

**DYDD GWENER, 5 HYDREF 2018**

**PWYLLGOR AR Y CYD ERW  
Y LLWYFAN, COLLEGE ROAD, CARMARTHEN AM 10.00 AM,  
AR DYDD GWENER, 12FED HYDREF, 2018**

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Mae'r dudalen hon yn wag yn fwriadol

**Cyd-Bwyllgor ERW**  
**Dydd Llun, 16eg Gorffennaf, 2018**  
**Y Llwyfan, Heol y Coleg, Caerfyrddin**  
**10.00 am - 1.40 pm**

**YN BRESENNOL:** Y Cynghorydd Ellen ap Gwynn [Cadeirydd] Cyngor Sir Ceredigion

Y Cynghorydd Jennifer Raynor	Dinas a Sir Abertawe
Y Cynghorydd David Simpson	Cyngor Sir Penfro
Y Cynghorydd Peter Rees	Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot
Y Cynghorydd Emlyn Dole	Cyngor Sir Caerfyrddin
Mr Phil Roberts	Prif Weithredwr Arweiniol - ERW a Chyngor Dinas a Sir Abertawe
Mr Eifion Evans	Cyngor Sir Ceredigion
Mr Ian Westley	Cyngor Sir Penfro
Mr Ian Eynon	Cyngor Sir Penfro - (Dirprwy Swyddog A151 ERW)
Mr Aled Evans	Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot
Mr Gareth Morgans	Cyngor Sir Caerfyrddin
Ms Betsan O'Connor	Rheolwr Gyfarwyddwr ERW
Mr Ian Budd	Cyngor Sir Powys – Cyfarwyddwr Arweiniol ERW
Mr Jonathan Haswell	Cyngor Sir Penfro (Swyddog A151 ERW)
Ms Elin Prysor	Cyngor Sir Ceredigion (Swyddog Monitro ERW)
Ms Jo Hendy	Cyngor Sir Penfro (Pennaeth Archwilio Mewnol ERW)
Mr Chris Llewellyn	CLILC
Mr Steve Vincent	Lywodraeth Cymru
Mr Jeremy Saunders	Swyddfa Archwilio Cymru
Mr Jon Mather	Swyddfa Archwilio Cymru
Mrs Janine Owen	Cyngor Sir Caerfyrddin (Gwasanaethau Democrataidd)

## 1. YMDDIHEURIADAU AM ABSENOLDEB

Cafwyd ymddiheuriadau am absenoldeb gan y Cynghorydd Rob Stewart (Cyngor Sir Abertawe), y Cynghorydd Rosemarie Harris (Cyngor Sir Powys), y Cynghorydd Rob Jones (Cyngor Castell-nedd Port Talbot), Ms Ruth Conway (Llywodraeth Cymru), Mr Mark James (Cyngor Sir Caerfyrddin) a Mr Steven Phillips (Cyngor Castell-nedd Port Talbot).

## 2. DATGAN BUDDIANNAU PERSONOL

Ni chafwyd dim datganiadau o fuddiant personol

## 3. LLOFNODI FEL COFNOD CYWIR COFNODION CYFARFOD Y CYD-BWYLLGOR A GYNHALWYD AR Y 21 MAWRTH 2018

**PENDERFYNWYD** llofnodi cofnodion y cyfarfod a gynhaliwyd ar 21 Mawrth, 2018, gan eu bod yn gofnod cywir.

## 4. MATERION SY'N CODI O'R COFNODION

Nid oedd dim materion yn codi o gofnodion y cyfarfod a gynhaliwyd ar 21 Mawrth 2018.

## 5. DIWEDDARIAD Y PRIF WEITHREDWR ARWEINIOL

Cafodd y Cyd-bwyllgor Adroddiad Sicrwydd diweddar a oedd yn cynnwys cynllun gweithredu, cynnydd a manylion am y swyddogion cyfrifol.

Roedd yr adroddiad o ran y weithdrefn gymeradwyo yn cynnig mwy o eglurdeb o ran y broses ffurfiol o gymeradwyo. Dangoswyd y broses yn rhan o siart llif a atodwyd i'r adroddiad. Er y cytunwyd ar y weithdrefn hon mewn egwyddor byddai proses mwy ffurfiol yn cael ei darparu yn ystod cyfarfod nesaf y Cyd-bwyllgor.

**CYTUNWYD i dderbyn yr adroddiad diweddar gan y Prif Weithredwr Arweiniol**

## 6. ADRODDIADAU O GANLYNIAD I'R CYFARFOD DIWETHAF:-

### 6.1. YSGOLOION SY'N PERI GOFID

Yn ystod ei gyfarfod diwethaf gofynnodd y Cyd-bwyllgor am gael y wybodaeth ddiweddaraf ynghylch y cymorth sydd ar gael i ysgolion sy'n peri pryder [cofnod 6].

Cafodd y Cyd-bwyllgor adroddiad ynghyd â dogfennau cyfarwyddyd ynghylch Ysgolion ERW sy'n Peri Pryder 2017-18 a Phrotocol ERW ynghylch Ysgolion sy'n Peri Pryder. Roedd y dogfennau wedi'u cynllunio ar gyfer Ymgynghorwyr Her ac roeddent yn cynnwys gwybodaeth am y protocol a'r cymorth a ddylai fod ar gael i ysgolion sy'n peri pryder.



Eglurodd y Rheolwr Gyfarwyddwr er bod rhanbarthau'n darparu cymorth i ysgolion sy'n peri pryder, roedd y cyfrifoldeb statudol ar gyfer pob ysgol yn parhau yng ngofal yr Awdurdod Lleol.

Fodd bynnag, cydnabuwyd bod llawer o ysgolion yn perthyn i'r dosbarth 'ysgol sy'n peri pryder' ac nad oedd y pryderon cynnar ynghylch perfformiad ysgol yn cael eu nodi nac yn cael sylw yn ddigon cynnar ar hyn o bryd. Er mwyn mynd i'r afael â hyn, atodwyd diagram i'r adroddiad yn nodi ac yn egluro rolau a chyfrifoldebau wrth adnabod a thynnu sylw at bryderon.

Felly'r gobaith oedd y byddai'r ddogfen ganllaw yn nodi problemau yn gynt, yn rhoi cymorth ar waith ac yn lleihau nifer yr ysgolion sy'n datblygu meysydd sylweddol i'w gwella.

Codwyd y materion canlynol wrth ystyried yr adroddiad:-

- Mynegwyd pryder bod y ddogfen wedi cael ei hysgrifennu heb roi sylw priodol i Awdurdodau Lleol. Dywedodd y Rheolwr Gyfarwyddwr bod y ddogfen wedi cael ei diweddarau a bod diagram wedi'i ddatblygu i gael cymorth yn gyflym ac i sicrhau eglurder o ran pwy oedd yn gyfrifol am beth.
- Dywedwyd bod rhywfaint o ddyblygu o ran y lefelau staffio ac nid oedd yn glir pwy oedd yn gwneud y penderfyniadau.
- Awgrymwyd y byddai'n arfer gorau i'w rannu ar lefel ranbarthol er mwyn mapio'r hyn oedd Awdurdodau eraill yn ei gyflawni yn y maes hwn.
- Dywedodd y Cyfarwyddwr Arweiniol, drwy atgyfnerthu'r dull gweithredu a llunio strategaethau clir roedd gwelliant sylweddol eisoes wedi'i wneud yn y maes hwn. Roedd hyn yn cynnwys nodi a chyrraedd ysgolion yn ddigon cynnar i leihau ymyriadau, ymdrech fwy cydweithredol ac ar y cyd, llywodraethu ac arweinyddiaeth effeithlon.
- Mewn ymateb i sylw ynghylch casglu gwybodaeth am y gweithgarwch o fewn cynllun busnes ERW, dywedodd y Prif Weithredwr Arweiniol y byddai angen cynnal gwaith ychwanegol gan gynnwys nodi meysydd o arfer gorau, a nodi ble a'r defnydd gorau o adnoddau. Byddai'r gwaith hwn yn cael ei gynnwys yn y Cynllun Busnes a'i gylchredeg i aelodau'r Cyd-bwyllgor maes o law.

**CYTUNWYD bod ystyriaeth o'r adroddiad gan gynnwys y gwaith ychwanegol a nodwyd ar wella ysgolion, yn cael ei ohirio tan y cyfarfod nesaf.**



## 6.2. CANLYNIADAU TGAU

Cafodd y Cyd-bwyllgor adroddiad a roddodd drosolwg o ganlyniadau cenedlaethol TGAU.

Dywedodd y Cadeirydd er mwyn rhoi cyfle i'r Cyd-bwyllgor ddadansoddi'r canlyniadau ar y cyd â'r blynyddoedd blaenorol, byddai'n fuddiol cael adroddiad pellach yn dilyn canlyniadau TGAU 2018.

**Cytunwyd:**

**6.2.1 i dderbyn yr adroddiad fel y'i cyflwynwyd;**

**6.2.2 y byddai adroddiad pellach yn cael ei gyflwyno i'r Cyd-bwyllgor yn y cyfarfod nesaf, i gynnwys y newidiadau o ran mesurau atebolrwydd, a Chrynodeb Gweithredol gan Lywodraeth Cymru, ynghyd â'r canlyniadau.**

## 6.3. CYFLWYNIAD I'R GRŴP CRAFFU AR ADOLYGU AC ADNEWYDDU

Gofynnodd y Cyd-bwyllgor yn ei gyfarfod diwethaf i gael y cyflwyniad a ddarparwyd i'r Grŵp Cyngorwyr - Craffu ar ERW ar 9 Mawrth 2018.

Bu'r Cyd-bwyllgor yn ystyried y cyflwyniad a oedd yn cynnwys gwybodaeth am y cynnydd a wnaed yn dilyn argymhellion adolygu a diwygio'r Cyd-bwyllgor.

Mynegwyd y sylwadau canlynol wrth ystyried y cyflwyniad:-

Cafwyd sylw bod perygl i gymhlethu'r strategaeth gyfan, teimlwyd mai arweinyddiaeth, addysgu a dysgu oedd y ffactorau allweddol ac roedd yn bwysig sicrhau eglurder.

Awgrymwyd cynnwys y Strwythur Llywodraethu ERW a nodir yn Eitem 9.3 yn cael ei gynnwys yn y rhaglen adolygu a diwygio a'i ddefnyddio fel y prif sbardun.

### CYTUNWYD

**6.3.1 derbyn yr adroddiad;**

**6.3.2 cynnwys yr Adroddiad Amlinellol ar gyfer Adolygu a Diwygio Trefniadau Llywodraethu (eitem 9.3) yn Rhaglen Adolygu a Diwygio ERW.**

#### 6.4. GOHEBIAETH I GRWP CYNGHORWYR CRAFFU

Gofynnwyd i'r Cyd-bwyllgor ystyried llythyr drafft gan ERW a gafodd ei ysgrifennu mewn ymateb i lythyr (09/04/2018) a dderbyniwyd gan Gadeirydd Cyd-bwyllgor ERW oddi wrth y Cynghorydd Darren Price, Cadeirydd Grŵp Cyngorwyr - Craffu ar ERW.

**CYTUNWYD cymeradwyo'r llythyr ymateb drafft gan gynnwys cyfeiriad at y canlynol:**

- i) **bod y Rhaglen Adolygu a Diwygio yn parhau ar waith**
- ii) **bod newidiadau yn y Model Cenedlaethol yn cael eu monitro cyn y gellir gwneud penderfyniadau terfynol o ran strwythur ERW yn y dyfodol.**

#### 6.5. ADOLYGU LLETY PRESENNOL ERW

Cafodd y Cyd-bwyllgor adroddiad ar adolygiad o lety presennol ERW yn Y Llwyfan, Caerfyrddin.

Dyweddodd y Swyddog Monitro y gellid anwybyddu ystyriaethau a oedd yn ymwneud â'r Les/Trwyddedau o ran penderfyniadau a oedd yn ymwneud ag adleoli ERW.

Roedd yr adroddiad yn cynnwys y wybodaeth ddiweddaraf am drefniadau presennol ERW gan gynnwys manylion am y sail resymegol ar gyfer ceisio llety yn y dyfodol a'r materion iechyd a diogelwch cyfredol.

Gofynnwyd i'r Cyd-bwyllgor ystyried y sefyllfa bresennol ac i lunio barn ynghylch addasrwydd y llety presennol a'r gwerth am arian wrth adnewyddu'r brydles bresennol wrth ystyried y dewisiadau eraill sydd ar gael. Yn ogystal, ar sail y dystiolaeth a gyflwynwyd a'r rhesymau dros symud i safle newydd, gofynnwyd am benderfyniad cyflym er mwyn sicrhau bod amserlen ar waith gan effeithio cyn lleied â phosibl ar waith y sefydliad o ddydd i ddydd.

Codwyd y materion canlynol wrth ystyried yr adroddiad:-

Mewn ymateb i ymholiad, dywedodd y Rheolwr Gyfarwyddwr fod ERW ar hyn o bryd yn cyflogi 47 aelod o staff, a bod 40 ohonynt ar hyn o bryd yn defnyddio'r adeilad.

Dyweddwyd hyd nes y byddai'r Model Cenedlaethol yn cael ei gadarnhau, nid oedd y Cyd-bwyllgor mewn sefyllfa i ystyried lle swyddfa arall ac y byddai'n ddoeth i ofyn am opsiwn dros dro.

Yn dilyn y sylw uchod, bu'r Cyd-bwyllgor yn trafod opsiynau dros dro a oedd yn cynnwys darparu cyfleusterau gweithio ystyth ym mhob Awdurdod Lleol.



Cafwyd cynnig na ddylai staff ERW ddefnyddio adeiladau Llywodraeth Cymru er mwyn cyflawni eu gwaith yn y dyfodol, a chafodd y cynnig hwn ei eilio.

O ran y swm sylweddol o arian a oedd yn cael ei wario ar hyn o bryd ar gynadleddau a seminarau, awgrymwyd y byddai'n fuddiol petai'r 6 Awdurdod Lleol yn cynnal y cynadleddau yn eu tro. Yn ogystal, dywedodd y Rheolwr Gyfarwyddwr fod ymholiadau eisoes ar waith i ddefnyddio cyfleusterau mewn ysgolion.

## **CYTUNWYD**

**6.5.1 (i) bod y sefyllfa bresennol o ran y brydles bresennol yn cael ei nodi;**

**(ii) bod angen ail drafod y brydles gyfredol am gyfnod pellach, yn ddibynnol ar gynnydd Rhaglen Adolygu a Diwygio ERW a'r Model Cenedlaethol;**

**6.5.2 bod y sefyllfa bresennol o ran yr Adroddiad Iechyd a Diogelwch yn cael ei nodi;**

**6.5.3 bod yr arbedion effeithiolrwydd a'r gwerth am arian o ran symud lleoliad yn cael eu nodi;**

**6.5.4 dirprwyo i'r:**

**(a) Prif Weithredwr Arweiniol, y Rheolwr Gyfarwyddwr a Chyfarwyddwr Arweiniol Addysg i ystyried yr agweddau lliniaru o ran iechyd a diogelwch;**

**(b) y Swyddog Monitro i ystyried sefyllfa gyfreithiol y brydles;**

**6.5.5 na ddylai staff ERW ddefnyddio adeiladau Llywodraeth Cymru os bydd angen swyddfeydd eraill yn y dyfodol.**

## **6.6. CÔD LLYWODREATHU CORFFORAETHOL**

Yn ystod ei gyfarfod ar 18 Mai, 2018, cytunodd y Cyd-bwyllgor i fabwysiadu Côt Llywodraethu Corfforaethol [cofnod 5.1]. Yn dilyn newid yn y Rheoliadau a chynghor gan Bennaeth Archwilio Mewnol ERW bu'n rhaid diweddu'r Côt yn unol â hynny.

Bu'r Cyd-bwyllgor yn ystyried y Côt Llywodraethu Corfforaethol a nodwyd bod y Côt yn berthnasol i'r staff a oedd yn cael eu cyflogi'n ganolog gan ERW yn unig a byddai gweithwyr yr Awdurdod Lleol yn cydymffurfio â'u Codau Llywodraethu Corfforaethol lleol.

**CYTUNWYD cymeradwyo'r Côt Llywodraethu Corfforaethol diwygiedig.**

## 6.7. CYNLLUN BUSNES ERW

Bu'r Cyd-bwyllgor yn ystyried Cynllun Busnes ERW 2018/19. Roedd y Cynllun yn canolbwyntio ar bedwar amcan allweddol a oedd yn deillio o Genhadaeth Genedlaethol Llywodraeth Cymru:-

- Datblygu proffesiwn addysg o ansawdd uchel
- Sicrhau bod arweinwyr ysbrydoledig yn gweithio ar y cyd i godi safonau
- Cefnogi ein hysgolion i fod yn ysgolion cryf a chynhwysol sy'n ymrwymedig i ragoriaeth, tegwch a llesiant
- Sicrhau trefniadau asesu, gwerthuso ac atebolrwydd cadarn ar gyfer cefnogi system hunan-wella

Roedd Cynllun Busnes ERW hefyd yn amlinellu sut y byddai'r meysydd ar gyfer gwelliant yn cael eu cyllido yn unol â Grant Gwella Ysgolion Consortia Rhanbarthol Llywodraeth Cymru. Mae'r fframwaith Canlyniadau Addysg yng Nghymru sy'n rhan o'r Cynllun yn dangos sut y byddai Llywodraeth Cymru yn dwyn pob rhanbarth i gyfrif yn erbyn mesurau canlyniadau allweddol.

Codwyd y materion canlynol wrth ystyried yr adroddiad:-

Dywedodd y Cyfarwyddwr Arweiniol yn dilyn cwblhau'r Cynllun Busnes cafodd hunanwerthusiad ei gynnal a oedd wedi nodi meysydd o bryder. Roedd y meysydd hyn yn nodi y dylid fod wedi ymgynghori'n fwy helaeth wrth ddatblygu'r Cynllun Busnes a'r gofyniad i baratoi adroddiad cryno ar gyfer cynulleidfa wahanol.

Mynegwyd sylwadau nad oedd y Cynllun yn canolbwyntio ar y blaenoriaethau allweddol a bod angen rhagor o eglurder o ran y prif gyfrifoldebau a'r llinellau adrodd.

Yn dilyn y sylwadau, awgrymwyd y dylid gwneud gwelliannau i'r cynllun ynghyd â chrynodeb, er mwyn lliniaru'r risg o beidio â chydymffurfio, awgrymwyd ymhellach y dylid anfon y Cynllun ar e-bost at bob Aelod o'r Cyd-bwyllgor i geisio cael cytundeb erbyn 31 Gorffennaf 2018.

### CYTUNWYD:

**6.7.1 bod cynllun busnes ERW yn cael ei dderbyn fel y brif ddogfen strategol ar gyfer y flwyddyn ariannol 2018-19;**

**6.7.2 nodi bod ERW wedi cysoni ei waith gyda Chenhadaeth Genedlaethol Llywodraeth Cymru;**



**6.7.3 i) i gyfarwyddo Cyfarwyddwr Arweiniol Addysg a'r Rheolwr Gyfarwyddwr i wneud gwelliannau i gynllun busnes ERW;**

**ii) llunio Crynodeb o'r Cynllun i'r Bwrdd Gweithredol;**

**iii) anfon y Crynodeb at holl aelodau'r Cyd-bwyllgor ar e-bost, er mwyn cael cytundeb erbyn 31<sup>st</sup> Gorffennaf 2018;**

**6.7.4 Rhoi gwybod i holl Swyddogion A151 yr Awdurdodau Lleol am y risg.**

## **7. ADRODDIADAU CYLLID AC ARCHWILIO MEWNOL:-**

### **7.1. PENNAETH ARCHWILIO MEWNOL CONSORTIWM ERW BARN SICRWYDD FLYNYDDOL 2017-18**

Cafodd y Cyd-bwyllgor farn blynyddol y Pennaeth Archwiliadau Mewnol ar effeithiolrwydd llywodraethu, rheolaeth fewnol, rheoli risg a trefniadau rheoli ariannol ERW er mwyn llywio Datganiad Llywodraethu Blynyddol ERW.

Nododd y Cyd-bwyllgor fod adran 4, Cyflawni'r Cynllun Archwilio wedi tynnu sylw at oedi o ran cyrraedd consensws rhwng Awdurdodau Lleol ERW a bod hyn wedi atal y Rhaglen Diwygio ac Adolygu rhag symud ymlaen. Roedd hyn hefyd wedi arwain at oedi o ran diweddarau'r Cytundeb Cyfreithiol. Dylai'r materion hyn gael eu hystyried fel Materion Llywodraethu Sylweddol o fewn y Datganiad Llywodraethu Blynyddol. Yn ogystal, roedd adran 4 o fewn yr adroddiad hefyd wedi tynnu sylw at y ffaith nad oedd y Côd Rhanbarthol ar gyfer Llywodraethu Corfforaethol wedi cael ei fabwysiadu, ac felly, dylid ei ystyried yn Flaenoriaeth ar gyfer Gwella yn y Datganiad Llywodraethu Blynyddol.

Y consensws cyffredinol gan y Cyd-bwyllgor oedd y dylid sicrhau ei fod yn flaenoriaeth uchel a bod y gwaith angenrheidiol i gryfhau'r Datganiad Llywodraethu Blynyddol yn cael ei gwblhau mor fuan â phosibl cyn cyfarfod nesaf y Cyd-bwyllgor.

### **CYTUNWYD:**

**7.1.1 cyfeirio'r mater at y tri Swyddog Arweiniol, (Rheolwr Gyfarwyddwr, Prif Weithredwr Arweiniol a'r Cyfarwyddwr Addysg Arweiniol) i lunio cynllun lliniaru erbyn cyfarfod nesaf y Cyd-bwyllgor;**

**7.1.2 Y Swyddog Monitro i ddiweddarau'r Cytundeb Cyfreithiol, i adlewyrchu'r sefyllfa bresennol, i gynnwys penderfyniadau blaenorol y Cyd-bwyllgor oedd wedi'u dirprwyo a'r wybodaeth ddiweddaraf am ddirprwyaethau'r Bwrdd Gweithredol a'r Rheolwr Gyfarwyddwr (fel y nodir yn y Cytundeb Cyfreithiol);**

**7.1.3 Ychwanegu Cytundeb Cyfreithiol ERW yn eitem sefydlog ar yr agenda.**





## **7.1a ADRODDIAD ARCHWILIO MEWNOL DRAFFT CONSORTIWM ERW 2017-18**

Bu'r Cyd-bwyllgor yn ystyried adroddiad ar Archwiliad Mewnol Consortiwm ERW ar gyfer 2017-18 a oedd yn rhoi sicrwydd ar effeithiolrwydd llywodraethu, rheolaeth fewnol, rheoli risg a'r trefniadau rheoli ariannol sydd ar waith ar gyfer consortiwm ERW.

Yn dilyn sylw a godwyd ynglŷn â phwysigrwydd sicrwydd parhaus, gofynnodd y Cadeirydd o'r eitem hon fod yn eitem sefydlog ar agenda'r Cyd-bwyllgor at ddibenion monitro.

### **Cytunwyd:**

**7.1a) i) nodi Adroddiad Archwilio Mewnol Consortiwm ERW 2017-18;**

**7.1a) ii) bod Adroddiad Archwiliol Mewnol Consortiwm ERW 2017-18 yn eitem sefydlog ar agenda'r Cyd-bwyllgor.**

## **7.1b) DATGANIAD LLYWODRAETHU BLYNYDDOL CONSORTIWM ERW 2017-18**

Derbyniodd y Cyd-bwyllgor Ddatganiad Llywodraethu Blynnyddol 2017-18 Consortiwm ERW a oedd yn cynnwys y canfyddiadau o'r adolygiad blynnyddol o drefniadau llywodraethu 2017-18 am gonsortiwm ERW.

Nodwyd bod y camau rheoli wedi cael eu nodi, ac yn broses o gael eu cytuno a'u cwblhau.

Ni dderbyniwyd y Datganiad Llywodraethu Drafft yn ei ffurf bresennol.

Mynegodd y Cadeirydd ei siom nad oedd yn bosibl i'r Cyd-bwyllgor ystyried hyn oherwydd nad oedd y camau rheoli yn gyflawn. Dywedodd Swyddog Adran 151 ERW bod angen penderfyniad y Cyd-bwyllgor ar y mwyafrif o'r camau rheoli. Gofynnodd y Cadeirydd i'r camau rheoli gael eu cwblhau a'u gohirio hyd nes cyfarfod nesaf y Cyd-bwyllgor. Dywedodd Swyddog A151 ERW bod yn rhaid cymeradwyo Datganiad Llywodraethu Blynnyddol Consortiwm ERW cyn y bydd Datganiad Cyfrifon ERW yn cael ei lofnodi gan Swyddfa Archwilio Cymru.

### **CYTUNWYD**

**7.1b) i) y byddai camau rheoli Datganiad Llywodraethu Blynnyddol Consortiwm ERW 2017-18 yn cael eu cwblhau gan Swyddogion Arweiniol gyda chynllun gweithredu yn nodi'r camau lliniaru;**

**7.1b) ii) a byddai'n cael ei ddosbarthu i aelodau'r Cyd-bwyllgor l'w cymeradwyo erbyn 31/07/2018.**



## **7.2. DATGANIAD CYFRIFON 2017-18 & ADRODDIAD ISA 260 SAC**

Croesawodd y Cadeirydd Mr Jeremy Saunders (Swyddfa Archwilio Cymru) a gafodd ei wahodd i ddod i gyfarfod y Cyd-bwyllgor i gyflwyno Adroddiad Barn ac Archwiliad o Ddatganiadau Ariannol Swyddfa Archwilio Cymru [ISA 260] er ystyriaeth ERW ochr yn ochr a'i adolygiad o'r Datganiad o Gyfrifon ar gyfer 2017-18.

Dywedodd y Swyddog A151 fod y Datganiad Cyfrifon wedi cael ei baratoi yn unol â Chod Ymarfer CIPFA ar Gadw Cyfrifon Awdurdodau Lleol a'i fod yn adlewyrchu'r adroddiad alldro a gyflwynwyd i'r Cyd-bwyllgor ym mis Mawrth 2018.

Codwyd cwestiwn ynghylch y cynnydd sylweddol mewn ffioedd ymgynghori o gymharu â ffioedd 2016-17. Cynigiodd Swyddog A151 ERW i gylchredeg y rheswm am y cynnydd i'r Cyd-bwyllgor.

Dosbarthodd Mr Jeremy Saunders yr Adroddiad Barn ac Archwiliad o Ddatganiadau Ariannol Swyddfa Archwilio Cymru [ISA 260] (dogfen 680A 2018-19) ac esboniodd bod yr adroddiad yn hwyr oherwydd terfynau amser.

Nododd Swyddfa Archwilio Cymru y byddai Datganiad Llywodraethu anghyflawn yn arwain at adroddiad anghymwys.

### **CYTUNWYD**

**7.2.1 cymeradwyo Datganiad Cyfrifon ERW 2017-18 Datganiad i'w lofnodi gan y Swyddog A151 ERW a Chadeirydd y Cyd-bwyllgor;**

**7.2.2 derbyn Adroddiad Barn ac Archwiliad o Ddatganiadau Ariannol Swyddfa Archwilio Cymru [ISA 260].**

## **7.3. CYNLLUN ARCHWILIO SWYDDFA ARCHWILIO CYMRU AM ERW 2017-18**

Derbyniodd y Cyd-bwyllgor Gynllun Archwilio Swyddfa Archwilio Cymru ar gyfer ERW yn 2017-18 a oedd yn rhoi'r wybodaeth ddiweddaraf am y gwaith a gyflawnwyd gan Swyddfa Archwilio Cymru wrth gyflawni ei ddyletswyddau statudol.

