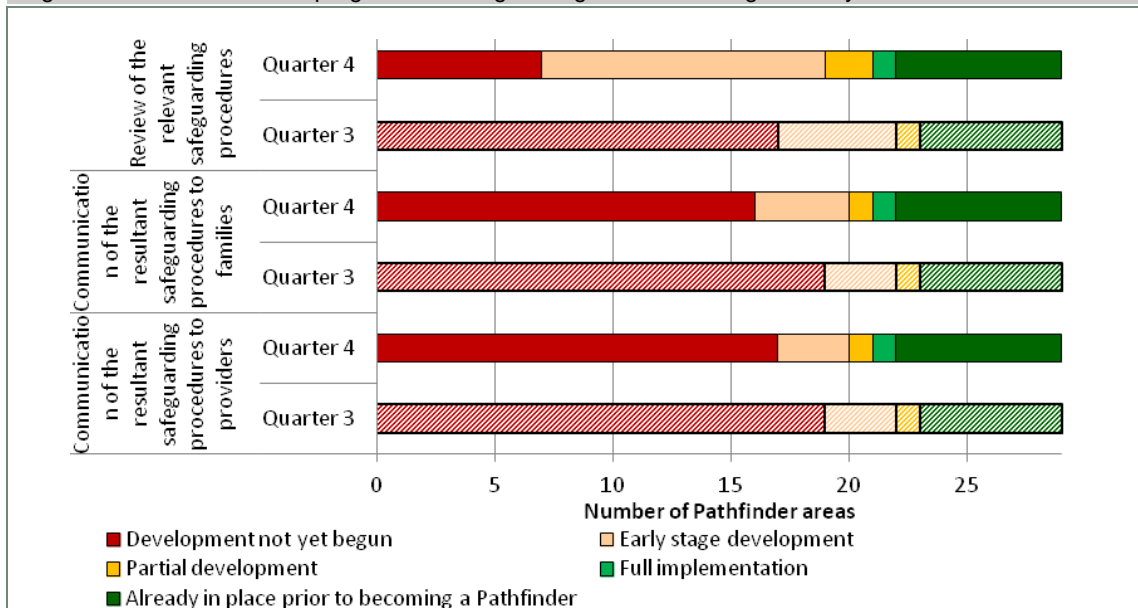
N=29 responses

Source: Pathfinder Monitoring Returns

Safeguarding and risk management

- 4.10 While 22 of the 29 Pathfinder areas had at least reached early stage development in terms of reviewing relevant safeguarding procedures (Figure 4-7), most were at an early stage in their thinking.

Figure 4-7: Pathfinder area progress on safeguarding and risk management by end of March 2012



N=29 responses

Source: Pathfinder Monitoring Returns

Summary

- 4.11 Table 4-1 presents a summary of the progress made against the engaging and involving families theme of the CDF by the end of March 2012.

Table 4-1: Summary of progress made against the Organisational engagement and cultural change theme

- All Pathfinder areas had begun to develop their assessment and single plan pathway by the end of March 2012, with around half of the areas reporting they had at least reached the partial development stage. Early evidence indicated that these pathways were most commonly expected to consist of:
 - Assessments - a set of assessments (by different agencies) being brought together OR a single assessment episode supplemented by ad hoc specialist assessments
 - Planning - single planning events and the use of a planning coordinator to create the plan with the family and liaise with professionals from relevant agencies to obtain their input.
- The evaluation will explore the detail behind how the different pathways are being developed during the next round of case study visits, which are due to take place in June/July 2012.
- Limited progress had been made around the development of personal budgets, IT resources, safeguarding and risk management and the coordination and delivery of the Pathfinder approach by the end of March 2012

5: Pathfinder costs and inputs

- 5.1 This chapter sets out the resources (people and money) involved in developing the Pathfinder through to March 2012. It covers: the use of grant funding from the Department for Education; additional funding sourced to support local Pathfinder developments; and in-kind time contributions by staff not directly funded by the Pathfinder. Analysis of the total costs and inputs across the 18 months of the Pathfinder will be provided in the Final Evaluation Report next year.

Financial inputs

- 5.2 The 30 Pathfinder areas⁸ each received a grant of £75,000 in 2011/12 and were to receive approximately £150,000 each in 2012/13 from the Department for Education. In addition, areas were offered an uplift of 10% for 2012-13, and most have taken up this offer. The Department's funding is to cover development costs, not the cost of service provision. Additional cash commitments were very limited. Six of the areas sourced a total of £22,615 of additional funding; most of which came from education (56% - £12,565), specialist health (34% - £7,750) and children's services (9% - £2,000).

Total funding and costs

- 5.3 Table 5-1 presents a picture of both the total funding contributions and financial and in-kind costs incurred across the Pathfinder programme up until March 2012.

Table 5-1: Net finances in 2011/12

	Total funding (grant funding + additional income)	Total financial costs	Total in-kind staff days
Mean	£75,754	£65,164	198
Median	£75,000	£72,988	203
Minimum	£75,000	£26,800	18
Maximum	£80,750	£78,774	693

N=30 responses

Source: Pathfinder Monitoring Returns

- 5.4 Median figures suggest that in the first two quarters of the programme, Pathfinders received, on average, £75,000 funding (including the DfE grant funding and additional income) and spent £72,988 of this funding. Twenty two of the 29 Pathfinders reported an underspend in their first year. Three areas spent less than half of their grant allocation. However overall, the median level of underspend was just £3,000. Potential reasons for the underspend include

⁸ Please note that one Pathfinder consortium incorporated all their funding into a single pot. Their funding and costs were divided evenly between the two areas to calculate the spend figures in this chapter.

slow Pathfinder team recruitment processes and an initial focus on thinking time as opposed to the development of resources that required finance.

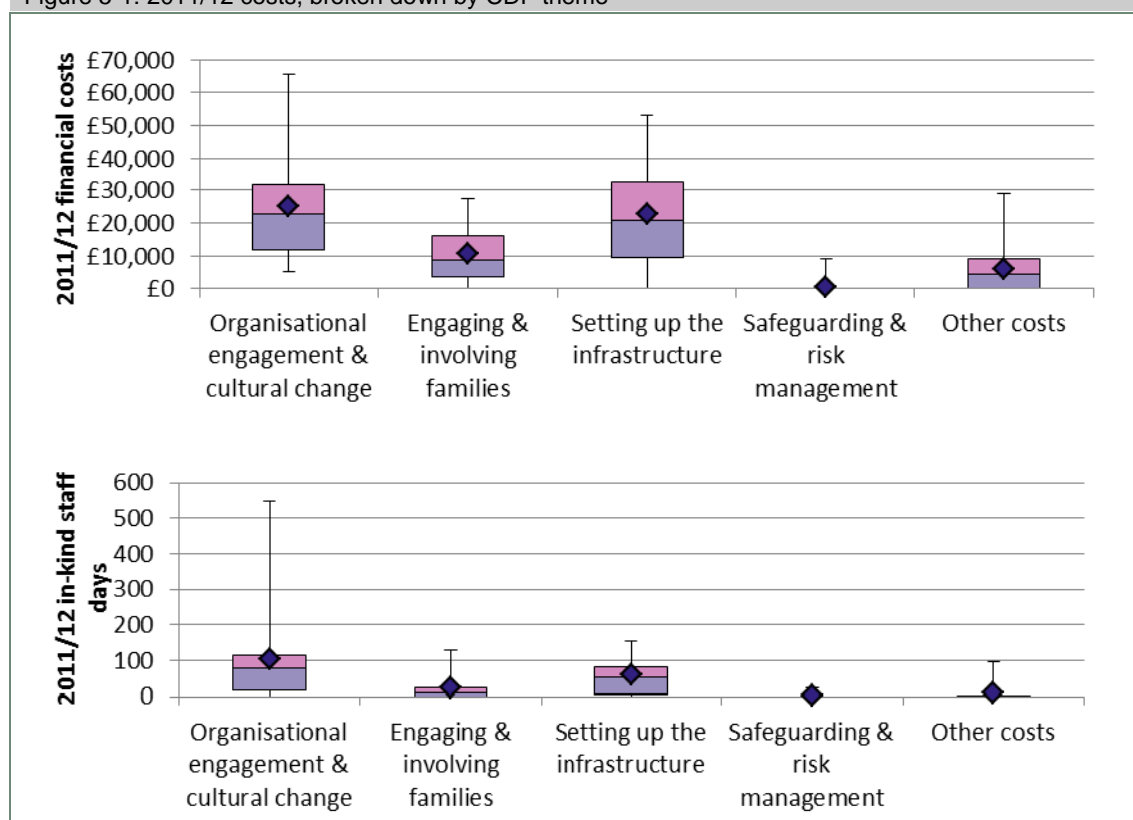
- 5.5 In addition the Pathfinders benefited from a median average of 203 in-kind staff days (see below for a breakdown of where these costs were incurred).

