

## Notice of Meeting

# Children and Education Select Committee



**SURREY**

**Date & time**

Friday, 16  
November 2018 at  
10.00 am

**Place**

Ashcombe Suite,  
County Hall, Kingston  
upon Thames, Surrey  
KT1 2DN

**Contact**

Richard Plummer  
Room 122, County Hall  
Tel 020 8213 2782

[richard.plummer@surreycc.gov.uk](mailto:richard.plummer@surreycc.gov.uk)

**Chief Executive**  
Joanna Killian



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[@SCCdemocracy](https://twitter.com/SCCdemocracy)

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**This meeting will be held in public. If you would like to attend and you have any special requirements, please contact Richard Plummer on 020 8213 2782.**

**Elected Members**

Mr Chris Botten (Vice-Chairman), Mrs Liz Bowes, Mr Robert Evans, Mr Tim Evans, Mrs Kay Hammond (Chairman), Mrs Julie Iles, Mrs Yvonna Lay, Mrs Lesley Steeds, Mr Chris Townsend and Mrs Victoria Young

**Independent Representatives:**

Mr Simon Parr (Diocesan Representative for the Catholic Church), Mrs Tanya Quddus (Parent Governor Representative), Mr Alex Tear (Diocesan Representative for the Anglican Church, Diocese of Guildford) and Mr Mike Wainhouse (Parent Governor's Association)

**TERMS OF REFERENCE**

The Committee is responsible for the following areas:

- Children's Services (including safeguarding)
  - Early Help
  - Corporate Parenting
  - Education
- Special Educational Needs and/or Disabilities

## **AGENDA**

### **1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS**

To report any apologies for absence and substitutions

### **2 MINUTES OF THE PREVIOUS MEETING: 7 SEPTEMBER 2018**

(Pages 5  
- 16)

To agree the minutes of the previous meeting as a true and accurate record of proceedings.

### **3 DECLARATIONS OF INTEREST**

All Members present are required to declare, at this point in the meeting or as soon as possible thereafter:

- i. any disclosable pecuniary interests and / or;
- ii. other interests arising under the Code of Conduct in respect of any item(s) of business being considered at this meeting

#### **NOTES:**

- Members are reminded that they must not participate in any item where they have a disclosable pecuniary interest;
- as well as an interest of the Member, this includes any interest, of which the Member is aware, that relates to the Member's spouse or civil partner (or any person with whom the Member is living as a spouse or civil partner); and
- Members with a significant personal interest may participate in the discussion and vote on that matter unless that interest could be reasonably regarded as prejudicial.

### **4 QUESTIONS & PETITIONS**

To receive any questions or petitions

#### **Notes:**

1. The deadline for Member's questions is 12.00pm four working days before the meeting (*9 November 2018*).
2. The deadline for public questions is seven days before the meeting (*8 November 2018*).
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

### **5 RESPONSE FROM THE CABINET TO ISSUES REFERRED BY THE SELECT COMMITTEE**

There have been no responses from Cabinet.

- 6 CHILDREN'S IMPROVEMENT PLAN** (Pages 17 - 30)  
**Purpose of the Report:** Scrutiny of Children's Services Performance Improvement
- 7 SURREY ALTERNATIVE LEARNING PROVISION** (Pages 31 - 74)  
**Purpose of the Report:** To outline the current Surrey Alternative Learning Provision (SALP) offer and how it is utilised by Surrey County Council and partners, with a particular focus on our work in reducing exclusions, to provide context of this vulnerable group and the range of services offered, including coverage of provision, length of time children utilise them for and whether the provision is being used to best improve children's outcomes.
- 8 INTERNAL AUDIT REPORT INITIAL HEALTH ASSESSMENTS 17/18** (Pages 75 - 90)  
**Purpose of report:** To review the summary of audit findings and Management Action Plan produced as a result of an internal audit review of Initial Health Assessments 17/18.
- 9 CHILDREN AND EDUCATION SELECT COMMITTEE (2017-2018) SEND TASK AND FINISH GROUP CONCLUSION REPORT** (Pages 91 - 128)  
**Purpose of the Report:** To provide the Committee information regarding the work of the joint Task and Finish Group, ask the Committee to note the results of the group and to make recommendations as required.
- 10 RECOMMENDATIONS TRACKER AND FORWARD WORK PROGRAMME** (Pages 129 - 136)  
The Select Committee is asked to review and approve the Forward Work Programme and Recommendations Tracker and provide comment as required.
- 11 DATE OF THE NEXT MEETING**  
The next meeting of the Select Committee will be held 6 March 2019 in the Ashcombe Suite at County Hall.

Joanna Killian  
**Chief Executive**  
Published: Thursday, 8 November 2018

### **MOBILE TECHNOLOGY AND FILMING – ACCEPTABLE USE**

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It is requested that if you are not using your mobile device for any of the activities outlined above, it be switched off or placed in silent mode during the meeting to prevent interruptions and interference with PA and Induction Loop systems.

*Thank you for your co-operation*

**MINUTES** of the meeting of the **CHILDREN AND EDUCATION SELECT COMMITTEE** held at 10.00 am on 7 September 2018 at Ashcombe Suite, County Hall, Kingston upon Thames, Surrey KT1 2DN.

These minutes are subject to confirmation by the Committee at its meeting on Friday, 16 November 2018.

**Elected Members:**

- \* Mr Chris Botten (Vice-Chairman)
- Mrs Liz Bowes
- Mr Robert Evans
- \* Mr Tim Evans
- \* Mrs Kay Hammond (Chairman)
- \* Mrs Julie Iles
- \* Mrs Yvonna Lay
- \* Mrs Lesley Steeds
- \* Mr Chris Townsend
- \* Mrs Victoria Young

**Co-opted Members:**

- \* Mr Simon Parr, Diocesan Representative for the Catholic Church
- Mrs Tanya Quddus, Parent Governor Representative
- Mr Alex Tear, Diocesan Representative for the Anglican Church, Diocese of Guildford
- Mr Mike Wainhouse, Parent Governor's Association

**1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS [Item 1]**

Apologies were received from Committee Members Liz Bowes, Robert Evans, Simon Parr, Alex Tear, Mike Wainhouse and from the Cabinet Member for All-Age Learning Mary Lewis.

**2 MINUTES OF THE PREVIOUS MEETING: 20 FEBRUARY 2018 [Item 2]**

The minutes of the previous meeting were approved as a true and accurate record of proceedings.

**3 DECLARATIONS OF INTEREST [Item 3]**

There were no declarations of interest received.

**4 QUESTIONS & PETITIONS [Item 4]**

1. A question was received from Cllr Chris Townsend. The question is attached to the minutes as Annex A. There was a response received from the Cabinet Member which is attached as Annex B.
2. Cllr Chris Townsend asked a supplementary question, expressing concern that this was still a significant issue and questioning whether the current supply of educational psychiatrists was being utilised in the most effective manner. Officers explained that there was a struggle to recruit to these posts, but that those that were in post was of good

quality and were being utilised well. Members asked whether there was a potential for this issue to be looked at in greater detail in the next year.

**Recommendations:**

1. That an item of Educational Psychologists (EP) and the issues facing the service regarding recruitment and utilisation of these be brought to the Committee in early 2019.

**5 RESPONSE OF CHILDREN'S SERVICES TO OFSTED (2018) [Item 7]**

**Witnesses:**

Dave Hill, Executive Director of Children, Families and Learning  
Jacquie Burke, Interim Director for Change Safeguarding and Early Help  
Claire Burgess, Chair of the Surrey Safeguarding Children Board  
Clare Curran, Cabinet Member for Children

**Key points raised in the discussion:**

1. Officers highlighted the headlines of the report and noted that the Children, Families and Learning Directorate was undertaking a comprehensive response to the challenges faced in Children's Services following the report of Ofsted (2018). It was noted that the Department for Education (DfE) had appointed a Commissioner to determine Surrey County Council's capability to improve. It was also explained that draft feedback had endorsed the current plan of improvement, but stressed that the challenges of longstanding and severe deficits of services remained high.
2. Officers stressed that the service was taking a whole system approach, including partners in the redesign. It was explained that the service was too risk adverse and that the universal level of service was too incoherent. Officers gave evidence of planned improvement in this area with the introduction of the "windscreen" levels of need model which would create a clear, system-wide understanding of thresholds. It was stressed that the service wanted to ensure a clear, single practice model which could be followed by the service and partners.
3. Officers highlighted that they were introducing the "Family Safeguarding," "No Wrong Door" and "Mockingbird" models across respective services to help improve current practice. It was stressed that these models had been employed successfully to improve in other comparable local authorities.
4. Officers noted the significant changes in leadership structure and the requirement to introduce high level strategic value in the service.
5. Members questioned how the service was planning to improve working relationships with partners and what the potential barriers to good partnership working would be. Officers explained that they would be working closely with statutory partners on the plans for service transformation. It was also noted that the service was including children and young people in the service redesign proposals to ensure

that they are engaged in the process.

6. The Director of Children, Families and Learning stressed that Early Help transformation and the better utilisation of Early Help to reduce reliance on statutory services was essential to reducing cost and improving outcomes for children. It was also highlighted that this work could only be undertaken with partners and that it was important for the service to closely work with them.
7. The Chairman of the Surrey Safeguarding Children Board noted that there had been significant engagement with partners and that statutory partners were keen to be involved in the change process. It was noted that previous barriers to partnership work were that individual services had worked in silos and that this needed to be improved.
8. Members questioned the importance of partners understanding of thresholds in Children's Services, which was an issue highlighted by the Ofsted report as a key area of concern, and how the service was planning to improve upon this. Officers explained that the Directorate had revisited the levels of need approach and had worked with partners to determine these levels for children.
9. Members stressed the capacity of partners, particularly teaching staff, to undertake the level of safeguarding work that was required. Officers noted that there was an impetus from teaching staff to undertake this work and engage with safeguarding services. However, it was stressed that the service was not expecting teachers to act as social workers. It was also noted that there was the need for a support network to ensure that there was adequate support for partners.
10. It was noted by the Executive Director of Children, Families and Learning that there was a need for significant improvement in Children and Adolescent Mental Health Services (CAMHS) and that there was a requirement for fundamental change in how the service is delivered. It was also noted that the CAMHS service would need to become more active in schools to be effective.
11. Officers explained that they had undertaken a review of performance management within the Directorate and would work to develop a small list of key indicators to help monitor progress of improvement. Members questioned whether it would be feasible to provide these figures to the Committee so that it can work to determine whether the service has improved.
12. Members questioned how the Directorate was planning to deliver upon performance improvement in the climate of savings requirements. Officers clarified that the Directorate intended to invest more into the universal services, rather than into high intensity statutory services, which was considered to be more cost efficient. It was also stressed that children currently in statutory services would be worked with better, as a result of improved management grip and ensure that there would be less need for resource in this area over time.
13. The Executive Director of Children, Families and Learning noted that the service needed to be more open to challenge from scrutiny and

that it would work to help provide the information to question the quality of improvement work underway. It was also stressed that Members would need to be critical of the service and ensure constant challenge to help maintain improvement.

14. The Chairman offered her apologies to the children in need of services in Surrey and stressed that the Children and Education Select Committee would be focussing on the need to improve standards of delivery in the service.
15. The Cabinet Member for Children stressed the need for Members to take responsibility and that the improvement journey required the aid of the Select Committee to ensure that it is succeeding.

**Recommendations:**

1. That the Cabinet Member ensures that the service provides a suite of performance indicators as of the current date (7 September 2018), to inform future scrutiny of service performance, which is to be presented on a regular basis to the committee as of its next meeting in November 2018.
2. That officers provide an updated draft improvement plan which is Red-Amber-Green rated, includes date of delivery and highlights leads responsible as soon as feasible.

**6 SURREY CHILDREN'S SERVICES ACADEMY [Item 6]**

**Witnesses:**

Sheila Norris, Consultant on the Surrey Children's Services Academy Design  
Dave Hill, Director of Children, Families and Learning  
Clare Curran, Cabinet Member for Children

**Key points raised in the discussion:**

1. Officers explained that the scope of the proposed Academy was to work with the core and wider workforce and was designed to be ambitious in its scope. It was explained that the creation of the academy would develop the workforce and ensure:
  - a. that it is confident and successful;
  - b. that it would create a single unified model for the workforce and partners;
  - c. and that it would aim to change the culture of working.

It was noted that the Academy was in its early stages of development and concept design.

2. It was explained that the service was looking to redesign the current learning and development offer and were working alongside partners and staff to aid in shaping the design of this model. Officers noted that

there were plans to include common areas of induction with partners and potential shared leadership training.

3. Officers noted that the new Academy would, when active in early 2019, fit into the Children, Families and Learning Quality Assurance Directorate.
4. The Committee questioned whether it would be possible to explain the role of Members and how they can be utilised as a means of improving the support network for frontline workers as part of the proposed learning and development programme.
5. Members questioned retention figures and asked how the Academy would work to resolve the current issue of retention of social workers. It was noted that there was a trend of a drop off in retention after two years of employment. Officers noted that there was the current Newly Qualified Social Worker (NQSW) Academy and that this was designed for NQSW's only, with a drop off in support after two years. While it was noted that the NQSW Academy had received praise in the Ofsted report (2018), it was explained that the new proposals hoped to expand upon this success. It was explained that the new Academy was aimed to provide support for staff and partners on a longer term basis, which aimed to improve morale and long term retention.
6. Members questioned the performance indicators of the new Academy; including the success criteria and potential response to the proposals not meeting these criteria. It was noted that success could be measured by retention of social care staff and management improvement evidenced through audit. It was suggested that these could be built into the launch of the Academy.
7. It was noted that officers had been looking at best practice across similar models in other authorities, such as Essex County Council, where a similar model had been implemented for social workers only. It was noted that best practice in implementing support and progression for staff and partners had been looked at to help develop this project.
8. Officers noted that there was a potential for future provision for the recruitment of apprentice social workers, noting that the service was keen to explore this as a potential future option for improving retention and increased numbers of "home-grown" social workers.
9. Officers clarified that the design model and budget for the proposed Academy was being formulated and would be shared with the Committee before implementation. It was noted that there would be a need for a short term investment but that the Directorate would look to streamline the current learning and development offer to reduce costs

and also that improved retention would over time reduce agency costs.

10. Officers stressed that the Academy could not be viewed in isolation as a “fix-all” but must be seen as a part of the overall transformation programme of the Children, Families and Learning Directorate.
11. Officers highlighted that the Academy would begin initial operation in early 2019, with the launch of its learning and development offer. It was stressed that the Academy would continue to be developed over the long term.
12. The Cabinet Member for Children stressed the need for professional development to ensure that the service undertakes its rapid improvement, and that the development of the Academy was a key component of this.

**Recommendations:**

1. That the Cabinet Member ensures that the service works with the Chairman and Vice-Chairman of the Children and Education Select Committee to embed into the development of the business case for the Children’s Academy measureable success criteria, including:
  - a. Incremental improvement upon the rates of retention of social care staff;
  - b. Improvement and maintenance of professional standards in Children’s Services;

Which can be used as key performance indicators for the Academy upon start of its operation in early 2019.

2. That the proposed model for the Children’s Service Academy be circulated to the Committee before its start of operation in January 2019.

**7 MEMBER PRACTICE CONVERSATIONS FEEDBACK AND PROCEDURE [Item 5]**

**Witnesses:**

Kay Hammond, Chairman of the Children and Education Select Committee  
Chris Botten, Vice Chairman of the Children and Education Select Committee  
Lesley Steeds, Member of the Children and Education Select Committee

**Key points raised in the discussion:**

1. Members noted that taking part in the practice conversations was an interesting an informative experience.

2. Members highlighted that there were several common concerns raised by social workers, including caseloads, management oversight and administrative issues. Members suggested that there could be several quality of life improvements that could be made, such as recruitment of administrative staff to help social workers undertake administrative duties that they do not have the capacity to undertake.
3. The Committee endorsed the idea of implementing Member Practice Conversations on a regular basis, and asked whether conversations could be held sooner than was scheduled. Officers noted that this was possible and could be arranged for Committee Members.

**Recommendations:**

It was agreed:

1. That Members endorsed the proposed plan to implement Member Practice Conversations for the Committee,
2. That actions and findings are reported quarterly to the Committee; and
3. The proposal for a programme of Member practice conversations for 2018/19.

**8 OUT OF COUNTY PLACEMENTS TASK AND FINISH GROUP [Item 8]**

**Witnesses:**

Dave Hill, Executive Director of Children, Families and Learning  
Richard Plummer, Democratic Services Officer

**Key points raised in the discussion:**

1. Members endorsed the idea and scoping plan of the Out of County Placements Task Group. Members stressed that this was a key area of concern for the Council.
2. The Executive Director noted that this was an ideal opportunity for the Committee to feed into work that was going in within the Directorate on this issue and that work should start on this Task Group as soon as feasible.
3. The Committee agreed the Membership of the task group to be the following:
  - a. Chris Botten (spokesman)
  - b. Lesley Steeds
  - c. Victoria Young
  - d. Chris Townsend

**9 FORWARD WORK PROGRAMME [Item 9]**

**Key points raised in the discussion:**

1. Members had no additional comments on the forward work programme.
2. Members agreed the proposal for future work on the Transition Task and Finish Group in the forward plan and agreed that the Chairman would represent the Committee in any future work.

**10 DATE OF THE NEXT MEETING [Item 10]**

The next public meeting of the Committee will be held at County Hall on 16 November 2018.

Meeting ended at: 12.31 pm

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**Chairman**

## ANNEX A

Cllr Clare Curran  
C/o Members' Room  
County Hall  
Penrhyn Road  
Kingston upon Thames  
KT1 2DN

8<sup>th</sup> May 2018

Dear Councillor Curran,

### Educational Psychology (EP) Service

Like all Surrey primary schools we have a number of children who have learning difficulties. We do all we can to support them to ensure their rate of progress matches that of their peers. Sometimes though we need a bit of help and at those times we rely on the County's Educational Psychologists. Actually, that is not quite true; the reality is that we *used to* rely on them but alas no longer because for the past 18 months there has been no EP service available to Mole Valley schools, except for statutory and emergency work. For a time we were very generously offered the chance to hire a Surrey EP for around £560 a day, however so many schools chose that option that the system collapsed as demand swamped supply. It has now been withdrawn.

Meanwhile we have Paediatricians at Epsom Hospital telling parents that their child needs an EP assessment and those parents then asking why we have done nothing about it. The choice facing us is to find our own EP and pay for an assessment ourselves or recommend to parents that they do this themselves. Not many of our families can afford to do that. What makes this really galling is that just a few miles down the road in Elmbridge, schools are offered two days of EP support each term and these schools regard the EP service as one of the best they receive from Surrey.

We appreciate that there is a shortage of Educational Psychologists wishing to work in the public sector currently and Surrey County Council is facing extreme financial pressures. However we cannot understand why those EPs working for Surrey cannot be used across the whole county rather than only in one quadrant. This situation is completely unacceptable to us as this inability or refusal of officers to deploy the available EPs across the whole county has created a postcode lottery in which the children of South East Surrey in general and those in Mole Valley in particular are missing out.

As Cabinet Member for children and a Mole Valley County Councillor we would be very grateful if you could use your influence to address this unsatisfactory situation before more of our children, for whom learning is already far from straightforward, fail to be assessed formally and receive the additional support the need.

Yours sincerely,

Cc Dave Hill Executive Director for Children, Families and Learning  
Cllr Chris Townsend, County Councillor for Ashted and member of the children and education select committee.

## ANNEX B

### Cabinet Member for Children

County Hall, Penrhyn Road, Kingston upon Thames, Surrey KT1 2DN

Telephone: 020 8541 9020

Email: [Clare.Curran@surreycc.gov.uk](mailto:Clare.Curran@surreycc.gov.uk)

Thursday, 06 September 2018

Dear Chris

#### **RE: Concerns raised regarding Education Psychology Service**

Thank you for sharing these concerns in relation to the availability of Surrey County Council's Education Psychology Service. I understand that you received this correspondence in May 2018, although I do not have a record of receiving these concerns.

I can confirm that I have recently responded to very similar correspondence from a Surrey resident. I have since made some additional enquiries into the situation which has informed my response. I understand that all of the maintained schools and academies in South East Surrey have access to Surrey County Council education psychologists (EP). The Service has maintained (where possible) a system of linking each educational psychologist with a fixed group of schools. This is in order to support a detailed knowledge of schools and their pupils.

Educational psychologists do work across all areas of Surrey in order to ensure a fair distribution of the EP time available. The service also provides locum or agency EPs to support areas with a very high demand, and work is regularly shared between areas should one be particularly stretched.

You will be aware of the increase in the number of children requiring Education, Health and Care Plans (EHCP). In order to meet this demand, the EP service has had to focus on assessments for children and young people that the local authority has agreed to assess (and likely to lead to an EHCP). Unfortunately, this has impacted upon the

EP resource available for non-statutory assessments. I can assure you that the service is working continuously to recruit both permanent and temporary staff and will be letting schools know in September what range and level of service their staffing will support.

I understand that in order to support schools seeking educational psychology advice, the South East Team operates a telephone advice line for schools, Special Educational Needs Coordinators (SENCo) as well as parents and carers. The school can also refer to the local authority's specialist teaching services, which include specialist outreach services from Surrey special schools with expertise in meeting the needs of children and young people with Special Educational Needs and Disability.

In the interim, you may wish to remind parent/carers of students in your setting of the availability drop-in appointment with our specialist children's workers – including EPs. These are for parent/carers or young people with worries or concerns at local youth centres and are taking place over the summer. For ease of reference, I have included the remaining dates below.

Additionally, the Principal Educational Psychologist, Beverley Clarke is most happy to discuss your concerns with you directly. Beverley can be contacted on 0208 541 8667.

I am grateful for the opportunity to respond to your concerns.

Yours sincerely

**Clare Curran**  
**Cabinet Member for Children**

County Councillor - Bookham and Fetcham West

4<sup>th</sup> September 2018

11<sup>th</sup> September 2018

18<sup>th</sup> September 2018

25<sup>th</sup> September 2018

Mole Valley

**Tuesday: 3.45pm - 5.15pm**

Malthouse Youth Centre, Mill Lane, Dorking RH4 1DU

# Children and Education Select Committee

16 November 2018



## Children's Services Performance Improvement

**Purpose of report:** Scrutiny of Children's Services Performance Improvement

### Introduction:

1. This report supports the review the Children's Improvement Plan designed by the Children, Families and Learning Directorate to determine its effectiveness of resolving the issues highlighted in the Ofsted report (2018), specifically in relation to performance improvement.
2. This report also informs the assessment of the capability of the Improvement Plan to resolve the issues in Children's Services, within the context of the Ofsted report (2018) and report of the appointed Children's Commissioner, and have made suggestions as required.

### Background information

3. Following the implementation of the new Practice Leadership Team (PLT), the Performance Improvement Team (PI) have been working with PLT to develop new ways of working to drive performance improvements.
4. The monthly performance report has continued to be produced and developed over the last three months, with a focus on data integrity and making information accessible to managers through the council's reporting software, a product called Tableau.
5. In July the department submitted the annual statutory data and performance reports to central government.
6. Through the process of submission a number of data quality issues were identified specifically in relation to the accuracy of recording Looked After Children placements.

7. Information required by central government for Adoption and Fostering continues to be held in spreadsheets rather than an integrated record in the case management system. This means there is a heavy reliance on manual recording and reporting via Excel, rather than structured recording in LCS and reporting through Tableau.