Nododd y Cyd-bwyllgor fod gwall yn yr adran 'Yr argymhellion / penderfyniadau allweddol sydd eu hangen' ar wyneb ddalen yr adroddiad. Dylai nodi 'cymeradwyo'r ffi archwilio o £13,000' ac nid £14,000 fel y nodwyd.



## CYTUNWYD

**7.3.1 cymeradwyo Cynllun Archwilio Swyddfa Archwilio Cymru ar gyfer 2017-18 (cyfeirnod y ddogfen 453A 2018-19 (Mehefin 2018));**

**7.3.2 cymeradwyo'r ffi archwilio o £13,000;**

**7.3.3 derbyn yr amserlen fel y nodir yn enghraifft 4;**

**7.3.4 derbyn y cyfrifoldebau penodol fel y nodir yn Atodiad 1.**

## **7.4. DIWEDDARIAD CYLLID ERW 2018-19**

Derbyniodd y Pwyllgor y wybodaeth ddiweddaraf o ran y sefyllfa ariannol ar gyfer 2018-19, a oedd yn darparu gwybodaeth fanwl mewn perthynas â

- Chyllideb y Tîm Canolog 2018-19
- Cytundebau Lefel Gwasanaeth
- Dyraniadau Grant 2018-19
- Grantiau 2018-19 – Grant Amddifadedd Disgyblion Plant sy'n Derbyn Gofal
- Grantiau 2018-19 – Grant Gwella Ysgolion y Consortia Rhanbarthol
- Blaenoriaethau Cynllun Busnes ERW yn 2018-19
- Rhaglen Adolygu a Diwygio ERW
- Risgiau
- Cronfeydd wrth gefn

Gan gyfeirio at gofnod 5 y cyfarfod diwethaf lle gofynnwyd am eglurhad ynghylch sefyllfa Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot ynghylch talu ei gyfraniad tuag at gostau craidd ERW ar gyfer 2018/19, dywedwyd y byddai'r Cyngor yn lleihau ei gyfraniad i ERW yn y dyfodol. Gwnaed y penderfyniad gan yr Aelodau Etholedig yng nghyd-destun cyllideb refeniw 2018/19 y Cyngor ar 21 Chwefror, 2018. Roedd Mr Steven Phillips, Prif Weithredwr Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot wedi egluro sefyllfa'r Cyngor mewn llythyr a atodwyd i'r adroddiad.

Dywedodd y Prif Weithredwr Arweiniol bod llythyr wedi'i ysgrifennu at y Cyngor mewn ymgynghoriad â Chadeirydd ERW a atodwyd i'r adroddiad a bod ymateb wedi dod i law gan Brif Weithredwr Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot. Fodd bynnag, roedd ymateb pellach yn cael ei baratoi ar hyn o bryd. Cydnabuwyd na fyddai taliad yn ofynnol tan Hydref 2018 a bod amser ar gael i ddod i gytundeb drwy broses gyfryngu anffurfiol. Gofynnodd y Cadeirydd i'r mater gael ei ohirio a'i drafod ymhellach yn ystod cyfarfod nesaf y Cyd-bwyllgor.

Cafwyd sylw y byddai'n fuddiol, at ddibenion cysondeb, ymchwilio i'r Awdurdodau Lleol hynny sydd ar hyn o bryd â nifer gyflawn o ymgynghorwyr her er mwyn canfod faint oedd yn cael ei wario yn y maes hwn.



Cytunodd y Cadeirydd y byddai'n fuddiol cael gwybod am nifer yr Ymgynghorwyr Her a gyflogir a'r gost i bob Awdurdod Lleol a gofynnodd i'r wybodaeth hon gael ei hystyried yn ystod cyfarfod nesaf y Cyd-bwyllgor.

Nododd y Cyd-bwyllgor fod y llythyr yn Atodiad 2 o'r adroddiad yn nodi bod canlyniadau'r gwerthusiad diweddar wedi canfod bod angen cryn dipyn o waith er mwyn cryfhau'r trefniadau presennol. Er bod y llythyr yn cydnabod bod y gwerthusiad yn rhoi ystyriaeth i'r trefniadau yn ystod cyfnod 2015-16 a 2016-17, roedd cynnydd cadarnhaol wedi cael ei wneud ers hynny i gryfhau'r trefniadau er bod mwy o waith ei angen.

Mynegodd Swyddog A151 ERW bryderon ynghylch llif arian ERW, o gofio nad oedd Llywodraeth Cymru wedi prosesu unrhyw daliadau i'r rhanbarth ar gyfer 2019-20 a dywedodd wrth y Cyd-bwyllgor y byddai'n rhaid iddo ysgrifennu at bob Swyddog A151 i roi gwybod iddynt na fyddai unrhyw daliadau yn cael eu prosesu i'r Awdurdodau Lleol na'r ysgolion hyd nes y ceir cadarnhad am y grant gan Lywodraeth Cymru.

Mynegwyd pryder sylweddol ynghylch yr angen am arweinyddiaeth o safon uchel ym maes addysgu. Teimlwyd bod llawer o athrawon safonol yn cael eu secondio i'r consortia, ac o ganlyniad yn lleihau nifer yr athrawon safonol. Dywedodd y Rheolwr Gyfarwyddwr er mwyn cefnogi'r newidiadau oedd i ddod, roedd hi ar hyn o bryd yn cysylltu â phenaethiaid ac y byddai'n darparu adroddiad i gyfarfodydd y Cyd-bwyllgor yn y dyfodol.

## **CYTUNWYD**

### **7.4.1 cymeradwyo Cyllideb y Tîm Canolog ar gyfer 2018/19;**

### **7.4.2 gohirio'r camau i'w cymryd pe na fyddai Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot yn talu ei gyfran o'r £250k o Gyfraniad yr Awdurdodau Lleol ar gyfer 2018-19 hyd nes cyfarfod nesaf y Cyd-bwyllgor;**

### **7.4.3 i) bod dyraniadau grant 2018-19 a'r materion o ran bodloni pedwar o delerau ac amodau Grant Gwella Ysgolion y Consortia Rhanbarthol yn cael eu nodi a;**

**ii) i ofyn am lythyr ffurfiol gan Lywodraeth Cymru yn egluro telerau ac amodau'r grant.**

### **7.4.4 nodi dyraniad grant 2018-19 a'r materion cyfredol o ran bodloni amodau a thelerau'r Grant Amddifadedd Disgyblion Plant sy'n Derbyn Gofal;**

### **7.4.5 nodi dyraniad Grant Gwella Ysgolion y Consortia Rhanbarthol i flaenoriaethau Cynllun Busnes ERW 2018-19;**



- 7.4.6** nodi'r materion cyfredol mewn perthynas ag (a) bodloni telerau ac amodau RCSIG a (b) y fformiwla ar gyfer dosbarthu'r grant a elwid gynt yn Grant Gwella Addysg, a gafodd ei gynnwys yn RCSIG 2018-19 fel trefniant trosiannol, i'r chwe Awdurdod Lleol;
- 7.4.7** ceisio cael eglurhad gan Lywodraeth Cymru ynghylch y cynnig / trefniadau o ran y cyllid o £250k gan Lywodraeth Cymru ar gyfer y Rhaglen Adolygu a Diwygio, ac o ran ei ofynion ynghylch dychwelyd unrhyw arian sydd eisoes wedi'i wario;
- 7.4.8** gohirio'r penderfyniad ynghylch sut i ailgyflenwi cronfeydd wrth gefn ERW, naill ai gyda chyfraniad untro gan y chwe Awdurdod Lleol neu gynydd yn cyfraniad blynyddol presennol o £250k hyd nes cyfarfod nesaf y Cyd-bwyllgor;
- 7.4.9** tynnu'n ôl y penderfyniad i benodi Rheolwr Gwella Cyllid a Busnes ar contract tymor penodol am fis

## **8. COFRESTR RISG**

Cafodd y Cyd-bwyllgor y Gofrestr Risg Gorfforaethol ar gyfer 2017-18, a oedd yn cynnwys risgiau busnes strategol (bygythiadau) a allai fod yn niweidiol i gyflawni Gweledigaeth a Nodau ERW fel yr amlinellir yng Nghynllun Busnes ERW.

Er bod y Cyd-bwyllgor wedi nodi'r fformat newydd, dywedwyd bod dal angen cryn dipyn o waith ar y gofrestr. Dywedwyd y byddai adolygiad pellach o'r sgoriau risg yn cael ei gyflawni.

Nododd y Cyd-bwyllgor fod y Gofrestr newydd yn anghyflawn, ac nid yr Aelodau yw'r perchenogion.

Dywedwyd y byddai adolygiad pellach o'r sgoriau risg yn cael ei gyflawni.

## **CYTUNWYD**

- 8.1** bod y Gofrestr Risg yn cael ei nodi;
- 8.2** bod angen gwaith pellach er mwyn cwblhau'r gofrestr risg, gan gynnwys adolygu'r sgorau risg.



## 9. ADRODDIADAU ADOLYGU AC DIWYGIO:-

### 9.1. CYNIGION ADNODDAU DYNOL

Bu'r Cyd-bwyllgor yn ystyried adroddiad a oedd yn cynnwys rolau a chyfrifoldebau ERW a'r cynnig i greu 3 swydd barhaol er mwyn sefydlogi a chryfhau'r Tîm Canolog arfaethedig. Roedd yr adroddiad hefyd yn cynnwys disgrifiadau swydd ar gyfer y 3 swydd arfaethedig ganlynol:-

- Pennaeth Gwella Busnes
- Pennaeth Perfformiad ac Arweinyddiaeth Ysgolion
- Pennaeth Cymorth a'r Cwricwlwm

Nodwyd bod y diffyg sefydlogrwydd a chapasiti parhaol yn y Tîm Canolog yn ERW yn risg y tynnwyd sylw'r Cyd-bwyllgor ato ers mis Tachwedd 2016.

Er mwyn cynnal cyfweiliad cytbwys ac theg, pwysleisiodd y Cadeirydd ei bod yn bwysig i sicrhau bod gan bob Awdurdod Lleol gynrychiolaeth ar y Pwyllgor Penodi.

Mynegwyd pryder y byddai costau'r 3 swydd yn cyfateb i tua £250k ac felly, teimlwyd y dylid datblygu achos busnes.

Dywedwyd bod cyfarfod wedi'i drefnu gyda'r Cyfarwyddwyr ar 20 Gorffennaf 2018 i ystyried y Disgrifiadau Swydd yn fanylach.

Yn sgil natur y rôlau a'r meysydd y byddant yn eu gwasanaethu, gofynnwyd i'r disgrifiadau swydd ar gyfer Pennaeth Perfformiad ac Arweinyddiaeth Ysgolion a'r Pennaeth Cymorth a Chwricwlwm gael eu newid i adlewyrchu hynny. Barnwyd bod angen i'r ymgeisydd llwyddiannus fod yn rhugl yn y defnydd o'r Gymraeg ar adeg penodi.

Yn ogystal, gan y byddai'r swydd Pennaeth Gwella Busnes i raddau helaeth yn swydd gefn swyddfa, cytunwyd y dylid nodi bod 'y gallu i weithio drwy gyfrwng y Gymraeg' yn parhau'n *Ddymunol*.

### CYTUNWYD

#### 9.1.1 bod y cynnig i greu'r 3 swydd ganlynol:

- Pennaeth Gwella Busnes
- Pennaeth Perfformiad ac Arweinyddiaeth Ysgolion
- Pennaeth Cymorth a'r Cwricwlwm

**yn cael ei gymeradwyo yn amodol ar y canlynol:**

i) bod y swyddi Pennaeth Perfformiad ac Arweinyddiaeth Ysgolion a Phennaeth Cymorth a'r Cwricwlwm yn cael eu diwygio i nodi 'bod y gallu i weithio drwy gyfrwng y Gymraeg yn *Hanfodol* ar lefel rugl ar adeg penodi;

ii) bod y Disgrifiadau Swydd a'r Manylebau Swydd yn cael eu hystyried ymhellach gan y Cyfarwyddwyr, y Swyddog Adran 151 a'r Grŵp AD (x6 un o bob Awdurdod Lleol).

## 9.2 ADOLYGU CYTUNDEBAU LEFEL GWASANAETH A THREFNIADAU MEWN DA

Cafodd y Cyd-bwyllgor adroddiad a oedd yn amlinellu sefyllfa bresennol y Cytundebau Lefel Gwasanaeth a'r trefniadau mewn da gan gynnwys argymhellion.

Nodwyd yn gyffredinol, bod llawer o'r gwasanaethau a ddarperir i ERW o dan gytundebau a thrwy gyfrwng CLG gan yr awdurdodau lleol wedi bod yn llwyddiannus. Fodd bynnag, ystyriwyd ei bod yn amserol i gynnal adolygiad i ganfod gwerth am arian ac ansawdd a maint y gwasanaethau wrth i'r sefydliad ehangu.

Dywedodd y Rheolwr Gyfarwyddwr fod materion seilwaith hanfodol wedi'u nodi fel rhai sydd angen sylw brys, gan gynnwys Adnoddau Dynol, Cyllid, Archwilio, TG, Yswiriant, Llety, lechyd a Diogelwch a'r Rheoliad Diogelu Data Cyffredinol. Oherwydd y lefel risg sylweddol, cynigiwyd cymeradwyo'r Cytundebau Lefel Gwasanaeth fel y nodir yn yr adroddiad.

Nodwyd mai Cyngor Sir Penfro oedd yn darparu'r rhan fwyaf o wasanaethau.

Awgrymwyd ailsefydlu'r trefniadau o ran y Cytundebau Lefel Gwasanaeth o 1 Ebrill 2019.

Yn sgil yr uchod ac yn dilyn ymholiad a ddaeth i law ynghylch pwy oedd yn gyfrifol am yswiriant, gofynnodd y Cadeirydd am adroddiad pellach i gael ei gyflwyno i'r Cyd-bwyllgor nesaf a dywedodd y byddai'n ymarferol parhau gyda'r trefniadau presennol hyd nes y cyfarfod nesaf.

### Cytunwyd

9.1.1 y byddai adroddiad yn cynnwys gwybodaeth am faterion yswiriant yn cael ei gyflwyno i gyfarfod nesaf y Cyd-bwyllgor;

9.2.3 tan hynny bydd y Cytundebau Lefel Gwasanaeth presennol a'r trefniadau mewn da yn parhau;

9.1.2 gwahodd datganiadau o ddiddordeb o ran trefniadau mewn da/swyddogion statudol, a Chytundebau Lefel Gwasanaeth gan yr holl Awdurdodau Lleol o fis Medi 2018.



### 9.3. AMLINELLU CYLCH GWAITH AR GYFER ADOLYGU AC ADNEWYDDU TREFNIADAU LLYWODRAETHU ERW

Cafodd y Cyd-bwyllgor adroddiad a oedd yn ceisio egluro cwmplas y gwaith a oedd yn cael ei gyflawni mewn perthynas â threfniadau llywodraethu ERW.

Nodwyd yn dilyn adroddiad diweddar ESTYN ac yn sgil yr adolygiad o'r Model Cenedlaethol, teimlwyd bod hyn yn amser da i adolygu'r trefniadau llywodraethu er mwyn sicrhau bod trefniadau llywodraethu ERW yn parhau'n effeithiol ac effeithlon.

Roedd yr adroddiad yn darparu manylion am y canlynol:

- Egwyddorion llywodraethu da
- Cylch gwaith y consortia rhanbarthol a'r Awdurdodau Lleol
- Nodweddion y gwasanaeth gwella ysgolion sydd wedi'i fireinio yng Nghanolbarth a Gorllewin Cymru (drafft)
- Yr heriau presennol
- Meysydd allweddol i'w hadolygu

Er mwyn mynd i'r afael â rhai o'r heriau, roedd y meysydd allweddol ar gyfer yr adolygiad yn cynnwys strwythur llywodraethu arfaethedig a fyddai'n sicrhau bod yr holl randdeiliad yn glir ynghylch cylch gorchwyl pob grŵp/bwrdd, i gryfhau'r broses graffu ar ERW ac chryfhau sicrwydd ansawdd mewn Awdurdodau Lleol. Yn ogystal, darparwyd aelodaeth drafft i'r Cyd-bwyllgor ynghyd â'r cylch gwaith a phwerau dirprwyedig y pwyllgor a oedd yn cynnwys 12 o gyfrifoldebau penodol er mwyn hyrwyddo gweithio ar y cyd wrth ddarparu gwasanaethau.

Codwyd y materion canlynol wrth ystyried yr adroddiad:-

- Cyfeiriwyd at 12 cyfrifoldeb y Cyd-bwyllgor (Tudalen 466). Mynegwyd sylw y dylai un o gyfrifoldebau'r Cyd-bwyllgor gynnwys 'monitro'r sefyllfa a chyfeiriad y darlun cenedlaethol'.
- Mewn ymateb i nifer o ymholiadau ynghylch gwaith datblygu pellach, nododd y Cadeirydd y byddai'n anodd i ddatblygu'r Strwythur Rheoli ymhellach hyd nes ceir cadarnhau am y Model Cenedlaethol.

**Cytunwyd:**

**9.1.1 bod yr adroddiad ar Amlinellu'r Cylch Gwaith ar gyfer Adolygu a Diwygio Trefniadau Llywodraethu ERW, yn cael ei nodi yn waith sydd ar y gweill;**

**9.1.2 bod yr adroddiad yn cael ei fwydo i Raglen Adolygu a Diwygio ERW (Cyd-bwyllgor 21/9/17 penderfyniad 7.1-7.3);**



### 9.1.3 i nodi'r heriau.

## 10. ADRODDIAD AR DDIFFYG CYDYMFFURFIAETH

Cafodd y Cyd-bwyllgor adroddiad a oedd yn tynnu sylw at y ffaith nad oedd ERW'n cydymffurfio ag amodau Grant Gwella Ysgolion y Consortia Rhanbarthol (RCSIG).

Atgoffodd y Rheolwr Gyfarwyddwr y Cyd-bwyllgor fod Llywodraeth Cymru wedi uno nifer o'r grantiau i'r Consortia Rhanbarthol yn un Grant Gwella Ysgolion Rhanbarthol (RSIG). Roedd y cyllid fod cael ei dalu bod i'w dalu yn ddeufisol yn seiliedig ar gostau fel y nodir yn y Proffil Taliadau y cytunwyd arno â Llywodraeth Cymru.

Gwerth y grant i ERW oedd £40,971,102. Yn ogystal, mae'r Grant Amddifadedd Disgyblion i ERW, y cyfeiriwyd ato hefyd yn y llythyr cynnig yn yr atodiad, werth £24,233,150. Nodwyd yn y llythyr cynnig grant, "Rydym yn cadw'r hawl i atal neu adennill unrhyw ran o'r cyllid".

Nodwyd bod y rhanbarthau eraill wedi cael dyraniad y chwarter 1<sup>af</sup> ac roeddent ar fin cael y dyraniad ar gyfer yr 2<sup>il</sup> chwarter. Nid oedd ERW wedi cael ei ddyraniad eto a oedd yn achosi pryder i ysgolion nad oedd wedi cael eu cyllid sylfaenol na'r Grant Gwella Addysg.

Yn ogystal, nododd y Rheolwr Gyfarwyddwr wrth ddehongli'r amodau, nad yw ERW ar hyn o bryd yn bodloni o leiaf 6 o'r amodau fel y nodir yn yr adroddiad.

Pwysleisiodd y Rheolwr Gyfarwyddwr os na fyddai'r Cyd-bwyllgor yn cytuno ar fformiwla ariannu cyffredin ar gyfer pob ysgol yn y cyfarfod hwn, ni fyddai ysgolion yn cael cyllid y tymor hwn.

Dywedodd y Cadeirydd nad oedd y Cyd-bwyllgor mewn sefyllfa i gytuno ar hyn hyd nes bod Cynllun Busnes ERW yn cael ei gymeradwyo (gweler eitem 6.7 uchod), yn dilyn cymeradwyaeth, bydd y mater yn cael ei ddwyn gerbron y Cyd-bwyllgor er mwyn cael penderfyniad. Yn y cyfamser, awgrymwyd i barhau â'r fformiwla ariannu cyffredin presennol ar gyfer pob ysgol.

### CYTUNWYD

- 10.1 i) bod y mater hwn yn cael ei ohirio i gyfarfod y Cyd-bwyllgor yn y dyfodol yn dilyn cymeradwyo Cynllun Busnes ERW (gan Lywodraeth Cymru) yn y cyfamser;
- ii) bod Swyddogion yn parhau â'r fformiwla gyllido gyffredin cyfredol ar gyfer pob ysgol;



10.2 i gyfarwyddo'r Rheolwr Gyfarwyddwr i drafod trefniadau dros dro gyda Llywodraeth Cymru wrth i'r gwaith datblygu gael ei roi ar waith er mwyn cael ar grant ar gyfer ysgolion;

10.3 bod yr ysgolion yn cael gwybod drwy swyddogion A151 yr Awdurdod Lleol unigol.

## 11. UNRHYW FATER ARALL

Ni chodwyd unrhyw faterion eraill.

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CADEIRYDD

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DYDDIAD





## CYD-BWYLLGOR ERW 12.10.18

### DIWEDDARIAD GAN Y PRIF WEITHREDWR ARWEINIOL AC LOG GWEITHREDU

#### Y Pwrpas:

Mae'r eitem yma'n galluogi'r Prif Weithredwr Arweiniol i rhoi diweddariad ar gynnydd y gwaith yn sgil penderfyniadau'r Cyd-Bwyllgor mewn cyfarfodydd blaenorol

#### YR ARGYMHELLION / PENDERFYNIAU ALLWEDDOL SYDD EU HANGEN:

I dderbyn yr adroddiad

#### Y RHESYMAU:

Cadw at broses yn dilyn cyfarfodydd o'r Cyd-Bwyllgor

Awdur yr Adroddiad:	Swydd:	Rhif Ffon
Phil Roberts	Prif Weithredwr Arweiniol	E: bost



# EXECUTIVE SUMMARY

## ERW JOINT COMMITTEE

### 12.10.18

## LEAD CHIEF EXECUTIVE UPDATE AND ACTION LOG

### BRIEF SUMMARY OF PURPOSE OF REPORT

The update will focus on:

#### 1. Updated Assurance Report

These are attached in the body of the report.

DETAILED REPORT ATTACHED?

YES

## IMPLICATIONS

Policy, Crime & Disorder and Equalities	Legal	Finance	Risk Management Issues	Staffing Implications
NONE	NONE	NONE	NONE	NONE

## CONSULTATIONS

Details of any consultations undertaken are to be included here 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**

**Supporting / Additional information from ERW Executive Board N/A**

**Supporting / Additional Information from ERW Advisory Board N/A**



## Assurance Report for ERW Joint Committee

Date of JC	Action	Progress	Responsible Officer
16/7/2018	Schools Causing Concern – AGREED that the consideration of the report with the inclusion of the additional work identified on schools improvement, be deferred until the next meeting	<p>Completed – scheduled for October Joint Committee</p> <p>Amendments discussed at Exec Board, included in a redraft for Joint Committee Seminar.</p> <p>Matters now included:            Nature of support allocated to schools            Further details on a school by school basis            Entry criteria of all Schools Causing Concern</p> <p>Given the highly sensitive nature of this work, it is suggested that Joint Committee receive an overview and Directors in each Authority are to ensure that Elected Members are briefed accordingly.</p>	ERW Central Team
16/7/2018	GCSE Results – a further report to be presented to the Joint Committee at the next meeting, to include changes in accountability measures, and an Executive Summary from WG, with results	<p>Completed – scheduled for October Joint Committee</p> <p>Amendments suggested at Exec Board, now redrafted for Joint Committee Seminar.</p> <p>The changing accountability measures have been discussed by Welsh Government and Portfolio Holders/Leaders for Education. The reform of the</p>	ERW Central Team

		measures is ongoing, with ERW, ADEW and headteachers participation.	
16/7/2018	The Outline Report for Review and Reform of Governance Arrangements (item 9.3) be included within the ERW Review and Reform Programme	<p>Tabled for discussion by Directors on 21.9.18 and Executive Board 21.9.18</p> <p>Comments made at Exec 21.9.18, currently tabled for discussion by Chief Executives and Monitoring Officer</p> <p>Suggestion: Given the discussion needed on the scope, and structure of ERW, new governance arrangements should be developed in relation to the organisation that requires that governance. Therefore, it is suggested that Governance Arrangements be developed following a clear steer from JC.</p>	Directors
16/7/2018	<p>Correspondence to Scrutiny Councillor Group – Agreed that the draft letter of response be approved with additional references to be made that:</p> <p>i) The Review and Reform Programme was still in progress; and</p> <p>ii) that changes to the National Model were being monitored before final decisions could be taken in relation to any future ERW structures.</p>	<p>Letter sent</p> <p>Response from Scrutiny Councillor Group received – Lead Chief Exec + Chair invited to additional January meeting.</p> <p>Draft Response to be discussed as agenda item for JC 12.10.18</p>	JC Chair + Lead Chief Executive
16/7/2018	Accommodation – agreed that there was a need to renegotiate the current lease for a further period, pending progress of the ERW Review and Reform Programme and the National Model.	Current Lease extension likely to be for a 12 month rolling period, negotiations ongoing	

	<p>The Lead Chief Executive, the Managing Director and Lead Director to consider the Health and Safety Aspects</p> <p>The Monitoring Officer to consider the legal position of the lease</p> <p>That Welsh Government buildings are not to be utilised by ERW staff in the event that alternative office accommodation is required in the future</p>	<p>Additional 3 office rooms recently became available at Y Llwyfan, negotiations for their lease ongoing. Hopefully this will mitigate some Health and Safety issues and provide space for holding meetings.</p> <p>Authorities have been contacted to attempt to source DDA compliant furniture that has been recommended for some members of staff at ERW offices.</p>	<p>Lead Chief Executive</p> <p>Monitoring Officer</p>
16/7/2018	<p>Business Plan:</p> <p>To Instruct the Lead Director of Education and Managing Director to make improvements to the ERW Business Plan</p> <p>To Formulate a precis of the Plan to the Executive Board</p> <p>To forward the precis to all Members of the Joint Committee by e-mail, for agreement by 31<sup>st</sup> July 2018</p>	<p>Business Plan submitted to WG in line with 31/7 deadline.</p> <p>ERW SLT and LA Principal Challenge Advisers worked on final revised version including budgeting + low level action plans.. Tabled for circulation at 12.10.18 Joint Committee</p>	<p>Directors Group / Lead Director</p> <p>Section 151 Officer</p>

	S151 Officers of all Local Authorities to be put on notice of the risk	151 Officers Notified by ERW Section 151 Officer of risks	
16/7/2018	<p>Internal Audit Assurance Opinion:</p> <p>To refer the matter to the three Lead Officers, (MD, Lead Chief Exec, Lead Director) to formulate a mitigation plan by next Joint Committee meeting;</p> <p>The Monitoring Officer to update the Legal Agreement, limited to reflect the current position, to include previous Joint Committee delegation decisions, and update of the Executive Board and Managing Director delegations (as set out in Legal Agreement).</p> <p>The ERW Legal Agreement to be added as a standing agenda item</p>	<p>Response to Internal Audit Report prepared, currently being considered by S151 Officer and Head of Internal Audit for further. Tabled for circulation only at 12.10.18</p> <p>Monitoring Officer leading on this work, following Advisory Board Meeting 24.9.18</p> <p>Legal Agreement in the process of being updated by Monitoring Officer, for the consideration of the Lead Chief Executive, Lead Director, and Section 151 Officer, then for discussion at future Joint Committees.</p>	<p>Lead Chief Exec / Lead Director / MD</p> <p>Monitoring Officer</p> <p>ERW Central Team</p>
16/7/2018	<p>Internal Audit Report:</p> <p>Agreed that the ERW Internal Audit Report 2017-18 be a standing agenda item on the Joint Committee</p>	<p>ERW Central Team liaising with Lead Chief Executive, Lead Director S151 officer and Carmarthen Democratic Services</p> <p>As mentioned above – Mitigation Plan to be circulated at 12.10.18 JC</p>	ERW Central Team