Breakdown of costs associated with developing the Pathfinders

Costs by area of spend

- 5.6 As highlighted in the previous chapters, much of the progress up to March 2012 was in setting up Pathfinder structures and mapping out process. In-keeping with this, the majority of financial costs (73%) and in-kind staff contributions (82%) through to March 2012 were associated with ‘organisational engagement and cultural change’ and ‘setting up the infrastructure’. However there was variation in expenditure across areas (Figure 5-1).

Figure 5-1: 2011/12 costs, broken down by CDF theme



Financial costs N=30 responses, In kind costs N=26. The box and whisker chart shows the median, interquartile range and minimum and maximum annual cost associated with each CDF theme. The diamond value marks the mean cost.

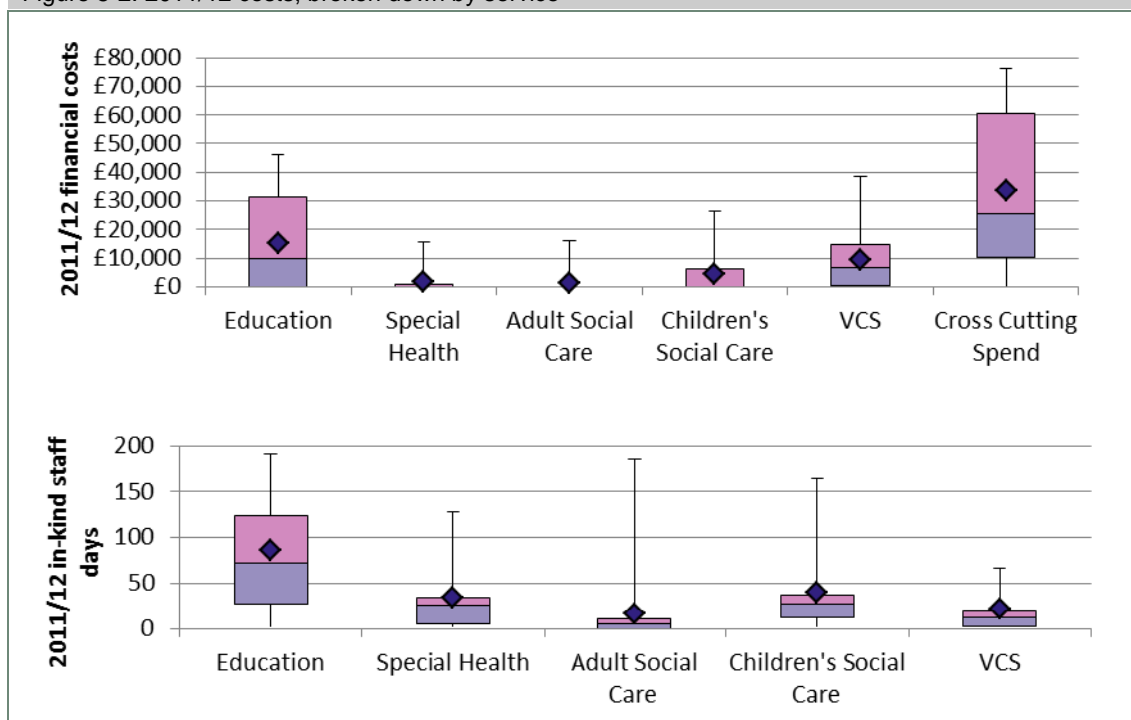
Source: Pathfinder Monitoring Returns

Costs by agency

- 5.7 Around half (52%) of financial costs incurred by the Pathfinders funded cross-cutting elements of the development process. This included costs that could not be apportioned to single agencies as they were perceived to have been spent to deliver multi-agency developments. A further 23% of the financial costs were incurred by education services, which also provided the majority of staff days in 2011/12 – 43% of all in-kind staff

contributions. The breakdown of costs across services varied on a site by site basis (Figure 5-2).

Figure 5-2: 2011/12 costs, broken down by service



Financial costs N=30 responses, In kind costs N=26. The box and whisker chart shows the median, interquartile range and minimum and maximum annual cost associated with each CDF theme. The diamond value marks the mean cost.
Source: Pathfinder Monitoring Returns

Summary

- 5.8 Table 5-2 presents a summary of the progress made against the engaging and involving families theme of the CDF by the end of March 2012.

Table 5-2: Summary of progress made against the Organisational engagement and cultural change theme

- The 30 Pathfinder areas each received a £75,000 Pathfinder grant from DfE for 2011/12. Six areas also sourced a total of £22,615 additional funding between them.
- Twenty two of the areas underspent in 2011/12, three of them by more than half their funding. However overall, the median level of underspend was just £3,000.
- Costs in 2011/12 had generally been spent against the 'organisational engagement and cultural change' and 'setting up the infrastructure' themes of the CDF, as both engagement and the development of key infrastructure was a priority during the early months of the Pathfinder.
- A substantial proportion of financial costs funded cross-cutting elements of the local development, and a sizeable amount of in-kind days were spent on the Pathfinder by education staff.
- Pathfinder areas will receive £150,000 for 2012/13. In addition, areas were offered an uplift of 10% for 2012-13, and most have taken up this offer.

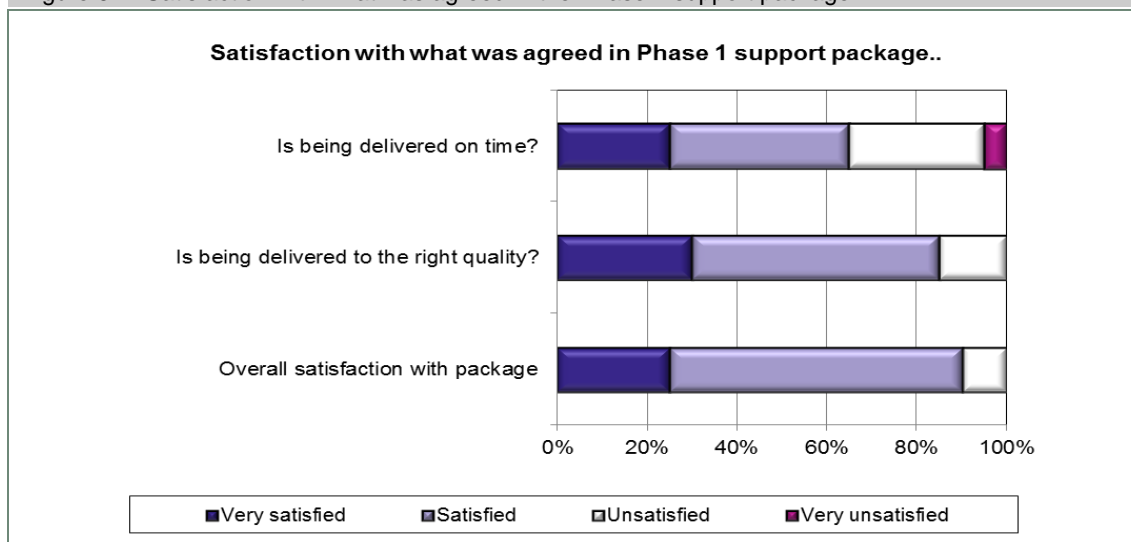
6: Feedback on the Pathfinder Support Team

- 6.1 This chapter presents feedback from across the Pathfinder areas on the activities provided by the Pathfinder Support Team (PST) over the first two quarters of the Pathfinder programme (Quarters 3 and 4 of 2011/12). This data was collected as part of the quarterly monitoring data submissions which sought feedback on the PST through a mixture of scaled and open questions.

Perceptions of the phase 1 (or initial) support package

- 6.2 The PST spent the early months of the Pathfinder undertaking a series of visits to all Pathfinder areas to build relationships and aid the development of tailored packages of support for each area. The PST sought to meet each area at as early a point as possible. Feedback on this development phase was mixed, with nine of the 29 areas (31%) reporting that their initial support package had not yet been agreed by the end of the second quarter of the Pathfinder programme (Quarter 4 2011/12). This suggested that either no support package existed for these areas, or that they didn't recognise that they had a support package in place.
- 6.3 Of the 20 Pathfinder areas that recognised that they had agreed a support package, the majority (90%) were generally very satisfied or satisfied with the Phase 1 support package as a whole (Figure 6-1). In addition, the majority (85%) of the 20 areas were either satisfied or very satisfied that their support package had been delivered to the right quality.
- 6.4 Perceptions of whether the phase 1 support package was delivered on time were more mixed. While 65% of the 20 areas were satisfied or very satisfied that the support package was delivered on time, 35% were either unsatisfied or very unsatisfied that this had occurred.