#### How we manage performance

8. The performance framework puts more focus on each service to own their data and performance information using Tableau as management tool to monitor and track key indicators in near real time and to inform assurance reporting to the Directors.
9. The performance cycle is outlined below:
  - a) First Monday, the performance manager circulates an initial performance report for the previous month with headline analysis.
  - b) Second Monday, the performance manager circulates the validated performance report with performance challenge questions for Assistant Directors and Service Managers to prepare answers at the performance challenge meeting the following week.
  - c) Third Monday, Practice Leadership Performance Challenge Meeting takes place to discuss highlight reports and agree a performance narrative based on the outcomes of the investigations to the performance challenge questions from the previous week.
  - d) Fourth Monday, the final draft performance narrative is prepared for discussion at the Children's Leadership Team and wider distribution to Lead Members and staff. It is expected that the learning from the performance challenge is used to inform a programme of audit to assess quality and drive service improvements and better outcomes for children.
10. In addition the performance managers attend regular meetings in each of the practice quadrants to support Assistant Directors and Service Managers to address the issues coming out of the data and develop new reporting tools to aid their professional curiosity.
11. To help focus the performance improvement agenda, the following criteria is used to enable priority setting:
  - a) Is it a strategic priority linked to a transformation programme?
  - b) Does it relate to an Ofsted/ SEND recommendation

- c) Is there a statutory requirement
- d) Is there an external deadline to meet?

- 12. The performance challenge is seen as a healthy opportunity to inwardly look at how well outcomes for children are being achieved as well as outward reflection to review current practice and agree how things can be done differently to improve children and families experiences.

#### **Addressing Data Quality issues**

- 13. We are aware that there are some data quality issues in relation to the recording of where looked after children are living. Although we are aware of all current placements, the information is not easily accessible as some of it is held outside of the case management system on spreadsheets or not recorded in the format that is required for reporting.
- 14. At present, the performance team are working with colleagues in all service areas to review this data and ensure that it is then reportable.
- 15. Following this activity, recommendations will be presented to the Practice Leadership Team with clear expectations and accountability for recording standards for all children's records.

#### **Review of IT systems used in Children's Services**

- 16. The data quality issues have highlighted that there are a number of changes required to the core IT systems used across the department. This includes streamlining some business processes, reducing bureaucracy and the reliance on manual data and the use of spreadsheets and to make the job easier for practitioners.
- 17. This will enable the development of a set of data quality standards, linked to a scheme of delegation that clearly sets out expectations for the recording of information (by whom and by when) to drive performance reporting based upon child level information that is accurate and reliable.
- 18. To support this work, it has been agreed to review the use of all IT systems used across the department and make recommendations to the Children's Leadership Team, aiming towards a single view of children's information reported through Tableau with minimal use of data held outside of this platform.

#### **Conclusions:**

19. There is a clear vision across the department to work towards having a single view of all children's information, to improve data quality and access to information that is accurate, reliable and a single version of the truth.
20. The work described in this report is directly influencing the content of the Ofsted improvement plan and associated measures for success.

<b>Recommendations:</b>
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21. That the key indicators referred to in the 'Compendium At A Glance' continue to be regularly reviewed each month and assessed against national performance (published by the Department for Education on 15 November 2018) and quarterly regional benchmarking to assess Surrey in the national and regional context.

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**Report contact:**

Mark Barratt, Head of Quality Assurance

**Contact details:**

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Telephone: 01483 404 669

**Sources/background papers:**

Annex A – 2018-19 Compendium at a Glance

Annex B – IHA Performance Report October 2018

Annex C – Surrey's Children's Improvement Plan (Strategic) Aug 2018

Compendium at a Glance as at 30/09/18 Ranked

Page	Measure	Target	Rolling 12 Months Average	Last Month	Latest	Direction	RAG	
13	EH Contacts to Early Help that were 'Stepped Down' from Social Care	TBC	161	221	127	↘	TBC	
14	EH Contacts going onto an Early Help Assessment	TBC	26%	21%	18%	↘	TBC	
15	Subsequent EH Contacts in to Early Help Services within 12 months of previous referral	TBC	33%	36%	38%	↗	TBC	
39	Looked After Children Short Term Placement Stability	9%	NA	8%	7%	↓	Data Quality I	
40	Looked After Children Long Term Placement Stability	70%	NA	67%	67%	→	Data Quality I	
44	Child Sexual Exploitation contextual information	NA	158	205	213	↗	Data Quality I	
45	Missing Children	NA	New Tableau report underdevelopment for Oct 18					
38	Pathway Plan completed at age 16 years and 3 months - Looked After Children	95%	NA	27%	27%	→	Red	
35	Looked After Children Initial Health Assessments completed within Timescale	80%	NA	16%	17%	↑	Red	
12	EH Contacts in to Early Help Services	1000	998	891	629	↓	Red	
8	Proportion of MASH contacts progressed to Children's Services within one working day	80%	NEW	52%	44%	↓	Red	
21	Child In Need Visits up to date	90%	NA	56%	59%	↑	Red	
37	Looked After Children Dental Checks completed - in care less than 1 year	80%	NA	53%	58%	↑	Red	
38	Pathway Plan completed - Looked After Children	95%	NA	78%	77%	↓	Red	
35	Looked After Children Initial Health Assessments completed	80%	NA	62%	63%	↑	Red	
30	Public Law Outline average duration in weeks - ongoing cases	12.0	NA	12.7	14.1	↑	Red	
30	Public Law Outline average duration in weeks - completed cases	12.0	NA	13.8	14.0	↑	Red	
47	Child Supervision recorded to timescale	75%	NA	60%	60%	↑	Red	
20	Proportion of Assessments completed within 45 working days	84%	76%	72%	71%	↓	Red	
42	Care Leavers - Pathway Plan reviewed in the last 6 months	90%	NA	74%	77%	↑	Red	
16	Number of Completed Early Help Assessments	133	232	211	117	↓	Red	
34	Looked After Children with Personal Education Plans	90%	NA	89%	80%	↓	Red	
41	Looked After Children placed over 20 miles from home and outside Surrey	20%	NA	27%	27%	→	Red	
19	Re-referrals to Children's Services	22%	27%	28%	25%	↓	Red	
37	Looked After Children Dental Checks completed - in care more than 1 year	90%	NA	80%	82%	↑	Amber	
28	Children subject to a CP Plan seen in the last 10 working days	90%	NA	84%	84%	→	Amber	
43	Care Leavers in Contact with Surrey	95%	NA	87%	90%	↑	Amber	
29	Children subject to a CP Plan seen alone in the last 6 weeks aged 4 to 16 years old	90%	NA	83%	86%	↑	Amber	
36	Looked After Children Review Health Assessments completed	90%	NA	89%	86%	↓	Amber	
17	Early Help Management Oversight	75%	NA	67%	72%	↑	Amber	
46	Management Oversight	100.0%	NA	98%	98%	↓	Amber	
33	Looked After Children statutory visits	90%	NA	87%	88%	↑	Amber	
42	Care Leavers - Pathway Plan completed	100.0%	NA	99%	99.50%	↑	Green	
27	Proportion of children subject to a CP Plan for over 24 months	2.0%	1.6%	0.6%	0.8%	↑	Green	
27	Proportion of children subject to a CP Plan for over 18 months	8.0%	5.4%	4.8%	5.0%	↑	Green	
25	Child Protection Plan repeat ever	12%	21%	25%	12%	↓	Green	
22	Proportion of S47 Enquiries with an outcome of Initial Child Protection Conference	39%	37%	38%	40%	↑	Green	
24	Initial Child Protection Conferences held within timescale	80%	61%	56%	85%	↑	Green	
26	Review Child Protection Conferences held within timescale	90%	96%	92%	94%	↑	Green	
32	Looked After Children with up to date Reviews	90%	NA	96%	95%	↓	Green	
18	Referrals to Children's Services	NA	1107	706	695	↘	NA	
21	Number of Children in Need	NA	NEW	2477	2346	↘	NA	
23	Child Protection volumes	NA	1014	1115	1114	↘	NA	
31	Number of Looked After Children	NA	939	968	981	↗	NA	
31	Number of Care Leavers	NA	537	564	576	↗	NA	
7	Number of Contacts to the MASH	NA	5186	4342	3893	↘	NA	
<b>Overall Status</b>							<b>17</b>	<b>Red</b>
							<b>8</b>	<b>Amber</b>
							<b>8</b>	<b>Green</b>
							<b>3</b>	<b>Target TBC</b>

LAC placement stability, distance from home and information relating to Missing Children and CSE continues to be RED in the data integrity assessment and is being formally reviewed over six weeks. Although information presented here is the 'best available data' it has not been validated by the Performance Team and is reported from multiple data sources pending integrity of LCS/EHM and accurate reporting from a core system via Tableau.

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# **Looked After Children: Initial Health Assessments**

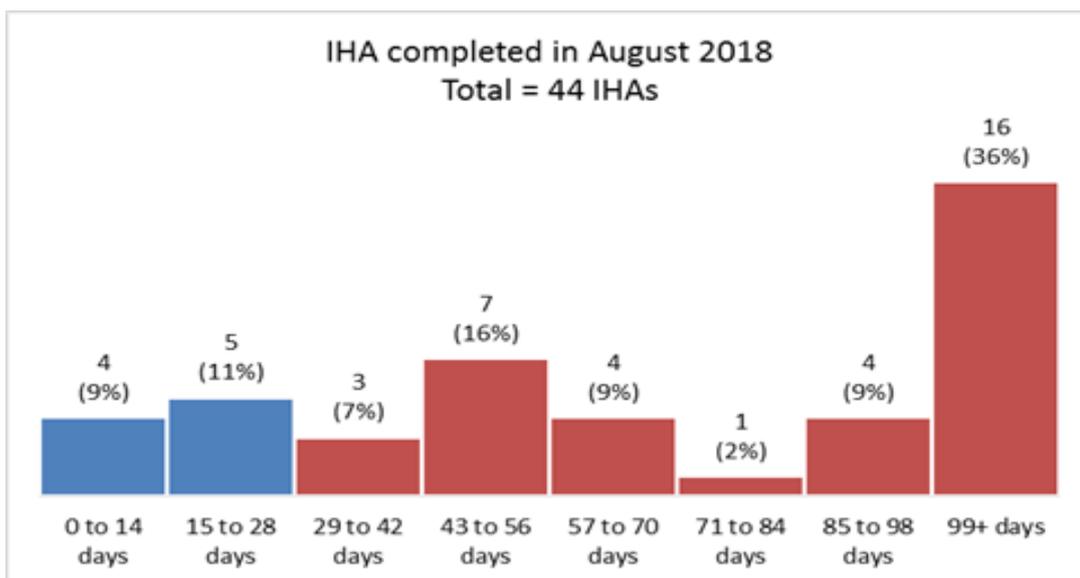
**Surrey County Council**

**October 2018**

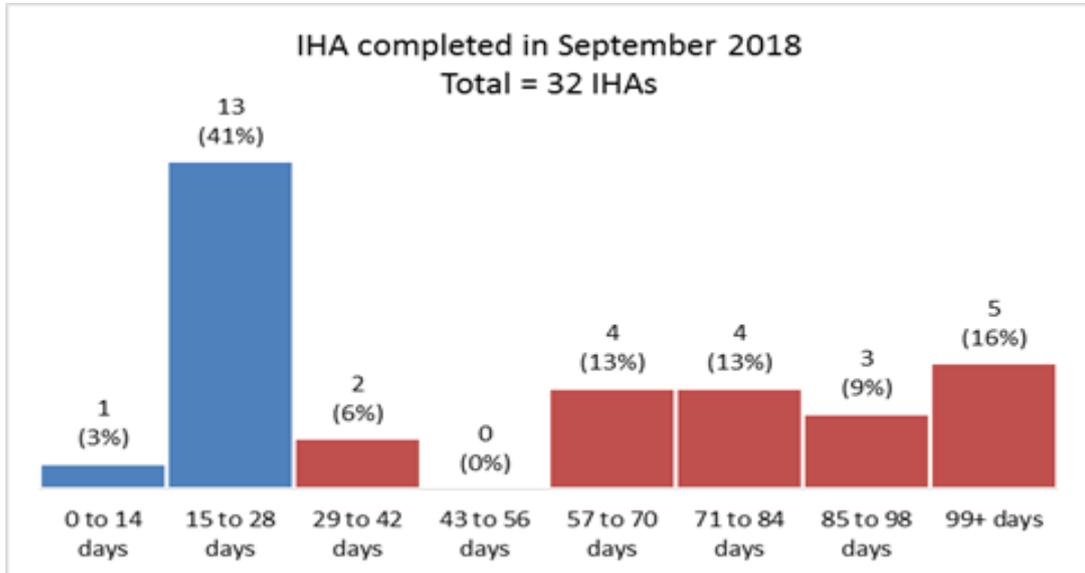
**Author: Mark Mapstone  
Date: 7<sup>th</sup> November 2018**

### Summary of IHA performance

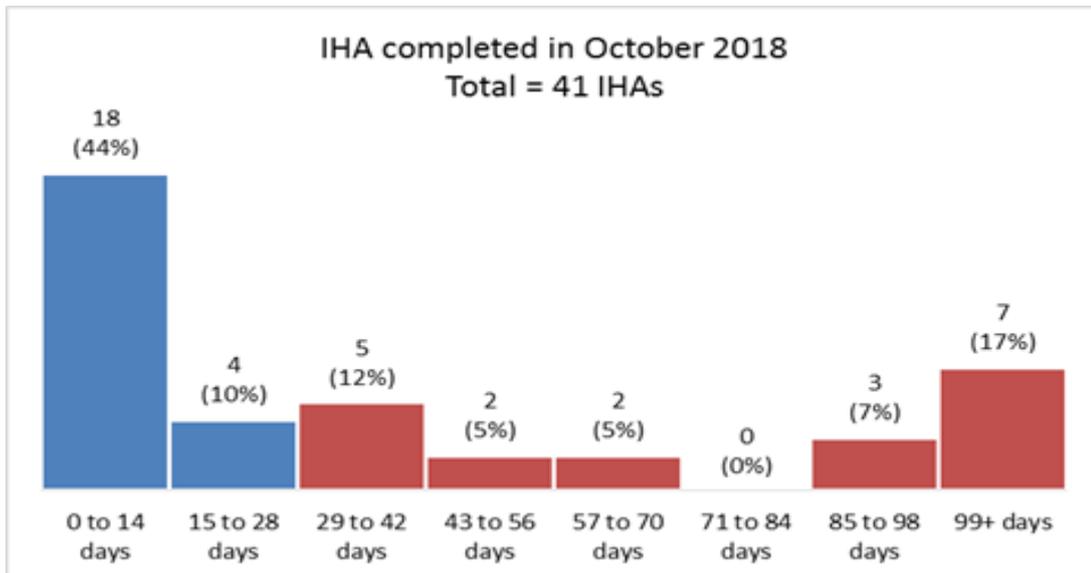
1. The current target is for a looked after child to have an Initial Health Assessment (IHA) completed within 20 working days of entering care.
2. The Ofsted report highlighted that there is a requirement to significantly improve performance around the timeliness of IHAs in Surrey.
3. A significant amount of work has been undertaken over the summer to improve access to information between Children’s Service and our commissioned health provider for IHAs.
4. This has enabled us to better understand the reasons for delay and by sharing information on a weekly basis, evidence improvements in the timeliness of IHAs taking place for the most vulnerable children.
5. There is an overall emerging trend of performance improving for the timeliness of IHA taking place in a timely manner.
6. The ‘Manhattan Skyline’ reports below highlight that in the last three months there has been a positive shift in timeliness.
7. In August, 36% of children whose assessment was completed had been in care for 99 days or more when it took place. Only 20% of children had an assessment within timescale.



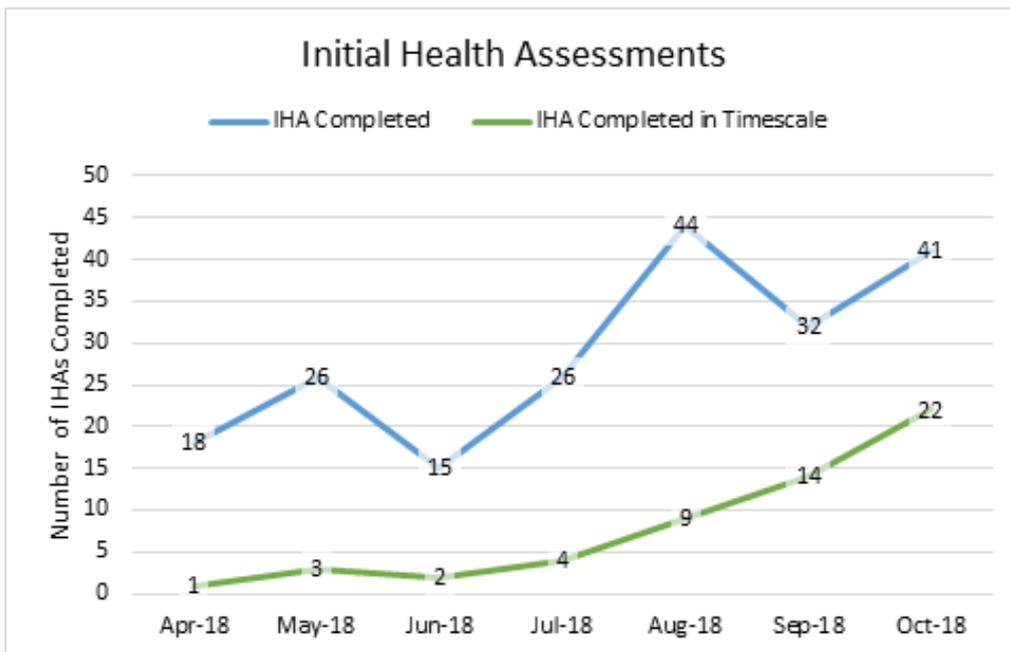
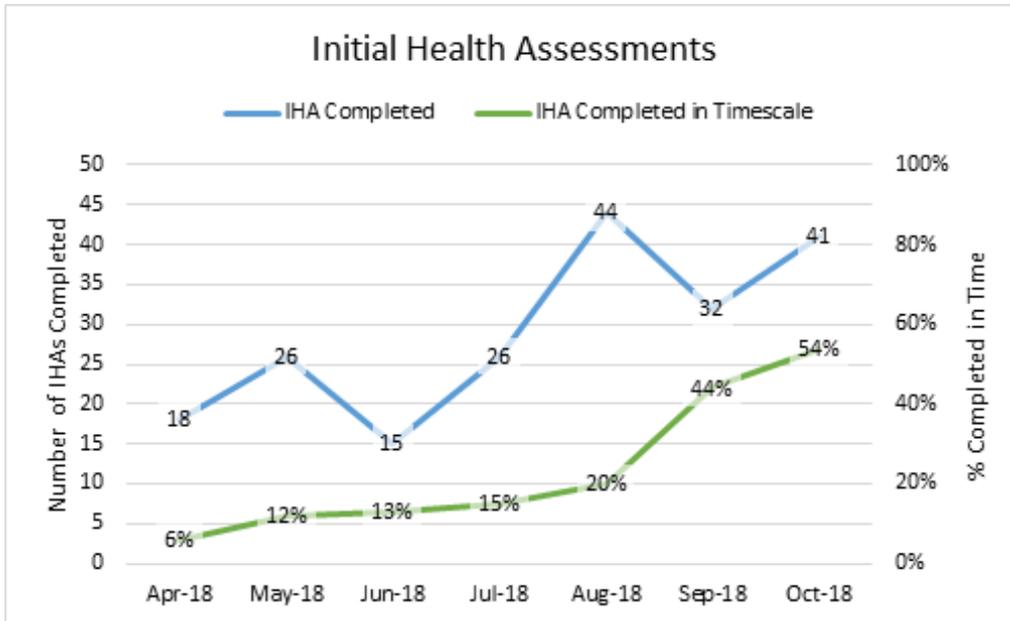
8. In September, 16% of children whose assessment was completed had been in care for 99 days or more when it took place and 44% of children had an assessment within timescale.



9. In October, 17% of children whose assessment was completed had been in care for 99 days or more when it took place and 54% of children had an assessment within timescale.



10. This upward trend in timeliness and volume of completed assessments can be seen in the graph below:



11. Although there is more work to be undertaken to ensure that all children entering care receive a timely IHA, this performance report highlights that regular communication between the council and the health provider, combined with weekly performance monitoring is improving timeliness.

12. The internal audit report has a clear action plan which describes the activity required to further improve the timeliness of IHAs.

No.	Theme	Improvement outcome	Strategic Actions (for Improvement Board)	Ofsted Recs
<b>STRATEGIC LEADERSHIP &amp; GOVERNANCE</b>				
1.1	Strategic Leadership & Governance	All Chief Officers, Councillors and senior leaders throughout the partnership will commit to a vision and culture that places children and young people at the heart of all that we do.	An overall vision statement along with the key outcomes will be developed with the partnership and agreed by Chief Officers, Councillors and Senior Leaders.	<a href="#">1 &amp; 2</a>
1.2	Strategic Leadership & Governance	All Chief Officers, Councillors and senior leaders in the partnership understand the improvement plan, their accountability within the plan and they drive improvement with pace.	An accountable lead will be assigned to each strategic action within the Children's Improvement Plan. Lead roles will include senior leaders from across the partnership. All accountable leads will be responsible for providing sufficient resources from their respective agencies to ensure the plan is deliverable.	<a href="#">1 &amp; 3</a>
1.3	Strategic Leadership & Governance	Chief Officers, Councillors and senior leaders in the partnership, in their delivery of the improvement plan are informed by the direct views of children, families and front line staff.	Pathways for engaging with children and their families will be refreshed and communicated to all senior leaders.	<a href="#">2</a>
			A clear communication and staff engagement strategy will be developed. The strategy will be cross-partnership and account for the different needs for each agency.	
1.4	Strategic Leadership & Governance	Chief Officers, Councillors and senior leaders in the partnership have understanding and grip of the quality of safeguarding practice within their respective services and are assured that their service provides and responds to challenge.	The leadership process for reviewing performance and quality at the most senior level will be review by each individual agency.	<a href="#">1, 4, 6 &amp; 7</a>
			Senior leaders across the partnership will agree the key indicators across agencies that describe the performance of the partnership in safeguarding children.	
			The partnership at the most senior level will meet regularly to provide challenge and resolve issues that adversely affect children.	

1.5	Strategic Leadership & Governance	The structural and governance arrangements are clear, demonstrate accountability and support effective delivery of improved outcomes for children and their children.	The terms of reference will be reviewed (and updated if required) for the Surrey Safeguarding Children's Board, Corporate Parenting board, Health and Wellbeing Board, Community Safety and other groups/boards with oversight/scrutiny/decision-making responsibilities affecting the outcomes of children.	<a href="#">1, 13 &amp; 17</a>
<b>CHILDREN'S NEEDS ARE IDENTIFIED AND THEY ARE OFFERED THE RIGHT HELP BY THE RIGHT PEOPLE AT THE RIGHT TIME</b>				
2.1	Children's needs are identified and they are offered the right help by the right people at the right time	Partners and their workforce understand the levels of need and their role in improving outcomes for children and their families at all levels of need.	All partners will ensure they have sufficient suitably qualified staff to implement the lead professional role within their agencies.	<a href="#">1 &amp; 3</a>
			The partnership will offer and deliver training about levels of need, lead professional and early help assessment and planning to staff.	<a href="#">7</a>
			Partners will quality assure the impact of the training and resourcing arrangements to ensure that children are effectively safeguarded through timely and appropriate referrals to statutory services	
<b>QUALITY OF PRACTICE &amp; PLANNING</b>				
3.1	Quality of Practice & Planning	Joint commissioning arrangements to support the effective delivery of services to children and their families are clear, robust and based upon evidenced need	All services jointly commissioned across the partnership will be reviewed and communicated to senior leaders to ensure they are meeting the needs of children and families.	<a href="#">1</a>
			Senior leaders will ensure monitoring mechanisms are in place to oversee the effectiveness of jointly commissioned services so that commissioning and contractual decisions are evidence-based and inform pro-active decision making.	