16/7/2018	<p>Annual Governance Statement:</p> <p>Agreed the ERW Consortium Annual Governance Statement 2017-18</p> <p>Management actions be completed by Lead Officers, an action plan identifying mitigating steps be circulated to the Joint Committee Members, for approval by 31/7/18</p>	Submitted in line with 31/7/18 deadline.	Section 151 Officer
16/7/2018	<p>Financial Update 2018-19 :</p> <p>The action to be taken in the event of a Neath Port Talbot County Council not paying their share of the £250k Local Authority Contribution for 2018-19 be deferred to the next Joint Committee meeting</p> <p>That a formal letter from Welsh Government is sought to clarify the terms and conditions of the RCSIG grant</p> <p>Clarification to be sought from Welsh Government as to the offer/arrangements in respect of the £250k Welsh Government funding for the Review and Reform Programme, and with regards its requirements regarding return of any monies already spent</p>	<p>Tabled for discussion at October Joint Committee under Budget Report item.</p> <p>Letter Received, actions distributed</p> <p>Carry over assured by WG</p>	<p>Lead Chief Executive, Monitoring Officer</p> <p>Lead Chief Executive / Lead Director / MD</p> <p>Section 151 Officer</p>

	The determination on how to replenish the ERW Reserves, either with a one-off contribution from the six Local Authorities or an increase in the existing £250k annual contribution be deferred to the next Joint Committee.	Tabled for discussion at October Joint Committee under Budget Report item	
16/7/2018	<p>Risk Registers</p> <p>Agreed that further work to be carried out to complete the Risk Register, including reviewing risk scores</p>	Completed, proposed alterations taken to Directors, comments made at Exec Board. Section 151 Officer presenting at 12.10.18 Joint Committee for circulation	ERW Central Team
16/7/2018	<p>HR Proposals</p> <p>Agreed that the proposal to create the following 3 posts:</p> <ul style="list-style-type: none"> <li>- Business and Finance Manager</li> <li>- Head of School Performance and Leadership</li> <li>- Head of Support and Curriculum</li> </ul> <p>Be approved subject to</p> <p>i) the posts for Head of School Performance &amp; Leadership and Head of Support and Curriculum be amended to state “the ability to work through the medium of Welsh is <i>Essential</i> and at a proficient level on appointment.</p>		



	<p>ii) The Job Descriptions and Job Specifications being considered further by Directors, Section 151 Officer and the HR Group (x6 one from each LA).</p>	<p>Discussions ongoing</p> <p>Agreed for Business and Finance Manager post to go ahead to advertisement. Advert to be shared at JC.</p>	<p>Directors, Section 151 Officer, HR Group</p>
16/7/18	<p>Reviewing the SLAs and In-Kind Arrangements</p> <p>Agreed that:</p> <p>A report providing information on insurance matters be brought to the next Joint Committee</p> <p>Until then, the present SLAs and in-kind arrangements are to continue</p> <p>Expressions of interest for in-kind arrangements / statutory officers, and SLAs to be invited from all LAs from September 2018</p>	<p>Ongoing – Section 151 Officer to raise in Joint Committee the issue around current insurance evaluations and their accuracy going forward.</p> <p>Preliminary discussions initiated by Lead Chief Executive via e-mail. Further scoping and tendering work may be required in line with expressions of interest.</p>	<p>Pembs Finance / Advisory Group</p>
16/7/18	<p>Non Compliance Report:</p> <p>Agreed</p> <p>That this matter be deferred to a future Joint Committee meeting following the</p>		

	<p>endorsement of the ERW Business Plan (by Welsh Government), in the meantime;</p> <p>Officer to continue with the current funding formula for all schools;</p> <p>To instruct the Managing Director to negotiate interim arrangements with Welsh Government whilst the development work is put in place in order to access grant for schools'</p> <p>Schools to be informed by individual LA S151 Officers.</p>	<p>Grant Conditions received in revised form September 2018. 1<sup>st</sup> of October, grant as of yet not released, negotiations ongoing.</p>	
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## CYD-BWYLLGOR ERW 12.10.18

### GOHEBIAETH

#### Y Pwrpas:

Mae'r Cyd-Bwyllgor wedi derbyn sawl darn o ohebiaeth allweddol

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

I nodi'r gohebiaeth, ac i gytuno ymatebion lle bu angen

#### Y RHESYMAU:

Cynnal trafniadau craffu, arfer dda.

<b>Awdur yr Adroddiad:</b>	<b>Swydd:</b>	<b>Rhif Ffon</b>
Cyngh. Ellen ap Gwynne	Cadeirydd y Cyd-Bwyllgor	E: bost



# EXECUTIVE SUMMARY

## ERW JOINT COMMITTEE

### 12/10/2018

#### Correspondence

#### BRIEF SUMMARY OF PURPOSE OF REPORT

3 letters form this report

1. A letter from Steve Davies regarding audit work in all 4 consortia
2. The revised grant offer letter for the RCSIG grant
3. A letter from the Scrutiny Councillor Group

DETAILED REPORT ATTACHED?

YES

#### IMPLICATIONS

Policy, Crime & Disorder and Equalities	Legal	Finance	Risk Management Issues	Staffing Implications
NONE	NONE	NONE	NONE	NONE

#### 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:**  
**THERE ARE NONE**





Mae'r dudalen hon yn wag yn fwriadol

Eich cyf/Your ref  
Ein cyf/Our ref



Llywodraeth Cymru  
Welsh Government

18<sup>th</sup> September 2018

Dear Colleagues

As you are aware, Welsh Government believe that regional consortia and their constituent authorities have a significant role to play in improving educational outcomes for all learners in Wales and in delivering our substantial education reform.

The approach we have taken to fund educational activity relating to school improvement and looked after children at a regional level, is to ensure that you are well supported to deliver this national agenda.

I acknowledge that the regional approach to grant funding, together with the improved working relationships between consortia and with Welsh Government officials over the last two years, has meant that in partnership, we have made significant strides towards meeting our shared goals and aspirations for the education system in Wales.

However, Welsh Government are now allocating more funding to the 4 regions than ever before and I need to be assured that systems and processes at a regional level are consistent, transparent and robust. Moreover, that this significant allocation of national funding is impacting positively on the quality of provision, available opportunities and outcomes for every teacher, child and young person.

Commencing this month, I intend to undertake a review of the Education Improvement Grant for Schools (EIG) and the looked after children (LAC) element of the Pupil Development Grant (PDG). The review will comply with our monitoring and audit duties as set out in the relevant grant letters covering the Education Improvement Grant for Schools and the Pupil Development Grant.

Parc Cathays  
Caerdydd  
CF10 3NQ

Cathays Park  
Caerdydd • Cardiff  
CF10 3NQ

Ffôn • Tel: 03000 253368  
Ffacs • Fax: 02920801044  
Ebost • Email: [Steve.Davies049@gov.wales](mailto:Steve.Davies049@gov.wales)

Tudalen 35

The overall aim will be to gather data, in a consistent format, from all 4 regional consortia to enable comparisons to be made and learning to be shared.

Your point of contact in Welsh Government will be Martyn Gray [Martyn.Gray@gov.wales](mailto:Martyn.Gray@gov.wales), tel 0300 061 6066. On receipt of this letter, you are asked to provide him with a named contact through which all correspondence can be directed. Martyn will be supported by an external consultant, Martin Donovan who has a wealth of experience in financial management at a senior level, in local authorities in both Wales and England.

Yours faithfully



Steve Davies

Director of Education / Cyfarwyddwr Addysg

Education and Public Service Group: Y Grwp Addysg A Gwasanaethau Cyhoeddus

Welsh Government Llywodraeth Cymru

**Tel/Ffon: 03000 253368 - NEW NUMBER**







Llywodraeth Cymru  
Welsh Government

18th September 2018

Annwyl cydweithwyr

Fel y gwyddoch, mae Llywodraeth Cymru yn credu bod gan gonsortia rhanbarthol a'u hawdurdodau cyfansoddol rôl bwysig i'w chwarae wrth wella canlyniadau addysgol ar gyfer pob dysgwr yng Nghymru ac wrth gyflawni ein diwygiad addysg sylweddol.

Y dull a gymerwyd gennym i ariannu gweithgarwch addysgol sy'n ymwneud â gwella ysgolion a phlant sy'n derbyn gofal ar lefel ranbarthol yw sicrhau eich bod yn cael cefnogaeth dda i gyflawni'r agenda cenedlaethol hwn.

Rwy'n cydnabod bod yr ymagwedd ranbarthol tuag at gyllid grant, ynghyd â'r gwell cydberthynas waith rhwng consortia a swyddogion Llywodraeth Cymru dros y ddwy flynedd ddiwethaf, wedi golygu ein bod wedi, mewn partneriaeth, wneud camau sylweddol tuag at gwrdd â'n nodau a'n dyheadau a rennir ar gyfer y system addysg yng Nghymru.

Fodd bynnag, mae Llywodraeth Cymru bellach yn dyrannu mwy o arian i'r 4 rhanbarth nag erioed o'r blaen ac mae imi wybod bod y systemau a'r phrosesau sydd ar waith ar lefel ranbarthol yn gyson, yn dryloyw ac yn gadarn. Yn ogystal, rhaid cadarnhau bod y dyraniad sylweddol hwn o gyllid cenedlaethol yn effeithio'n gadarnhaol ar ansawdd y ddarpariaeth, gan wella'r cyfleoedd a'r canlyniadau i bob athro, plentyn a pherson ifanc.

Gan gychwyn y mis hwn, rwy'n bwriadu cynnal adolygiad o'r Grant Gwella Addysg ar gyfer Ysgolion (GGA) ac elfen y plant sy'n derbyn gofal (LAC) o'r Grant Datblygu Disgyblion (GDD). Bydd yr adolygiad yn cydymffurfio â'n dyletswyddau monitro ac archwilio fel a nodir yn y llythyrau grant perthnasol ynghylch y Grant Gwella Addysg ar gyfer Ysgolion a'r Grant Datblygu Disgyblion.

Y nod cyffredinol fydd casglu data, mewn fformat cyson, oddi wrth y 4 consortiwm rhanbarthol er mwyn cymharu data a rhannu gwersi.

Eich pwynt cyswllt yn Llywodraeth Cymru fydd Martyn Gray [Martyn.Gray@llyw.cymru](mailto:Martyn.Gray@llyw.cymru), rhif ffôn 0300 061 6066. Ar ôl cael y llythyr hwn, gofynnir i chi roi cyswllt penodol iddo y gellir cyfeirio pob gohebiaeth ato. Cefnogir Martyn gan ymgynghorydd allanol, Martin Donovan, sydd â chyfoeth o brofiad ym maes rheoli ariannol ar lefel uwch, mewn awdurdodau lleol yng Nghymru a Lloegr.

Yours faithfully



Steve Davies

Director of Education / Cyfarwyddwr Addysg

Education and Public Service Group: Y Grwp Addysg A Gwasanaethau Cyhoeddus

Welsh Government Llywodraeth Cymru

**Tel/Ffon: 03000 253368 - NEW NUMBER**





Llywodraeth Cymru  
Welsh Government

Mr Jonathan Haswell  
Section 151 Officer  
Pembrokeshire County Council  
Haverfordwest  
Pembrokeshire  
SA61 1TP

14 September 2018

Dear Mr Haswell

**Award of Funding in relation to the Regional Consortia School Improvement Grant 2018-19 to support delivery of the Welsh Government's priorities in *Education in Wales: Our national mission*, against the Funding Letter issued to you on 19 December 2017.**

## **1. Award of Funding**

- (a) We are pleased to inform you that an allocation of £40,971,102 (Forty Million, Nine Hundred and Seventy One Thousand, One Hundred and Two pounds) ("the Funding") has been made available to you for the Purposes (as defined in Condition 4(a)).
- (b) The Funding relates to the period 1 March 2018 to 31 March 2019. The Funding must be claimed in full by 31 March 2019 otherwise any unclaimed part of the Funding will cease to be available to you.
- (c) If you have any queries in relation to this award of Funding or the Conditions please contact the Welsh Government Official who will be happy to assist you.
- (d) The Funding Letter is reflected within two separate Grant Awards, the Pupil Development Grant and the Funding outlined within this Award.

## **2. Statutory authority and State Aid**

- (a) This award of Funding is made on and subject to the Conditions and under the authority of the Cabinet Secretary for Education, one of the Welsh Ministers, acting pursuant to sections 14-17 of the Education Act 2002 and 70 and 71(1) of the Government of Wales Act 2006.
- (b) You must comply with the European Commission's State Aid Rules.

### 3. Interpreting these Conditions

Any reference in these Conditions to:

**'you', 'your'** is to  
Pembrokeshire County Council  
Haverfordwest  
Pembrokeshire  
SA61 1TP

**'we', 'us', 'our'** is to the Welsh Ministers;

**'Welsh Government Official'** is to  
Kelly Murphy, Head of Finance and Inspection  
Education, Business Planning and Governance Division  
Education Directorate  
Welsh Government  
Cathays Park  
Cardiff CF10 3NQ  
Tel: 0300 025 1678  
Email: [Kelly.murphy@gov.wales](mailto:Kelly.murphy@gov.wales)

or such other Welsh Government official as we may notify you.

**'Project Manager'** is to  
Betsan O'Connor  
ERW  
Y Llwyfan  
College Road  
Carmarthen  
SA31 3EQ  
E-mail: [betsan.oconnor@erw.org.uk](mailto:betsan.oconnor@erw.org.uk)

For the purposes of formal grant acceptance, the Project Manager is designated as:

.....  
ERW  
Y Llwyfan  
College Road  
Carmarthen  
SA31 3EQ  
E-mail: [.....](#)

**'Application'** is to your draft consortium business plan and supporting spending profile, which reflects as a minimum the overarching and enabling objectives in *Education in Wales*, as directed by the Funding Letter issued on 19 December 2017, along with the key actions pertaining specifically to this award of Funding including the requirement for further clarity on points of detail (set

out in Schedule 3) to aid the Welsh Government's monitoring of the expenditure against the support plan;

**'Conditions'** is to the terms and conditions set out in this letter;

**'Costs Incurred'** is to the cost of goods and services you have received regardless of whether you have paid for them by the date of your claim;

**'Notification Event'** is to any of the events listed in Schedule 2;

**'Payment Profile'** is to the payment profile set out in Schedule 3;

**'Personnel'** is to your management/employees and suppliers or any other person appointed or engaged by you in relation to the Purposes;

**'Schedule'** is to the schedules attached to this letter;

**'State Aid Rules'** is to the rules set out in Articles 107 to 109 of the Treaty on the Functioning of the European Union (or in those Articles that may succeed Articles 107 to 109), secondary legislation such as frameworks, guidelines and block exemptions produced by the European Commission derived from Articles 107 to 109, case law of the European Courts and decisions of the European Commission regarding the application of Articles 107 to 109; and

**'Funding Letter'** is to the letter issued to consortia Managing Directors, Local Authority Lead Directors of Education and Banker authority Section 151 Officers on 19 December 2017 providing the outline funding envelope for regional consortia and priorities for 2018-19 financial year and revised versions thereof, including as provided with this Funding award.

**any reference to any legislation** whether domestic, EU or international law will include all amendments to and substitutions and re-enactments of that legislation in force from time to time.

#### **4. What you must use the Funding for**

- (a) You must use the Funding solely for the purposes set out in Schedule 1 (the "**Purposes**").
- (b) Any change to the Purposes will require our written consent which must be obtained from us in advance of implementing any change. Please note that we are not obliged to give our consent but we will consider all reasonable written requests.

- (c) You must not use any part of the Funding for: (1) party political purposes; (2) the promotion of particular secular, religious or political views; (3) gambling; (4) pornography; (5) offering sexual services; (6) purchasing capital equipment (other than as specified in the Purposes); (7) your legal fees in relation to this letter; (8) Costs Incurred or costs incurred and defrayed by you in the delivery of the Purposes prior to the period referred to in Condition 1 (b); (9) any kind of illegal activities; or (10) any kind of activity which in our opinion could bring us into disrepute.

## **5. Funding pre-conditions**

- (a) We will not pay any of the Funding to you until you have provided us with the following information and documentation:
  - (i) this letter signed by you;
  - (ii) confirmation that the signatories who have signed this letter on your behalf are duly authorised to do so;
  - (iii) documentary evidence that you have appropriate systems in place to undertake due diligence before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties;
  - (iv) confirmation that you have in place a current and valid collaboration agreement between the parties in the consortium including the proposed dates on which the payments will be made by all 6 LAs and latterly confirmation that payment will be made in line with this requirement;
  - (v) confirmation that you as lead/banker authority have details in relation to non-lead authorities in your area of their proposed control environment, in particular their monitoring arrangements and evidence of spend; and
  - (vi) confirmation that your distribution formula supports schools and settings to deliver the Foundation Phase.
- (b) Where you are required to provide information and documentation to us as evidence that you have satisfied a particular pre-condition, Condition or in support of a claim, the information and documentation must be in all respects acceptable to us. We reserve the right to reject any information and documentation which is for any reason not acceptable to us.

## **6. Payment of Funding**

- (a) The Funding will be paid to you bi-monthly based on costs incurred by you in the delivery of the Purposes as detailed in the Payment Profile. We will review your profile of expenditure in the Autumn (2018) and quarterly thereafter.

- (b) The Funding will be paid to you in accordance with the dates set out in the Payment Profile. We reserve the right to withhold or recover any part of the Funding.
- (c) The updated profile of expenditure proforma in the Autumn and quarterly thereafter will require:
  - (i) Confirmation that you have appropriate systems in place to undertake due diligence before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties.
  - (ii) Sign off by you or your representative.
- (d) We shall be entitled to withhold and retain 2.5% of the total Funding until such time as you provide us with all information requested or we agree you have delivered the Purposes satisfactorily.

## **7. Your general obligations to us**

You must:

- (a) safeguard the Funding against fraud generally and, in particular, fraud on the part of your Personnel and notify us immediately if you have reason to suspect that any fraud within your organisation whether or not it relates to the Funding has occurred or is occurring or is likely to occur. You must also participate in such fraud prevention initiatives as we may require from time to time.
- (b) comply with all applicable domestic, EU or international laws or regulations or official directives;
- (c) maintain adequate insurances to cover against the risks which may arise in connection with any property or any activity undertaken in delivery of the Purposes. We reserve the right to require you to provide proof of your insurance.
- (d) put in place and maintain appropriate systems to undertake due diligence before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties;
- (e) co-operate fully with the Welsh Government Official and with any other employee of the Welsh Government or consultant appointed by us to monitor your use of the Funding and your compliance with these Conditions;
- (f) inform us immediately if any of the declarations made in Condition 8 are incorrect in any respect or, if repeated at any time with reference to the facts and circumstances then existing, would be incorrect.

## **8. Declarations**

You declare that:

- (a) you have the power to enter into and to perform the obligations set out in these Conditions and you have taken all necessary action to authorise the entry into and performance of the obligations under these Conditions;
- (b) no litigation or arbitration is current or pending or, so far as you are aware, threatened, which have or could have an adverse effect on your ability to perform and comply with any of these Conditions;
- (c) the information contained in your Application is complete, true and accurate and reflects Education in Wales: Our national mission;
- (d) you have disclosed to us all material facts or circumstances which need to be disclosed to enable us to obtain a true and correct view of your business and affairs (both current and prospective) or which ought to be provided to any person who is considering providing funding to you;

## **9. Notification Events and their consequences**

- (a) You must notify us immediately if a Notification Event has occurred or is likely to occur but we also reserve the right to notify you where we believe a Notification Event has occurred or is likely to occur.
- (b) We will either (i) notify you that we consider that the Notification Event is not capable of remedy or (ii) if we consider that the Notification Event is capable of being remedied seek to discuss the Notification Event with you with a view to agreeing a course of action to be taken to address the Notification Event.
- (c) We will be entitled to take any of the actions listed in Condition 9(d) if:
  - (i) despite our reasonable efforts we have been unable to discuss the Notification Event with you; or
  - (ii) we notify you that the Notification Event is not capable of remedy; or
  - (iii) a course of action to address the Notification Event is not agreed with you; or
  - (iv) a course of action to address the Notification Event is agreed with you but you fail to follow it, or any conditions attached to it are not met (including without limitation the timescale for such course of action); or
  - (v) the course of action fails to remedy the Notification Event to our satisfaction.



- (d) If any of the circumstances set out in Condition 9(c) occurs we may by notice to you:
  - (i) withdraw the award of Funding; and/or
  - (ii) require you to repay all or part of the Funding immediately; and/or
  - (iii) suspend or cease all further payment of Funding; and/or
  - (iv) make all further payments of Funding subject to such conditions as we may specify; and/or
  - (v) deduct all amounts owed to us under these Conditions from any other funding that we have awarded or may award to you; and/or
  - (vi) exercise any other rights against you which we may have in respect of the Funding.
- (e) All repayments of Funding must be made to us within 28 days of the date of our demand. If applicable, you must pay interest on any overdue repayments (on a compound basis) in accordance with the State Aid Rules.

## **10. Monitoring requirements**

Monitoring of impact and additionality of the Funding will be evidenced using existing mechanisms and information as far as possible.

You must:

- (a) provide us with such documents, information and reports which we may reasonably require from time to time in order for us to monitor your compliance with the Conditions including without limit:
  - i) a copy of your consortium business plan and completed outcomes framework.
  - ii) a profile of expenditure and initial, then subsequently quarterly, updates on the spending profile indicating any variances, against which future payment may be revised;
  - iii) participation in termly review and challenge sessions and submit a short report against the outcomes framework ahead of each termly review and challenge meeting to the Project Manager, which will outline evidence of spend, value for money, and progress to date against each Education in Wales objective;
  - iv) access to papers for discussion at your Joint Committee or Company Board and Advisory Board meetings as appropriate through your nominated Welsh Government representative, including self-evaluation reports and regular progress updates against your business plan;
  - v) confirmation that your consortium business plan covering the funding period has been or will be agreed through your regional governance arrangements outlined in the National Model for Regional Working;

- vi) documentary evidence that you have put in place all staff and other resources detailed in the Application as required to commence and complete the Purposes with regular updates on staffing resources (frequency to be agreed) along with confirmation of appointments in relation to centrally employed (ERW) staff;
  - vii) such other information as reasonably needed to understand impact, value for money and progress against delivery of the Purposes of the Funding including as and when required by the Cabinet Secretary for Education and the Wales Audit Office.
- (b) meet with the Welsh Government Official and such other of our representatives as we may from time to time reasonably require; and provide information to support those meetings as reasonably required including without limit:
- i) Regular meetings between consortia Managing Directors and Welsh Government Director of Education and Deputy Directors, with frequency of meetings to be agreed;
  - ii) Any meeting the Director of Education may require you to attend;
  - iii) Attendance at and to support termly Review and Challenge Sessions;
  - iv) Support opportunities for Welsh Government officers to meet with consortia operational leads;
  - v) Other reasonable access as required for monitoring progress against delivery of the Purposes.
- (c) ensure that the Project Manager (or such other person as we may agree) together with any other person we may require attends all meetings with the Welsh Government Official.

## **11. Audit Requirements**

- (a) You must:
- (i) maintain clear accounting records of delegated funding amounts to school level and maintain clear accounting records identifying all income and expenditure in relation to non-delegated funds;
  - (ii) without charge, permit any officer or officers of the Welsh Government, Wales Audit Office or European Commission at any reasonable time and on reasonable notice being given to you to visit your premises and/or to inspect any of your activities and/or to examine and take copies of your books of account and such other documents or records howsoever stored as in such officer's reasonable view may relate in any way to your use of the Funding. This undertaking is without prejudice and subject to any other statutory rights and powers exercisable by the Welsh Government, Wales Audit

- Office or the European Commission or any officer, servant or agent of any of the above;
- (iii) retain this letter and all original documents relating to the Funding until we inform you in writing that it is safe to destroy them;
- (b) Under paragraph 17 of Schedule 8 to the Government of Wales Act 2006 the Auditor General for Wales has extensive rights of access to documents and information relating to monies provided by the Welsh Government. He and his officials have the power to require relevant persons who control or hold documents to give any assistance, information and explanation that they may require; and to require those persons to attend before them for such a purpose. The Auditor General and his staff may exercise this right at all reasonable times.
- (c) Schools are not required to classify expenditure in relation to the Purposes of Funding, however you must ensure you can provide us with the information requested in the funding offer.

## **12. Third party obligations**

- (a) Nothing in the Conditions imposes any liability on us in respect of any liability incurred by you to any third party (including, without limit, employees and contractors).
- (b) You must indemnify us against any liabilities, claims, proceedings, demands, losses, costs and expenses suffered or incurred by us directly or indirectly arising as a result of or in connection with any failure by you to perform fully or in part any obligation you may have to a third party.

## **13. Intellectual property rights and publicity**

- (a) Nothing in these Conditions transfers to us any rights in any intellectual property created by you as a result of the Purposes.
- (b) You must acknowledge our support in relation to the Purposes. Such acknowledgement(s) must be in a form approved by us and must comply with the Welsh Government's branding guidelines.
- (c) You agree that from the date of this letter until 5 years from the date of the final payment of Funding we may include details about your organisation and business, the Funding and the Purposes in Welsh Government promotional materials and you further agree to cooperate with our reasonable requests to achieve the production of such materials.

## **14. Information**

- (a) You acknowledge that we are subject to the requirements of the Freedom of Information Act 2000 (the "FOIA"), the Environmental

Information Regulations 2004 (the “EIR”) and the Data Protection Act 1998 (the “DPA”).

- (b) You acknowledge that we are responsible for determining in our absolute discretion whether:
  - (i) to disclose any information which we have obtained under or in connection with the Funding to the extent that we are required to disclose such information to a person making a disclosure request under the FOIA or the EIR; and/or
  - (ii) any information is exempt from disclosure under the FOIA or the EIR.
- (c) You acknowledge that we may share any data you provide to us with fraud prevention agencies and third parties for the purposes of preventing and detecting fraud.

## 15. Buying goods and services

If you decide to buy any goods and/or services to deliver the Purposes, they must be purchased in a competitive and sustainable way so as to demonstrate that you have achieved best value in the use of public funds.

## 16. Giving notice

- (a) Where notice is required to be given under these Conditions it must be in writing (this does not include email but may include a letter attached to an email) and must prominently display the following heading:

***“Notice in relation to the regional consortia school improvement grant 2018-19, to support delivery of the Welsh Government’s priorities in Education In Wales: Our national mission.”***

- (b) The address and contact details for the purposes of serving notice under these Conditions are as follows

You: the Project Manager at the address stated in Condition 3.

Us: the Welsh Government Official at the address stated in Condition 3.

- (c) A notice will be deemed to have been properly given as follows:-

Prepaid first class post:	on the second working day after the date of posting.
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By hand: upon delivery to the address or the next working day if after 4pm or on a weekend or public holiday.

By email attachment: upon transmission or the next working day if after 4pm or on a weekend or public holiday.

## **17. Equal opportunities**

You must apply a policy of equal opportunities as employers, as users of volunteers, and as providers of services, regardless of race, gender/gender identification, sexual orientation, religion and belief, age or any disability.

## **18. Welsh language**

Where the Purposes include or relate to the provision of services in Wales they must be provided in such a way as to not treat the Welsh language less favourably than English, in accordance with the Welsh Language (Wales) Measure 2011.

## **19. Sustainability**

Your use of the Funding must (where reasonably practicable) meet the Welsh Government's current agenda for sustainable development and the environment.

## **20. Welsh Ministers' functions**

You acknowledge that the Welsh Ministers have a range of functions which will continue to accrue and be amended and that decisions in relation to each such function are obliged to be taken in the light of all relevant and to the exclusion of all irrelevant considerations. You agree that nothing contained or implied in , or arising under or in connection with, these Conditions will in any way prejudice, fetter or affect the functions of the Welsh Ministers or any of them nor oblige the Welsh Ministers or any of them to exercise, or refrain from exercising, any of their functions in any particular way.

