

# Audit and Governance Committee

**Dorset County Council**



Date of Meeting	12 March 2018
Officers	<u>Lead Cabinet Member</u> Rebecca Knox – Leader <u>Local Members</u> All Members <u>Lead Director</u> Debbie Ward, Chief Executive
<b>Subject of Report</b>	<b>Progress on Matters Raised at Previous Meetings</b>
Executive Summary	This report records:-  (a) Cabinet and County Council decisions arising from recommendations from Audit and Governance Committee meetings; and (b) Outstanding actions identified at the meeting held on 20 September 2017 and 19 January 2018. (c) Updates in relation to items discussed at previous meetings.
Impact Assessment:	Equalities Impact Assessment: N/A
	Use of Evidence: Information used to compile this report is drawn together from the Committee's recommendations made to the Cabinet, and arising from matters raised at previous meetings. Evidence of other decisions made by the Cabinet which have differed from recommendations will also be included in the report.
	Budget: No VAT or other cost implications have been identified arising directly from this programme.

## Progress on Matters Raised at Previous Meetings

	<p>Risk Assessment: Having considered the risks associated with this decision using the County Council's approved risk management methodology, the level of risk has been identified as: Current Risk: LOW Residual Risk: LOW</p>
	<p>Other Implications: None</p>
Recommendation	<p>That Members consider the matters set out in this report.</p>
Reason for Recommendation	<p>To support the Council's corporate aim to provide innovative and value for money services.</p>
Appendices	<p>Appendix 1 – Outstanding Actions Appendix 2 – Progress Updates</p>
Background Papers	<p>None</p>
Report Originator and Contact	<p>Name: Denise Hunt, Senior Democratic Services Officer Tel: (01305) 224878 Email: <a href="mailto:d.hunt@dorsetcc.gov.uk">d.hunt@dorsetcc.gov.uk</a></p>

Progress on Matters Raised at Previous Meetings

Appendix 1

Date of Meeting	Note Number and subject reference	Action Required	Responsible Officer	Completed (incl comments)
20 September 17	58 - Budget Monitoring Report	The Costs of the "Future Dorset" Brochure to be circulated to the Committee.	Jim McManus Chief Accountant	An e-mail outlining the cost of the brochure was circulated to the Committee on 29 January 2018.
19 January 2018	6 – Progress on Matters Raised at Previous Meetings - Scrutiny review of the costs of care of Looked After Children in foster or residential placements	The revised scoping document to be considered by Overview & Scrutiny Management Board (OSMB) on 30 January 2018.	Patrick Myers Assistant Director – Design & Development	This was considered by OSMB on 30 January 2018 and an enquiry day proposed for June 2018. Further discussions will take place with Councillor Biggs concerning the date and audience.
	6 – Progress on Matters Raised at Previous Meetings – SEN Transport	That the Educational Health Care Plan (EHCP) High Impact Card is circulated in March 2018.	Patrick Myers Assistant Director – Design & Development	The High Impact Card is attached to this report. It has also been agreed that the next OSMB (25 April 2018) will focus on the four high impact scorecards and the asset plan for Children Services.
	8 - Report of Internal Audit Activity – Plan Progress 2017/18	That the rational for removal and substituted audits are included in future progress reports	Rupert Bamberger Assistant Director SWAP	This has been noted for future reports and was also brought to the attention of the OSMB for consideration by the Overview and Scrutiny Committees.
	8 - Report of Internal Audit Activity – Plan Progress 2017/18	The Cabinet Member for Health and Care to be made aware of the significant audit risk in relation to DBS checks as part of the management self-service facility.	Rupert Bamberger Assistant Director SWAP	An e-mail update was sent to the Cabinet Member on 19 February 2018.