3.2	Quality of Practice & Planning	Protocols to meet statutory guidance to keep children safe are current, disseminated, understood and implemented across the partnership.	Joint Surrey protocol is reviewed and disseminated and compliance with statutory guidance and protocols is proactively monitored by senior leaders across the partnership (for example: The Joint Surrey Protocol for the Provision of Local Authority Accommodation)	<a href="#">1, 6, 9, 10, 11, 12, 14 &amp; 16</a>
<b>PARTICIPATION, ENGAGEMENT &amp; CO-PRODUCTION</b>				
4.1	Participation, Engagement & Co-Production	Partnership decisions to improve outcomes for children are informed by consultation with children and their families	Existing activity and potential opportunities for consultation & engagement with children and families will be reviewed and documented to ensure senior leaders across the partnership utilise this service-user information when making practice decisions.	<a href="#">2, 15 &amp; 16</a>
			Establish a children and families reference group to work with senior leaders across the partnership	
4.2	Participation, Engagement & Co-Production	Will understand the impact of service delivery on children and their families. We will see increased satisfaction from service users.	Establish reporting mechanisms for sharing the voice of children, families and carers with senior leaders across the partnership ensuring the information describes the impact of service delivery from each agency and the satisfaction of service users.	
4.3	Participation, Engagement & Co-Production	Children and their families' influence on shaping services is tangible and understood by all	Establish a communication plan that informs children and their families of the impact of their engagement with decision makers.	<a href="#">2</a>
			All published documents clearly reference the contribution of children and their families.	
<b>PRACTICE LEADERSHIP</b>				
5.1	Practice Leadership	The lead professional role and its responsibilities is understood and delivered across the partnership.	Senior leaders engage universal partners' services such as schools and health to undertake lead professional roles and to form multi-disciplined teams around the child when difficulties emerge.	<a href="#">3</a>

			Improve the quality of management oversight across all services and specifically ensure that the family history, impact of any previous interventions and any delays are always considered and addressed by the lead professional.	
5.2	Practice Leadership	All services working with children in Surrey have management processes that quality assure assessment and decision making at all levels of need	All partner agencies ensure front line managers are trained in how to evaluate the quality of assessment (whether for Early Help or Statutory) and the requisite elements of understanding the meaning of family history and the impact of previous interventions on the child's life.	<a href="#">4, 5 &amp; 6</a>
5.3	Practice Leadership	All requests for services at a different level of need are supported by evidence of an assessment and plan.	All partners demonstrate that managers are held to account for the quality of their oversight and decision making through their organisation performance management systems.	<a href="#">3, 4, 5, 8 &amp; 10</a>
			All senior leader regularly sample and report upon the quality of management oversight and decision making and use the learning to inform corrective actions within each agency.	
5.4	Practice Leadership	Caseloads are manageable and allow time for front line workers to regularly meet with children and young people and complete all necessary work.	Review capacity in frontline and support services across all partner agencies. Senior leaders will be accountable for ensuring they have the suitable capacity, or a plan for realignment of resources to meet both current and emerging demand	<a href="#">17 &amp; 18</a>

# Children and Education Select Committee

16 November 2018



## Surrey Alternative Learning Provision

**Purpose of report:** To outline the current Surrey Alternative Learning Provision (SALP) offer and how it is utilised by Surrey County Council and partners, with a particular focus on our work in reducing exclusions, to provide context of this vulnerable group and the range of services offered, including coverage of provision, length of time children utilise them for and whether the provision is being used to best improve children's outcomes.

### Introduction:

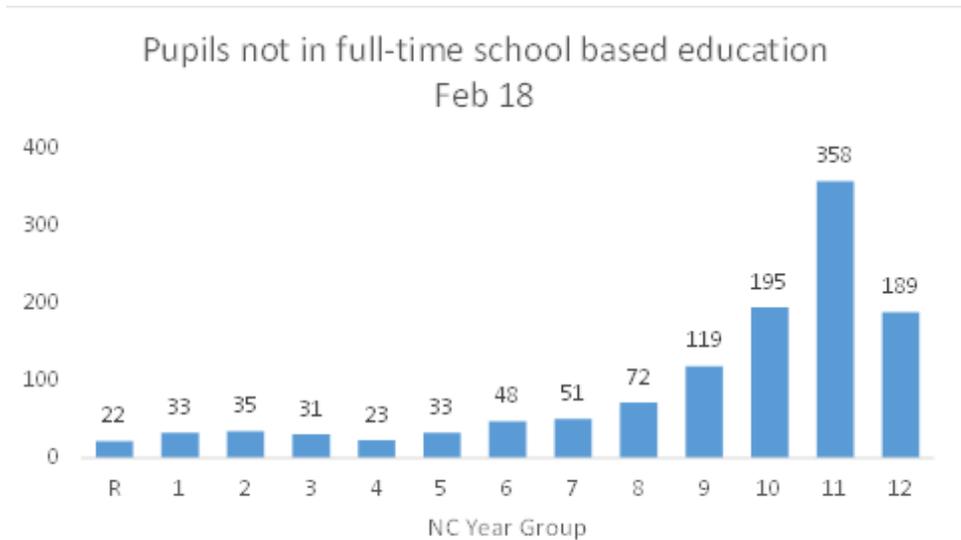
1. Alternative Provision is for children of compulsory school age who do not attend mainstream or special schools and who would not otherwise receive suitable education.
2. Children can require Alternative Provision for a wide range of reasons, including:
  - Behaviour which results in a permanent or fixed-period exclusion, or an off-site direction by a school;
  - Health reasons – including physical or mental health needs; and
  - Where a child is awaiting placement in a mainstream or special school.
3. Since 2010, there have been a number of national reviews into Alternative provision; details and links to these are contained in **Annex 1**
4. Common themes from these reviews outlined the need to;
  - Build skills and incentives for schools to develop effective strategies and interventions to address poor behaviour, at all levels, to prevent escalation to exclusion;
  - Develop a shared understanding of the purpose and expectations of Alternative Provision, at a local level;

- Strengthen accountability and quality assurance arrangements to deliver better outcomes for children in Alternative Provision;
- Promote greater use and sharing of data on Alternative Provision performance to inform commissioning decisions; and
- Promote stronger information sharing between local authorities and education settings about children’s needs at strategic and individual placement levels, to ensure decisions about commissioning and placement transitions are as effective as possible.

**Alternative Provision in Surrey**

**5. Characteristics of the cohort**

- Local authorities have a duty to provide Alternative Provision for children of compulsory school age, and nationally almost half (47%) of children in Alternative Provision are aged 15 to 16 (year group 11). Surrey data follows the same trend with a higher proportion of pupils in Alternative provision in key stage 4 (years 10&11).
- Pupils in Alternative Provision are recorded as part of our Pupil Missing out on Education (PMOOE) Dataset. Pupils on this list include all pupils who are receiving less than 25 hours education per week. These pupils could either be attending a college course, work experience, be on reduced timetables to support reintegration, awaiting admission or attending alternative provision.



- The above graph shows the number and National curriculum (NC) year group for Pupils Missing Out Of Education in February 2018, which was a total of 1209 pupils.

9. The PMOOE data is monitored every half term by the Education Welfare Service and each half term pupils are added and removed as they come in to and move out of the dataset. Throughout the year, some pupils may move in, out and back in again depending on their specific journey – it is therefore challenging to report on exact figures and characteristics. Instead, Education Welfare Officers hold the responsibility of monitoring this cohort and any pupils who are of concern are discussed at a multi agency area case review group each month so that a tailored support plan can be secured.
10. It is a statutory requirement that pupils who have been permanently excluded receive provision from the local authority on day 6, which is facilitated by our Short Stay Schools or where necessary our Access to Education service. Prior to day 6, the responsibility remains with the school.
11. Exclusions data for Surrey and trends analysis is contained in **annex 2**

<b>Local Authority Commissioned Alternative Provision</b>
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12. In Surrey, we commission 10 short stay school providers across the county, these include three which are specifically commissioned to meet the health needs of pupils unable to attend school. Details of the Short stay schools are provided in **Annex 3**. The majority of provision for pupils in Surrey is focussed on secondary school aged pupils, with the exception of our primary short stay schools for pupils who have been, or are at immediate risk of, permanent exclusion. This is in line with our drive to improve inclusion and reduce exclusion for primary aged pupils and to keep them both local and in mainstream provision wherever possible.
13. Our **Access to Education** Service (A2E) and Medical Access to Education service (MA2E) offers one to one and group tuition for pupils unable to attend school. This tuition is provided either in the home or in local community hubs. In October 2018, A2E were supporting 159 pupils across the county, as outlined below;

Area	Count of Students	Percent of Students
NE	43	27%
NW	21	13%
SE	50	31%
SW	45	28%

<b>Grand Total</b>	<b>159</b>	<b>100%</b>
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14. **Surrey Online School (SOS)** is an initiative partnering Surrey County Council & Tute Education. SOS provides live online lessons as well as mentoring support (GCSE package only) to a range of pupils (KS2-KS4) across the county. Since starting in September 2015, SOS has delivered over 750 placements to in excess of 50 schools and council services.

15. In addition to the above, each area is allocated 11-19 funding which is referred to as Surrey Alternative Learning Provision (SALP) network funding. The funding is distributed to each quadrant who use their SALP executive board to determine how it is used in their localities.

#### **School and community commissioned alternative provision**

The below is an example of some of the SALP funded projects in each area (secondary schools only), however, in addition there are many additional third sector ALP projects which can be procured by the schools.

16. **NW Surrey;** The NW SALP Board divide their SALP network funding by schools and this is used for internal projects or to commission places with local community providers, for example; STEPS, which is an Alternative Provision programme for 14-16 run by Surrey Care Trust and based in Woking.

17. **NE Surrey;** The NE SALP funding is divided in to the three boroughs. One Borough funds an ALP, another commissions East to West a third sector organisation who provide pastoral care and support student wellbeing to each of the secondary schools.

18. **SE Surrey;** In the SE, there are a total of 53 places commissioned and managed by the SE SALP network.

- Springboard is a key stage 4 (14-16 year olds) provision run by East Surrey College and offers 24 places.
- Route 4 is based at the Warwick School and offers 16 places to pupils in Key stage 4
- The Link is based at the Ashcombe School and offers 13 places to pupils from key stage 4.

19. **SW Surrey;** the SW SALP board divide their SALP network funding in to 3 projects offering a total of 38 places;

- The Well Project has a total of 12 places for key stage 4 and four additional places for year 9 pupils.

- The Alternative Learning Centre (ALC) based at Weydon School in Farnham has 12 places for pupils in either key stage 3 (12-14) or key stage 4 (14-16)
- The STAR project has 10 places for pupils from either key stage 3 or 4.

## **20. Funding for AP**

Funding for Alternative Provision comes from the Dedicated Schools Grant (DSG) to local authorities. The high needs funding allocation within the DSG is used to fund Alternative Provision placements and also supports provision for 0-25 year olds with special educational needs (SEN) and disabilities.

## **21. Outcomes for pupils who attend Alternative Provision –**

We do not currently have a mechanism by which to monitor and evaluate the outcomes for pupils who attend Alternative Provision. This is impacted by the complexity and diversity of the education landscape in Surrey, which has led to an inconsistency in how outcomes are both measured and collated.

Whilst we do collate key stage 4 results from our Short stay schools, this does not accurately reflect the progress they have made whilst at the provision.

## **22. Governance of Alternative Provision**

There is no single governance structure for Alternative Provision in Surrey. This is due to the commissioning arrangements held by both the local authority and schools themselves.

Schools who commission Alternative Provision are responsible for the Quality Assurance and governance of the arrangement for each pupil.

23. However, Each Short Stay School/Local Authority commissioned provision has a management committee, each SALP network has a SALP executive Board and the A2E service has an Area Lead who reports in to the Principal Lead for Professional Standards (Teaching and Learning)

<b>Surrey practice and initiatives</b>
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24. As part of the focus led by the High Sheriff, we have been undertaking discussion groups with Headteachers, specialist teachers, excluded pupils and third sector providers to better understand the challenges around reducing exclusions and what Alternative provision needs to look like.

25. This has culminated in a short film of the experiences of primary aged children who have been Permanently Excluded and the impact on their families which will be used as part of a training programme, initially for school governors.
26. In January, we are planning a conference for schools and governors to present findings from the Shrieval year of the High sheriff around exclusions and hear from our link inspector from HMI on the challenges of Inclusion and the impact on performance in schools.
27. As part of the SEND transformation work we are developing a behaviour pathway which will aims to strengthen the inclusion of children and young people, educational outcomes, emotional wellbeing and progress towards independent living through a graduated response to behaviour and Emotional Wellbeing and Mental Health, reducing the numbers of exclusions and demand for specialist interventions (such as EHCP) or placements.  
  
It aims to create a behaviour pathway that integrates key aspects of the SEND, CAMHs and Family Resilience graduated responses.
28. It will provide a proper graduation of support through a plan/do/review process reflecting a Levels of Need framework which integrates educational need with other domains of need enabling a blended offer of wraparound services where appropriate. To be effective, this new joint behaviour pathway will need to be supported by clear and evidenced decision making, quality assurance and monitoring, positive (restorative) relationship building and appropriate challenge.
29. Following discussion with Secondary Phase council, we have commissioned a review of Surrey Short Stay Schools (SSS) and Surrey alternative learning provision (SALP).
30. This review aims to map and evaluate the current models of alternative learning to ensure all Schools are able to access high quality Alternative Provision for Vulnerable Learners.
31. This holistic assessment of provision will lead to recommendations to ensure access to Alternative Provision places is equitable and fair across the community of schools and their local provision offer.
32. The scope of this project will include SSS provision and Area's use of SALP funding to reduce exclusion from school. The desired outcome is that areas will be able to demonstrate the correlation between co-ordinated reductions in exclusion, with the use of SALP funding - which is not currently evident.
33. All schools and commissioners have a responsibility to ensure that when pupils on roll access an Alternative or Off Site provision that the pupil is safe, learning and achieving. The current Surrey Quality Assurance Framework for Alternative Provision was published in

2015 and is in the process of being reviewed and updated. **(annex 4)**  
This document sets out the key principles of Alternative Provision and provides both schools and the Local Authority with an assessment tool for measuring the effectiveness of delivery of alternative provision.

34. Every Permanently excluded pupil during 2017/18 Academic year was tracked in respect of key events during their education history. This exercise has helped us to understand specific trigger points, school moves, requests for EHCP and fixed term exclusions referrals to outside agencies etc. This will be developed further to follow their progress post exclusion and will result in an important piece of longitudinal study to inform future commissioning.
35. Early indications evidence that there are distinct points where earlier intervention could have led to a different outcome and we will be drawing on this research to better inform our commissioning needs and decision making processes.

<b>Conclusions:</b>
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36. Alternative provision is a largely uninspected and unregulated sector nationally. Beyond pupil referral units and other full-time provision, there is no requirement for the majority of alternative providers to register with any official body and therefore there are no consistent arrangements to evaluate their quality. Despite this lack of regulation and accountability, some students spend a significant proportion of their week away from their school or unit attending an alternative provision.
37. We are addressing this in Surrey as part of a review in to the provision available for Vulnerable Learners to ensure services and resources are effectively aligned with identified needs.
38. The current SEND and Family resilience transformation work will be designing and embedding clear graduated pathways of support. This will ensure families, professionals and schools can secure appropriate resource and intervention at the point additional needs are identified.
39. Alternative provision is driven by the numbers of pupils who are unable to access education due to often unmet and complex needs. The current SEND and Family resilience transformation programmes will support the improvement in access and inclusion, through several activities aimed at targeting earlier intervention and local community resources.
40. We cannot currently be confident in the effectiveness of Surrey Alternative Learning Provision in respect of the impact on pupils due to the inconsistency in how each area SALP operates and the lack of coherent and collated data regarding outcomes.

41. The recently commissioned review into SALP and our Short stay schools will evaluate the different models of practice in each locality to develop a set of recommendations in order to ensure effective provision which maximises the impact on outcomes.
42. The Exclusions focus led by the High Sheriff has provided a welcome opportunity to better understand the current challenges regarding inclusion but also holds dependencies on other aspects of the support system to really effect change. For example, CAMHS, SEND, Early Help and family resilience.
43. The longitudinal research into the journey of the excluded child will be pivotal in helping us understand how best to support pupils with additional needs during key transition events and at the earliest point possible.
44. The needs of vulnerable learners must continue to be central to the current transformation across SEND and Family resilience and the anticipated graduated pathways proposed will facilitate access to earlier identification and support.

<b>Recommendations:</b>
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45. That Officers return to the Childrens Education Select Committee to provide a further update and conclusion on the activities outlined in this report in the spring term of 2019.

<b>Next steps:</b>
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Identify future actions and dates.

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**Report contact:** Kerry Randle, Strategic Lead for Vulnerable Learners, Schools and Learning

**Contact details:** 01372 833410  
kerry.randle@surreycc.gov.uk

**Sources/background papers:**

- Annex A - Recent National Reviews in to Alternative Provision
- Annex B - Exclusions Data
- Annex C - Alternative Provision commissioned in Surrey
- Annex D – Quality assurance framework - alternative provision

## Recent National Reviews in to Alternative Provision

**2011 – 2014;** A national exclusions trial was run to test the benefits of schools having greater responsibility for meeting the needs of permanently excluded children and those at risk of permanent exclusion

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/331796/RB364 - School Exclusion Trial Final Report Brief.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/331796/RB364_-_School_Exclusion_Trial_Final_Report_Brief.pdf)

**March 2012;** Charlie Taylor led an external review of how to improve the quality of Alternative Provision

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/180581/DFE-00035-2012.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/180581/DFE-00035-2012.pdf)

**January 2013;** Alternative Provision, statutory guidance for Local Authorities

<https://www.gov.uk/government/publications/alternative-provision>

**November 2013;** Pupils Missing out on Education. This report examines the experiences of children and young people who are not in full-time education at school. Inspectors visited 15 local authorities and 37 schools and services, undertook 97 case studies of children and young people, and interviewed leaders in a further 41 secondary schools. Inspectors found poor quality and insufficient provision for many of these young people as well as incomplete information about it at a local level. The report draws together these findings and also illustrates some of the effective practice seen.

<http://dera.ioe.ac.uk/18825/1/Pupils%20missing%20out%20on%20education.pdf>

**July 2014;** Ofsted delivered a three-year study into schools' use of Alternative provision

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/500918/Alternative\\_provision\\_findings\\_from\\_Ofsteds\\_threeyear\\_survey\\_of\\_schools\\_use\\_of\\_off-site\\_alternative\\_provision.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/500918/Alternative_provision_findings_from_Ofsteds_threeyear_survey_of_schools_use_of_off-site_alternative_provision.pdf)

**January 2017:** DfE commissioned a literature review considering effective Alternative Provision practice and post-16 transition.

<https://www.gov.uk/government/publications/alternative-provision-effective-practice-and-post-16-transition>

**March 2017;** Tom Bennett conducted an independent review into behaviour in schools. This review stemmed from a previous report around what was missing in core teacher training in how to support teachers to effectively run classrooms and direct behaviour. His review focussed on the need to understand and identify what the desirable factors were which supported successful schools to manage behaviour.

<https://www.gov.uk/government/publications/behaviour-in-schools>

**March 2018;** DfE published 'Creating opportunity for all – our vision for alternative provision'.

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/713665/Creating\\_opportunity\\_for\\_all\\_-\\_AP\\_roadmap.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/713665/Creating_opportunity_for_all_-_AP_roadmap.pdf)

**July 2018:** Forgotten children; alternative provision and the scandal of ever increasing exclusions. Report published at the end of July 2018 as a result of a report commissioned by the Education select committee at the House of Commons.

<https://publications.parliament.uk/pa/cm201719/cmselect/cmeduc/342/342.pdf>

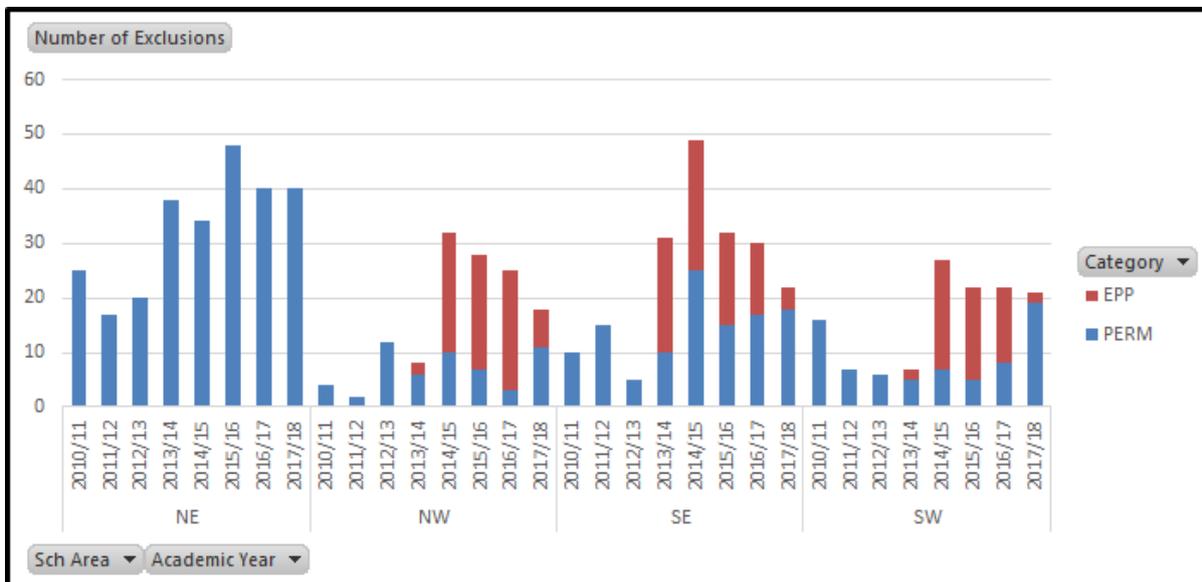
**October 2018;** Alternative provision market analysis. Research into how the market for alternative provision (AP) operates across local authorities. This report outlines how AP is organised in local areas, the factors influencing its supply and demand and the features of a successful local system. The department for Education will use the findings of the report for future policy aimed at improving the outcomes of children who have been excluded or placed in AP.