## **21. General**

- (a) If at any time any of these Conditions is deemed to be or becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions will not in any way be affected or impaired.
- (b) No failure or delay on our part to exercise any power, right or remedy under these Conditions will operate as a waiver of any such

power, right or remedy or preclude its further exercise or the exercise of any other power, right or remedy. The powers, rights or remedies hereby provided are cumulative and not exclusive of any powers, rights or remedies provided by law.

- (c) Any amendment or variation to these Conditions must be in writing and signed by us and you in the same manner as this letter.
- (d) You may not assign or otherwise dispose of in any way your rights, benefits, obligations or duties under these Conditions.
- (e) Conditions 7, 9, 11, 13, 14, and 21(e) and such other Conditions which by implication need to continue in force beyond the final payment of Funding will so continue in full force and effect.
- (f) The award of the Funding is to you alone and no one else is entitled to make any claim in respect of the Funding or seek to rely on or enforce any of these Conditions.
- (g) These Conditions are to be governed by and construed in accordance with the laws of Wales and England as applied in Wales and the parties hereto submit to the exclusive jurisdiction of the courts of Wales and England.

## **22. How to accept this offer of Funding**

- (a) To accept this award of Funding you must sign and return an electronic e.g. PDF copy of this letter to the Welsh Government Official. This must be returned from the email address of project manager named in this award letter.
- (b) We must receive your signed letter within 10 days of the date of this letter (ie on or before 28 September 2018) or this award of Funding will automatically be withdrawn.

Yours sincerely

A handwritten signature in black ink, appearing to read 'M. J. Godfrey', with a long, sweeping horizontal stroke extending to the right.

Signed by Mel Godfrey  
under authority of the Cabinet Secretary for Education  
one of the Welsh Ministers

## **Schedule 1**

### **The Purposes, Governance and Monitoring**

The Purpose of this Funding awarded to you on behalf of the ERW consortium is to support the regional consortium and the related authorities within the consortium in delivering our aspirations and priorities for schools and education outlined within Ambitious and Learning from our national strategy, Prosperity for All, and our plan of action for education, Education in Wales: Our national mission.

Education in Wales: Our national mission sets out how the school system will move forward over the period 2017-21, securing implementation of the new curriculum with a focus on leadership, professional learning, and excellence and equity within a self-improving system. The action plan focuses on raising standards for all, reducing the attainment gap, and delivering an education system that is a source of national pride and public confidence, which are our overarching aspirations for education in Wales.

Regional consortia in Wales and their related local authorities have a significant role to play in improving educational outcomes for all learners in Wales and in delivering our substantial educational reform.

The Funding Letter issued to Consortia Managing Directors, Local Authority Lead Directors of Education and Banker Authority Section 151 Officers on 19 December 2018 is formalised within two formal grant awards to regional consortia, the Pupil Development Grant and this Award of Funding.

The Funding Letter outlines our overarching national priorities for 2018-19 and how these should be delivered in the context of Education in Wales. The Funding must support you to deliver against our national priorities for education, at the centre of which is a transformational curriculum and a focus on four key enabling objectives which your action will support:

- Developing and delivering a high quality education profession
- Inspirational leaders working collaboratively to raise standards
- Strong and inclusive schools committed to excellence, equity and well-being
- Robust assessment, evaluation and accountability arrangements supporting a self-improving system.

The outcomes will be supported by a range of measures and key performance indicators, as outlined in your consortium business plan (the Application). Your Application will form part of the Draft Education Outcomes Framework at Annex 1A, which both parties will agree.

The Funding will be organised around the following pre-requisites and requirements:

**Policy requirements and expectations**

We will agree the expectations for each policy area at the first regular meeting with you and we will review this on a regular cycle thereafter on a mutually agreed reporting format with frequency of the cycle to be agreed.

**Sustainability and citizen-focused**

Initiatives supported by the grant must be sustainable, learner focused, and in line with the Well-being of Future Generations Act.

**National Model for Regional Working**

The expectations set out in the National Model for Regional Working guidance remain the same and should continue to be followed. The national model governance structures will also be used to monitor progress, including wherever appropriate to evidence the Funding requirements.

**Joint consortia working**

In line with the expectations set out in the National Model for Regional Working you will work with regional consortia across Wales to maximise opportunities for sharing good practice and learning across all Education in Wales objectives, and especially those newer in development, such as wellbeing.

**Supporting a self-improving system**

Where appropriate, you will facilitate, schools, Foundation Phase providers and PRUs' consideration of cluster models, and collaboration across the four consortia regions when determining the most effective use of the Funding to support the delivery of improved outcomes for learners

**Equity of approach**

You must be able to demonstrate equity of approach across the consortium and its related authorities in delegating the Funding to schools.

**Cluster working**

Where appropriate you may facilitate the consideration of cluster models for schools, Foundation Phase providers and PRUs when determining the most effective use of funding to support the delivery of improved outcomes for learners.

**Challenge Advisers and School Development Plans**

Consortia challenge advisers will provide support and challenge to schools to ensure their school development plans appropriately reflect their improvement journey and local priorities.



### **Monitoring and reporting**

The monitoring requirements are set out in Section 10, explaining how we will evaluate the progress, impact and additionality of the Funding in delivering Education in Wales against the measures in the Application.

The Funding Letter is formalised within two formal grant awards, the Pupil Development Grant and this Award of Funding. Regular meetings between you or your representatives and us, and engagement in and reporting in advance of Review and Challenge meetings will cover both Awards of Funding.

### **Profile of expenditure**

The Funding letter confirms how we have determined your regional allocation. In accepting this award of Funding you agree to allocate funds in line with our allocation within an acceptable tolerance which will be agreed with us.

You will submit to the Welsh Government Director of Education in writing any requests for virement of money between budget lines and Education in Wales objectives identified within the Funding Letter.

All variances will be reflected in your spending profile updates. Payments will be made in accordance with your profile of spend.

### **Value for Money and additionality**

You will be expected to evidence the additionality of the Funding, value for money and its impact.

This applies to the total Funding offered within this Award. In addition, you will evidence the additionality and impact specifically of the elements of support provided under the Raising School Standards manifesto and Programme for Government commitment within this Award.

### **Maximising funding to schools**

In planning activity and setting your business plan and profile of expenditure you must evidence a clear and demonstrable commitment to passporting the majority of funding to schools. You will provide Welsh Government with assurances of this as part of your Application and quarterly updates. For the EIG element you will maintain a minimum 80% delegation.

### **Minimising administration and management costs**

The grant arrangements support efforts to reduce the administration costs of managing the Funding. You will demonstrate and evidence a commitment to maintaining a low level of spend in managing and administering the Funding.

The Funding may be used to support the management and administrative costs of delivering the Pupil Development Grant.

### **Support for Design and Development of the new curriculum**

The Funding supports the preparation of pioneer schools and all schools and consortia to work with the new curriculum from 2022, ensuring all schools

have experience of curriculum and assessment arrangements and are involved in the development process. It will help ensure all schools have seen and thought through and had input into the development of the new curriculum so as to be ready to respond at publication from 2019

### **Welsh language**

You will agree the requirements of the Funding for Welsh language policy expectations within 6 weeks of the award of Funding. You will agree with our policy lead how you will evidence value for money and demonstrate evidence of local need and local delivery.

### **Learning in a Digital Wales (LiDW) – Phase II CPD**

The Funding Award replaces the grant extension for 2018-19 financial year for the LiDW Phase II CPD grant. The funding must be used to measurably increase the overall usage of the Hwb platform and associated tools and resources by schools in your region year on year. You will agree with our policy lead the requirements within 6 weeks of the award of Funding.

Specific conditions of Funding for the period relating to the element which supports the Education Improvement Grant for Schools

### **EIG - Local Authority Match funding for the consortium**

Local Authorities provide match funding to the Education Improvement Grant for Schools element of the Funding. The 2018-19 level is set at the match funding level to the Education Improvement Grant for Schools for 2017-18.

### **EIG - Foundation Phase**

The Funding must be used to support the Foundation Phase staff to learner ratios as part of the delivery of a high quality and effective Foundation Phase curriculum. The Funding must also be used to support Foundation Phase practitioners in non-maintained settings to deliver high quality provision.

You and your related authorities must be able to confirm that your distribution formula for the Funding supports schools and settings to deliver the Foundation Phase in accordance with the ratios.

### **EIG - Support for Welsh in Education Strategic Plans**

The Funding must be used to support the delivery of local authority Welsh in Education Strategic Plans in working towards the aims of our Welsh-medium Education Strategy.

### **EIG – Support for minority ethnic achievement and the education of Gypsy Roma Traveller learners**

In line with the assurances provided by Local Government against the expectations of the Cabinet Secretary for Education, from 2018-19 this area of provision is no longer eligible expenditure under the Funding.

**General**

In accordance with Condition 10, we may from time to time request information about the Grant. Any failure by you to provide satisfactory information will be deemed a Notification Event.

Nothing in this Schedule shall relieve you of any of your obligations to us as set out in the Conditions.

## **Schedule 1A**

### **Draft Education Outcomes Framework**

The measures and key performance indicators identified within your Application, form part of the Education Outcomes Framework, against which we will monitor evidence of impact, value for money and progress against delivery of the Purposes and the overarching and enabling objectives.

An outcomes framework is included within the documents accompanying this grant award.

## **SCHEDULE 2**

### **Notification Events**

The Notification Events referred to in Condition 9 are listed below:

1. repayment of any part of the Funding is required under European Law (whether under State Aid Rules or otherwise);
2. you fail to comply with any of the Conditions;
3. the Funding, in full or in part, is not being used for the Purposes;
4. there is unsatisfactory progress towards completing the Purposes;
5. you fail to provide information about the Purposes requested by us, the European Commission or the European Court of Auditors, or any of their auditors, agents or representatives;
6. we have reason to believe that you and/or any of your Personnel are involved in fraudulent activity or have been involved in fraudulent activity whilst the Purposes are/were being carried out;
7. we have made an overpayment of Funding to you;
8. any declaration made in Condition 8 is incorrect in any respect or, if repeated at any time with reference to the facts and circumstances then existing, would be incorrect;
9. any petition is presented or resolution passed or other action taken for your bankruptcy or winding-up or a petition is presented for an administration order against you;
10. a receiver or an administrative receiver is appointed in respect of you or in respect of all or any part of your assets;
11. a moratorium in respect of all or any of your debts or a composition or an agreement with your creditors is agreed, applied for, ordered or declared;
12. you are unable, or admit in writing your inability, to pay your debts as they fall due;
13. any distress, execution, attachment or other process affects any of your assets;
14. a statutory demand is issued against you;
15. you cease, or threaten to cease, to carry on all or a substantial part of your business;

16. there is a change in your constitution, status, control or ownership and/or your external auditors resign;
17. there is a change in your shareholders, directors, trustees or partners;
18. any event occurs or circumstances arise which in our opinion gives reasonable grounds for believing that you may not, or may be unable, to perform or comply with any of your obligations under these Conditions.

### SCHEDULE 3

#### Payment Profile

Payment will be made to you every two months in line with your spending profile. An initial update in the Autumn 2018 (date to be determined by us) and subsequent quarterly updates of the spending profile are required under the terms and conditions of the Funding award.

Future payments may be revised to reflect changes and variations identified in your profile of spend.

We will aim to process payments on or within 5 days of the dates identified below.

Period		Payment date for processing	Amount against Spending profile
1	March – April 2018	To be agreed, pending formal acceptance of this award letter.	5,207,282
2	May – June 2018		5,535,666
3	July – August 2018		5,231,800
4	September – October 2018	25 October 2018	8,270,461
5	November – December 2018	18 December 2018	5,535,666
6	January – February 2019	26 February 2019	8,270,461
7	March 2019	26 March 2019	2,919,766

The Funding Letter issued on 19 December 2017, including as revised and provided with this Funding Award, provides detail of the full grant amount available for the financial year 2018-19.

#### **PLEASE NOTE THAT FOR FUTURE PAYMENTS, RELATING TO THE PERIOD BEYOND 31 AUGUST, WE REQUIRE:**

- Your revised Business plan
- detail on apportionment of funds to support the Improvement Priorities and the programmes of work (what you will do in 2018-19); and
- detail on how you are implementing Estyn recommendations.
- strengthening of the Annual Governance Statement:
  - where weaknesses are identified;
  - All timescales provided in the Annual Governance statement where stated are adhered to (where dates are to be determined we would expect these dates to now be provided); and
  - More specifically, on the issue of equity (referred to as delegation in Steve Davies' recent letter) we require a consistent regional

approach to delegations including the foundation phase allocation formulae.

- Confirmation that payment has been made by all 6 LAs as part of their contribution.



## GRANT ACCEPTANCE

We hereby accept the award of Funding for **the Regional Consortia School Improvement Grant 2018-19** to support delivery of the Welsh Government's priorities in *Education in Wales: Our national mission*, against the Funding Letter issued to you on 19 December 2017 and the Conditions relating to the Funding

\_\_\_\_\_  
An authorised signatory of Pembrokeshire County Council

Signature

\_\_\_\_\_  
Name

Name

\_\_\_\_\_  
Job Title

Job Title

\_\_\_\_\_  
Date

Date

\_\_\_\_\_  
An authorised signatory of Pembrokeshire County Council

Signature

\_\_\_\_\_  
Name

Name

\_\_\_\_\_  
Job Title

Job Title

\_\_\_\_\_  
Date

Date

\_\_\_\_\_  
An authorised signatory of the ERW consortium

Signature

\_\_\_\_\_  
Name

Name

\_\_\_\_\_  
Job Title

Job Title

\_\_\_\_\_  
Date

Date

Mae'r dudalen hon yn wag yn fwriadol



At:

**Y Cyng. Ellen ap Gwynn**

Cadeirydd Cyd-bwyllgor ERW

**Mr Phil Roberts**

Cyfarwyddwr Arweiniol ERW

Gofynnwch am: Y Tîm Craffu

Llinell y Swyddfa Gr: 01792 637256

e-bost: [scrutiny@swansea.gov.uk](mailto:scrutiny@swansea.gov.uk)

Dyddiad: 04 October 2018

Annwyl Gyngorydd ap Gwynn a Mr Roberts,

### **Grŵp Cynghorwyr Craffu ERW – 10 Medi 2018**

Daeth Cadeiryddion ac Is-gadeiryddion Pwyllgorau Craffu ar Addysg pob un o'r chwe awdurdod lleol ynghyd ym Mhort Talbot ar 10 Medi, a hynny ar gyfer cyfarfod hanner blyneddol y Grŵp Cynghorwyr Craffu. Ysgrifennaf atoch i adlewyrchu safbwyntiau'r cyfarfod hwnnw. Hoffwn bwysleisio y bwriedir i'r pryderon a godir gennym yn y llythyr hwn, ynghyd â'r ceisiadau a wnawn, gael eu nodi mewn ysbryd cadarnhaol. Ein nod gyfunol yw cefnogi ERW i sicrhau'r gwelliannau y mae angen eu gwneud ar frys, yn ein barn ni.

Buom yn trafod gallu ERW i fodloni gofynion y Genhadaeth Genedlaethol (fel y'i hamlinellir yng Nghynllun Gweithredu Llywodraeth Cymru ar gyfer 2017-21, *Addysg yng Nghymru: Cenhadaeth ein Cenedl*). Roedd pawb yn unfrydol gytûn bod gwelliannau yn angenrheidiol er mwyn cyflawni'r nodau a fynegir yn y Genhadaeth Genedlaethol. Rydym yn pryderu'n arbennig fod y strwythurau gwella ysgolion rhanbarthol, sy'n hanfodol o ran gweithredu'r cwricwlwm newydd yn llwyddiannus, yn ymddangos fel petaent yn annigonol neu'n absennol mewn nifer o ardaloedd. Mae'r amserlen ar gyfer gweithredu'r cwricwlwm yn mynd rhagddi ar ras, ac ni allwn ganiatáu i'r rhanbarth gael ei adael ar ôl. Felly, rydym o'r farn y dylai mynd i'r afael â'r mater hwn fod yn flaenoriaeth uniongyrchol i'r Cyd-bwyllgor.

Mynegwyd pryder hefyd, a hynny gan bob aelod a oedd yn bresennol, ynghylch y diffyg cynnydd a wnaed o ran y diwygiadau i ERW sydd wedi cael eu trafod yn fanwl yn flaenorol. Er ein bod yn cydnabod bod problemau wedi codi o ran gallu yn y sefydliad, byddem wedi disgwyl gweld dechrau cynllun ar gyfer gwella, o leiaf. Mae angen sicrhau bod amserlen a chynllun gweithredu ar gyfer newid ar waith, a hynny ar frys. Dylai hyn ddarparu eglurder o ran strwythur, gweithrediad a chyfeiriad ERW yn y dyfodol. Dylai hefyd fynd i'r afael â'r diffyg tryloywder presennol mewn perthynas â'r gyllideb a phenderfyniadau gweithredol eraill. Yn ein barn ni, mae'n bryd canolbwyntio unwaith eto ar swyddogaethau craidd y sefydliad, sef gwella ysgolion, a sicrhau bod y swyddogaethau hyn yn cael eu gweithredu mewn modd effeithiol.

Yn anffodus, mae'n rhaid i mi ddweud ein bod wedi ein siomi gan eich ymateb, dyddiedig 16 Gorffennaf 2018, i'n llythyr at y Cyd-bwyllgor, dyddiedig 16 Mawrth 2018. Ymddangosai hwn yn fwy o lythyr ateb dros dro nag ymateb gwirioneddol; nid oedd yn egluro'r sefyllfa yn well, ac nid oedd yn ymateb yn llawn i'n pryderon. Byddai hyn wedi bod yn dderbyniol pe byddai gohebiaeth bellach wedi dilyn, a oedd yn mynd i'r afael â'r materion a godwyd. Yn anffodus, chwe mis yn ddiweddarach, nid ydym yn teimlo ein bod wedi symud ymlaen o gwbl.

Yn y cyd-destun hwn, ac yn lle llunio llythyr hirach yn nodi, fesul un, y materion a godwyd gan yr aelodau, penderfynodd y Grŵp Craffu estyn gwahoddiad i chi eich dau i gyfarfod â ni cyn diwedd mis Ionawr i drafod ein pryderon. Dylwn nodi nad ydym yn bwriadu i'r cyfarfod hwn fod yn fforwm edliw. Nid ydym yn dymuno rhoi'r bai ar neb am y diffyg cynnydd, dim ond sicrhau bod y sefyllfa yn cael ei hunioni. Teimlwn yn gryf fod hyn yn hanfodol os ydym ni, eich Grŵp Craffu, am gyflawni ein dyletswyddau yn ddigonol: fel y nododd un o'r aelodau, "Ni ellir craffu ar ddiffyg gweithredu." Bydd ein Swyddog Cymorth Craffu yn cysylltu â chi yn fuan i drefnu dyddiad.

Yr eiddoch yn gywir,



**Y Cyng. Alex Thomas**  
**Cadeirydd Grŵp Cynghorwyr Craffu ERW**  
[Cllr.a.i.thomas@npt.gov.uk](mailto:Cllr.a.i.thomas@npt.gov.uk)

Darperir Cymorth Craffu Grŵp Cynghorwyr Craffu ERW gan Gyngor Abertawe  
Cyswllt: Y Tîm Craffu, Ystafell Gloucester, Neuadd y Ddinas, Abertawe SA1 4PE

☎ 01792 637256

✉ [scrutiny@swansea.gov.uk](mailto:scrutiny@swansea.gov.uk)

## CYD-BWYLLGOR ERW 12.10.18

### ADRODDIAD CYLLID

#### Y Pwrpas:

I ddiweddarau'r Cyd-Bwyllgor ar sefyllfa ariannol ERW am 2018-19

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

1. I'r Cyd-Bwyllgor nodi'r cyllideb Tim Canolog am 2018-19 a'r costau ychwanegol i'w disgwyl yn y dyfodol am lety a chyfleusterau
2. I'r Cyd-Bwyllgor penderfynu'r camau i'w cymryd pe bai Cyngor Sir Nedd a Phorth Talbot ddim yn talu eu rhan o'r £250,000 Dyraniant Awdurdodau Lleol am 2018-19
3. I'r Cyd-Bwyllgor nodi dyraniadau grant diwygiedig 2018-19 (Annex 2), a'r problemau presennol wrth ceisio cwrdd telerau Grant Gwella Ysgolion Consortia Rhanbarthol, a phenderfynu ar y camau angenrheidiol
4. I'r Cyd-Bwyllgor nodi'r dyraniad dros dro o'r GGYCR i flaenoriaethau Cynllun Busnes ERW 2018-19, a bod gwaith pellach i'w gwblhau.
5. I'r Cyd-Bwyllgor cymeradwyo dyraniad yr hyn sy'n weddill o'r £250,000 o arian Llywodraeth Cymru derbynwyd ar gyfer y Rhaglen Adolygu ac Adnewyddu.
6. I'r Cyd-Bwyllgor benderfynu sut i ailgyflenwi cronfa wrth gefn ERW, naill ai drwy un taliad gan y chew Awdurdod Lleol, neu trwy cynyddu'r cyfraniad blynyddol yn uwch na £250,000

#### Y RHESYMAU:

Pendrfyniad o gyfarfod diwethaf y Cyd\_Bwyllgor

Awdur yr Adroddiad:	Swydd:	Rhif Ffon
Jon Haswell	Swyddog Adran 151	E: bost



**EXECUTIVE SUMMARY  
ERW JOINT COMMITTEE  
12.10.18**

Budget Report

**BRIEF SUMMARY OF PURPOSE OF REPORT**

To provide the ERW Joint Committee with a financial update on the following:

- 2018-19 Central Team Budget
- Service Level Agreements
- 2018-19 Grant Allocations
- 2018-19 Grants – Regional Consortia School Improvement Grant (RCSIG)
- 2018-19 ERW Business Plan

Priorities Curriculum and

Assessment Developing the

Profession Leadership

School Improvement

Strong and Inclusive Schools

- ERW Review and Reform Programme
- Risks
- Reserves
- Recommendations

DETAILED REPORT ATTACHED?

YES



## IMPLICATIONS

Policy, Crime & Disorder and Equalities	Legal	Finance	Risk Management Issues	Staffing Implications
<b>NONE</b>	<b>NONE</b>	<b>yes</b>	<b>None</b>	<b>None</b>

### Finance

This report discusses ERW's financial position, and other financial matters pertaining to ERW i.e. grant distribution

## CONSULTATIONS

Details of any consultations undertaken are to be included here 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**



Mae'r dudalen hon yn wag yn fwriadol





Ein Rhanbarth ar Waith  
Education through Regional Working

# ERW Financial Update 2018-19

16 October 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.



<sup>1</sup>  
Tudalen 69

## 1. Introduction

This report presents the Joint Committee with a financial update at 31 August 2018.

## 2. 2018-19 Central Team Budget

The 2018-19 Central Team budget was approved by the Joint Committee on 21 March 2018. Whilst it is accepted that 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.

Following a recommendation from the Joint Committee on 21 September 2017, centrally funded employees and secondments are shown separately under each Business Plan 2018-19 priority to make it clearer where they are being funded from (see pages 7 to 11).

It has been noted that grant dependency, leading to the lack of resilience in staffing and capacity, is a high risk.

### Service Level Agreements (SLA's)

All SLA's have been reviewed in order to provide full cost recovery for the Authority providing the service. For 2018-19 the breakdown is as follows:

SLA's	Budgeted Cost
Committee Services (Carmarthenshire)	£5,000
Scrutiny (Swansea)	£2,400
Finance (Pembrokeshire)**	£27,000
Internal Audit (Pembrokeshire)	£20,000
Human Resources (Pembrokeshire)	£26,164
Information Technology (Pembrokeshire)	£46,000
Procurement (Pembrokeshire)	£15,000
Insurance (Pembrokeshire) ***	*£20,000
Communications ****	*£20,000
<b>Total Budgeted SLA's</b>	<b>£181,564</b>

*	Estimated.
**	At the end of 2017-18, there was £10.2m owed to ERW by Welsh Government, At the time of writing this report, £247k remains outstanding. The cost of the Finance SLA may have to increase if Pembrokeshire continues to bankroll ERW.
***	Officers are investigating whether the Joint Committee requires its own insurance policies, e.g. Professional Indemnity.
****	Service previously provided by Carmarthenshire.

<b>Core Budgeted Expenditure</b>	<b>2018-19 Projected Outturn at July 2018 £000's</b>	<b>2018-19 Projected Outturn at 31 August 2018 £000's</b>	<b>Actual Income / Expenditure 31 August 2018 £000's</b>	<b>Committed £000's</b>
<b>Staffing Costs</b>				
Salaries, Secondments, Specialists	58	58	14	44
Core Central Staff Salaries to be Recharged	387	387	186	201
Travel, Subsistence, Training and Development	6	6	6	-
IT Hardware & Mobiles	1	1	-	1
	<b>452</b>	<b>452</b>	<b>206</b>	<b>246</b>
<b>Development and Running Costs</b>				
Rent and Accommodation	32	32	11	21
Stationary, Telephone, Photocopying	11	11	5	6
Translation	10	10	1	9
Software, Marketing, R&E,	32	32	3	29
Service Level Agreements	182	182	-	182
Professional Learning	-	-	-	-
External Audit	14	14	-	14
	<b>281</b>	<b>281</b>	<b>20</b>	<b>261</b>
<b>Total Estimated Expenditure</b>	<b>733</b>	<b>733</b>	<b>226</b>	<b>507</b>
<b>Core Budgeted Income</b>	<b>2018-19 Projected Budget £000's</b>	<b>2018-19 Projected Outturn at August 2018 £000's</b>	<b>Actual Income / Expenditure 31 August 2018 £000's</b>	<b>Committed £000's</b>
Local Authority Contributions	250	250	210	40
Other Income	4	4	-	4
Grant Funding Administration	397	397	186	211
<b>Total Estimated Income</b>	<b>651</b>	<b>651</b>	<b>396</b>	<b>255</b>
<b>Core Net Expenditure</b>	<b>82</b>	<b>82</b>	<b>(170)</b>	<b>252</b>
<b>Appropriation from Reserve</b>	<b>(82)</b>	<b>(82)</b>	<b>170</b>	<b>(252)</b>

- All office costs are primarily costed to the Core Central Team and where appropriate, the costs are recharged to various grants.
- It is anticipated that £387k of Core Central Team costs will be recoverable from various grant funding sources in 2018-19, a similar level to 2017-18.
- The planned use of reserves for 2018-19 remains at £82k.
- The rent and accommodation budget does not include
  - a) The additional facilities costs from September 2018 for the current accommodation at Y Llwyfan.
  - b) The cost of additional accommodation approved by the Lead Chief Executive in August 2018.

At the time of writing this report negotiations are still on going with the landlord.

- The 2018-19 budget has been prepared on the basis of the total annual contribution from the six Local Authorities remaining at £250k, as in previous years. At the date of writing this report £210k of this has been received, Neath Port Talbot's element of £40k is outstanding.

The Joint Committee was informed on 21 March 2018 that Neath Port Talbot County Council's budget was prepared without budget provision being made for their core ERW contribution. The Lead Chief Executive wrote to Neath Port Talbot and their reply was attached in the last Joint Committee report. This matter has not yet been resolved so it is unknown whether their contribution will be received. Resolution of this issue is a pre-requisite condition of the RCSIG grant funding from Welsh Government (Annex 2).