Figure 6-1: Satisfaction with what was agreed in the Phase 1 support package



Base: N= 20 responses

Note: The diagram is based on the 20 areas with agreed Phase 1 support plans and omits the remaining 9 areas

Source: Pathfinder monitoring returns

- 6.5 The timing of the visit was heavily dependent on individual areas responding to the PST's request to hold a meeting, which meant that the visits took place over several months. This issue is likely to have contributed to the perception amongst some areas that the phase 1 support package took a while to come fully into force. However, most of these areas went on to state that following the slow start, the PST was making a positive contribution to their work:

"My comments relate to the fact that the support took a bit of time to come online but now it is up and running it is offering the type of tailor made support required."

- 6.6 Additional feedback on this initial phase also included some areas reporting that they had been unclear of the type of support that was available. For example, one area reported:

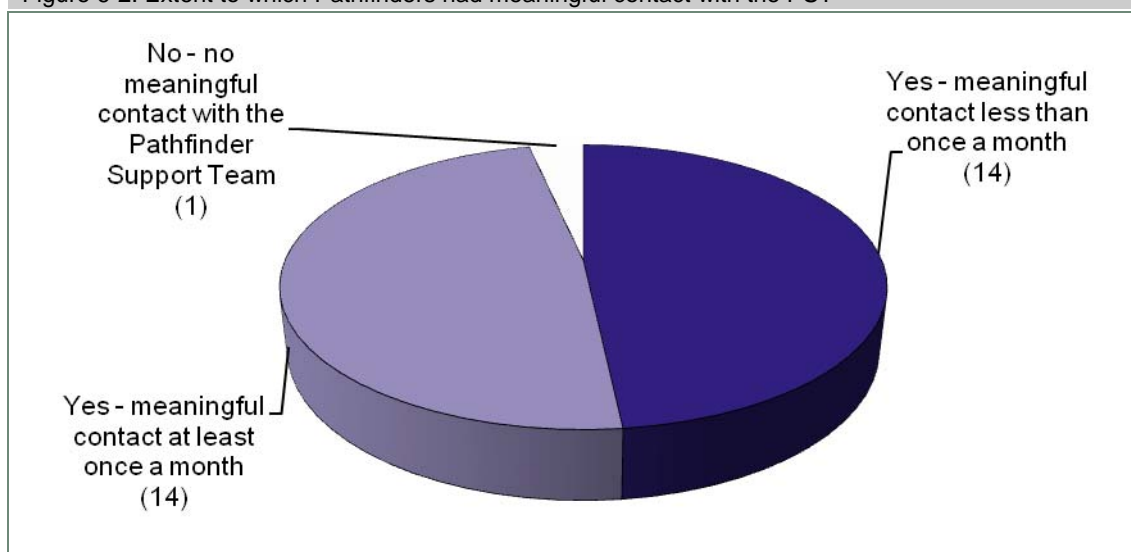
"The package was agreed very late and it seems that it is very much up to the pathfinder to request assistance rather than any specifically being offered."

Satisfaction with the PST, and their wider activities

Contact with the Pathfinder support team

- 6.7 The PST originally committed to achieving 'meaningful contact with the appropriate named lead in each Pathfinder by the nominated point of contact at least monthly', which formed one of the key performance indicators agreed within their contract. All except one of the Pathfinder areas reported having had some form of meaningful contact with the PST (Figure 6-2). However, the regularity of the meaningful contact with areas was split, with 48% of areas stating they received meaningful contact at least once a month, while 48% of areas receiving meaningful contact from the support team less than once a month. However, this should be balanced with feedback from the support team that meaningful contact has been difficult to schedule or organise with some pathfinders on a regular basis.

Figure 6-2: Extent to which Pathfinders had meaningful contact with the PST

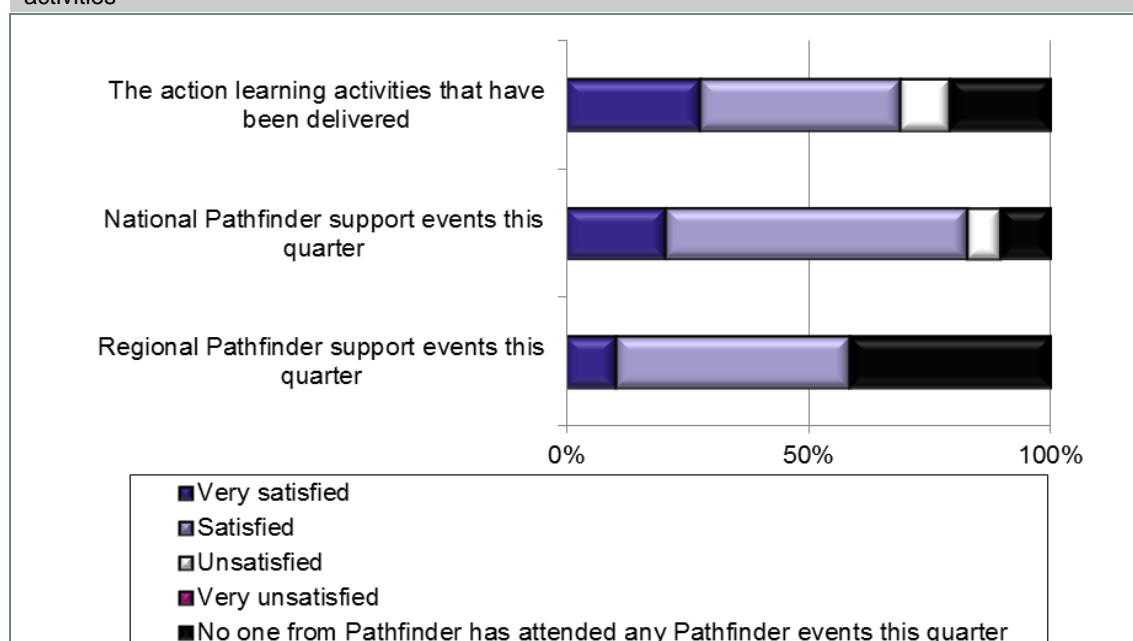


Base: n=29 responses. No areas chose the 'No meaningful contact with the Pathfinder support team' option.
Source: Pathfinder monitoring returns

Pathfinder support events

- 6.8 Pathfinder areas were generally satisfied or very satisfied (69%) with the action learning sets that had been provided by the PST, with only a small proportion (10%) of areas reporting being unsatisfied (Figure 6-3). This finding most likely reflects the divergence of support needs across the areas and the associated challenges of meeting these needs within a group setting. In addition, areas that attended national Pathfinder support events had generally been satisfied with the events with just under two thirds (62%) stating that they were satisfied, and an additional 20% of reporting being very satisfied.
- 6.9 Similarly, all areas that had attended regional support events reported being either satisfied or very satisfied with the events. The remaining areas (41%) reported not having attended a regional Pathfinder event within the first two Quarters of the Pathfinder programme. This reflected the fact that in practice, the PST ran more national events (as opposed to regional events) than intended. Disparity in the locations of regional events was given as a reason for non-attendance.

Figure 6-3: Satisfaction with National and Regional Pathfinder support events and action learning activities



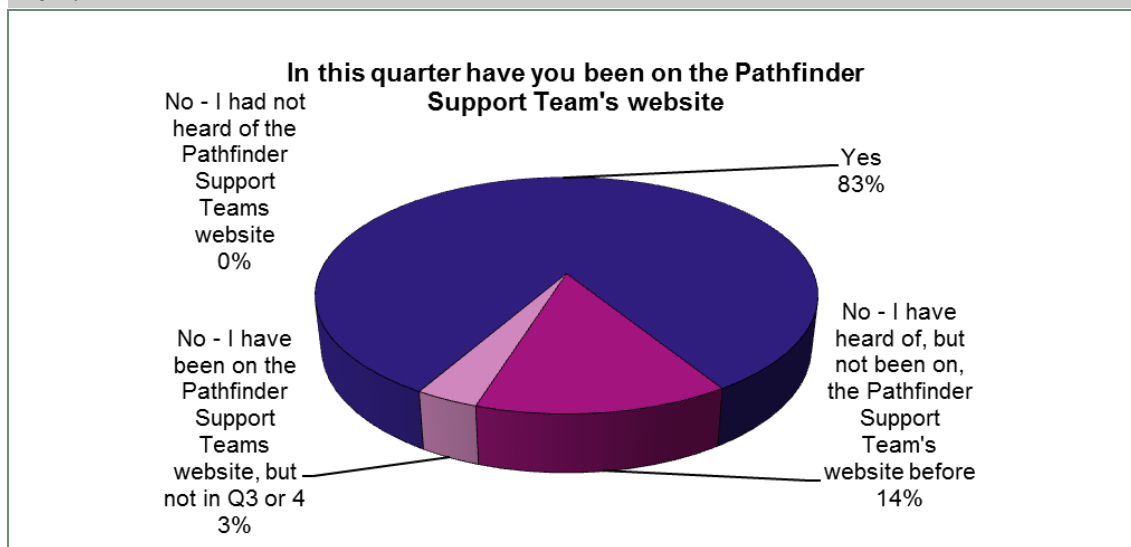
Base: n= 29 responses

Source: Pathfinder monitoring returns

Satisfaction with the support team's website

- 6.10 Most areas (83%) had accessed the PST's website within the first two Quarters of the Pathfinder programme (Figure 6-4). In addition, all those that hadn't used the Pathfinder website generally had at least heard of it, suggesting awareness of the website as an available resource was high.