<https://www.gov.uk/government/publications/alternative-provision-market-analysis>

**Exclusions Data**

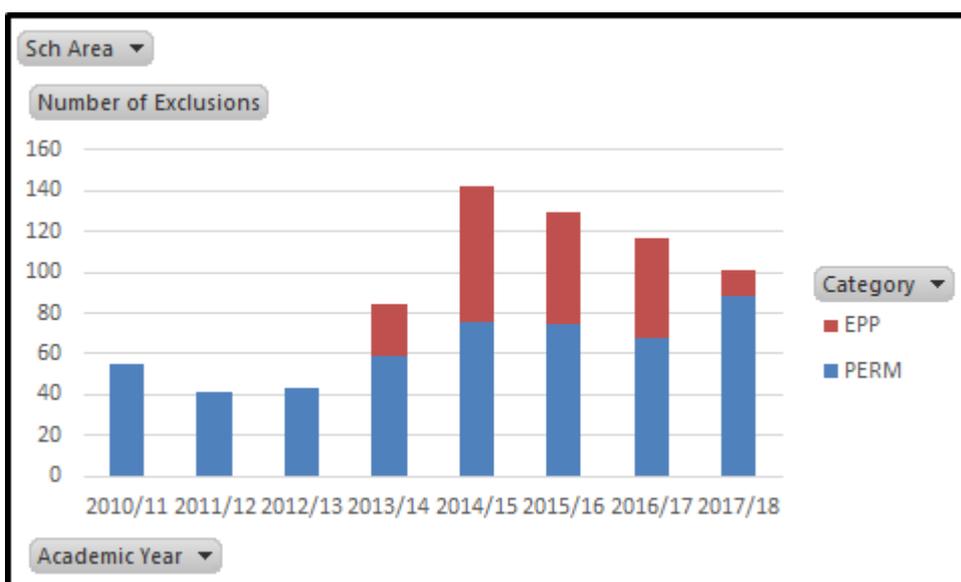
The graph below shows the breakdown of Permanent Exclusions by Quadrant. Blue denotes official Permanent Exclusions (PEX) and red denotes Emergency Planned Placements (EPP), which schools in three quadrants use in order to prevent a formal Permanent Exclusion.

Data for Exclusions, which is reported to the DfE annually, contains both PEX and EPP as one figure.



The graph below shows the overall number of Exclusions for Surrey, which evidences a year on year reduction. However, whilst the reduction is welcomed, it should be noted that this is due to less Emergency planned placements and not Permanent Exclusions. One hypothesis for this is that Emergency planned placements require the school to keep the pupil on roll whilst they attend alternative provision, which may impact on the results published for the school as their results will subsequently be included.

This requires further discussion with Secondary Head colleagues.



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**Alternative Provision commissioned in Surrey**

Short Stay Schools;

**North East Short Stay School (NESSS) (11-16)** – this provision is split on two sites, one in Hersham and one in Staines.

NESSS Hersham  
174 Molesey Road  
Hersham  
KT12 4QY

NESSS Staines  
Stanwell New Road  
Staines-upon-Thames  
TW18 4HZ

Ofsted judgement: GOOD (2016)

Planned Pupil Admission Number (PAN) **60**

**North West Short Stay School (NWSSS) (11-16)** – this provision is split on two sites, one in Pyrford and one in Kingsway

NWSSS Pyrford  
Pyrford Centre  
Engliff Lane  
Pyrford  
Surrey  
GU22 8SU

NWSSS Kingsway  
Kingsway Centre  
45 Kingsway  
Woking  
Surrey  
GU21 6NT

Ofsted judgement: GOOD (2017)

Planned Pupil Admission Number (PAN) **40**

**Reigate Valley College (RVC) (11-16)** – this provision is on two sites and situated in Reigate covering the SE Quadrant

Reigate Valley College  
82 Allingham Road  
Reigate  
Surrey  
RH2 8HX

Reigate Valley College  
Ironsbottom  
Sidlow  
Reigate  
RH2 8PP

Ofsted judgement: OUTSTANDING (2017)  
Planned Pupil Admission Number (PAN) **60**

**Wey Valley College (11-16)** this provision is situated in Guildford

Wey Valley College  
Southway  
Guildford  
Surrey  
GU2 8AA

Ofsted judgement: OUTSTANDING (2018)  
Planned Pupil Admission Number (PAN) **32**

**Phoenix Centre (5-11)** this provision is situated in Redhill and provides primary places predominantly for pupils in the SE area

Phoenix Centre Campus  
Reigate Valley College  
Alpine Road  
Redhill  
Surrey  
RH1 2HY

Ofsted judgement: OUTSTANDING (2017)  
Planned Pupil Admission Number (PAN) **12**

**Fordway Centre** (5-11) this provision is situated in Ashford, Staines and provides primary places for pupils who live in the NE and NW of Surrey

The Fordway Centre  
Stanwell Road  
Ashford  
Middlesex  
TW15 3DU

Ofsted judgement: OUTSTANDING (2016)  
Planned Pupil Admission Number (PAN) **12**

**Wey Valley College primary provision (SW)**

Wey Valley College  
Pewley Hill  
Guildford  
Surrey  
GU1 3SQ

Ofsted judgement: OUTSTANDING (2018)  
Planned Pupil Admission Number (PAN) **12**

**St Peters Hospital School**

St. Peter's Centre  
1, Corby Drive  
Englefield Green  
Surrey  
TW20 0RX

Ofsted judgement: OUTSTANDING (2015)  
Planned Pupil Admission Number (PAN) **12**

**Tadworth Court** – This provision is specifically for pupils with Brain injuries and neurodisability and is run by the Childrens Trust.

The Children's Trust School  
Tadworth Court  
Tadworth  
Surrey  
KT20 5RU

Ofsted judgement: GOOD (2017)  
Planned Pupil Admission Number (PAN) **24**

**HOPE Service** - The Hope Service is a multi-agency service for young people aged 11-18 who are experiencing complex mental health, emotional, social and behavioural needs which could cause a placement breakdown or may require a Tier 4 hospital admission.

Hope Service Guildford  
Between 57-59  
Worplesdon Road  
Guildford  
Surrey  
GU2 9RS

HOPE Service Epsom  
Woodside Lodge  
West Park  
Horton Lane  
Epsom  
Surrey  
KT19 8PB

Ofsted judgement: OUTSTANDING (2018)  
Planned Pupil Admission Number (PAN) **32**

# **Quality assurance framework - alternative provision**

March 2015

The purpose of this quality framework is to provide a school and Local Authority assessment tool for measuring the effectiveness of the delivery of alternative provision.



## Surrey Alternative Provision Principles

### Alternative Provision aims to provide pupils with:

- access to a variety of learning opportunities
- a personalised programme of learning that meets the pupil's needs
- quality teaching
- a safe and supportive learning environment where staff will listen to you and respond to your concerns
- opportunities to develop social and emotional skills to enable pupils to access and engage with learning
- opportunities to participate, express views and contribute to decision making
- impartial information, advice and guidance about next steps
- preparation for economic independence and employability.

### Pupils entering Alternative Provision agree to:

- attend programmes they and/or their parents have agreed to or where the school has used lawful powers of direction to off site provision to improve behaviour
- access the support offered and commit to making a success of the programme
- share with staff any concerns to access appropriate support
- follow the alternative provision's code of conduct
- participate, express your views appropriately and contribute to decision making
- actively support the learning of self and others.

## What is alternative provision? (Ofsted Report – Alternative Provision, July 2014)

Alternative provision has been defined as education outside school, arranged by local authorities or schools. For the purpose of Ofsted's 2011 survey and for the current 3 Ofsted three-year survey, alternative provision was defined as something in which a young person participates as part of their regular timetable, away from the site of the school or the pupil referral unit and not led by school staff. Schools can use such provision to try to prevent exclusions, or to re-engage students in their education. Pupil referral units are themselves a form of alternative provision, but many students who are on the roll of a pupil referral unit also attend additional forms of alternative provision off site.

Alternative provision is a largely uninspected and unregulated sector. Beyond pupil referral units and other full-time provision, there is no requirement for the majority of alternative providers to register with any official body and therefore there are no consistent arrangements to evaluate their quality. Despite this lack of regulation and

accountability, some students spend a significant proportion of their week away from their school or unit attending an alternative provision.

Alternative provision can be set up by the public, voluntary, and private sectors.

## **Positive aspects of the schools' use of alternative provision (Ofsted Report – Alternative Provision, July 2014)**

The following aspects were frequently noted in feedback letters from Ofsted survey visits to schools as positive features of schools' use of alternative provision:

- good commissioning of the alternative provision, with provision being sought and selected to meet students' individual needs, rather than students just being sent to the places that are readily available
- partnership working with the local authority, other schools and different organisations helping the process of commissioning and the range and quality of provision being used
- the quality of information about the students' needs given to providers by schools being good or better.
- schools giving good support to providers and providers finding the support useful
- useful qualifications with clear progression routes being gained through alternative provision; the use of alternative provision improving the outcomes for students – particularly attendance and behaviour at school and skills needed for employment
- pupils themselves reflecting positively on the impact of their experiences, recognising the improvements in their confidence and self-esteem, their ability to take more responsibility, their employability skills, motivation, and their understanding of the value of learning.

## Recurring areas for improvement (Ofsted Report – Alternative Provision, July 2014)

The summary below is of the most commonly occurring weaknesses in provision noted in feedback letters from Ofsted survey visits to schools:

### The quality of reporting from providers to schools including:

- not enough detail about academic progress
- reviews of students' progress being too infrequent
- a lack of consistency in assessing students at school and off site
- the absence of reporting on employability skills and improving target-setting
- the skills that students learnt at alternative provision not being used in their school work.

### The monitoring of the quality of provision including:

- inconsistency in evaluating different placements
- senior leaders not monitoring teaching and learning at the placements effectively or at all
- not looking closely enough at students' outcomes from the alternative provision to ensure that learning is taking place
- needing to improve the monitoring of how well workplace skills were being developed
- Insufficient pre-placement information given to providers or students, particularly:
- the lack of information given to providers to ensure that students' needs were identified and planned for, in particular their literacy and numeracy needs
- students not being provided with relevant information about their intended course or apprenticeship.

### The evaluation of the impact of the provision on the outcomes for students including:

- no comparison of achievement and attendance of the alternative provision group with their starting points, and with others in the school
- not evaluating the employment or training for the alternative provision cohort and making comparisons with other relevant cohorts
- not taking into account the outcomes for students when evaluating the value for money provided by the placements.

### Governors' knowledge of alternative provision, particularly:

- schools not reporting to governors on the performance of students placed on alternative provision as a discrete group so that governors could question and challenge as needed
- governors not having the information they needed to be able to consider whether alternative provision was giving good value for money.

### Health and safety and safeguarding including:

- schools not scrutinising regularly the health and safety audits and quality reports about a provider
- schools not always making providers aware of their own policies and procedures about safeguarding and health and safety.

Where schools used a local authority database to select their provision, there was still some over-reliance on the authority's information. Ofsted's 2011 survey found that not all of the schools had visited the placements to check their suitability themselves prior to deciding to send their students there. However this indicates that a few schools are still not taking sufficient responsibility for placing their students on alternative provision. Some of the best practice seen was when schools and the local authority worked in partnership.

## Quality Assurance of Alternative Provision

All schools and commissioners have a responsibility to ensure that when pupils on roll access an Alternative or Off Site provision that the pupil is safe, learning and achieving.

Schools and other commissioners should ensure appropriate quality assurance is undertaken of all Off Site and/or Alternative Provision accessed by pupils.

The school and other commissioners must have access to the provider and be able to examine evidence from the Provider to be able to make judgements as to the effectiveness of the provision to meet the needs of pupils.

Although not an exhaustive list or prescriptive list, when quality assuring an Alternative Provision judgements may be formed using the following evidence:

- Lesson observations
- Individualised Learning Programmes/ Provision Plans
- Individualised Learning Plans
- Individualised Learning Agreements
- Breadth of provision offer
- Destination data
- Curriculum plans
- Lesson plans
- Schemes of work
- Attainment data over time especially in English and Mathematics
- Work scrutiny
- Learning walks
- Interviews with teachers
- Interviews with pupils
- Progress monitored and reported to pupils – pupil awareness of their individual learning targets
- Safeguarding Policy
- Attendance Policy
- Health and Safety Policy – site is safe and accessible
- E-Safety Policy
- Anti-Bullying Policy
- Service Level Agreements & Contracts with schools & commissioners
- Record of communication with school & commissioners
- Engagement with other agencies to meet needs of pupils
- Record of participation in multi agency meetings
- Interviews with other professionals working with the provider
- Safeguarding Audits
- Interview/ feedback from parents/carers
- Evidence of Alternative Provider regularly evaluating delivery/ feedback from schools, commissioners, pupils, parents and community.

## Use of Quality Assurance Tool:

This quality assurance tool has been developed from the Ofsted Framework for school inspection summer 2014, statutory safeguarding requirements, Ofsted 2014 and DfE 2013 alternative provision guidance. Schools and other commissioners should take into account any change in emphasis , practice or expectations regarding the quality of provision published since these dates.

Using available evidence identify which of the statements below best describe the alternative provision setting in the areas listed below:

**Exceeded:** the alternative provision has exceeded the minimum requirements in line with the descriptors provided

**Meeting:** the alternative provision is confident that the expected minimum requirements are being met.

An overall judgement should be completed with an evaluation of all evidence gathered in all areas examined. If necessary any further action should be agreed to support an improvement plan for the alternative provision setting and communication with schools and commissioners.

Brief description of Alternative Provision:

Courses & subjects offered		
Course/Subject	Expected Outcomes	Number on roll

Qualifications gained last year		
Course/Subject	Number of entries	Summary of grades/qualifications gained

Details of previous quality assurance visits and the outcomes:

## 1. Achievement of children and young people in their learning

<p>Exceeding</p>	<p>The proportions of pupils making expected progress and the proportions exceeding expected progress in English, mathematics are high compared with national figures for pupils for whom the pupil premium provides support.</p> <p>Progress is rapid in relation to Behaviour for Learning (from baseline entry assessment data) exceeds expectations for almost all pupils.</p> <p>Pupils develop and apply a wide range of skills to great effect in behaviour for learning, reading, writing, communication and mathematics. They are exceptionally well prepared for the next stage in their education, training or employment.</p> <p>Pupils acquire knowledge and develop their understanding rapidly in a wide range of different activities across the curriculum.</p> <p>The learning of vulnerable groups, particularly those who are disabled, those who have special educational needs, those for whom the pupil premium provides support, and the most able is consistently good or better.</p> <p>There is evidence of a high level of challenge by staff to ensure attainment is in line with or above expectations on entry to the provision.</p>
<p>Meeting</p>	<p>From each different starting point, the proportions of pupils making expected progress, and the proportions exceeding expected progress, in English and in mathematics are close to or above national figures. For pupils for whom the pupil premium provides support, the proportions are similar to, or above, those for other pupils in the alternative provision or are improving.</p> <p>Progress in relation to Behaviour for Learning (from baseline entry assessment data) exceeds expectations for most pupils.</p> <p>Pupils acquire knowledge and develop understanding quickly and securely in a wide range of activities. They develop and apply a wide range of skills, in behaviour for learning, reading, writing, communication and mathematics. This ensures that they are well prepared for the next stage in their education, training or employment.</p> <p>The learning of vulnerable groups, particularly those who are disabled, those who have special educational needs, those for whom the pupil premium provides support and the most able, is generally good.</p> <p>Where attainment, including attainment in reading in primary alternative provisions, is low overall, it is improving at a faster rate than nationally, over a sustained period.</p>

<p><b>Suggested Evidence</b> – Attainment data over time, Individualised Learning Programmes/Provision Plans, Individualised Learning Plans, Baseline assessments, Destination data, book/work scrutiny, Interview with teachers, Interview with pupils, breadth of learning opportunities available, accreditation routes, lesson observations, pupil progress monitoring, pupil awareness of own targets, communication with commissioners/schools, SMSC opportunities, displays</p>
<p><b>Observation/Evidence Gathered</b> –</p>
<p><b>Judgement</b></p>

## 2. Quality of teaching in alternative provision

<p>Exceeding</p>	<p>Much of the teaching in alternative provision and most subjects is outstanding and never less than consistently good. As a result, almost all pupils currently on roll in the provision are making rapid and sustained progress.</p> <p>All teachers and instructors have consistently high expectations of all pupils. They plan and teach lessons and sessions that enable pupils to learn exceptionally well across the curriculum.</p> <p>Teachers and instructors systematically and effectively check pupils' understanding throughout lessons and sessions, anticipating where they may need to intervene and doing so with notable impact on the quality of learning.</p> <p>The teaching of reading, writing, communication and mathematics is highly effective and cohesively planned and implemented across the curriculum.</p> <p>Teachers and other adults authoritatively impart knowledge to ensure students are engaged in learning, and generate high levels of commitment to learning across the provision, in particular this is evident in progress related to behaviour for learning.</p> <p>Consistently high quality marking and constructive feedback from teachers and other adults ensure that learners make rapid gains.</p> <p>Teachers and other adults use well-judged and often imaginative teaching strategies, including setting appropriate homework and tasks that, together with clearly directed and timely support and intervention, match individual needs accurately. Consequently, pupils learn exceptionally well across the curriculum.</p>
<p>Meeting</p>	<p>Teaching in most subjects, including English and mathematics, is usually good, with examples of some outstanding teaching. As a result, most pupils on roll in the provision make good progress and achieve well over time.</p> <p>Teachers and other adults have high expectations. They plan and teach lessons and sessions that deepens pupils' knowledge and understanding and enables them to develop a range of skills across the curriculum.</p> <p>Teachers and other adults listen to, carefully observe and skilfully question pupils during lessons in order to reshape tasks and explanations to improve learning.</p> <p>Reading, writing, communication and mathematics are taught effectively.</p> <p>Teachers and other adults create a positive climate for learning in their lessons and pupils are interested and engaged.</p> <p>Teachers and instructors assess pupils' learning and progress regularly and accurately at all key stages, including in the Early Years Foundation Stage. They ensure that pupils know how well they have done and what they need to</p>

	<p>do to improve.</p> <p>Effective teaching strategies, including setting appropriate homework, and appropriately targeted support and intervention are matched well to most pupils' individual needs, including those most and least able, so that pupils learn well in lessons.</p>
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**Suggested Evidence** – Lesson Observations, Learning Walks, book/work scrutiny, interviews with staff, interviews with pupils, schemes of work, lesson plans, SMSC opportunities, displays

**Observation/Evidence Gathered** –

**Judgement**

### 3. The behaviour and safety of pupils in alternative provision

<p>Exceeding</p>	<p>Pupils' attitudes to learning are of an equally high standard across subjects and activities, years, classes and with different staff.</p> <p>Parents, staff and pupils are unreservedly positive about both behaviour and safety. Pupils are keenly aware how good attitudes and behaviour contribute to alternative provision life, adult life and work.</p> <p>Pupils' pride in the alternative provision is shown by their excellent conduct, manners and attendance.</p> <p>Pupils are fully aware of different forms of bullying, including cyber-bullying and prejudice-based bullying, and actively try to prevent it from occurring. Bullying and derogatory or aggressive language in all their forms are rare and dealt with highly effectively.</p> <p>Skilled and highly consistent behaviour management by all staff makes a strong contribution to an exceptionally positive climate for learning. There are excellent improvements in behaviour over time for individuals.</p> <p>All staff can demonstrate a high level of understanding of appropriate physical intervention, risk assessment and safeguarding of pupils and receive regular CPD in these areas.</p> <p>All groups of pupils are safe and feel safe at alternative provision placements at all times. They understand very clearly what constitutes unsafe situations and are highly aware of how to keep themselves and others safe in different situations, including in relation to e-safety.</p> <p>Clear and shared agreements are in place with pupils and parents regarding expectations of behaviour and attendance; and clear evidence exists regarding the positive impact this has on pupil progress in all areas of alternative provision life.</p> <p>Parents are fully aware of who to contact to express concerns.</p> <p>If the Alternative Provider is not attached to a school, school network or directly managed by the local authority it must be registered with the Department for Education if they have 5 or more pupils on roll or have 1 pupil that is a Child in Care or 1 pupil with a Statement of SEN or Education Health and Care Plan.</p>
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Meeting	<p>Pupils' attitudes to all aspects of learning, including in whole class work, group work, or when working on their own, are consistently positive, and have a good impact on the progress they make.</p> <p>Pupils are properly prepared for each lesson, bring the right equipment, and are ready and eager to learn.</p> <p>Pupils respond very quickly to staff's instructions and requests allowing lessons to flow smoothly and without interruption</p> <p>Pupils' attitudes to learning are positive across subjects, activities, years, classes and with different staff.</p> <p>There are few well founded concerns expressed by parents, staff and pupils about behaviour and safety.</p> <p>Staff can demonstrate a good level of understanding of appropriate physical intervention, risk assessment and safeguarding of pupils and receive regular CPD in these areas.</p> <p>Pupils understand the importance of good attitudes and behaviour in alternative provision life, adult life and work.</p> <p>There is a positive ethos in, and around, the alternative provision. Pupils conduct themselves well at all different times of day, including at lunch time, attend regularly, have good attitudes and are punctual to lessons.</p> <p>Pupils take pride in their work, their appearance and their alternative provision.</p> <p>Pupils have a good awareness of different forms of bullying. There are few instances of bullying and these are dealt with effectively by the alternative provision.</p> <p>Behaviour is managed consistently well.</p> <p>There are marked improvements in behaviour over time for individuals.</p> <p>Pupils are safe and feel safe at alternative provision placements and understand how to keep themselves safe in different situations.</p> <p>Shared agreements are in place with pupils and parents regarding expectations of behaviour and attendance.</p> <p>Parents are aware of who to contact to express concerns</p> <p>If the Alternative Provider is not attached to a school, school network or directly managed by the local authority it must be registered with the Department for Education if they have 5 or more pupils on roll or have 1 pupil that is a Child in Care or 1 pupil with a Statement of SEN or Education Health and Care Plan.</p>
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**Suggested Evidence** – Agreements & contracts with schools and commissioners, interview with pupils, interview with parents, focussed site visit regarding safety and security, health and safety reports/ risk assessments, recorded contact/ communication with school and commissioners, notes of meetings – engagement with other agencies, CPD – Safeguarding, promotion of health and wellbeing of pupils

