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**DYDD MAWRTH, 13 MAWRTH 2018**

# PWYLLGOR AR Y CYD ERW
# Y LLWYFAN, COLLEGE ROAD, CARMARTHEN AM 10.30 AM, AR DYDD MERCHER, 21AIN MAWRTH, 2018

# AGENDA

| | | |
|---|---|---|
| 1. | **YMDDIHEURIADAU AM ABSENOLDEB** | |
| 2. | **DATGAN BUDDIANNAU PERSONAL.** | |
| 3. | **LOFNODI FEL COFNOD CYWIR COFNODION CYFARFOD Y PWYLLGOR AR Y CYD A GYNHALWYD AR Y 1AF RHAGFYR 2017.** | 3 - 6 |
| 4. | **ADRODDIAD MONITRO'R GYLLIDEB AR GYFER CH3 2017-18, GYDAG ATODIAD.** | 7 - 24 |
| 5. | **ADRODDIAD CYLLIDEB 2018-19.** | 25 - 32 |
| 6. | **CATEGOREIDDIO.** | 33 - 46 |
| 7. | **COFRESTR RISGIAU.** | 47 - 64 |
| 8. | **CYNLLUN BUSNES.** | 65 - 100 |
| 9. | **Y RHAGLEN ADOLYGU A DIWYGIO.** | |
| 10. | **UNRHYW FATER ARALL Y GALL Y CADEIRYDD OHERWYDD AMGYLCHIADAU ARBENNIG, BENDERFYNU EI YSTYRIED YN FATER BRYS YN UNOL AG ADRAN 100B(4)(B) DEDDF LLYWODRAETH LEOL 1972** | |

Cyngor Sir Gâr Carmarthenshire County Council

Cyngor Sir CEREDIGION County Council

Neath Port Talbot County Borough
Bwrdeistref Sirol Castell-nedd Port Talbot

Powys

City and County of Swansea
Dinas a Sir Abertawe

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**Cyd-bwyllgor ERW**
**Dydd Gwener, 1 Rhagfyr 2017**
**Y Llwyfan, Heol y Coleg, Caerfyrddin**
**2.00 pm-3.15 pm**

**YN BRESENNOL:**

Y Cynghorydd Ellen ap Gwynn [Cadeirydd] Cyngor Sir Ceredigion

| | |
|---|---|
| Y Cynghorydd Glynog Davies | Cyngor Sir Caerfyrddin |
| Y Cynghorydd Rosemarie Harris | Cyngor Sir Powys |
| Y Cynghorydd David Lloyd | Cyngor Sir Penfro |
| Y Cynghorydd Jennifer Raynor | Dinas a Sir Abertawe |
| Mr Mark James | Prif Weithredwr Arweiniol ERW |
| Mr Eifion Evans | Cyngor Sir Ceredigion |
| Mr Ian Westley | Cyngor Sir Penfro |
| Mr Aled Evans | Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot |
| Ms Betsan O'Connor | Rheolwr Gyfarwyddwr ERW |
| Mr Ian Eynon | Cyngor Sir Penfro<br>(Dirprwy Swyddog A151 ERW) |
| Ms Jo Hendy | Cyngor Sir Penfro<br>(Pennaeth Archwilio Mewnol ERW) |
| Mr Chris Llewellyn | Cymdeithas Llywodraeth Leol Cymru |
| Ms Ruth Conway | Llywodraeth Cymru |
| Ms Chris Sivers | Dinas a Sir Abertawe |
| Mr Martin S. Davies | Cyngor Sir Caerfyrddin<br>(Gwasanaethau Democrataidd) |

## 1. YMDDIHEURIADAU AM ABSENOLDEB

Cafwyd ymddiheuriadau am absenoldeb gan y Cynghorydd Emlyn Dole (Cyngor Sir Caerfyrddin), y Cynghorydd Rob Jones (Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot), y Cynghorydd David Simpson (Cyngor Sir Penfro), y Cynghorydd Rob Stewart (Dinas a Sir Abertawe), Mr David Powell (Cyngor Sir Powys), Mr Phil Roberts (Dinas a Sir Abertawe), Mr Jonathan Haswell (Cyngor Sir Penfro) a Ms Elin Prysor (Cyngor Sir Ceredigion).

## 2. DATGANIADAU O FUDDIANNAU PERSONOL

Ni chafwyd yr un datganiad o fuddiant personol.

### 3. COFNODION – 21 MEDI 2017

**CYTUNWYD i lofnodi'n gywir gofnodion y cyfarfod a gynhaliwyd ar 21 Medi 2017, yn amodol ar y diwygiad canlynol i benderfyniad 7.1:**

- **“creu cynlluniau clir i sicrhau a chynnal dulliau cyfathrebu effeithiol â~~'r~~ ~~chwe~~ Chyfarwyddwyr ~~Addysg~~ a Phenaethiaid trwy gydol y broses, ynghyd â sicrhau bod y Cynllun Busnes yn cael ei roi ar waith mewn modd cyson.**
- **~~dwyn ynghyd y gwaith o ddatblygu'r rhanbarth gyda'r holl grantiau erbyn mis Ebrill 2018, yn ogystal ag adnoddau eraill, gan gynnwys staff o fis Medi 2018 ymlaen~~;**

Mewn perthynas â chofnod 8 – CANLYNIADAU TGAU, gofynnodd y Cadeirydd am gael cynnwys eitem ar agenda'r cyfarfod nesaf i roi diweddariad ar y mater.

### 4. COFRESTR RISGIAU

Rhoddwyd copi o'r Gofrestr Risgiau i'r Cyd-bwyllgor, a dynnai sylw at y prif risgiau yn y meysydd Corfforaethol, Ariannol a Gwella Ysgolion, gan alluogi ERW i leihau'r potensial o risgiau lle bynnag y bo hynny'n bosibl. Nodwyd y byddai'r Gofrestr Risgiau yn cael ei hailfformatio i'w gwneud yn eglurach ar gyfer cyfarfodydd yn y dyfodol.

Dywedodd Rheolwr Gyfarwyddwr ERW na fu unrhyw newidiadau arwyddocaol ers adroddiad blaenorol y Gofrestr Risgiau. Fodd bynnag, roedd Estyn wedi cyhoeddi ei adroddiad ar ERW, a byddai'r argymhellion, yn enwedig y rheiny'n ymwneud â phryderon o ran cynnydd, yn cael eu bwydo i adroddiad nesaf y Gofrestr Risgiau.

**CYTUNWYD i dderbyn a chymeradwyo'r Gofrestr Risgiau.**

### 5. LLYTHYR GAN Y PWYLLGOR CRAFFU

Hysbyswyd y Cyd-bwyllgor fod Cadeiryddion ac Is-gadeiryddion y chwe Awdurdod Lleol wedi cynnal eu cyfarfod Grŵp Cynghorwyr Craffu chwe-misol yn Aberhonddu, ar 29 Medi 2017, a chlywyd eu casgliadau a'u hargymhellion a godai o'r pynciau a drafodwyd, gan gynnwys Cwota'r Ymgynghorwyr Her, Cynllun Busnes 2017-2020, Rheoli Perfformiad, yr ymgyrch i recriwtio athrawon, Estyn ac Addysg Effeithiol yn y Cartref. Cydnabuwyd bod rhai o'r meysydd hyn yn mynd y tu hwnt i gwmpas gwaith ERW; fodd bynnag, roedd yn fuddiol i'r Grŵp weithio ar y cyd wrth rannu profiadau ac arfer da ledled y rhanbarth.

Croesawodd y Cynghorydd Ellen ap Gwynn y pryderon a'r materion a godwyd yn y llythyr ac a rannwyd â'r Cyd-bwyllgor, ac yr eid i'r afael â nhw cyn belled â'u bod yn rhan o'u cylch gwaith. Dywedodd Rheolwr Gyfarwyddwr ERW fod y rhan fwyaf o aelodaeth y Grŵp Cynghorwyr Craffu wedi newid yn dilyn yr etholiadau diweddar, ac felly bu'r cyfarfod ar 29 Medi 2017 yn gyfle i roi gwybod i aelodau newydd am rôl ERW.

**CYTUNWYD bod y llythyr yn cael ei dderbyn a'r materion yn cael eu nodi.**

### 6. DIWEDDARIAD ARIANNOL ERW – CHWARTER 2, 2017-18

Roedd Diweddariad Ariannol Chwarter 2, 2017-18 wedi cael ei ddosbarthu i'r Cyd-bwyllgor, ac fe'i cyflwynwyd gan Ddirprwy Swyddog S151 ERW. Yn benodol, amlygwyd y risgiau i ERW, yn enwedig y rheiny a ddeilliai o gostau uchel secondiadau a'r disgwyliadau cynyddol ar ERW.

Mewn ymateb i sylw yn ymwneud â chyllid gan y Rhwydwaith Cenedlaethol er Rhagoriaeth mewn Gwyddoniaeth a Thechnoleg [NNEST], dywedodd Rheolwr Gyfarwyddwr ERW ei bod wedi ysgrifennu at bob un o'r chwe Chyfarwyddwr i roi gwybod iddynt am y gwaith a gâi ei gynnal gyda'r grant hwn, a chytunodd i ddosbarthu'r llythyr ymysg y Cyd-bwyllgor. Ychwanegodd fod gan lwyth gwaith cynyddol ERW oblygiadau ar gyfer galluoedd y tîm canolog.

Dywedodd y Cadeirydd nad oedd yr Awdurdodau Lleol mewn sefyllfa i gynyddu'r gyllideb, er bod cronfeydd wrth gefn ERW yn ymddangos yn iach, ac y dylid ystyried strwythur staffio'r staff ar secondiad yn rhan o adroddiad arfaethedig ERW. Mynegwyd pryder hefyd am yr oediadau sylweddol gan Lywodraeth Cymru wrth dalu grantiau, a oedd yn arwain at bwysau ariannol ychwanegol ar ERW mewn cyfnod pan oedd yr awdurdodau lleol eisoes yn profi anawsterau ariannol. Awgrymodd y Cadeirydd y dylid anfon llythyr at Mark Drakeford AC, Ysgrifennydd y Cabinet dros Gyllid a Llywodraeth Leol, yn gofyn iddo ystyried o ddifrif gwneud taliadau chwarterol i ERW, er mwyn lleddfu'r pwysau ariannol. Ystyriwyd hefyd y dylid anfon llythyr at Kirsty Williams AC, Ysgrifennydd y Cabinet dros Addysg, yn amlygu'r effaith ar waith ERW o ganlyniad i oedi'r taliadau.

**CYTUNWYD**

**6.1 bod Diweddariad Ariannol ERW Chwarter 2, 2017-18 yn cael ei nodi;**

**6.2 bod y newidiadau i Gyllideb Refeniw Tîm Canolog ERW, Dyraniadau Grant a Chronfeydd Wrth Gefn ERW ar gyfer 2017-18 yn cael eu cymeradwyo;**

**6.3 bod y risg sylweddol i'r rhanbarth, yn wyneb swm y cyllid craidd y mae'n ei gael, ynghyd â'r effaith ar gronfeydd wrth gefn y rhanbarth yn y tymor canolig, yn cael eu nodi;**

**6.4 bod llythyrau yn cael eu hanfon at Mark Drakeford AC a Kirsty Williams AC, yn unol â'r hyn a nodwyd uchod.**

## 7. BRIFF ESTYN

Roedd adroddiad wedi cael ei ddosbarthu i'r Cyd-bwyllgor yn cynnwys manylion am ddyfarniadau drafft Estyn ar gynnydd ERW wrth fynd i'r afael â'r pedwar argymhelliad a godai o'r arolygiad ym mis Mehefin 2016.

Yn gyffredinol, mynegodd yr aelodau fod y dyfarniadau cychwynnol yn siomedig, ond cytunwyd y dylid aros am adroddiad llawn Estyn cyn cynnig sylwadau pellach. Dywedodd y Cadeirydd y dylai'r Cyd-bwyllgor, yn benodol, gael diweddariadau cyson am yr ysgolion sy'n peri pryder (SCC), mater lle'r oedd Estyn wedi barnu mai cynnydd cyfyngedig a wnaed.

**CYTUNWYD i gael a derbyn yr adroddiad dros dro, yn amodol ar ystyried adroddiad manylach yn y cyfarfod nesaf.**

## 8. COD LLYWODRAETHU CORFFORAETHOL ERW

Mewn perthynas â chofnod 6 yn y cyfarfod diwethaf, dosbarthwyd Cod Llywodraethu Corfforaethol ERW wedi'i ailddrafftio i'r Cyd-bwyllgor, a fyddai'n galluogi'r tîm canolog i ddylanwadu ar waith rheoli perfformiad y staff Gwella Ysgolion yn y chwe awdurdod lleol. Roedd y Cod Llywodraethu Corfforaethol ar gyfer pedwar o'r chwe awdurdod lleol hefyd wedi cael ei ddosbarthu, cod a fyddai'n ymdrin â gwaith a rheoli perfformiad yr holl staff Gwella Ysgolion.

Nodwyd y gallai fod yn rhy gynnar i ystyried y Cod a ailddrafftiwyd tan y byddai'r adolygiad arfaethedig ar ERW wedi'i gwblhau [gweler cofnod 9], a thra bo dau awdurdod lleol eto i gyflwyno eu Cod Llywodraethu Corfforaethol.

**CYTUNWYD i ohirio'r ystyriaeth ar gyfer Cod Llywodraethu Corfforaethol ERW sydd wedi cael ei ailddrafftio.**

## 9. ADOLYGIAD ERW

Mewn perthynas â chofnod 7 o'r cyfarfod diwethaf, nododd Rheolwr Gyfarwyddwr ERW fod hwylusydd wedi'i benodi i weithio gyda Thîm y Rhaglen ar yr adroddiad. Dywedodd Mark James fod cyfarfod cynhyrchiol wedi cael ei gynnal yn gynharach y diwrnod hwnnw, ac y byddai adroddiad yn manylu ar gynigion penodol yn cael ei gyflwyno gerbron y Cyd-bwyllgor yn y flwyddyn newydd. Atgoffodd yr aelodau fod gan Lywodraeth Cymru ddiddordeb yn yr adroddiad fel rhan o'i hadolygiad ei hun o'r model cenedlaethol. Ychwanegodd fod y rhanbarth yn parhau i berfformio'n well na rhannau eraill o Gymru, er bod ERW yn llwyr ymwybodol o'r materion a godwyd gan Estyn.

Soniodd y Cynghorydd Jen Raynor am bwysigrwydd cynnal deialog ag ysgolion, esbonio pam fod yr adolygiad yn cael ei gynnal a nodi cymaint y cafodd eu cyfraniadau eu gwerthfawrogi.

**CYTUNWYD i nodi'r cynnydd.**

## 10. RHAGLEN WAITH ARCHWILIO MEWNOL CONSORTIWM ERW 2017-18

Roedd Rhaglen Waith Archwilio Mewnol 2017-18, a baratowyd yn unol â gofynion Safonau Archwilio Mewnol y Sector Cyhoeddus, wedi cael ei ddosbarthu i'r Cyd-bwyllgor.

**CYTUNWYD bod Rhaglen Waith Archwilio Mewnol 2017-18 yn cael ei chymeradwyo.**

## 11. GOFOD SWYDDFA

**CYTUNWYD i ohirio'r gwaith o ystyried yr adroddiad am ofod swyddfa tan y deuai canlyniad adolygiad ERW i law.**

## 12. PRIF WEITHREDWR ARWEINIOL ERW A CHYFARWYDDWR ARWEINIOL ERW

Yn dilyn ymddiswyddiad y Cyfarwyddwr Addysg Arweiniol a'r Prif Weithredwr Arweiniol ers y cyfarfod diwethaf, ystyriodd y Cyd-bwyllgor yr enwebiadau a ddaeth i law ar gyfer y swyddi hyn.

**CYTUNWYD ar y canlynol:**

**12.1 Penodi Mr Phil Roberts, Dinas a Sir Abertawe, yn Brif Weithredwr Arweiniol ERW;**

**12.2 Penodi Mr Ian Budd, Cyngor Sir Powys, yn Gyfarwyddwr Addysg Arweiniol ERW.**

________________________ __________________

**CADEIRYDD** **DYDDIAD**

Eitem Rhif 4

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## CYD-BWYLLGOR ERW
## 21 MAWRTH 2018

# Adroddiad monitro'r gyllideb ar gyfer Ch3 2017-18, gydag atodiad

## ADRODDIAD SWYDDOG ADRAN 151 ERW

**Y Pwrpas:** **Rhoi'r wybodaeth ddiweddaraf i'r Cyd-bwyllgor am sefyllfa ariannol ERW ar gyfer 2017-18.**

## YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

**Bod y Cyd-bwyllgor yn nodi Diweddariad Ariannol ERW ar gyfer Chwarter 3 2017-18.**

- **Bod y Cyd-bwyllgor yn cymeradwyo'r newidiadau i Gyllideb Refeniw Tîm Canolog ERW, y Dyraniad Grant a chronfeydd wrth gefn ERW ar gyfer 2017-18.**

- **Bod y Cyd-bwyllgor yn nodi'r risgiau i'r rhanbarth o wybod beth yw swm y cyllid craidd y mae'n ei gael ac effaith hyn ar gronfeydd wrth gefn y rhanbarth yn y tymor canolig, a hynny yn sgil y newidiadau arfaethedig i strwythur a gweithrediad ERW.**

- **Bod y Cyd-bwyllgor yn cytuno i ERW fynd ar drywydd ei yswiriant ei hun ar gyfer y dyfodol.**

- **Bod y Cyd-bwyllgor yn cytuno i recriwtio Rheolwr Ariannol, ar gontract tymor penodol, i'w ariannu o gyllid Adolygu a Diwygio Llywodraeth Cymru.**

## Y RHESYMAU: Mae angen cymeradwyaeth y Cyd-bwyllgor

| | | |
|---|---|---|
| **Awdur yr Adroddiad:**<br>**Jon Haswell** | **Swydd:**<br>**Swyddog Adran 151 ERW** | **Rhif Ffon: 01437 775839**<br>**E: bost:** **Jonathan.haswell@pembrokeshire.gov.uk** |

# EXECUTIVE SUMMARY
# ERW JOINT COMMITTEE
# 21 MARCH 2018

## ERW SECTION 151 OFFICER BUDGET MONITORING REPORT FOR 2017-18 AS AT Q3

**BRIEF SUMMARY OF PURPOSE OF REPORT**

To provide the Joint Committee with an update on the financial position of ERW:

☐ **Central Team Revenue Budget**

☐ **Contributions from Local Authorities**

☐ **Reserves**

☐ **Grants**

| | |
|---|---|
| **DETAILED REPORT ATTACHED?** | **YES** |

## IMPLICATIONS

| Policy, Crime & Disorder and Equalities | Legal | Finance | Risk Management Issues | Staffing Implications |
|---|---|---|---|---|
| **NONE** | **NONE** | **YES** | **YES** | **YES** |

1. **Finance**
   **Financial implications outlined in the detailed report.**

2. **Risk Management**
   **Risk Management to be reviewed as part of the Internal Audit, where applicable.**

3. **Staffing Implications**
   **Staffing implications outlined in the detailed report.**

## CONSULTATIONS

N/A

**Section 100D Local Government Act, 1972 – Access to Information**
**List of Background Papers used in the preparation of this report:**
**THERE ARE NONE**

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# ERW Financial Update
# Quarter 3 - 2017-18

2 March 2018

## ERW S151 Officer

**Cynghrair o 6 awdurdod lleol yw ERW a reolir gan gyd-bwyllgor cyfansoddiadol cyfreithiol.**
**Y nod yw gweithredu strategaeth a chynllun busnes rhanbarthol cytunedig a chefnogi gwelliant ysgolion.**

ERW is an alliance of 6 local authorities governed by a legally constituted joint committee.
Its aim is to implement the agreed regional strategy and business plan to support school improvement.

## 1. Introduction

This report presents the Joint Committee with a financial update as at Quarter 3 - 2017-18.

## 2. 2017-18 Central Team Revenue Budget

The 2017-18 Central Team revenue budget was approved by the Joint Committee at its meeting on 20 February 2017 with a Quarter 1 update provided on 17 July 2017 and a Quarter 2 update provided on 1 December 2017. Whilst we need to limit the number of budget amendments during the year, reality and changing circumstances will inevitably mean that revisions will be needed as we respond to changes in funding from Welsh Government.

The current position as at Quarter 3 is shown in the table on page 3 and is effectively an updated projected Outturn position for 2017-18 based on current information and projections. It is reported to the Joint Committee for approval.

- The report in December 2017 provided more detail in terms of the budgets and actual expenditure of the grants we receive following a recommendation from the Wales Audit Office ISA 260 for 2016-17. This will now continue as custom and practice.

- Following a recommendation in the last Joint Committee meeting, the centrally funded employees are shown separately under each priority on pages 8-12 to make it clearer where they are being funded from.

- An additional £1,000 has been added to the SLA for procurement from Pembrokeshire County Council.

- The actual costs for Equipment / IT / Stationery etc. exceed the budget of £10k. All office costs primarily get costed to the Core Central Team and then when appropriate (such as the end of a project), the costs are distributed amongst the grants as appropriate. It is therefore expected that by the end of the financial year, and once the reapportionments have taken place, this will be within budget.

- It is anticipated that £365k of Core Central Team costs will be recoverable from various grant funding sources in 2017-18, as in previous years.

- Between 31 December 2017 and the time of writing this report, significant committed resources have now been spent. The more significant items are noted as footnotes throughout the report.

- Central Team salary costs have reduced by £8k due to unfilled positions for part of the year (Office Co-ordinator Officer).

- The planned use of reserves for 2017-18 has been reduced from £82k to £74k. Current reserves are shown at Section 7.

| ANNUAL EXPENDITURE CORE CENTRAL TEAM BUDGET | 2017-18 Projected Outturn at September 2017 £000's | 2017-18 Projected Outturn at December 2017 £000's | Actual Income / Expenditure at 31.12.2017 £000's | Committed £000's |
|---|---|---|---|---|
| **1. STAFFING COSTS** | | | | |
| Salaries Core Funded [1] | 447 | 439 | 332 | 107 |
| Travel, Subsistence, Training & Development | 4 | 4 | 2 | 2 |
| | **451** | **443** | **334** | **109** |
| **2. RUNNING COSTS** | | | | |
| Accommodation | 42 | 42 | 31 | 11 |
| Stationery/Telephone/Printing/Copying/ Equipment/IT | 10 | 10 | 15 | -5 |
| Translation | 20 | 20 | 16 | 4 |
| Conference Support/Programme Costs | 0 | 0 | 0 | 0 |
| Systems Developments | 49 | 49 | 49 | 0 |
| | **121** | **121** | **111** | **10** |
| **3. FACILITATION** | | | | |
| Service Level Agreements[2] | 128 | 129 | 48 | 81 |
| | **128** | **129** | **48** | **81** |
| **TOTAL ESTIMATED EXPENDITURE** | **700** | **693** | **493** | **200** |
| | | | | |
| **ANNUAL INCOME** | | | | |
| Local Authority Contributions [3] | 250 | 250 | 210 | 40 |
| Other Income/Grants | 4 | 4 | 0 | 4 |
| Grant Funding Administration | 364 | 365 | 269 | 96 |
| **TOTAL ESTIMATED INCOME** | **618** | **619** | **479** | **140** |
| | | | | |
| **NET EXPENDITURE** | **82** | **74** | **14** | **60** |
| Appropriation from Reserve | **(82)** | **(74)** | **(14)** | **(60)** |

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[1] £365,000 of salaries within this figure are also presented under the appropriate priority I.E. Teaching and Learning. Whilst they are Core Central Team staff, they are covered by grant funding as shown under Grant Funding Administration £365,000

[2] SLA's have now been paid.

[3] Neath Port Talbot are yet to pay their contribution.

## 3. 2017-18 Grant Allocations

(a) The Joint Committee was advised at its meeting on 2 December 2017 of grant allocations for 2017-18 totalling £70.368m. The grant allocations have now increased to £71.189m as shown in the table below. One other grant has been bid for and is also shown in the table below, although no formal paperwork has been received.

(b) Some grants presented in the last report have not materialised.

(c) At the time of writing £335k of grants still had grant offer letters outstanding.

(d) Following the decision of the Joint Committee on 21 September 2017 to create a Review and Reform Programme Team under the leadership of the Lead Chief Executive, Welsh Government have agreed to support the work financially (see table below - Review and Reform).

(e) **Seconded Staff**
Appendix A lists the current seconded staff ERW is committed to paying for, totalling £1.157m, which are to be funded from the grants listed below. The number of seconded staff is expected to increase this year as the cluster leaders of learning model is rolled out.