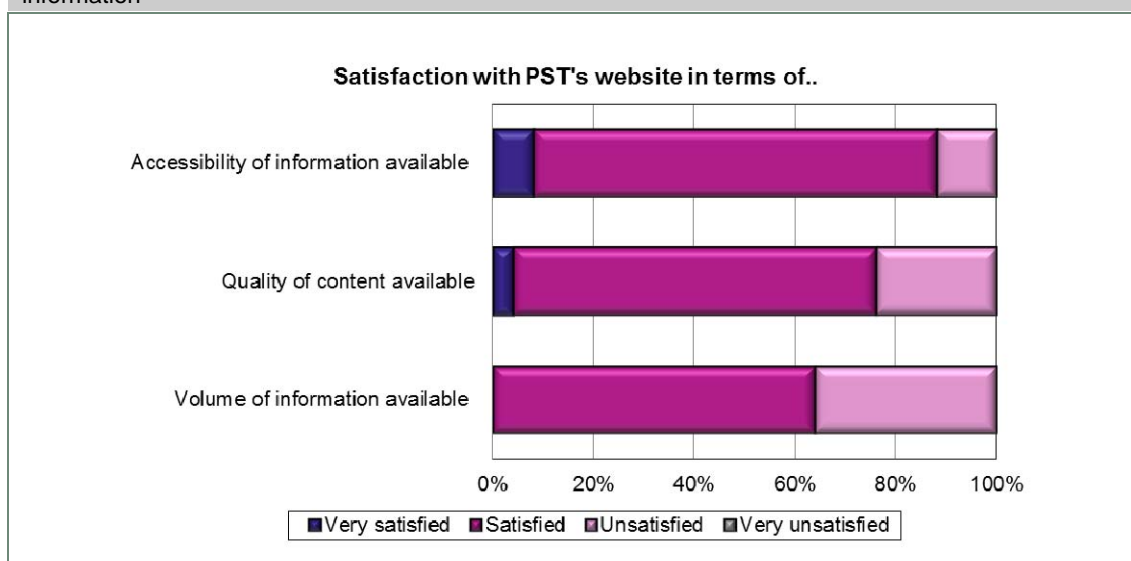
Figure 6-4: Number of areas that accessed the Pathfinder support team's website during Q3 and Q4 of 2011/-12



Base: n= 29 responses. No areas chose the option of 'No – I had not heard of the Pathfinder support team's website'
Source: Pathfinder monitoring returns

- 6.11 Most of the 25 areas that had accessed the Pathfinder website were either satisfied or very satisfied with the PST's website in terms of accessibility (88%). However, slightly fewer areas were satisfied in terms of quality of content (76%) and slightly fewer still in terms of the volume of information (64%) on the website (Figure 6-5). This implies a sizeable minority of areas were dissatisfied with the volume (36%) and quality of content (24%) on the website. This concern mirrors the findings in the previous Quarterly Evaluation Report and partly reflects the investment constraints placed on the PST by Government in relation to marketing and communication. However, the findings illustrated room for improvement.
- 6.12 Following receipt of feedback on the website, the PST has sought to enhance the quality of content available. For example, a number of local area case studies and working documents have been made available on the new 'Food for Thought' page.

Figure 6-5: Satisfaction with the PST's website in terms of accessibility, quality and volume of information

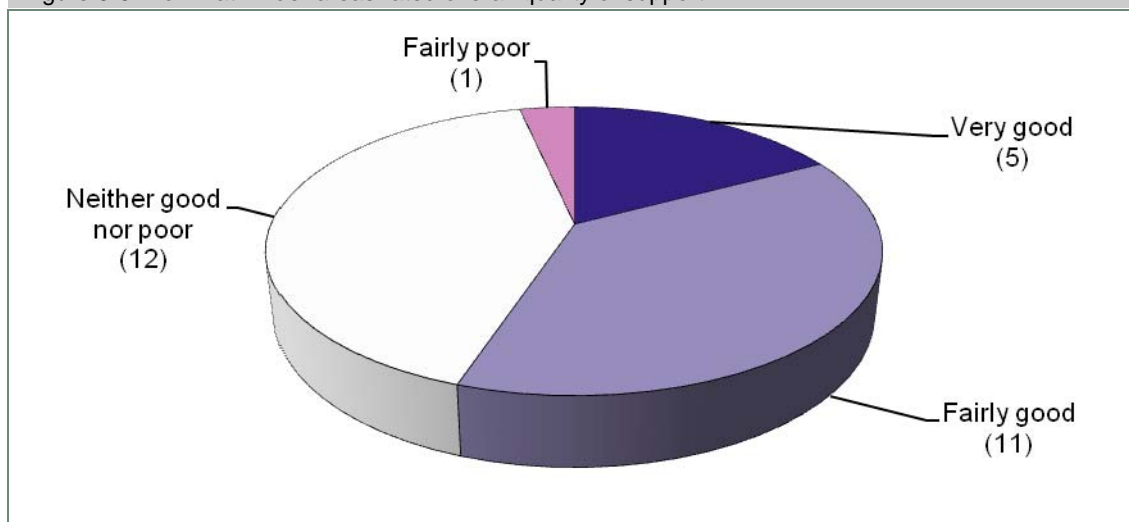


Base: n=25
Source: Pathfinder monitoring returns

Overarching feedback

- 6.13 Overall, over half of the Pathfinder areas were positive about the quality of support provided; 55% reported that support was either very good or fairly good (Figure 6-1). However, almost as many rated the support as ‘neither good nor poor’ suggesting that they were still making their minds up. One site reported not being happy with the support provided.

Figure 6-6: How Pathfinder areas rated overall quality of support



Base: n=29 responses. No areas chose the ‘very poor’ option
Source: Pathfinder monitoring returns

- 6.14 The most common reasons for rating the support positively were based around the flexible and tailored nature of support offered, for example one area stated:

“To date support received has been relatively light touch, at our request. Support was given at our mobilisation event and then at a critical review meeting. At each event we have been encouraged to think wider and challenge our thinking to date, which has been stimulating and welcomed.”

- 6.15 Seven areas rated the support highly due to the good contact provided from particular staff members. A typical comment was:

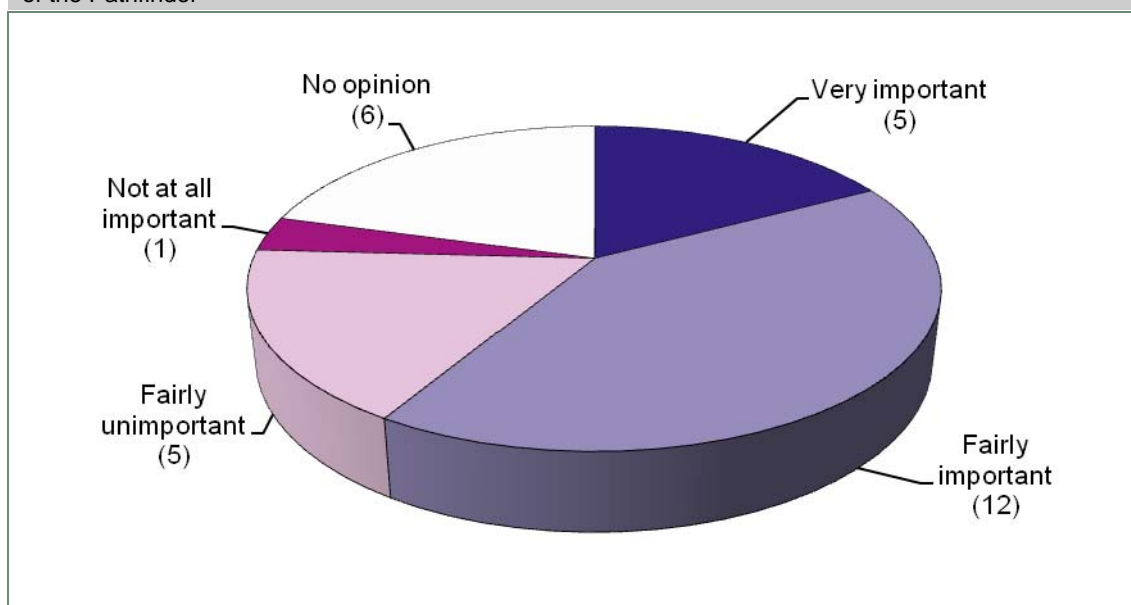
“It has been very helpful to have a key person to contact during the early stages of the Pathfinder. XXX has been able to escalate key questions for us and has been very helpful in linking us with other pathfinder areas to help with the development of our work-streams.”