**Observation/Evidence Gathered** –

**Judgement**

## 4. Quality of leadership in, and management of, alternative provision

<p>Exceeding</p>	<p>The pursuit of excellence in all of the alternative provisions' activities is demonstrated by an uncompromising and highly successful drive to strongly improve, or maintain, the highest levels of achievement and personal development for pupils over a sustained period of time.</p> <p>All leaders and managers, including any responsible for governance, are highly ambitious for pupils and lead by example. They base their actions on a deep and accurate understanding of the provision's performance, and of staff and pupils' skills and attributes.</p> <p>Those responsible for governance, stringently hold senior leaders to account for all aspects of the provision's performance.</p> <p>There are excellent policies and practice embedded in the provision to ensure pupils are safe, ready to learn, make progress and is ready for next steps/transition.</p> <p>Leaders focus relentlessly on improving teaching and learning and provide focused professional development for all staff. This is underpinned by searching performance management that encourages, challenges and supports staff improvement. As a result, teaching and learning is outstanding, or at least consistently good and improving.</p> <p>The alternative provision's curriculum promotes and sustains a thirst for knowledge and a love of learning. It covers a suitable range of subjects and activities that provide opportunities for academic, technical and sporting excellence. It has a very positive impact on all pupils' behaviour and safety, and contributes very well to pupils' academic achievement, their physical wellbeing, and their spiritual, moral, social and cultural development.</p> <p>The alternative provision's actions have secured improvement in achievement for those supported by the pupil premium, which is rising rapidly, including in English and mathematics.</p> <p>The alternative provision has highly successful strategies for engaging with parents to the benefit of pupils.</p> <p>Senior leaders in the alternative provision work to promote improvement across the wider system.</p> <p>The alternative provision's arrangements for safeguarding pupils meet statutory requirements.</p> <p>Staff model professional standards in all of their work and demonstrate high levels of</p>
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	<p>respect and courtesy for pupils and others.</p> <p>Through highly effective, rigorous planning and controls, governance ensures financial stability, including the effective and efficient management of financial resources such as the pupil premium funding. This leads to the excellent deployment of staff and resources to the benefit of all groups of pupils.</p> <p>There are robust contracts and agreements in place with schools and other commissioners of alternative provision for individual pupils. These include protocols and timelines for regular reviews of provision, regular communication and sharing information processes regarding provision plans, progress, achievement, behaviour for learning, attendance, safeguarding and wellbeing.</p> <p>If the Alternative Provider is not attached to a school, school network or directly managed by the local authority it must be registered with the Department for Education if they have 5 or more pupils on roll or have 1 pupil that is a Child in Care or 1 pupil with a Statement of SEN or Education Health and Care Plan.</p>
<p><b>Meeting</b></p>	<p>Key leaders and managers, including those responsible for governance, consistently communicate high expectations and ambition.</p> <p>Teaching is good and/or improving strongly as a result of accurate monitoring, effective performance management and professional development, which are closely matched to the needs of the alternative provision and staff.</p> <p>Self-evaluation is thorough and accurate, and the alternative provision's actions are carefully planned, concerted and effective.</p> <p>The well-thought-out policies ensure that pupils are safe, ready to learn, make progress and are ready for next steps/transition.</p> <p>Governance systematically challenges senior leaders. As a result, the quality of teaching and pupils' achievement have improved, or previous good performance in these areas has been consolidated.</p> <p>The alternative provision's curriculum encourages a thirst for knowledge and a love of learning. It covers a range of subjects and activities that provides opportunities for academic, technical and sporting excellence as appropriate and contributes well to pupils' academic achievement, their physical wellbeing and their spiritual, moral, social and cultural development. It promotes good behaviour and a good understanding of safety matters.</p> <p>The alternative provision's actions have secured improvement in achievement for those supported by the pupil premium, which is rising, including in English and mathematics.</p> <p>The culture of the alternative provision is characterised by high expectations and aspirations for all pupils.</p>

	<p>The alternative provision works well with parents to achieve positive benefits for pupils.</p> <p>The alternative provision's arrangements for safeguarding pupils meet statutory requirements.</p> <p>There are contracts and agreements in place with schools and other commissioners of alternative provision for individual pupils. These include protocols and timelines for regular reviews of provision, regular communication and sharing information processes regarding provision plans, progress, achievement, behaviour for learning, attendance, safeguarding and wellbeing.</p> <p>Governance ensures the efficient management of financial resources. This leads to the effective deployment of staff and resources.</p> <p>If the Alternative Provider is not attached to a school, school network or directly managed by the local authority it must be registered with the Department for Education if they have 5 or more pupils on roll or have 1 pupil that is a Child in Care or 1 pupil with a Statement of SEN or Education Health and Care Plan</p>
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**Suggested Evidence** – Policies regularly reviewed and up to date, Effective leadership and management structure, promotion of health and wellbeing embedded into practice, breadth of provision/curriculum offer, interview with teachers, minutes of management meetings, range of CPD opportunities offered to staff, evidence of self evaluation and appropriate action planning,

**Observation/Evidence Gathered** -

**Judgement**

## 5. Quality of Safeguarding in Alternative Provision

All alternative provision <b>must</b> have the following in place:
A written safeguarding policy and up to date child protection procedures that have been agreed by the provisions Governance. A model Safeguarding Policy is available from the Surrey Safeguarding Children Board website, <a href="http://www.surreycc.gov.uk/educationsafeguarding">www.surreycc.gov.uk/educationsafeguarding</a> updated January 2014.
A Lead Designated Child Protection Officer (who is part of the Senior Leadership Team) established and named Deputy/Deputies identified.
A Nominated Safeguarding Governor (preferably not the Chair) to champion safeguarding and child protection issues.
Safeguarding Policies and Procedures must be in place for: Managing allegations against members of staff, physical intervention, pupil behaviour, attendance, e-safety, substance misuse, anti bullying and child sexual exploitation.
Staff behaviour policy/ code of conduct in line with Department for Education guidance.
Training at the appropriate level for <b>all</b> staff, governors and volunteers.
Robust staff recruitment and selection processes which safeguard children and are in line with the Government's document, 'Keeping children safe in education – 2014'. Used in conjunction with the guidance issued by The <a href="#">Disclosure and Barring Service</a> .
A Single Central Record of employment and Disclosure and Barring Checks for all staff in regulated activity, appropriate references and risk assessments for volunteers.
If the Alternative Provider is not attached to a school, school network or directly managed by the local authority it must be registered with the Department for Education if they have 5 or more pupils on roll or have 1 pupil that is a Child in Care or 1 pupil with a Statement of SEN or Education Health and Care Plan

## Safeguarding Policy

Exceeding	<p>The alternative provision has a policy which is up to date and in line with the model provided by SCC.</p> <p>There is evidence the policy has been read by all staff, volunteers and adopted by governance. Also, parents are aware of it through the prospectus and/or the alternative provision website.</p> <p>The policy is a live document and it reflects practice.</p> <p>The policy is reviewed annually.</p>
Meeting	<p>The alternative provision has a policy which is up to date, in line with the model <a href="#">policy</a> provided by the SCC and has been shared with and is accessible to parents.</p> <p>The alternative provision is confident that minimum requirements are being met.</p> <p>The policy is reviewed annually.</p>

## Child Protection Procedures

Exceeding	<p>All <b>DCPO's</b> know where to find the Surrey Safeguarding Children Board Procedures (<a href="http://sscb.proceduresonline.com/">http://sscb.proceduresonline.com/</a>) and use these within the setting.</p> <p>Temporary staff are given a copy of the setting's safeguarding policy and introduced to the DCPO.</p> <p>All documentation listed in SCC Model Safeguarding Policy is available for all staff to access.</p> <p>Staff are aware of their responsibilities and know procedures to follow in line with 'Working together to safeguard children' training.</p>
Meeting	<p>All staff and relevant governors are aware of the SSCB and established child protection procedures.</p>

## Consistency and Cross Referencing of Procedures

Exceeding	All policies/procedures relevant to safeguarding are aligned; an annual audit is undertaken by the Senior Leadership Team, agreed by governance, submitted to the LA (if required to do so) and with evidence of an action plan implemented and reviewed during the year.
Meeting	The alternative provision has reviewed all policies and procedures relevant to safeguarding and is meeting minimum requirements,

## Safeguarding Training

Exceeding	<p>The Lead DCPO and Deputy DCPO(s) have completed SSCB multi-agency Foundation Module training, they have also received “New to Role” and/ or “Update” training appropriate to their roles in the last two years and all other staff have received ‘Working together to safeguard children’ training in the last three years.</p> <p>New staff attend targeted training “Working together to safeguard children 2013” within 3 months of appointment. The lead DCPO or a Deputy DCPO attend all 3 term DCPO network meetings hosted by the Local Authority.</p> <p><b>All</b> governance members have received safeguarding training to ensure clarity of their safeguarding roles and responsibilities</p>
Meeting	<p>The DCPOs have completed SSCB multi-agency Foundation Module training , they have also received “New to Role” and/ or “Update” training appropriate to their roles in the last two years, and all other staff have received ‘Working together to safeguard children’ training in the last three years.</p> <p>The lead DCPO or a Deputy DCPO attend all 3 term DCPO network meetings hosted by the Local Authority.</p> <p>Only the Governor or similar with designated responsibility for safeguarding has received training to ensure clarity of their safeguarding role and responsibilities</p>

## Safeguarding and the Curriculum - Healthy relationships

Exceeding	<p>Pupils are encouraged to talk about feelings to deal assertively with pressures, are listened to, and know to whom they can turn to for help and advice if necessary.</p> <p>A strong support system ensures pupils are provided with a range of opportunities in every year group to learn how to keep themselves and others safe.</p>
Meeting	<p>Some opportunities are provided for pupils to consider risk situations and explore strategies for keeping safe.</p>

## Anti-Bullying Practice

Exceeding	<p>The alternative provision has an anti-bullying policy which includes information on cyber bullying that has been updated in the last year and is consistent with current Department of Education <a href="#">anti-bullying guidance</a></p> <p>All staff are confident in their delivery of the policy; pupils have been consulted and have devised a pupil friendly version which is visible and used in the alternative provision.</p> <p>A detailed bullying incident log is in place and maintained regularly and analysis is shared with governance</p>
Meeting	<p>The alternative provision has an anti-bullying policy that has been updated in the last year and is consistent with current Department of Education <a href="#">anti bullying guidance</a></p> <p>All staff are confident in their delivery of the policy; pupils have been consulted and have devised a pupil friendly version which is visible and used in the alternative provision.</p> <p>A bullying incident log is in place.</p>

## Safer Recruitment

Exceeding	<p>Recruitment and selection processes are fully compliant with Department of Education guidance <a href="#">Keeping children safe in education</a> .</p> <p>There is a safeguarding statement in adverts, and induction for all new staff includes child protection and expectations regarding conduct.</p> <p>References for shortlisted candidates are collected prior to interview and used as part of the interview process.</p>
Meeting	<p>Recruitment and selection processes are fully compliant with Department of Education guidance <a href="#">Keeping children safe in education</a> .</p>

## Single Central Record

Exceeding	<p>There is a single central record in place which clearly states:</p> <ul style="list-style-type: none"> <li>• identity checks have been carried out and by whom (including what evidence was seen e.g. driving licence, passport),</li> <li>• <b>all</b> staff appointed since September 2012 in regulated activity have the relevant DBS check.</li> <li>• <b>all</b> staff appointed between March 2002 and May 2006 have been CRB checked if they have regular contact with or unsupervised access to children.</li> <li>• <b>all</b> staff appointed between May 2006 and September 2012 have been enhanced CRB checked regardless of whether they have regular contact with children.</li> <li>• supply teachers have been enhanced CRB/DBS checked, agency teachers have been enhanced CRB/DBS checked with written confirmation provided by the employer.</li> <li>• volunteers and governors who have regular contact with children have been assessed to determine if they are in regulated activity and the relevant checks have been made.</li> <li>• the dates these checks were carried out and by whom,</li> <li>• qualifications required for the post are listed, evidence has been seen (including what evidence), by whom and when,</li> <li>• evidence of eligibility to work in the UK and suitability for those who are not Nationals of the European Economic Area (EEA) has been checked, by whom and when.</li> </ul>
Meeting	<p>There is a Single Central Record in place which indicates identity, qualifications, CRB/DBS checks, eligibility checks and right to work checks have been carried out but not for <b>all</b> staff.</p>

## Safer Working Practice for Adults who Work with Children and Young People

Exceeding	<p>There is a staff behaviour policy/ code of conduct for all staff. A copy has been given to all staff who have signed to confirm that they have read it and agree to work within it.</p> <p>The alternative provision has key safeguarding information available for visitors and volunteers who come regularly into alternative provision, and this includes adults who are not directly employed by the alternative provision, and/or who provide contracted or commissioned services.</p> <p>Adults are clear that their practice needs to be in line with this guidance.</p> <p>There has been 'safer working practice' training undertaken by all staff and/or a discussion in a staff meeting.</p>
Meeting	<p>There is a staff behaviour policy/ code of conduct for all staff. A copy has been given to all staff who have signed to confirm that they have read it and agree to work within it.</p> <p>The alternative provision has key safeguarding information available for visitors and volunteers who come regularly into alternative provision, and this includes adults who are not directly employed by the alternative provision, and/or who provide contracted or commissioned services.</p> <p>Adults are clear that their practice needs to be in line with this guidance.</p>

## Procedures on How to Manage Allegations Made Against Staff/Volunteers

Exceeding	<p>Procedures for the management of allegations are in line with <a href="#">Managing Allegations against Staff and Volunteers</a> and known by all alternative provision staff who know where they are kept if they need to refer to them.</p> <p>Staff are aware of how to contact the governance body discretely should they have a concern about the Headteacher/Lead Practitioner and governance knows what to do if such an allegation is made.</p> <p>There is evidence that the procedures are followed consistently and reported to the Local Authority Designated Officer (LADO) and that clear records are kept.</p> <p>Serious concerns are reported to the National College for Teaching and Leadership.</p> <p>Following safeguarding concerns being raised, there is evidence of evaluation and improving practice, systems and /or processes.</p>
Meeting	<p>Procedures for the management of allegations are known by all alternative provision staff who know where they are kept if they need to refer to them.</p> <p>Staff are aware of how to contact the governance discretely should they have a concern about the Headteacher/Lead Practitioner and the governance knows what to do if such an allegation is made.</p>

## Supervision

Exceeding	<p>The alternative provision has well developed procedures for safeguarding supervision in place which enable discussion of individual safeguarding cases with appropriately trained members of the senior leadership team. There is evidence that supervision is effective in providing supported to designated professionals and staff.</p>
Meeting	<p>There are supervision procedures in place which are in the majority of cases used effectively to provide professional support with safeguarding. Staff are aware that supervisory support is available and access this support when required</p>

## Record Keeping Procedures

Exceeding	<p>The alternative provision has reviewed its procedures on recording, retaining and sharing child protection concerns against current guidance, has amended its procedures accordingly and they are applied consistently.</p> <p>There is evidence that all staff are following the procedures and actions/outcomes are recorded against each concern.</p>
Meeting	<p>The alternative provision has reviewed its procedures on recording, retaining and sharing child welfare and child protection concerns against current guidance, has amended its procedures accordingly and they are applied consistently.</p>

## Children Missing Education and Pupils Missing Out on Education

Exceeding	<p>The 'Children Missing from Education (CME)' process is well established and all staff (including alternative provision governance) are fully aware of the current DfE statutory guidance in relation to CME and alternative provision attendance advice.</p> <p>There are clear and well defined processes and roles and responsibilities in monitoring pupils who do not access alternative provision including Work Experience and college placements.</p> <p>Modified time tables are used sparingly and appropriately, are time bound and are reviewed regularly with schools or other commissioners, alternative provision and parent and pupil.</p> <p>The alternative provision takes appropriate action when investigating persistent absence or pupils missing from education and regularly informs the LA of any pupil not accessing alternative provision in the usual way.</p>
Meeting	<p>Most staff understand their responsibilities around pupils not accessing alternative provision in the usual way and practice reflects the requirements of DfE statutory guidance.</p> <p>The alternative provision is not yet exceeding expectations or pro-actively tracking pupils.</p>

## E-safety

Exceeding	<p>The alternative provision has a current e-safety policy for adults and pupils, an Acceptable Use Policy in relation to alternative provision computers and other media, and has been signed and dated.</p> <p>The alternative provision has an e-safety coordinator who has completed the CEOP 'Thinkuknow' training or similar.</p> <p>The alternative provision has regular awareness training for parents, staff and pupils.</p> <p>The alternative provision has completed the Surrey e-safety audit and is fully conversant with the <a href="#">e-safety toolkit</a></p>
Meeting	<p>The alternative provision has an e-safety policy and an e-safety coordinator who is not CEOP trained but is conversant with the e-safety toolkit.</p>

## 6. Overall quality of education provided in the alternative provision

Exceeding	<p>Teaching and learning is outstanding. A rich and relevant curriculum provides good achievement and attitudes to learning.</p> <p>Pupils are well equipped for transition/next steps. There is clear evidence of high staff expectations and pupil aspiration. Almost all pupils exceed expected progress.</p> <p>The provision provides a wide range of opportunities to develop pupil's spiritual, moral, social and cultural development and pupils' physical and emotional wellbeing.</p>
Meeting	<p>Learning and teaching is good. Pupils can demonstrate good attitudes to learning.</p> <p>Pupils are well prepared equipped for transition/next steps. There is clear evidence of staff supporting pupils' achievement to meet expected progress with some pupils exceeding expectations.</p> <p>Effective action is taken to develop learning through the promotion of pupils' spiritual, moral, social and cultural development, and their physical wellbeing.</p>

Summary of Evidence from each area
Overall Judgement
Action/ Next Steps

Following the quality assurance visit an improvement plan should be developed.

This will enable the provider to identify clearly the areas for improvement to prepare for future monitoring and evaluation.

### Improvement Plan

Areas for improvement (theme and criterion)	Agreed Actions	By when	Person responsible	Date and Review of Progress



# Children and Education Select Committee

16 November 2018

## Internal Audit Report Initial Health Assessments 17/18

**Purpose of report:** Scrutiny of Services

To review the summary of audit findings and Management Action Plan produced as a result of an internal audit review of Initial Health Assessments 17/18

### Introduction:

1. It has been agreed by the Chairmen of the Council's Select Committees that any relevant Internal Audit reports that have attracted an audit opinion of either "Major Improvement Needed" or "Unsatisfactory", and/or those with high priority recommendations, will be considered for inclusion on the Committee's work programme.

### Context:

2. Internal Audit undertook a review of Initial Health Assessments 17/18 in November 2018. The report produced as a result of this review attracted an audit opinion of Minimal Assurance. There were two actions assessed as high priority and four as medium priority made. A summary of the audit findings, recommendations and agreed Management Action Plan are attached as **Annex A**.
3. Officers from the service and Internal Audit will be available at the meeting, and the Select Committee is asked to review the actions being taken to address the audit recommendations made.

### Recommendations:

1. That the Committee review the audit report and Management Action Plan and makes recommendations as necessary.

### Next steps:

2. The Committee will continue to have oversight of any relevant audit report that has attracted an audit opinion of either "Major Improvement Needed" or "Unsatisfactory", and/or those with high priority recommendations.

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Tel: 01273 481447

**Sources/background papers:**

**Annex A:** Initial Health Assessments 17/18 Final Report



# Internal Audit Report

## Initial Health Assessments 17/18

### Final Report

Assignment Lead: Richard Abigail, Senior Auditor  
Assignment Manager: David John, Audit Manager  
Prepared for: Surrey County Council  
Date: 2 November 2018



### Report Distribution List

Dave Hill - Executive Director Children, Families & Learning  
Tina Benjamin – Assistant Director Children’s Service  
Carol Douch - Head of Countywide Services  
William Balakrishnan – Head of Insight and Innovation  
Mark Mapstone – Principal Commissioning Manager (Performance Improvement)  
Alex McKnight – Service Manager  
Leigh Whitehouse - Executive Director of Finance  
Kay Hammond - Chairman of Children and Education Select Committee  
Clare Curran - Cabinet Member for Children  
Cath Edwards – Service Improvement and Risk Manager  
Audit and Governance Committee  
External Audit - Grant Thornton UK LLP

This audit report is written for the officers named in the distribution list. If you would like to share it with anyone else, please consult the Chief Internal Auditor.

### Surrey County Council - Internal Audit Key Contact Information

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### 1. Introduction

- 1.1. There is a statutory requirement that all newly Looked After Children undertake an Initial Health Assessment (IHA). This must be completed and the resulting written report received by Children’s Services within 20 working days of the child’s first day in the council’s care.
- 1.2. In Surrey performance against this target is currently poor and has been subject to criticism by OFSTED, including in their recent re-inspection report of May 2018. Less than 20% of assessments are completed by their target date, and many of those that miss are delayed by several months. This represents a missed opportunity to promptly identify health issues for these children.
- 1.3. The council is open to criticism for its overall performance in this area. Additionally there is a risk that valuable information that could affect health or safeguarding decisions is missed.
- 1.4. For the whole of Surrey the Guildford and Waverley Clinical Commissioning Group (CCG) manages a contract with Children and Family Health Surrey to deliver IHAs. Children and Family Health Surrey use one main provider, Surrey and Borders Partnership NHS Foundation Trust to undertake the assessments. Surrey and Borders use paediatricians to undertake the assessments in a hospital setting. A backlog of referrals was inherited from the previous provider.
- 1.5. LCS, the client record system, is SCC’s main recording system for children’s care. This contains information relating to IHAs in individual children’s records. To give a clearer indication of the progress of IHAs as a whole a central tracker is maintained jointly by Children’s Services and Children and Family Health Surrey. This collects key dates from LCS and from a shared email account where emails relating to individual IHAs are sent. There have, however, been discrepancies between the performance data reported by Children’s Services and the main provider.

### 2. Scope

- 2.1. The scope of the audit was to ensure:
  - All newly Looked After Children receive an Initial Health Assessment within the statutory timescales.
  - Reported performance data is accurate.
  - Data is shared effectively between Children’s Services, the CCG and provider.

3. **Audit opinion**

**Minimal Assurance** is provided in respect of **Initial Health Assessments 17/18**. This opinion means that Controls are generally weak or non-existent, leaving the system open to the risk of significant error or fraud. There is a high risk to the ability of the system/service to meet its objectives.

*Appendix A provides a summary of the opinions and what they mean and sets out management responsibilities.*

4. **Basis of Opinion**

We have only been able to provide **Minimal Assurance** over the controls operating within the area under review because:

- 4.1. Performance against target remains very poor, with less than 20% of assessments undertaken within the statutory timescales.
- 4.2. There are regular delays at all key stages in the process, involving both Children's Services and the main provider.
- 4.3. The monitoring information collected in the central tracker is not routinely used as a basis to improve performance or to report on overall performance.
- 4.4. There are differences in the methodology used for calculating performance data by the council and the main provider, which diverts management attention away from addressing the key issues.

However:

- 4.5. Resource has been allocated to collect key dates together in the central tracker spreadsheet.
- 4.6. Discussions are taking place with the CCG and the main provider to improve performance, and a LEAN project is reviewing the process.
- 4.7. Plans to change the delivery model of assessments are being developed to speed up the process.

## Internal Audit Report – Initial Health Assessments 17/18

### 5. Action Summary

Risk Priority	Definition	No	Ref
High	Major control weakness requiring immediate implementation	2	1, 2
Medium	Existing procedures have a negative impact on internal control or the efficient use of resources	4	3, 4, 5, 6
Low	Represents good practice but its implementation is not fundamental to internal control	0	
<b>Total number of agreed actions</b>		6	

### 6. Acknowledgements

We would like to thank all staff that provided assistance during the course of this audit.

