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Dear Member

GOVERNANCE AND AUDIT COMMITTEE - THURSDAY, 16 MARCH 2023

I am now able to enclose, for consideration at next Thursday, 16 March 2023 meeting of the Governance and Audit Committee, the following report that was unavailable when the agenda was published.

Agenda Item No

10 **SEND Transport Review Management Response - Progress Update (Pages 1 - 12)**

Yours sincerely

A handwritten signature in black ink, appearing to read 'Ben Watts', is written over a faint circular stamp.

Benjamin Watts
General Counsel

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Lessons Learned – Management Action Table

<u>Action Ref.</u>	<u>Activity Defined</u>	<u>Activity Delivered</u>	<u>Target Date</u>	<u>CMT Owner</u>	<u>Progress Indicator</u>
1	A review of all mechanisms (including the SITREP) to monitor and track pupil's transport arrangements.	<p>SITREPS have been established and are now produced fortnightly and shared with GET and CYPE management and Cabinet Members.</p> <p>Work has been ongoing in both directorates in relation to data sharing which worked effectively in September and will be included in the review. This is an element in the draft Service Level Agreement (cross-references to action 10).</p> <p>Further refinements to CYPE application and data entry to reduce manual processes, limiting the chance of user error.</p>	December 2022	GET CYPE	In progress
2	Defining Co-Production. Work to be undertaken to define what is meant by co-production and include within the refreshed Operating Standards for all officers.	This is a workstream in the SEN Transformation Project.	December 2022	ALL	In progress
3	Establish and communicate how parent/carer feedback will be used to inform management actions and decisions.	<p>Information Hub to be established by CYPE (as directed by Sarah Hammond).</p> <p>External Communications is assisting with a process map</p>	November 2022	ALL	In progress

Lessons Learned – Management Action Table

		Public consultation on all CYPE transport policies currently ongoing (deadline of 25 March 2023). Includes proposed framework for future retendering requirements, to include parent/carer/child voice.			
4	Review of processes and constitution to determine circumstances where consultations are required on major projects affecting service delivery to residents.		December 2022	GLD	
5	Reminder to all staff and advice note on importance of Equality Impact Assessments as part of key decision and project activity.		November 2022	GLD	
6	Refresh of Operating Standards to fully reflect and remind officers across the Council of fundamental expectations.		January 2023	GLD	
7	Working with PACT, Families and Schools. Work to be undertaken to define expectations and relationships between the County Council and these key groups so that there is clarity on future working arrangements and the role/responsibilities of the Council and relevant stakeholders.	<p>PACT representatives met with Cabinet Member for Education and SEN and Director of Education to review working relationships. Review of MOU with DCS</p> <p>Agreement that CYPE would work with PACT to implement a Transport Stakeholders Group to provide a more diverse voice to support transport developments. Group to include parental, school, LA and provider voices</p> <p>CYPE undertaking a full review and Public consultation of all Transport policies, including entitlement criteria and implementation guide</p>	December 2022	CYPE	Ongoing

Lessons Learned – Management Action Table

		lines. Consultation due to close on 25 March 2023, with consideration by CYPE Cabinet Committee expected in May 2023			
8	Review of directorate governance arrangements.		December 2022	GLD	
9	Urgent Reminder on corporate governance arrangements.	Discussion with Corporate Management Team on 25 th October 2022. Recirculation of Introduction to Governance Guide. Reminder of Corporate Director Delegations and Duties	November 2022	GLD	Complete
10	Review of officer governance, accountabilities and delivery of cross directorate working (including consideration of SLA and reflection in Operating Standards).	CYPE and GET are working with Commissioning to consider more formal operating standards between the directorates, including Transport Eligibility and Public Transport, but also other key partners including SEN and Finance. Draft documentation developed which will be refined across all parties, covering all entitled and non-entitled transport activity.	December 2022	ALL	Ongoing
11	Project Governance arrangements minimum specification to be defined and included in Operating Standards		January 2023	GLD	
12	Further awareness/Training Sessions on when a key decision is required to be arranged for officers and Members.	Recirculation of Introduction to Governance Guide.	December 2022	GLD	