- 6.16 More critical responses tended to be based around the timing of support with several areas commenting that support took a while to fully materialise. In addition, a number of areas reported they were unclear of the role and offer of the support team; with some areas asking for a ‘menu’ of support to be provided. For example, one area commented:

“Have felt the approach being adopted to be rather laissez faire, and the support package was put in place very late. Mott MacDonald are not good at communicating what they are doing or in facilitating events across pathfinders so that we know what each other are doing.”

- 6.17 Over half of the areas (59%) reported they considered the support to be either fairly or very important to the success of their Pathfinder. This implies that the majority of areas felt that activities of the PST should contribute to the success of local Pathfinders. Conversely, a quarter of areas considered support from the PST to be either fairly or very unimportant (25%) and a sizeable proportion (21%) reported having no opinion on this issue (Figure 6-7). This group of areas included those that had experienced initial delays on the set up of their support packages and those that felt their support package had not been clearly communicated to them. These judgements may change over time as the PST activities become more embedded and the evaluation will track this group of areas to understand whether and how their views change over the course of the programme.

Figure 6-7: Pathfinder area perceptions of how important to the support from the PST is to the success of the Pathfinder



Base: n=29 responses

Source: Pathfinder monitoring returns

Summary

- 6.18 Pathfinder area perceptions of the PST present a mixed picture of the support that was provided during Q3 and 4 of 2011-12. Areas were generally positive about the Phase 1 support package as a whole, with the majority of areas reporting being satisfied or very satisfied with their package. This positive finding was also supported by the considerable proportion of areas that reported being either satisfied or very satisfied that their support package had been delivered to the right quality.
- 6.19 Additional positive feedback also included, several accounts of the provision of flexible support which had been tailored to meet the needs of individual areas, and many noted particular PST members had helped to provide this.
- 6.20 However, some areas were less satisfied than others. These areas highlighted issues with the timeliness of the initial support and a lack of clarity of what the PST could offer. Although both these issues are likely to resolve themselves as the activities of the PST become embedded across the Pathfinder areas, the PST may wish to consider how to effectively

communicate its support offer to help manage the expectations of the areas, which could perhaps be done through the Pathfinder website.

- 6.21 In the cases where access to national and regional events had been available, areas had been generally satisfied or very satisfied with these and the action learning sets, thereby providing a rationale to continue to resource this form of activity. However, although over half of the Pathfinder areas were positive about the quality of support provided, with 55% reporting that support was either very good or fairly good, almost as many rated the support as ‘neither good nor poor’ suggesting that they were still making their minds up. One site reported not being happy with the support provided..

7: SEN Direct Payments

SEN Direct Payments legislation

- 7.1 Parliament passed the *Special Educational Needs (Direct Payments) (Pilot Scheme) Order 2012*⁹ in January 2012. This Order enables a number of listed Local Authorities (all the SEND Pathfinder areas as well as the Individual Budgets for Families with Disabled Children Pilot sites) to make direct payments relating to the following:
- The special educational provision specified in a SEN statement
 - Provision identified in a Section 139A Learning and Skills Act 2000 Assessment
 - Transport (or anything else that may be subject to arrangements under specified sections of the 1996 Education Act).
- 7.2 The pilot scheme to test Direct Payments will run for two years, until January 2014. The Order forms the framework for areas developing SEN Direct Payments. It sets out the circumstances in which SEN Direct Payments may be made and the conditions which must be complied with by individuals receiving Direct Payments. It includes a specific instruction that the Local Authority must provide information and advice about direct payments where it has:
- *“Served a copy of a statement or an amended statement of special needs in accordance with paragraph 6 of Schedule 27 to the 1996 Act; or*
 - *Carried out an assessment of a beneficiary’s learning difficulties in accordance with section 139A of the 2000 Act, and has prepared the written report referred to in section 139B(3) of the 2000 Act”.*
- 7.3 There are also a number of safeguards that the Local Authority must have in place before deciding whether or not to make a Direct Payment (DP). These are:
- That the intended DP recipient proposes to secure the agreed support/services in an appropriate way
 - Where the DP is being received by somebody else on behalf of the beneficiary (e.g. by a parent/carer) that that person will act in the best interests of the beneficiary when securing the agreed provision
 - That the DP for the beneficiary will not have a negative impact on other services provided/arranged by the local authority
 - That securing the agreed provision by means of DPs in the case of that beneficiary is compatible with the authority’s efficient use of resources.

⁹ Full details of the Order are available at:
http://www.legislation.gov.uk/ukxi/2012/206/pdfs/ukxi_20120206_en.pdf

- 7.4 There is a risk that introducing Direct Payments for individuals to use towards personalised support may have an impact on wider service provision, particularly in the case of existing block contracts. Similarly, in schools and colleges, where Direct Payments may require separating out an element of whole class support for an individual, this may have impacts on wider provision. Through this piece of research, we will explore the extent to which local authorities encounter these barriers and capture any useful learning and good practice.
- 7.5 Direct Payments may not be made to individuals who are currently undergoing drug or alcohol treatment and rehabilitation. As part of the Order, a school veto option has also been put in place, whereby a local authority may not make DPs for goods or services that will be provided in a school or college unless the head teacher, principal (or equivalent) agrees. The evaluation research will also explore whether or not this has prevented SEN Direct Payments being used.
- 7.6 In addition, the local authority must put in place the following arrangements for those receiving Direct Payments:
- Make arrangements for the person to obtain information, advice and other support in connection with DPs
 - Provide written information about organisations that may be able to provide advice and assistance in connection with DPs.
- 7.7 The Next Steps¹⁰ document states that all areas will need to develop a local offer. This local offer may link with the above arrangements that must be put in place for those receiving Direct Payments.

Research aims

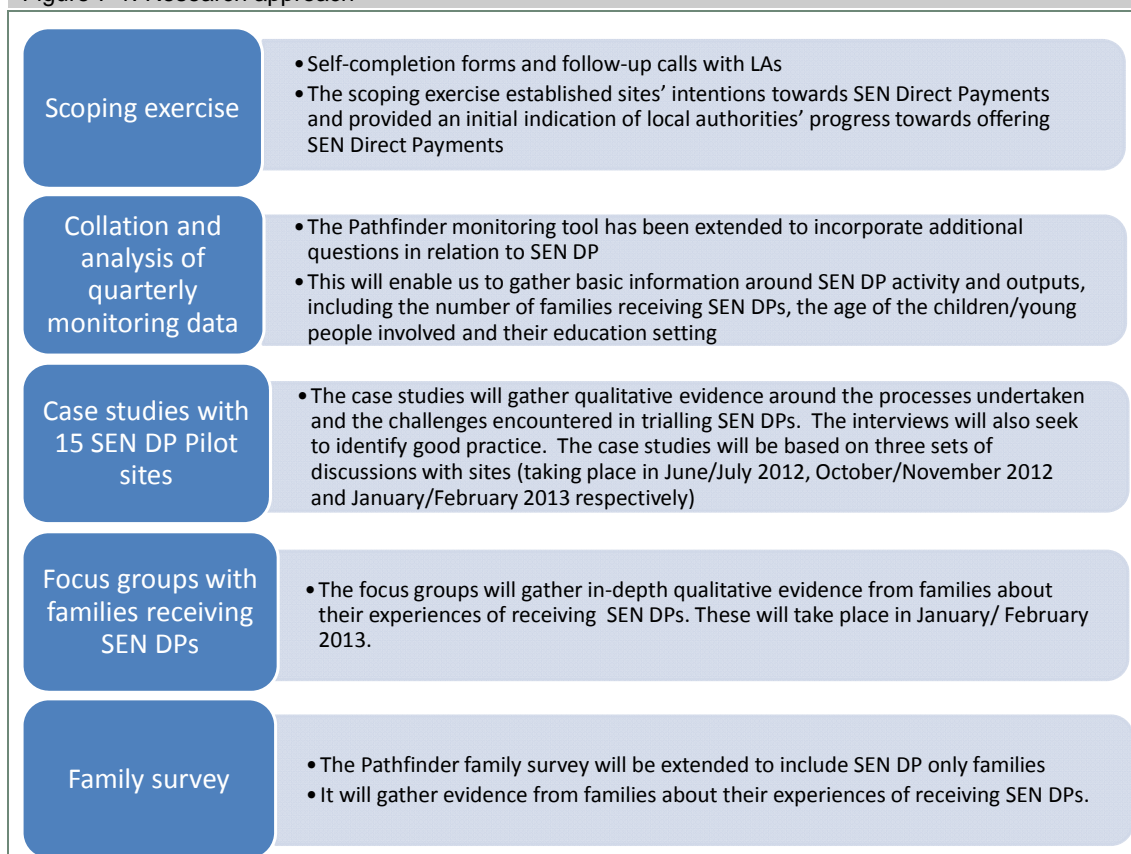
- 7.8 In order to develop the evidence base relating to SEN Direct Payments, the Department for Education (DfE) has commissioned this research as an extension to the wider SEND Pathfinder evaluation both of which are due to complete and report in April 2013.
- 7.9 Given the relatively short time frame available for local areas (12 months) to develop and begin offering SEN Direct Payments it is unlikely that any changes in the well-being of the young person or impact on the wider school will be identifiable through the research. Therefore, the evaluation will focus on the development processes and challenges involved in setting up SEN Direct Payments. The aim of the research is to improve the evidence base in relation to:
- The level of demand from families for SEN Direct Payments
 - The practicalities of introducing SEN Direct Payments
 - The implications for wider provision.