(f) **Cluster Leaders of Learning**
Estimated costs for this year are £702k with a further commitment to fund £2.035m next year. The full academic year cost of providing 46 clusters of learning is £2.035m. The project commenced in September 2017 with 15 secondments, with a further 21 secondments started in January 2018 and the final 10 started at the end of February 2018.

We are in the process of undertaking a full review of the cluster project and it would be useful to present a report to Joint Committee at a later date.

## Grants Allocations for 2017-18

| Grant Name | 2017-18 Allocation September 2017 £000 | 2017-18 Revised Allocation December 2017 £000 | Commentary<br>A= Academic Year |
|---|---|---|---|
| **School Improvement Business Plan Priority** | | | |
| Schools Challenge Cymru – Tranche 3 | 21 | 21 | Offer received 11.08.17 |
| Education Improvement Grant (EIG) | 37,752 | 38,318 | Offer received 28.04.17<br>Variation received |
| **Leading Learning Business Plan Priority** | | | |
| Schools Causing Concern | 313 | 313 | Offer received 11.07.17 |
| National Professional Qualification for Headteachers Assessment<br>16-17 Carry Over<br>17-18 Allocation | <br>100<br>200 | <br>107<br>150 | Amount dependant on new Head Teacher appointments – received (A) |
| Mentoring and Networking Support for Newly Appointed Head Teachers | 72 | 38 | Amount dependant on new Head Teacher appointments – Offer received 28.11.17 |
| External Mentoring (Education Workforce Council)<br>16-17 Carry Over<br>17-18 Allocation | <br>237<br>268 | <br>237<br>302 | Offer received - carry over (A) |
| **Support for Learning Business Plan Priority** | | | |
| ALN Innovation | 360 | 360 | Offer received 09.10.17 |
| Pupil Deprivation Grant | 22,724 | 22,724 | Offer received 30.08.17 |
| Pupil Deprivation Grant – LAC | 1,187 | 1,187 | Offer received 30.08.17 |
| **Teaching and Learning Business Plan Priority** | | | |
| Pioneers | 2,236 | 2,261 | Offer received 26.10.17 |
| Learning in Digital Wales CPD | 142 | 142 | Offer received 28.07.17 |
| Modern Foreign Language | 120 | 120 | Offer received 28.04.17 |
| GCSE 16-17 Carry Over<br>GCSE 17-18 Allocation | 185<br>582 | 185<br>582 | Offer received<br>Offer received 28.04.17 |
| Siarter Iaith 16-17 Carry Over<br>Siarter Iaith 17-18 Allocation | 13<br>243 | 13<br>243 | Offer received<br>Offer received carry over (A) |
| National Network of Excellence for Science and Technology (NNEST) | 23 | 0 | ***Withdrawn*** |
| Assessment for Learning | 129 | 129 | Offer received 04.07.17 |
| Foundation Phase Training Materials and Approaches | 5 | 5 | Offer received 04.07.17 |
| Literacy and Numeracy Grant | 125 | 125 | Offer received 04.07.17 |
| Welsh Baccalaureate 16-17 Carry Over | 22 | 22 | Offer received carry over |
| Raising Standards Grant (inc. Welsh) | 3,159 | 2,998 | Offer received £2,162,000 13.09.17<br>Offer received £356,039 09.11.17<br>Offer received £480,342 28.11.17 |

| | | | |
|---|---|---|---|
| | | | ***Two elements withdrawn*** |
| Language Pilot | 150 | 150 | Offer received 15.11.17 |
| National Numeracy Test Support | 0 | 5 | Offer received 15.11.17 |
| Pupil Development Grant Coordinator | 0 | 50 | Offer received 29.11.17 |
| A Level Improvement | 0 | 20 | Offer received 15.11.17 |
| Professional Teaching Standards | 0 | 40 | Offer received 15.11.17 |
| Head teacher Advisory Group | 0 | 7 | Offer received 15.11.17 |
| **Sub total** | | **70,854** | |
| National Model Support (Review and Reform) | 0 | 250 | Indicative (A) |
| Wellbeing and Behaviour | 0 | 35 | Indicative |
| SRE Resources | 0 | 50 | Indicative |
| **Total** | **70,368** | **71,189** | |
| | | | |
| **Grants to be Confirmed** | | | |
| MAT | 0 | 145 | Submitted Bid |

| **NOTE: Summary of how Raising Standards Grant has been allocated to Business Plan priority areas.** | **£** |
|---|---|
| Leading Learning Priority (Page 8) | 860,000 |
| School Improvement (page 11) | 60,000 |
| Support for Learning | 0 |
| Teaching and Learning (Page 9) | 2,078,000 |
| **Budgeted** | **2,998,000** |

## 4. 2017-18 Grants

For budgeting and business planning purposes, the grants received are allocated according to the ERW Business Plan priorities:

- Leading Learning
- Teaching and Learning
- Support for Learning
- School Improvement
- Operational Effectiveness (included within the other 4 priorities)

Some grants may be allocated to more than one priority area.
Please follow the links below for details on specific grants:

**The Level 1 Business Plan**:
Please see each priority on pages 8-12.

**The Level 2 Business Plan**:
Level 2 Business Plan

**The Level 3 Business Plan**:
Level 3 Business Plan

The terms and conditions of each grant are carefully adhered to, and wherever possible, clear links are made between grants to enable greater value for money when planning expenditure.

Detailed below are the grants allocated to each Business Plan Priority Area to show the total amount of grants allocated to that Area along with how those grants are to be spent.

## A. Leading Learning

The priorities within this Business Plan aspect include:

- Professional Learning for Schools, Challenge Advisers, and the ERW Central Team
- Leadership Development
- Implementation of National Programmes such as HLTA, NPQH
- Staffing/Secondments

| **Leading Learning Budgeted Income** | **Projected Budget 2017-18 £** | **Actual Income at 31.12.2017[4] £** | |
|---|---|---|---|
| **Grants Allocated to Leading Learning Priority** | | | |
| Schools Causing Concern | 313,000 | 0 | |
| National Professional Qualification for Head Teachers Assessment | | | |
| 16-17 Carry Over | 107,000 | 107,000 | |
| 17-18 Allocation (A) | 150,000 | 0 | |
| Mentoring and Networking Support for Head Teachers | 38,000 | 0 | |
| Raising Standards Grant | 860,000 | 0 | |
| External Mentoring (Education Workforce Council) | | | |
| 16-17 Carry Over | 237,000 | 237,000 | |
| 17-18 Allocation (A) | 302,000 | 302,000 | |
| **Total Estimated Income** | **2,007,000** | **646,000** | |
| **Leading Learning Budgeted Expenditure** | **Projected Budget 2017-18 £** | **Actual Expenditure at 31.12.2017 £** | **Committed** |
| **1. Staffing costs** | | | |
| Salaries, Secondments, Specialists | 740,000 | 383,000 | 357,000 |
| Core Central Staff | 171,000 | 153,000 | 18,000 |
| Travel, Subsistence, Training and Development | 351,000 | 64,000 | 287,000 |
| **2. Development & Running costs** | | | |
| Rent and Accommodation | 10,000 | 4,000 | 6,000 |
| Stationery, Telephone, Printing, Copying, Equipment, IT, General | 94,000 | 21,000 | 73,000 |
| Translation | 10,000 | 5,000 | 5,000 |
| **3. Delegated schools/ LAs** | | | |
| Grants Passported to LAs | 12,000 | 0 | 12,000 |
| Payments to Schools via LAs for specific work[5] | 336,000 | 133,000 | 203,000 |
| Unallocated [6] | 283,000 | 0 | 0 |
| **Total Estimated Expenditure** | **2,007,000** | **763,000** | **961,000** |

---

[4] Since the end of December 2017 a further £727k has been received from Welsh Government.

[5] Since the end of December 2017 a further £62k has been paid out to schools for specific work, committed is for Middle Leader development.

[6] The majority of the unallocated balance will be spent within the academic not financial year.

## B. Teaching and Learning

The priorities within this Business Plan aspect include:
Teaching and Learning, Assessment and Moderation, Pedagogy, Curriculum and Subject Support, Teaching and Learning Networks, Staffing/ Secondments.

| **Teaching and Learning Budgeted Income** | **Projected Budget 2017-18 £** | **Actual Income at 31.12.2017[7] £** | |
|---|---|---|---|
| **Grants Allocated to Teaching & Learning Priority** | | | |
| Pioneers | 2,261,000 | 510,000 | |
| Digital | 142,000 | 0 | |
| Modern Foreign Languages | 120,000 | 0 | |
| GCSE 16-17 Carry Over<br>GCSE 17-18 Allocation | 185,000<br>582,000 | 0<br>0 | |
| Siarter Iaith 16-17 Carry Over<br>Siarter Iaith 17-18 Allocation (A) | 13,000<br>243,000 | 13,000<br>4,000 | |
| Assessment for Learning (AfL) | 129,000 | 0 | |
| Foundation Phase Training Materials | 5,000 | | |
| Literacy and Numeracy Grant | 125,000 | 0 | |
| Language Pilot | 150,000 | | |
| Raising Standards Grant | 2,078,000 | 0 | |
| Welsh Baccalaureate 16-17 Carry Over | 22,000 | 22,000 | |
| A Level Improvement | 20,000 | 0 | |
| National Numeracy Support | 5,000 | 0 | |
| Professional Teaching Standards | 40,000 | 0 | |
| **Total Estimated Income** | **6,120,000** | **549,000** | |
| **Teaching and Learning Budgeted Expenditure** | **Projected Budget 2017-18 £** | **Actual Expenditure at 31.12.2017 £** | **Committed** |
| **1. Staffing costs** | | | |
| Salaries, Secondments, Specialists | 2,346,000 | 799,000 | 1,567,000 |
| Core Central Staff | 99,000 | 48,000 | 51,000 |
| Travel, Subsistence, Training and Development | 196,000 | 35,000 | 161,000 |
| **2. Development & Running costs** | | | |
| Rent and Accommodation | 16,000 | 9,000 | 7,000 |
| Stationery, Telephone, Printing, Copying, Equipment, IT, General | 108,000 | 74,000 | 35,000 |
| Translation | 28,000 | 19,000 | 9,000 |
| Software, Marketing, Communication, R&E | 85,000 | 29,000 | 55,000 |
| **3. Delegated Schools/ LAS** | | | |
| Grants Passported to LAs [8] | 2,008,000 | 546,000 | 1,462,000 |
| Payments to Schools via LAs for specific work [9] | 1,023,000 | 305,000 | 718,000 |
| Unallocated | 211,000 | 0 | 0 |
| **Total Estimated Expenditure** | **6,120,000** | **1,864,000** | **4,065,000** |

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[7] Since the end of December 2017 a further £2.721m has been received from Welsh Government.

[8] Since the end of December 2017 a further £510k has been passported to LAs, the majority of this funding is made up of Pioneer funds which Welsh Government identify, the schools to receive this funding.

[9] Since the end of December 2017 a further £677k has been paid out to schools for specific work, the majority of this funding is made up of Siarter Iaith funding and Teaching & Learning Communities.

## C. Support for Learning

The priorities within this Business Plan aspect include:

- Additional Learning Needs
- Looked After Children
- PDG
- Staffing/Secondments

| **Support for Learning Budgeted Income** | **Projected Budget 2017-18 £** | **Actual Income at 31.12.2017[10] £** | |
|---|---|---|---|
| **Grants allocated to Support for Learning Priority** | | | |
| ALN | 360,000 | 0 | |
| PDG | 22,724,000 | 10,320,000 | |
| LAC PDG | 1,187,000 | 375,000 | |
| Pupil Development Grant Coordinator | 50,000 | 0 | |
| **Total Estimated Income** | **24,321,000** | **10,695,000** | |
| **Support for Learning Budgeted Expenditure** | **Projected Budget 2017-18 £** | **Actual Expenditure at 31.12.2017 £** | **Committed** |
| **1. Staffing costs** | | | |
| Salaries, Secondments, Specialists | 134,000 | 82,000 | 52,000 |
| Travel, Subsistence, Training and Development | 17,500 | 6,000 | 11,500 |
| **2. Development & Running costs** | | | |
| Rent and Accommodation | 0 | 0 | 0 |
| Stationery, Telephone, Printing, Copying, Equipment, IT, General | 5,000 | 5,000 | 0 |
| Translation | 2,000 | 1,000 | 1,000 |
| Software, Marketing, Communication, Research & Evaluation | 0 | 0 | 0 |
| **3. Delegated Schools/LAS** | | | |
| Grants Passported to LAs [11] | 24,167,000 | 10,542,000 | 13,625,000 |
| Payments to Schools via LAs for specific work | 0 | 0 | 0 |
| Unallocated [12] | -4,500 | 0 | 0 |
| **Total Estimated Expenditure** | **24,321,000** | **10,636,000** | **13,689,500** |

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[10] Since the end of December 2017 a further £6.149m has been received from Welsh Government.

[11] Since the end of December 2017 a further £5.961m has been passported to LAs, the majority of this funding is made up of PDG funding.

[12] The Support for Learning budget is working on a deficit, based on previous years we are expecting underspends from Local Authorities.

## D. School Improvement

The priorities within this Business Plan aspect include:

- Capacity Building
- Staffing
- Categorisation / Rhwyd / etc.
- Staffing/Secondments
- School to School Work / Dolen

| **School Improvement Budgeted Income** | **Projected Budget 2017-18 £** | **Actual Income at 31.12.2017 [13] £** | |
|---|---:|---:|---:|
| **Grant Income** | | | |
| Schools Challenge Cymru | 21,000 | 0 | |
| Research | 60,000 | 0 | |
| Education Improvement Grant | 37,752,000 | 7,550,000 | |
| Head teacher Advisory Group | 7,000 | 0 | |
| **Total Estimated Income** | **37,840,000** | **7,550,000** | |
| | | | |
| **School Improvement Budgeted Expenditure** | **Projected Budget 2017-18 £** | **Actual Expenditure at 31.12.2017 £** | **Committed** |
| **1. Staffing Costs** | | | |
| Salaries, Secondments, Specialists | 131,000 | 115,000 | 16,000 |
| Core Central Staff | 95,000 | 68,000 | 27,000 |
| Travel, Subsistence, Training and Development | 187,000 | 7,000 | 180,000 |
| **2. Development & Running Costs** | | | |
| Rent and Accommodation | 0 | 0 | 0 |
| Stationery, Telephone, Printing, Copying, Equipment, IT, General | 63,000 | 31,000 | 32,000 |
| Translation | 15,000 | 7,000 | 8,000 |
| Software, Marketing, Communication, Research & Evaluation | 72,000 | 30,000 | 42,000 |
| **3. Delegated schools/ LAs** | | | |
| Grants Passported to LAs [14] | 36,664,000 | 14,664,000 | 22,000,000 |
| Payments to Schools via LAs for specific work [15] | 571,000 | 44,000 | 527,000 |
| Unallocated | 42,000 | 0 | 0 |
| **Total Estimated Expenditure** | **37,840,000** | **14,966,000** | **22,832,000** |

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[13] Since the end of December 2017 a further £7.590m has been received from Welsh Government.

[14] Since the end of December 2017 a further £7.331m has been passported to LAS, the majority of this funding is made up of EIG funding.

[15] Since the end of December 2017 a further £161k has been paid out to schools for specific work, the majority of this funding is made up of Professional Learning Schools; Lead schools to deliver menu of support; moderation of teaching assessment.

## 5. ERW Review and Reform Programme Team

The Joint Committee agreed on 21 September 2017 to appoint a Programme Team under the leadership of the Lead Chief Executive.

Welsh Government have provided support of £250k to the ERW Joint Committee to facilitate the transition period of the work. (A).

| **Budgeted Spend Profile** | £ (A) |
|---|---:|
| Programme Manager | £45,000 |
| Expert Facilitator – based on daily rate | £20,000 |
| External Expertise to inform HR (£60k) , Finance (£20k), Comms (£20k) for School Improvement – based on daily rate to add capacity and advice/expertise where necessary | £100,000 |
| Costs incurred by LAs or ERW Central Team to support the implementation programme team – it is envisaged that short and medium term secondments will be necessary to support the implementation of the programme. Stability of the Central Team. Swansea (£28k) | £85,000 |
| **Total** | **£250,000** |

As part of the Project, the S151 Officer will investigate the possibility to seek separate insurance cover for ERW.

As reported below, there is a need for a Finance Manager on a fixed term contract to be funded from the £250k funding.

## 6. Risks

This report, in a similar vein to previous Financial Updates, highlights risks for ERW. The high cost of secondments and the growing expectations on ERW are well known. This was reflected in the Review and Reform Programme recommendations from the last meeting. Welsh Government have also identified the need to support us with additional resources. Estyn have identified the matter too as contributing to hindering progress.

As the lead financial authority for ERW, and as Section 151 Officer, there are implications for Pembrokeshire County Council finance and HR Services due to the capacity and staffing of the ERW Central Team. These risks are now longstanding and business operating capacity as well as strategic capacity is insufficient currently to mitigate the risks.

Due to the increased workload from the Review and Reform Programme, it is proposed that a Finance Manager is appointed on a fixed term contract to provide additional capacity. This will be funded from the Welsh Government Review and Reform funding.

## 7. Reserves

The table below shows the implications on ERW Reserves from April 2016. Last year's movements resulted in total reserves of £542k at 31 March 2017, with this anticipated to reduce to £468k by 31 March 2018.

| Useable Reserves | | General Reserve | Working Reserve | Total Reserves |
|---|---|---|---|---|
| | | £'000 | £'000 | £'000 |
| Balance | 1 April 2016 | 472 | | 472 |
| 2016-17 | From Revenue | 70 | | 70 |
| | Transfer | -100 | 100 | 0 |
| Balance | 31 March 2017 | 442 | 100 | 542 |
| 2017-18 | To Revenue | -74 | | -74 |
| Balance | 31 March 2018 | 368 | 100 | 468 |

## 8. Recommendations

- The Joint Committee note the ERW Financial Update Quarter 3 - 2017-18.
- The Joint Committee approve the changes to the ERW Central Team Revenue Budget, Grant Allocations and ERW Reserves for 2017-18.
- The Joint Committee notes the risks to the region given the amount of core funding it receives and the effect on the regions reserves over the medium term, with anticipated changes to ERW structure and operations.
- The Joint Committee agree for ERW to seek their own insurance cover for the future.
- The Joint Committee agree to the recruitment of a Finance Manager, on a fixed term contract, to be funded from Welsh Government Review and Reform funding.

Mae'r dudalen hon yn wag yn fwriadol

**Secondments 17/18** **Appendix A**

| | £ | No of Secondments |
|---|---|---|
| Leadership | 167,974 | 5 |
| School Improvement | 68,773 | 1 |
| Teaching & Learning | 840,545 | 18 |
| Support | 79,849 | 2 |
| **Total** | **1,157,141** | 26 |
| **Cluster Leaders Of Learning** | 702,000 | 46 |
| **Total budgeted cost 17-18** | **1,859,141** | 72 |

Mae'r dudalen hon yn wag yn fwriadol

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# CYD-BWYLLGOR ERW
## 21 MAWRTH 2018

## Adroddiad cyllideb 2018-19

## ADRODDIAD SWYDDOG ADRAN 151 ERW

**Y Pwrpas: Rhoi'r wybodaeth ddiweddaraf i'r Cyd-bwyllgor am sefyllfa ariannol ERW ar gyfer 2018-19.**

**YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:**

(a) **Nodi Cyllideb Alldro Ragamcanol 2017-18, a chymeradwyo'r gyllideb ddrafft ar gyfer 2018-19.**

(b) **Caniatáu i'r Swyddog Adran 151 wneud diwygiadau i'r gyllideb, yn ôl yr angen, yn dibynnu ar y penderfyniadau a wneir o ran adolygu strwythur ERW.**

(c) **Cadarnhau bod yr ALlau yn talu eu cyfraniad i gostau craidd ERW.**

(d) **Cytuno i recriwtio Rheolwr Ariannol, ar gontract tymor penodol, i'w ariannu o gyllid Adolygu a Diwygio Llywodraeth Cymru.**

**Y RHESYMAU: Mae angen cymeradwyaeth y Cyd-bwyllgor**

| | | |
|---|---|---|
| **Awdur yr Adroddiad:**<br>**Jon Haswell** | **Swydd:**<br>**Swyddog Adran 151 ERW** | **Rhif Ffon: 01437 775839**<br>**E: bost:**<br>**Jonathan.haswell@pembrokeshire.gov.uk** |

# EXECUTIVE SUMMARY
# ERW JOINT COMMITTEE
# 21 MARCH 2018

## ERW SECTION 151 OFFICER BUDGET REPORT FOR 2018-19

**BRIEF SUMMARY OF PURPOSE OF REPORT**

To provide the Joint Committee with an update on the financial position of ERW:

☐ **Central Team Revenue Budget**

☐ **Contributions from Local Authorities**

☐ **Reserves**

☐ **Grants**

| | |
|---|---|
| **DETAILED REPORT ATTACHED?** | **YES** |

## IMPLICATIONS

| Policy, Crime & Disorder and Equalities | Legal | Finance | Risk Management Issues | Staffing Implications |
|---|---|---|---|---|
| **NONE** | **NONE** | **YES** | **YES** | **YES** |

1. **Finance**
   Financial Implications outlined in the detailed report.
2. **Risk Management**
   Risk management to be reviewed as part of the Internal Audit, where applicable.
3. **Staffing Implications**
   Staffing implications outlined in the detailed report.

## CONSULTATIONS

N/A

**Section 100D Local Government Act, 1972 – Access to Information**
**List of Background Papers used in the preparation of this report:**
**THERE ARE NONE**

Ein Rhanbarth ar Waith
Education through Regional Working

# 2018 – 19
# Draft Budget

## Director of Finance
## (ERW S151 Officer)

**Cynghrair o 6 awdurdod lleol yw ERW a reolir gan gyd-bwyllgor cyfansoddiadol cyfreithiol.**
**Y nod yw gweithredu strategaeth a chynllun busnes rhanbarthol cytunedig a chefnogi gwelliant ysgolion.**

ERW is an alliance of 6 local authorities governed by a legally constituted joint committee.
Its aim is to implement the agreed regional strategy and business plan to support school improvement.

## 1. Introduction

This report provides the Joint Committee with a summary of the predicted financial position of ERW as at 31 March 2018 and consideration of the budget and funding position for 2018-19.

## 2. ERW Budget

The Central Team revenue budget projects an outturn of £74k for 2017-18 as shown in the table below. It is based on current provision. The draft budget for 2018-19 is £82k.

| **ANNUAL EXPENDITURE CORE CENTRAL TEAM BUDGET** | **2017-18 Projected Outturn at September 2017 £000's** | **2017-18 Projected Outturn at December 2017 £000's** | **2018- 2019 Draft Budget** |
|---|---|---|---|
| **1. STAFFING COSTS** | | | |
| Salaries Core Funded | 447 | 439 | 452 |
| Travel, Subsistence, Training & Development | 4 | 4 | 5 |
| | **451** | **443** | **457** |
| **2. RUNNING COSTS** | | | |
| Accommodation | 42 | 42 | 45 |
| Stationery/Telephone/Printing/Copying/ Equipment/IT | 10 | 10 | 11 |
| Translation | 20 | 20 | 21 |
| Systems Developments | 49 | 49 | 45 |
| | **121** | **121** | **122** |
| **3. FACILITATION** | | | |
| Service Level Agreements | 128 | 129 | 135 |
| | **128** | **129** | **135** |
| **TOTAL ESTIMATED EXPENDITURE** | **700** | **693** | **714** |
| | | | |
| **ANNUAL INCOME** | | | |
| Local Authority Contributions [1] | 250 | 250 | 250 |
| Other Income/Grants | 4 | 4 | 4 |
| Grant Funding Administration | 364 | 365 | 378 |
| **TOTAL ESTIMATED INCOME** | **618** | **619** | **632** |
| | | | |
| **NET EXPENDITURE** | **82** | **74** | **82** |
| Appropriation from Reserve | **(82)** | **(74)** | **(82)** |

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[1] Dependant on discussions 23 February 2018, there may be changes.

1. The financial information shown in the report may be subject to significant changes due to the ERW Review and Reform Programme. There may be a decision made at the Joint Committee on 23 February 2018.

2. The ERW Review and Reform Programme is likely to incur ERW with significant additional costs in the future, examples being:

   - Procurement
   - Insurance
   - Accommodation
   - Finance Capacity

3. The ERW Review and Reform Programme is being funded by Welsh Government. Due to capacity requirements, a Finance Manger (£5k per month including on cost) is required on a fixed term contract.