Ref	Finding	Potential Risk Implication	Priority	Agreed Action
1	<p><b>Performance</b></p> <p>A significant effort is made to update the central tracker, maintained jointly by Children’s Services and Children and Family Health Surrey. It contains sufficient reliable information to highlight that performance issues exist against each of the four key stages:</p> <p>Date the referral form and consent sent to the provider  Date an appointment is offered  Date of the appointment  Date IHA report provided to SCC.</p> <p>Given the tight timescale all four stages must be undertaken promptly for a referral to be completed within target.</p> <p>The tracker is not routinely used as a tool to drive better performance. For example, until performance improves reminders could be issued as target dates approach for each key stage to help keep individual assessments on track.</p>	<p>Opportunities to meet targets not taken.</p>	<p>High</p>	<p><b>1A</b> New monthly meetings with Children’s Services, the health provider and performance to be set up to review the central list of children on the tracker and instigate actions accordingly across both organisations. <b>CD 30 November 2018</b></p> <p><b>1B</b> Reconcile data held in the spreadsheet, by health and in LCS to agree a single version of the truth. <b>MM 30 November 2018</b></p> <p><b>1C</b> Review the data fields being recorded in the spreadsheet and agree changes to LCS so that referrals for an IHA are embedded in LCS and trigger an alert to health once started. <b>MM 31 December 2019</b></p> <p><b>1D</b> Provide access to LCS to health colleagues with sustainable training so that health can access live data held on the child’s central record and access tracking information via Tableau to eliminate the need for spreadsheets. <b>MM 30 November 2018</b></p> <p><b>1E</b> Move towards health recording essential IHA data directly into LCS so performance</p>

				<p>can be monitored and reported through Tableau and all parties are using a single source of data, the child’s primary record E.g. LCS. <b>CD 31 December 2018</b></p> <p><b>1F</b> Currently the BAAF IHA form (24 pages) is used to make a referral for an IHA. This needs to be reviewed and simplified so that social workers can quickly alert health that an IHA is required. <b>AM 30 November 2018</b></p> <p><b>1G</b> Explore options for a revised IHA referral form that self populates by drawing data from LCS into a format that can be exported for secure electronic exchange and integration into the BAAF IHA form completed by health (Part B the assessment, Part C the plan and Part D data collection). <b>MM 30 June 2019</b></p> <p><b>1H</b> Ensure that all Section 20 agreements are signed by parents/ carers and shared as rolling consent for health appointments prior to a child entering care. <b>AD Areas/CD 30 November 2018</b></p>
<p><b>Responsible Officer:</b></p>	<p>Carol Douch</p>	<p><b>Target Implementation Date:</b></p>	<p>As detailed above last date 31 December 2019</p>	

## Internal Audit Report – Initial Health Assessments 17/18

Ref	Finding	Potential Risk Implication	Priority	Agreed Action
2	<p><b>Capacity</b></p> <p>The main provider has a capacity of around 12 appointments per week. This may be sufficient to meet new referrals, but we consider it unlikely to clear the current backlog which is over 100. The size of the backlog is, however, disputed by the main provider. There were examples where the tracker was not recording the current position.</p> <p>As well as the number of appointments available, capacity is in effect reduced by the rigid structure adopted of hospital based paediatrician appointments. This limits the location and time appointments can be offered. As a result it is more difficult for the appointments offered to be accepted and attended. In addition the hospital based nature of appointments can sound more formal and daunting than a GP surgery appointment, reducing appointment acceptance rates.</p> <p>Other local authorities successfully use trained GPs or nurses to undertake the assessments, and this provides more flexibility and choice. Children’s Services are discussing this option of delivery model with the CCG which would require</p>	Insufficient capacity to clear the backlog.	High	<p><b>2A</b> Contract and budgetary review to review capacity. <b>CD 31 January 2019</b></p> <p><b>2B</b> Review information sharing agreement and complete a Data Protection Impact Assessment for GDPR compliance to assure children’s information remain secure and appropriately shared. <b>MM 30 November 2018</b></p> <p><b>2C</b> Review and update privacy notices and ensure consent is obtained prior to a request for an IHA. <b>MM 30 November 2018</b></p>

**Internal Audit Report – Initial Health Assessments 17/18**

	<p>contractual changes.</p> <p>We consider it to be very difficult to regularly meet the target timescales with the current delivery model. Extra appointment capacity and flexibility is needed if performance against target is to improve.</p>			
<p><b>Responsible Officer:</b></p>		<p>Carol Douch</p>	<p><b>Target Implementation Date:</b></p>	<p>As detailed above last date 31 January 2019</p>

Internal Audit Report – Initial Health Assessments 17/18

Ref	Finding	Potential Risk Implication	Priority	Agreed Action
3	<p><b>Reporting</b></p> <p>The central tracker is effective in collecting the key dates for each assessment in one place. It is not, however, routinely used for reporting. Instead LCS data in tableau is used. Tableau reports on the number of looked after children awaiting an initial health assessment, the number completed and the percentage within target. This doesn't include those children who cease to be looked after so doesn't show all those that have been initially referred to the provider. This understates the effort of the provider in these instances.</p> <p>A report could be calculated from the central tracker that gives data on the new referrals started in each month. This would help give a better picture of how new referrals are being undertaken, and separate them from the backlog cases. In particular the reasons for delays in new cases could be highlighted to direct management attention. This would give a clearer picture of work undertaken by month.</p>	<p>Reports do not present performance clearly, or identify the stages causing delays.</p>	Medium	<p><b>3A</b> Develop a Tableau dashboard to show new children entering care by status (E.g. Becoming Looked After, Looked After and ISAC status). <b>MM 30 November 2018</b></p> <p><b>3B</b> Develop a Tableau dashboard to show children leaving care by status so that appointments that are no longer required can be freed up for current LAC. <b>MM 30 November 2018</b></p> <p><b>3C</b> Make available to health colleagues once data protection assurances are in place and agreed. <b>MM 30 November 2018</b></p>
Responsible Officer:		Carol Douch	Target Implementation Date:	As detailed above last date 30 November 2018

Ref	Finding	Potential Risk Implication	Priority	Agreed Action	
4	<p><b>Sharing Tracker Data</b></p> <p>Under the current arrangements area teams and the main provider do not routinely see the central tracker. This means they do not have an opportunity to review the data. They would be well placed to identify referrals where the situation has changed but which is not reflected on the tracker.</p> <p>Routinely circulating the relevant element of the tracker to each area team and the main provider would usefully enable an ongoing review of the data. This could also act as a driver to chase progress.</p>	<p>Performance data is not accurate. Performance does not improve.</p>	Medium	<p><b>4A</b> Authorisation for a child to become looked after and mechanism for escalation in relation to IHAs to be reviewed in Children’s Services. <b>CD 31 December 2018</b></p> <p><b>4B</b> Health provider to be given access to relevant IHA data for auditing and follow up. <b>CD 30 November 2018</b></p>	
Responsible Officer:		Carol Douch	Target Implementation Date:	As detailed above last date 31 December 2018	

## Internal Audit Report – Initial Health Assessments 17/18

Ref	Finding	Potential Risk Implication	Priority	Agreed Action
5	<p><b>Identification of assessments to meet target</b></p> <p>At the initial referral stage some referrals could be identified which have no obvious barriers to meeting the target. Concentrating resources to achieve the target for these referrals could be useful as an interim measure. Although the outcome for all is more important than for a few, the process of prioritising the more straightforward cases may help drive future performance and better inform the management of the process.</p>	Performance against target continues at the current level.	Medium	<p><b>5A</b> Health provider and Children’s Services to agree a means by which IHAs can be prioritised and more easily fast-tracked through the system to help deal with the backlog.</p> <p><b>CD 30 November 2018</b></p>
<b>Responsible Officer:</b>		Carol Douch	<b>Target Implementation Date:</b>	30 November 2018

## Internal Audit Report – Initial Health Assessments 17/18

Ref	Finding	Potential Risk Implication	Priority	Agreed Action
6	<p><b>Initial call to explain process</b></p> <p>Older children and carers often have concerns over the health assessment process and those who decline appointments, or who choose not to attend, are more likely to accept and attend future appointments if a nurse calls to explain the process and purpose of the appointment.</p> <p>At present this call is only made once an appointment is refused or the child does not attend. Consideration could be given to resourcing a routine call from a nurse at the initial referral stage before an appointment is offered to try to increase the take up of appointment offers.</p>	Cost of declined or missed appointments.	Medium	<p><b>6A</b> Health providers to agree a process to improve take up of appointments. <b>CD 31 December 2018</b></p> <p><b>6B</b> Make changes to LCS to enable recording and reporting of refusers by age to ensure that refusals are appropriate and for a plan to be out in place for each young person refusing an assessment. This should be integrated into the young person’s care plan for regular review and update by Social Worker and Independent Reviewing Officer. <b>CD 30 June 2019</b></p>
<b>Responsible Officer:</b>		Carol Douch	<b>Target Implementation Date:</b>	As detailed above last date 30 June 2019

Key :

CD – Carol Douch- Interim Head of Countywide Services

MM- Mark Mapstone- Performance Improvement

AM – Alex McKnight Service Manager LAC NW

# Appendix A

## Audit Opinions and Definitions

Opinion	Definition
<b>Substantial Assurance</b>	Controls are in place and are operating as expected to manage key risks to the achievement of system or service objectives.
<b>Reasonable Assurance</b>	Most controls are in place and are operating as expected to manage key risks to the achievement of system or service objectives.
<b>Partial Assurance</b>	There are weaknesses in the system of control and/or the level of non-compliance is such as to put the achievement of the system or service objectives at risk.
<b>Minimal Assurance</b>	Controls are generally weak or non-existent, leaving the system open to the risk of significant error or fraud. There is a high risk to the ability of the system/service to meet its objectives.

## Management Responsibilities

The matters raised in this report are only those which came to our attention during our internal audit work and are not necessarily a comprehensive statement of all the weaknesses that exist, or of all the improvements that may be required.

Internal control systems, no matter how well designed and operated, are affected by inherent limitations. These include the possibility of poor judgment in decision-making, human error, control processes being deliberately circumvented by employees and others, management overriding controls and the occurrence of unforeseeable circumstances.

This report, and our work, should not be taken as a substitute for management's responsibilities for the application of sound business practices. We emphasise that it is management's responsibility to develop and maintain sound systems of risk management, internal control and governance and for the prevention and detection of irregularities and fraud. Internal Audit work should not be seen as a substitute for management's responsibilities for the design and operation of these systems.

## Children and Education Select Committee

16 November 2018



### Children and Education Select Committee (2017-18) Special Educational Needs And Disabilities Task And Finish Group Conclusion Report

**Purpose of report:** To provide the Committee information regarding the work of the joint Task and Finish Group and ask the Committee to note the results of the group and make recommendations as required.

#### Introduction:

1. The Children and Education Select Committee identified SEND as a key area of focus for the Council following an area inspection of SEND services in Surrey by Ofsted and the Care Quality Commission (CQC), which found Surrey's services requiring improvement. Following this, the Council was required to produce a written statement of action (WSOA) to clarify next steps for improvement. It was suggested that the task and finish group could follow and monitor the required improvements for Surrey's SEND Services, in line with the conditions set out in the Written Statement of Action.
2. The Task and Finish Group consisted of Members of the Children and Education Select Committee.
3. The Terms of Reference and action plan are attached as **Annex A**. The notes and actions of the task group are attached as **Annex B**.

#### Findings

1. The first meeting of the Task and Finish Group in November 2017 focussed on Governance and oversight structures, performance data and the impact of actions taken. Following this, it was suggested that there should be further updates to monitor health and budget pooling discussions, a breakdown of outliers, reasons for delay and remedial action taken and an update on progress to meet March 2018 transfer deadline to demonstrate how the

service was working to the conditions of the WSoA.

4. Performance monitoring was highlighted as a key area of interest, and it was stressed by officers that performance was monitored robustly through performance inputs and the service held challenging conversations with providers that were not delivering as expected to drive improvement.
5. Members highlighted issues relating to data integrity that had affected the service previously. The service reassured Members of the Task and Finish Group that data recording had improved considerably and as a result the service had much better oversight of performance and areas of stronger and weaker practice.
6. Following on from recommendations of the Task Group, and work undertaken in the service, the Lead Cabinet Member and CCG Chairman wrote to the Children and Families Minister on 29 June 2018 to report on Surrey's progress in improving SEND services.
7. On the 13 September 2018, the Minister for Children and Families published a letter to Surrey detailing the response. This is attached as **Annex D**. The minister noted that he was pleased with progress in a number of areas, including:
  - a. Improved completion rates of Educational Health and Care Plans (EHCPs) within 20 weeks
  - b. Reduction of numbers of fixed terms and permanent exclusions for children with SEND
  - c. 0-5 year olds with SEND making better progress than national average
8. The letter from the minister also noted that he was pleased with the direction of travel within the service management structure and that he was satisfied with the priority that SEND holds within the Council. It was stressed by the minister that the service needed to maintain this focus to ensure continued improvement.
9. The minister has requested that a follow up response be submitted in September 2019 to report on progress made and impact of work.
10. This must also be taken in the context of the SEND Transformation programme, which will be formally considered by full Council on 13 November 2018. Continued work on developing the SEND service will continue following consideration of this proposal and it is scheduled that the Children and Education Select Committee review the progress of SEND transformation at its meeting in early 2019.

<b>Conclusions</b>
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11. It was noted that a positive level of progress had been reported, noting the positive response from the Minister for Children and Families regarding progress. Members noted that there had been good progress on the actions agreed in the WSoA.

12. This positive progress was corroborated in the response of the Minister for Children and Families, and that a follow up report will be submitted in September 2019.

<b>Recommendations:</b>
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1. That the Committee notes the work undertaken by the previous Task and Finish Group and makes recommendations as required.
2. That the Committee agrees to evaluate progress of transformation of SEND services in 2019.

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**Report contact:** Richard Plummer, Democratic Services Officer

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**Sources/background papers:**

Annex A – SEND Task and Finish Group Terms of Reference

Annex B – Notes and actions of the task group

Annex C – Written Statement of Action following SEND inspection

Annex D – Letter of response from the Minister

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## Special Educational Needs and Disabilities (SEND) Improvement Task and Finish Group

The process for establishing a task and finish group is:

1. The Select Committee identifies a potential topic for a task and finish group
2. The Select Committee Chairman and the Scrutiny Officer complete the scoping template.
3. The Overview and Budget Scrutiny Committee reviews the scoping document
4. The Select Committee agrees membership of the task and finish group.

### Review Topic:

Improvement for Special Educational Needs and Disabilities (SEND) Services in Surrey.

### Select Committee(s):

Children and Education Select Committee

### Relevant background

The total budget for SEND services to children and young people aged 0-25 in 2016/17 was £237m<sup>1</sup> and although there were planned savings for SEND in the Medium Term Financial Plan, SEND will remain a significant expenditure for Children, Schools and Families for some time to come.

The SEND Partnership Board published the SEND Development Plan 2020 in Spring 2016, setting out their aims and ambitions for transforming the statutory provision and offer for children and young people with SEND in Surrey by 2020. During the previous Council, a joint Task and Finish Group with Members from the Education and Skills Board, Social Care Services Board, Residents Experience Board and Wellbeing and Health Scrutiny Board was set up to scrutinise the delivery of the SEND Development Plan 2020.

Following an area inspection of SEND services in Surrey by Ofsted and the Care Quality Commission (CQC), which found Surrey's services requiring improvement, the group re-focussed their work on the development of the Surrey's Written Statement of Action. This was published in March 2017.

Surrey recognises that service changes and improvements required are significant in scale and pace; this has been reflected in the agreed Written Statement of Action.

<sup>1</sup> Special Educational Needs and Disabilities Development Plan 2016-2020, (page 14), Surrey County Council, published Spring 2016

**Why this is a scrutiny item**

The Children and Education Select Committee proposes that a SEND Improvement Task and Finish Group is established to follow and monitor the required improvements for Surrey's SEND Services, in line with the conditions set out in the Written Statement of Action.

**What question is the task group aiming to answer?**

- How is the council improving its services for children and young people with Special Educational Needs and Disabilities?
- How does the council's performance for SEND Services contribute to the improvements required within the Written Statement of Action?
- Does Surrey understand its improvement against the standards its regulators use and expect?
- What is needed to achieve further required improvements across Surrey's SEND services?

**Aim**

That the Task and Finish Group:

- Supports and monitors the required service improvements for SEND services in Surrey
- Provides Member oversight, challenge, accountability and assurance to the improvement process
- Makes recommendations where appropriate.

**Objectives**

Meet with officers to ascertain the project timelines and deadlines associated with the service improvement plans.

Meet regularly with Officers to: assess and receive progress updates/reports on the required service improvements; to understand how SEND services are changing, and how these changes will improve the quality of service to children and young people. The Group will use up-to-date strategic documents and reports, as used by officers, to assess progress; what is happening, and how it is being completed.

Identify themes and risks associated with the transformation of SEND services and take appropriate further action as necessary. This could include: providing regular findings reports to the main committee; suggesting recommendations back to the main committee to establish further areas for formal scrutiny and focussed work; or where appropriate, suggest recommendations for the main committee to escalate urgent concerns to Cabinet, or the relevant Cabinet portfolio holder.

**Scope (within / out of)****In scope**

- The delivery of SEND services transformation against the agreed Written Statement of Action

- SEND Services Performance

**Out of scope**

- Scrutiny of individual SEND service provisions
- SEND services budgets

**Outcomes for Surrey / Benefits**

Surrey County Council’s Corporate Strategy sets out strategic goals to improve resident wellbeing, experience and the county’s economic prosperity. This task group would support the delivery of two corporate goals:

1. Improve outcomes for children in need of support and protection (Wellbeing)
2. Enhance opportunities for residents to influence and shape council services (Resident Experience)
3. Improve the satisfaction of families of children with special educational needs and disabilities with the support they receive.(Resident Experience)

**Proposed work plan**

It is important to clearly allocate who is responsible for the work, to ensure that Members and officers can plan the resources needed to support the task group.

<b>Timescale</b>	<b>Task</b>	<b>Responsible</b>
August & September 2017	Scoping with input from Overview and Budget Scrutiny Committee Chairman, Cabinet Member and relevant officers.	Democratic Services Officers and Committee Chairmen
September – October 2017	Meet with officers to establish the agreed timelines and deadlines required for service improvements.  Establish progress made against the Written Statement of Action.	Democratic Services Officers, Task & Finish Group Members, CSF Officers
November 2017	Provide the main Children & Education Select Committee with first findings report with any initial recommendations for future formal scrutiny.	Member Reference Group
November & December 2017	Meet with officers to establish and monitor further progress made against the Written Statement of Action.  Identify areas of weakness and, if appropriate, make recommendations to support the delivery of the remaining actions required.	Democratic Services Officers, Task & Finish Group Members, CSF Officers
Spring 2018	Continue regular meeting with officers to establish and monitor further progress made against the Written Statement of Action.  Provide the main Children & Education Select Committee with findings reports with any initial recommendations for future formal scrutiny.	Democratic Services Officers, Task & Finish Group Members

Spring-Summer 2018	Using findings from Task and Finish Group meetings, and findings from follow-up Ofsted/CQC meetings, provide the main Children & Education Select Committee with a final report, with any closing recommendations.	Task & Finish Group Members
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<p><b>Potential Witnesses</b>  Liz Mills, Assistant Director Schools &amp; Learning  Julie Stockdale, SEND &amp; School Organisation Strategic Lead  Gabrielle Close, Interim Head of SEND Operations  Beth Stewart, Project Manager  Michael Nash, Project Officer  Family Voice  SEND Voices  Diane McCormack, Acting Director at NHS Guildford and Waverley CCG  Zarah Lowe, Principal Commissioning Manager (SEND)</p>
<p><b>Useful Documents</b></p> <p>Joint local area SEND inspection in Surrey  Surrey Local Area Written Statement of Action following SEND inspection &amp; supporting documents  <a href="http://www.surreylocaloffer.org.uk">www.surreylocaloffer.org.uk</a>  SEND Development Plan  SEND Improvement Plan  Part 1 of Schools &amp; Learning Performance Compendium</p>
<p><b>Potential barriers to success</b> (Risks / Dependencies)  Officer availability and capacity. Tight reporting deadlines.</p>
<p><b>Equalities implications</b></p> <p>The services within the scope of this Task and Finish Group will provide support to residents with 'protected characteristics', as defined by The Equality Act 2010, many of which with complex levels of need and support. The Group will be mindful of this and will monitor the equalities implications emerging from its work with officers, and will work to identify mitigation measures for those with a potentially negative impact, if applicable.</p>

<b>Task Group Members</b>	Mark Brett-Warburton Chris Townsend Christopher Botten Tina Mountain Yvonna Lay
<b>Co-opted Members</b>	-
<b>Spokesman for the Group</b>	To be decided at first meeting
<b>Scrutiny Officer/s</b>	Democratic Services Officer(s)

## **Annex B (i)**

### **Children and Education Select Committee: SEND Task and Finish Group 17 November 2017 2.30pm – 3.30pm, G10**

**Task Group membership:** Mark Brett-Warburton; Chris Townsend; Christopher Botten;  
**Apologies:** Tina Mountain; Yvonna Lay

**Witnesses:** Mary Lewis, Cabinet Member for Education  
Mary Burguieres, Continuous Improvement & Change Strategic Lead, Schools and Learning

**Purpose:** To follow and monitor the required improvements for Surrey's SEND Services, in line with the conditions set out in the Written Statement of Action.

#### **Agenda:**

- Governance - What oversight is maintained on progress?
- Data - What data do we capture, and what is it telling us?
- Impact - What have we done in response to what we know?

#### **Minutes:**

There had been positive progress on delivering the SEND improvements. A new Quality Assurance post had been created in order to improve the quality of Education, Health and Care Plans (EHCPs), and this was reducing the amount of demand created by poor quality EHCPs having to be rewritten.

The Task Group reviewed the dashboard -

#### **Measure 1: New EHCP requests on time (cumulative 12 month)**

It was noted that the cumulative basis of EHCP completed on time was a Department for Education (DfE) measure that allowed national benchmarking. In October Surrey was performing in line with the national average (58%) and above the target it had agreed with the DfE (55%). The national target was 90%, though it was recognised that few local authorities were currently performing well against this.

#### **Measure 2: New EHCP requests on time (due in month)**

The Task Group was informed that this was intended to measure productivity in month. It was commented that this was a percentage set against volume, and needed to be read in conjunction with the other measures in order to understand overall demand. Witnesses commented that productivity had plateaued at 60%, which was considered low, and work had been conducted over the autumn to identify the reasons why.

It was highlighted that the analysis had suggested the timeliness of advice from the required partners in health and social care was an issue, as well as the quality of the input. The Task Group was informed that the SEND Improvement Board had endorsed a recovery plan that would see additional resource in health. Work had also been undertaken with social workers, it had been identified that there was some confusion as to what constituted advice in the context of EHCP, and this was being addressed.

#### **Measure 3: EHCPs in excess of 5 weeks over 20 week target**

## **Annex B (i)**

The Task Group discussed the EHCP backlog, and was informed that the target was to reduce this to 5 by December 2017. It was noted that this was not on track, though it had reduced to 49 in October 2017.

The Task Group was informed that the North East area was experiencing highest demand in respect to overdue EHCPs. The Cabinet Member had visited the team and reflected that there were no immediately apparent management issues. It was highlighted that there was a continued focus on how to improve processes and support the team. The Task Group was informed that one stage of EHCP completion was parental agreement, and that the complexity of individual cases was often the root cause of delays.

The Task Group queried the role of health partners, and asked whether there was a case for seconding health staff under a Section 75 agreement. It was noted that there were joint appointments related to commissioning, though the option of pooled budgets had not been pursued. It was suggested by Members that this was related to the deficit financial position of many Surrey NHS organisations, and that it could be piloted to assess whether it would deliver more timely EHCP completion. The Cabinet Member agreed to explore this and report back at the next Task Group meeting.

There was a discussion on the role of residential placements, and the need to develop new provision to address complex needs within Surrey. This remained a key area of focus for the service. It was also commented by the Task Group that there seemed to be two issues emerging from discussions, one was the requirement to deliver the improvements set out in the Written Statement of Action, and the other was to address the structural issues that led to failure demand, such as the timeliness of advice.

### **Measure 4: Transfers from Statement to EHCP (2017/18 academic year)**

The Task Group was informed that there was a national deadline to transfer all Statements to EHCPs by 31 March 2018. It was noted that there was a dedicated transfer team in place to meet this deadline, and once this had been completed the resource could be reallocated to meet demand elsewhere.

The Task Group was informed that a transfer required family and partner co-operation, and it was highlighted that the Council was encouraging schools to support the delivery of all transfers to deadline. Witnesses also commented that post-16 transfers were proving challenging as Further Education colleges were adapting to the change in requirements following the 2014 legislation and subsequent codes of practice.