### 3. 2018-19 Grant Allocations

	2018-19 Grant Offer £000's	Spent 2017-18 £000's	2018-19 Budget £000's
<b>Regional Consortia School Improvement Grant (RCSIG)</b>			
Curriculum and Assessment	919	-	919
Developing a High Quality Education Profession	4,474	-	4,474
Developing a High Quality Education -EIG	33,609	-	33,609
Leadership	329	-	329
Self-Improving System	568	-	568
Strong and Inclusive Schools	-	-	-
<b>Total RCSIG Grant</b>	<b>39,899</b>	<b>-</b>	<b>39,899</b>
RCSIG Academic 2017-18 *	822	185	637
Review and Reform 2017-2018 (Separated for Transparency)	250	63	187
<b>Total of RCSIG Offer Letter 2018-19</b>	<b>40,971</b>	<b>248</b>	<b>40,723</b>
<b>Pupil Development Grant (PDG)</b>			
PDG			23,233
LAC PDG			1,100
<b>Total of PDG Offer Letter 2018-19</b>			<b>24,333</b>
<b>British Council</b>			<b>13</b>
<b>2017-18 Academic Grants Residual Balances</b>			
Siarter Iaith *			190
NPQH *			113
NQHT *			585
A level *			37
			<b>925</b>
<b>Total 2018-19 Grants</b>			<b>65,994</b>

\*These are 2017-18 grants which span the academic year September 2017 – August 2018. This money was committed to be spent between April – August 2018 in line with the 2017-18 ERW Business Plan. Due to the recent financial delays some of this money has not been spent, a request has been made to Welsh Government to spend this money post August 2018, which has now been accepted.

## **4. 2018-19 Grants**

### **4.2 Regional Consortia School Improvement Grant (RCSIG)**

The revised RCSIG is allocated according to the National Ministerial Priorities. Grants received are allocated according to the ERW Business Plan 2018-19 priorities:

- Curriculum and Assessment (4.3)
- Developing the Profession (4.4)
- Leadership (4.5)
- School Improvement (4.6)
- Strong and Inclusive Schools (4.7)

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

The intention of the new RCSIG is that it will be distributed bi-monthly to the lead banker. This has not happened due to the non-compliance with terms and conditions, therefore there are cash flow implications. The Bi monthly distributions are a key improvement by Welsh Government which we welcome. It allows for greater flexibility and supports us to delegate more resources to schools where possible, to build capacity.

This report and the financial information contained within it should be considered alongside the ERW Business Plan 2018-19. Since the last Joint Committee, the Business Plan has been amended and sent to Welsh Government and due to this further changes to link the budget to the Business Plan Priorities will need to be undertaken.

As detailed in the previous report, since January 2018, ERW's procurement support has been formally provided by Pembrokeshire County Council with 3 key items of work currently in progress:

1. A framework for support services to support school improvement.
2. Procurement arrangements for larger programmes eg. TTRockstars.
3. Procurement of system support.

### 4.3 Curriculum and Assessment

Curriculum and Assessment Budgeted Income	2018-19 Projected Income £000's	Actual Income at 31 August 2018 £000's	
RCSIG Curriculum & Assessment 2018-19	919		-
Siarter Iaith 2017-18 Academic	190		190
<b>Total Estimated Income</b>	<b>1,109</b>		<b>190</b>
Curriculum and Assessment Budgeted Expenditure	2018-19 Projected Expenditure £000's	Actual Expenditure 31 August 2018 £000's	Committed £000's
<b>Staffing Costs</b>			
Salaries, Secondments, Specialists	701	101	600
Core Central Staff	48	20	28
Travel, Subsistence, Training and Development	7	1	6
IT Hardware & Mobiles	3	1	2
	<b>759</b>	<b>123</b>	<b>636</b>
<b>Development and Running Costs</b>			
Accommodation & Venue Hire	13	1	2
Stationary, Telephone, Photocopying	-	-	-
Translation	8	-	2
Software, Marketing, R&E,	-	-	-
Professional Learning	-	-	-
	<b>21</b>	<b>1</b>	<b>4</b>
<b>Delegated to Schools</b>			
Passported on WG Instruction	120	-	120
Regional Support, Support Work, Task	209	1	-
	<b>329</b>	<b>1</b>	<b>120</b>
<b>Delegated to Local Authorities</b>	-	-	-
<b>Unallocated Funds</b>	-	-	-
<b>Total Estimated Expenditure</b>	<b>1,109</b>	<b>125</b>	<b>760</b>

## 4.4 Developing the Profession

<b>Developing the Profession Budgeted Income</b>	<b>2018-19 Projected Income £000's</b>	<b>Actual Income at 31 August 2018 £000's</b>	
RCSIG Developing the Profession 2018-19	4,474	-	
RCSIG Developing the Profession 2018-19 EIG	33,609	-	
RCSIDG Developing the Profession (Academic)	637	-	
Alevel 2017-18	37	37	
British Council	13	13	
<b>Total Estimated Income</b>	<b>38,770</b>	<b>50</b>	
<b>Developing the Profession Budgeted Expenditure</b>	<b>2018-19 Projected Expenditure £000's</b>	<b>Actual Expenditure 31 August 2018 £000's</b>	<b>Committed £000's</b>
<b>Staffing Costs</b>			
Salaries, Secondments, Specialists	3,184	437	2,747
Core Central Staff	148	61	87
Travel, Subsistence, Training and Development	144	77	17
IT Hardware & Mobiles	24	24	-
	<b>3,500</b>	<b>599</b>	<b>2,851</b>
<b>Development and Running Costs</b>			
Accommodation & Venue Hire	26	2	2
Stationary, Telephone, Photocopying	3	1	-
Translation	51	6	5
Software, Marketing, R&E,	80	-	-
Professional Learning	480	19	113
	<b>640</b>	<b>28</b>	<b>120</b>
<b>Delegated to Schools</b>			
Passported on WG Instruction	1,410	-	1,410
Regional Support, Support Work, Task	585	-	318
	<b>1,995</b>	<b>0</b>	<b>1,728</b>
<b>Delegated to Local Authorities</b>	<b>32,635</b>	<b>0</b>	<b>32,635</b>
<b>Unallocated Funds</b>	-	-	-
<b>Total Estimated Expenditure</b>	<b>38,770</b>	<b>627</b>	<b>37,334</b>



## 4.5 Leadership

Leadership Budgeted Income	2018-19 Projected Income £000's	Actual Income at 31 August 2018 £000's	
RCSIG Leadership 2018-19	329		-
NPQH 2017-18 Academic	113		113
NQHT 2017-18 Academic	585		585
<b>Total Estimated Income</b>	<b>1,027</b>		<b>698</b>
Leadership Budgeted Expenditure	2018-19 Projected Expenditure £000's	Actual Expenditure 31 August 2018 £000's	Committed £000's
<b>Staffing Costs</b>			
Salaries, Secondments, Specialists	240	26	214
Core Central Staff	75	30	45
Travel, Subsistence, Training and Development	8	5	3
IT Hardware & Mobiles	1	-	1
	<b>324</b>	<b>61</b>	<b>263</b>
<b>Development and Running Costs</b>			
Accommodation & Venue Hire	52	-	10
Stationary, Telephone, Photocopying	-	-	-
Translation	3	1	1
Software, Marketing, R&E,	-	-	-
Professional Learning	12	4	
	<b>67</b>	<b>5</b>	<b>11</b>
<b>Delegated to Schools</b>			
Passported on WG Instruction	-	-	-
Regional Support, Support Work, Task	636	89	541
	<b>636</b>	<b>89</b>	<b>541</b>
<b>Delegated to Local Authorities</b>	-	-	-
<b>Unallocated Funds</b>	-	-	-
<b>Total Estimated Expenditure</b>	<b>1,027</b>	<b>155</b>	<b>815</b>

## 4.6 School Improvement

School Improvement Budgeted Income		2018-19 Projected Income £000's	Actual Income at 31 August 2018 £000's	
RCSIG School Improvement 2018-19		568	-	
<b>Total Estimated Income</b>		<b>568</b>	<b>0</b>	
School Improvement Budgeted Expenditure		2018-19 Projected Expenditure £000's	Actual Expenditure 31 August 2018 £000's	Committed £000's
<b>Staffing Costs</b>				
Salaries, Secondments, Specialists		191	35	156
Core Central Staff		87	32	55
Travel, Subsistence, Training and Development		4	2	2
IT Hardware & Mobiles		7	-	7
		<b>289</b>	<b>69</b>	<b>220</b>
<b>Development and Running Costs</b>				
Accommodation & Venue Hire		26	-	5
Stationary, Telephone, Photocopying		-	-	-
Translation		5	-	1
Software, Marketing, R&E,		80	4	76
Professional Learning		168	2	-
		<b>279</b>	<b>6</b>	<b>82</b>
<b>Delegated to Schools</b>				
Passported on WG Instruction		-	-	-
Regional Support, Support Work, Task		-	-	-
<b>Delegated to Local Authorities</b>		-	-	-
<b>Unallocated Funds</b>		-	-	-
<b>Total Estimated Expenditure</b>		<b>568</b>	<b>75</b>	<b>302</b>

## 4.7 Strong and Inclusive Schools

<b>Strong and Inclusive Schools Budgeted Income</b>	<b>2018-19 Projected Income £000's</b>	<b>Actual Income at 31 August 2018 £000's</b>	
PDG	23,233	-	
LAC PDG	1,100	-	
<b>Total Estimated Income</b>	<b>24,333</b>	<b>0</b>	
<b>Strong and Inclusive Schools Budgeted Expenditure</b>	<b>2018-19 Projected Expenditure £000's</b>	<b>Actual Expenditure 31 August 2018 £000's</b>	<b>Committed £000's</b>
<b>Staffing Costs</b>			
Salaries, Secondments, Specialists	114	45	69
Core Central Staff	-	-	-
Travel, Subsistence, Training and Development	6	2	4
IT Hardware & Mobiles	3	-	3
	<b>123</b>	<b>47</b>	<b>76</b>
<b>Development and Running Costs</b>			
Accommodation & Venue Hire	13	-	3
Stationary, Telephone, Photocopying	-	-	-
Translation	1	-	1
Software, Marketing, R&E,	-	-	-
Professional Learning	38	-	-
	<b>52</b>	<b>0</b>	<b>4</b>
<b>Delegated to Schools</b>			
Passported on WG Instruction	-	-	-
Regional Support, Support Work, Task *	<b>641</b>	-	<b>641</b>
<b>Delegated to Local Authorities *</b>	<b>23,517</b>	<b>0</b>	<b>23,517</b>
<b>Unallocated Funds</b>	-	-	-
<b>Total Estimated Expenditure</b>	<b>24,333</b>	<b>47</b>	<b>24,238</b>

\* The distribution of the LAC PDG element of the grant was agreed in the last Joint Committee meeting, further to this, 7/12ths of the LAC PDG available for distribution has been moved from Delegated to Local Authorities to Regional Support, Support Work, Task.

## 5. ERW Review and Reform Programme

The Joint Committee agreed on 21 September 2017 to commence the ERW Review and Reform Programme, resulting in the appointment of 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 ERW Review and Reform Programme.

£63k was spent in 2017-18, with projected expenditure for 2018-19 of £154k with £33k unallocated, as shown in the table below.

As detailed below, only £86k of this money has been spent to the end of August 2018, a request has been made to Welsh Government to enable us to continue to spend this money post August 2018 as this was a 2017-18 academic grant, which has been accepted.

<b>Review and Reform Budgeted Income</b>	<b>2018-19 Projected Income £000's</b>	<b>Actual Income at 31 August 2018 £000's</b>	
Review and Reform	187	-	
<b>Total Estimated Income</b>	<b>187</b>	<b>0</b>	
<b>Review and Reform Budgeted Expenditure</b>	<b>2018-19 Projected Expenditure £000's</b>	<b>Actual Expenditure 31 August 2018 £000's</b>	<b>Committed £000's</b>
<b>Staffing Costs</b>			
Salaries, Secondments, Specialists	67	62	5
Core Central Staff	29	23	6
Travel, Subsistence, Training and Development	-	-	-
IT Hardware & Mobiles	2	-	2
	<b>98</b>	<b>85</b>	<b>13</b>
<b>Development and Running Costs</b>			
Accommodation & Venue Hire	4	1	1
Stationary, Telephone, Photocopying	-	-	-
Translation	2	-	1
Software, Marketing, R&E,	50	-	-
Professional Learning	-	-	-
	<b>56</b>	<b>1</b>	<b>2</b>
<b>Delegated to Schools</b>			
Passported on WG Instruction	-	-	-
Regional Support, Support Work, Task	-	-	-
<b>Delegated to Local Authorities</b>	-	-	-
<b>Unallocated Funds</b>	<b>33</b>		
<b>Total Estimated Expenditure</b>	<b>187</b>	<b>86</b>	<b>15</b>

## 6. Risks

This report, in a similar vein to previous Financial Updates, highlights risks for ERW. The high cost of secondments (see Annex 1) and the growing expectations on ERW are well known. This is reflected in the Review and Reform Programme recommendations from previous meetings and Welsh Government supporting ERW with additional resources. Estyn have also identified the matter as contributing to hindering progress.

The ERW Reserves are diminishing as outlined below so the Joint Committee need to determine how to replenish them, either with a one-off contribution from the six Local Authorities or an increase in the existing £250k annual contribution.

To ensure funding from the RCSIG grant we need to ensure compliance with the pre-conditions set out in the revised grant offer letter (Annex 2) under pages 4 and 21. Failure to sign the grant offer letter as soon as possible will lead to further delay in distribution of funding to schools, Local Authorities and risk of financial failure.

## 7. Reserves

The table below shows the projected implications on ERW Reserves from 2017-18 to 2018-19. Despite having a healthy reserve balance of £406k at the commencement of 2017-18, the annual contribution to the cost of the Central Team and the contribution to the Pension Reserve could effectively wipe out the Reserves by the end of 2018-19.

Useable Reserves	Earmarked Joint Committee Reserves £000's	General Working Reserve £000's	Pensions Reserve £000's	Total Reserves £000's
Balance 31 March 2017	442	100	-136	406
2017-18 To Revenue	-60		-156	-216
Balance 31 March 2018	382	100	-292	190
2018-19 To Revenue	-82			-82
Balance 31 March 2019	300	100	-292	108

## **8. Recommendations**

1. The Joint Committee notes the Central Team budget for 2018-19 and the anticipated future additional accommodation and facilities costs.
2. The Joint Committee determine the action to be taken in the event of Neath Port Talbot County Council not paying their share of the £250k Local Authority Contribution for 2018-19.
3. The Joint Committee note the revised 2018-19 (Annex 2) grant allocations and current issues in meeting some of the RCSIG terms and conditions and determine further action required.
4. The Joint Committee note the provisional allocation of the RCSIG to the ERW Business Plan 2018-19 priorities, and that further work will need to be undertaken.
5. The Joint Committee approve the allocation of the remainder of the £250k Welsh Government funding for the Review and Reform Programme.
6. The Joint Committee determine how to replenish the ERW Reserves, either with a one-off contribution from the six Local Authorities or an increase in the existing £250k annual contribution.

## Annex 1

<b><u>Secondments 2018-2019</u></b>	<b>Budgeted Cost £000's</b>	<b>Number of Secondments</b>
Curriculum and Assessment	135,680	3
Developing the Profession	729,717	9
Leadership	198,793	3
School Improvement	75,666	2
Strong and Inclusive Schools	38,221	1
Review and Reform	45,537	1
	<b>1,223,613</b>	<b>19</b>
Cluster Leaders of Learning	2,456,790	57
<b>Total Budgeted Secondments</b>	<b>3,680,403</b>	<b>76</b>

Mae'r dudalen hon yn wag yn fwriadol





Llywodraeth Cymru  
Welsh Government

Mr Jonathan Haswell  
Section 151 Officer  
Pembrokeshire County Council  
Haverfordwest  
Pembrokeshire  
SA61 1TP

14 September 2018

Dear Mr Haswell

**Award of Funding in relation to the Regional Consortia School Improvement Grant 2018-19 to support delivery of the Welsh Government's priorities in *Education in Wales: Our national mission*, against the Funding Letter issued to you on 19 December 2017.**

## **1. Award of Funding**

- (a) We are pleased to inform you that an allocation of £40,971,102 (Forty Million, Nine Hundred and Seventy One Thousand, One Hundred and Two pounds) ("the Funding") has been made available to you for the Purposes (as defined in Condition 4(a)).
- (b) The Funding relates to the period 1 March 2018 to 31 March 2019. The Funding must be claimed in full by 31 March 2019 otherwise any unclaimed part of the Funding will cease to be available to you.
- (c) If you have any queries in relation to this award of Funding or the Conditions please contact the Welsh Government Official who will be happy to assist you.
- (d) The Funding Letter is reflected within two separate Grant Awards, the Pupil Development Grant and the Funding outlined within this Award.

## **2. Statutory authority and State Aid**

- (a) This award of Funding is made on and subject to the Conditions and under the authority of the Cabinet Secretary for Education, one of the Welsh Ministers, acting pursuant to sections 14-17 of the Education Act 2002 and 70 and 71(1) of the Government of Wales Act 2006.
- (b) You must comply with the European Commission's State Aid Rules.

### 3. Interpreting these Conditions

Any reference in these Conditions to:

**'you', 'your'** is to  
Pembrokeshire County Council  
Haverfordwest  
Pembrokeshire  
SA61 1TP

**'we', 'us', 'our'** is to the Welsh Ministers;

**'Welsh Government Official'** is to  
Kelly Murphy, Head of Finance and Inspection  
Education, Business Planning and Governance Division  
Education Directorate  
Welsh Government  
Cathays Park  
Cardiff CF10 3NQ  
Tel: 0300 025 1678  
Email: [Kelly.murphy@gov.wales](mailto:Kelly.murphy@gov.wales)

or such other Welsh Government official as we may notify you.

**'Project Manager'** is to  
Betsan O'Connor  
ERW  
Y Llwyfan  
College Road  
Carmarthen  
SA31 3EQ  
E-mail: [betsan.oconnor@erw.org.uk](mailto:betsan.oconnor@erw.org.uk)

For the purposes of formal grant acceptance, the Project Manager is designated as:

.....  
ERW  
Y Llwyfan  
College Road  
Carmarthen  
SA31 3EQ  
E-mail: [.....](#)

**'Application'** is to your draft consortium business plan and supporting spending profile, which reflects as a minimum the overarching and enabling objectives in *Education in Wales*, as directed by the Funding Letter issued on 19 December 2017, along with the key actions pertaining specifically to this award of Funding including the requirement for further clarity on points of detail (set

out in Schedule 3) to aid the Welsh Government's monitoring of the expenditure against the support plan;

**'Conditions'** is to the terms and conditions set out in this letter;

**'Costs Incurred'** is to the cost of goods and services you have received regardless of whether you have paid for them by the date of your claim;

**'Notification Event'** is to any of the events listed in Schedule 2;

**'Payment Profile'** is to the payment profile set out in Schedule 3;

**'Personnel'** is to your management/employees and suppliers or any other person appointed or engaged by you in relation to the Purposes;

**'Schedule'** is to the schedules attached to this letter;

**'State Aid Rules'** is to the rules set out in Articles 107 to 109 of the Treaty on the Functioning of the European Union (or in those Articles that may succeed Articles 107 to 109), secondary legislation such as frameworks, guidelines and block exemptions produced by the European Commission derived from Articles 107 to 109, case law of the European Courts and decisions of the European Commission regarding the application of Articles 107 to 109; and

**'Funding Letter'** is to the letter issued to consortia Managing Directors, Local Authority Lead Directors of Education and Banker authority Section 151 Officers on 19 December 2017 providing the outline funding envelope for regional consortia and priorities for 2018-19 financial year and revised versions thereof, including as provided with this Funding award.

**any reference to any legislation** whether domestic, EU or international law will include all amendments to and substitutions and re-enactments of that legislation in force from time to time.

#### **4. What you must use the Funding for**

- (a) You must use the Funding solely for the purposes set out in Schedule 1 (the **"Purposes"**).
- (b) Any change to the Purposes will require our written consent which must be obtained from us in advance of implementing any change. Please note that we are not obliged to give our consent but we will consider all reasonable written requests.

- (c) You must not use any part of the Funding for: (1) party political purposes; (2) the promotion of particular secular, religious or political views; (3) gambling; (4) pornography; (5) offering sexual services; (6) purchasing capital equipment (other than as specified in the Purposes); (7) your legal fees in relation to this letter; (8) Costs Incurred or costs incurred and defrayed by you in the delivery of the Purposes prior to the period referred to in Condition 1 (b); (9) any kind of illegal activities; or (10) any kind of activity which in our opinion could bring us into disrepute.

## **5. Funding pre-conditions**

- (a) We will not pay any of the Funding to you until you have provided us with the following information and documentation:
  - (i) this letter signed by you;
  - (ii) confirmation that the signatories who have signed this letter on your behalf are duly authorised to do so;
  - (iii) documentary evidence that you have appropriate systems in place to undertake due diligence before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties;
  - (iv) confirmation that you have in place a current and valid collaboration agreement between the parties in the consortium including the proposed dates on which the payments will be made by all 6 LAs and latterly confirmation that payment will be made in line with this requirement;
  - (v) confirmation that you as lead/banker authority have details in relation to non-lead authorities in your area of their proposed control environment, in particular their monitoring arrangements and evidence of spend; and
  - (vi) confirmation that your distribution formula supports schools and settings to deliver the Foundation Phase.
- (b) Where you are required to provide information and documentation to us as evidence that you have satisfied a particular pre-condition, Condition or in support of a claim, the information and documentation must be in all respects acceptable to us. We reserve the right to reject any information and documentation which is for any reason not acceptable to us.

## **6. Payment of Funding**

- (a) The Funding will be paid to you bi-monthly based on costs incurred by you in the delivery of the Purposes as detailed in the Payment Profile. We will review your profile of expenditure in the Autumn (2018) and quarterly thereafter.

- (b) The Funding will be paid to you in accordance with the dates set out in the Payment Profile. We reserve the right to withhold or recover any part of the Funding.
- (c) The updated profile of expenditure proforma in the Autumn and quarterly thereafter will require:
  - (i) Confirmation that you have appropriate systems in place to undertake due diligence before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties.
  - (ii) Sign off by you or your representative.
- (d) We shall be entitled to withhold and retain 2.5% of the total Funding until such time as you provide us with all information requested or we agree you have delivered the Purposes satisfactorily.

## **7. Your general obligations to us**

You must:

- (a) safeguard the Funding against fraud generally and, in particular, fraud on the part of your Personnel and notify us immediately if you have reason to suspect that any fraud within your organisation whether or not it relates to the Funding has occurred or is occurring or is likely to occur. You must also participate in such fraud prevention initiatives as we may require from time to time.
- (b) comply with all applicable domestic, EU or international laws or regulations or official directives;
- (c) maintain adequate insurances to cover against the risks which may arise in connection with any property or any activity undertaken in delivery of the Purposes. We reserve the right to require you to provide proof of your insurance.
- (d) put in place and maintain appropriate systems to undertake due diligence before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties;
- (e) co-operate fully with the Welsh Government Official and with any other employee of the Welsh Government or consultant appointed by us to monitor your use of the Funding and your compliance with these Conditions;
- (f) inform us immediately if any of the declarations made in Condition 8 are incorrect in any respect or, if repeated at any time with reference to the facts and circumstances then existing, would be incorrect.

## **8. Declarations**

You declare that:

- (a) you have the power to enter into and to perform the obligations set out in these Conditions and you have taken all necessary action to authorise the entry into and performance of the obligations under these Conditions;
- (b) no litigation or arbitration is current or pending or, so far as you are aware, threatened, which have or could have an adverse effect on your ability to perform and comply with any of these Conditions;
- (c) the information contained in your Application is complete, true and accurate and reflects Education in Wales: Our national mission;
- (d) you have disclosed to us all material facts or circumstances which need to be disclosed to enable us to obtain a true and correct view of your business and affairs (both current and prospective) or which ought to be provided to any person who is considering providing funding to you;

## **9. Notification Events and their consequences**

- (a) You must notify us immediately if a Notification Event has occurred or is likely to occur but we also reserve the right to notify you where we believe a Notification Event has occurred or is likely to occur.
- (b) We will either (i) notify you that we consider that the Notification Event is not capable of remedy or (ii) if we consider that the Notification Event is capable of being remedied seek to discuss the Notification Event with you with a view to agreeing a course of action to be taken to address the Notification Event.
- (c) We will be entitled to take any of the actions listed in Condition 9(d) if:
  - (i) despite our reasonable efforts we have been unable to discuss the Notification Event with you; or
  - (ii) we notify you that the Notification Event is not capable of remedy; or
  - (iii) a course of action to address the Notification Event is not agreed with you; or
  - (iv) a course of action to address the Notification Event is agreed with you but you fail to follow it, or any conditions attached to it are not met (including without limitation the timescale for such course of action); or
  - (v) the course of action fails to remedy the Notification Event to our satisfaction.

- (d) If any of the circumstances set out in Condition 9(c) occurs we may by notice to you:
- (i) withdraw the award of Funding; and/or
  - (ii) require you to repay all or part of the Funding immediately; and/or
  - (iii) suspend or cease all further payment of Funding; and/or
  - (iv) make all further payments of Funding subject to such conditions as we may specify; and/or
  - (v) deduct all amounts owed to us under these Conditions from any other funding that we have awarded or may award to you; and/or
  - (vi) exercise any other rights against you which we may have in respect of the Funding.
- (e) All repayments of Funding must be made to us within 28 days of the date of our demand. If applicable, you must pay interest on any overdue repayments (on a compound basis) in accordance with the State Aid Rules.

## **10. Monitoring requirements**

Monitoring of impact and additionality of the Funding will be evidenced using existing mechanisms and information as far as possible.

You must:

- (a) provide us with such documents, information and reports which we may reasonably require from time to time in order for us to monitor your compliance with the Conditions including without limit:
- i) a copy of your consortium business plan and completed outcomes framework.
  - ii) a profile of expenditure and initial, then subsequently quarterly, updates on the spending profile indicating any variances, against which future payment may be revised;
  - iii) participation in termly review and challenge sessions and submit a short report against the outcomes framework ahead of each termly review and challenge meeting to the Project Manager, which will outline evidence of spend, value for money, and progress to date against each Education in Wales objective;
  - iv) access to papers for discussion at your Joint Committee or Company Board and Advisory Board meetings as appropriate through your nominated Welsh Government representative, including self-evaluation reports and regular progress updates against your business plan;
  - v) confirmation that your consortium business plan covering the funding period has been or will be agreed through your regional governance arrangements outlined in the National Model for Regional Working;

- vi) documentary evidence that you have put in place all staff and other resources detailed in the Application as required to commence and complete the Purposes with regular updates on staffing resources (frequency to be agreed) along with confirmation of appointments in relation to centrally employed (ERW) staff;
  - vii) such other information as reasonably needed to understand impact, value for money and progress against delivery of the Purposes of the Funding including as and when required by the Cabinet Secretary for Education and the Wales Audit Office.
- (b) meet with the Welsh Government Official and such other of our representatives as we may from time to time reasonably require; and provide information to support those meetings as reasonably required including without limit:
- i) Regular meetings between consortia Managing Directors and Welsh Government Director of Education and Deputy Directors, with frequency of meetings to be agreed;
  - ii) Any meeting the Director of Education may require you to attend;
  - iii) Attendance at and to support termly Review and Challenge Sessions;
  - iv) Support opportunities for Welsh Government officers to meet with consortia operational leads;
  - v) Other reasonable access as required for monitoring progress against delivery of the Purposes.
- (c) ensure that the Project Manager (or such other person as we may agree) together with any other person we may require attends all meetings with the Welsh Government Official.