¹⁰ Available at: <https://www.education.gov.uk/publications/standard/publicationDetail/Page1/DFE-00046-2012>

Approach

- 7.10 The purpose of this chapter is to report the findings from the scoping phase of the research. It sets out local areas' intentions towards SEN Direct Payments and provides an initial indication of their progress towards offering SEN Direct Payments. It is based on the self-completion scoping forms returned by 27 areas, and a series of follow-up telephone calls. Details about how this aligns with the wider SEN DP research plan are provided in Figure 7-1. Later reports (due in autumn 2012 and spring 2013) will present the evidence emerging from the other phases of research.

Figure 7-1: Research approach



Source: SQW

Intentions towards SEN DPs

- 7.11 Twenty-three of the 27 respondents to the scoping questionnaire intended to offer SEN Direct Payments. Reasons for offering SEN Direct Payments centred on being able to develop new processes/structures and testing a new approach that has the potential to offer more flexibility and control to families. A few of the areas also noted that it built well on existing personalisation work that they were doing.
- 7.12 A few areas did not intend to offer SEN Direct Payments. This was largely because they felt they did not have the correct structures and processes in place to be able to offer SEN Direct Payments in the time available and developing them was not currently viewed as a priority. A couple of areas noted that their immediate priorities related to other major reviews/ reforms that were currently underway, including the education funding reforms.

Target groups

- 7.13 While the Order covered the range of young people, it was for local areas to decide who they wanted to target. At the time of the scoping exercise most areas were still at a very early stage in their thinking in relation to SEN Direct Payments. While they could provide an initial indication of their intentions, they were often not able to be very specific.

Age groups and type of need

- 7.14 At this early stage, most areas were intending to explore the possibility of offering SEN Direct Payments to a fairly broad range of age groups. School age groups were the most common target group (see Table 7-1). The reasons for this were not clear from the scoping exercise and will be explored through the case study research. Fewer areas were intending to offer SEN Direct Payments to the post 19 group and those that were considering it were not yet able to provide specific details.
- 7.15 Most (19 areas) were intending to offer SEN Direct Payments to families with complex needs (Table 7-1), reflecting the emphasis on SEN Statements in the Order.

Table 7-1: If you do intend to offer SEN DPs, to which groups are you intending to offer them?

	Pre-school	Primary school	Secondary school	Transition group	Post 19 years
Number of areas	14	17	18	16	9
	Mild needs	Moderate needs	Complex needs		
Number of areas	5	12	19		

Source: Scoping returns from Local Authorities. N = 23 N.B. Respondents could select more than one answer.

- 7.16 Nineteen of the respondents intended to offer SEN Direct Payments to children and young people with SEN Statements, reflecting the emphasis put on SEN statements in the Order. The remaining areas were not yet able to specify whether or not they would be offering SEN Direct Payments to individuals with SEN Statements. Five local authorities also intended to offer them to School Action Plus students and three of those local authorities were also exploring the option of offering SEN Direct Payments to School Action students.

New and existing cases

- 7.17 Twenty one areas were interested in offering SEN Direct Payments to existing cases with two not yet sure. In addition, 14 areas were interested in offering SEN Direct Payments to new cases. At this stage, most areas were not yet sure how they would select which families would receive a SEN Direct Payment offer. One area noted that, initially, it will be left to individual case workers to judge whether or not a SEN Direct Payment may be beneficial to a particular family. If so, the case worker will be able to offer the option of a Direct Payment to that family. Another advised that the recruitment of families and young people would be done on a case-by-case basis through schools. We will gather further information about the recruitment of families and young people through the monitoring data and the case study visits.

Budgets

- 7.18 The most popular option for inclusion was transport budgets, possibly reflecting the fact that these are often slightly more straightforward to disaggregate to individual learner level and that an example developed through the Individual Budgets Pilot has been widely publicised.
- 7.19 There is a risk that many areas will test only transport budgets. A number of other budgets are under consideration (Table 7-2), however from our initial discussions it appears that plans for these budgets are much less advanced than for transport. This could mean that there will be limited evidence emerging about the inclusion of a wider range of budgets. We will revisit this as areas' plans develop.

Table 7-2: If you do intend to offer SEN DPs, which budgets are you considering including?		
Early years (0 5 years)	School age (5 – 16 years)	Post 16
Transport	Transport	SEN transport
Statemented funding	SEN Statement funding	Part 3 SEN Statement funding
Nursery budget for pupils without statements	SEN funding linked to School Action Plus	SEN funding linked to School Action Plus
Individual Pupil support/ Learning Support Assistant	Individual Pupil Support/ Learning Support Assistants	Learning Support Assistant
Exceptional needs/ Exceptional funding	Exceptional needs	Education Funding Agency (EFA) / Young Persons Learning Agreement (YPLA) funding
Early intervention grant		Complex Cases Personalisation Element
Early Years SEN Centres		ISP/ High cost
Elements of Sure Start Grant		SEN Block Grant
Childcare funding		Planned Place funding (high needs)
Therapy support		Therapy support
Non-teaching support		Post 16 LLD

Source: Scoping returns from Local Authorities. N = 23 N.B. Local Authorities can offer more than one type of budget under each age group.

Anticipated demand and timescales

- 7.20 Most areas expected to start offering SEN Direct Payments to families by the autumn, as shown in Table 7-3, reflecting their need for development time.

Table 7-3: When do you anticipate you will begin offering SEN Direct Payments to families?	
	Number of areas
Had already begun offering SEN DPs to families by May 2012	3
June to August 2012	4
September to October 2012	13
November to December 2012	0

	Number of areas
January to February 2013	1
No provisional dates provided	2
Total number of respondents	23

Source: Scoping returns from Local Authorities.

- 7.21 The level of demand for SEN Direct Payments from families is not yet known. We will be exploring with areas the ways in which they make the offer to families and level of demand that they encounter. At this early stage, we asked areas to provide an initial indication of how many SEN Direct Payments they anticipated might be in place by: October 2012; and then by December 2012.
- 7.22 Where areas provided a range of estimates, we have used the mid-point to calculate the mean across all the responses.¹¹ The estimates provided were fairly small, with an average of 6 SEN Direct Payments expected to be in place in each local authority by October 2012, increasing to 12 by December 2012 (Table 7-4). At this scale of activity the planned survey work that is additional to the SEND pathfinder family survey would be justified, but should numbers fall then the value for money of the survey could become questionable.

Table 7-4: How many SEN Direct Payments do you anticipate will be in place by the end of...

	Total across all LAs	Mean per local authority	Max per local authority
... October 2012	106 – 130	6	20
... December 2012	204 – 234	12	40

Source: Scoping returns from Local Authorities.