## 3. Grants Bought Forward from 2017-18

Grants from 2017-18 which are academic and accounted for:-

| Grants | To be confirmed after closure £ |
|---|---|
| Siarter Iaith | |
| National Professional Qualification for Headteachers Assessment | |
| External Mentoring (Education Workforce Council) | |
| Review and Reform | |

## 4. Grants 2018-19

Welsh Government have indicated to all consortiums to expect an overarching grant offer letter which will encompass all of the 17-18 funding, excluding PDG and LAC.

Indicative funding for 2018-19 based on the 5 mission themes – Grant offer expected 15 March 2018.

ERW's Business Plan (separate report) has been amended to reflect these Priorities.

| National Mission Priorities | £ 000's |
|---|---|
| Curriculum and Assessment | 919 |
| Developing a high quality education profession | 37,677 |
| Leadership | 329 |
| Strong and inclusive schools | 100 |
| Self-Improving System | 568 |

| | |
|---|---|
| **Total** | **39,593** |
| | |
| **PDG** | **23,911** |
| | |
| **Total** | **63,504** |

## 5. Contributions from Local Authorities

The draft budget for 2018-19 anticipates that that the total annual contribution from the six local authorities remains at £250k as in previous years. The contribution will be pro-rated according to pupil numbers taken from Stats Wales, as shown below.

| | **Carms** | **Ceredigion** | **Neath Port-Talbot** | **Pembs** | **Powys** | **Swansea** | **Total** |
|---|---|---|---|---|---|---|---|
| **Local Authority Contribution 2017-18** | £52,500 | £18,500 | £40,250 | £34,250 | £35,000 | £69,500 | £250,000 |
| **Value as a Percentage** | 21.0% | 7.4% | 16.1% | 13.7% | 14.0% | 27.8% | 100.0% |
| | | | | | | | |
| **Pupil Numbers Stats Wales Jan 2017** | 27,149 | 9,510 | 20,764 | 17,456 | 17,841 | 35,809 | 128,529 |
| **Value as a Percentage** | 21.1% | 7.4% | 16.2% | 13.6% | 13.9% | 27.8% | 100.0% |
| **Local Authority Contribution 2018-19** | **£52,810** | **£18,500** | **£40,390** | **£33,950** | **£34,700** | **£69,650** | **£250,000** |

## 6. Reserves

The table below shows the implications on ERW Reserves from April 2016, taking into account the movements in 2016-17, expected movement in 2017-18 and budgeted movement in 2018-19.

| **Useable Reserves** | | **General Reserve** | **Working Reserve** | **Total Reserves** |
|---|---|---|---|---|
| Balance | 1 April 2016 | 472 | | 472 |
| 2016-17 | From Revenue | 70 | | 70 |
| | Transfer | -100 | 100 | 0 |
| Balance | 31 March 2017 | 442 | 100 | 542 |
| 2017-18 | To Revenue | -74 | | -74 |
| Balance | 31 March 2018 | 368 | 100 | 468 |
| 2018-19 | To Revenue | -82 | | -82 |
| Balance | 31 March 2019 | 286 | 100 | 386 |

The level of ERW reserves are considered prudent, as they may need to be utilised following the outcome of the ERW Review and Reform Programme.

## 7. Risks

The outcome of the ERW Review and Reform Programme will determine the nature and level of financial risks for the future. Whatever the future structure is, we must ensure that value for money is obtained from all aspects of ERW.

## 8. Recommendations

**It is recommended that the Joint Committee:**

**(a) Note the 2017-18 Projected Outturn and approve the draft budget for 2018-19.**

**(b) Allow the Section 151 Officer to make amendments to the budget, as necessary, depending on the decisions made to review ERW structure.**

**(c) Confirm that LAs pay their contribution to core ERW costs.**

**(d) Agree to the recruitment of a Finance Manager, on a fixed term contract, to be funded from Welsh Government Review and Reform funding.**

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# CYD-BWYLLGOR ERW
21 MAWRTH 2018

## Categoreiddio

**Y Pwrpas: Ystyried y broses gategoreiddio gyffredinol, gan gynnwys hyfforddiant, sicrhau ansawdd a dadansoddi barn.**

## YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

**Dim**

## Y RHESYMAU:

**Er gwybodaeth yn unig**

| | | |
|---|---|---|
| **Awdur yr Adroddiad:** | **Swydd:** | **Rhif Ffon** |
| **Aneirin Thomas** | **Pennaeth Ansawdd a Chymorth** | **E: bost**<br>**aneirin.thomas@erw.org.uk** |

# EXECUTIVE SUMMARY
# ERW JOINT COMMITTEE
# 21 MARCH 2018

## School Categorisation

## BRIEF SUMMARY OF PURPOSE OF REPORT

### OPTIONS AVAILABLE AND THEIR PROS AND CONS

**The report was written for the purpose of the National Standards Group. It includes detail of training for Challenge Adviser, moderation and quality assurance processes and outcomes of the national process of categorisation of schools carried out in the autumn term.**

**Please note that since the original report was produced, some changes have been made to the categorisation of schools. As a result of national intervention, Ysgol Penglais in Ceredigion has now been changed from amber to red.**

| | |
|---|---|
| **DETAILED REPORT ATTACHED?** | **YES** |

## IMPLICATIONS

| Policy, Crime & Disorder and Equalities | Legal | Finance | Risk Management Issues | Staffing Implications |
|---|---|---|---|---|
| **None** | **None** | **None** | **None** | **None** |

## CONSULTATIONS

N/A

**Section 100D Local Government Act, 1972 – Access to Information**
**List of Background Papers used in the preparation of this report:**
**THERE ARE NONE**

National Categorisation

| | |
|---|---|
| Area | Challenge Advisers |
| Date of report | December 2017 |
| Focus | National Categorisation |
| Evaluation | **Training**<br>• Categorisation training was delivered on 9.6.17 to all ChAds, emphasising accuracy and clarity of all categorisation reports.<br>• Challenge Advisers attended national training in July 2017, focusing on the introduction of addendum and new national priorities.<br>• Additional training on addendum provided in September 2017<br>• Further focus on ensuring consistency emphasised in Strategy meeting in the Autumn of 2017. PCAs clear about expectation regarding addendum etc. PCAs instructed to share expectation with all ChAds within their respective LAs.<br>• Further to WG correspondence in October 2017 relating to Step 1 not being published, messages were shared with all LAs and PCAs regarding the clear exemplification of standards and the impact of provision and leadership in categorisation reports.<br><br>**Implementation**<br>• Draft categorisation was completed in July for all schools in the 6 Local Authorities. Outcomes of initial drafts and analysis were shared with the six Directors and Executive Board.<br>• Primary schools were prioritised for categorisation visits due to the early publication of FPh and KS2 data. Secondary schools were targeted for November and December visits.<br>• PCA carried out joint visits to a sample of schools within their LAs. (F3) Cross LA moderation visits also implemented for the first time this year to improve consistency with feedback suggesting consistency in the implementation in many cases.<br>• The deadline for final submission of categorisation was agreed as December, 2017.<br><br>**Quality Assurance**<br>• Good and detailed guidance and training is provided regionally by the central team; however, the overall quality assurance process for reports remains with the LA and relies on their internal line management systems. There is an expectation that all reports submitted on to the Rhwyd platform are quality assured for accuracy and quality (F2 and QA2) prior to the publishing and release of the categorisation report. However, in the majority of reports submitted to regional QA (31 reports) there were issues in the quality, consistency or accuracy of the reports. These ranged from addendum not referred to (6 reports) accuracy (7 reports) and quality (7 reports)<br>• All reports with issues outstanding were referred back to the PCAs and Chads for amendments and further quality assurance prior to regional moderation. In a few cases the quality of writing remained an issue.<br><br>**Regional Moderation**<br>• The Head of Quality and Support was nominated as Lead Regional Moderator (LRM) for the Regional Moderation Board (RMB)<br>• The RMB comprised of the RLM, 2 ERW Central Team representatives, 9 PCAs from the LAs, 2 Directors and representation from the Headteachers' Advisory Board. All members of the board had the appropriate skills and knowledge and were suitably prepared.<br>• The RLM from GWE attended the regional moderation meeting. 30 schools and one F1 school were selected for moderation.<br><br>**Breakdown of schools** |

|  | Carm | Cere | Pem | Pow | NPT | Swa |
|---|---|---|---|---|---|---|
| **Primary** | 3 | 2 | 2 | 3 | 2 | 3 |
| **Secondary** | 2 | 1 | 2 | 1 | 1 | 2 |
| **3-16** |  | 1 |  | 1 | 1 |  |
| **Special** | 1 |  |  | 1 |  | 1 |

- The sample for regional moderation consisted of 30 schools. In 2016 the sample included 60 schools and became too onerous and resulted in a lack of rigour and depth to the discussions during moderation. The sample represented each of the four capacity to improve judgments (A, B, C, D) as well as the four support categories (Green, Yellow, Amber, Red)
- Two F1 forms were submitted for moderation with additional evidence provided by the PCA. The RMB agreed with the school's appeal in one instance and in the other the school withdrew their appeal as it was dealing with the LA process and timeliness of the LA's reporting to the school.
- Two changes were made to schools' categorisations. Both changes were made to their capacity to improve judgment. Support categories remained the same in both instances. LAs were informed through their PCA who were present at the moderation.

**Schools in Estyn Statutory Category**

- The region has used the national guidance "In normal circumstances the improvement capacity of a school requiring **significant improvement or special measures** should not normally be higher than D and the support category red in the first instance. As a school addresses the recommendations from its inspection, evidence about its progress should be weighed carefully and professional judgement applied when reviewing the school's support category"
- There has been additional challenge built in to the moderation process with clear rationale expected where a schools was judged higher than a D or a Red. This has been based on progress review by Estyn indicating that the school is making good progress.

**Primary**

|  |  |  |  |  |
|---|---|---|---|---|
| Llandrindod Wells C.P. School | Powys | C | Red | Special measures |
| Pontiets C.P. School | Carmarthenshire | C | Amber | Significant improvement (07.17) |
| Morriston Primary School | Swansea | C | Amber | Significant improvement (03.17) |
| Llansawel Primary School | Neath Port Talbot | D | Red | Special measures |
| Eastern Primary School | Neath Port Talbot | C | Red | Special measures |

**Secondary**

|  |  |  |  |  |
|---|---|---|---|---|
| Llandrindod High | Powys | D | Red | Special measures |
| Tasker Milward | Pembrokeshire | C | Red | Special measures |
| Llanfyllin | Powys | C | Amber | Significant improvement (02.16) |
| Milford Haven | Pembrokeshire | D | Red | Significant improvement |
| Penglais | Ceredigion | C | Red | Significant improvement |
| Caereinion | Powys | C | Amber | Significant improvement (12.16) |
| Greenhill | Pembrokeshire | C | Red | Significant improvement |
| Sir Thomas Picton | Pembrokeshire | C | Amber | Special measures (06.16) |

**Step 2 and Step 3 Alignment.**

- In most cases there is good alignment between step 2 and 3. In a few cases the Challenge Adviser and the school have agreed on the most appropriate support category for the school. In nearly all instances there is clear rationale for these decisions.

A Yellow – 18
B Ambers – 30
C Yellow – 7

| Reference | SchoolName | Cat Step 2 2017 | Cat Step 3 2017 |
|---|---|---|---|

| | | | |
|---|---|---|---|
| 6662049 | Guilsfield | A | Yellow |
| 6662060 | Maesyrhandir | A | Yellow |
| 6663030 | Trefonnen | A | Yellow |
| 6663046 | Llangedwyn | A | Yellow |
| 6682233 | Maenclochog | A | Yellow |
| 6682383 | Glan Cleddau | A | Yellow |
| 6692019 | Gwynfryn | A | Yellow |
| 6692020 | Carway | A | Yellow |
| 6692024 | Ponthenri | A | Yellow |
| 6692177 | Parc y Tywyn | A | Yellow |
| 6692384 | Griffith Jones | A | Yellow |
| 6702098 | Bryn-Y-Mor | A | Yellow |
| 6702235 | Llwynderw | A | Yellow |
| 6704062 | Penyrheol Comprehensive School | A | Yellow |
| 6712140 | Godre'rgraig | A | Yellow |
| 6712221 | Waunceirch | A | Yellow |
| 6713314 | St Therese's RC | A | Yellow |
| 6717008 | Ysgol Hendrefelin | A | Yellow |

| **Reference** | **SchoolName** | **Cat Step 2 2017** | **Cat Step 3 2017** |
|---|---|---|---|
| 6663051 | Welshpool Church in Wales Primary School | B | Amber |
| 6672313 | Penllwyn | B | Amber |
| 6672320 | Beulah | B | Amber |
| 6672345 | Trewen | B | Amber |
| 6672363 | Penrhyncoch | B | Amber |
| 6672367 | Cenarth | B | Amber |
| 6682223 | Brynconin | B | Amber |
| 6682243 | Bro Ingli | B | Amber |
| 6682267 | Mount Airey Infants | B | Amber |
| 6682385 | Clydau | B | Amber |
| 6682391 | Prendergast | B | Amber |
| 6683058 | Ger y Llan | B | Amber |
| 6683320 | St Marks | B | Amber |
| 6691110 | CSTLC | B | Amber |
| 6692037 | Meidrim | B | Amber |
| 6692044 | Ty-croes | B | Amber |
| 6692057 | Llanedi | B | Amber |
| 6692061 | Ffairfach | B | Amber |
| 6692084 | Rhys Prichard | B | Amber |
| 6692166 | Llansteffan | B | Amber |
| 6692182 | Hafodwenog | B | Amber |
| 6692385 | Y Fro | B | Amber |
| 6692390 | Bryn Teg | B | Amber |
| 6697010 | Rhydygors School & Support Services | B | Amber |
| 6701113 | City and County of Swansea PRU | B | Amber |
| 6712129 | Creunant | B | Amber |
| 6712181 | Tonnau | B | Amber |

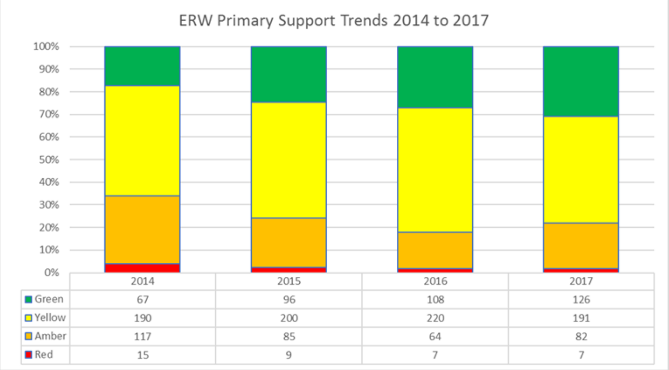
| | | | |
|---|---|---|---|
| 6712238 | Central Primary School | B | Amber |
| 6713311 | Bryncoch CiW | B | Amber |
| 6713313 | Alderman Davies CiW | B | Amber |

| Reference | SchoolName | Cat Step 2 2017 | Cat Step 3 2017 |
|---|---|---|---|
| 6662153 | Ysgol Y Mynydd Du | C | Yellow |
| 6665200 | Llanerfyl | C | Yellow |
| 6675500 | Ysgol Bro Pedr | C | Yellow |
| 6692052 | Blaenau | C | Yellow |
| 6692119 | Llanmiloe | C | Yellow |
| 6692159 | Old Road | C | Yellow |
| 6692192 | Y Castell | C | Yellow |

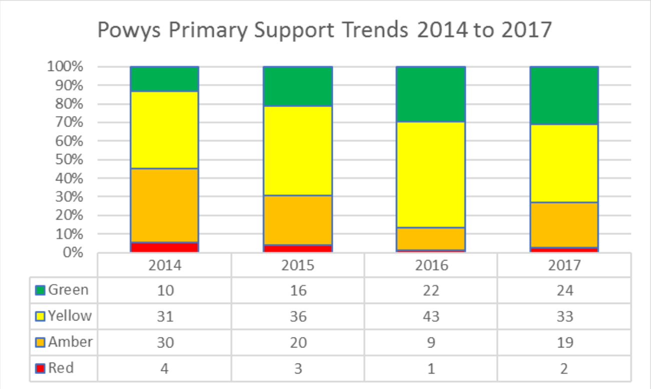
## Categorisation Data

ERW - primary

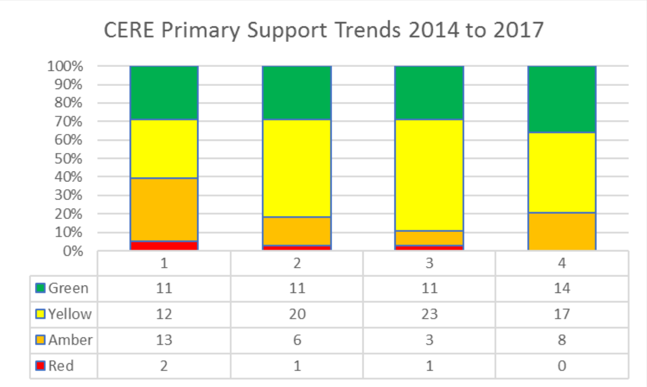
| | 2014 | 2015 | 2016 | 2017 | | 2014 | 2015 | 2016 | 2017 |
|---|---|---|---|---|---|---|---|---|---|
| Red | 15 | 9 | 7 | 7 | | 3.9% | 2.3% | 1.8% | 1.7% |
| Amber | 117 | 85 | 64 | 82 | | 30.1% | 21.8% | 16.0% | 20.2% |
| Yellow | 190 | 200 | 220 | 191 | | 48.8% | 51.3% | 55.1% | 47.0% |
| Green | 67 | 96 | 108 | 126 | | 17.2% | 24.6% | 27.1% | 31.0% |



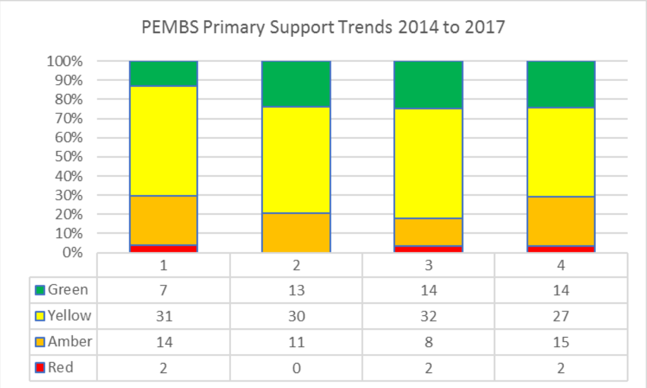
- There is a clear 4-year increase in the percentage of schools in green category. The percentage of red schools has remained fairly static for the last three years.
- The proportion of schools requiring more intensive support (red and amber) has increased from 71 to 89 in 2017.


Powys Primary Support Trends 2014 to 2017

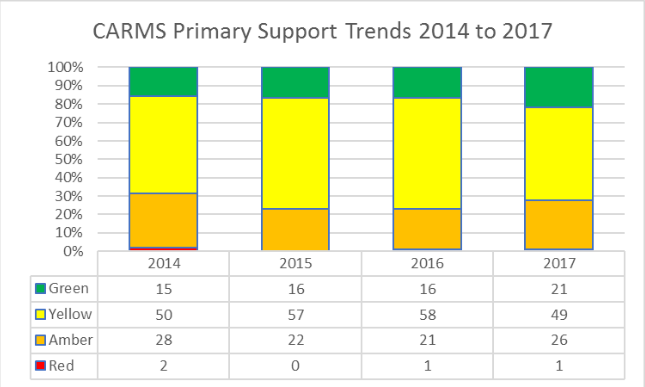
| | 2014 | 2015 | 2016 | 2017 |
|---|---|---|---|---|
| 🟩 Green | 10 | 16 | 22 | 24 |
| 🟨 Yellow | 31 | 36 | 43 | 33 |
| 🟧 Amber | 30 | 20 | 9 | 19 |
| 🟥 Red | 4 | 3 | 1 | 2 |


CERE Primary Support Trends 2014 to 2017

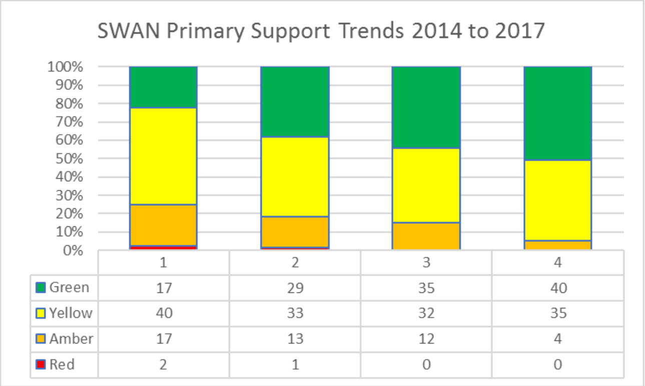
| | 1 | 2 | 3 | 4 |
|---|---|---|---|---|
| 🟩 Green | 11 | 11 | 11 | 14 |
| 🟨 Yellow | 12 | 20 | 23 | 17 |
| 🟧 Amber | 13 | 6 | 3 | 8 |
| 🟥 Red | 2 | 1 | 1 | 0 |


PEMBS Primary Support Trends 2014 to 2017

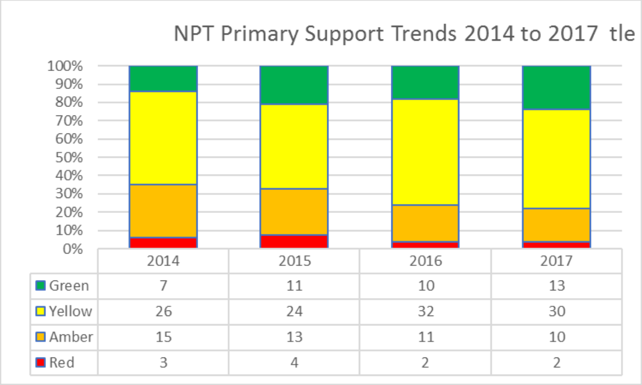
| | 1 | 2 | 3 | 4 |
|---|---|---|---|---|
| 🟩 Green | 7 | 13 | 14 | 14 |
| 🟨 Yellow | 31 | 30 | 32 | 27 |
| 🟧 Amber | 14 | 11 | 8 | 15 |
| 🟥 Red | 2 | 0 | 2 | 2 |


CARMS Primary Support Trends 2014 to 2017

| | 2014 | 2015 | 2016 | 2017 |
|---|---|---|---|---|
| 🟩 Green | 15 | 16 | 16 | 21 |
| 🟨 Yellow | 50 | 57 | 58 | 49 |
| 🟧 Amber | 28 | 22 | 21 | 26 |
| 🟥 Red | 2 | 0 | 1 | 1 |


SWAN Primary Support Trends 2014 to 2017

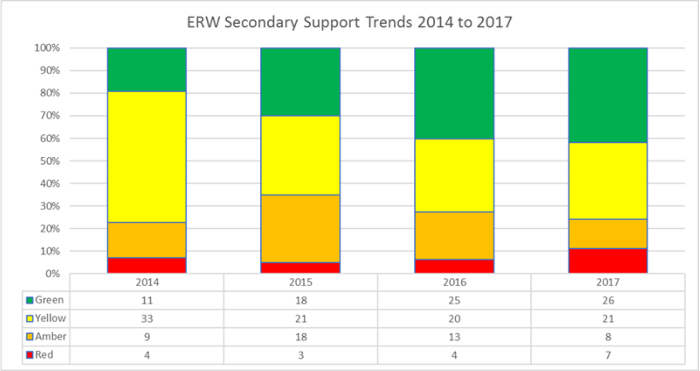
| | 1 | 2 | 3 | 4 |
|---|---|---|---|---|
| 🟩 Green | 17 | 29 | 35 | 40 |
| 🟨 Yellow | 40 | 33 | 32 | 35 |
| 🟧 Amber | 17 | 13 | 12 | 4 |
| 🟥 Red | 2 | 1 | 0 | 0 |



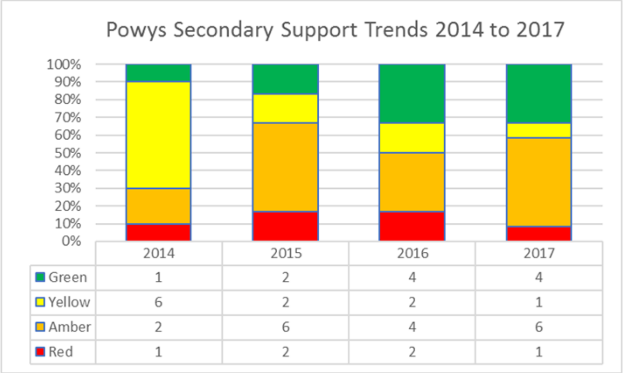
- In 4/6 LAs we see an increase in the percentage of schools requiring amber support and a decrease in the % of schools requiring yellow support. However, in Swansea and NPT the trend is different with a decrease in the % of schools requiring amber support.
- 43 primary schools have been categorised as green for four years
- 61 schools have remained categorised as yellow for four years.
- 10 schools have remained categorised as amber for four years.