## **11. Audit Requirements**

- (a) You must:
- (i) maintain clear accounting records of delegated funding amounts to school level and maintain clear accounting records identifying all income and expenditure in relation to non-delegated funds;
  - (ii) without charge, permit any officer or officers of the Welsh Government, Wales Audit Office or European Commission at any reasonable time and on reasonable notice being given to you to visit your premises and/or to inspect any of your activities and/or to examine and take copies of your books of account and such other documents or records howsoever stored as in such officer's reasonable view may relate in any way to your use of the Funding. This undertaking is without prejudice and subject to any other statutory rights and powers exercisable by the Welsh Government, Wales Audit



- Office or the European Commission or any officer, servant or agent of any of the above;
- (iii) retain this letter and all original documents relating to the Funding until we inform you in writing that it is safe to destroy them;
- (b) Under paragraph 17 of Schedule 8 to the Government of Wales Act 2006 the Auditor General for Wales has extensive rights of access to documents and information relating to monies provided by the Welsh Government. He and his officials have the power to require relevant persons who control or hold documents to give any assistance, information and explanation that they may require; and to require those persons to attend before them for such a purpose. The Auditor General and his staff may exercise this right at all reasonable times.
  - (c) Schools are not required to classify expenditure in relation to the Purposes of Funding, however you must ensure you can provide us with the information requested in the funding offer.

## **12. Third party obligations**

- (a) Nothing in the Conditions imposes any liability on us in respect of any liability incurred by you to any third party (including, without limit, employees and contractors).
- (b) You must indemnify us against any liabilities, claims, proceedings, demands, losses, costs and expenses suffered or incurred by us directly or indirectly arising as a result of or in connection with any failure by you to perform fully or in part any obligation you may have to a third party.

## **13. Intellectual property rights and publicity**

- (a) Nothing in these Conditions transfers to us any rights in any intellectual property created by you as a result of the Purposes.
- (b) You must acknowledge our support in relation to the Purposes. Such acknowledgement(s) must be in a form approved by us and must comply with the Welsh Government's branding guidelines.
- (c) You agree that from the date of this letter until 5 years from the date of the final payment of Funding we may include details about your organisation and business, the Funding and the Purposes in Welsh Government promotional materials and you further agree to cooperate with our reasonable requests to achieve the production of such materials.

## **14. Information**

- (a) You acknowledge that we are subject to the requirements of the Freedom of Information Act 2000 (the "FOIA"), the Environmental

Information Regulations 2004 (the “EIR”) and the Data Protection Act 1998 (the “DPA”).

- (b) You acknowledge that we are responsible for determining in our absolute discretion whether:
  - (i) to disclose any information which we have obtained under or in connection with the Funding to the extent that we are required to disclose such information to a person making a disclosure request under the FOIA or the EIR; and/or
  - (ii) any information is exempt from disclosure under the FOIA or the EIR.
- (c) You acknowledge that we may share any data you provide to us with fraud prevention agencies and third parties for the purposes of preventing and detecting fraud.

## 15. Buying goods and services

If you decide to buy any goods and/or services to deliver the Purposes, they must be purchased in a competitive and sustainable way so as to demonstrate that you have achieved best value in the use of public funds.

## 16. Giving notice

- (a) Where notice is required to be given under these Conditions it must be in writing (this does not include email but may include a letter attached to an email) and must prominently display the following heading:

***“Notice in relation to the regional consortia school improvement grant 2018-19, to support delivery of the Welsh Government’s priorities in Education In Wales: Our national mission.”***

- (b) The address and contact details for the purposes of serving notice under these Conditions are as follows

You: the Project Manager at the address stated in Condition 3.

Us: the Welsh Government Official at the address stated in Condition 3.

- (c) A notice will be deemed to have been properly given as follows:-

Prepaid first class post:	on the second working day after the date of posting.
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By hand: upon delivery to the address or the next working day if after 4pm or on a weekend or public holiday.

By email attachment: upon transmission or the next working day if after 4pm or on a weekend or public holiday.

## **17. Equal opportunities**

You must apply a policy of equal opportunities as employers, as users of volunteers, and as providers of services, regardless of race, gender/gender identification, sexual orientation, religion and belief, age or any disability.

## **18. Welsh language**

Where the Purposes include or relate to the provision of services in Wales they must be provided in such a way as to not treat the Welsh language less favourably than English, in accordance with the Welsh Language (Wales) Measure 2011.

## **19. Sustainability**

Your use of the Funding must (where reasonably practicable) meet the Welsh Government's current agenda for sustainable development and the environment.

## **20. Welsh Ministers' functions**

You acknowledge that the Welsh Ministers have a range of functions which will continue to accrue and be amended and that decisions in relation to each such function are obliged to be taken in the light of all relevant and to the exclusion of all irrelevant considerations. You agree that nothing contained or implied in , or arising under or in connection with, these Conditions will in any way prejudice, fetter or affect the functions of the Welsh Ministers or any of them nor oblige the Welsh Ministers or any of them to exercise, or refrain from exercising, any of their functions in any particular way.

## **21. General**

- (a) If at any time any of these Conditions is deemed to be or becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions will not in any way be affected or impaired.
- (b) No failure or delay on our part to exercise any power, right or remedy under these Conditions will operate as a waiver of any such

power, right or remedy or preclude its further exercise or the exercise of any other power, right or remedy. The powers, rights or remedies hereby provided are cumulative and not exclusive of any powers, rights or remedies provided by law.

- (c) Any amendment or variation to these Conditions must be in writing and signed by us and you in the same manner as this letter.
- (d) You may not assign or otherwise dispose of in any way your rights, benefits, obligations or duties under these Conditions.
- (e) Conditions 7, 9, 11, 13, 14, and 21(e) and such other Conditions which by implication need to continue in force beyond the final payment of Funding will so continue in full force and effect.
- (f) The award of the Funding is to you alone and no one else is entitled to make any claim in respect of the Funding or seek to rely on or enforce any of these Conditions.
- (g) These Conditions are to be governed by and construed in accordance with the laws of Wales and England as applied in Wales and the parties hereto submit to the exclusive jurisdiction of the courts of Wales and England.

## **22. How to accept this offer of Funding**

- (a) To accept this award of Funding you must sign and return an electronic e.g. PDF copy of this letter to the Welsh Government Official. This must be returned from the email address of project manager named in this award letter.
- (b) We must receive your signed letter within 10 days of the date of this letter (ie on or before 28 September 2018) or this award of Funding will automatically be withdrawn.

Yours sincerely

A handwritten signature in black ink, appearing to read 'M. J. Godfrey', with a long, sweeping horizontal stroke extending to the right.

Signed by Mel Godfrey  
under authority of the Cabinet Secretary for Education  
one of the Welsh Ministers

## **Schedule 1**

### **The Purposes, Governance and Monitoring**

The Purpose of this Funding awarded to you on behalf of the ERW consortium is to support the regional consortium and the related authorities within the consortium in delivering our aspirations and priorities for schools and education outlined within Ambitious and Learning from our national strategy, Prosperity for All, and our plan of action for education, Education in Wales: Our national mission.

Education in Wales: Our national mission sets out how the school system will move forward over the period 2017-21, securing implementation of the new curriculum with a focus on leadership, professional learning, and excellence and equity within a self-improving system. The action plan focuses on raising standards for all, reducing the attainment gap, and delivering an education system that is a source of national pride and public confidence, which are our overarching aspirations for education in Wales.

Regional consortia in Wales and their related local authorities have a significant role to play in improving educational outcomes for all learners in Wales and in delivering our substantial educational reform.

The Funding Letter issued to Consortia Managing Directors, Local Authority Lead Directors of Education and Banker Authority Section 151 Officers on 19 December 2018 is formalised within two formal grant awards to regional consortia, the Pupil Development Grant and this Award of Funding.

The Funding Letter outlines our overarching national priorities for 2018-19 and how these should be delivered in the context of Education in Wales. The Funding must support you to deliver against our national priorities for education, at the centre of which is a transformational curriculum and a focus on four key enabling objectives which your action will support:

- Developing and delivering a high quality education profession
- Inspirational leaders working collaboratively to raise standards
- Strong and inclusive schools committed to excellence, equity and well-being
- Robust assessment, evaluation and accountability arrangements supporting a self-improving system.

The outcomes will be supported by a range of measures and key performance indicators, as outlined in your consortium business plan (the Application). Your Application will form part of the Draft Education Outcomes Framework at Annex 1A, which both parties will agree.

The Funding will be organised around the following pre-requisites and requirements:

**Policy requirements and expectations**

We will agree the expectations for each policy area at the first regular meeting with you and we will review this on a regular cycle thereafter on a mutually agreed reporting format with frequency of the cycle to be agreed.

**Sustainability and citizen-focused**

Initiatives supported by the grant must be sustainable, learner focused, and in line with the Well-being of Future Generations Act.

**National Model for Regional Working**

The expectations set out in the National Model for Regional Working guidance remain the same and should continue to be followed. The national model governance structures will also be used to monitor progress, including wherever appropriate to evidence the Funding requirements.

**Joint consortia working**

In line with the expectations set out in the National Model for Regional Working you will work with regional consortia across Wales to maximise opportunities for sharing good practice and learning across all Education in Wales objectives, and especially those newer in development, such as wellbeing.

**Supporting a self-improving system**

Where appropriate, you will facilitate, schools, Foundation Phase providers and PRUs' consideration of cluster models, and collaboration across the four consortia regions when determining the most effective use of the Funding to support the delivery of improved outcomes for learners

**Equity of approach**

You must be able to demonstrate equity of approach across the consortium and its related authorities in delegating the Funding to schools.

**Cluster working**

Where appropriate you may facilitate the consideration of cluster models for schools, Foundation Phase providers and PRUs when determining the most effective use of funding to support the delivery of improved outcomes for learners.

**Challenge Advisers and School Development Plans**

Consortia challenge advisers will provide support and challenge to schools to ensure their school development plans appropriately reflect their improvement journey and local priorities.

### **Monitoring and reporting**

The monitoring requirements are set out in Section 10, explaining how we will evaluate the progress, impact and additionality of the Funding in delivering Education in Wales against the measures in the Application.

The Funding Letter is formalised within two formal grant awards, the Pupil Development Grant and this Award of Funding. Regular meetings between you or your representatives and us, and engagement in and reporting in advance of Review and Challenge meetings will cover both Awards of Funding.

### **Profile of expenditure**

The Funding letter confirms how we have determined your regional allocation. In accepting this award of Funding you agree to allocate funds in line with our allocation within an acceptable tolerance which will be agreed with us.

You will submit to the Welsh Government Director of Education in writing any requests for virement of money between budget lines and Education in Wales objectives identified within the Funding Letter.

All variances will be reflected in your spending profile updates. Payments will be made in accordance with your profile of spend.

### **Value for Money and additionality**

You will be expected to evidence the additionality of the Funding, value for money and its impact.

This applies to the total Funding offered within this Award. In addition, you will evidence the additionality and impact specifically of the elements of support provided under the Raising School Standards manifesto and Programme for Government commitment within this Award.

### **Maximising funding to schools**

In planning activity and setting your business plan and profile of expenditure you must evidence a clear and demonstrable commitment to passporting the majority of funding to schools. You will provide Welsh Government with assurances of this as part of your Application and quarterly updates. For the EIG element you will maintain a minimum 80% delegation.

### **Minimising administration and management costs**

The grant arrangements support efforts to reduce the administration costs of managing the Funding. You will demonstrate and evidence a commitment to maintaining a low level of spend in managing and administering the Funding.

The Funding may be used to support the management and administrative costs of delivering the Pupil Development Grant.

### **Support for Design and Development of the new curriculum**

The Funding supports the preparation of pioneer schools and all schools and consortia to work with the new curriculum from 2022, ensuring all schools

have experience of curriculum and assessment arrangements and are involved in the development process. It will help ensure all schools have seen and thought through and had input into the development of the new curriculum so as to be ready to respond at publication from 2019

### **Welsh language**

You will agree the requirements of the Funding for Welsh language policy expectations within 6 weeks of the award of Funding. You will agree with our policy lead how you will evidence value for money and demonstrate evidence of local need and local delivery.

### **Learning in a Digital Wales (LiDW) – Phase II CPD**

The Funding Award replaces the grant extension for 2018-19 financial year for the LiDW Phase II CPD grant. The funding must be used to measurably increase the overall usage of the Hwb platform and associated tools and resources by schools in your region year on year. You will agree with our policy lead the requirements within 6 weeks of the award of Funding.

Specific conditions of Funding for the period relating to the element which supports the Education Improvement Grant for Schools

### **EIG - Local Authority Match funding for the consortium**

Local Authorities provide match funding to the Education Improvement Grant for Schools element of the Funding. The 2018-19 level is set at the match funding level to the Education Improvement Grant for Schools for 2017-18.

### **EIG - Foundation Phase**

The Funding must be used to support the Foundation Phase staff to learner ratios as part of the delivery of a high quality and effective Foundation Phase curriculum. The Funding must also be used to support Foundation Phase practitioners in non-maintained settings to deliver high quality provision.

You and your related authorities must be able to confirm that your distribution formula for the Funding supports schools and settings to deliver the Foundation Phase in accordance with the ratios.

### **EIG - Support for Welsh in Education Strategic Plans**

The Funding must be used to support the delivery of local authority Welsh in Education Strategic Plans in working towards the aims of our Welsh-medium Education Strategy.

### **EIG – Support for minority ethnic achievement and the education of Gypsy Roma Traveller learners**

In line with the assurances provided by Local Government against the expectations of the Cabinet Secretary for Education, from 2018-19 this area of provision is no longer eligible expenditure under the Funding.



**General**

In accordance with Condition 10, we may from time to time request information about the Grant. Any failure by you to provide satisfactory information will be deemed a Notification Event.

Nothing in this Schedule shall relieve you of any of your obligations to us as set out in the Conditions.

## **Schedule 1A**

### **Draft Education Outcomes Framework**

The measures and key performance indicators identified within your Application, form part of the Education Outcomes Framework, against which we will monitor evidence of impact, value for money and progress against delivery of the Purposes and the overarching and enabling objectives.

An outcomes framework is included within the documents accompanying this grant award.

## **SCHEDULE 2**

### **Notification Events**

The Notification Events referred to in Condition 9 are listed below:

1. repayment of any part of the Funding is required under European Law (whether under State Aid Rules or otherwise);
2. you fail to comply with any of the Conditions;
3. the Funding, in full or in part, is not being used for the Purposes;
4. there is unsatisfactory progress towards completing the Purposes;
5. you fail to provide information about the Purposes requested by us, the European Commission or the European Court of Auditors, or any of their auditors, agents or representatives;
6. we have reason to believe that you and/or any of your Personnel are involved in fraudulent activity or have been involved in fraudulent activity whilst the Purposes are/were being carried out;
7. we have made an overpayment of Funding to you;
8. any declaration made in Condition 8 is incorrect in any respect or, if repeated at any time with reference to the facts and circumstances then existing, would be incorrect;
9. any petition is presented or resolution passed or other action taken for your bankruptcy or winding-up or a petition is presented for an administration order against you;
10. a receiver or an administrative receiver is appointed in respect of you or in respect of all or any part of your assets;
11. a moratorium in respect of all or any of your debts or a composition or an agreement with your creditors is agreed, applied for, ordered or declared;
12. you are unable, or admit in writing your inability, to pay your debts as they fall due;
13. any distress, execution, attachment or other process affects any of your assets;
14. a statutory demand is issued against you;
15. you cease, or threaten to cease, to carry on all or a substantial part of your business;

16. there is a change in your constitution, status, control or ownership and/or your external auditors resign;
17. there is a change in your shareholders, directors, trustees or partners;
18. any event occurs or circumstances arise which in our opinion gives reasonable grounds for believing that you may not, or may be unable, to perform or comply with any of your obligations under these Conditions.

### SCHEDULE 3

#### Payment Profile

Payment will be made to you every two months in line with your spending profile. An initial update in the Autumn 2018 (date to be determined by us) and subsequent quarterly updates of the spending profile are required under the terms and conditions of the Funding award.

Future payments may be revised to reflect changes and variations identified in your profile of spend.

We will aim to process payments on or within 5 days of the dates identified below.

Period		Payment date for processing	Amount against Spending profile
1	March – April 2018	To be agreed, pending formal acceptance of this award letter.	5,207,282
2	May – June 2018		5,535,666
3	July – August 2018		5,231,800
4	September – October 2018	25 October 2018	8,270,461
5	November – December 2018	18 December 2018	5,535,666
6	January – February 2019	26 February 2019	8,270,461
7	March 2019	26 March 2019	2,919,766

The Funding Letter issued on 19 December 2017, including as revised and provided with this Funding Award, provides detail of the full grant amount available for the financial year 2018-19.

#### **PLEASE NOTE THAT FOR FUTURE PAYMENTS, RELATING TO THE PERIOD BEYOND 31 AUGUST, WE REQUIRE:**

- Your revised Business plan
- detail on apportionment of funds to support the Improvement Priorities and the programmes of work (what you will do in 2018-19); and
- detail on how you are implementing Estyn recommendations.
- strengthening of the Annual Governance Statement:
  - where weaknesses are identified;
  - All timescales provided in the Annual Governance statement where stated are adhered to (where dates are to be determined we would expect these dates to now be provided); and
  - More specifically, on the issue of equity (referred to as delegation in Steve Davies' recent letter) we require a consistent regional

approach to delegations including the foundation phase allocation formulae.

- Confirmation that payment has been made by all 6 LAs as part of their contribution.

## GRANT ACCEPTANCE

We hereby accept the award of Funding for **the Regional Consortia School Improvement Grant 2018-19** to support delivery of the Welsh Government's priorities in *Education in Wales: Our national mission*, against the Funding Letter issued to you on 19 December 2017 and the Conditions relating to the Funding

\_\_\_\_\_  
An authorised signatory of Pembrokeshire County Council

Signature

\_\_\_\_\_  
Name

Name

\_\_\_\_\_  
Job Title

Job Title

\_\_\_\_\_  
Date

Date

\_\_\_\_\_  
An authorised signatory of Pembrokeshire County Council

Signature

\_\_\_\_\_  
Name

Name

\_\_\_\_\_  
Job Title

Job Title

\_\_\_\_\_  
Date

Date

\_\_\_\_\_  
An authorised signatory of the ERW consortium

Signature

\_\_\_\_\_  
Name

Name

\_\_\_\_\_  
Job Title

Job Title

\_\_\_\_\_  
Date

Date

Mae'r dudalen hon yn wag yn fwriadol



## CYD-BWYLLGOR ERW 12.10.18

### CYNLLUN BUSNES ERW

#### Y Pwrpas:

I gylchredu Cynllun Busnes diwygiedig ERW am 2018-19 i'r Cyd-Bwyllgor

#### YR ARGYMHELLION / PENDERFYNIAU ALLWEDDOL SYDD EU HANGEN:

I dderbyn y Cynllun Busnes Diwygiedig

#### Y RHESYMAU:

Pendrfyniad o gyfarfod diwethaf y Cyd\_Bwyllgor

<b>Awdur yr Adroddiad:</b> Nifer	<b>Swydd:</b> Uwch-dim Rheoli ERW Tim Canolog ERW Uwch-Ymgynghorwyr Her A.LI Cyfarwyddwyr Addysg A.LI	<b>Rhif Ffon</b>  <b>E: bost</b>
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# EXECUTIVE SUMMARY

## ERW JOINT COMMITTEE

### 12.10.18

#### ERW Business Plan

#### BRIEF SUMMARY OF PURPOSE OF REPORT

As requested by Joint Committee in the last meeting, find attached the ERW Business Plan for 2018-19. In delivering our Business plan we have focused on the four key objectives cascading from the Welsh Government National Mission.

- **Developing a high-quality education profession**
- **Ensuring that inspiration leader work collaboratively to raise standards**
- **To support our schools to be strong and inclusive schools committed to excellence , equity and we'll-being**
- **Ensure robust assessment, evaluation and accountability arrangements supporting a self-improving system**

The outcomes framework (page 7 of Business Plan) notes the means by which Welsh Government will hold all regions to account against key outcome measures.

This version of the Business Plan has been co-constructed by the ERW Directors, Local Authority Principal Challenge Advisers, and ERW Senior Leadership Team following the previous Joint Committee Meeting.

DETAILED REPORT ATTACHED?

YES

#### IMPLICATIONS

Policy, Crime & Disorder and Equalities	Legal	Finance	Risk Management Issues	Staffing Implications
NONE	NONE	yes	None	None

#### CONSULTATIONS

Details of any consultations undertaken are to be included here 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**



Mae'r dudalen hon yn wag yn fwriadol



Ein Rhanbarth ar Waith  
Education through Regional Working

# **ERW Business Plan 2018-2019**

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The ERW Consortium is a Joint Education Service for six local authorities:

- Carmarthenshire
- Ceredigion
- Neath Port Talbot
- Pembrokeshire
- Powys
- Swansea

The Consortium is commissioned by, and acts on behalf of, the six local authorities to develop a school improvement service that challenges, monitors and supports schools to raise standards.



## **‘Improving Learning Together’**

### **Mission Statement**

ERW has a clear mission of actively working together to improve teaching and learning to secure the best outcomes for all learners



## Our 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

## 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.

The region is committed to delivering the National Mission. To deliver our priorities we will work collaboratively with stakeholders including the teaching profession and the wider education workforce, the Welsh Government, diocesan authorities, Trade Unions, other 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.

We are committed to supporting a self-improving system. Working in partnership with schools and local authorities, we share 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. Welsh Government guidance places 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.

# National Mission for 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

## 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;





# The Welsh Language

## 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)

# Our Business Planning Process

# Our Business Planning Process

The Business Plan is approved by Joint Committee and is part of a planning cycle that takes account of:

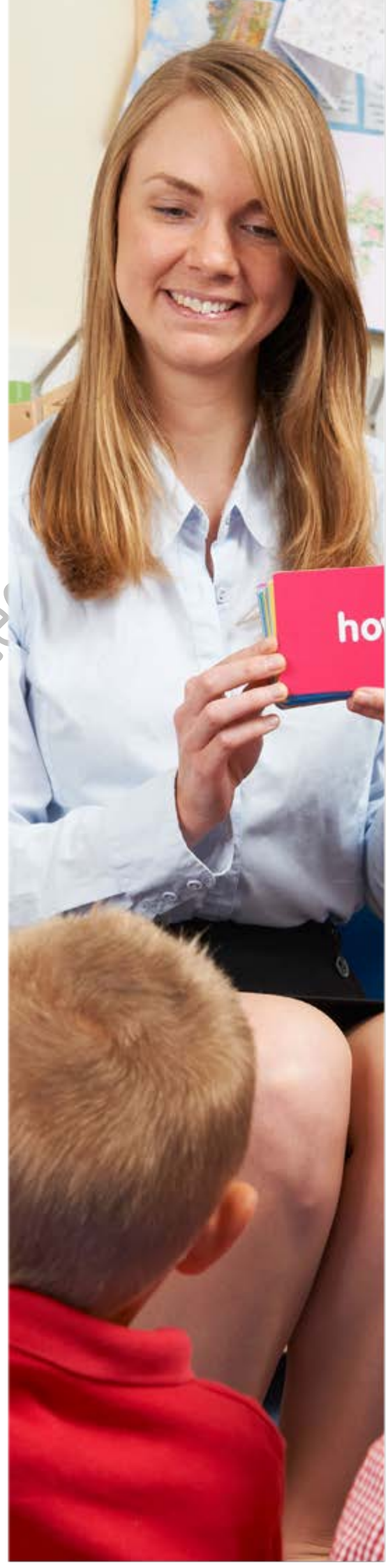
- Aspects within the business plan 17/18 that were identified to be developed in 18/19
- The outcomes of self-evaluation, including performance analysis
- Emerging requirements of local authorities
- National priorities – as set out in The National Mission and its enabling objectives
- Cross consortia planning
- Feedback from Estyn

For each of the priorities there is an operational plan that outlines how and when the aspects of each priority will be delivered. These include key success criteria against which progress is measured. The ERW leadership team is responsible for ensuring that leads for the operational plans implement, monitor and evaluate the impact of the plan. Progress is reported to the Advisory Board and Joint Committee each term.

In addition we will:

- Provide an annual Self Evaluation Report (SER) to the Joint Committee
- Provide at least one performance report to the six Scrutiny Committees, usually in January of each year
- Produce a summary SER each term to the Advisory Board including our live in year evaluations against the priorities
- Monitor a monthly dashboard against in year data collections and inspection outcomes
- Review the performance of red and amber schools termly with authorities
- Report termly to the Welsh Government's Challenge and Review sessions

## Improvement Priorities



We have identified four improvement priorities that match with the enabling objectives of The National Mission:

- **To develop a high-quality education profession**
- **To develop inspirational leaders and to facilitate them working collaboratively to raise standards.**
- **To develop strong and inclusive schools that are committed to excellence and wellbeing.**
- **To develop robust assessment, evaluation and accountability processes that support a self-improving system**

A supporting “making it happen” objective supports delivery of all of the priorities. Operational plans underpin each improvement priority.

### **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. 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 in pursuit of each business plan objective. 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.

# Business Plans

## Plan Priorities

1. **Developing a high quality education profession that has a positive impact on learners' progress and standards** The region will 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 reliability procedures for end of key stage assessments
2. **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 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
3. **Develop strong and inclusive schools committed to excellence, equity and well-being** 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 continue to develop the workforce so that schools can receive the necessary levels of support and challenge around inclusive practice.
4. **Develop robust assessment, evaluation and accountability arrangements supporting a self-improving system** 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. **Developing an Efficient & Effective Organisation**  
Our priority is to ensure an effective and efficient governance, leadership and business support that provides excellent value for money.