#### **For the next meeting:**

- Cabinet Member to update on health and budget pooling discussions. (ML)
- A breakdown of cases in measure 3, showing outliers, reasons for delay and remedial action taken (MB)
- Update on progress to meet March 2018 transfer deadline (MB)
- Demonstration of data using Tableau (MB)

**Next meeting: TBC (January/February 2018)**

# Children and Education Select Committee

## SEND Task and Finish Group

26 February 2018

### Record of Proceedings

#### **Attendees:**

SEND Task and Finish Group: Mark Brett-Warburton, Chris Botten, Chris Townsend

Mary Lewis, Cabinet Member for Education, and Mary Burguieres, Strategic Lead, Continuous Improvement and Change

#### **Apologies:**

Tina Mountain, Yvonna Lay

#### **Key points raised in discussion:**

#### **ITEM ONE:**

1. The Cabinet Member for Education noted the briefing that had been provided to members on the current Section 75 and 76 agreements for pooled funding between the Council and CCGs covering a range of therapies and CAMHS. Whilst this demonstrated that there were substantial arrangements in place, there was also more work could be done to improve this.
2. Members questioned whether staff employed by the health sector were line managed with as rigorous performance requirements as staff employed by Surrey County Council. Officers noted that partners managed staff using different measures to Surrey County Council. Members asked whether staff that were employed by Surrey County Council could potentially be seconded to health organisations to ensure that the performance management standards employed by the Council could be used as a model by health colleagues.
3. Officers noted that Speech and Language therapy was delivered in house by Surrey County Council. It was explained that this service was generally received positively by service users,
4. Members questioned how performance was monitored on commissioned contracts and how the contract provider is held to account for non-delivery. Members particularly stressed that performance notices that were issued by the service in response to poor performance may not have been effective enough. Officers stressed that the service measured inputs from performance statistics and identified timeliness and other performance metrics. It was stressed that the service had held challenging conversations with providers that were not delivering as expected to drive improvement.
5. Members suggested that the service could liaise with academics, highlighting work undertaken in this area by the University of Surrey, to determine performance targets and question how the service monitors performance on commissioned services.

Members suggested that the service could take national leadership in working with academics to agree long term performance targets.

6. Members questioned whether services that were not performing as well could be brought in under a similar model to Speech and Language therapy. Officers noted that there was some potential to establish a joint venture or establish in house provision for some of these and that the service could look into the viability of this. Officers also suggested that they would look into benchmarking how other authorities undertook this and determine viability.
7. Officers noted that the complexity of need had increased, highlighting Autism Spectrum Disorder (ASD) as a key area of increase, and noted that the service had taken national leadership on developing and commissioning services to manage this development.
8. The Cabinet Member for Education noted that the service needed to find ways to ensure that health partners find ways to identify those with needs are identified earlier and that this could help to improve the quality of Early Help assessments.

#### **ITEM TWO: EHCPs**

1. Officers identified that were concerns regarding the number of EHCP cases open over 25 weeks. It was noted that new EHCP requests were being completed within deadlines, but that some of the lengthy cases were not being completed as a result of the focus on completing new EHCP requests.
2. Officers stressed that there had been significant numbers of EHCP cases that had been resolved and that there was a pattern of improvement recorded across all quadrants.
3. Officers noted that lengthier cases were being extended often due to differing views on what was considered an appropriate setting to best provide the child's needs. This led to delays in decision making. Members questioned whether there was a lack of confidence from users regarding professional opinion. Officers stressed that many of these cases were very complex.
4. Members noted that it was positive that the service had understood why there was an overrun of cases and identified causes, stressing that this was a step forward for the service and that this would help in resolution of these cases.
5. Members questioned data integrity and whether the figures were reliable before September 2017, noting that there were historic issues in other areas of the service regarding data integrity. Officers and the Cabinet Member stressed that they would present information to assure Members regarding data integrity.
6. Members questioned why EHCP requests being completed on time was plateauing at a level of 55% and what the barriers to improvement were. Officers noted that this level was at the national average but that there was skilled resource in the transfer teams that could be used to improve upon this figure in due course.

### ITEM THREE: TRANSFER OF STATEMENTS

1. Officers noted that there was a deadline of March 2018 to complete all transfers. There was an expectation that most of these cases would be completed on time but that there were up to 21 cases significantly more complex cases that may not be completed within timescale.
2. Members noted the current rate of completion, and highlighted that the current completion trend was currently 100 completed per month and that there was a need for 400 completed per month to be within timescale. Officers noted that significant improvements in management efficiency would ensure that this improvement took place and that there would be separate transfer teams to ensure alacrity. It was highlighted that there was evidence of improvement that had been acknowledged by the DfE.
3. Members queried what would happen to the dedicated transfer team upon completion of transfers. Officers explained that it would be redeployed based on need. Members suggested that, due to experience, that these officers could be redeployed as family champions and that they could become family champions who were expert in the system.
4. Members observed their disappointment in the low level of parent and carer participation in decision making and questioned how this could be improved. Officers recognised this and noted that there had been low levels of survey responses. Members suggested that surveys could be distributed to SENCOs, and in schools in general, to improve participation.
5. Members noted the positive response from the Secretary of State regarding progress and congratulated officers on work to achieve this.

#### Recommendations:

1. That the service look into the potential of setting up a similar model to Speech and Language Therapy services for SEND assessments and look into the potential to deliver these services in house or as part of a joint commission.
2. That the service present information to assure Members regarding data integrity regarding the EHCP dashboard from before September 2017.
3. That the service look at the potential of working with academics to potentially provide advice and supervision for performance targets in SEND commissioned services.
4. That a Tableau surgery demonstration would be set up with Members in due course.

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**Surrey Local Area**  
**Written Statement of Action following SEND inspection**  
**10 March 2017**

As local leaders we are committed to pursuing improvements for children and families in order to ensure children are living, learning and growing up well in Surrey. Our driving ambition is to provide support to children and families earlier to ensure better outcomes for them, and to prevent escalation of their needs where possible. To achieve this, we need to agree collectively what is holding back progress on these outcomes, what good looks like and respond swiftly to lift the quality of our practice consistently across the county. The Surrey SEND Written Statement of Action sets out how we are doing this.

The local area of Surrey was inspected by OFSTED and CQC from 17 – 21 October 2016 to judge the effectiveness of the area in implementing the disability and special educational needs (SEND) reforms as set out in the Children and Families Act 2014. The Chief Inspector determined that the local authority and the area’s clinical commissioning groups were required to submit a Written Statement of Action because of significant areas of weakness in the local area’s practice.

This Statement sets out a clear vision for how the local area will address the five key weaknesses raised in the inspection and sustain improvement for children and families at scale and pace. It explicitly defines all roles and responsibilities and shows clear lines of accountability.

This Statement was developed with the contribution of partners in schools and family representatives as members of the SEND Partnership Board. It has been endorsed by the Children’s Services Improvement Board. It was also subject to the scrutiny of the Council’s SEND Scrutiny Task Group. It will inform the refresh of the Surrey SEND Development Plan to ensure the actions and changes delivered are sustained through the Partnership’s longer term improvement plan.

A background document has been produced that confirms our learning from the inspection and the commitment of the local area leaders to pursue improvements for children and families in order to ensure children are living, learning and growing up well in Surrey. Some key actions taken since the inspection have already achieved some tangible improved outcomes for families and children. The document provides a summary of leaders’

self-evaluation of the root-causes of the weaknesses identified in the inspection, the rationale for the actions underway and what leaders expect to be different as a result.

The local area has been driven by the vision for children and young people set out in the SEND Code of Practice and has used this to guide the development of the Written Statement of Action. Partners have made five key commitments in order to drive improvement. At the heart of this plan is a dedication to changing culture and practice, listening to families, children and young people and ensuring that they are able to participate as fully as possible. Local leaders understand the urgent need to make a difference to families, children and young people. We recognise that developing, equipping and empowering staff is key to improvement.

<b>Our vision “Supporting children and young people to achieve well and lead happy and fulfilled lives” (SEND Code of Practice, January 2015)</b>		
<b>Our Key Priorities</b>	Priority 1: The timeliness, suitability and quality of statutory assessments and plans, including when statements are transferred to education, health and care plans.	<b>Our key commitments</b> <ul style="list-style-type: none"> <li>• Embedding a consistent process, person-centred approach across the assessment and planning for and with children and families</li> <li>• Creating and maintaining a strong performance culture where information drives planning and improvements in services and practices</li> <li>• Collaborating and engaging a wide group including families, children and young people in the planning and evaluation of our services</li> <li>• Working in partnership to integrate services to meet the needs of children and families closer to home and within their local communities</li> <li>• Integrating services to provide a welcoming front door and better support early identification and support for children with SEND</li> </ul>
	Priority 2: The under-developed and often limited involvement of parents and carers, and the narrow range of those included, in planning, monitoring and evaluating services. The ineffective promotion of the local offer, and the incomplete statutory transition plan.	
	Priority 3: The inefficient management and coordination of area information, in administrative processes, to inform evaluation of services and outcomes, and to hold leaders and staff at all levels to account for rapid improvement.	
	Priority 4: The relatively low identification of need at school support level, indicating inefficiencies in the early identification of special educational needs and/or disabilities.	
	Priority 5: The increasing rates of absence and exclusion experienced by children and young people who have special educational needs and/or disabilities in mainstream schools.	

## Monitoring and Evaluation

The **Children's Services Improvement Board** - chaired by the Deputy Leader of the Council and composed of the Lead Member for Children and Families Wellbeing, the Director of Children's Services, the Surrey CCG Collaborative Directors of Safeguarding and Commissioning for Children, School Leaders, the DfE improvement adviser and other statutory partners - will provide formal oversight of delivery of the actions in this Statement. It will review progress quarterly.

Progress will be monitored monthly by both the **SCC and CCG Leadership Teams**, and the lead officers will report progress every two months to the **SEND Partnership Board** for review. Lead SCC officers will be held accountable for progress through monthly meetings with **the Lead CSF Cabinet Members**, and the **SEND Scrutiny Task Group** will provide scrutiny of both the Council's and CCG's performance on a quarterly basis.

Quarterly meetings with the Regional Schools Commissioner will provide a basis to consider place planning, absence, exclusions, inclusion, achievement of outcomes, and early identification of need. It will also provide a forum for challenge and support the implementation of the wider plan.

In September, the local area will take stock of improvements to date, their pace, scale and impact. Emerging themes and learning will be identified and the plans reviewed in order to ensure they are fully effective.

See Annex A for a key to the leads from the Council, CCG and statutory partners.

## Phases of improvement

Our work has been structured into three key phases to ensure that we embed a self-sustaining improving system.

Stabilise (October 2016 - March 2017) - Analysis, diagnosis, identify and sequence priorities, plan and assign the priority tasks, working visibly within the system

Repair and rebuild (March 2017 - December 2017) - clear decision making, transparent performance reporting, challenge and support, cultural change, restorative, defining expectations, active implementation and review, developing and empowering staff, assurance, listening to feedback

Self sustaining improvement (December 2017 - Onwards) - consistent system-wide delivery to meet need, embedded performance culture, embedded assurance, accountable, responsive, proactive, learning culture driving continuous improvement

**Actions to be taken to address the key improvement points from the inspection:**

The following section sets out the planned detailed actions in order to address the five key weaknesses. Annex B contains draft performance measures which will be agreed by the SEND Partnership Board in March alongside targets. These will form the basis for monitoring reports.

<b>Priority 1: The timeliness, suitability and quality of statutory assessments and plans, including when statements are transferred to education, health and care plans.</b>				
<b>Actions to be taken</b>	<b>Lead</b>	<b>Resources</b>	<b>Timescale</b>	<b>Success Criteria/Measures</b>
<b>Increase capacity and efficiency to improve timeliness</b>				
<p>1.1 Extend contracts for SEND caseworkers and recruit additional staff to increase capacity in EHCP assessment and transfer processes and improve staff retention.</p> <p>Complete a capacity review for 2017-19, plan for recruiting additionally identified staff utilising the SEND Reform Grant.</p>	AD		<p>April 2017 – completed</p> <p>June 2017</p>	<p>Detailed performance measures and targets will be agreed by the Surrey SEND Partnership Board in March. These will cover the timeliness, suitability and quality of</p> <ul style="list-style-type: none"> <li>• statutory assessments and plans</li> <li>• statutory transfers</li> </ul>
<p>1.2 Routinely agree education placement settings as part of the EHCP process - including annual reviews - through discussion facilitated by the caseworker with the SCC school placement team, school and parents/carers.</p> <p>Ensure SCC school placement teams provide on-going support for placement of children with EHCPs and monitor delivery and impact of provision.</p> <p>Remove Secondary and Primary Placement Panels from the Decision Making Framework as no longer required.</p>	HSO / HSCA		May 2017	Performance will be monitored using both quantitative and qualitative data.
<p>1.3 Ensure continuous improvement of the efficiency, consistency and quality of SEND processes by:</p> <ul style="list-style-type: none"> <li>• Establishing a multi-agency practice group chaired by HSO to oversee process improvements.</li> <li>• Reviewing processes to ensure all relevant health agencies are contacted to provide</li> </ul>	HSO/ HCS	Representatives from SCC, Schools, Health and Family Voice Surrey	March – July 2017	

<p>advice/assessment so that they can respond within 6 weeks and see consistency of quality in statements and interventions.</p> <ul style="list-style-type: none"> <li>• Putting in place standardised templates for providing advice/ assessment including clear timescales and outcome focus.</li> <li>• Putting in place a consistent approach for regular communication with families throughout the process so that families are aware of progress.</li> <li>• Involving families early in outcomes focused planning.</li> <li>• Improving the timeliness of the decision making process through analysis of causes of delay and develop a plan to remove barriers to effective decision making.</li> <li>• Designing and rolling out new guidance and training materials for SEND staff.</li> </ul>				
<p>1.4 Capture families' experience of the EHCP process.</p> <p>Review tribunal data regularly to identify trends and themes for improvement.</p>	<p>HSO</p>		<p>Roll out from June 2017</p> <p>Quarterly</p>	
<p><b>Systems changes to reduce delays and backlog</b></p>				
<p>1.5 Implement a new county-wide contract for Children's Community Health Services.</p> <p>Key performance targets are embedded to enable us to continue to build in the progress to reduce waiting times to access therapy services and improve timely completion of medical advice for SEND.</p> <p>Identify and resolve health causes of delay to the EHCP process.</p>	<p>DoC (CCG)</p> <p>DMO/ DCO</p>		<p>April 2017</p>	<p>As above</p>

Ensure suitable QA systems are in place to moderate health assessments to ensure good quality outcomes.			June 2017	
1.6 Ensure all outstanding cases seeking a school placement in transition years are identified and concluded.	HSCA		May 2017	
1.7 Establish monthly System Leader Case Panels with senior Leaders from the CCGs and County Council chaired AD. Bring complex cases monthly to the Panel for resolution. This will be an opportunity for leaders to work with caseworkers to identify and resolve system issues that are causing delay and establish a mechanism for case reviews.	AD/ DoC (CCG)		First panel – March 2017, then monthly	As above
<b>Use information and insight to drive quality</b>				
1.8 Roll out new performance management tools to all frontline staff and managers (Tableau) to help improve performance management. Specifically to include performance on new EHCP requests and transfers. [See Priority 3 for roll out timetable for full performance data]	HII		April - May 2017	As above
1.9 Implement a consistent quality assurance approach across SEND  Hold Quality Standards workshops drawing on expertise from Children's Services to agree the approach. Workshops to involve parents' representatives and health and care colleagues.  Building on the workshops, put in place robust QA systems for all SEND processes including:  <ul style="list-style-type: none"> <li>Auditing cases monthly</li> <li>Identifying themes for improvement.</li> </ul>	HSO  DMO/ DCO	Identify lead to scope and complete QA framework (informed by best practice in other areas)  Time and people	May 2017  QA systems plan complete June 2017	As above

<ul style="list-style-type: none"> <li>Strengthening supervision of casework and management oversight.</li> <li>Using customer feedback data and correspondence to identify specific reviews/deep dives.</li> <li>Commissioning SCC Internal Audit resource to target specific reviews.</li> <li>Identifying 'named owners' for timed follow up action.</li> </ul>		identified to implement QA	Implementation from June 2017	
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**Priority 2: The under-developed and often limited involvement of parents and carers, and the narrow range of those included, in planning, monitoring and evaluating services. The ineffective promotion of the local offer, and the incomplete statutory transition plan.**

Actions to be taken	Lead	Resources	Timescale	Success Criteria/Measures
<b>Embed a person-centred approach within SEND (as defined by the principles in the SEND Code of Practice, page 19)</b>				
<p>2.1 Promote a person-centred approach across everything we do, building on examples of good practice.</p> <p>Develop a new practice model for SEND drawing on and consistent with person-centred practice:</p> <p>Ensure all teams discuss and agree how they will embed the person-centred approach into their practice (e.g., engagement with families, assessment, monitoring, supervision and appraisal) and identify barriers and support required.</p>	AEO		<p>May 2017 – person-centred approach video viewed and discussed by all area and specialist teams</p> <p>June 2017 - team plans developed and moderated by Operation Lead</p>	<p>Detailed performance measures and targets will be agreed by the Surrey SEND Partnership Board in March. These will cover</p> <ul style="list-style-type: none"> <li>the participation of parents, carers and children in planning and decision-making</li> <li>timely access to therapies</li> </ul> <p>Performance will be monitored using both quantitative and qualitative data.</p>
<p>2.2 Build capacity for change through four SEND Practice Champions:</p> <p>Identify and train 4 Practice Champions within the SEND Service to deliver ongoing training and support to staff with a key role in SEND, including potentially partners in Schools and Health.</p>	AEO	Training the trainers course places	May 2017 – 4 SEND Practice Champions complete training the trainers course	

<p>2.3 Ensure key service leads at managerial and supervisor level from across the SCC Schools and Learning Service to attend the 2 day awareness course followed by 5 day Practice Leads course.</p> <p>Explore with schools and health providers the opportunity for integrating into the training on the person-centred model.</p>	AEO	Staff will need to be released to attend 5 day course.	December 2017  September 2017	
<p>2.4 Ensure Practice Leads provide training and support on key developmental needs of teams to embed person-centred practice.</p> <p>Develop and ensure induction materials for all new SEND staff include person-centred practice.</p> <p>Develop a CPD Programme for SEND staff, including potentially all professionals with a role in SEND across Surrey.</p>	AEO  HSO  HSO		From September 2017	
<p>2.5 Develop performance measures that reflect the improved outcomes for children and families.</p> <p>Using learning from Children's Services improvement to identify and monitor performance measures which will reflect culture change within SEND and outcomes for children</p>	HII		From April 2017	
<p>2.6 Put the voice of the child at the centre of our practice through:</p> <p>Developing SEND Voices (our children and youth participation scheme) to hear from a broader range of children and young people about their needs and experience.</p> <p>Ensuring discussion at every supervision session provides a focus on the views, wishes and feeling of the</p>	AEO		From April 2017	

child and young person, what children are saying is important to them and how well their needs are being met.				
<b>Collaborate with families and engage a wider group of families in the planning and evaluation of our services</b>				
<p>2.7 Support Family Voice Surrey in its role as the representative voice for all families with children with SEND in Surrey –</p> <ul style="list-style-type: none"> <li>widening participation and representation in terms of geography, age and needs</li> <li>Routinely seeking out parents' views (via surveys, case studies, engagement events) to provide an evidence base</li> <li>Agreeing a memorandum of understanding which underpins the implementation of the co-production policy jointly agreed.</li> </ul>	AD DoC (CCG)	FVS  FVS SEND Collaborative partners	FVS SEND Collaborative –; quarterly meetings  Quarterly monitoring meetings	Achievement of Performance targets set out in the Memorandum of Understanding
<p>2.8 Develop a strategy to ensure parent and carers, and their representatives, effectively participate in strategic reviews and the evaluation of services and co-produce services with commissioners.</p>	AD DoC (CCG)	FVS	June 2017	<p>FVS participating in SEND Commissioning Plan workstreams</p> <p>FVS continue to participate in SEND, Health, Care service oversight and improvement bodies</p> <p>FVS embedded in District/ Borough Family Hubs</p>
<p>2.9 Co-design with Family Voice Surrey and implement the Family Communication and Engagement Strategy to hear the experiences of families and continue to learn from them, at both individual and strategic level, including through a range of different channels such as:</p> <ul style="list-style-type: none"> <li>Webinars</li> <li>Customer satisfaction surveys</li> <li>Outreach to family groups</li> <li>Developing and promoting the local offer</li> </ul>	HCS / HMS	FVS	July 2017	As above for 2.1 -2.6

2.10 Develop with partners and family representatives, children and young people and launch the SEND Commissioning Plan 2017-22	HMS/ DoC (CCG)/ FVS		July 2017	Jointly owned Commissioning Plan. Plan sets improved outcomes. Plan sets approach to agreed savings.
<b>Improve timeliness, accessibility and equitability of local provision</b>				
2.11 Bring speech and language therapy for education and learning within the local authority, re-shaped and aligned to areas of priority needs.	AD/HA SEN		April 2017	Establish baselines for performance reporting from April 2017. As above 2.1 - 2.6
2.12 Review and relaunch the County Autism pathway, including services for 19-25 year olds with all stakeholders.	AD/HS O/DD- ASC		Implement new pathway – May 2017	
2.13 Review and consideration of investment in the BEN pathway (Behaviour Pathway for children with Neurodevelopmental Disorders) to address the gap in provision within Surrey Downs CCG area.	DoC (CCG)		Review – April 2017  CCG to consider investment in new pathway – May/June 2017	
2.14 Implement a new county-wide contract for Children’s Community Health Services.  Key performance targets are embedded to enable us to continue to build in the progress to reduce waiting times to access therapy services and improve timely completion of medical advice for SEND.  Health causes of delay to EHCP process identified and resolved if necessary.  Ensure suitable QA systems in place to moderate health assessments to ensure good quality outcomes can be framed.	DoC (CCG)  DMO/D CO		New contracts implemented April 2017          June 2017	

2.15 Work with schools to use KS1 results and other progress indicators to inform school improvement systems design. (This will also inform the SEND Commissioning Plan.)	Schools lead / AD CYPP		Ongoing	
<b>Promote the local offer</b>				
2.16 Implement the refreshed Local Offer Communications Plan, with targeted, multi-channel campaigns	HCS		June 2017	Local Offer traffic and user satisfaction increases
2.17 Ensure continuous improvement of the online Local Offer by: <ul style="list-style-type: none"> <li>Conduct a usability study on the SEND Local Offer website and implement improvements.</li> <li>Enhance EHCP guidance on the Local Offer website.</li> <li>Publish examples and case studies to assist parents / practitioners to understand the process.</li> </ul>	HCS HSO HSO	Web and Digital Team	June 2017 July 2017 July 2017	<p>Detailed performance measures and targets will be agreed by the Surrey SEND Partnership Board in March. These will cover</p> <ul style="list-style-type: none"> <li>the participation of parents, carers and children in planning and decision-making</li> <li>the provision of timely and relevant information and support</li> </ul> <p>Performance will be monitored using both quantitative and qualitative data.</p>
<b>Update the Statutory Transition Plan</b>				
2.18 Update the Statutory Transition Plan following consultation with parents and carers, to include a review of 2015/16 performance and reference to statutory guidance, in line with the statutory Code of Practice.	HSO		August 2017	Clear process and accountability is in place for updating the transition plan going forward to the statutory timescales. The plan clearly sets out actions and milestones to meet statutory requirements for transition to Education, Health and Care Plans.

