

## MANAGEMENT ACTION PLAN

<b>Directorate:</b>	Children, Schools and Families (CSF) and Environment and Infrastructure (E&I)
<b>Audit report:</b>	A04050/2012/13 – Review of Transport for Education
<b>Dated:</b>	25 February 2013

**PRIORITY RATINGS**

**Priority High (H)** - major control weakness requiring immediate implementation of recommendation

**Priority Medium (M)** - existing procedures have a negative impact on internal control or the efficient use of resources

**Priority Low (L)** - recommendation represents good practice but its implementation is not fundamental to internal control

I agree to the actions below and accept overall accountability for their timely completion. I will inform Internal Audit if timescales are likely to be missed.

The auditor agrees that the actions set out below are satisfactory.

Lead Responsible Officer (HOS): Peter J Wilkinson (5 March 2013) and  
Iain Reeve (25 February 2013)

Auditor: Siva Sanmugarajah

Date: As above

Date: 5 March 2013

Para Ref	Recommendation	Priority Rating	Management Action Proposed	Timescale for Action	Officer Responsible	Audit Agree?
5.11	SEN staff should be given clear written procedure notes to allow consistency.	High	Agreed. Current written procedures to be reviewed and updated to ensure they facilitate consistency.	September 2013	AEOs	√
5.12	Each request should be completed in full on an e-suite form or other forms with mandatory fields to complete and the facility to upload the information to the Transport system. This should remove the need to use requests via e mail and	High	<ul style="list-style-type: none"> <li>• SEN and A&amp;T teams to consider how they record transport entitlement in their local systems and review the data that TCC need in order to provide transport.</li> <li>• Liaise with TCC after implementation of new</li> </ul>	<ul style="list-style-type: none"> <li>• December 2013</li> <li>• December 2013</li> </ul>	SEN – AEOs: Paula Evans – SW Kerry Randle - NE Sue Roch – SE Mark Scarborough - NE  A&T – Claire Potier  TCC – Tracey Coventry	√

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	telephone.		software to consider how data might be exchanged more effectively and to explore data compatibility issues for automatic file transfers.			
5.13	Senior Management in S&L and ETP services should ensure that accurate management information including costs per child is produced and reviewed when the new system is implemented to manage the service effectively.	High	<ul style="list-style-type: none"> <li>• Tendering process to include the cost per child.</li> <li>• Finance and TCC to review data that is required by service managers.</li> <li>• TCC with Finance to ensure that accurate management information is produced on a regular basis after the implementation of the new software.</li> <li>• Managers in SEN and A&amp;T to ensure that management information is reviewed regularly.</li> </ul>	<ul style="list-style-type: none"> <li>• March 2013</li> <li>• July 2013</li> <li>• December 2013</li> <li>• December 2013</li> </ul>	Finance – Catherine Allen  TCC – Tracey Coventry  SEN – AEOs: Paula Evans – SW Kerry Randle - NE Sue Roch – SE Mark Scarborough - NE  A&T – Claire Potier	√
5.19	A service level agreement should be drawn up to reflect the required arrangements that should be in place so that the roles and responsibilities of staff	Medium	Work on the production of a SLA started in 2012, led by the TCC and involving consultation with relevant officers in CSF. A final draft is due to go to Directors for	Directors' sign-off in February 2013	Tracey Coventry, TCC Manager	√

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	are clear to everyone.		signing imminently.			
5.20	Management in both services should incorporate the duties in the proposed new system to enable the production of necessary management information. Regular communication is essential to ensure that the service user is in receipt of the correct service with transparency of costs to enable them to manage expenditure against their budgets.	High	<ul style="list-style-type: none"> <li>Management information provided to teams on a regular basis.</li> <li>Finance to improve links between Trapeze and SAP in terms of forecasting costs.</li> <li>A&amp;T and SEN Managers to ensure that there is a monthly review of management information.</li> <li>Ongoing need for budget and operational meetings between TCC, A&amp;T, SEN and Finance on a half-termly basis.</li> </ul>	<ul style="list-style-type: none"> <li>December 2013</li> <li>December 2013</li> <li>December 2013</li> <li>December 2013</li> </ul>	Finance – Catherine Allen  TCC – Tracey Coventry  SEN – AEOs: Paula Evans – SW Kerry Randle - NE Sue Roch – SE Mark Scarborough - NE  A&T – Claire Potier	√
5.26	The SEN Team Managers or the officers delegated by them should be present at the reviews and the written reviews sent by schools should be reviewed by Case Officers or their managers to indicate their satisfaction with the reviews and with the cost implications clearly understood.	High	Not agreed - there is not the staff capacity currently within the SEN Service to allow individual Case Officers to attend reviews for this purpose. However, the service will explore alternative ways to ensure that the issue of transport is properly considered at reviews and the need for any ongoing	September 2013	AEOs	√

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5.35	The budgets need to be reviewed and set from a zero base which takes account of planned pupil numbers/requirements. In addition, managers should be provided with the information necessary for them to monitor these budgets effectively.	High	<p>provision fully evidenced.</p> <p>Budgets will be set in accordance with corporate finance directives and forecast planned activity levels. Work is continuing to collect activity data and to present this with budget monitoring data by budget holder.</p>	<ul style="list-style-type: none"> <li>December 2013</li> </ul>	<p>Finance – Catherine Allen</p> <p>TCC – Tania Rocks</p>	√
5.41	Up to date risk registers should acknowledge all of the risks and senior management should review them regularly to take mitigating actions.	Medium	<ul style="list-style-type: none"> <li>Managers in A&amp;T, SEN and TCC ensure transport costs are acknowledged as a risk in risk registers</li> <li>Risk management should be discussed at operational and budget meetings.</li> </ul>	<ul style="list-style-type: none"> <li>December 2013</li> <li>December 2013</li> </ul>	<p>Finance – Catherine Allen</p> <p>TCC – Tracey Coventry</p> <p>SEN – AEOs: Paula Evans – SW Kerry Randle - NE Sue Roch – SE Mark Scarborough - NE</p> <p>A&amp;T – Claire Potier</p>	√