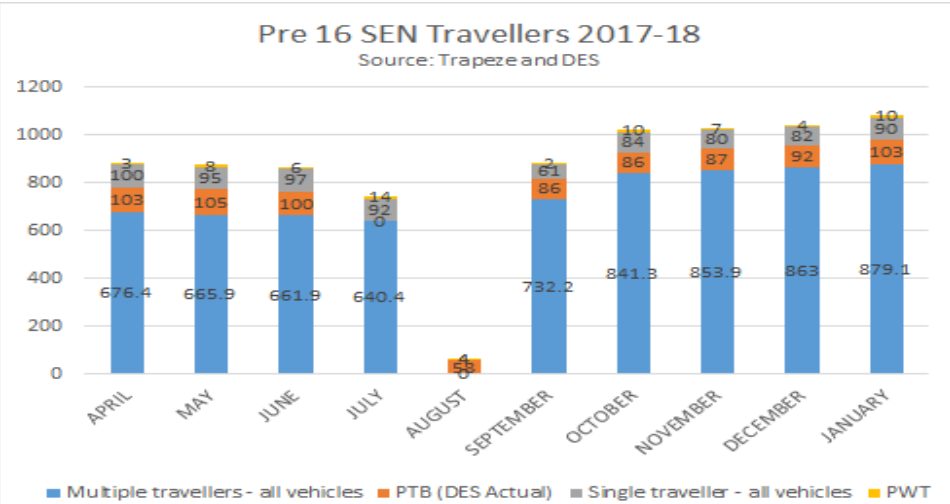
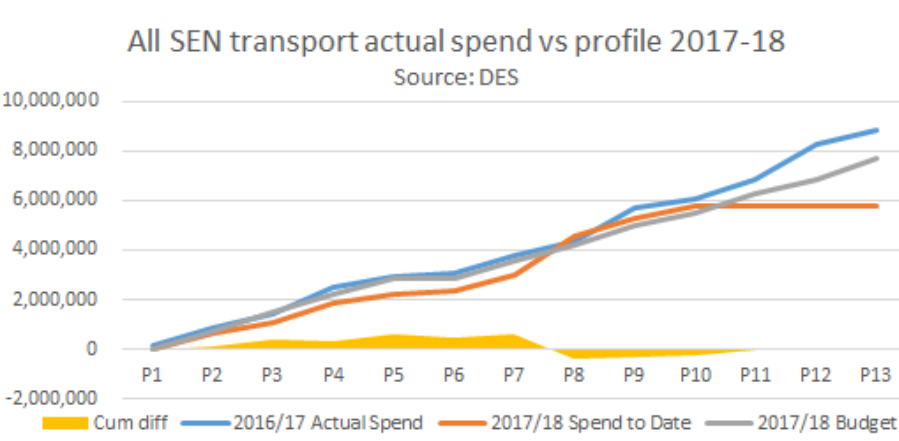
Progress on Matters Raised at Previous Meetings

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	10 - Senior Management Roles and Responsibilities - Interim Arrangements	That Article 12 of the Council's Constitution be updated to reflect the changes outlined in the report.		The changes necessary to Article 12 of the Council's Constitution was supported by the County Council at its meeting on 15 February 2018.
	11 - Financial Management Report	Further detail to be provided of the debts of £2.018m listed as "other" in the table showing the debt position by directorate.	Jim McManus Chief Accountant	Further detail was e-mailed to the Committee on Tuesday 22 January 2018.
	12 - Property Asset Management Report	To circulate a link to the list of council assets on Dorset for You.	Peter Scarlett Estate & Assets Service Manager	An e-mail containing a link to the relevant page on Dorset for You was circulated to County Councillors on Tuesday 6 February 2018.
	14 - Corporate Plan: Outcomes Focussed Monitoring Report	That the 4 outcomes monitoring reports are available in the Members' Room and shared with other local authorities in Dorset.	John Alexander Senior Assurance Manager	The reports are available in the Members' Room.
	15 - Constitutional Changes	The constitutional changes in relation to the Petitions Scheme		The constitutional changes were adopted by County Council at its meeting on 15 February 2018.