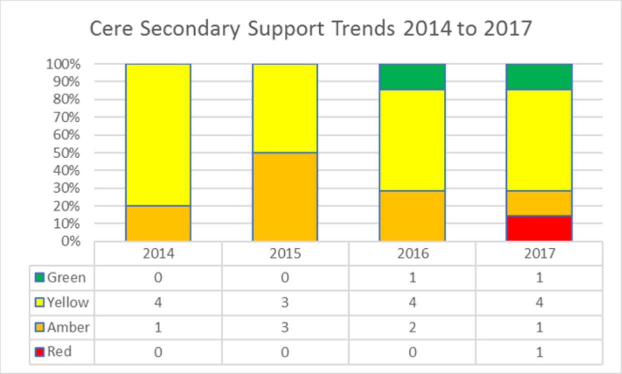
**ERW Secondary**

| | 2014 | 2015 | 2016 | 2017 | | 2014 | 2015 | 2016 | 2017 |
|---|---|---|---|---|---|---|---|---|---|
| Red | 4 | 3 | 4 | 7 | | 7.0% | 5.0% | 6.5% | 11.3% |
| Amber | 9 | 18 | 13 | 8 | | 15.8% | 30.0% | 21.0% | 12.9% |
| Yellow | 33 | 21 | 20 | 21 | | 57.9% | 35.0% | 32.3% | 33.9% |
| Green | 11 | 18 | 25 | 26 | | 19.3% | 30.0% | 40.3% | 41.9% |



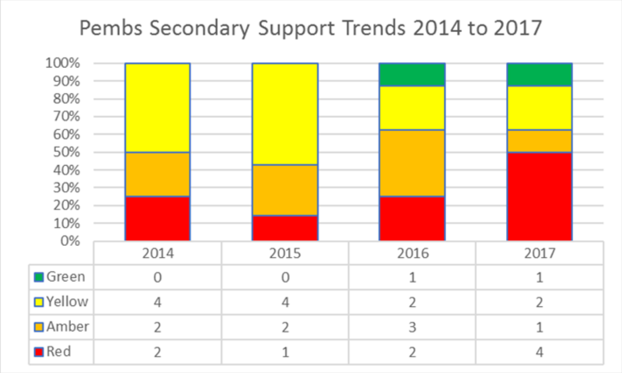
- The is a four-year increase in the % of schools requiring green support. 26 secondary schools are categorised as green compared with 11 schools in 2014.
- The number of schools requiring the most intensive support (amber and red) has remained constant since 2014.





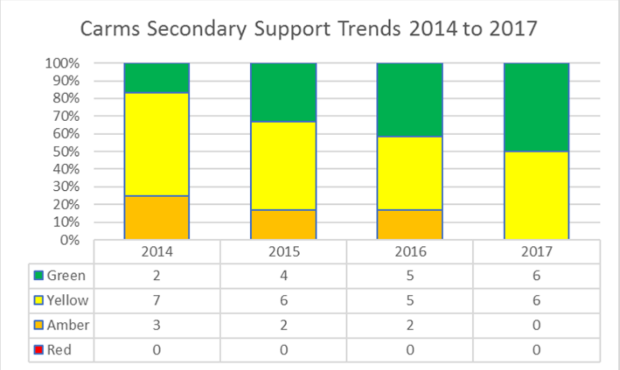
Cere Secondary Support Trends 2014 to 2017

| | 2014 | 2015 | 2016 | 2017 |
|---|---|---|---|---|
| 🟩 Green | 0 | 0 | 1 | 1 |
| 🟨 Yellow | 4 | 3 | 4 | 4 |
| 🟧 Amber | 1 | 3 | 2 | 1 |
| 🟥 Red | 0 | 0 | 0 | 1 |



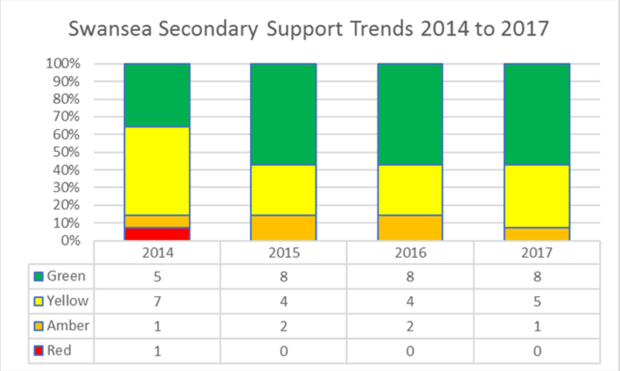
Pembs Secondary Support Trends 2014 to 2017

| | 2014 | 2015 | 2016 | 2017 |
|---|---|---|---|---|
| 🟩 Green | 0 | 0 | 1 | 1 |
| 🟨 Yellow | 4 | 4 | 2 | 2 |
| 🟧 Amber | 2 | 2 | 3 | 1 |
| 🟥 Red | 2 | 1 | 2 | 4 |



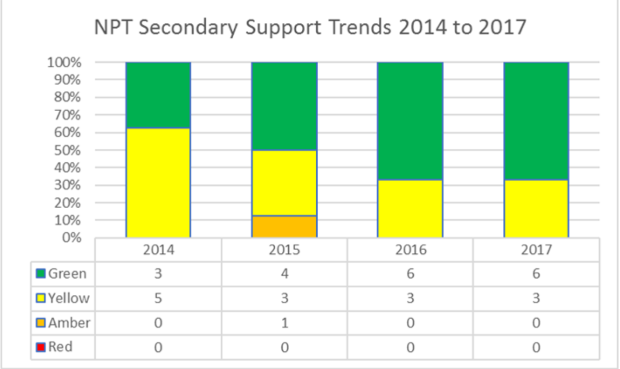
Carms Secondary Support Trends 2014 to 2017

| | 2014 | 2015 | 2016 | 2017 |
|---|---|---|---|---|
| 🟩 Green | 2 | 4 | 5 | 6 |
| 🟨 Yellow | 7 | 6 | 5 | 6 |
| 🟧 Amber | 3 | 2 | 2 | 0 |
| 🟥 Red | 0 | 0 | 0 | 0 |



Swansea Secondary Support Trends 2014 to 2017

| | 2014 | 2015 | 2016 | 2017 |
|---|---|---|---|---|
| 🟩 Green | 5 | 8 | 8 | 8 |
| 🟨 Yellow | 7 | 4 | 4 | 5 |
| 🟧 Amber | 1 | 2 | 2 | 1 |
| 🟥 Red | 1 | 0 | 0 | 0 |



NPT Secondary Support Trends 2014 to 2017

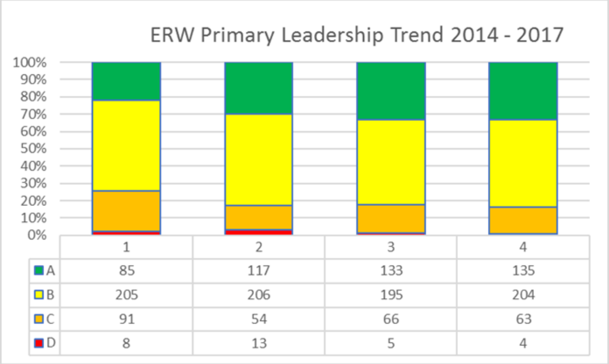
| | 2014 | 2015 | 2016 | 2017 |
|---|---|---|---|---|
| 🟩 Green | 3 | 4 | 6 | 6 |
| 🟨 Yellow | 5 | 3 | 3 | 3 |
| 🟧 Amber | 0 | 1 | 0 | 0 |
| 🟥 Red | 0 | 0 | 0 | 0 |

- Half of the LAs have no schools requiring red support. The final overall support category changed in 23 schools from draft categorisation in July.
- 8 secondary schools have been categorised as green for four years
- 5 secondary schools have remained categorised as yellow for four years.

- No secondary schools have remained categorised as amber for four years.
- 1 secondary school has remained categorised as red for four years

**Capacity to improve**

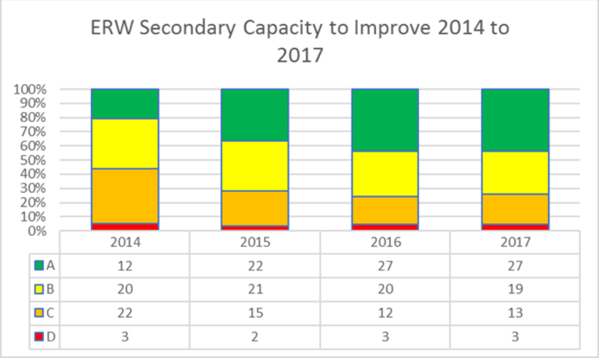
**Primary**



| | 1 | 2 | 3 | 4 |
|---|---|---|---|---|
| 🟩 A | 85 | 117 | 133 | 135 |
| 🟨 B | 205 | 206 | 195 | 204 |
| 🟧 C | 91 | 54 | 66 | 63 |
| 🟥 D | 8 | 13 | 5 | 4 |

- The proportion of each ‘capacity to improve’ category in primaries has remained fairly static for two years. No ‘D’ judgements were awarded for Capacity to Improve in two LAs in 2017.
- 48 primary schools have been judged ‘A’ for four years
- 59 primary schools have been judged ‘B’ for four years
- 5 primary schools have been judged ‘C’ for four years
- No primary schools have been judged ‘D’ for four years

**Secondary**



| | 2014 | 2015 | 2016 | 2017 |
|---|---|---|---|---|
| 🟩 A | 12 | 22 | 27 | 27 |
| 🟨 B | 20 | 21 | 20 | 19 |
| 🟧 C | 22 | 15 | 12 | 13 |
| 🟥 D | 3 | 2 | 3 | 3 |

- The proportion of each ‘capacity to improve’ category in secondary schools has remained fairly static for two years.
- No ‘D’ judgements were awarded for Capacity to Improve in 4 of the 6 LAs.
- 8 secondary schools have been judged ‘A’ for four years
- 2 secondary schools have been judged ‘B’ for four years
- 1 secondary schools have been judged ‘C’ for four years
- No secondary schools have been judged ‘D’ for four years

Recs

R1 To continue to work closely with the Quality and Standards Group especially around the consistency of application of standards’ judgement

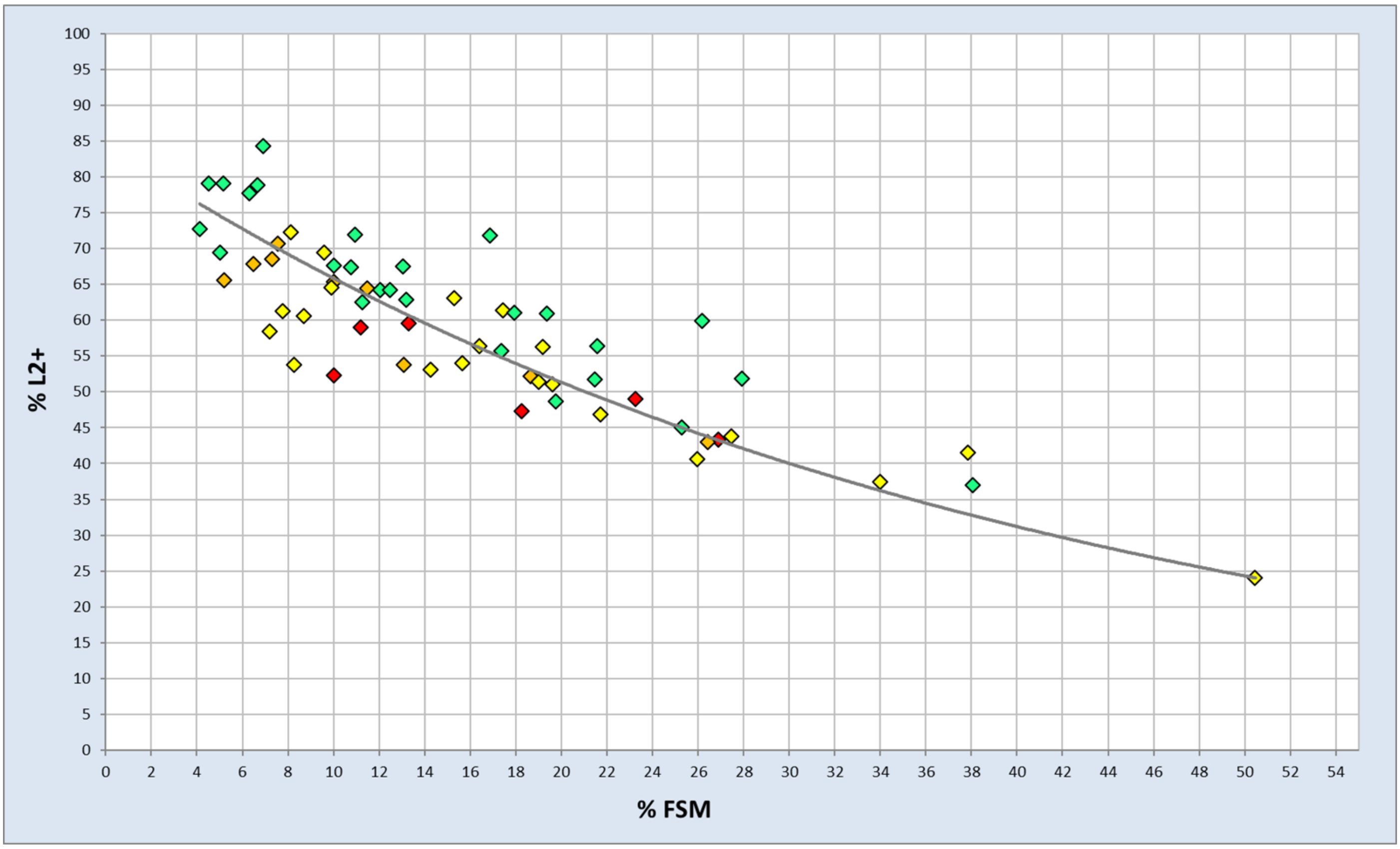
R2 Continue with training for all ChAds and PCAs on accuracy and rigour.

R3 Improve the quality assurance process across the region.

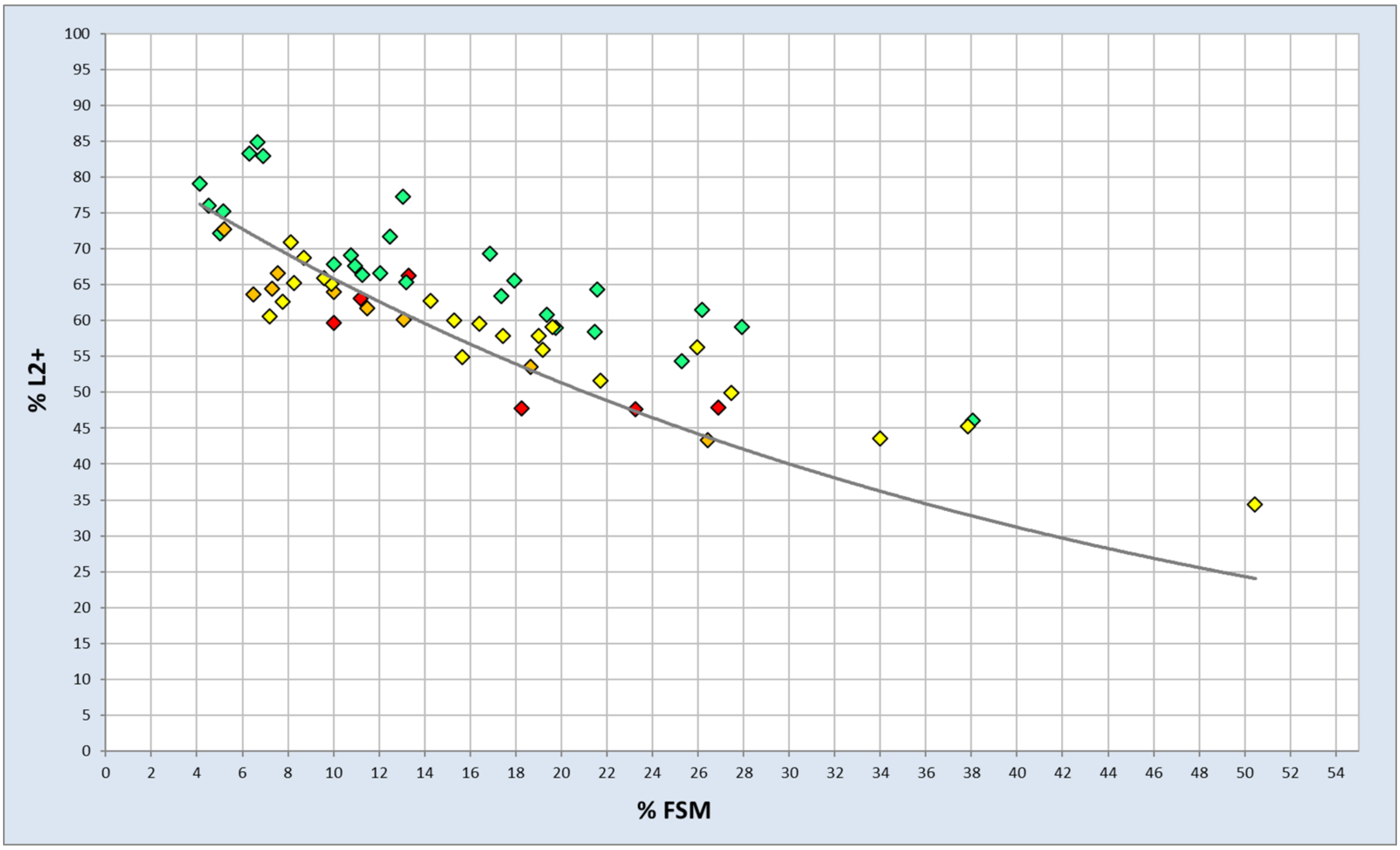
R4 Increase Headteacher participation in the categorisation process.

| | |
|---|---|
| Value for Money | • The Rhwyd system continues to evolve to reduce workload for ChAds.<br>• Multiple requests for intelligence for schools will be significantly reduced by utilising Rhwyd. |

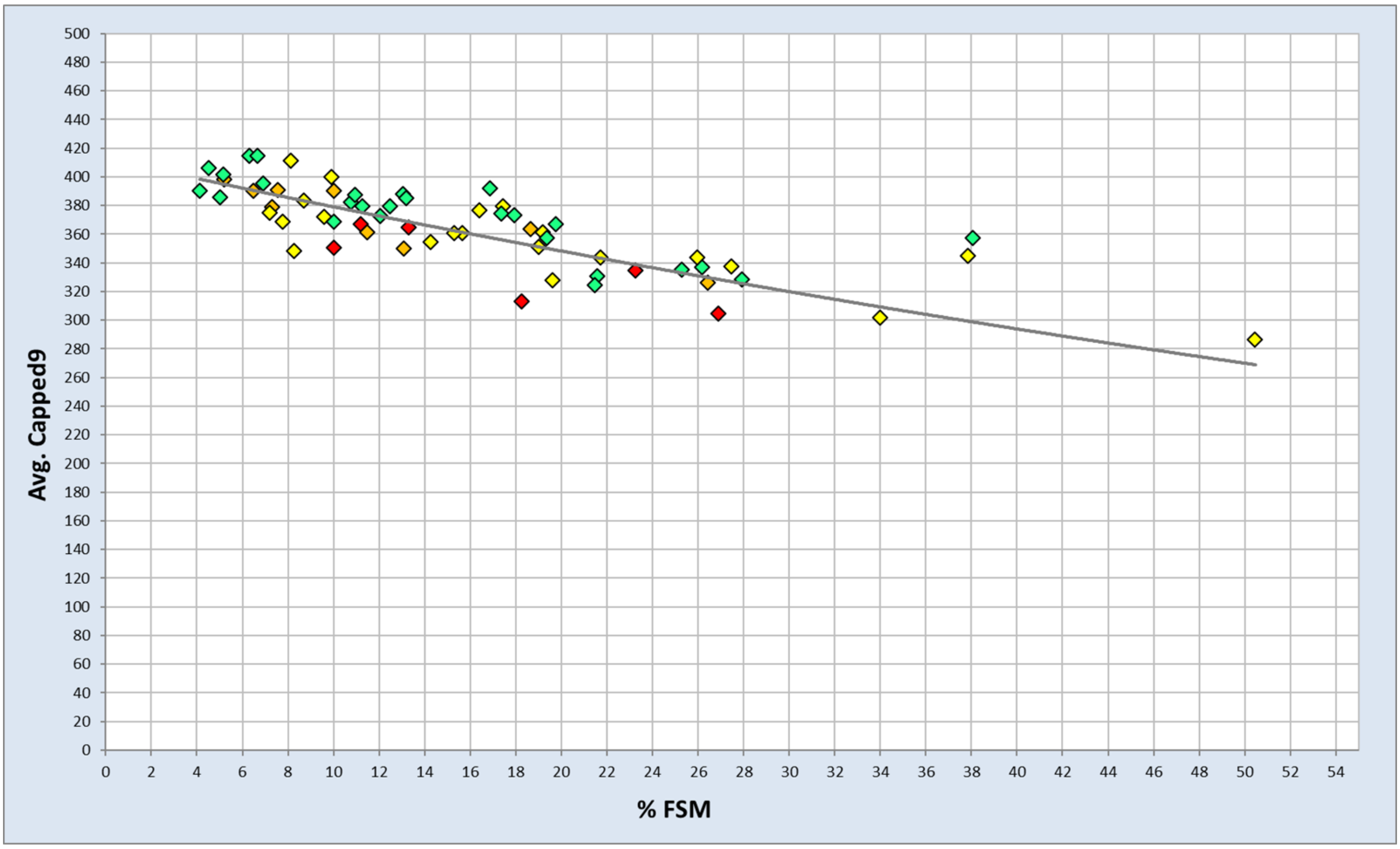
2017



3 year Average



Capped 9


Avg. Capped9
500
480
460
440
420
400
380
360
340
320
300
280
260
240
220
200
180
160
140
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100
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48
50
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% FSM

ERW
Ein Rhanbarth ar Waith
Education through Regional Working
www.erw.cymru
www.erw.wales

## CYD-BWYLLGOR ERW
## 21 MAWRTH 2018

# Cofrestr Risgiau

**Y Pwrpas: Hysbysu'r Cyd-Bwyllgor o risgiau ERW**

**YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:**

**I'r Cyd-Bwyllgo dderbyn yr adroddiad a cytuno'r risgiau nodwyd yn y gofrestr.**

**Y RHESYMAU: Anghenion Risk ac Archwiliad Mewnol**

| | | |
|---|---|---|
| **Awdur yr Adroddiad:**<br>**Betsan O'Connor** | **Swydd:**<br>**Rheolwr gyfarwyddwr** | **Rhif Ffon 01267 24 5640**<br>**E: bost**<br>**Betsan.oconnor@erw.org.uk** |

# EXECUTIVE SUMMARY
# ERW JOINT COMMITTEE
# 21 MARCH 2018

## Risk register

**BRIEF SUMMARY OF PURPOSE OF REPORT**

**The Risk Register capture the systemic risk within ERW. It is divided into various individual registers. Risks are scored on an impact/probability matrix. The Central and Financial registers are completed by the ERW Managing Director, and the Local Authority registers are completed by officers in each respective Local Authority.**

| | |
|---|---|
| **DETAILED REPORT ATTACHED?** | **YES** |

## IMPLICATIONS

| Legal | Finance | Risk Management Issues | Staffing Implications |
|---|---|---|---|
| **NONE**<br>(Delete as applicable) | **YES**<br>(Delete as applicable) | **YES**<br>(Delete as applicable) | **NONE**<br>(Delete as applicable) |

1. **Finance**

   **The Financial Risk Register deals with the consortium's financial risks**

2. **Risk Management**

   **The Risk Register is ERW's primary mechanism for capturing systemic risk**

## CONSULTATIONS

Details of any consultations undertaken are to be included here

**Section 100D Local Government Act, 1972 – Access to Information**
**List of Background Papers used in the preparation of this report:**
**THESE ARE DETAILED BELOW**

| Title of Document | File Ref No. | Locations that the papers are available for public inspection |
|---|---|---|
| | | |

ERW
Ein Rhanbarth ar Waith
Education through Regional Working

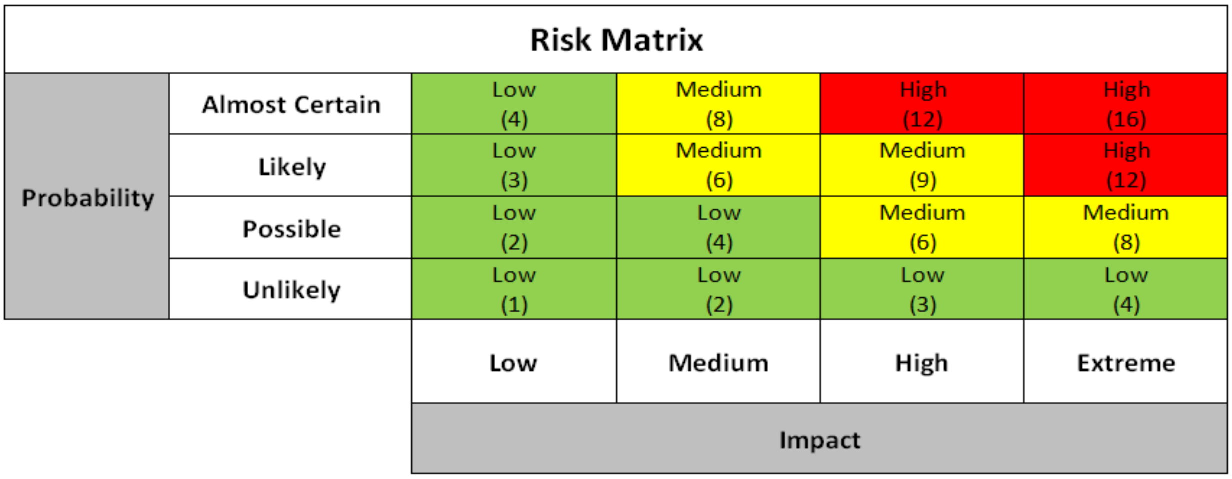
Managing a risk register should be seen as a supportive and helpful way of recording issues and the support required to get the actions in place to mitigate the risk. In a partnership, the process of escalating and sharing each others risks are complex.