Lessons Learned – Management Action Table

		E-Learning on “Working in a Political Environment” already available.			
13	GLD to be invited to governance discussions at DMT within Directorates.	No action to date within GET.	December 2022	CYPE GET	
14	Formal agreement on how the SEND HTST budget is managed and monitored jointly between CYPE and GET with improved and formal communication and accountability, roles and responsibilities being clearly defined.	Teams already implement a formalised meeting programme to discuss costs, issues and other elements. These meetings involve Transport Eligibility, CYPE finance business partner, finance support team and public transport business team. Monthly CP meetings in place. GET officers provide detailed notes to CYPE and on CP relating to demand and cost pressures. This will also form an element of the SLA (see action 10).	November 2022	CYPE GET	Ongoing
15	Review of the CYPE Commissioning Plan to consider inclusion of the commission of SEND Transport to ensure there is relevant oversight at a strategic level.		December 2022	CYPE	
16	CYPE and GET consider a Project Board structure to ensure the strategic aims of commissioning SEND transport are being met through the operational delivery being managed by GET.	Home to School Transport Board established in Jan 2022. Involves key public transport and transport eligibility staff, head of public transport, Director of Education, Education	November 2022	CYPE GET	Complete

Lessons Learned – Management Action Table

		Cabinet Member and Highways and Transport Cabinet Member. Meetings monthly. Meetings recorded and with actions.			
17	Consideration of a centralised PMO function for the whole of the Council as a means of ensuring consistency in the application of project management approaches and principles.	This will be picked up by the Strategic Reset Programme.	March 2023	ALL	
18	Additional training for Cabinet Members relating to the Council’s governance arrangements and their role within them. Training to specifically include the role of executive Members in providing scrutiny / challenge over proposed budget savings to ensure the proposals are reasonable / deliverable.		February 2023	GLD	
19	Additional training offer for non-executive Members in relation to the Council’s governance arrangements and their role within them.		February 2023	GLD	
20	Advice from Monitoring Officer to Leader of Political Groups and Chair of Scrutiny on Scrutiny arrangements and role.		December 2022	GLD	
21				GLD	

Lessons Learned – Management Action Table

	Revisit by Monitoring Officer of assurances provided through the Annual Governance Statement process by relevant directorates to test responses and check assurance.		November 2022		
22	Review of operational level governance arrangements within all directorates to ensure compliance with constitutional obligations is built in.		December 2022	GLD	
23	Advice to Leader, copied to Opposition Group Leaders on review of informal governance arrangements by Monitoring Officer. This will include the specific lessons learned around notes and nature of meetings, role of informal governance and clarification and training.		January 2023	GLD	
24	Clarification statement to confirm the way in which the budget will be managed moving forwards with work being done to identify accountabilities and responsibilities relating to the cross-directorate and within directorate teams working in this space.	Action outstanding.	December 2022	GET CYPE	

Lessons Learned – Management Action Table

25	Clarification statement to confirm the way in which the operations will be managed moving forwards with work being done to identify accountabilities and responsibilities relating to the cross-directorate and within directorate teams working in this space.	An End-to-End flowchart for HST operations was provided to Internal Audit to assist the previous review work. This will be used to inform the SLA (Action10).	December 2022	GET CYPE	Ongoing
26	Short Term changes to the constitution following from the lessons learned report and work undertaken by services since February 2022.		December 2022	GLD	
27	More detailed changes to the constitution following from the lessons learned report and work undertaken since February 2022.		March 2023	GLD	
28	Operational Level Governance arrangements finalised.		March 2023	GLD	
29	Review of the way in which future budget savings proposals are proposed and costed, with clarity around accountabilities and responsibilities clearly set out contemporaneously.		December 2022	GLD	
30	Review of earlier decision making where possible in relation to budget decisions and the additionality of information where possible and appropriate at the time of budget decision.		December 2022	GLD	