Anticipated challenges/risks

- 7.23 The main challenge identified from the scoping responses was that areas do not yet have the relevant structures and processes in place to be able to deliver SEN DPs and the areas themselves recognised that these are likely to take time to develop. This included the lack of a suitable method for disaggregating budgets and a structure for working with schools and colleges to develop SEN Direct Payments. At the moment, many areas are not yet sure what reaction they will receive from schools and colleges. The unknown level of demand from families was also highlighted as a risk during the scoping exercise.
- 7.24 Concerns were also raised by one area that the requirements set out in the Order for developing the relevant structures and processes are “*extensive and bureaucratic*”.
- 7.25 Each of these points is discussed in turn below.

Disaggregation of budgets

- 7.26 Most areas were still at the stage of defining the scope of SEN Direct Payment budgets and exploring what options may be available to them in terms of disaggregating funding to the

¹¹ One outlier has been removed from the analysis. This was a site that estimated 120+ transport Direct Payments would be in place by October 2012. However, these were already in place before the SEN Direct Payment pilot was introduced and we therefore do not intend to include them as part of the pilot activities or outputs.

individual learner level. This was summed up by one site that commented, *“We are interested in investigating the possibilities but are far from understanding how we will be able to do this in a fair and transparent way in practice.”*

- 7.27 Two areas noted that some budgets sit with external organisations, not with the local authority, and they are not sure how they can access these budgets. *“We expect that offering direct payments for education/SEN services beyond Home to School Transport will be particularly challenging, because these services would need to be agreed (and possibly funded) from school budgets.”*

Unknown demand from families

- 7.28 A few areas noted that they had *“No idea what the uptake will be”* and some were concerned that, even if they make an offer, they may end up with no families in receipt of SEN Direct Payments before the end of the pilot period. This has implications both for the approach that areas take to set up suitable structures and also for the evaluation. Given the unknown level of demand in relation to SEN Direct Payments, we have opted for a largely qualitative approach to the research. This will help us to draw out a greater level of understanding of the processes even if the number of families involved turns out to be relatively small.

Anticipated response from schools/ colleges

- 7.29 As part of the Order, a school/college veto option has been put in place, whereby a local authority may not make Direct Payments for goods or services that will be provided in a school or college unless the head teacher / principal (or equivalent) agrees. A few local authorities expressed concerns that this could act as a barrier to introducing SEN Direct Payments. One site thought that it was also likely to be more of an issue in the current financial climate and because of the way that support is provided: *“In all school settings the majority of approaches, interventions and programmes specified under part 3 of the Statement are provided for by LSA and QTA support hours – Head Teachers and College Principals can effectively veto DP and it is hard to see how they wouldn’t do so in the current financial climate.”* At present, schools and colleges will use the funding across a range of staff and pupils. If a Direct Payment requires an element of the funding to be broken out for one individual, it may have implications on the wider provision that the school is able to sustain. We will explore this issue further through our case study research.

Case study selection

- 7.30 As part of the SEN DP evaluation we are seeking to recruit 15 case studies. At the outset, it was agreed that these would include the five IB areas, five of the existing SEND Pathfinder case study areas and five new SEND Pathfinder areas.¹² During the scoping exercise, all areas were asked about their intentions towards SEN Direct Payments and whether or not they would be willing to participate in the case study research.

¹² The inclusion of additional case studies was to ensure that interesting practice could be picked up, as the original selection of SEND Pathfinder case studies took place before the Direct Payments Order and so intentions around it were not part of the initial selection process.

- 7.31 Following the scoping exercise, discussions were held with DfE and Mott Macdonald to select a group of case study areas. The selection aimed to include a balance of geographies, target groups and the budgets that are intended to be offered as Direct Payments. The provisional list of case studies is shown in Table 7-5.

Table 7-5: Provisional list of case studies

Provisional sites

Individual Budget areas

Coventry

Derbyshire

Essex

Gloucester

Newcastle

SEND Pathfinder – Existing Pathfinder case study

East Sussex

Gateshead

Manchester

Northamptonshire

Southampton

SEND Pathfinder – Not an existing Pathfinder case study

Bexley

Brighton and Hove

Oldham

Trafford

Wiltshire

Source: SQW

Summary

- 7.32 Local authorities were still at an early stage in terms of developing their ideas around how SEN Direct Payments could work in their local area. Areas that were intending to explore the possibility of offering SEN Direct Payments felt that they offered the potential for a more individualised and flexible form of support to be provided to families.
- 7.33 There were lots of unknowns and concerns amongst local authorities, particularly around demand from families and the likely response from schools and colleges. The required structures for delivering SEN Direct Payments were not yet in place and are likely to take some time to develop. The evaluation research will therefore be important for aiding understanding about the process that areas go through in developing SEN Direct Payments and gathering evidence about the challenges and barriers that they face along the way.

Next steps

- 7.34 Initial case study visits will take place over the summer, with an interim report due as part of the wider Pathfinder interim evaluation report in the autumn. Key for the next stage is to understand in more depth the developing plans of each area, and hence to test the range of budgets being covered and likely scale of activity and any implications that arise for the planned evaluation research. Further fieldwork, including the focus groups with families will then take place over the winter, with a final report due as part of the Pathfinder evaluation report due in spring 2013.

8: Conclusions and implications

- 8.1 This final chapter sets out the emerging findings to date, and then concludes with the next steps for the evaluation.

Programme progress

- 8.2 Table 8-1 presents a summary of the progress made by the end of March 2012 against each element of the CDF.

Table 8-1: Summary of progress made by the end of March 2012 against all elements of the CDF

	Summary of progress made	Commentary
ORGANISATIONAL ENGAGEMENT AND CULTURAL CHANGE		
Engagement of relevant stakeholders	<p>All areas had set up a Project Board/Governance structure, which included engagement from the following stakeholders:</p> <ul style="list-style-type: none"> Professionals from Local Authority education and children's services Parent/carers Professionals from health and adult care Schools The local VCS <p>Engagement of stakeholders from early years settings, the national VCS and colleges was less widespread. This lack of engagement may be driven by a number of factors, including relevance to the target group of individual areas</p> <p>Most areas had secured commitment to share staff time to develop and deliver their Pathfinder, but few had secured funding for development of the Pathfinder or confirmed how they intended to resource the packages agreed for the families participating in the Pathfinder</p>	<p>Much of the initial focus has been on ensuring the engagement of a core group of stakeholders and therefore on building relationships between the relevant individuals. As Pathfinders move forwards, they will subsequently need to consider:</p> <ul style="list-style-type: none"> How to embed Pathfinder developments within the wider structures of the relevant agencies to ensure they can be sustained both if staff change arises and beyond the programme How to engage the stakeholders that have proven to be more difficult to engage or that may not be linked to the immediate target group, but will play a part in the development of a 0-25 yrs approach, even if this is beyond the period of the Pathfinder How to ensure accountability of the resource that is required for the service packages that are put together for families participating in the Pathfinder
Recruitment of designated staff	<p>The majority of areas had a designated Lead and a Project Manager in post</p> <p>Organisational restructuring and subsequent job losses across a number of areas had resulted in changes to the project teams. In some cases this has caused discontinuities and delayed development</p>	<p>The extent to which operational staff had been actively engaged in the development of the Pathfinders was unclear. Key questions that should therefore be considered are:</p> <ul style="list-style-type: none"> Which groups of staff should be engaged and when and what needs to be achieved over Summer 2012 What support might the Pathfinders require to achieve the required buy-in? What are the implications if this group have not been engaged?

	Summary of progress made	Commentary
Change management	<p>Most areas had begun to consider how to develop the skills and capacity of their workforce and their families</p> <p>Some had also gone on to begin to deliver change management, which was taking place as part of structured/formal events and more informally</p>	<p>Change management should be considered as an on-going and evolving process and should involve both professionals and families. Pathfinder areas should therefore consider:</p> <ul style="list-style-type: none"> • When do areas need to start the delivery of change management to align with the recruitment of families and young people • Working back from the recruitment date, when do areas need to have agreed the approach to enable change management to take place • Is there any scope to join up some of this activity with either on-going professional development or family support?
Market development and the local offer	<p>Most areas were only at the early stages of developing their approaches to market development and the local offer</p>	<p>Given the significance of the local offer within the Next Steps and Progress document, Pathfinder areas will need to carefully consider how best to align their thinking with the Government's intentions</p> <p>Similarly, they will need to try and understand how small scale market developments (i.e. for 20-30 families) may impact wider provision when the approach is rolled out</p>
ENGAGING AND INVOLVING FAMILIES		
Awareness raising with families	<p>Most areas had started to raise awareness of the Pathfinder with prospective families. However, as yet recruitment of families and young people was limited in most areas</p> <p>129 families and young people had been recruited across 9 areas by early June 2012, most of which appear to have used targeted recruitment approaches</p> <p>Many areas were likely to recruit a small number of families and young people during the Summer school term and then a larger cohort during the Autumn term</p>	<p>The intended timescales for the recruitment of families and young people may limit the extent to which the evaluation can evidence the effectiveness of the new approaches. Therefore, it will be important to consider:</p> <ul style="list-style-type: none"> • Whether Pathfinder areas can bring forward their recruitment • Whether the evaluation timescales need to be extended to ensure that the bulk of families and young people recruited in the Autumn term can form part of the evaluation?
Peer Support	<p>Most areas were only at the early stages of developing peer support for families and young people participating in the Pathfinder</p>	<p>Given the early stages of development of this element, Pathfinder areas should consider:</p> <ul style="list-style-type: none"> • How and when they intend to deliver peer support • How to ensure that this can be flexed to accommodate the differing and evolving needs of their families as they participate in different elements of the new approaches, including defining outcomes, resource allocation, single planning etc?