Risk register format has matured in recent months and has been agreed by Joint Committee (June 2015) as fit for purpose. Joint Committee agreed that under leadership of Karen Jones (NPT, Head of Corporate Development) that we should further mature process ready for new financial year.

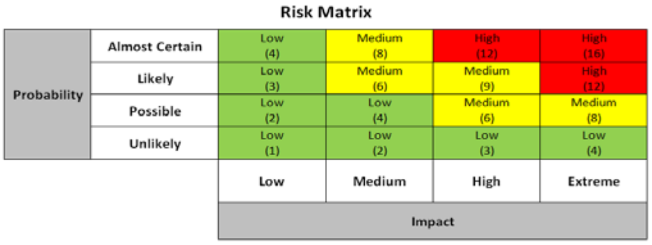
Key Actions:

* Identify Hub and LA owner where necessary.
* Collation of LA/Hub risks can be collated for Hub QA, reducing duplication.
* Review risk profile after mitigation and actions.
* Discuss lessons learnt as part of review process.
* Include review at Executive and Joint Committee.
* Prioritise risks and order levels of risks.
* Link to self evaluations.

Below is the Risk Matrix:-



| Risk Matrix | | | | | |
|---|---|---|---|---|---|
| **Probability** | **Almost Certain** | Low<br>(4) | Medium<br>(8) | High<br>(12) | High<br>(16) |
| | **Likely** | Low<br>(3) | Medium<br>(6) | Medium<br>(9) | High<br>(12) |
| | **Possible** | Low<br>(2) | Low<br>(4) | Medium<br>(6) | Medium<br>(8) |
| | **Unlikely** | Low<br>(1) | Low<br>(2) | Low<br>(3) | Low<br>(4) |
| | | **Low** | **Medium** | **High** | **Extreme** |
| | | **Impact** | | | |



**Risk Matrix**

| | | | | | |
|---|---|---|---|---|---|
| **Probability** | **Almost Certain** | Low<br>(4) | Medium<br>(8) | High<br>(12) | High<br>(16) |
| | **Likely** | Low<br>(3) | Medium<br>(6) | Medium<br>(9) | High<br>(12) |
| | **Possible** | Low<br>(2) | Low<br>(4) | Medium<br>(6) | Medium<br>(8) |
| | **Unlikely** | Low<br>(1) | Low<br>(2) | Low<br>(3) | Low<br>(4) |
| | | **Low** | **Medium** | **High** | **Extreme** |
| | | **Impact** | | | |

# ERW Risk Register

**January 2018**

## Central

**Inherent Risk**

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | Treatment | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| 1 | **Estyn visits result in LAs being placed in follow up / special measures or requiring further attention** | Chief Education Officers | Likely | High | 9 | ~~Transfer to 3rd Party / LA~~ | Robust self evaluation and monitoring at LA level, with regional strategies to support.<br>Pembrokeshire support network established by ERW by mutual consent. Review of evidence work reaims of concern. | ~~Place on Pembrokeshire Risk Register~~ | ~~Email sent~~ | ~~Pembrokeshire~~ | N/A | Likely | High | 9 | March 2015 | |
| 2 | **Inspection of Region or any single LA finds less than adequate standards, provision or leadership** | Managing Director and 6 Directors | Likely | High | 9 | Treat and Mitigate | Alternative support lead ChAd for schools causing concern required in LA. all alliance members tke ownership on detaila and accountability. Effective BP in place.<br>Clear plan for improvement as part of improvement planning, but heightned urgency pre inspection. Taken swift effective action against recommendations of Estyn review. Good track record of impact on outcomes. Quality systems secure. Infrastructure clear. | All | Risk for all LAs but specifically Pembrokeshire, where pace of improvement has not been good enough and high proprtion of secondaries causing concern. | All | N/A | likely | Medium | 6 | March 2015 | |
| 3 | **Insufficient capacity of Central Team and Challenge Adviser Team to deliver Business Plan to high standard** | Directors and Managing Director | Likely | High | 9 | Treat and Mitigate | Effective planning Central Team capacity to coordinate and facilitate change. position remains same and is critical<br>Discuss with all Directors 24/07/15. All agreed capacity and restructure of Central Team. Improved planning and training on key workload issues. Challenege adviser capacity agreed to maintain at full Sept 2015 | N/A | Review leads to need to reaffirm from all LAs the commitment as set out in legal agreement. Joint committee paper on comparing regions is likely to raise issue and further action is likley. Central team capacity discussion with LD 14/10/16. Critical 11/12/17, following reports to JC SEptember 2017 - both ChAd and central team capacity matters have not been tackled, and now are increasingly having an impact on the support given to schools. | all | N/A | Likely | High | 9 | March 2015 | |
| 4 | **Governance and Legal footing of ERW found to be ineffective at securing consistent improvement across all LAs by Estyn / WAO / WG / Self Evaluation** | Managing Director, Directors and Monitoring Officer | Possible | High | 6 | Treat and Mitigate | Evidence of effective communication, planning and accountability. Impact on outcomes is clear. Remaining risk is system knowledge by external stakeholders. Action by LA to respond to identified risks in Register | | Estyn follow up report note that the governance structure has hindered progress. December 2017 | N/A | N/A | Almost Certain | Extreme | 4 | March 2015 | |
| 5 | **Support and intervention coupled with local plans and strategies do not lead to improvement in PCC** | Lead Chief Exec., Lead Director, Managing Director and PCC Corporate Leadership Team | Likely | High | 9 | Treat and Mitigate | plans agreed and committed to by Exec in Dec 2015. network underway and chaired by Lead Chief exec. Estyn and WG sighted of plans - work to action necessary | transfer to LA register necessary | agreement between MD and Director as to support for all key schools causing cocnern. Remains concern n revieiwing support proviced for key schools. Duplication remains a concern. | Pembs | | likely | High | 9 | October 2015 | |
| 6 | **Failure to address or implement key areas of ERW BP** | MD / Chairs of Priority Boards | likely | High | 9 | Treat | Focus on bringing pace to groups through effective minutes/actions.increased central capacity to monitor quality and actions/ focus.<br>Target additional support for Support for Learning Groups. | | All alliance members should adhere to agreed code of conduct, BP actions and Legal agreement. Capacity issues in central team , and capacity of LAs to respond to Legal Agreement commitment and SLAs | N/A | | Almost Certain | High | 12 | March 2015 | |

**Risk Matrix**

| | | | | | |
|---|---|---|---|---|---|
| Probability | Almost Certain | Low<br>(4) | Medium<br>(8) | High<br>(12) | High<br>(16) |
| | Likely | Low<br>(3) | Medium<br>(6) | Medium<br>(9) | High<br>(12) |
| | Possible | Low<br>(2) | Low<br>(4) | Medium<br>(6) | Medium<br>(8) |
| | Unlikely | Low<br>(1) | Low<br>(2) | Low<br>(3) | Low<br>(4) |
| | | Low | Medium | High | Extreme |
| | | Impact | | | |

# ERW Risk Register

**January 2018**

## Financial

### Inherent Risk

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| 1 | **WG Funding may not be timely resulting in underspend at the end of the financial year** | Managing Director / Section 151 Officer | Likely | High | 9 | Tolerate | Effective plans locally to mitigate impact.<br>Financial forward planning with contingency arrangements so that essential implementation is not hindered.<br>Constant communication with WG to improve expectation. Communication to WG | | 2016-17 commitment form WG to work more effective with regions and LAs, should help situation. MD success at getting fair funding formula for all regions will positively impact on ERW | N/A | | Likely | Medium | 6 | March 2015 | |
| 2 | **Measured impact does not reflect value for money on ERW's work outcomes** | Managing Director | Likely | Medium | 6 | Treat | Comprehensive VFM Framework in place.<br>In house monitoring of effectiveness; support in any identified areas of concern.<br>Regular reports to Exec. Board.<br>VFM monitoring and recommendations from Internal Audit undertaken. | | Suggest taking of register after Exec. Board and Joint Committee review VFM Framework and reports. Due to reposrt to JC July 2016 comarison data with other regions. | N/A | | Unlikely | Low | 1 | March 2015 | |
| 3 | **Individual LAs fail to comply with Grant Regulations and limited assurance given from other LA's to PCC** | Section 151 Officer and Head of Internal Audit | Likely | High | 9 | Treat | Clear agreed financial guidance and procedures. Correspondence from Section 151 Officer and Internal Audit to all LA's.<br>Assurance for PCC from each LA.<br>Improved communication and understanding of roles, responsibilities and risks.<br>Training and termly finance officers meeting. | | | N/A | | Possible | Medium | 4 | March 2015 | |
| 4 | **Region not funded fairly by WG in proportion to number of schools, pupils and teachers** | | Likely | High | 9 | Escalate WG | On-going correspondence to WG over past year. Comittment given re sparcity | | Constant on-going discussions with WG. JC opt not to write to WG but to raise via representatives. Limited control on external factors. Breakthrough in discussions but nothing confirmed in writing 10.5.16 | N/A | | Unlikely | Low | 1 | March 2015 | |
| 5 | **Financial pressures in each LA leading to cuts affecting school services** | LAs | Likely | High | 9 | | ERW maintains high delegation rate to schools | | On-going information and discussion. Impact on capacity and willingness of schools to engage on self improving system. Further work with HT board to ensure clarity around epectations of HT to colllaborate and the remuneration. | | All | Almost Certain | High | 12 | October 2015 | |
| 6 | The region has received two letters from WG outlining the concerns that ERW is not using its "Regional Grants" within the spirit of the terms and conditions. Risk that funding may be withdrawn | Managing Director, Directors | Likely | Hgh | 9 | | Review of financial arrangements authorised by Joint Committee as part of Review and Reform Programme. | | New grant conditions within review and reform programme. No decision made | | | Almost Certain | High | 12 | | |

**Risk Matrix**

| | | | | | |
|---|---|---|---|---|---|
| Probability | Almost Certain | Low<br>(4) | Medium<br>(8) | High<br>(12) | High<br>(16) |
| | Likely | Low<br>(3) | Medium<br>(6) | Medium<br>(9) | High<br>(12) |
| | Possible | Low<br>(2) | Low<br>(4) | Medium<br>(6) | Medium<br>(8) |
| | Unlikely | Low<br>(1) | Low<br>(2) | Low<br>(3) | Low<br>(4) |
| | | Low | Medium | High | Extreme |
| | | Impact | | | |

# ERW Risk Register

January 2018

## School Improvement - Carmarthenshire

### Inherent Risk

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| 1 | **Estyn visits result in high proportion of schools being placed in follow up / special measures** | Chief Education Officers and Heads of Hub | Possible | High | 6 | Treat and Transfer | Analyses of range of data and ongoing monitoring by ChAds provides early indications. Consistent programme of school improvement through brokered 'menu of support.' Enhanced capacity of school-to-school support. Additional support and challenge provided in light of revised Estyn Framework and National Categorisation requirements to ensure parity between findings of both parties (ERW and Estyn). SCC review activity and ongoing monitoring of schools' progress / needs (including Category of Support programme) led by PCAs. Ongoing work programme of PCAs/Head of School Effectiveness and Hub QA Team provides additional support. | | Ongoing training and professional development programme provided to support all ChAds with clear guidance. Additional early identification of risks through moderation activities (Autumn Term), Rhwyd QA and analyses of CV1 and 2 provides constructive support. | | LA capacity (ability to support and challenge) remains under review with ongoing recruitment programme in place. | Unlikely | Medium | 2 | March 2015 | |
| 2 | **School categorisation results in increasing numbers of amber / red schools** | Managing Director | Possible | Medium | 4 | Treat | Ongoing effective support from ChAds and wider team members provides a consistent  programme of school improvement through the individual brokered 'menu of support' (agreed with school durng CSV1 - Autumn Term). Consistent CSV1 training for ChAds enhances implementation and improved targeting of potential risks. Early moderation activities support implementation of provision based on 'current needs.' Ongoing focus on enhancing leadership and provision through range of HT Seminars and Network activities e.g. Action Research Projects. | | Await outcome of national discussions on role / impact of 'Judgement 1 - Standards' and potential following influence on Leadership/Provision judgements. Content and fidndings  of Core Support Visit agendas will support accuracy / level of need. | | | Unlikely | Medium | 2 | March 2015 | |
| 3 | **Inconsistency in support to Schools through variability in work of individual Challenge Advisers** | Head of Support and Performance & PCAs | Possible | Medium | 4 | Treat and Transfer | Defined support arrangements for schools are set out clealry to ensure a consistent entitlement via the 'menu of support' and shared with all parties. Comprehensive training and awareness raising programmes are in place. Hub QA meetings support monitoring of school progress at an individual level / any potential risks. Recent ERW training packages have continued to supporte the 'consistency agenda.' Rhwyd package provides consistent template / level of expectation. | | Regular Team Meetings (weekly) provide additional opportunities for sharing good practice and any potential concerns. Line management systems are robust and provide addtional support if necessary. Successful completion of ongoing ChAd recruitment programme will further support capacitiy and any consistency issues. | | | Unlikely | Medium | 2 | March 2015 | |
| 4 | **Insufficient monitoring of and support to schools causing concern** | PCAs, Hub QA Team Members and Chief Education Officers | Unlikely | High | 3 | Treat and Transfer | ERW SCC Protocols support ChAd activity.  Standing item on Hub QA.  SCC Plans in place with monitoring and review support from Hub QA Team and PCAs. Hub QA focused on monitoring progress and impact on a regular and individual basis.  Improvement Panels implemented in specific targeted schools. Consistent approach and impact gained across the LA. | | | | | Unlikely | Medium | 2 | May 2015 | |
| 5 | **LA staff (including Challenge Advisers) unnecessarily undertaking activity outside the regional strategy** | Directors | Possible | High | 6 | Treat | Hub QA & PCA / ChAd Team meetings review workload and impact to ensure early identification of issues / risks. | | Clarity on ChAd role supported by revised Core Support Visit schedules. However, any potential risks need to remain under review. | | | Possible | High | 6 | July 2015 | |
| 6 | **Failure to raise standards, specifically for Efsm pupils** | Directors | Unlikely | High | 3 | Treat | Ongoing targeted interventions re being implemented and sharing of most effective practice across schools networks continues to benefit learners. ERW CSV1 to analyses PDG plans and clarify any further actions for 'menu of support.' CCC eFSM Scrutiny Panel Report has been published and supported identification of 'good practice' and potential risks. | | | | | Unlikely | High | 3 | July 2015 | |

**Risk Matrix**

| | | | | | |
|---|---|---|---|---|---|
| **Probability** | **Almost Certain** | Low<br>(4) | Medium<br>(8) | High<br>(12) | High<br>(16) |
| | **Likely** | Low<br>(3) | Medium<br>(6) | Medium<br>(9) | High<br>(12) |
| | **Possible** | Low<br>(2) | Low<br>(4) | Medium<br>(6) | Medium<br>(8) |
| | **Unlikely** | Low<br>(1) | Low<br>(2) | Low<br>(3) | Low<br>(4) |
| | | **Low** | **Medium** | **High** | **Extreme** |
| | | **Impact** | | | |

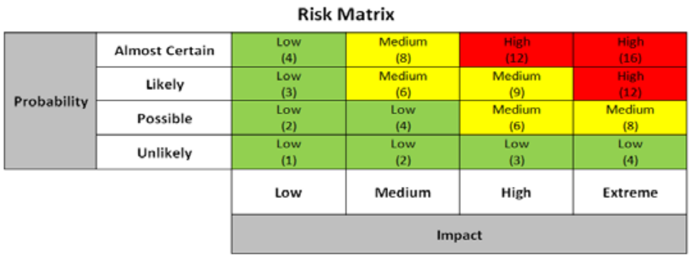
# ERW Risk Register

**January 2018**

## School Improvement - Pembrokeshire

**Inherent Risk**

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| 1 | **Estyn visits result in high proportion of schools being placed in follow up / special measures** | Chief Education Officers and Heads of Hub | Possible | High | 6 | Treat and Transfer | Analyses of range of data and ongoing monitoring by ChAds provides early indications.Consistent programme of school improvement through brokered 'menu of support.' Leadership Strategy and KS4 Improvement Plan in place. Enhanced capacity of school-to-school support. DCEO leading SCC reviews supported by PCA and Hub Lead. Work programme of ERW Head of Stds provides additional support. | | Additional regional resources proviide support and capacity for more focused local activity (ChAd deployment). Ongoing ERW training and professional development opportunities continue to provide guidance and facilitate improvement. | | | Possible | Medium | 4 | March 2015 | |
| 2 | **School categorisation results in increasing numbers of amber / red schools** | Managing Director | Possible | Medium | 4 | Treat | Ongoing effective support from ChAds and wider team members provides a consistent programme of school improvement through the individual brokered 'menu of support' (agreed with school durng CSV1 - Autumn Term). Consistent CSV1 training for ChAds enhances implementation and improved targeting of potential risks. Early moderation activities support implementation of provision based on 'current needs.' Ongoing focus on enhancing leadership and provision through range of HT Seminars and Network activities | | Await outcome of national discussions on role / impact of 'Judgement 1 - Standards' and potential following influence on Leadership/Provision judgements. Content and fidndings of Core Support Visit agendas will support accuracy / level of need. | | | Unlikely | Medium | 2 | March 2015 | |
| 3 | **Inconsistency in support to Schools through variability in work of individual Challenge Advisers** | Head of Quality and Standards & PCAs | Possible | High | 6 | Treat and Transfer | Defined support arrangements for schools are set out clealry to ensure a consistent entitlement via the 'menu of support' and shared with all parties. Comprehensive training and awareness raising programmes are in place. Hub QA meetings support monitoring of school progress at an individual level / any potential risks. Recent ERW training packages have continued to supporte the 'consistency agenda.' Rhwyd package provides consistent template / level of expectation. | All LA Chief Education Officers | | | | Unlikely | High | 3 | March 2015 | |
| 4 | **Insufficient monitoring of and support to schools causing concern** | Hub QA Team members, PCAs and Chief Education Officers | unlikely | High | 3 | Treat and Transfer | PCC strategic documentation includes KS4 Improvement Plan, SCC Protocol and specific Improvement Strategies (Leadership, T&L, efsm etc). Standing item on Hub QA. SCC Plans led by DCEO with support from Head of Huub and PCA. Hub QA monitroing progress and impact on a regular basis. | | Appt of PCC DCEO completed and enhancing current SCC arrangements. | | | Unlikely | High | 3 | May 2015 | |
| 5 | **LA staff (including Challenge Advisers) unnecessarily undertaking activity outside the regional strategy** | Directors | Possible | High | 6 | Treat | PCC realignment of strategic responsibilites and duties undertaken - reinforces consistency. Hub QA & PCA / ChAd Team meetings review workload and impact to ensure early identification of issues / risks. | | Clarity on ChAd role supported by revised Core Support Visit schedules. However, any potential risks need to remain under review. | | | Possible | high | 6 | July 2015 | |



Risk Matrix

| | | | | | |
|---|---|---|---|---|---|
| Probability | Almost Certain | Low<br>(4) | Medium<br>(8) | High<br>(12) | High<br>(16) |
| | Likely | Low<br>(3) | Medium<br>(6) | Medium<br>(9) | High<br>(12) |
| | Possible | Low<br>(2) | Low<br>(4) | Medium<br>(6) | Medium<br>(8) |
| | Unlikely | Low<br>(1) | Low<br>(2) | Low<br>(3) | Low<br>(4) |
| | | Low | Medium | High | Extreme |
| | | Impact | | | |

# ERW Risk Register

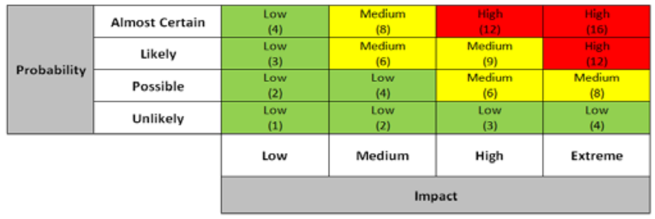
January 2018

## School Improvement - Pembrokeshire

Inherent Risk

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| 6 | **Failure to raise standards, specifically for Efsm pupils** | Directors | Possible | High | 6 | Treat | PCC eFSM Strategy in place and shared with all partners. Ongoing targeted interventions and sharing of most effective practice. Additional PCC Reviews of use / impact of PDG funding. ERW CSV1 clarifying any further actions for 'menu of support' on an individual school basis. | | PCC Efsm Strategy in place. Additional PCC PDG Reviews. | | | Unlikely | high | 3 | July 2015 | |

Risk Matrix



| | | | | | |
|---|---|---|---|---|---|
| Probability | Almost Certain | Low (4) | Medium (8) | High (12) | High (16) |
| | Likely | Low (3) | Medium (6) | Medium (9) | High (12) |
| | Possible | Low (2) | Low (4) | Medium (6) | Medium (8) |
| | Unlikely | Low (1) | Low (2) | Low (3) | Low (4) |
| | | Low | Medium | High | Extreme |
| | | Impact | | | |