Lessons Learned – Management Action Table

31	Review of all cross directorate working arrangements affecting frontline service delivery to clearly document accountabilities and responsibilities.	See action 17	February 2023	ALL	
32	Review of the way directorates and decision makers record their decision making and the outputs and tracking of outcomes, delivery and milestones. This will include explicitly addressing a number of lessons raised including the full costing of savings plans, the inter-directorate commitments and expectations.		March 2023	GLD	
33	Review of project management arrangements within the directorates and generally to clarify accountability and responsibility.	There is an ongoing review of the PMO function within GET. CYPE utilise we established project management arrangements for those areas of development where they are the lead directorate SLA (Action 10) to inform accountability and responsibility framework	January 2023	CYPE GET	
34	Review of risk management within the directorate to ensure that appropriate risks are included within the directorate, project and divisional registers.	Implemented comprehensive review of CYPE Risk Registers which were reported and discussed at Directorate DMT.	December 2022	CYPE	Complete

Lessons Learned – Management Action Table

		Risk register updates already a regular feature at Directorate DMT			
35	Review of risk management within the directorate to ensure that appropriate risks are included within the directorate, project and divisional registers.	Home to School Transport is a specific risk on GET and CYPE Divisional Risk Registers. The risk has been most recently reviewed in February 2023 and will be reported to ETCC on 14 March as part of the Annual Risk Review.	December 2022	GET	
36	Review of directorate management systems to ensure the early escalation of issues, risks and projects.	Undertaken comprehensive review of risk registers in GET. GET PMO collate risk registers on portfolio projects reported and discussed at DivDMTs. GET developing Management Performance Packs for regular review at GET DMT to ensure earlier escalation of issues for management review and action ,	December 2022	GET	
37	Review of directorate management systems to ensure the early escalation of issues, risks and projects.	Renewed focus on oversight of directorate transport activity within CYPE DMT All transport activity of merit formally overseen through CYPE CMT processes Ongoing implementation of cross-directorate Home to School transport board ensures joined up decision making across directorates and cabinet member/officer roles	December 2022	CYPE	

Lessons Learned – Management Action Table

38	<p>Identification of and dedicated training for nominated individual in each directorate who will be responsible for the delivery of DPIA regarding future home to school transport changes.</p> <p>Corporate Director as Information Asset Owner to retain accountability.</p>	<p>New DPIA app communicated to staff. Staff signposted to e-learning training as GLD not resourced to provide direct training as requested by Public Transport Team.</p> <p>CYPE reviewed available training and reminded pre-existing service leads of their responsibilities in this area.</p>	<p>Identification November 2022</p> <p>Training December 2022</p>	CYPE GET	
39	<p>Written explanation of the meetings, mechanisms, accountabilities and responsibilities used in the officer management of Home to School transport.</p>	<p>HST Board has Terms of Reference.</p> <p>Wider accountabilities and responsibilities to be in SLA (Action 10).</p>	<p>December 2022</p>	CYPE GET	
40	<p>Review of Judicial Review and other legal challenges made against the Council</p>		<p>December 2022</p>	GLD	
41	<p>Finalisation of Annual Governance statement delayed to capture lessons learned and reflect the retendering exercise and subsequent activity.</p>		<p>January 2023</p>	GLD	
42	<p>Co-ordination of risk registers. Process for consideration and discussion of shared risks to be reviewed.</p>	<p>Agreed joint Home to School Transport risk on Directorate Risk Registers.</p>	<p>November 2022</p>	CYPE GET	

Lessons Learned – Management Action Table

43	Review of findings of February 2021 Continuous Improvement work to inform extent this can influence future activity.		December 2022	CYPE GET	
44	Review of commissioning, legal, finance and technology support requirement, resources and funding necessary for future.	GET and CYPE paper being developed on the continued use of TSO or other such IT solution to make the best use of available resources. Paper will review efficacy of Kent transport compared to statistical neighbours and sufficiency of historic funding of transport to ensure budget setting processes are suitable. CYPE investigation of expansion of school led transport pilots also underway	December 2022	ALL	

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