## Progress on Matters Raised at Previous Meetings

### High Impact Area 3 – SEN Travel

## Appendix 2

Description/Context	Causes and Forces affecting this issue																																																																		
<p>The LA has a statutory duty to provide travel assistance or free transport to children with SEND if eligible between home and school due to their need or the distance involved. Currently the SEN Travel Team within Children's determines eligibility and individual requirements while the Dorset Travel Team coordinates the contracting and operation of the majority of the transport.</p> <p>The amount spent on SEN travel has increased on the 2015/16 figures and expenditure was over budget in 2016/17 by £2.3m. The number of children being transported at the start of the year was recorded as 755*. By the end of the year this has increased to 941, a 25% increase. However, during this period, costs have only increased by £340k (4%). The growth in children being transported is linked to the increase in the number of children with an EHCP (12%) and this is fuelling the transport demand. Although the control actions taken are likely to contain growth, reduction of expenditure to meet budget will require further radical action.</p>	<ul style="list-style-type: none"> <li>• Increasing number of children and young people with EHCPs</li> <li>• Distance of children from home to SEND provision</li> <li>• Need for a Passenger Assistant</li> <li>• Lack of suitable mainstream transport</li> <li>• Availability and sufficiency of suitable SEND provision locally</li> <li>• Unit cost of transport commissioned by Dorset Travel</li> <li>• Willingness of parents/young person to accept Personal Travel Budgets</li> <li>• Robustness of the annual review of the EHCP</li> </ul>																																																																		
<p>What do we know about this issue?</p>  <p><b>Pre 16 SEN Travellers 2017-18</b> Source: Trapeze and DES</p> <table border="1"> <thead> <tr> <th>Month</th> <th>Multiple travellers - all vehicles</th> <th>PTB (DES Actual)</th> <th>Single traveller - all vehicles</th> <th>PWT</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>APRIL</td> <td>676.4</td> <td>103</td> <td>100</td> <td>3</td> <td>882.7</td> </tr> <tr> <td>MAY</td> <td>665.9</td> <td>105</td> <td>95</td> <td>8</td> <td>873.8</td> </tr> <tr> <td>JUNE</td> <td>661.9</td> <td>100</td> <td>97</td> <td>5</td> <td>864.5</td> </tr> <tr> <td>JULY</td> <td>640.4</td> <td>92</td> <td>90</td> <td>14</td> <td>836.4</td> </tr> <tr> <td>AUGUST</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>SEPTEMBER</td> <td>732.2</td> <td>86</td> <td>61</td> <td>3</td> <td>882.2</td> </tr> <tr> <td>OCTOBER</td> <td>841.3</td> <td>86</td> <td>84</td> <td>10</td> <td>1002.3</td> </tr> <tr> <td>NOVEMBER</td> <td>853.9</td> <td>87</td> <td>80</td> <td>7</td> <td>1028.6</td> </tr> <tr> <td>DECEMBER</td> <td>863</td> <td>92</td> <td>82</td> <td>4</td> <td>1041</td> </tr> <tr> <td>JANUARY</td> <td>879.1</td> <td>103</td> <td>90</td> <td>10</td> <td>1082.1</td> </tr> </tbody> </table>	Month	Multiple travellers - all vehicles	PTB (DES Actual)	Single traveller - all vehicles	PWT	Total	APRIL	676.4	103	100	3	882.7	MAY	665.9	105	95	8	873.8	JUNE	661.9	100	97	5	864.5	JULY	640.4	92	90	14	836.4	AUGUST	0	0	0	0	0	SEPTEMBER	732.2	86	61	3	882.2	OCTOBER	841.3	86	84	10	1002.3	NOVEMBER	853.9	87	80	7	1028.6	DECEMBER	863	92	82	4	1041	JANUARY	879.1	103	90	10	1082.1	 <p><b>All SEN transport actual spend vs profile 2017-18</b> Source: DES</p>
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Commentary on the graphs: In January, approximately 1096 with SEND were transported (excluding AP and Post 16).

A reconciliation exercise has just started between Trapeze and SEN Travel Team records, particularly around single travellers. For consistency, Trapeze data will continue to be used until this exercise has been completed. This will hopefully provide increased confidence in the figures shown, and the reliability of the operational systems. A future step will be the introduction of other data (for example Post 16), to provide a complete picture of the overall SEN Transport expenditure. In January, the previous Trapeze generated PWT figures have been replaced with DES actuals, a similar process as the reporting of PTB figures. All PWT displayed on the A3 graphic are now from DES. Dorset Travel has completed the April to July reconciliation, and have requested an analysis of SEN, Mainstream and SEN Post 16 spend to identify any potential miscodes. Also provided to Dorset Travel is a list of outstanding customer debt totalling approx. £60k.