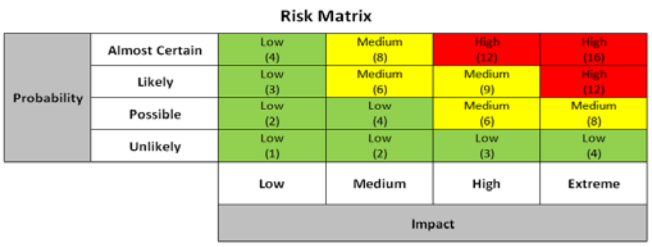
# ERW Risk Regis

January 2018

## School Improvement - Swansea

### Inherent Risk

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| 1 | **Estyn visits result in high proportion of schools being placed in follow up / special measures** | Chief Education Officers and Heads of Hub | possible | High | 6 | Treat and Transfer | Analysis of data and effective support from Challenge Advisers; programme of school improvement ; building capacity of schools to support others.<br>Work programme of Quality Manager and review of schools causing concern. Take a firm stance on absence at training events. Increase the number of full time challenge advisers if possible. Ensure that there is better validity of evidence when monitoring schools. | | Training and profesional devlopment opportunities provided and clear guidance and systems. National accuracy of TA. Risk is heightened if new staff do not follow national and regional guidance or fail to attend training. | Swansea | Estyn have named Swansea as highest outside of Cardiff with 4/17 in statutory category. By October 2016 there are no longer any schools in a statutory category. There is an emerging increase of schools in Estyn monitoring follow-up category at October 2016. By May 2017, one primary in need of SI due to fragility of leadership. By September 2017, significant staff changes at lead challenge adviser and challenge adviser level pose a risk in terms of continuity and consistency. It has been agreed with CEO that absence at training events poses a further risk. | Possible | Medium | 4 | March 2015 | |
| 2 | **Challenge advisers unable to monitor schools because of threat of action short of strike action** | Managing Director | Unlikely | Medium | 2 | Treat | Analysis of data and effective support from Challenge Advisers; programme of school improvement.<br>Common consistent training for Advisers. Communication with schools via headteacher fora is vital to ensure that there are no misconceptions of challenge adviser work. Ladder of Support should be updated for 2017-2018 so that all schools know what to expect. | | More Challenge Advisers required. Red Schools occur beyond categorisation criteria. Sufficient CAs in place from September 2016. Amber plans in place. Pre-inspection support required in amber schools facing inspection. No lead challenge adviser for primary in Swansea between January and May 2017. Role fulfilled by Head of Hub. Guidance for CV2 followed. No issues with TTUs. Since January 2018 training apparent that not all LAs are following same pattern. In neighboroughing LAs headteachers are getting mixed message. Are different approaches to CSV2 and CSV3 being authorised by Directors and what are implications at TTU level? | | | Unlikely | Medium | 2 | March 2015 | |
| 3 | **Inconsistency in support to schools through variability in work of individual challenge advisers** | Managing Director and Executive Board | Likely | Medium | 9 | Treat | Ensure that all central ERW and national categorisation guidance is accessible and adhered to. Remind CAs that their work is to evaluate leadership and teaching/learning thoroughly so that schools access support. There is a risk of too many schools receiving little support when they are not highly effective yet. | | Asking CAs to work outside regional strategy. Duplication of effort still apparent. By October 2016 there is greater understanding of the CA role. However, evidence suggests that headteachers are now less sceptical of regional work. Part-time workforce has resulted in variability. Unable to recruit high calibre permanent CAs. Additional activity during CSVs could dilute the experience. However, in individual schools, where there are particular concerns then matters should be explored. If ALN requires further exploration, the LA may wish to commission reviews, where appropriate. Attendance at training is the starting point for consistency. One primary CA in Swansea is likely to miss 3rd consequetive training on 23/1/18. Only one secondary CA attended training on 9/1/18 for 50% of | | | Possible | Medium | 4 | March 2015 | |
| 4 | **New school improvement professionals unaware of regional business plan and how this is aligned to local operational plans.** | Lead HR Officer | Likely | Medium | 6 | Treat where possible, tolerate | Communication arrangements strengthened and inform TUs of work.<br>Changing strategies led by new HR Lead. Ensure current 2017-2020 Business Plan is accessible to challenge advisers on ERW website. | | Misconceptions of Challenge Adviser work apparent. More resistance in Swansea than NPT. Problems seem to have arisen from central talks. Individual conversations have been helpful to aid clarity. Central talks reported as much improved. Information from strategy meetings are fed back locally by May 2017. By January 2018 challenge advisers are valued and respected by schools. There is a growing understanding of network funding and how to access information via website. Information can by-pass CAs e.g. PLS/ grant funding and S2S. | | | Likely | Medium | 6 | March 2015 | |
| 5 | ~~**Local School Improvement risks not fully mitigated at LA level as a result of interim arrangements in the secondary sector.**~~ | Head of Quality and Standards & Head of Hub | Likely | High | 9 | Treat and Transfer | New arrangements to recruit HTs to support additional capacity. Clear agreed arrangements set out with consistent entitlement to schools. Revised ladder of support 2015-16. Comprehensive Training Programme. Performance management harmonisation. Continuity and progression remains a challenge in the secondary sector. By October 2017 there will be two full time secondary challenge advisers and 5 ad hoc secondary challenge advisers. There is further work to be done to consolidate this team. The CEO considers that 2 FTEs and Welsh medium may be sufficient. | | QA process is adequate and should be preserved at different levels. Individual coaching of staff proves to be beneficial. New recruits require better induction than currently on offer. Challenge adviser handbook and stop the clock activities support improved quality. Part-time challenge advisers need to adhere to guidance. Too much time taken to write reports. Better brokerage of support for key stage 4 required. By January 2018, there is better involvement with central Leaders of Learning. Secondary lead CA in place for almost a year. Has developed good links with central team and part time CAs. Full time CA colleague still required for team. | Behaviours and communication needs to be reiterated and risks noted. And high risk of not working within agreed boundaries. New CAs require good induction. Evidence in October 2016 suggests that there are schools receiving less support than required and that green schools do not always influence their sector sufficiently. By September 2017 there are suitable amber support plans in place for two schools. However, plans vary in quality. | | Likely | Medium | 6 | March 2015 | |



**Risk Matrix**

| | | | | | |
|---|---|---|---|---|---|
| Probability | Almost Certain | Low<br>(4) | Medium<br>(8) | High<br>(12) | High<br>(16) |
| | Likely | Low<br>(3) | Medium<br>(6) | Medium<br>(9) | High<br>(12) |
| | Possible | Low<br>(2) | Low<br>(4) | Medium<br>(6) | Medium<br>(8) |
| | Unlikely | Low<br>(1) | Low<br>(2) | Low<br>(3) | Low<br>(4) |
| | | Low | Medium | High | Extreme |
| | | Impact | | | |

# ERW Risk Regi

## January 2018

## School Improvement - Swansea

### Inherent Risk

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| 6 | **Insufficient monitoring of schools causing concern action plans or amber support school action plans** | Head of Quality and Standards & Head of Hub | Unlikely | High | 3 | Treat | Ensure that new lead challenge advisers are aware of their duties to a) maintain and update the schools causing concern support log on a half-termly basis b) ensure that all amber/ red support plans are visible, updated and shared with stakeholders, ensure that the support log is updated by CAs within teams. LA leads to monitor SCC log and liaise with those attending improvement panels - Team Around the School. | | | Operational plans in Swansea now refer to the ERW business plan. There needs to be a note of instruction from Swansea to identify the particular key priorities for ERW to deliver on. The new annexe to business plan 2017-2020 will feature Swansea's priorities. HOH has shared with lead CAs. | | Possible | Medium | 4 | March 2015 | |
| 7 | **New subject specialists and challenge advisers undertaking work beyond the regional strategy.** | Heads of Hub | Possible | High | 6 | Transfer | Hub level risk assessment reviewed at Hub QA Meeting. Communication with schools now less of a risk. A better understanding of consortia functions has been achieved but will need to be maintained by the incoming CEO. By January 2018 there is a clearer understanding of the consortia functions. A review and reform programme is underway and should contribute to clearer focus and less | | | The regional agendas for core visits should be adhered to. Use of consultants is not part of the regional strategy for literacy and numeracy and should be avoided. There should be local operational plans in place to deliver regional strategies e.g. Menu of Support. | | Possible | Medium | 4 | March 2015 | |
| 8 | **Failure to raise standards, specifically for Efsm pupils** | Head of Hub and Chief Education Officers | Possible | Medium | 4 | Treat and Transfer | Greater scrutiny of PDG planning and intervention required. Is their evidence that the resource improves standards? Gap in fsm and non-fsm performance is widening at key stage 4. By 2018 verified data shows that there is continuous improvement. However, new qualifications do not favour fsm pupils. Contextualised performance places Swansea 2nd in Wales for distribution of quartile | | | This is a key priority for KS4 in Swansea as progress has stalled. Interschool practice is now shared in order to maximise fsm learner potential. | | Unlikely | Medium | 2 | May 2015 | |
| 9 | **Heightened risk of budgetary constrains on support services and schools impacting adversely on staff** | Directors | Likely | High | 9 | Treat | ALN services are streched, in particular. It is important that challenge advisers upskill themselves on the challenges faced by schools. Ringfenced school improvement levels preserved for FY 2017-2018 and split into primary, secondary and curriculum units to ensure best value for money and closer budget monitoring. Vacant posts will result in underspend. | | Schools have dwindling resource for staff CPD in primary schools because of Foundation Phase element of EIG. New TALC model requires explanation so that clusters can nominate a lead practitioner and get the money back to help with CPD. By January 2018, the teaching and learning networks (TALCS) have been established. All Swansea clusters bar Gwyr have engaged within FY 2017-2018. Underspend has been fairly distributed. | | | Possible | High | 6 | July 2015 | |
| 10 | Review and reform of ERW | | | | | | | | | | | | | | | |
| 11 | Lack of clarity on funding criteria | | | | | | | | | | | Possible | Medium | 4 | July 2015 | |

**Risk Matrix**

| | | | | | |
|---|---|---|---|---|---|
| **Probability** | **Almost Certain** | Low (4) | Medium (8) | High (12) | High (16) |
| | **Likely** | Low (3) | Medium (6) | Medium (9) | High (12) |
| | **Possible** | Low (2) | Low (4) | Medium (6) | Medium (8) |
| | **Unlikely** | Low (1) | Low (2) | Low (3) | Low (4) |
| | | **Low** | **Medium** | **High** | **Extreme** |
| | | **Impact** | | | |

# ERW Risk Regis

**January 2018**

## School Improvement - Swansea

**Inherent Risk**

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| | | | | | | | | | | | | | | | October 2015 | |

**Risk Matrix**

| | | | | | |
|---|---|---|---|---|---|
| Probability | Almost Certain | Low (4) | Medium (8) | High (12) | High (16) |
| | Likely | Low (3) | Medium (6) | Medium (9) | High (12) |
| | Possible | Low (2) | Low (4) | Medium (6) | Medium (8) |
| | Unlikely | Low (1) | Low (2) | Low (3) | Low (4) |
| | | Low | Medium | High | Extreme |
| | | Impact | | | |

# ERW Risk Register

**January 2018**

## School Improvement - NPT

### Inherent Risk

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| 1 | **Estyn visits result in high proportion of schools being placed in follow up / special measures** | Chief Education Officers | Possible | High | 6 | Treat and Transfer | Analysis of data and effective support from challenge advisers; programme of school improvement ; building capacity of schools to support others. An increased number of schools in EM is emerging in NPT. Closer scrutiny of CV1/ Categorisation reports required in 2016.<br>Work programme of Quality Manager and review of schools causing concern. Over reliance on data without looking at books must be eradicated.<br>Special measures primary questioned by Estyn. The profile of EM in NPT primary schools increased in 2016-2017. Director has commissioned a strategy on improving leadership in primary schools. HOH has produced draft strategy with Lead CA and CA responsible for leadership. Strategy is an amalgam of ERW provision available, new leadership standards aligned to future leadership academy and specific activity to support DHTs and HTs in NPT. | | | | | Possible | Medium | 4 | March 2015 | |
| 2 | **School categorisation results in increasing numbers of amber / red schools** | Managing Director | Possible | Medium | 4 | Treat | Reduction in number of amber schools between 2015 and 2016. However, numbers of green support school has not increased during this period. LA has introduced a leadership wellbeing project in 2017. Evaluation of leadership wellbeing project now required in 2018. Further work on leadership has been undertaken and all amber/ red schools have amber plans. A few yellow schools may have benefitted from amber support given recent inspection outcomes. Leadership strategy to commence in September 2017 to bring coherence to support available. Director will champion the strategy. By January 2018, there is an improving categorisation profile and acute awareness of factors that may lead to Estyn follow-up. Standards in pupils' work will be a key focus for CSVs 2 and 3. | | Training and profesional devlopment opportunities provided and clear guidance and systems offered. The impact of leadership is not always measured carefully. All challenge advisers have been asked in Hub training to focus on this area. For each school that has gone into EM in 2016-2017 3 were not identified as such by the CA. There was a missed opportunity to review the school in one case and the explanation was weak. A large proportion of HTs in first years of headship in NPT. Valuable support for self-evaluation and planning provided by not always implemented by schools. Close monitoring required. | | | Possible | Medium | 4 | March 2015 | |
| 3 | ~~**Challenge advisers unable to monitor schools where there is a threat of action short of strike action.**~~ | Lead HR Officer | Likely | High | 9 | Treat where possible, tolerate | Communication arrangements strengthened and inform TUs of work.<br>TU relations improved through improved central talks with ERW. No current issues on schools unwilling for monitoring activities to be undertaken by challenge advisers. By September 2017 there are strong partnerships with schools. The move from 2 to 3 visits per annum will need to be communicated thoroughly at local level. | | Paired visits by senior officers for each school causing concern have been identified quickly. A breadth of risk factors and local intelligence has been considered in assessing schools' vulnerability and need for more support. Capacity to meet support requirements is linked to menu of support. Off menu activities are less possible. | | | Likely | Medium | 6 | March 2015 | Sep-17 |
| 4 | **Inconsistency in support to Schools through variability in work of individual Challenge Advisers** | Head of Quality and Standards & Head of Hub | Possible | High | 6 | Treat and Transfer | 3 different secondary challengers in as many years. | All LA Chief Education Officers | The workforce is stable at the moment with good opportunites to learn from experienced officers and challenge advisers. The use of Rhwyd is now embedded and supports consistency. However, the capacity of the lead challenge adviser is stretched on QA. To mitigate, an additional training session is in place to take a collective view of erradicating poorer judgements and report writing. In order to improve reports in general, examples of evidence should be cited in reports to Estyn. There is now better evaluation of data rather than description. Clarity is required on what should be reported to Estyn in light of NIA. By January 2018 parametres for CSVs have been shared. | | | Unlikely | Medium | 2 | March 2015 | |
| 5 | **Categorisation judgements undermined by advisers not following process** | Managing Director | Likely | High | 9 | Treat and Transfer (All LAs) | Comprehensive training provided to ensure consistency.<br>Clear distinction required between categorisation of additional LA risk factors. National training in July 2017 should be implemented. Useful materials should be provided to CAs to aid consistency. Menu of Support is unclear and requires further work. By 2018 NPT has made a decision not to offer the Menu of Support on a Hub basis. | | A full year training programme is now in place to ensure that new and existing CAs are given the required support. Absence during Menu of Support planning day has created lack of clarity. Additional written guidance on professional learning prospectus provided by HOH to mitigate risk | | | Unlikely | High | 3 | March 2015 | |

**Risk Matrix**

| | | | | | |
|---|---|---|---|---|---|
| Probability | Almost Certain | Low<br>(4) | Medium<br>(8) | High<br>(12) | High<br>(16) |
| | Likely | Low<br>(3) | Medium<br>(6) | Medium<br>(9) | High<br>(12) |
| | Possible | Low<br>(2) | Low<br>(4) | Medium<br>(6) | Medium<br>(8) |
| | Unlikely | Low<br>(1) | Low<br>(2) | Low<br>(3) | Low<br>(4) |
| | | Low | Medium | High | Extreme |
| | | Impact | | | |

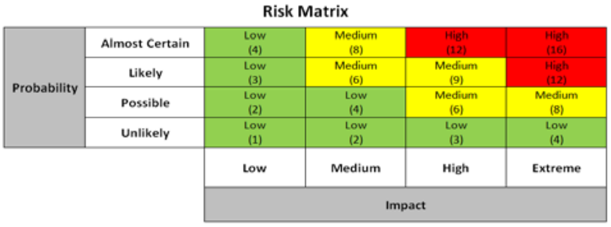
# ERW Risk Register

January 2018

## School Improvement - NPT

Inherent Risk

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| 6 | **Local School Improvement risks not fully mitigated at LA level - specifically elements of duplication** | Head of Hub and Chief Education Officer | Likely | High | 9 | Transfer | Hub level risk assessment reviewed at Hub QA Meeting.<br>Hub risk register created after June Meeting 2015.<br>Risk pertain to Hub and should be revisited termly. There are still elements of duplication. Overall, in comparison to 2015 the level of duplication has reduced and school improvement work is aligned to regional expectation. This has been facilitated by Rhwyd, CA guidance and Ladder of Support. Internal intranet has helped communication and improved compliance with agreed activity. Are CAs being authorised to operate outside regional protocols? | | ERW risk register is now distinctly different to a list of schools with additional risk factors. The risk register is a standing agenda item and the inherent service risks are discussed throughout half termly meetings. The register is now more accessible to all. Are all risks shared and discussed in earnest at challenge adviser level? In September 2017, the risk register should be discussed in team meetings as well as Hub QA. | NPT | | Unlikely | Medium | 2 | March 2015 | |
| 7 | **~~Insufficient monitoring of action plans for schools causing concern or amber support action plans~~** | Head of Hub and Chief Education Officer | Possible | Medium | 4 | Treat and Transfer | Standing item on Hub QA.<br>Practice is shared across the Hub to reduce the risks.<br>Guidance provided on monitoring Estyn and have to coordinate support effectively. NPT have decided not to produce an amber plan if a PIAP already exists. Questions have been raised about duplication in schools causing concern log and LA action plans for red/ amber schools. Used for two purposes so both must be maintained. | | Monitoring the impact of schools causing concern is now logged centrally and for September 2016 new concern schools have a specific plan in addition to the log. Precise actions for schools need to be sharper in the log and this is under review. Challenge advisers have gradually adapted to the need for closely monitored plans and are now familiar with expectations. Where PIAPS exist, the NPT challenge advisers have been advised not to create a new action plan. From 2017 all new amber/ red schools should continue to have a plan in place that can be monitored at least on a half termly basis. by January 2018, there is evidence of good pace of improvement at primary level. There are no red or amber secondary schools in NPT. | | | Unlikely | High | 3 | May 2015 | |
| 8 | **~~Accross the Hub, 26% of reports had 'concerns' as reported by Estyn between 2015-2017~~** | Directors | Likely | High | 9 | Treat | Reports are QAd in triplicate to ensure reports are stronger/more evaluative. Sign off is required by LA. Head of Education Improvement provides suggested changes. New workforce needs additional support. Where reports lacked rigor in NPT, it was mainly on overgenerosity on the impact of leadership and low validity on the evidence provided to Estyn. The risks have now been treated by HOH and Lead CA. There are good arrangements in place for NPT CA to know and understand the new Estyn CIF well and to be able to support schools with their SERs - this has been facilitated by the Lead CA. Both NPT and Swansea Director/ CEO have agreed to supply latest core visit report to Estyn with additional information in the cover note, as there is a 4 day turn around. | | Risk is now lower. Nearly all challenge advisers produce good quality reports. Going forward, Estyn will require the last core visit report on a school for pilot schools in 2016-2017. This places greater weighting on QA of core visits. New report templates across region should harmonise approach to reporting to Estyn. Training provided in how to evaluate rather than describe performance. Greater emphasis placed on what CAs hear and see in schools required. | | | Unlikely | Medium | 2 | July 2015 | |
| 9 | **LA staff (including Challenge Advisers) unnecessarily undertaking activity outside the regional strategy** | Directors | Possible | Medium | 4 | Treat | There is greater clarity on the menu of support this year where CAs are better equipped to broker the support required. However, off menu activity for Teacher Development Officers is a risk. Examples of this are engagement with commercial companies and lack of S2S methodology. All subject specialsts have spent 4 days planning the regional menu of support. It now needs to be delivered. For 2017-2018, the capacity to deliver the Menu of Support has reduced so S2S is required to deliver. The new leadership Menu of Support will be delivered by 30 schools but there were no self-nominations from NPT for this. Capacity of CAs in NPT should be 8.5. Long term sickness has reduced capacity in last Q. CA are called to undertake exconsortia functions e.g. safeguarding visits and meetings. | | | Local discussion to ensure appropriate capacity. The ERW 2017-2018 Professional Learning Prospectus that contains the Menu of Support has now been shared with NPT schools. However, clarity on who does what and why on a local level is still required to ensure that NPT receive quality support in a timely fashion. | | Unlikely | Medium | 2 | July 2015 | |
| 10 | **Failure to raise standards, specifically for Efsm pupils** | Directors | Likely | Medium | 6 | Treat | Targeted interventions and sharing most effective practice. Commissioned research. By January 2018, verified fsm performance indicates strong performance at key stage 4, a positive trend at key stage 2 but a decline in Foundation Phase. | I | | | | Possible | Medium | 4 | July 2015 | |



**Risk Matrix**

| | | | | | |
|---|---|---|---|---|---|
| Probability | Almost Certain | Low (4) | Medium (8) | High (12) | High (16) |
| | Likely | Low (3) | Medium (6) | Medium (9) | High (12) |
| | Possible | Low (2) | Low (4) | Medium (6) | Medium (8) |
| | Unlikely | Low (1) | Low (2) | Low (3) | Low (4) |
| | | Low | Medium | High | Extreme |
| | | Impact | | | |

# ERW Risk Register

**January 2018**

## School Improvement - NPT

**Inherent Risk**

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| 11 | **Heightened risk of budgetary constrains on support services and schools impacting adversely on staff** | DirectorsDirectors | Likely | High | 9 | Treat | | There is an emerging need to greater align the work of CAs to wellbeing/ care, support and guidance because of greater demand, curriculum reform/ ALN reform and local needs. The work of the Support for Learning Piority Board will be crucial in shaping this agenda for CAs in CSV2s and CSV3s. | | | | | | | October 2015 | |
| 12 | Reputational risk as headteachers are unclear about criteria for allocation of money to schools. | | | | | | | | | | | | | | | |
| 13 | Review and reform of ERW | | | | | | | | | | | | | | | |

**Risk Matrix**

| | | | | | |
|---|---|---|---|---|---|
| **Probability** | **Almost Certain** | Low<br>(4) | Medium<br>(8) | High<br>(12) | High<br>(16) |
| | **Likely** | Low<br>(3) | Medium<br>(6) | Medium<br>(9) | High<br>(12) |
| | **Possible** | Low<br>(2) | Low<br>(4) | Medium<br>(6) | Medium<br>(8) |
| | **Unlikely** | Low<br>(1) | Low<br>(2) | Low<br>(3) | Low<br>(4) |
| | | **Low** | **Medium** | **High** | **Extreme** |
| | | **Impact** | | | |

# ERW Risk Register

**January 2018**

## School Improvement - Powys

**Inherent Risk**

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| **1** | **School categorisation results in increasing numbers of amber / red schools** | **Managing Director, Chief Education Officer / Director and Head of Hub** | **Possible** | **medium** | **4** | **Treat** | Ensure robust categorisation, with regular team meetings and QA to ensure that all ChAD are fully up to date with ammendements to categorisation; especially in light of Step 1 changes. | | | Newtown HS a concern re. wellbeing issues, however progress made. | On LA risk register | | | | **May 16** | |
| 2 | **Estyn visits result in high proportion of schools being placed in follow up / special measures** | Chief Education Officers and Heads of Hub | Likely | High | 9 | Treat and Transfer | Additional secondary capacity added 12 months ago. School to school support such as Bryntawe/Bro Hyddgen and Caereinion/Gwernyfed is adding valuable capacity. | | | Good progress made at Caereinion and Llanfyllin. Llandrindod HS not making progress as required. Builth Wells making progress, but GCSE results below expectation. | | | | | March 2015 | |
| 3 | **Insufficient monitoring of and support to schools causing concern (secondary specific)** | Head of Hub and Chief Education Officers | Likely | High | 9 | Treat and Transfer | see above | | | see above | | | | | May 2015 | |
| 4 | **LA staff (including Challenge Advisers) unnecessarily undertaking activity outside the regional strategy** | Directors | Possible | Medium | 4 | Treat | | Ongoing risk and LA staff capacity reduces | | | | | | | July 2015 | |
| 5 | **Difficulty in recruiting school leaders results in lower leadership stabdards** | Chief Education Officer and HofH | Likely | High | 9 | Escalate | | | | | | | | | October 2015 | |
| 6 | **Failure to further improve key performance indicators at secondary, in particular L2+** | Chief Education Officer and HofH | Likely | Medium | 6 | Treat | | | | | | | | | October 2015 | |

**Risk Matrix**

| | | | | | |
|---|---|---|---|---|---|
| **Probability** | **Almost Certain** | Low (4) | Medium (8) | High (12) | High (16) |
| | **Likely** | Low (3) | Medium (6) | Medium (9) | High (12) |
| | **Possible** | Low (2) | Low (4) | Medium (6) | Medium (8) |
| | **Unlikely** | Low (1) | Low (2) | Low (3) | Low (4) |
| | | **Low** | **Medium** | **High** | **Extreme** |
| | | **Impact** | | | |

# ERW Risk Register

**January 2018**

## School Improvement - Powys

**Inherent Risk**

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| 7 | **Failure to raise standards, specifically for Efsm pupils** | Directors | Likely | Medium | 6 | | | | | | | | | | July 2015 | |

**Risk Matrix**

| | | | | | |
|---|---|---|---|---|---|
| **Probability** | **Almost Certain** | Low (4) | Medium (8) | High (12) | High (16) |
| | **Likely** | Low (3) | Medium (6) | Medium (9) | High (12) |
| | **Possible** | Low (2) | Low (4) | Medium (6) | Medium (8) |
| | **Unlikely** | Low (1) | Low (2) | Low (3) | Low (4) |
| | | **Low** | **Medium** | **High** | **Extreme** |
| | | **Impact** | | | |