SETTING UP THE INFRASTRUCTURE

Mapping of the single assessment and planning pathway

All Pathfinder areas had begun to consider their assessment and single plan pathway by the end of March 2012, with around half of the areas reporting they had at least reached the partial development stage

Early evidence indicated that these pathways were most commonly expected to consist of:

- Assessments - a set of assessments (by different agencies) being brought together at the end and/or a single assessment episode supplemented by ad hoc specialist assessments
- Planning - single planning events and the use of a planning coordinator to create the plan with the family and liaise with professionals from relevant agencies to obtain their input

The emerging pathways appear to fall out from the particular target groups, i.e. it appeared that the areas that were targeting families that were already accessing services intended to draw together their existing assessments and similarly, those areas that were targeting families that had not previously accessed services intended to use a single assessment episode with ad hoc specialist assessments. Therefore, Pathfinder areas should consider:

- How areas can scale up their developing approach for the whole 0-25 yrs and for existing and new cases post the Pathfinder
- How portability of the approach across areas can be ensured?

Development of personal budgets

Development of personal budgets, IT resources and the coordination and delivery of the Pathfinder approach were all in their infancy at the end of March 2012

Given the significance of personal budgets in the Progress and Next Steps document, Pathfinder areas should consider:

- What systems need to be in place to deliver personal budgets
- How to integrate the personal budget approach into the Pathfinder process
- How to test the allocation of resources over the short term, whilst considering how best to roll out a system beyond the Pathfinder programme?

Coordination and delivery of the Pathfinder approach

Again, given the early stage of development of this element, which in turn reflects the limited number of families that had been recruited and were therefore being taken through the new approach, it will be important for Pathfinder areas to consider:

- The coordination/delivery function?
- Whether and how to engage the VCS?
- Sustainability of the approach over the longer term in terms of scalability and resource implications, which could include consideration of how to embed the relevant functions within existing job roles

Development of IT resources

Although a small number of the areas had information sharing protocols in place prior to the Pathfinder, the majority will need to consider how to share information between agencies and with families in a secure and appropriate manner, which includes seeking the appropriate consent to share and store the data

SAFEGUARDING AND RISK MANAGEMENT

Safeguarding

Most Pathfinder areas had begun to consider safeguarding and risk management or had sufficient systems/protocols in place prior to becoming a Pathfinder

Awareness raising of safeguarding issues and risk management will need to be embedded across operational staff, providers and families to ensure that all are sufficiently informed and can therefore seek to ensure that the appropriate protocols are followed

Source: SQW

Next output from the evaluation team

8.3 The next evaluation update report is due to be submitted to the DfE at the end of August 2012. This report will be more substantial and will cover:

- Headline findings on progress against the CDF to the end of June, based on the second monitoring submissions from the Pathfinders
- Progress with and learning from implementation from a further round of consultations with each of the case study areas
- An account of the early barriers and challenges faced by the Pathfinder areas
- An update on the plans around SEN DPs, and early feedback on how planned developments are working out at local level.

Support

8.4 The evaluation team would be happy to answer any queries you may have about the research. Please direct all queries to SENDpathfinder@sqw.co.uk and we will ensure that the appropriate member of the team comes back to you.

Annex A: The Common Delivery Framework

Table A-1 : The Common Delivery Framework (CDF)

Element	Progress measures
1 – ENGAGEMENT OF RELEVANT STAKEHOLDERS	<ul style="list-style-type: none"> • Project Board/Governance structure • A clear set of objectives have been agreed • Development of a project plan • Commitment from social care to share resources to develop and deliver the Pathfinder • Commitment from education to share resources to develop and deliver the Pathfinder • Commitment from health to share resources to develop and deliver the Pathfinder • Designated an overall lead(s) for the Pathfinder • Engagement of the VCS in the development of the Pathfinder • Engagement of parent/carers in the development of the Pathfinder • Engagement of a representation of children and young people in the development of the Pathfinder
2 – RECRUITMENT OF DESIGNATED STAFF	<ul style="list-style-type: none"> • Project development team • Designated Project Manager for the Pathfinder
3 – CHANGE MANAGEMENT	<ul style="list-style-type: none"> • Progress developing and delivering of change management process as part of the Pathfinder
4 – MARKET DEVELOPMENT AND THE LOCAL OFFER	<ul style="list-style-type: none"> • Consultation with provider market during the development of your Pathfinder • Development of the local offer
THEME: ENGAGING AND INVOLVING FAMILIES	
5 – AWARENESS RAISING WITH FAMILIES	<ul style="list-style-type: none"> • Raising awareness with prospective families • Recruitment of families and young people to take part in the Pathfinder programme
6 – PEER SUPPORT	<ul style="list-style-type: none"> • Delivery of peer support to the parent/carers participating in the Pathfinder • Delivery of peer support to the children and young people participating in the Pathfinder
THEME: SETTING UP THE INFRASTRUCTURE	
7 – MAPPING OF SINGLE ASSESSMENT AND PLAN PATHWAY	<ul style="list-style-type: none"> • Progress developing the assessment and single plan pathway
8 – DEVELOPMENT OF PERSONAL BUDGETS	<ul style="list-style-type: none"> • Development and implementation of a resource and funding mechanism • Support planning • Development of a spectrum of choice for the management of PB funds
9 – COORDINATION AND DELIVERY OF THE	<ul style="list-style-type: none"> • Progress on the coordination and delivery of the Pathfinder approach (i.e. the single assessment and plan pathway)

PATHFINDER APPROACH

Element	Progress measures
10 – DEVELOPMENT OF IT RESOURCES	<ul style="list-style-type: none"> • Development of appropriate management information • Development of appropriate IT application to store assessment/plans • Development of inter-agency information sharing protocols • Gaining family consent for information sharing • Sharing of information between agencies taking place

THEME: SAFEGUARDING AND RISK MANAGEMENT

11 – SAFEGUARDING	<ul style="list-style-type: none"> • Review of the relevant safeguarding procedures to ensure they are appropriate for the Pathfinder • Communication of the resultant safeguarding procedures to professionals • Communication of the resultant safeguarding procedures to families • Communication of the resultant safeguarding procedures to providers
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Source: SQW

Annex B: The Pathfinder Support Team's Role

- B.1 The pathfinder support team was appointed in September 2011 after a competitive tender process. Their contract runs until March 2013, with the option for this to be extended by a further two years. The full contract is publicly available through the Government's ContractFinder website. In summary, the support team has been appointed to assist the pathfinders and their partners in their efforts to meet the aims and objectives of the pathfinder programme.
- B.2 The key functions of the support team are:
- Specialist support and challenge to individual pathfinders through a core support package and addition support package, based on a regularly reviewed assessment of need.
 - Sharing development with other pathfinders, their partners, other agencies and non-pathfinder local authorities, including through: establishing a website to disseminate good practice and findings (NB: the PST has established 2 web facilities at the Department's behest: one pathfinder-only site and one for the wider community. This is not specified in the contract); developing and managing a programme of learning events (NB: the scope of this function has expanded beyond the remit defined in the original contract in order to meet the changing demands of the programme and in agreement with the Department).
 - Relationship brokering, including using reasonable endeavours to provide local area relationship brokering where this is identified within a support package (e.g. facilitating discussions and negotiations to build local agreements and providing support to develop and sustain local leadership) and supporting pathfinders, where appropriate, in their efforts to collaborate actively with other areas and with VCS sector organisations
 - Support at government level: highlighting emerging good practice and reporting regularly through the pathfinder governance structures as defined by the Departments.
 - Working with the evaluation team in order to coordinate field activities and to work within the pathfinder sites and the wider community without compromising their respective roles.