<b>Priority 3: The inefficient management and coordination of area information, in administrative processes, to inform evaluation of services and outcomes, and to hold leaders and staff at all levels to account for rapid improvement.</b>				
<b>Actions to be taken</b>	<b>Lead</b>	<b>Resources</b>	<b>Timescale</b>	<b>Success Criteria/Measures</b>
3.1 Drive a strong performance culture across SEND service through visible leadership.	AD		March 2017	Establishment of a strong performance culture and decision-making focussed on outcomes for children and families. Features of the new system will be:
3.2 Establish a new Information Management Programme Board chaired by the Assistant Director for Strategy and Performance across the CSF Directorate to oversee performance of outcomes for children and families.	HII	Existing CSF Resources  Support from AD Strategy and Performance	Programme Board established January 2017  Agree reporting processes and products for regular production by May 2017.	Performance information is available to frontline staff, managers and systems leaders and used to inform decision making.  Caseworkers have the necessary information to manage their caseloads and use this to support their supervisions and appraisal.
3.3 Ensure timely and comprehensive access to SEND data in EMS One including assessment casework, transfers and absence and exclusion through the establishment of a set of scheduled data extracts.	HII		Assessments - Completed by February 2017 Transfers – Completed by March 2017 Absences & exclusions – completed by April 2017	Planned monitoring and evaluation activities relating to the local area's improvement priorities are implemented efficiently and the impact on outcomes is evaluated effectively leading to sustained improvement.  The local area identifies what is working well and what makes a difference to the outcomes for children.
3.4 Articulate expectations of the roles and responsibilities of SEND team leaders and caseworkers in inputting and use of data, supported by training.	HII		April 2017	Quarterly monitoring of actions and the evaluation of outcomes leads to ongoing revision and refinement of the SEND development plan.
3.5 Improve the quality of SEND data through a cleansing of the last three years' worth of data with regular maintenance and spot checks to ensure data quality.	HII		Completed March 2017 Ongoing data quality reporting from May 2017	

<p>3.6 Introduce near live (overnight refresh) interactive dashboards for performance information accessible to all SEND team leaders and caseworkers on</p> <ul style="list-style-type: none"> <li>• EHCP transfers</li> <li>• EHCP timescales</li> </ul> <p>Introduce interactive dashboards based on termly Census data for SEND exclusion and absence</p>	HII		April – May 2017	<p>Senior leaders ensure accountability for progress and improved outcomes.</p> <p>Senior leaders discuss and agree the main features that emerge from quarterly monitoring and evaluation activities and share outcomes and actions with all stakeholders.</p>
<p>3.7 Introduce near live (overnight refresh) interactive dashboards for performance information accessible to all SEND team leaders and caseworkers on</p> <ul style="list-style-type: none"> <li>• mediation, appeals and tribunals</li> <li>• timeliness of professional advice</li> </ul>	HII		Initial dashboards available July 2017 then ongoing refinement	
<p>3.8 Introduce regularly updated dashboards for performance information accessible to all SEND managers, caseworkers and frontline staff on customer satisfaction data.</p>	HII		Completed September 2017 then ongoing refinement	
<p>3.9 Monitor and report monthly on waiting times for education speech and language therapy accessible to all SEND managers, caseworkers and frontline staff.</p>	HII		May 2017 – establish baseline	
<p>3.10 Monitor and report monthly on provider performance data on timeliness of health advice in EHCP process, to be triangulated with performance data collected by SEND caseworkers.</p>	DoC (CCG) / HSO		May 2017 – establish baseline	
<p>3.11 Monitor and report monthly on waiting times for access to Occupational Therapy and Physiotherapy.</p>	DoC (CCG)		May 2017 - establish baseline	

<b>Priority 4: The relatively low identification of need at school support level, indicating inefficiencies in the early identification of special educational needs and/or disabilities.</b>				
<b>Actions to be taken</b>	<b>Lead</b>	<b>Resources</b>	<b>Timescale</b>	<b>Success Criteria/Measures</b>
<p>4.1 Identify the root causes of the relatively low identification of need at school support level and how that manifests in different areas, ages and settings.</p> <p>Include a routine review of transitions throughout the life course of a child to ensure they are managed smoothly and do not create a barrier.</p> <p>Share the findings with Schools to test the hypothesis and identify local solutions.</p>	AD DoC (CCG) School Lead	Research and analysis	<p>Research and analysis – April 2017</p> <p>June 2017 Area-based workshops to share findings – May – June 2017</p>	<p>Detailed performance measures and targets will be agreed by the Surrey SEND Partnership Board in March. These will cover</p> <ul style="list-style-type: none"> <li>• achievement in end of key stage assessments</li> <li>• exclusions and absences</li> <li>• SEND identification and response</li> <li>• timely access to therapies</li> </ul> <p>Performance will be monitored using both quantitative and qualitative data.</p>
4.2 Co-design with families, early years providers, schools and health partners' opportunities and pathways to identify and respond more effectively to SEND early on in a child's life.	HCS AD DoC (CCG) School Lead	Families Schools Health providers	July 2017	
4.3 Work with the London Leadership Strategy to implement the tools developed for schools to provide peer to peer support for SEN support following identification of local need.	AD School Lead	Schools	July 2017	
4.4 Develop a graduated response to early identification of need and intervention, removing any identified barriers.	AD School Lead	Schools	July 2017	

<p>4.5 Build capacity and good practice within settings to identify SEN early and provide appropriate support, including for behavioural issues leading to absence or exclusion, by appointing an experienced SENCO or School leader, seconded to the County Council and jointly funded with the CCG, to work with settings.</p>	<p>AD DoC (CCG) School Lead</p>	<p>Schools</p>	<p>Secondment agreed – March 2017</p>
<p>4.6 Strengthen the SENCO network through a programme of school activity to develop and better use the skills of SENCOs.</p>	<p>AD DoC (CCG) School Lead</p>	<p>Schools</p>	<p>Programme of School activity developed - April 2017  Programme implemented - from May 2017</p>
<p>4.7 Ensure SEND pathways and support are built into Surrey's Early Help offer.</p> <p>Ensure Early Help acts as an effective front door to early support and identifier of SEND</p> <ul style="list-style-type: none"> <li>• Enhancing language and communication outcomes in early years settings</li> <li>• Enhancing the role of health visitors in identifying early support needs of children</li> <li>• Signposting families to Family Information Service, Family Hubs and Self Help</li> <li>• Blending SEND services that are best delivered locally within the Early Help Hubs, developing wrap around support for families, CYP and Schools</li> <li>• Establishing a link Early Help Family Support worker for Special Schools and a link for all other schools through the Early Help Hubs.</li> </ul>	<p>AD / DoC (CCG) / HEH</p>		<p>From December 2017</p>
<p>4.8 Agree with the Children and Young Peoples Partnership an approach to early identification and support.</p>	<p>AD</p>		<p>September 2017</p>

4.9 Ensure SEND is a standing item at the Transforming Care Programme Board and Learning Disability Partnership Board by senior health and social care leaders and that the outcomes of those discussions inform the SEND Partnership Board and local SEND leaders' planning.	DoC (CCG) DD - ASC		SEND Partnership Board – March 2017	
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<b>Priority 5: The increasing rates of absence and exclusion experienced by children and young people who have special educational needs and/or disabilities in mainstream schools.</b>				
<b>Actions to be taken</b>	<b>Lead</b>	<b>Resources</b>	<b>Timescale</b>	<b>Success Criteria/Measures</b>
5.1 Refresh 2015 guidance to schools on the process and pathway for a child at risk of exclusion who has SEND and ensure the Fair Access Process is working effectively for vulnerable learners with low level SEN.	ALPA / HSCA	Identify a sample of schools to check understanding	April 2017 for issue  November 2017 for reporting on impact	Detailed performance measures and targets covering exclusions and absences will be agreed by the Surrey SEND Partnership Board in March.
5.2 Undertake an analysis of the data on exclusions and absences to identify the key hotspots for targeted interventions.	AEO / HII	Identification and agreement of targeted schools  Action plans with schools agreed  Plans reviewed	Jan / Feb 17  March 2017  Summer term 2017  Nov 2017	

<p>5.3 Review the policy and redesign the pathway and referral processes for schools for children with anxiety by embedding the changes in the new delivery model for the medical access to education service that was implemented in January 2017.</p> <p>Refresh guidance to schools for managing attendance for this cohort of children and a training offer designed for SENCOs through the SENCO networks.</p>	AEO / DD - LD	<p>A2E service leads Area leads, EWS (Education Welfare Service) CAMHS leads CCG leads</p> <p>Half day workshop 2 days Educational Psychologists (EPs) and Area Leads EWS and CAMHS</p> <p>Attendance at SENCO networks in Summer term</p>	<p>April 2017 – June 2017</p> <p>June 2017</p>	
<p>5.4 Review processes for placements where exclusion has happened at alternative provision for children with social, emotional and mental health (SEMH) needs.</p> <p>Establish agreed protocols and quality assurance with the alternative providers.</p> <p>Jointly fund and appoint the secondment of an experienced SENCO, Special School leader or Alternative Provision leader to maximise alternative provision and support for behavioural issues leading to absence or exclusion.</p>	<p>HSO</p> <p>AD DoC (CCG)</p>	<p>Ongoing work</p> <p>Secondment</p>	Sept 2017	
<p>5.5 Continue to support the ELSA (Emotional Literacy Support Assistant) programme for schools and encourage the establishment of transition groups to increase resilience and reduce anxiety.</p>	ALPA	<p>Training offer</p> <p>Supervision models established</p>	Ongoing	

<p>5.6 Explore the impact of a range of local programmes aimed to address anxiety in children and young people to identify those to roll out more widely, e.g.:</p> <ul style="list-style-type: none"> <li>• Cool Kids programme</li> <li>• Mindfulness</li> </ul>	<p>ALPA</p>	<p>Impact studies completed of current offer</p> <p>Agreed roll out offer publicised</p> <p>Champions model explored re boroughs / school partnerships for supporting children with SEND on SEN support</p>	<p>July 2017</p> <p>April 2018</p>	
<p>5.7 Implement a consistent model of attendance support to NMI and special schools including exploring solutions to collect data on a daily basis, building on good practice in the virtual school.</p>	<p>ALPS</p> <p>HII</p> <p>AEO</p>	<p>Review SLA with NMIS to check fit for purpose and amend where necessary</p>	<p>July 2017</p>	

## ANNEX A

### Key for Leads from the Council, CCG and Statutory Partners

Council	CCG	Wider Partners
<p>LM: Lead Member for Children and Families Wellbeing  DCS: Director of Children’s Services  AD: Assistant Director for Schools and Learning  HSCA: Head of Schools Commissioning and Admissions  HSO: Head of SEND Operations  HASEN: Head of Additional and Special Educational Needs  AEO – Area Education Officer  ALPA: Area Lead for Psychology and Assessment  ALSTIPS: Area Lead for Specialist Teachers for Inclusive Practice  ALPS: Area Lead for Pupil Support  HII: Head of Insight and Innovation  HEH: Head of Early Help  HMS: Head of Market Strategy  HQE: Head of Quality and Experience  HCS: Head of Customer Services  DD – ASC: Deputy Director for Adult Social Care</p>	<p>DoC (CCG): Director Commissioning: Children, Young People and Maternity Services  DMO/DCO: Designated Medical Officer/Designated Clinical Officer  HoC: Head of Commissioning  DD – LD: Deputy Director, Children and Adults Learning Disabilities</p>	<p><b>Family Voice Surrey (FVS):</b> Co-Chairs – Andrea Collings and David Izatt</p> <p><b>Schools:</b>  PPCC: Primary Phase Council Chair  SPCC: Secondary Phase Council Chair  SSPCC: Special School Phase Council Chair</p> <p>Regional Schools Commissioners Office (RSC):  Deputy Regional Schools Commissioner</p>

## Annex B

### Performance Measures – DRAFT Subject to SEND Partnership Board agreement in March 2017

No	Measure
1	Statutory transfers from Statement to EHCP compliant with the Statutory Deadline
2	Number of EHCPs in excess of 5 weeks over 20 week statutory target (unless exceptional circumstances persist and case reported to AD for review).
3	New EHCPs requested are completed on time (% due in month completed within 20 wks)
4	New EHCPs requested are completed on time (% completed within 20 wks in last 12 months)
5	Advice is received on time for new EHCPs: <ol style="list-style-type: none"> <li>1. Health</li> <li>2. Care</li> <li>3. Education</li> </ol>
6	Outcomes are SMART within statutory plans.
7	Quality of assessment is improving, evaluated through moderation of assessments: <ol style="list-style-type: none"> <li>1. Health</li> <li>2. Social Care</li> <li>3. Education</li> </ol>
8	Parents and carers are participating as fully as possible in decision making, and being provided with information and support.
9	Children and young people are participating in their planning and decision making and we understand their views, wishes, feelings.
10	Health advice is regularly accessed and timely for planning and decision making:
11	Access to therapies and CAMHS is timely
12	Achievement in end of key stage assessments improves for those with a statutory plan

N o	Measure
12 b	Achievement in end of key stage assessments improves for those receiving SEN support
13	Reducing exclusions for those with SEND across Surrey
14	Reducing the percentage of overall absence across Surrey for those in receipt of : <ol style="list-style-type: none"> <li>1. SEN Support</li> <li>2. EHCP</li> <li>3. Anxiety due to Autism</li> </ol>
15	Developmental checks during early years increased
16	Higher proportion of pupils with SEND identified earlier in their life course.
17	Evidence of a graduated response

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**Nadhim Zahawi MP**

Parliamentary Under-Secretary of State for Children and Families

Sanctuary Buildings 20 Great Smith Street Westminster London SW1P 3BT  
tel: 0370 000 2288 [www.education.gov.uk/help/contactus](http://www.education.gov.uk/help/contactus)

Mary Lewis  
Cabinet Member for All-Age Learning  
Surrey County Council

Dr Sian Jones  
Clinical Chair, NHS Guildford and Waverley CCG and Surrey CCG

13<sup>th</sup> September 2018

*Dear Mary,*

**Joint local area Special Educational Needs and Disability (SEND) inspection**

Thank you for your letter of 29 June about Surrey's progress with improving SEND services following the identification of a number of significant concerns by Ofsted and CQC in your local area SEND report, published in December 2016.

I was pleased to read in your progress update that you have recently revised to 85% your December 2018 target for completing EHC plans within 20 weeks. This is a significant shift from the 28% achieved in Surrey as at January 2017 and contributes towards ensuring that children and young people with SEND and their families receive the support they need in a timely manner.

I was also pleased to hear about the progress that Surrey has reported over the past 18 months with reducing the number of fixed term and permanent exclusions for children and young people with SEND; and that you are now reporting that 0-5 year olds in Surrey are making better progress than the national average. I am sure that you will be looking to build on these encouraging signs in the year ahead.

I know that Surrey has experienced a period of interim senior leadership and that further restructuring and governance changes are now underway. It is important to maintain momentum and focus on improving SEND services and I was pleased to note that Dave Hill CBE, Surrey's new Director of Children's Services, has identified SEND as being among his top three priorities. I ask that you ensure the necessary focus and resources remain in place to bring about the sustained improvement in services and urge you to take the necessary time to work in full coproduction with Family Voice and other partners - including through early engagement on your revised SEND Strategy and action plan.

I am keen to see how Surrey moves forward and have asked my officials to keep me informed on your progress and to continue with your quarterly review meetings, including attendance by local authority officers and Family Voice. I also

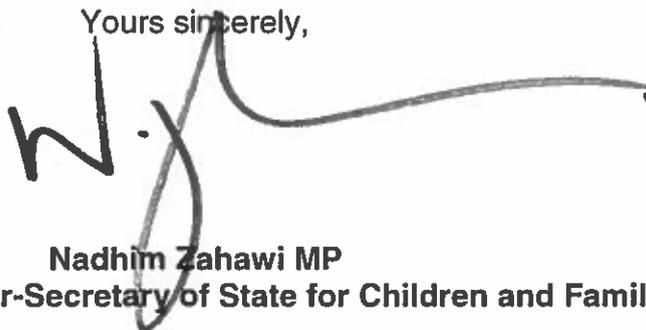
ask that you write to me again in September 2019 with a further update on progress and the impact of the actions you have taken.

Charlie Palmer and Debbie Orton, DfE SEND Advisers, will continue to be your main links to the Department on SEND. If you need any further advice or support, please contact them in the first instance. Juliet Glanfield of NHS England will remain your contact there.

I am copying this letter to Mary Burguieres; Dave Hill CBE (Director of Children's Services); Joanna Killian (Chief Executive), Liz Mills; Diane McCormack (NHS Guildford and Waverley CCG); Charlie Palmer; Debbie Orton; Juliet Glanfield; Sam Stevens; David Hodge CBE (Leader of the Council), Clare Curran (Cabinet Member for Children, Mary Lewis (Cabinet Member for Education), Trevor Doughty (DfE Commissioner of Children's Services in Surrey), Sean Harford (National Director, Education, Ofsted) and Nigel Thompson (Head of Inspections at Care Quality Commission), and also to local MPs.

I look forward to working with you further to achieve the vision of joined up services and improved outcomes for children and young people with SEN and disability.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'N. Zahawi', with a long horizontal flourish extending to the right.

**Nadhim Zahawi MP**  
**Parliamentary Under-Secretary of State for Children and Families**

**Children and Education Select  
Committee  
16 November 2018**



**Recommendation Tracker and Forward Work Programme**

1. The Board is asked to review its Recommendation Tracker and provide comment as necessary.
2. The Forward Work Plan is attached for the Board's reference.

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**Report contact:**

Richard Plummer, Democratic Services Officer

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**Annexes**

- Annex A – Recommendations Tracker
- Annex B – Forward Work Programme

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# Children and Education Select Committee Forward Work Programme 2018/2019

## Children and Education Select Committee (Chairman: Kay Hammond, Vice-Chairman: Chris Botten)

Date of Meeting	Scrutiny Topic	Description	Outcome	Method	Officer(s) responsible
16 November 2018	Alternative Education Provision	To assess the current Surrey County Council offer of Alternative Education provision, including the provision for Pupil Referral Units, the reasons for and range of children that utilise them, and the educational attainment and outcomes for children that utilise them.	To outline the current Surrey Alternative Learning Provision (SALP) offer and how it is utilised by Surrey County Council and partners, with a particular focus on our work in reducing exclusions, to provide context of this vulnerable group and the range of services offered, including coverage of provision, length of time children utilise them for and whether the provision is being used to best improve children's outcomes.	Formal report	Vulnerable Learners Strategic Lead
16 November 2018	Children's Improvement Plan	To review the Children's Improvement Plan designed by the Children, Families and Learning Directorate and determine its effectiveness of resolving the	To have assessed the capability of the Improvement Plan to resolve the issues in Children's Services, within the context of the Ofsted report (2018) and report of the appointed Children's Commissioner, and have made suggestions as required.	Formal report	Head of Quality Assurance, Director of Change, Safeguarding & Family Resilience

		issues highlighted in the Ofsted report (2018).			
Early 2019	Educational Attainment of Children with Multiple Disadvantages	To explain the causes for current lower educational attainment for disadvantaged children and impacts that this can have on wider wellbeing.	To have assessed the educational attainment for disadvantaged children as a means of identifying potential underlying issues for disadvantaged children and suggest methods to alleviate these.	Formal report	Vulnerable Learners Strategic Lead
TBC	Early Help/Family Resilience Transformation	To identify key areas of improvement needed in the current early help offer, and whether the proposed transformed offer will alleviate these areas.	To have assessed the transformation of EH and determine whether the redesigned offer will be able to effectively target children before they enter statutory services and provide effective support and to alleviate key areas of improvement identified in the Ofsted inspection of Children's Services (2018).	Formal report	Head of Early Help & Family Services
<b>Task Groups</b>					
<b>Projected finish date</b>	<b>Topic</b>	<b>Description</b>	<b>Outcome</b>	<b>Membership</b>	
	Out of County Placements Task and Finish Group	To identify the prevalence of out of county placements, whether there are "in house" options and the potential to increase the numbers of placements that are kept within Surrey.	That the Committee understands current levels of provision available for Children's placements, why they are currently provided as they are, and to suggest options for how to deliver these differently in future.	Chris Botten Chris Townsend Victoria Young Lesley Steeds	
	Learning Disabilities and Transition Task and Finish Group	To scrutinise how the council plans care and support for young people with complex needs as they transition into adulthood, and how future demand will be met.	The review will seek to make recommendations in respect to improving the experience of young people and their families/carers, and to optimise public value for the benefit of the council and Surrey residents.	TBC	
<b>In Development</b>					
	Impact of the change to Schools Led System	In Development	To have monitored the progression towards a schools led arrangement and assess current and future impacts on schools and the service, while taking into account the views of the service and schools.	Witness sessions with schools and service.	

6 March 2019	SEND Transformation	To assess the plans for transformation in Surrey's Special Educational Needs and Disabilities services and to look at the improvement of SEND services based on the points raised in the response to the Written Statement of Action	To have assured itself that the transformation of SEND services addresses the key points of concern raised, assured itself that the transformation can deliver required services in the face of increasing demand and it has worked to achieve the best outcomes possible for children and young people with SEND.	Formal report	
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**CHILDREN AND EDUCATION SELECT COMMITTEE  
ACTIONS AND RECOMMENDATIONS TRACKER – UPDATED SEPTEMBER 2018**

The recommendations tracker allows Board Members to monitor responses, actions and outcomes against their recommendations or requests for further actions. The tracker is updated following each Board. Once an action has been completed, it will be shaded out to indicate that it will be removed from the tracker at the next meeting. The next progress check will highlight to members where actions have not been dealt with.

<b>KEY</b>			
	No Progress Reported	Action In Progress	Action Completed

Date of meeting	Item	Recommendations/ Actions	To	Response	Progress Check On
7 September 2018	Questions & Petitions	That an item of Educational Psychologists (EP) and the issues facing the service regarding recruitment and utilisation of these be brought to the Committee in early 2019.	Democratic Services Officer	This suggested item is currently in scoping	Early 2019
7 September 2018	Response Of Children's Services To Ofsted (2018)	That the Cabinet Member ensures that the service provides a suite of performance indicators as of the current date (7 September 2018), to inform future scrutiny of service performance, which is to be presented on a regular basis to the committee as of its next meeting in November 2018.	Head of Quality Assurance (CFL)	This has been included as part of Item 6 Children's Improvement Plan, in this Agenda	November 2018
7 September 2018	Response Of Children's Services To Ofsted (2018)	That officers provide an updated draft improvement plan which is Red-Amber-Green rated, includes date of delivery and highlights leads responsible as soon as feasible.		This has been included as part of Item 6 Children's Improvement Plan, in this Agenda	November 2018

<p>7 September 2018</p>	<p>Surrey Children's Services Academy</p>	<p>That the Cabinet Member ensures that the service works with the Chairman and Vice-Chairman of the Children and Education Select Committee to embed into the development of the business case for the Children's Academy measureable success criteria, including:</p> <ul style="list-style-type: none"> <li>a. Incremental improvement upon the rates of retention of social care staff;</li> <li>b. Improvement and maintenance of professional standards in Children's Services;</li> </ul> <p>Which can be used as key performance indicators for the Academy upon start of its operation in early 2019.</p>	<p>Cabinet Member for Children/ Consultant on the Surrey Children's Services Academy Design</p>	<p>An update will be provided in 2019</p>	<p>Early 2019</p>
<p>7 September 2018</p>	<p>Children's Services Academy</p>	<p>That the proposed model for the Children's Service Academy be circulated to the Committee before its start of operation in January 2019.</p>	<p>Cabinet Member for Children/ Consultant on the Surrey Children's Services Academy Design</p>	<p>This information has been requested for December 2019 and will be shared with the Committee.</p>	<p>December 2019</p>