# ERW Risk Register

January 2018

## School Improvement - Ceredigion

### Inherent Risk

| Risk Reference | Nature / Description of Risk | Risk Owner | Probability | Impact | Risk Score | | Actions to Mitigate Risk | Transfer detail (if necessary and date) | Additional Detail | LA / Hub | Escalation from LA detail (if necessary and date) | Following Mitigation | | | Date appear on ERW Register | Date taken off ERW Register |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | Probability | Impact | Risk Score | | |
| 1 | **School categorisation results in increasing numbers of amber / red schools** | Managing Director, Chief Education Officer / Director and Head of Hub | Possible | Medium | 4 | Treat | Ensure robust categorisation, with regular team meetings and QA to ensure that all ChAD are fully up to date with ammendements to categorisation; especially in light of Step 1 changes. | | Some schools will be amber due to changes in leadership. | | | | | | March 2015 | |
| 3 | **Difficulties in recruiting school leaders results in lower leadership standards in schools** | Managing Director, Chief Education Officer / Director and Head of Hub | Likely | High | 9 | Escalate | Consistent recruitment drive with HR | | Currently 1 primary Headteacher vacancy. Maths secondary vacancies in 2 secondary school - Penglais and Penweddig | | | | | | | |
| 4 | **Insufficient monitoring of and support to schools causing concern** | Head of Hub and Chief Education Officers | Possible | Medium | 4 | Treat and Transfer | Hof Hub and Tim Hyn meetings; Schools Causing Concern register | | Penglais in Estyn monitoring - new HT; potential for more rapid improvement however early. | | | | | | May 2015 | |
| 5 | **LA staff (including Challenge Advisers) unnecessarily undertaking activity outside the regional strategy** | Directors | Possible | Medium | 4 | Treat | HofHub and Tim Hyn meetings | | Ongoing risk as LA staff capacity reduces | | | | | | July 2015 | |
| 6 | **Current PwC review could lead to service cuts in school advisory service** | Chief Education Officer and HofH | Likely | High | 9 | Tolerate and transfer | N/A | | | | | | | | October 2015 | |
| 7 | **Failure to raise standards, specifically for Efsm pupils** | Directors | Likely | Medium | 6 | | Focus in CV and with advisory staff | | Reduction in % at GCSE attaining L2+ from 44% in 2016 to 33% in 2017, with reduced cohort However, good standards for e fsm learners Foundation Phase- KS3. | | | | | | July 2015 | |

Mae'r dudalen hon yn wag yn fwriadol

Ein Rhanbarth ar Waith
Education through Regional Working
www.erw.cymru
www.erw.wales

# CYD-BWYLLGOR ERW
21 MAWRTH 2018

## Cynllun Busnes

**Y Pwrpas: Ystyried Cynllun Busnes drafft ERW ar gyfer 2018-2021**

**YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:**

**Cytuno ar y blaenoriaethau allweddol a nodir yng Nghynllun Busnes drafft ERW**

**Y RHESYMAU: Amcanion Lefel 1 a Lefel 2 i'w hystyried.**

| | | |
|---|---|---|
| **Awdur yr Adroddiad:**<br>**Aneirin Thomas** | **Swydd:**<br>**Pennaeth Ansawdd a Chymorth** | **Rhif Ffon**<br>**E: bost**<br>**aneirin.thomas@erw.org.uk** |

# EXECUTIVE SUMMARY
# ERW JOINT COMMITTEE
# 21 MARCH 2018

## BUSINESS PLAN

### BRIEF SUMMARY OF PURPOSE OF REPORT

The ERW Business Plan includes all strategic priorities that will lead the work of the regional school improvement service. It is aligned with Welsh Governments' National Mission for Wales and incorporates priorities identified by each of the six Local Authorities.

| | |
|---|---|
| **DETAILED REPORT ATTACHED?** | **YES** |

## IMPLICATIONS

| Policy, Crime & Disorder and Equalities | Legal | Finance | Risk Management Issues | Staffing Implications |
|---|---|---|---|---|
| **No** | **No** | **Yes** | **No** | **No** |

1. **Finance**

   **All level 2 objectives have been aligned with ERW funding streams**

## CONSULTATIONS

Details of any consultations undertaken are to be included here

**Section 100D Local Government Act, 1972 – Access to Information**
**List of Background Papers used in the preparation of this report:**
**THESE ARE DETAILED BELOW**

| Title of Document | File Ref No. | Locations that the papers are available for public inspection |
|---|---|---|
| | | |

# ERW Business Plan 2018-2021 in text form only.

## (For internal consideration only)

## ‘Improving Learning Together’

**Mission Statement**

We will build school capacity through support, challenge and intervention to become self-improving, collaborative, resilient organisations which continually improve outcomes for all learners through ensuring effective performance in all schools across the region.

**Aims and Values**

Equity and Fairness

Equity and excellence go hand in hand. Location, deprivation or childhood experiences should not prevent learners from reaching their maximum potential.

Our learners will be resilient, imaginative, compassionate and ambitious – they will aim high and achieve their goals.

We take pride in the job that we do and we are ambitious for all of our schools and their pupils.

We are committed to ensuring effective learning and that all pupils reach their potential.

Supportive

We celebrate and share success.

We lead by example and inspire confidence in others.

We lead by example and drive continuous improvement, by asking how we could do this better.

We focus on longer-term outcomes rather than short-term goals.

Barriers and challenges are resolved promptly and success is celebrated.

Innovation

We inspire others and continuously seek innovative solutions.

We effectively plan and anticipate change.

We act on opportunities.

We recognise problems and implement solutions

Collaboration

We listen, we reflect and we prepare well and question.

We engage and support each other by working together and developing a shared focus.

We build effective relationships with all stakeholders and partners.

We recognise people's  contributions and achievements

We focus on sustainable progress and growth

Integrity

We are trustworthy and reliable

We are able to adapt to changing priorities and seek to create a positive and healthy working environment.

We stand by difficult decisions and openly acknowledge errors.

We challenge and confront poor performance

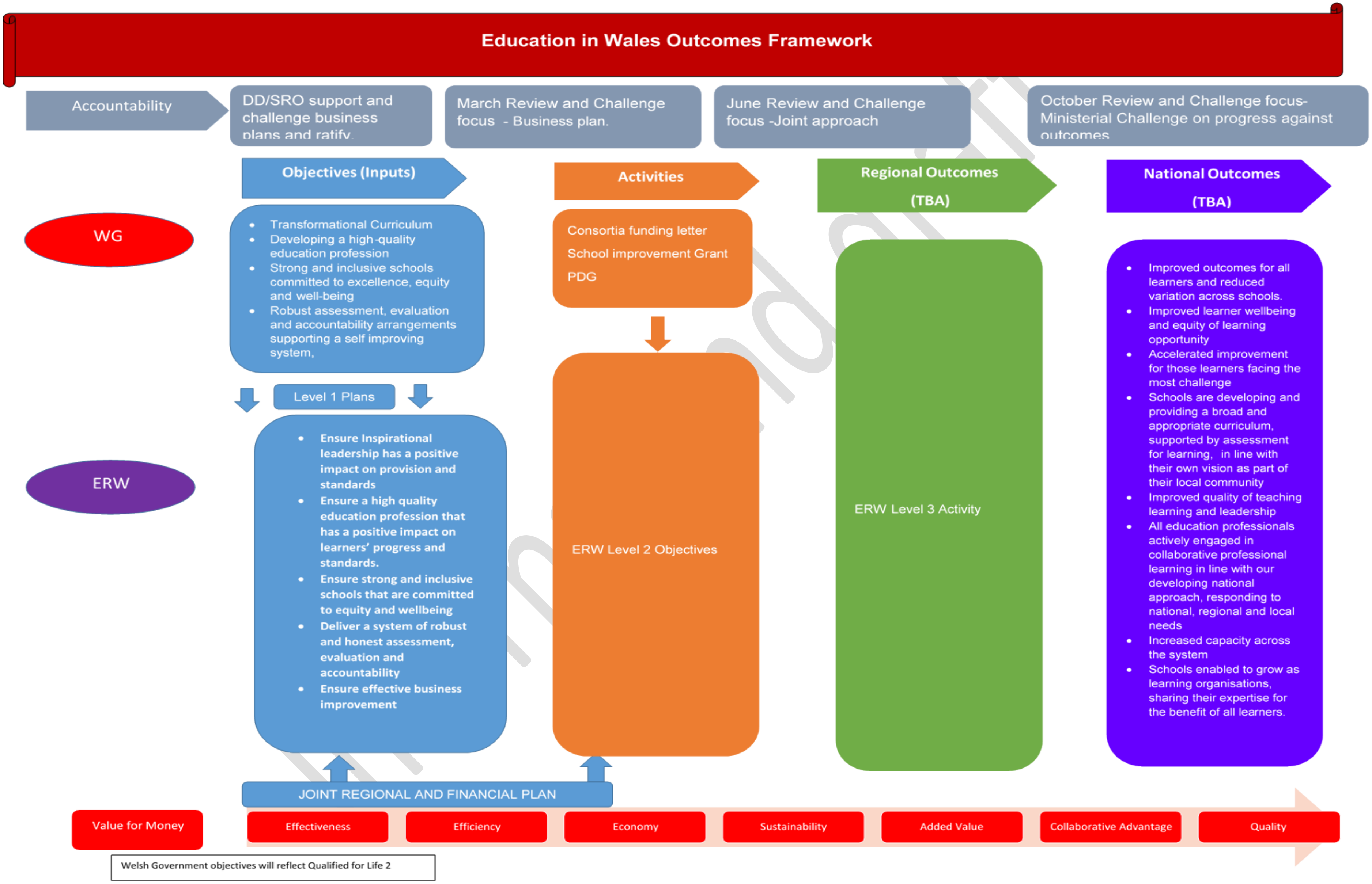
**Delivering Local, Regional and National Priorities**

All Local Authorities within the region contribute to the regional planning process. Key objectives from local Business Plans are used to inform the regional priorities at the 1st level of regional planning. Local Authority objectives are referenced in the LA Annex and Level 1 plan on pages _____

The region is committed to working within the co-constructed National Model. To deliver our priorities we will work through effective collaboration along with integration of services where appropriate. This will include Welsh Government, the teaching profession and the wider education workforce, our key partners in local authorities, diocesan authorities, regional services, Estyn, the Education Workforce Council (EWC), Qualifications Wales, higher education institutions and others.

The region is confident in tackling identified challenges and building on our strengths. This requires prioritising the most important aspects of our work and targeting the necessary support to both schools and learners in a timely way. Responding proactively to the objectives set out in Qualified for Life 2 and a Curriculum for Wales a Curriculum for Life will continue to require a significant focus on workforce support and development. These key drivers of education in Wales currently, reflect well the direction in which the region has been steered in recent years. As a region we are strengthening existing partnerships with higher education and supporting school staff to rebuild confidence and morale whilst re-skilling for a digital future.

The newly revised national system of categorisation is now fully implemented. The system ensures that, in partnership with schools and local authorities, we direct our support and resources to improve our school system and as a result, raise standards and performance in the region. The system is about providing support and encouraging collaborative improvement by putting schools into a position that enables them to identify the factors that contribute to their progress and achievement, or what areas to focus on to achieve further development. It is not about labelling or creating league tables. For 2017-18 Welsh Government have slightly changed the system so it places more of an emphasis on schools' own assessment (self-evaluation) of their quality of teaching and learning and ability to help other schools to improve. One of the recommendations from OECD's report last year was that Welsh Government should consider making school self-evaluations more prominent in the School Categorisation System. This approach has been consistently implemented.



# Education in Wales Outcomes Framework

Accountability

DD/SRO support and challenge business plans and ratify

March Review and Challenge focus - Business plan.

June Review and Challenge focus -Joint approach

October Review and Challenge focus- Ministerial Challenge on progress against outcomes

**Objectives (Inputs)**

**Activities**

**Regional Outcomes (TBA)**

**National Outcomes (TBA)**

WG

- Transformational Curriculum
- Developing a high-quality education profession
- Strong and inclusive schools committed to excellence, equity and well-being
- Robust assessment, evaluation and accountability arrangements supporting a self improving system,

Consortia funding letter

School improvement Grant

PDG

Level 1 Plans

ERW

- **Ensure Inspirational leadership has a positive impact on provision and standards**
- **Ensure a high quality education profession that has a positive impact on learners' progress and standards.**
- **Ensure strong and inclusive schools that are committed to equity and wellbeing**
- **Deliver a system of robust and honest assessment, evaluation and accountability**
- **Ensure effective business improvement**

ERW Level 2 Objectives

ERW Level 3 Activity

- Improved outcomes for all learners and reduced variation across schools.
- Improved learner wellbeing and equity of learning opportunity
- Accelerated improvement for those learners facing the most challenge
- Schools are developing and providing a broad and appropriate curriculum, supported by assessment for learning, in line with their own vision as part of their local community
- Improved quality of teaching learning and leadership
- All education professionals actively engaged in collaborative professional learning in line with our developing national approach, responding to national, regional and local needs
- Increased capacity across the system
- Schools enabled to grow as learning organisations, sharing their expertise for the benefit of all learners.

JOINT REGIONAL AND FINANCIAL PLAN

Value for Money

Effectiveness

Efficiency

Economy

Sustainability

Added Value

Collaborative Advantage

Quality

Welsh Government objectives will reflect Qualified for Life 2

**Wellbeing of Future Generations (Wales) Act 2015**

The Well-being of Future Generations (Wales) Act is about improving the social, economic, environmental and cultural well-being of Wales. It will make public bodies think more about the long-term, work better with people and communities and each other, look to prevent problems and take a more joined-up approach. This will help us to create a Wales that we all want to live in, now and in the future. To make sure we are all working towards the same vision, the Act puts in place seven well-being goals.

From March 2018 ERW will be required to set annual Wellbeing objectives that are designed to maximise our contribution to achieving the seven wellbeing goals stated in the Act.

A prosperous Wales

A resilient Wales

A healthier Wales

A more equal Wales

A Wales of cohesive communities

A Wales of vibrant culture and thriving Welsh Language

A globally responsible Wales

The table below outline how the main priorities in ERW Business Plan aligns with the seven wellbeing goals identified in Wellbeing of Future Generation Act

| | **Ensure Inspirational leadership has a positive impact on provision and standard** | **Ensure a high quality education profession that has a positive impact on pupil progress and standards** | **Ensure strong and inclusive schools that are committed to equity and wellbeing** | **Deliver a system of robust and honest assessment, evaluation and accountability** | **Ensure effective business management** | ***Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)*** | ***Improve communication (mandatory)*** | ***Use digital systems to facilitate the delivery of the work stream*** |
|---|---|---|---|---|---|---|---|---|
| **A prosperous Wales** | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | | ▨ |
| **A resilient Wales** | ▨ | ▨ | ▨ | ▨ | ▨ | | | |
| **A healthier Wales** | ▨ | ▨ | ▨ | | ▨ | | | |
| **A more equal Wales** | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | |
| **A Wales of cohesive communities** | | | ▨ | | | | | |
| **A Wales of vibrant culture and thriving Welsh Language** | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | |
| **A globally responsible Wales** | ▨ | ▨ | ▨ | | | | | ▨ |

**National Mission for Wales**

*"Our national mission is to raise standards, reduce the attainment gap and deliver an education system that is a source of national pride and confidence."*
*Kirsty Williams, Cabinet Secretary for Education*

The region's Business Plan is effectively structured to deliver the priorities and to address the challenges as set out in 'Education in Wales: Our national mission' 2017

The region is:

- clear about key roles of leaders as effective planning and providers of intelligence into the system to enable all our schools to play their part in improving learner outcomes and well-being.
- knowledgeable about educational inequities within and between partnerships/alliances and able to address them by moving knowledge and expertise; the region is key to facilitating cross-sectoral and multi-agency collaboration to support those in greatest need
- working collaboratively across the whole of Wales to mobilise expertise and minimise duplication of effort and cost – to do this, and will continue to operate at a regional scale to build capacity and enable services to target resources and activity effectively towards schools working together
- well led by education professionals who have the intellectual, practical and shared understanding of education leadership within our system – leaders are driven by the curriculum's four purposes, provide good-quality vision and build strong evolving partnerships.

**Approach to School Improvement**

> ‘Regional consortia now provide school improvement services on behalf of local authorities. These consortia increasingly provide ‘support’ for schools, although their emphasis is still too much on accountability and on ‘challenging’ schools.’ *The Annual Report of Her Majesty's Chief inspector of Education and Training in Wales 2016–2017*

> *‘School-to-school collaboration provides the means of circulating knowledge and strategies around the system; it provides an alternative way of supporting struggling schools to that of exercising top-down intervention; and it develops collective responsibility among all schools for all students’ success.’ (OECD, 2014 p.77.)*

The region strives to deliver a consistent school improvement service, focused on challenge and support strategies that improve teaching and learning in classrooms and lead to improved pupil attainment and progress in all schools. Our aim is to build school capacity through support, challenge and intervention so that schools become self-improving, resilient organisations. We strive to provide high quality differentiated support to schools in line with the national categorisation system. We facilitate school led support and intervention programmes at a peer to peer, department to department and school to school level according to the area of need that has been identified within the school.

The region will build school capacity through continuing support, challenge and intervention to become self-improving, resilient organisations which continually improve outcomes for learners. This regional strategy for a self-improving system is well underway and is firmly founded in the principles of school to school improvement.

> *‘This is what is meant by a ‘self-improving system’ – one that builds capacity, helps to increase ownership of school improvement at school level, and moves expertise and best practice around the system.’ The Annual Report of Her Majesty's Chief inspector of Education and Training in Wales 2016–2017*

Lead Schools will be identified with the specific purpose of building capacity for a self-improving school system within the context of delivering the Menu of Support. These schools will need to have a record of sustained self-improvement and strong leadership.

The brokerage and improvement support is differentiated in relation to a school’s capacity to improve and commission/broker its own improvement support. Where a school is assessed as performing well or having the capacity to secure its own improvement it will be free to use its budgets to draw down and use the services as appropriate to its circumstances and improvement needs. Where, however, a school has low attainment and poor pupil progress – and/or lacks the capacity to secure improvement in general or in a specific area – the consortium will arrange the necessary improvement support on behalf of the school in consultation with the headteacher and governing body. To support this process, we Identify schools within the region that are self-sustaining and resilient, and utilise resources to commission those schools to deliver school to school support without causing a decline in the standards in their own schools.

*'greater collaboration and trust among stakeholders are essential for realising the country's objective of a self-improving school system'. (OECD, 2017, p.49)*

Centrally, we provide effective professional development for challenge advisers to allow them to have the right skills and knowledge to do their job effectively. To enhance support to schools the region will employ a Leader of Learning in each network to support the implementation of a regional initiative to improve teaching and learning, develop the implementation of Successful Futures and support the roll out of the new teacher standards. This model of providing support to schools through networks is delivery and funding model to strengthen support for improving Teaching and Learning, and the implementation of A Curriculum for Wales, A Curriculum for Life and the new teacher standards.

The region also employs recent and successful school practitioners as Leaders of Learning to support GCSE delivery and the implementation of a regional initiative to improve teaching and learning within clusters. Leaders of Learning work closely with teachers in their classrooms with a clear focus on improving teaching and pedagogy in order to raise pupils' attainment.

The region will deliver Wales' ambition that all schools develop as learning organisations, in keeping with OECD principles. Schools as learning organisations have the capacity to adapt more quickly and explore new approaches, with a means to improving learning and outcomes for all their learners.

The Welsh school as a learning organisations focuses on realising seven dimensions:

- Developing and sharing a vision centred pm the learning of all students;
- Creating and supporting continuous learning opportunities for all staff;
- Promoting team learning and collaboration among all staff;
- Establish a culture of inquiry, and collaboration among all staff;
- Embedding systems for collecting and exchanging knowledge and learning;

- Learning with and from the external environment and larger learning system;
- Modelling and growing learning leadership.

## The Welsh Language

ERW is committed to the Welsh language and its prosperity, and the language is an integral part of all the administrative procedures of the organisation. We consider the Welsh language to be a central element of the identity of the Region, and we will continue to do as much as we can to promote the language and its use.

As an organisation, we encourage staff and stakeholders to use Welsh in the workplace as much as possible, and support is provided to build confidence and improve the bilingual capacity and skills of staff and stakeholders in order to normalise the use of the Welsh language in the organisation's internal administration. In our Welsh Language Scheme, we have adopted the central principle of the Welsh Language Act 1993, which is that we will treat the Welsh language on an equal basis to the English language, and we are committed to implementing this principle as we conduct our business and provide services to the public. This principle is at the core of the support that we provide to schools, and we are committed to providing a bilingual service for all schools in the region. In order to carry out our work effectively, this means that we require officers with appropriate levels of Welsh-language skills. In each case, therefore, as we recruit, we will consider what level of language skills are required before deciding whether Welsh is a desirable or essential skill. In each case, as in schools, ERW will expect its staff to increase their linguistic competence, and we will provide support and training to enable this increase.

In accordance with the vision *Cymraeg 2050: A million Welsh speakers* (2017) and *Education in Wales: Our national mission 2017-21,* ERW plans its actions with the aim of contributing to the Government's objectives and targets, as outlined in these strategies. Education has a pivotal role in achieving a million Welsh speakers by 2050, and we will be producing and implementing a strategy to increase and strengthen the status of the Welsh language in education across the region. By means of our strategy, we will demonstrate leadership, set targets, and determine upon priorities for action for ourselves and our stakeholders; and through purposeful collaboration and effective investment of time and resources, we will ensure continued progress against Government targets. In accordance with the *Education in Wales* mission, our goal is to ensure that, through our nation's mission to reform education, all learners develop their Welsh-language skills and use the language confidently.

*It is an exciting period for education in Wales, and we have the opportunity to ensure that the Welsh language is central to our ambitious and essential reforms. From the preparation of the new curriculum to the professional development of the education workforce and the reform of how we support our learners with additional learning needs, ensuring that the Welsh language is considered at the heart of these developments will be a key priority.* (Welsh in education: action plan 2017-21)

## Value for Money Framework

ERW seeks to ensure excellent value for money, opportunities to make efficiencies as well as evaluating the impact on outcomes over all.

We have selected five areas of focus. Each level 2 and 3 plan will include a judgement on Value for Money.

The evaluation of a range of information and evidence enables us to come to a judgement on the effectiveness and value for money provided by ERW. This means that we need to assess whether or not we have obtained maximum benefit from the goods and services both acquired and provided within the resources available. In addition, we need to judge whether strategies and interventions have been more successful than if implemented differently.

There are a range of aspects contributing to the judgement. The framework has seven aspects contributing to the judgement. Economy, efficiency, added value, collaborative advantage, effectiveness, sustainability and quality.

**Economy – minimising the resources used**

**Efficiency – relationship between output from services and the resources used to produce them**

**Effectiveness – relationship between outcomes and impact**

**Sustainability – including succession planning and professional development and capacity building**

**Collaborative advantage – making the most effective use of each other’s combined capacity**

**Added value - Gaining more than the optimum expectation.**

**Quality -Securing better quality and a focus on improvement.**

All Value for money reports are reported within the ERW governance structure and inform the self-evaluation, risk register and financial planning.

**Level 1 Plan Objectives (1-5)**

1. **Ensure Inspirational leadership has a positive impact on provision and standards**
   The region will prioritise developing system leadership as a prime driver of education development across our schools. Promoting and supporting effective, collaborative leadership will therefore be central to our delivery. The region will establish and develop effective school leadership and increase capacity across the region by developing universal and targeted support, challenge and intervention for current and aspiring school leaders at all levels. The region will develop and implement a comprehensive programme of professional learning in order to promote high expectations and develop knowledge, skills, personal qualities, values and professional characteristics that will enable leaders to offer consistently high quality education in all schools across the region

2. **Ensure a high quality education profession that has a positive impact on learners' progress and standards.**
   'The world's highest-performing education systems have vibrant, engaged educators and support staff who are committed to continuous learning.' OECD, 2014. The region will therefore support our teachers to be lifelong professional learners that reflect on and enhance their own practice to motivate and inspire the children and young people in their care. The region will support schools to develop pedagogy and practice in order to effectively prepare for 'A curriculum for Wales, a curriculum for life.' The region will support, challenge & intervene in schools by implementing a rigorous and consistent approach to ensure that all schools have a clear understanding of what constitutes consistently high quality teaching and learning for all learners. The region will ensure that assessment information is used diagnostically to influence teaching, learning and learner progress and secure robust procedures to ensure that end of key stage assessments are reliable

3. **Ensure strong and inclusive schools that are committed to equity and wellbeing**
   All learners must be supported to be emotionally and physically ready to learn in a safe and supportive environment. Each learner must be respected and challenged to achieve the best that they are capable of, including our most able learners, while being supported to overcome barriers that inhibit their learning. The region is committed to delivering a fair and fully inclusive education system ensuring where schools across the region are equipped to support all learners in a manner which minimises obstacles and maximises the opportunities for reaching their full potential. The region will work with schools to place the learner at the heart of the planning process in order to provide a consistent inclusive education system that benefits all our learners. The region will continue to develop the workforce so that schools can receive the necessary levels of support and challenge around inclusive practice.