The current SEN Transport actual spend is £264k over the profiled budget to date (full year forecast remains at approx. £740k). It is worth noting that there is an historic transmission delay within this area, due to the delay between undertaking the work and the operator submitting their invoice. The Consolidated Bill should reduce this delay, however it will still exist. In addition, the PA recharge to date has only covered the April to November periods, and therefore the timing of the recharge impacts upon the actual spend to date, versus the budget profile.

## Progress on Matters Raised at Previous Meetings

### What are doing to address this issue?

Priority activities								Milestones achieved this month							
<ul style="list-style-type: none"> <li>Senior management oversight of expenditure decisions</li> <li>Review of passenger assistants</li> <li>Eligibility of children to receive a PA by the SEN assessment team to reduce demand</li> <li>Deployment of PA's to ensure they are on the most cost-effective routes, by Dorset Travel to ensure maximum efficiency</li> <li>Ensuring the most efficient routes for each child to reduce cost</li> <li>Review of existing travelers and method of travel, to ensure the most appropriate and cost-effective solution is in place</li> <li>Explore, verify and cost alternative delivery models - for example, all PTBs or school managed transport</li> <li>Review the travel requirements / eligibility of children through the annual review of their EHCP, promoting more independence where appropriate</li> </ul>								<ul style="list-style-type: none"> <li>Parent and staff surveys distributed, and the initial response has been excellent: 105 responses parent survey and 15 parents wanting to be part of the planned focus groups.</li> <li>One workshop held focussing on parental influencers.</li> <li>First of three ideas generation workshops held, looking at how to influence behaviour during the travel application process and the customer experience.</li> </ul>							
How much did we do?								How well did we do it?							
	Sep	Oct	Nov	Dec	Jan	Feb	Mar		Sep	Oct	Nov	Dec	Jan	Feb	Mar
Number of <b>Single</b> travellers	61	84	80	82	90			Average cost per child (ex. PA cost) – <b>Single</b> traveller (Exc. Post 16 & AP)	£16.9k	£15.9k	£15.8k	£16.6k	£17.8k		
<b>Multiple</b> travellers	732	841	853	863	879			Average cost per child (ex. PA cost) - <b>Multiple</b> traveller (Exc. Post 16 & AP)	£5.3k	£4.2k	£4.2k	£4.2k	£4.2k		
<b>PWT</b> (Petrol Wear & Tear)	2	10	7	4	10			Average cost of <b>PTB</b> (Exc. Post 16 & AP)	£3.7k	£4k	£3.6k	£3.8k	£3.7k		
Number of Personal Travel Budgets ( <b>PTBs</b> ) <i>individual vendors paid in the month</i> (Exc. Post 16 & AP)		86	87	92	103			<b>Passenger Assistants (PAs)</b>							
<b>PTB</b> - 40% target					9%			Proportion of children with EHCPs receiving travel assistance (Exc. Post 16 & AP) - <b>Shared PA</b>	July 45%	52%	52%	52%	53%		
<b>Passenger Assistants (PAs)</b>								Proportion of children with EHCPs receiving travel assistance (Exc. Post 16 & AP)- <b>1:1 PA</b>	1.8%	1.8%		1.7%	1.4%		
Number of children with a <b>shared PA</b>				570	385			<ul style="list-style-type: none"> <li>Estimated full year average cost of PA - 17-18 (based on April-Nov actual) = £2,338 per person on a multiple traveller route, £7,413 for a single traveller (Exc. Post 16 &amp; AP)</li> </ul>							
Number of children with a <b>1:1 PA</b>				18	16										
Is anyone better off?															
<ul style="list-style-type: none"> <li>No of children travelling independently - Costs of transport/reduction in overspend</li> </ul>															
Planned activities for next month															
<ul style="list-style-type: none"> <li>Identification of champions for training.</li> <li>Project plan to be updated to reflect iMPower's work plan.</li> </ul>															