4. **Deliver a system of robust and honest assessment, evaluation and accountability**
   Through the use of evidence-based approaches and co-construction, we will deliver a coherent assessment and evaluation framework that will ensure effective accountabilities so that schools, LAs and The region play full part in delivering the best for our learners and their teachers. We will

encourage and acknowledge schools that are collaborative and supportive of each other and will ensure that smaller and rural schools are better supported to play their full part in a collaborative self-improving school system.

5. **Ensure effective business improvement**
   To ensure an effective and efficient governance, leadership and business support that provides excellent value for money.

**Level 2 Plan**

| 1. **Ensure Inspirational leadership has a positive impact on provision and standards** | 2. **Ensure a high quality education profession that has a positive impact on pupil progress and standards.** | 3. **Ensure strong and inclusive schools that are committed to equity and wellbeing** | 4. **Deliver a system of robust assessment, evaluation and accountability** |
|---|---|---|---|
| 1.1 All leaders utilise the Professional Leadership Standards to lead effective learning organisations and as a result are well led. Consequently, the proportion of schools in any statutory category and judged to be C or D reduces from…. to …. | 2.1 All teachers utilise the Professional Teaching Standards. All schools have high quality teaching and as a result, the proportion of schools being judged to have good or better for teaching increases from… to ….Within school variation in the quality of teaching will reduce | 3.1 All schools provide high quality care, support and guidance for their pupils which has positive impact on wellbeing and progress. As a result, the proportion of schools being judged to be good or better in these areas increases from…. to…. | 4.1 All schools are provided with high quality support and challenge which has a positive impact on improving the quality of standards, leadership and provision. As a result, the proportion of schools in any statutory category or judged to be C or D reduced from… to…, |
| 1.2 Future leaders are identified. Targeted professional learning results in expressed routes to leadership at all levels. | 2.2 All schools develop as learning organisations enabling their staff to use research effectively to improve students' outcomes | 3.2 All schools adhere to the regulations and guidance outlined in the ALN bill in order to ensure best outcomes for pupils with ALN during this period of transition. | 4.2 The system has accurate and robust self-evaluation and improvement planning processes, which promotes an effective learning organisation at all levels. This will result in improving the quality of standards, provisional and leadership. |
| 1.3 Shortcomings in leadership are quickly identified and rapid intervention is provided through a regional strategic programme. | 2.3 Shortcomings in teaching are quickly identified and rapid intervention is provided through a regional strategic programme. | 3.3 Shortcomings in provision for wellbeing and support are quickly identified and rapid intervention is provided through a regional strategic programme. | 4.3 All schools have effective and accurate tracking and target setting procedures which secure improved progress for all pupils |
| 1.4 Highly effective leadership (A) is identified and used to support the | 2.4 Highly effective teachers are identified and used to support the | 3.4 Highly inclusive schools are used to support the development of a self-improving system | 4.4 The region identifies high effective practice in all areas and uses this well to support |

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| development of a self-improving system. | development of a self-improving system. | | the development of a self-improving system |
| 1.5 The region collaborates effectively with all regions and the Leadership Academy to establish a high quality professional learning offer for all leaders | 2.5 All teachers at all stages of their professional development will have access to high quality professional learning and support to improve their practice. | 3.5 All schools are aware of the impact of Adverse Childhood Experiences and the school processes and systems as well as teaching and learning strategies that enable pupils to overcome resulting barriers to learning | 4.5 All schools have effective and accurate assessment processes which identify all pupils' strengths and next steps in learning. |
| 1.6 All leaders will be well supported and prepared for the implementation of 'A Curriculum for Wales, a curriculum for life' | 2.6 All teachers will be well supported and prepared for the implementation of 'A Curriculum for Wales, a curriculum for life' | 3.6 All schools make effective use of PDG which has a positive impact on progress and standards for vulnerable pupils. | |
| 1.7 All schools provide value for money for their pupils. | 2.7 The region collaborates effectively with all regions to establish a high quality professional learning offer for all leaders | 3.7 All schools have effective transition processes which support all pupils to progress through their education. | |
| 1.8 Local Authorities, the region and schools work collaboratively support the 21st century schools' agenda. | 2.8 The region collaborates well with ITEs to ensure all teachers enter the profession well prepared and supported. | 3.8 All support staff development will have access to high quality professional learning and support to improve their practice. | |

| **5. Ensure effective business improvement** |
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| 5.1 The region’s Governance arrangements are effective, respected and transparent |
| 5.2 The value for money framework is core to all of The region’s strategic planning. |
| 5.3 All internal and external audit reports will highlight strengths in financial management. Shortcomings are rapidly addressed |
| 5.4 The region has effective risk management that leads to early and effective intervention to mitigate identified risks. |
| 5.5 The region has highly effective performance management processes to support all members of staff to secure a highly effective organisation |
| 5.6 The region has effective, robust and equitable HR processes in place |
| 5.7 The region has effective systems that promote agile working and secure efficient use of time and avoid duplication |
| 5.8 The region has a continuous, robust and accurate evaluation of all of its strategies and their implementation. |
| 5.9 The region communicates well with all of its stakeholders |
| 5.10 The region adheres to health and safety regulations and ensures all staff are provided with a healthy and safe working environment. |
| 5.11 The region makes intelligent use of data, research and evaluation to inform its work and deliver effective school improvement. |

**Aligning Local Authority Priorities to the Region's Business Plan**

| **Local Authority Priorities** | 1. **Ensure Inspirational leadership has a positive impact on provision and standards** | 2. **Ensure a high quality education profession that has a positive impact on pupil progress and standards.** | 3. **Ensure strong and inclusive schools that are committed to equity and wellbeing** | 4. **Deliver a system of robust assessment, evaluation and accountability** |
|---|---|---|---|---|
| Carmarthenshire | • Continue to support the needs of the small & rural schools' leadership agenda.<br>• Further develop training provision and learning opportunities for governors in support of enhanced school leadership<br>• Continue to support and promote effective leadership, recruitment and professional standards at all levels of the whole school community with a specific focus on:<br>a) Teaching Assistants<br>b) Middle leaders<br>c) Aspiring senior leaders | • Further improve outcomes at the end of the Foundation Phase (with a focus on LCE)<br>• Continue to support improvement in Key Stage 4 with a focus on attainment in the Capped 9 / L2i<br>• Continue to enhance opportunities and pupil outcomes for Welsh language provision in line with the WESP<br>• Continue to support implementation of the DCF with a focus on its impact on high quality provision and improved outcomes<br>• Further develop provision for MAT learners including a focus on 'blended / e- | • Continue to enhance provision and outcomes for vulnerable learners with an emphasis on achievement and attainment of eFSM and LAC pupils<br>• Establishment a framework for alternative curriculum provision in line with WG requirements | • Continue to support schools embed evolving curriculum, assessment and examination developments (utilising the LoLs in an effective manner)<br>• Continue to support consistency of assessment practice through collaborative Cluster working<br>• Continue to support effective SER systems across all schools through ongoing collaborative school-to-school networking<br>• Continue to monitor and review the impact of effective accountability systems |

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| | | learning' projects and Seren Hub. | | within schools via ERW Core Support Visits |
| Ceredigion | Improve leadership quality and resilience in Ceredigion schools by:<br>• developing leadership at all levels;<br>• continuing to reduce the number of interim heads;<br>• improving conditions for leadership, particularly in smaller schools; and<br>• providing support for curriculum planning and school resource management in the light of increasingly challenging budgets<br>• reduce in-school and inter-school variation | Maintain high performance throughout the Key Stages, particularly current and proposed headline indicators at Key Stage 4 by strongly supporting teaching and learning, including:<br>• continued support for the new GCSE specifications;<br>• continued support to improve the provision of literacy and numeracy;<br>• Improve the ICT skill baseline of all teaching and support staff to support schools in the continued roll-out of the Digital Competency Framework<br>• Continue to develop the use mechanism of evaluating the effectiveness of post-16 provision in schools, including the use of ALPS. | Continued support for vulnerable groups of pupils, including those in PRUs | Generic support for education reform according to 'Education in Wales: Our National Mission |

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| Pembrokeshire | Enhance the skills and accountability of Middle leaders in secondary schools<br>Further develop Senior Leadership skills, impact and capacity at all levels across our schools<br>Develop governors understanding of self-improving schools<br>Further develop the effective use of performance data analyses and performance management systems with Governing Bodies.<br>Develop an effective and sustainable programme to support the future recruitment needs of Pembrokeshire schools. | Further improve standards at Key Stage 4 (with a focus on attainment at the L2i and capped 9)<br>Digital Competency Framework in support of raised standards and enhanced teaching and learning provision and develop self-improving and sustaining schools.<br>Further develop the Foundation Phase so that outcomes improve to above average, link with LA strategy and self-improving schools | Further improve performance of eFSM learners with a specific focus on an improved performance in Key Stage 4 in targeted individual schools<br>Improve outcomes in the Foundation Phase. | Ensure the effective implementation of the content of the ERW Secondary Schools Focused Plan 2017-18 through regular monitoring, evaluation and review processes, including Hub QA, monthly reporting to the Pembrokeshire Director and individual PM programme reporting arrangements.<br>Develop further self-improving school systems by strengthening cluster working |
| Powys | Increase number of schools with permanent leadership<br>Increase number of leaders gaining leadership qualifications. (eg, NPQH, Middle leaders, HLTA, etc.) | Improve teaching and learning particularly in key stage 3.<br>Ensure the literacy and numeracy frameworks and the DCF are embedded. | Improve standards at key stage 3 especially for Welsh efsm and boys (low numbers).<br>Improve standards in level 1 performance for efsm learners. | Develop further self-improving school systems by strengthening cluster working |

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| | Increase the number of schools where the quality of leadership is good or better. | Encourage innovation in pioneer schools and others as they develop the areas of learning.<br>Develop school to school working and share good practice more effectively.<br>Improve standards at key stage 3 especially for Welsh efsm and boys (low numbers).<br>Improve performance in the Welsh bacc at ks 4.<br>Improve outcomes for pupils at the higher grades in key stage 5.<br>Improve standards in ks4 in ICT.<br>We will provide equality of provision for Welsh medium learners through the implementation of the Welsh in Education Strategic Plan | Improve standards in science at KS4 for efsm learners. | |
| Neath Port Talbot | Develop a leadership programme that meets local needs within NPT to improve the quality of middle leadership in secondary schools | Ensure that the current rate of improvement in the performance of e-fsm pupils is accelerated, particularly at key stage 4. | | |

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| | and improve the quality of leadership within the primary sector. | Improve the performance of boys at all key stages, but particularly in English/ Welsh at key stage 4.<br>Broker support to further develop Welsh medium curriculum provision at all key stages in order that pupils become confident and proficient users.<br>Improve pupils’ basic and social skills at nursery and reception education in order to improve transition into statutory education. | | |
| Swansea | Continue to ensure that value for money is achieved by having no schools or provisions in a statutory category and increase the proportion of schools that best fit A and B type characteristics for leadership and quality of teaching (using the national categorisation system).<br>Support and fund existing Swansea networks for senior leaders (deputy and assistant | Improve outcomes for new qualifications in key stage 4.<br>Continue to improve performance at Foundation Phase, particularly mathematical development and literacy.<br>Improve outcomes in science at GCSE, technology (in particular coding and computer science), engineering and | Evaluate the quality of teaching and learning and the effectiveness of provision by further developing data analysis, tracking and monitoring of pupils with additional learning needs.<br>Support, develop and fund further programmes to support challenging behaviour in classrooms.<br>Improve the performance of eFSM learners and in particular | Deliver high quality and bespoke support, challenge and intervention to schools.<br>Further enhance the quality of governance in Swansea schools.<br>Ensure Leaders of Learning (LOLs) work in collaboration with Challenge Advisers and Performance Specialists. |

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| | Headteacher level) to ensure alignment with NAEL.<br>Continue to provide support for schools to work in collaboration with each other by allowing CAs to fulfil their core role as the main broker for support in their schools.<br>Encourage the regional headteacher board representatives of their duty to communicate messages back to fellow headteachers<br>Provide updated training on new leadership standards 2018 and how challenge advisers should operate in relation to the performance management of headteachers, in particular. Provide a management of change document for workforce as part of review and reform programme. | mathematics (STEM subjects) for pupils of all ages and genders<br>Provide greater support for digital competence, science and foundation phase literacy and mathematical development.<br>Develop a greater system wide awareness of curriculum reform towards A Curriculum for Wales: A Curriculum for Life by ensuring that the revised curriculum for 2018 is in place by 2022. | eFSM boys by ensuring that all schools utilise their grants to raise standards | Provide FAQs on learning walks for clarity<br>Ensure that local subject specialists meet with LOLs to understand and support each other. Provide a simple running record on THE REGION website of funding available to schools.<br>Support and funding for Crug Glas school between January and July via Consultative Leader from neighbouring special school as part of schools causing concern. |

**Business Planning Strands and Matrix Planning**

| Strand | 1.Ensure Inspirational leadership has a positive impact on provision and standards | 2.Ensure a high quality education profession that has a positive impact on pupil progress and standards. | 3.Ensure strong and inclusive schools that are committed to equity and wellbeing | 4.Deliver a system of robust assessment, evaluation and accountability |
|---|---|---|---|---|
| Self-Improving System (MF) | 1.1,1.3,1.4,1.5 | 2.4, | 3.4, | 4.4 |
| Improving Leadership (JB) | 1.1,1.3,1.5 | 2.3 | 3.6, | 4.1,4.2,4.3,4.5 |
| Future Leaders (SP) | 1.1,1.2,1.5 |  | 3.1,3.5,3.6,3.7 | 4.2,4.3,4.5 |
| Improving Teaching and Learning (IA) |  | 2.1,2.3,2.7, | 3.5 | 4.1,4.3,4.5 |
| Professional learning for teachers and support staff (AE) |  | 2.1,2.2,2.5,2.7, | 3.1,3.2,3.5,3.7,3.8 | 4.3,4.5 |
| A curriculum for Wales, a curriculum for life (DB) | 1.6, | 2.6,2.7,2.8 | 3.5 |  |
| Inclusive Education (CM) |  | 2.5, | 3.1,3.2,3.3,3.5,3.6,3.7 | 4.3, |
| Schools Causing Concern (AT) | 1.1,1.3, | 2.3, | 3.3 | 4.1 |
| Resource management |  |  | 3.6, |  |
| Human Resources |  |  |  |  |
| Organisational effectiveness |  |  |  |  |
| Research and Evaluation (MF) | 1.1,1.7, |  | 3.6, | 4.2 |
| Support and Challenge | 1.1,1.2,1.3,1.7,1.8 | 2.3 | 3.1,3.2,3.5,3.7 | 4.1,4.2,4.3,4.5 |
| LA Request Plan (OP) | 1.7,1.8 |  | 3.2,3.6,3.7 |  |

**Level 3 exemplar**

| TEMPLED CYNLLUN LEFEL 3 – 2018-19<br>LEVEL 3 PLAN TEMPLATE – 2018-19 | |
|---|---|
| **Maes**<br>Area | Curriculum For Wales |
| **Perchennog**<br>Plan Owner | Alan Eds |
| **Aelodau'r Tim:**<br>Team Members: | Alan Eds, Dave Barry, Ian Altman |
| | |
| | |

## Cynllun Gweithredu 2018-19
Operational Plan 2018-19

**Gweithred Cynllun Busnes Lefel 1:**
Level 1 Business Plan Objective:

1. Ensure Inspirational leadership has a positive impact on provision and standards
2. Ensure a high quality education profession that has a positive impact on pupil progress and standards.
3. Ensure strong and inclusive schools that are committed to equity and wellbeing
4. Deliver a system of robust assessment, evaluation and accountability
5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)
6. Improve communication (mandatory)
7. Use digital systems to facilitate the delivery of the work stream. In order to safeguard colleagues, ensure that this digital working is facilitated on ERW approved digital systems. These include both ERW and Welsh Government provided systems via single sign-on into Hwb (mandatory)

**Level 2 outcomes to be achieved in your plan**

1.6 All leaders will be well supported and prepared for the implementation of 'A Curriculum for Wales, a curriculum for life'
2.1 All teachers will be well supported and prepared for the implementation of 'A Curriculum for Wales, a curriculum for life'
2.2 The region collaborates effectively with all regions to establish a high quality professional learning offer for all leaders
2.3 The region collaborates well with ITEs to ensure all teachers enter the profession well prepared and supported.
3.5 All schools are aware of effective practices to support all pupils to be ready to learn (ACE aware, attachment aware, attendance) and track the progress of all individuals successfully to secure positive progress.

| | **Camau Gweithredu**<br>Actions | **Swyddog Cyfrifol**<br>Responsible Officer | **Cychwyn**<br>Start | **Cwblhau**<br>Completion | **Côd cyllid**<br>Finance Code |
|---|---|---|---|---|---|
| 1. | The region to work collaboratively with WG and other regions to inform and monitor developments through programme board and regional monitoring group | | | | |
| 2. | Ensure curriculum development is timely, effective and consistent through national coherence group | | | | |
| 3. | Create regional pools of subject experts from Pioneer Schools to assist in Areas of Learning and Experience. | | | | |
| 4. | Create regional pools of additional expertise from Pioneer Schools to assist in the development of the wider areas in the Areas of Learning and Experience | | | | |
| 5. | Identify and monitor regional leads to support the facilitation of AoLE development to ensure this is effective and curriculum becomes fit for purpose | | | | |
| 6. | The region to work collaboratively with WG and other regions to inform and monitor developments through programme board and regional monitoring group | | | | |
| 7. | Ensure curriculum development is timely, effective and consistent though national coherence group | | | | |
| 8. | Etc. | | | | |

**Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?**
How do you plan to provide value for money in your area?

- Economy – minimising the resources used
- Efficiency – relationship between output from services and the resources used to produce them
- Effectiveness – relationship between outcomes and impact
- Sustainability – including succession planning and professional development and capacity building
- Collaborative advantage – making the most effective use of each other's combined capacity
- Added value - Gaining more than the optimum expectation.
- Quality -Securing better quality and a focus on improvement

**Annex 1**

**Level 2 Funding Streams**

| 1. Ensure Inspirational leadership has a positive impact on provision and standards | 2. Ensure a high quality education profession that has a positive impact on pupil progress and standards. | 3. Ensure strong and inclusive schools that are committed to equity and wellbeing | 4. Deliver a system of robust assessment, evaluation and accountability |
|---|---|---|---|
| 1.1 All schools are well led and as a result, the proportion of schools in any statutory category and judged to be C or D reduces from…. to …. | 2.1 All teachers use the professional standards. All schools have high quality teaching and as a result, the proportion of schools being judged to have good or better for teaching increases from… to ….Within school variation in the quality of teaching will reduce | 3.1 All schools provide high quality care, support and guidance for their pupils which has positive impact on wellbeing and progress. As a result, the proportion of schools being judged to be good or better in these areas increases from…. to…. | 4.1 All schools are provided with high quality support and challenge which a positive impact on improving the quality of standards, leadership and provision. As a result, the proportion of schools in any statutory category or judged to be C or D reduced from… to…, |
| Core Funded Challenge Advisers<br>Future Leadership<br>Support Professional Networks | Core Funded Challenge Advisers<br>Extending the impact of collaborative working<br>New GCSE – GCSE<br>Global Futures<br>Professional Teaching Standards<br>A Level<br>Digital<br>Siarter Iaith | Core Funded Challenge Advisers<br>Future Leadership<br>Support Professional Networks<br>PDG Attainment Advisers | EIG<br>Core Funded Challenge Advisers<br>GCSE<br>Literacy and Numeracy<br>Primary Oracy<br>FPEN<br>Global Futures |
| 1.2 Future leaders are identified and targeted professional learning results in expressed routes to leadership at all levels. | 2.2 All teachers will engage in professional research which impacts positively on the provision for pupils. | 3.2 . All schools adhere to the regulations and guidance outlined in the ALN bill in order to ensure best outcomes for pupils with ALN during this period of transition. | 4.2 All schools have accurate and effective self-evaluation and improvement planning processes which result in improving the quality of standards, provisional and leadership. |

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|---|---|---|---|
| Future Leadership<br>Mentoring and Network Support | Core Consortia Support for the design and development of the new curriculum. | Core Funded Challenge Advisers<br>Future Leaders<br>Mentoring and Network Support | Core Funded Challenge Advisers<br>Future Leadership<br>Mentoring and Network Support<br>Support Professional Networks |
| 1.3 Shortcomings in leadership are quickly identified and rapid intervention is provided through a regional strategic programme. | 2.3 Shortcomings in teaching are quickly identified and rapid intervention is provided through a regional strategic programme. | 3.3 Shortcomings in provision for wellbeing and support are quickly identified and rapid intervention is provided through a regional strategic programme. | 4.3 All schools have effective and accurate tracking and target setting procedures which secure improved progress for all pupils |
| Core Funded Challenge Advisers<br>Extending the impact of collaborative working | Core Funded Challenge Advisers<br>Extending the impact of collaborative working<br>New GCSE – GCSE<br>Global Futures<br>A Level<br>Digital | Core Funded Challenge Advisers<br>Extending the impact of collaborative working | Core Funded Challenge Advisers<br>Future Leadership<br>Mentoring and Network Support<br>Support Professional Networks<br>GCSE |
| 1.4 Highly effective leadership (A) is identified and used to support the development of a self-improving system. | 2.4 Highly effective teachers are identified and used to support the development of a self-improving system. | 3.4 Highly inclusive schools are used to support the development of a self-improving system | 4.4 The region identifies high effective practice in all areas and uses this well to support the development of a self-improving system |
| Core Funded Challenge Advisers<br>Extending the impact of collaborative working<br>Developing Schools as Learning Organisations | Core Funded Challenge Advisers<br>Extending the impact of collaborative working | Core Funded Challenge Advisers<br>Extending the impact of collaborative working | Extending the impact of collaborative working |
| 1.5 The region collaborates effectively with all regions and the leadership academy to establish a high quality professional learning offer for all leaders | 2.5 All teachers at all stages of their professional development will have access to high quality professional learning and support to improve their practice. | 3.5 All schools are aware of the impact of Adverse Childhood Experiences and the school processes and systems as well as teaching and learning strategies that enable pupils to over come resulting barriers to learning. | 4.5 All schools have effective and accurate assessment processes which identify all pupils' strengths and next steps in learning. |

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|---|---|---|---|
| Future Leadership | Core Funded Challenge Advisers<br>Extending the impact of collaborative working<br>New GCSE – GCSE<br>Global Futures<br>Professional Teaching Standards<br>A Level<br>Digital<br>Welsh Professional Development | PDG Attainment Advisers<br>All leaders will be well supported and prepared for the implementation of ‘A Curriculum for Wales, a curriculum for life’ | Core Consortia Support for the design and development of the new curriculum |
| 1.6 All leaders will be well supported and prepared for the implementation of ‘A Curriculum for Wales, a curriculum for life’ | 2.6 All teachers will be well supported and prepared for the implementation of ‘A Curriculum for Wales, a curriculum for life’ | 3.6 All schools make effective use of PDG which has a positive impact on progress and standards for vulnerable pupils. |  |
| Core Consortia Support for the design and development of the new curriculum. | Core Consortia Support for the design and development of the new curriculum.<br>GCSE<br>Global Futures<br>Literacy and Numeracy<br>Professional Teaching Standards<br>NNEST | Core Funded Challenge Advisers<br>Future Leaders<br>PDG Attainment Advisers |  |
| 1.7 All schools provide value for money for their pupils. | 2.7 The region collaborates effectively with all regions to establish a high quality professional learning offer for all teachers | 3.7 All schools have effective transition processes which support all pupils to progress through their education. |  |
| Core Funded Challenge Advisers | Core Consortia Support for the design and development of the new curriculum.<br>Professional Teaching Standards | Core Funded Challenge Advisers<br>Future Leaders<br>PDG Attainment Advisers<br>EIG |  |
| 1.8 Local Authorities, the region and schools work collaboratively | 2.8 The region collaborates well with ITEs to ensure all teachers | 3.8 All support staff development will have access to high quality |  |

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|---|---|---|---|
| support the 21st century schools' agenda. | enter the profession well prepared and supported. | professional learning and support to improve their practice. | |
| Core Funded Challenge Advisers | ITE | HLTA | |