**Priority 1: Developing a high quality education profession that has a positive impact on learners' progress and standards.**

To ensure that a high quality education provision is developed across the region, we will:

**1.1 Support schools to utilise the teaching standards.**

**1.2 Develop a coherent and comprehensive professional learning offer**

**1.3 Increase the capacity of professionals at all levels of the system to become research engaged and well informed through partnerships and collaboration with HEIs**

**1.4 Build capacity and support to meet the ambition of Cymraeg 2050.**

**1.5 Support development of a world class curriculum through Improved learning, teaching and assessment, focusing on pedagogy in the classroom**

**1.6 Work with HEIs to develop ITE models in partnership with schools**

<b>Improvement Priority</b>	<b>What we will do in 2018-19</b>
<b>1.1 Support schools to utilise the teaching standards.</b>	<b>Support the adoption of the new professional standards by serving teachers and head teachers</b>  <b>Providing guidance to ensure that all teachers, including supply teachers, have access to an individual professional learning plan</b>
<b>1.2 Develop a coherent and comprehensive professional learning offer</b>	<b>Improve the professional learning offer to ensure it is fit for purpose and meets the National Approach to Professional Learning</b>  <b>Develop the workforce strategy to ensure that all practitioners have access to a high quality development offer at every stage of their professional career and that recruitment and retention challenges are reflected in the workforce strategy</b>  <b>Supporting the national development and regional delivery of pathways for Learning Support Workers.</b>



<b>1.3 Build capacity and support to meet the ambition of Cymraeg 2050</b>	<p>Work with LAs and schools to develop appropriate support for schools to ensure effective implementation of policy</p> <p>Develop capacity and confidence of school practitioners across the region</p>
<b>1.4 Support development of a world class curriculum through improved learning, teaching and assessment, focusing on pedagogy in the classroom</b>	<p>Work with pioneers to continue to develop the regional approach to curriculum reform</p> <p>Improve learning, teaching and assessment, focusing on pedagogy in the classroom</p>
<b>1.5 Work with HEIs to develop ITE models in partnership with schools</b>	<p>Develop ITE models in partnership with Universities</p> <p>Collaborating with HEI and ITE providers to ensure high quality initial education and readiness to enter the workforce</p> <p>Continuing to work collaboratively with key partners to attract and retain high quality teachers through the #Discover Teaching campaign</p>

## **Priority 2: To ensure Inspirational leadership has a positive impact on provision and standards**

To ensure that standards are raised across the region through the development of inspirational leaders we will:

**2.1 Support leaders to ensure they are well positioned to deliver in-line with the reform agenda.**

**2.2 Consult and develop future collaborative improvement models led by school leaders building on existing developments**

**2.3 Support, improve and develop school governance**

**2.4 Develop further support for new school leadership models**

<b>Improvement Priority</b>	<b>What we will do in 2018-19</b>
<b>2.1 Support leaders to ensure they are well positioned to deliver in-line with the reform agenda.</b>	<p>Continue to develop and offer a high-quality professional learning programme against all the leadership milestones, map against National Academy for Educational Leadership (NAEL) endorsement criteria</p> <p>Tighten processes to ensure leadership support is provided as part of a holistic improvement support plan, recognising interdependence of all interventions</p> <p>Providing an extensive portfolio of leadership development opportunities available for the regional education community. To include: Middle Leader, Aspiring Senior Leader, Aspiring Headteacher, New to Headship, Experienced Headteacher and Executive Headteacher</p> <p>Providing secondary school leaders opportunities to experience and learn from a range of successful</p>

	<p>settings within and beyond the region</p> <p>..</p>
<p><b>2.2 Consult and develop future collaborative improvement models led by school leaders building on existing developments</b></p>	<p><b>Develop, pilot and evaluate models</b></p> <p><b>Work with other consortia to share learning with wider system</b></p> <p><b>Further develop the delivery model to enable schools to take leadership of it</b></p>
<p><b>2.3 Support, improve and develop school governance</b></p>	<p><b>Work with LAs and Welsh Government to review support for governors</b></p> <p><b>Develop and implement annual training and development programme for governors and evaluate</b></p> <p><b>Continue to offer a Professional Learning Offer that includes Mandatory Training and Strategic Development Programmes for Governors</b></p> <p><b>Make E-Learning available for each priority area from within the professional learning offer for governors.</b></p> <p><b>Providing support to Governing Bodies that require improvement by sharing and promoting best practice.</b></p>
<p><b>2.4 Develop further support for new school leadership models</b></p>	<p><b>Work with LAs and WG to define and respond to systemic barriers to federation</b></p>

	Develop challenge adviser and wider staff team's understanding of federation to enable them effectively to support and inform schools
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Draft Pending Joint Committee Approval

### Priority 3: To develop strong and inclusive schools committed to excellence, equity and well-being

To ensure that we develop strong and inclusive schools across the region we will:

3.1 Ensure all vulnerable groups are monitored and supported to reach their full potential (including FSM and LAC).

3.2 To work with partners on effective measurements of well-being and attitudes to learning

3.3 Ensure effective links in professional learning in relation to ALN and wellbeing.

3.4 Improve the pace of improvement in underperforming schools.

3.5 Ensure that the needs of schools are identified and met effectively

Improvement Priority	What we will do in 2018-19
3.1 Ensure all vulnerable groups are monitored and supported to reach their full potential (including FSM and LAC).	<p>Support schools and settings to improve their use of the Pupil Development Grant (PDG) and to develop more integrated approaches to reducing the impact of poverty on outcomes</p> <p>Work with partners to provide a more coherent approach to the relationship between education provision and other services available to support schools in disadvantaged areas</p> <p>Map the professional learning offer to the workforce in relation to meeting the needs of MAT and eFSM learners, ensuring challenge advisers and strategic team are fully engaged</p> <p>Review quality assurance processes of this provision and ensure that the information gained is used effectively in shaping future provision</p> <p>Ensure consortium staff have access to safeguarding information and training</p>
3.2 To work with partners on effective measurements of well-being and attitudes to learning	Link with LAs, schools and stakeholders to review strategies being used to measure well-being

	<p>Ensure that school improvement staff are trained to support schools in improving safeguarding, wellbeing and attitudes to learning, including the effective brokering of support</p>
<p><b>3.3 Ensure effective links in professional learning in relation to ALN and wellbeing.</b></p>	<p>Ensure that school improvement and consortium staff are fully aware of the implications of the ALN bill</p> <p>Ensure data for vulnerable pupil groups continues to be tracked and analysed when making judgements about pupil progress and standards</p> <p>Link with regional ALN transformation network, supporting their work where required</p>
<p><b>3.4 Improve the pace of improvement in underperforming schools.</b></p>	<p>Ensure that all schools and settings receive high quality bespoke support in line with their needs to accelerate progress and improve outcomes.</p> <p>Further develop pupil level target setting and progress measures for all learners and groups of learners across all key stages using prior attainment information and WG modelled estimates where appropriate.</p> <p>Review the quality of provision at KS3 across the region, providing support to accelerate improvement, focusing on the development of pupils' skills in literacy, numeracy, IT and reducing within school variation.</p> <p>Continue to work closely with LAs to ensure a more consistent approach to schools causing concern and the use of statutory powers to accelerate progress.</p> <p>Review processes around Schools Causing Concern including an evaluation of support plans, Consortium policy and the reporting of progress</p>

<p><b>3.5 Ensure that the needs of schools are identified and met effectively</b></p>	<p><b>Review how need is identified, the strategies used to meet that need and the impact of the provision evaluated</b></p> <p><b>Ensure that need within the region is met for key priorities such as literacy, numeracy, Digital Learning, SRE and closing the gap</b></p>
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## **Priority 4: To develop robust assessment, evaluation and accountability arrangements supporting a self-improving system**

To ensure that the self-improving system is supported by robust assessment, evaluation and accountability arrangements across the region we will:

**4.1 Develop a mature self-improving system based on accurate and robust self-evaluation, that will clearly identify what schools are accountable for and encourage all schools to pursue the success of all learners.**

**4.2 Support schools to implement the new accountability measures to maximise pupil progress.**

**4.3 Implement data, research and evaluation strategies to deliver effective school improvement.**

<b>Improvement Priority</b>	<b>What we will do in 2018-19</b>
<b>4.1 Develop a mature self-improving system based on accurate and robust self-evaluation, that will clearly identify what schools are accountable for and encourage all schools to pursue the success of all learners.</b>	<p><b>Robust delivery of support and challenge for identified departments leading to improvements in provision and outcomes.</b></p> <p><b>Contribute to consultation regarding the framework of assessment and evaluation for schools</b></p> <p><b>Following publication of the Framework, agree principles for data collection across the region (if required), as well as establish a support programme staff, schools and governing bodies</b></p> <p><b>Engage with other consortia to consider joint consortia plan to establish agreed work plan and share best practice</b></p> <p><b>Review the role of the Consortium in relation to the support and challenge of all groups of learners (including MAT)</b></p> <p><b>Review the role of the Consortium in relation to the support and challenge at Post-16</b></p>
<b>4.2 Support schools to implement the new accountability measures to maximise pupil progress.</b>	<p><b>Support schools to ensure the effective development of pupil skills at all phases. Continue to develop the model of a school-led, self-improving system where resources are transferred to schools to lead improvement</b></p>



	<p>Review the model to ensure support and programmes are based upon regional needs analysis in line with the objectives of the National Mission and in line with the national approach to professional learning</p> <p>Continue to build capacity to use research and evaluation effectively to provide evidence of impact and value for money</p>
4.3 Implement data, research and evaluation strategies to deliver effective school improvement.	<p>Develop research strategy and establish research practice partnerships</p> <p>Increase the capacity of professionals at all levels of the system to become research engaged and well informed through partnerships and collaboration with HEIs</p>

## Priority 5: Developing an Efficient & Effective Organisation

To ensure that high quality education provision is developed across the region, we will:

- Ensure that Governance and structure are fit for purpose for our schools.
- Management of the region is coherent, well communicated and focused on delivery of the business plan.
- Ensure effective, transparent financial and workforce planning

<b>Improvement Priority</b>	<b>What we will do in 2018-19</b>
<b>5.1 Governance and structure are fit for purpose for our schools.</b>	<p>Complete governance review</p> <p>Complete development and Implementation of the new corporate and individual Performance Management Cycle</p>
<b>5.2 Management of the region is coherent, well communicated and focused on delivery of the business plan.</b>	<p>Introduce renewed cycle of governance meetings</p> <p>Introduce cycle of communication/ relationship management meetings between leadership team and stakeholders</p>
<b>5.3 Ensure effective, transparent financial and workforce planning</b>	<p>Complete Medium Term Financial Plan</p> <p>Complete Action Plan to Address Audit Findings</p> <p>Refresh Risk Management Strategy</p> <p>Complete Workforce Strategy</p> <p>Complete actions on securing both accommodation and agile working</p>

# Medium Term Outcome Measures

## Outcome Measures

1. Developing a high quality education profession that has a positive impact on learners' progress and standards	2. Ensuring Inspirational leadership has a positive impact on provision and standards	3. Developing strong and inclusive schools committed to excellence, equity and well-being	4. Developing robust assessment, evaluation and accountability arrangements supporting a self-improving system
1.1 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. Within school variation in the quality of teaching will reduce	2.1 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 reduces.	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.	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 A or B increases.
1.2 All schools develop as learning organisations enabling their staff to use research effectively to improve students' outcomes	2.2 Future leaders are identified. Targeted professional learning results in expressed routes to leadership at all levels.	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 teaching are quickly identified and rapid intervention is provided through a regional strategic programme.	2.3 Shortcomings in leadership 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 teachers are identified and used to support the	2.4 Highly effective leadership is 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

development of a self-improving system.	development of a self-improving system.		the development of a self-improving system
1.5 All teachers at all stages of their professional development will have access to high quality professional learning and support to improve their practice.	2.5 The region collaborates effectively with all regions and the Leadership Academy to establish a high quality professional learning offer for all leaders	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 teachers will be well supported and prepared for the implementation of 'A Curriculum for Wales, a curriculum for life'	2.6 All leaders 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 The region collaborates effectively with all regions to establish a high quality professional learning offer for all leaders	2.7 All schools provide value for money for their pupils.	3.7 All schools have effective transition processes which support all pupils to progress through their education.	
1.8 The region collaborates well with ITEs to ensure all teachers enter the profession well prepared and supported	2.8 Local Authorities, the region and schools work collaboratively support the 21 <sup>st</sup> century schools' agenda.	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	
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, including regular meetings between all HTs and the ERW MD
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.

# Level 3 Action Plans

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
<b>Maes</b> Area	Self-Improving System
<b>Perchennog</b> Plan Owner	Mark Ford
<b>Aelodau'r Tim:</b> Team Members:	MF / SLP/ IA
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ol style="list-style-type: none"> <li>1. Ensure Inspirational leadership has a positive impact on provision and standards</li> <li>2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.</li> <li>3. Ensure strong and inclusive schools that are committed to equity and wellbeing</li> <li>4. Deliver a system of robust assessment, evaluation and accountability</li> <li>5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li> <li>6. Improve communication (mandatory)</li> <li>7. Using digital systems to facilitate the delivery of the work stream (mandatory)</li> </ol>	
<b>Level 2 outcomes to be achieved in your plan</b> <ol style="list-style-type: none"> <li>1.1 All schools are well led and as a result, the proportion of schools in any statutory category decreases and judged to be A or B increases</li> <li>1.3 Shortcomings in leadership are quickly identified and rapid intervention is provided through a regional strategic programme</li> <li>1.4 Highly effective leadership (A) is identified and used to support the development of a self-improving system.</li> <li>1.5 The region collaborates effectively with all regions and the leadership academy to establish a high quality professional learning offer for all leaders</li> <li>2.4 Highly effective teachers are identified and used to support the development of a self-improving system.</li> <li>3.4 Highly inclusive schools are used to support the development of a self-improving system</li> <li>4.4 The region identifies high effective practice in all areas and uses this well to support the development of a self-improving system</li> </ol>	



Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code
1.	<p>Further develop (through research, evaluation and review) and communicate to school leaders the principles and practices of a self-improving school system at regional level.</p> <ul style="list-style-type: none"> <li>• Report on findings from Boston Study Visit / National dimension</li> <li>• Use the HT Rep Board to disseminate and further co-construct school to school collaboration</li> <li>• ERW conference – Self-Improving School System</li> <li>• Developing effective school to school collaboration – workshops for Senior Leaders included in Menu of Support</li> </ul>	<p>MF</p> <p>MF</p> <p>MF</p> <p>MF</p>	<p>April 2018</p> <p>May 2018</p> <p>September 2018</p> <p>September 2018</p>	<p>May 2018</p> <p>July 2019</p> <p>October 2018</p> <p>July 2021</p>	SIS
2.	<p>Identify effective school leaders (senior and middle level) through ChAd visits, school outcomes and LA feedback to develop a 'regional lead school' matrix to build capacity for school to school support and utilised by SPT.</p> <ul style="list-style-type: none"> <li>• Regional lead school matrix designed and ready to populate with: <ul style="list-style-type: none"> <li>- Lead Support School</li> <li>- Middle Leaders</li> <li>- Headteacher</li> <li>- Senior Leaders</li> <li>- PDG</li> <li>- Foundation subjects</li> </ul> </li> </ul>	<p>MF</p> <p>MF SLP / IA MF MF CM</p>	<p>April 2018</p>	<p>July 2018</p> <p>Reviewed and updated half-termly</p>	SIS
3.	SPT set-up that uses challenge adviser and regional 'intelligence' to ensure timely, appropriate and effective school to school support to swiftly address performance / capacity concerns or shortcomings. (eg. Acting HT, New HT, HT, middle leaders)	<p>AT</p> <p>MF</p>	<p>September 2018</p> <p>March 2018</p>	<p>September 2018</p> <p>July 2018</p>	SIS

	<ul style="list-style-type: none"> <li>Lead School S2S reviewed regularly using Extended Strategy/Prin.ChAd meetings</li> <li>SPT brokers, monitors and reviews school to school support</li> </ul>	AT / MF	September 2018	September 2019	
4.	<p>Further develop school to school collaboration strategies across the regional self-improving system continuum to support the development of highly effective teachers. (Professional Learning School Partnerships, DOLEN, Network cluster LoL, Leaders of Learning.)</p> <ul style="list-style-type: none"> <li>Work with ChAds to ensure all 'green' schools' sharing effective practice on Dolen</li> <li>Work with ChAds to ensure majority of schools sharing effective practice on Dolen</li> <li>Raise profile of Dolen in supporting school to school work through senior leader workshops</li> <li>Professional Learning Schools Partnerships set-up to support collaborative learning in priority areas: <ul style="list-style-type: none"> <li>- phase 2 More Able and Talented strategy</li> <li>- Post 16 professional learning schools</li> <li>- Tackling deprivation professional learning schools</li> <li>- Leading a research-informed learning organisation</li> <li>- others as prioritised</li> </ul> </li> <li>Network LoL / LoL – see 'Improving Teaching and Learning' level 3 plan</li> </ul>	MF  MF  MF   MF MF / DE MF / JN MF / DB	April 2018  April 2018  September 2018  April 2018 June 2018 April 2018 October 2018	July 2018  July 2018  July 2019  March 2019 March 2019 March 2019 July 2019	SIS
5.	<p>School to school challenge / evaluation strategy developed to support robust evaluation and quality assurance – regionally and at school level.</p> <ul style="list-style-type: none"> <li>Pilot school to school peer review created, implemented, evaluated</li> <li>Phase 1 implementation to selected schools – implemented, evaluated</li> <li>Decisions on format and implementation for further roll-out as part of categorisation and/or menu of support</li> </ul>	MF / AT  MF  MF   MF/AT	April 2018  October 2018  January 2019	July 2018  December 2018  July 2019	SIS

6.	<p>'Regional lead school matrix' used to share expertise and support delivery on the range of leadership and teaching programmes, eg. Middle leaders, new HT, Welsh language provision, Mathematics provision, etc.</p> <ul style="list-style-type: none"> <li>Programme leads interrogate <i>RLSM</i> and all programmes benefit from high level input from effective leaders and practitioners.</li> </ul>	IA / SLP / YJ / TF	September 2018	July 2019	SIS
<p><b>Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?</b> How do you plan to provide value for money in your area?</p> <ul style="list-style-type: none"> <li>Economy – minimising the resources used - . Continue to employ retrospective funding for school to school support work as oppose to up-front release of money. Utilising current and developing online systems to collate, monitor and allocate resource and relevant information</li> <li>Efficiency – relationship between output from services and the resources used to produce them – Intelligent brokering of collaboration/support to ensure schools used and time allocated aligned to high expectations at outset. Monitoring through Support Log.</li> <li>Effectiveness – relationship between outcomes and impact – all strategies and partnerships will be evaluated against expectations/success criteria. High priority strategies scrutinised with third party research-based evaluation.</li> <li>Sustainability – including succession planning and professional development and capacity building - research-based approach taken that will secure success factors that ensure effective and sustainable school to school working. Capacity of schools to work in partnership increases as systems refined further. Brokering and monitoring role of Challenge Advisers supported through professional development.</li> <li>Collaborative advantage – making the most effective use of each other's combined capacity - Working to further promote a self-improving system by encouraging school to school support. Research based approach identifies effective working that maximises synergy and this can be shared across the system.</li> <li>Added value - Gaining more than the optimum expectation. – supporting, extending and refining school to school relationships through utilising ERW resources, including network leaders of learning, Challenge Advisers, so that improvements are capitalised on and spread across the system.</li> <li>Quality -Securing better quality and a focus on improvement – systems and 'resources' reviewed, evaluated and developed as appropriate to ensure maximum impact relative to resource utilisation.</li> </ul>					

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
<b>Maes</b> Area	Improving Leadership
<b>Perchennog</b> Plan Owner	Aneirin Thomas
<b>Aelodau'r Tim:</b> Team Members:	JB / YJ / MF / DB / TF / AT / AE / SLP / CM / SPT
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ol style="list-style-type: none"> <li>1. Ensure Inspirational leadership has a positive impact on provision and standards</li> <li>2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.</li> <li>3. Ensure strong and inclusive schools that are committed to equity and wellbeing</li> <li>4. Deliver a system of robust assessment, evaluation and accountability</li> <li>5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li> <li>6. Improve communication (mandatory)</li> <li>7. Using digital systems to facilitate the delivery of the work stream (mandatory)</li> </ol>	
<b>Level 2 outcomes to be achieved in your plan</b> <p>1.2 All schools are well led and as a result, the proportion of schools in any statutory category decreases and judged to be A or B increases</p> <p>1.6 Shortcomings in leadership are quickly identified and rapid intervention is provided through a regional strategic programme</p> <p>1.7 The region collaborates effectively with all regions and the leadership academy to establish a high quality professional learning offer for all leaders</p> <p>1.8 The region collaborates effectively with all regions and the leadership academy to establish a high quality professional learning offer for all leaders</p> <p>2.3 Shortcomings in teaching are quickly identified and rapid intervention is provided through a regional strategic programme</p> <p>3.6 All schools make effective use of PDG which has a positive impact on progress and standards for vulnerable pupils.</p> <p>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 decreases and judged to be A or B increases</p> <p>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.</p>	

4.3 All schools have effective and accurate tracking and target setting procedures which secure improved progress for all pupils 4.4 The region identifies high effective practice in all areas and uses this well to support the development of a self-improving system 4.5 All schools have effective and accurate assessment processes which identify all pupils' strengths and next steps in learning.					
Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code
1.	Strategy in place to develop the leadership of schools as research informed, effective learning organisations.	YJ, MF, DB	July 2018	July 2019	SIL
2.	Effective use of the half termly Headteacher Representative Board Meetings to ensure that current, relevant and accurate information is disseminated to support effective school leadership	AT	April 2018	July 2019	SIL
3.	Regional consultation with Teaching Unions, Human Resources and other stakeholders supports headteachers to ensure that schools are well led	AT, AE	April 2018	July 2019	SIL
4.	By Sep 2018 ERW meets the national learning offer expectation and this offer is available to all school leaders in order to enhance their performance	TF	September 2018	July 2019	SIL
5.	Milestone opportunities for acting, new, existing and executive headteachers provide appropriate professional development; audit of post holders completed at the start of the Autumn Term	YJ, TF	September 2018	July 2019	SIL
6.	Identify HT new to post both permanent and acting. LA to identify and appoint Mentors; audit of postholders completed at the start of the Autumn Term	TF	September 2018	July 2019	SIL
7.	Regional representative to engage with the 4 regions and the Leadership Academy to ensure the region is well represented and to ensure key information is effectively disseminated	TF	April 2018	July 2019	SIL
8.	Liaise effectively with Lead ChAds to <i>identify</i> effective leadership practice to build and inform the <i>Regional Lead School Matrix</i> that will be used to build capacity for a self-improving system.	SLP / MDF	April 2018	July 2019	SIL

9.	Engage with the national leadership academy to evaluate and develop the offer for middle leaders	SLP/TF	April 2018	July 2019	SIL
10.	<i>Regional Lead School Matrix</i> used to provide leaders with excellent practice to disseminate on leadership programmes, eg. middle leaders courses	SLP	April 2018	July 2019	SIL
11.	Challenge Adviser Support visits ensure that early identification of needs and shortcomings in leadership are swiftly addressed by the SPT to provide timely, appropriate and effective support for HT's / Senior Leadership Teams as part of a self-improving system.	YJ SPT	April 2018	July 2019	SIL
12.	All leaders have access to clear guidance on effective use of PDG which highlights evidence of best practice within the region.	CM	April 2018	July 2019	SIL
13.	Network of effective leaders for key strategies, for example PDG Leads, identified and used to advise and guide on implementation and provide capacity for school to school working.	DW	April 2018	July 2019	SIL
14.	Provide suitable support for school leaders to develop the relevant digital skills to fulfil their role effectively	GM	April 2018	July 2019	SIL
15.	Engagement with the national review of ITE to ensure that ERW remains at the forefront of this development and can provide appropriate resources and opportunities	SLP, TF	April 2018	July 2019	SIL
16.	Implement a professional learning programme for all new headteachers	TF	April 2018	July 2019	SIL
17.	Ensure all Middle leaders are introduced to the PLP and are trained to use the professional leadership standards effectively	SLP	April 2018	July 2019	SIL
18.	Seconded senior leaders to use the PLP and leadership standards to reflect and record professional development	SLP	April 2018	July 2019	SIL
19.	Provide a new and aspiring middle leaders course that responds to need in each local authority, including a research project that impacts on pupil outcomes	SLP	April 2018	July 2019	SIL

20.	SPT to prioritise appropriate support for middle leaders from schools in statutory category, including bespoke school to school support and attendance at middle leadership course.	SPT/ SLP	April 2018	April 2019	SIL
21.	Support schools to develop high quality and effective tracking systems to secure progress for learners.	IA, AE, AT	April 2018	April 2019	SIL

### **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

- Avoid duplication of work in schools and the region
- Ensure Leadership support is effective and bespoke
- Ensure school to school work is monitored effectively and streamlined appropriately
- Schools will work together to provide better value for money and enhanced support

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

- Resources will be developed collaboratively to avoid duplication
- All resources will be shared via electronic platforms
- Sustainable methods will be employed to ensure staff are not a required resource to develop resources but that schools can change and implement themselves

Effectiveness – relationship between outcomes and impact

- All work will have clear success criteria and impact monitoring will take place on a quarterly basis
- Leadership support provided by regional officer and schools will be monitored closely to ensure effective impact

Sustainability – including succession planning and professional development and capacity building

- All work is about building capacity for the future so less finance and support is required.
- All staff are trained to identify activities that will build capacity and secure future and ongoing improvement

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

- Cluster working will drive collaborative working
- School leaders and regional officers will collaborate effectively to increase improvement capacity
- Network Leaders of Learning will further develop cluster, cross cluster and school to school working

Added value - Gaining more than the optimum expectation.

- Leader of support schools are likely to secure added value due to enhanced collaboration and school driven support
- Improved knowledge and skills will be secured in Leaders , this will support the region to develop leaders for the future

Quality -Securing better quality and a focus on improvement

- Effective QA processes have been developed and will continue to be implemented to monitor the quality of all support to schools QA of pioneer work will be consistent and challenging to ensure value for money is provided



TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
<b>Maes</b> Area	Future Leaders
<b>Perchennog</b> Plan Owner	Aneirin Thomas
<b>Aelodau'r Tim:</b> Team Members:	TF / SLP
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ol style="list-style-type: none"> <li>1. Ensure Inspirational leadership has a positive impact on provision and standards</li> <li>2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.</li> <li>3. Ensure strong and inclusive schools that are committed to equity and wellbeing</li> <li>4. Deliver a system of robust assessment, evaluation and accountability</li> <li>5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li> <li>6. Improve communication (mandatory)</li> <li>7. Using digital systems to facilitate the delivery of the work stream (mandatory)</li> </ol>	
<b>Level 2 outcomes to be achieved in your plan</b> <p>1.3 All schools are well led and as a result, the proportion of schools in any statutory category reduces and judged to be A or B increases.</p> <p>1.3 Shortcomings in leadership are quickly identified and rapid intervention is provided through a regional strategic programme</p> <p>1.5 The region collaborates effectively with all regions and the leadership academy to establish a high quality professional learning offer for all leaders</p> <p>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.</p> <p>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</p> <p>3.6 All schools make effective use of PDG which has a positive impact on progress and standards for vulnerable pupils.</p> <p>3.7 All schools have effective transition processes which support all pupils to progress through their education.</p>	

<p>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.</p> <p>4.3 All schools have effective and accurate tracking and target setting procedures which secure improved progress for all pupils</p> <p>4.5 All schools have effective and accurate assessment processes which identify all pupils' strengths and next steps in learning.</p>					
Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code
1.	Ensure the region is well represented at national level and by Associate H/T Members in the Leadership Academy. Ensure that key information is effectively disseminated in a timely manner. ERW work effectively with other regions	AT/ Leadership team	April 2018	March 2019	SIL
2.	Make effective use of the Headteacher Representative Board to disseminate current, relevant and accurate information to support effective school leadership; school to school support contributes to strong and effective leadership	ATJ	April 2018	March 2019	SIL
3.	Challenge Adviser support visits to ensure early identification and targeted support to develop effective future leaders.	AT/SLP/MF/TF	April 2018	March 2019	SIL
4.	Ensure that all prospective future leaders are provided with beneficial opportunities to develop their future leadership skills at all levels.	AT/SLP/TF	April 2018	March 2019	SIL
5.	Ensure all perspective leaders are targeted and tracked throughout their profession to ensure future headteachers are developed rapidly and effectively	AT/SLP//TF	April 2018	March 2019	SIL
6.	Offer a menu of training opportunities for leaders, teachers and support staff on creating settings and systems which are inclusive and promote the wellbeing of all	CM	April 2018	March 2019	SIL

7.	Support schools to identify and use effective assessment procedures and support schools to identify future leaders areas of strength and development needs.	AT/TF/ChAds/SLP	April 2018	March 2019	SIL
8.	All leadership development programs to include training on self evaluation, target setting, effective tracking and a research element	AT/SLP/TF	April 2018	March 2019	SIL
9.	Provide suitable support for future leaders to develop the relevant digital skills to fulfil their role effectively	GM/SLP/TF	April 2018	March 2019	SIL
10.	Development of school to school approach and Regional Lead School Matrix to share best practice, develop collaboration and increase leadership capacity	MF/SLP	April 2018	March 2019	SIL
11.	Hold briefings and recruitment sessions for potential NPQH candidates	TF	April 2018	September 2018	SIL
12.	Implement the recruitment process for potential NPQH candidates	TF	September 2018	October 2018	SIL
13.	Evaluate NPQH outcomes and support programme	TF	April 2019	April 2019	SIL
<b>Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?</b> Economy – minimising the resources used <ul style="list-style-type: none"> <li>• Ensure professional learning programs and LOLs provide effective and bespoke support to schools</li> <li>• Schools will work together to provide better value for money and enhanced support</li> </ul> Efficiency – relationship between output from services and the resources used to produce them <ul style="list-style-type: none"> <li>• Resources will be developed collaboratively to avoid duplication</li> <li>• All resources and information will be shared via electronic platforms</li> </ul>					

- Effectiveness – relationship between outcomes and impact
  - All work will have clear success criteria and impact monitoring will take place
  - Leadership support provided by regional officer and schools will be monitored closely to ensure effective impact
- Sustainability – including succession planning and professional development and capacity building
  - All work is about building capacity for the future so less finance and support is required
  - All programs are carefully developed to meet current and future needs
  - All programs address the professional standards
  - Individuals will be tracked through the leadership programs to assess impact and build capacity in delivery
- Collaborative advantage – making the most effective use of each other’s combined capacity
  - Collaborative working opportunities will be highlighted and facilitated through all levels of provision
  - Tracking of individuals throughout the leadership program offer will increase improvement capacity
  - Professional learning programs will further develop cluster, cross cluster and school to school working
  - Effective collaboration with other regions
- Added value - Gaining more than the optimum expectation.
  - Professional learning programs will facilitate further school driven support
  - Improved knowledge and skills will be secured in all staff participating in programs, this will support the region to develop leaders for the future
  - Professional learning programs will improve communication by ensuring that every school receives the same messages
  - Future leaders will be identified and supported to fast track. As a result, less schools will have vulnerable leadership.
- Quality -Securing better quality and a focus on improvement
  - Effective QA processes have been developed and will continue to be implemented to monitor the quality of all support to schools

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
<b>Maes</b> Area	Improving Teaching and Learning
<b>Perchennog</b> Plan Owner	Ian Altman
<b>Aelodau'r Tim:</b> Team Members:	Greg Morgan, Dave Barry, Mark Ford, Diane Evans, GCSE Project Leads, Leaders of Learning, Network Leaders of Learning, Stuart Jacob
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ol style="list-style-type: none"> <li>1. Ensure Inspirational leadership has a positive impact on provision and standards</li> <li>2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.</li> <li>3. Ensure strong and inclusive schools that are committed to equity and wellbeing</li> <li>4. Deliver a system of robust assessment, evaluation and accountability</li> <li>5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li> <li>6. Improve communication (mandatory)</li> <li>7. Using digital systems to facilitate the delivery of the work stream (mandatory)</li> </ol>	
<b>Level 2 outcomes to be achieved in your plan</b> 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. Within school variation in the quality of teaching will reduce. 2.3 Shortcomings in teaching are quickly identified and rapid intervention is provided through a regional strategic programme. 2.7 The region collaborates effectively with all regions to establish a high quality professional learning offer for all leaders 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 decreases and judged to be A or B increases. 4.3 All schools have effective and accurate tracking and target setting procedures which secure improved progress for all pupils 4.5 All schools have effective and accurate assessment processes which identify all pupils' strengths and next steps in learning.	

Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code
1.	Analyse and evaluate GCSE outcomes across the region for core and foundation subjects and categorise departments for support.	IA LoL team	September 2018	September 2018	HQP
2.	Liaise with strategic leads from other regions to ensure a consistent and effective approach to supporting departments in secondary sectors and post 16	IA DL	April 2018	March 2019	HQP
3.	Provide all schools with high quality support and challenge through the secondary Leaders of Learning and Network Leaders of Learning as outlined by the Statement of Intent document.	IA LoLs NLoLs	April 2018	March 2019	HQP C&A
4.	Review tracking and monitoring procedures in schools to ensure improved progress for all learners.	IA LoLs NLoLs	September 2018	March 2019	HQP
5.	Identify shortcomings of teaching and learning in schools and provide bespoke and effective support to ensure improved quality of teaching and learning.	LoLs NLoLs	September 2018	March 2019	HQP C&A
6.	Work effectively with ChAds to ensure menu of support is delivered well and improves the quality of teaching and learning in targeted schools	LoLs NLoLs IA AE ChAds	September 2018	March 2019	HQP
7.	Develop the use of the 'Regional Lead School Matrix' to identify lead schools / departments in core subjects to build capacity for school to school work as part of a self-improving school system. Commission schools to develop resources to improve the implementation process.	IA / MDF LoLs NLoLs	April 2018	March 2019	SIS
8.	Head of department networks to consider: <ul style="list-style-type: none"> <li>• identification and sharing good practice for ensuring pupil progress</li> <li>• making use of coaching and mentoring,</li> <li>• training on improving departmental self-evaluations,</li> <li>• improving AFL</li> <li>• PISA skills</li> </ul>	GCSE Project Leads/JN	April 2018	March 2019	HQP

	<ul style="list-style-type: none"> <li>New Curriculum: 12 pedagogical principles/4 CPs</li> <li>Resources available on HWB</li> </ul>				
9.	Provide engagement opportunities for teaching and learning strategies in schools in line with the 12 pedagogical principles outlined in Successful Futures	AE DB IA	April 2018	March 2019	HQP
10.	Develop teaching and learning strategies which are shown to support the wellbeing of learners and help to build confidence and resilience	CM	April 2018	March 2019	HQP
11.	Ensure Network Leaders of Learning provide sufficient professional learning opportunities for all staff to develop the 12 pedagogical principles and the four core purposes listed in Successful Futures E.g. AFL	AE DB IA	April 2018	March 2019	HQP
12.	Utilise Network Leaders of Learning to provide and broker school to school professional learning opportunities for teaching and learning across their cluster and across other clusters	DB NLoLs	April 2018	March 2019	HQP
13.	Develop Network Leaders of Learning as research-engaged professionals who effectively utilise the professional standards to reduce variation in quality of teaching.	DB IA NLoLs	April 2018	March 2019	HQP
14.	Develop action plan for post-16 provision across the region and ensure best practice collaboration on a national level to improve outcomes.	DE	April 2018	August 2019	HQP
15.	Utilise Post-16 LoL to support schools with post-16 provision to ensure good school-to-school collaboration in line with the self-improving system, teaching and learning and tracking/target setting using ALPs data.	DE MDF	April 2018	March 2019	HQP
16.	Utilise KS2 science LoL to ensure high-quality support for provision and outcomes in primary science. All networks to have 'Investigation in Primary Science' project delivered.	DB SJ NLoLs	April 2018	March 2019	HQP
17.	Develop a cross-consortia strategy for developing PISA engagement across sample schools and resource sharing in all secondary schools.	Consortia Leads	April 2018	Nov 2018	HQP
18.	Liaise with PISA headteacher champion to ensure strong engagement with PISA process and preparation, including Welsh Language testing.	IA JP HL	April 2018	Nov 2018	HQP
19.	Support development and delivery of Welsh language provision in line with WG policy regarding establishing one language continuum for all schools in Wales. Resources,	IA NW TT GS	April 2018	March 2019	C&A

	network meetings and bespoke school visits/lesson studies with Welsh LoL team/Lead schools will support the process.				
20.	Provide effective support for teachers and pupils to engage with the Digital Competence Framework and develop digital learning across the curriculum	GM	April 2018	March 2019	HQP
21.	Support schools to identify and use effective assessment procedures and support schools to identify pupils' areas of strength and development needs.	IA, all LoLs	April 2018	April 2019	HQP

### 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
  - Avoid duplication of work in schools and the region
  - Ensure Leaders of Learning provide effective and bespoke support to schools
  - Ensure pioneer schools are using funding effectively and are supporting the wider networks of schools
  - Schools will work together to provide better value for money and enhanced support
- Efficiency – relationship between output from services and the resources used to produce them
  - Resources will be developed collaboratively to avoid duplication
  - All resources will be shared via electronic platforms
  - Sustainable methods will be employed to ensure staff are not a required resource to develop resources but that schools can change and implement themselves
- Effectiveness – relationship between outcomes and impact
  - All work will have clear success criteria and impact monitoring will take place on a quarterly basis
  - Leader of Learning support will be monitored closely to ensure effective impact
  - Link headteachers will monitor impact at whole cluster level
- Sustainability – including succession planning and professional development and capacity building
  - All work is about building capacity for the future so less finance and support is required.
  - All staff are trained to identify activities that will build capacity and secure future and ongoing improvement
- Collaborative advantage – making the most effective use of each other's combined capacity
  - Cluster working will drive collaborative working



- Pioneer school planning must involve the wider networks of schools
- Leaders of Learning will collaborate effectively to increase improvement capacity
- Network Leaders of Learning will further develop cluster, cross cluster and school to school working
- Added value - Gaining more than the optimum expectation.
  - The nature of teaching and learning networks are likely to secure added value due to enhanced collaboration and school driven support
  - Improved knowledge and skills will be secured in Leaders of Learning and Link Headteachers, this will support the region to develop leaders for the future
  - The nature of teaching and learning networks will improve two-way communication throughout the region ensuring that every school receives the same messages
- Quality -Securing better quality and a focus on improvement
  - Effective QA processes have been developed and will continue to be implemented to monitor the quality of all support to schools QA of pioneer work will be consistent and challenging to ensure value for money is provided

Draft Pending Joint Committee Approval

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
<b>Maes</b> Area	Professional learning for teachers and support staff
<b>Perchennog</b> Plan Owner	Ian Altman
<b>Aelodau'r Tim:</b> Team Members:	DA / IA / GM / LOLs / MDF / AE / TF
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ol style="list-style-type: none"> <li>1. Ensure Inspirational leadership has a positive impact on provision and standards</li> <li>2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.</li> <li>3. Ensure strong and inclusive schools that are committed to equity and wellbeing</li> <li>4. Deliver a system of robust assessment, evaluation and accountability</li> <li>5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li> <li>6. Improve communication (mandatory)</li> <li>7. Using digital systems to facilitate the delivery of the work stream (mandatory)</li> </ol>	
<b>Level 2 outcomes to be achieved in your plan</b> <p>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. Within school variation in the quality of teaching will reduce</p> <p>2.2 All teachers will engage in professional research which impacts positively on the provision for pupils.</p> <p>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.</p> <p>2.7 The region collaborates effectively with all regions to establish a high quality professional learning offer for all teachers</p> <p>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</p> <p>3.2 All school adhere to the regulations and guidance outlined in the ALN bill.</p>	

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

3.7 All schools have effective transition processes which support all pupils to progress through their education.

3.8 All support staff development will have access to high quality professional learning and support to improve their practice.

4.3 All schools have effective and accurate tracking and target setting procedures which secure improved progress for all pupils

4.5 All schools have effective and accurate assessment processes which identify all pupils' strengths and next steps in learning.

<b>Camau Gweithredu</b> Actions		<b>Swyddog</b> <b>Cyfrifol</b> Responsible Officer	<b>Cychwyn</b> Start	<b>Cwblhau</b> Completion	<b>Côd cyllid</b> Finance Code
1.	Provide effective support for all teachers to engage with the Professional Teaching Standards and the Digital Professional Learning Framework to identify development opportunities	DB, IA, GM all LoLs	April 2018	April 2019	HQP
2.	Develop and implement a tool to support engagement with PTS and to effectively identify development opportunities	DB, all LoLs	April 2018	April 2019	HQP
3.	Network and secondary Leaders of Learning to provide effective support for teachers to develop and improve their practice	DB, IA all LoLs	April 2018	April 2019	HQP
4.	Network leaders of learning to develop opportunities for teachers to engage in research and use this well to inform and develop practice	DB, IA, All LoLs	April 2018	April 2019	HQP
5.	Provide collaborative school to school based professional learning opportunities, for example, informally through school use of DOLEN and formally through professional learning school studies (ie. MA&T, Post16, Rural deprivation).	MDF	April 2018	April 2019	HQP SIS
6.	Provide suitable support for all teachers to engage with the PLP to record and document their progress	DB, all LoLs	April 2018	October 2019	HQP
7.	Ensure all development opportunities follow are well informed and developed using the representative Boards	AE	April 2018	April 2019	HQP
8.	Engage as four regions and WG to develop an effective professional learning offer for all teachers and leaders across their career.	AE	April 2018	April 2019	HQP
9.	Audit school engagement with ITEs and identify effective practices	TF	September 2018	October 2018	HQP

10.	Leaders of Learning to develop links with ITE to provide support to students in readiness for new curriculum	IA, all LoLs	April 2018	April 2019	HQP
11.	Engage with and support the national developments with ITE and GTP	TF	April 2018	April 2019	HQP
12.	Deliver a common support and professional learning package for all NQTs in the region	TF	September 2018	April 2019	HQP
13.	Implement the mentor programme in clusters to ensure NQTs are effectively supported to develop their practice	TF	September 2018	April 2019	SIL
14.	Ensure all NQT programme follow the national agreed guidance and delivery a consistent approach across all 4 regions. Prepare for change	TF	April 2018	April 2019	SIL
15.	Ensure effective opportunities for all teacher to develop teaching to support the development of the new curriculum are provided regularly across the region	DB, all LoLs, IA	April 2018	April 2019	C&A
<p><b>Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?</b>  How do you plan to provide value for money in your area?</p> <p>Economy – minimising the resources used</p> <ul style="list-style-type: none"> <li>• Avoid duplication of work in schools and the region</li> <li>• Ensure Leaders of Learning provide effective and bespoke support to schools</li> <li>• Schools will work together to provide better value for money and enhanced support</li> </ul> <p>Efficiency – relationship between output from services and the resources used to produce them</p> <ul style="list-style-type: none"> <li>• Resources will be developed collaboratively to avoid duplication</li> <li>• All resources will be shared via electronic platforms</li> <li>• Sustainable methods will be employed to ensure staff are not a required resource to develop resources but that schools can change and implement themselves</li> </ul> <p>Effectiveness – relationship between outcomes and impact</p> <ul style="list-style-type: none"> <li>• All work will have clear success criteria and impact monitoring will take place on a quarterly basis</li> </ul>					

- Leader of Learning support will be monitored closely to ensure effective impact
- Link headteachers will monitor impact at whole cluster level

Sustainability – including succession planning and professional development and capacity building

- All work is about building capacity for the future so less finance and support is required.
- All staff are trained to identify activities that will build capacity and secure future and ongoing improvement

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

- Cluster working will drive collaborative working
- Pioneer school planning must involve the wider networks of schools
- Leaders of Learning will collaborate effectively to increase improvement capacity
- Network Leaders of Learning will further develop cluster, cross cluster and school to school working

Added value - Gaining more than the optimum expectation.

- The nature of teaching and learning networks are likely to secure added value due to enhanced collaboration and school driven support
- Improved knowledge and skills will be secured in Leaders of Learning and Link Headteachers, this will support the region to develop leaders for the future
- The nature of teaching and learning networks will improve two-way communication throughout the region ensuring that every school receives the same messages
- Quality -Securing better quality and a focus on improvement
- Effective QA processes have been developed and will continue to be implemented to monitor the quality of all support to schools QA of pioneer work will be consistent and challenging to ensure value for money is provided

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
<b>Maes</b> Area	A Curriculum for Wales, a Curriculum for Life
<b>Perchennog</b> Plan Owner	Dave Barry
<b>Aelodau'r Tim:</b> Team Members:	Alan Edwards, AOLE, Network LOLs
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ol style="list-style-type: none"> <li>1. Ensure Inspirational leadership has a positive impact on provision and standards</li> <li>2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.</li> <li>3. Ensure strong and inclusive schools that are committed to equity and wellbeing</li> <li>4. Deliver a system of robust assessment, evaluation and accountability</li> <li>5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li> <li>6. Improve communication (mandatory)</li> <li>7. Using digital systems to facilitate the delivery of the work stream (mandatory)</li> </ol>	
<b>Level 2 outcomes to be achieved in your plan</b> <ol style="list-style-type: none"> <li>1.6 All leaders will be well supported and prepared for the implementation of 'A Curriculum for Wales, a curriculum for life'</li> <li>2.1 All teachers will be well supported and prepared for the implementation of 'A Curriculum for Wales, a curriculum for life'</li> <li>2.2 The region collaborates effectively with all regions to establish a high quality professional learning offer for all leaders</li> <li>2.3 The region collaborates well with ITEs to ensure all teachers enter the profession well prepared and supported.</li> <li>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</li> </ol>	

Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid 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	AE DB	November 2016	August 2022	C&A
2.	Ensure curriculum development is timely, effective and consistent through the WG national coherence group	DB	February 2018	April 2019	C&A
3.	Create regional pools of subject experts from Pioneer Schools to assist in Areas of Learning and Experience.	DB	January 2017	April 2019	C&A
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	DB	January 2017	April 2019	C&A
5.	Identify and monitor regional leads to support the facilitation of AoLE development to ensure this is effective and curriculum becomes fit for purpose	DB	January 2017	April 2019	C&A
6.	Create regional networking opportunities (3 per year) for pioneer schools to share and develop thinking and ideas	DB	September 2017	April 2019	C&A
7.	Implement a funding form for all pioneer schools to evaluate and monitor progress to ensure value for money is provided	DB	June 2017	April 2019	C&A
8.	Visit all pioneer schools once per year to monitor effectiveness of their work and increase accountability for funding	DB	November 2017	April 2019	C&A
9.	Provide regional networking opportunities for AoLE staff as and when required	DB	September 2017	April 2019	C&A
10.	Monitor the attendance and contribution of all pioneer schools at national events to ensure value for money is provided	DB	September 2017	April 2019	C&A
11.	Ensure all pioneer schools effectively engage with their wider networks of schools to provide support and updates on curriculum developments, including middle leaders program	DB SLP	September 2017	April 2019	C&A
12.	Regional officers to attend LA headteachers meetings to provide regular updates on curriculum reform	AE DB	January 2018	July 2022	C&A
13.	All schools to be well briefed on the teaching and learning requirements of the new curriculum in accordance with the 12 pedagogies outlined in Successful Futures	DB	September 2017	July 2018	C&A
14.	Implement Teaching and Learning Networks as the key delivery arm of curriculum reform in ERW	AE DB	September 2017	April 2019	C&A

15.	Ensure all Headteachers are effectively briefed about teaching and learning networks	AE DB	September 2017	August 2019	C&A
16.	Recruit a team of high quality Leaders of Learning to support schools well to develop teaching in readiness for curriculum reform	AE IA DB	September 2017	July 2018	C&A
17.	Ensure that Link Heads oversee and quality assure the work of the Network Leaders of Learning to ensure impact is secured	AE IA DB	September 2017	August 2019	C&A
18.	Ensure that all Leader of Learning statements of intent are quality assured and effective support delivery is secured	AE IA DB	September 2017	August 2019	C&A
19.	All Network Leaders of Learning to be provided with up-to-date information on curriculum development and to be the key communication and delivery arm for the region to all schools	DB	September 2017	August 2019	C&A
20.	All Leaders of Learning (Network and Secondary) to provide effective support to schools to prepare them for 'A Curriculum for Wales'	AE IA DB	September 2017	August 2019	C&A
21.	All Network Leaders of Learning statements of intent to include a focus on developing pedagogy for the new curriculum	DB	September 2017	July 2018	C&A
22.	Ensure all Leaders of Learning (network and secondary) are well inducted and provided with continuous training to ensure they provide high quality support for all schools	AE IA DB	September 2017	July 2018	C&A
23.	Ensure Leaders of Learning provide high quality bespoke support to targeted at teachers to improve the quality of teaching and learning	AE IA DB	September 2017	August 2019	C&A
24.	Ensure Leaders of Learning provide effective support to schools in line with Successful Futures and national developments	DB	September 2017	August 2019	C&A
25.	Ensure all Leaders of Learning (network and secondary) support teachers and leaders effectively to use and employ the new professional standards	AE IA DB	September 2018	August 2019	C&A
26.	Ensure Network Leaders of Learning create research groups in each of their clusters to engage teachers in researching the 12 pedagogical principles and relevant areas of curriculum development	AE IA DB	September 2018	August 2019	C&A
27.	Ensure Network Leaders of Learning to have training on effective research methods so that they lead their research communities well and outcomes are reliable and valid. E.g. Critical Collaborative Professional Enquiry (CCPE)	AE IA DB	September 2018	September 2019	C&A
28.	Ensure that all leaders of learning have training on the key principles underpinning the development of the AoLEs and how they may impact on all areas of learning	AE IA DB CM AVJ AL Cur Pi	April 2018	April 2019	C&A



29.	Provide all Leaders of Learning (network and secondary) with a Change Agent qualification so that schools and teachers are effectively supported to plan for and implement change	DB	September 2017	July 2018	C&A
30.	Ensure that Network Leaders of Learning monitor and support the change process in all schools	IA DB	September 2017	April 2019	C&A
31.	Regional officers work effectively with Link Headteachers to ensure that the region provides support for all leaders to plan for and implement the new curriculum	AE IA DB	September 2017	August 2019	C&A
32.	Ensure that teaching and learning networks improve two-way communication throughout the region ensuring that every school receives the same messages	AE IA DB	April 2018	August 2019	C&A
33.	Ensure all Challenge Advisers provide suitable, challenge, support and advice to support all schools to develop and prepare for implementation	AE DB	September 2017	August 2022	C&A
34.	Ensure all Challenge Advisers are trained well to support pioneer schools to innovate and develop the new curriculum	AE DB	September 2017	August 2020	C&A
35.	Provide engagement seminars for teachers and leaders around the new professional standards (teaching and leadership)	DB	September 2018	August 2019	C&A
36.	Develop and implement a tool to support teachers to engage with the professional standards (teaching and leadership)	DB MB	January 2018	June 2018	C&A
37.	Develop and deliver a one-day change management training for all pioneer schools	DB	October 2017	July 2018	C&A
38.	Ensure the regional Successful Futures Hwb page is an effective communication method for all schools to receive the most up-to-date information and developments	DB	April 2017	August 2022	C&A
39.	Provide one-day change management training for all current and future headteachers across the region to support all schools to plan for curriculum change	DB	June 2018	October 2018	C&A
40.	Regional officers to ensure change management process is effective and reviewed on a regular basis and that schools are supported well to prepare for implementation of the new curriculum	AE IA DB	September 2017	August 2022	C&A
41.	Ensure the regional professional learning offer is sufficient to support curriculum planning, development planning and implementing change	AE DB	September 2017	August 2022	C&A
42.	Maintain a regional curriculum reform communications and engagement strategy	AE DB	September 2017	August 2022	C&A
43.	Develop the regional response to the OECD Welsh Schools as Learning Organisations report	AE DB	September 2017	September 2018	C&A

44.	Train regional and school representatives in the development of Welsh Schools as Learning Organisations	AE DB	September 2018	July 2019	C&A
45.	Support middle leaders to develop a research based culture by including a session on developing research based practice.	SLP	April 2018	August 2022	C&A

### 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
  - Avoid duplication of work in schools and the region
  - Ensure Leaders of Learning provide effective and bespoke support to schools
  - Ensure pioneer schools are using funding effectively and are supporting the wider networks of schools
  - Schools will work together to provide better value for money and enhanced support
- Efficiency – relationship between output from services and the resources used to produce them
  - Resources will be developed collaboratively to avoid duplication
  - All resources will be shared via electronic platforms
  - Sustainable methods will be employed to ensure staff are not a required resource to develop resources but that schools can change and implement themselves
- Effectiveness – relationship between outcomes and impact
  - All work will have clear success criteria and impact monitoring will take place on a quarterly basis
  - Leader of Learning support will be monitored closely to ensure effective impact
  - Link headteachers will monitor impact at whole cluster level
- Sustainability – including succession planning and professional development and capacity building
  - All work is about building capacity for the future so less finance and support is required.
  - All staff are trained to identify activities that will build capacity and secure future and ongoing improvement
- Collaborative advantage – making the most effective use of each other's combined capacity
  - Cluster working will drive collaborative working
  - Pioneer school planning must involve the wider networks of schools
  - Leaders of Learning will collaborate effectively to increase improvement capacity
  - Network Leaders of Learning will further develop cluster, cross cluster and school to school working
- Added value - Gaining more than the optimum expectation.
  - The nature of teaching and learning networks are likely to secure added value due to enhanced collaboration and school driven support
  - Improved knowledge and skills will be secured in Leaders of Learning and Link Headteachers, this will support the region to develop leaders for the future

- The nature of teaching and learning networks will improve two-way communication throughout the region ensuring that every school receives the same messages
- Quality -Securing better quality and a focus on improvement
  - Effective QA processes have been developed and will continue to be implemented to monitor the quality of all support to schools QA of pioneer work will be consistent and challenging to ensure value for money is provided

Draft Pending Joint Committee Approval

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
<b>Maes</b> Area	Inclusive Education
<b>Perchennog</b> Plan Owner	Cressy Morgan
<b>Aelodau'r Tim:</b> Team Members:	Cressy Morgan, Sara Walters, SPT, DW
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ol style="list-style-type: none"> <li>1. Ensure Inspirational leadership has a positive impact on provision and standards</li> <li>2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.</li> <li>3. Ensure strong and inclusive schools that are committed to equity and wellbeing</li> <li>4. Deliver a system of robust assessment, evaluation and accountability</li> <li>5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li> <li>6. Improve communication (mandatory)</li> <li>7. Using digital systems to facilitate the delivery of the work stream (mandatory)</li> </ol>	
<b>Level 2 outcomes to be achieved in your plan</b> 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. 3.1 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 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. 3.3 Shortcomings in provision for wellbeing and support are quickly identified and rapid intervention is provided through a regional strategic programme. 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. 3.6 All schools make effective use of PDG which has a positive impact on progress and standards for vulnerable pupils. 3.7 All schools have effective transition processes which support all pupils to progress through their education.	

4.3 All schools have effective and accurate tracking and target setting procedures which secure improved progress for all pupils					
Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code
1.	Identify lead practitioners across the region who can deliver training on ACE Awareness through the medium of Welsh	GS / CM	April 2018	March 2019	EEW
2.	Offer a menu of training opportunities for leaders, teachers and support staff on creating settings and systems which are inclusive and promote the wellbeing of all.	CM	April 2018	March 2019	EEW
3.	SPT ensures timely, appropriate and effective school to school support to swiftly address shortcomings in provision for wellbeing and support.	SPT	April 2018	March 2019	SIS
4.	Ensure that senior leaders from Special Schools have opportunities to deliver training for middle leaders and that course content is appropriate for middle leaders from Special Schools and PRUs	SLP	April 2018	March 2019	SIL
5.	Ensure Special Schools have good representation in the 'Regional Lead School Matrix' in order to provide school to school support across the region.	DW / MDF	April 2018	March 2019	SIS
6.	Provide effective support for teachers and pupils to engage with the relevant strands and elements of the Digital Competence Framework and develop digital learning across the curriculum	GM	April 2018	March 2019	C&A
7.	Create guidance for effective use of PDG with best practice case studies from across the region on DOLEN that represent the range of eFSM school populations - rural/urban high/low eFSM numbers	DW	April 2018	September 2018	SIS
8.	Develop a planning tool for leaders to ensure effective use of PDG and PDGLAC to include an expectation of engagement with research based evidence	DW/MF/CM	April 2018	December 2018	EEW
9.	Engage with other consortia to identify the most effective methods for tracking attainment, achievement and attendance of looked after children	CM	April 2018	July 2018	EEW
10.	Develop pools of expertise in meeting the needs of looked after and formally looked after children through cluster model of working with PDGLAC	CM	April 2018	March 2019	EEW

11.	Set up a network of PDG leads across the region coordinated by regional PDG lead	DW	April 2018	September 2018	EEW
12.	Establish a network of transition officers across the region to share best practice and support	CM	April 2018	March 2019	SIS
13.	All Challenge Adviser training will include an item on Wellbeing and Inclusion	CM	April 2018	March 2019	EEW

### 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

- Avoid duplication of work in special schools, PRUs and the region
- Ensure Leadership and teaching and learning support is effective and bespoke
- Ensure school to school work is monitored effectively and streamlined appropriately
- Schools will work together to provide better value for money and enhanced support
- Network Leaders of learning and secondary leaders of learning to work effectively to deploy the most effective and efficient support to all schools

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

- Resources will be developed collaboratively to avoid duplication
- All resources will be shared via electronic platforms
- Sustainable methods will be employed to ensure staff are not a required resource to develop resources but that schools can change and implement themselves

Effectiveness – relationship between outcomes and impact

- All work will have clear success criteria and impact monitoring will take place on a quarterly basis
- Network Leader of Learning support will be monitored closely to ensure effective impact

Sustainability – including succession planning and professional development and capacity building

- All work is about building capacity for the future so less finance and support is required.
- All staff are trained to identify activities that will build capacity and secure future and ongoing improvement

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

- Cluster working and joint working across special schools and PRUs will drive collaborative working
- School leaders will collaborate effectively to increase improvement capacity
- Network Leaders of Learning will further develop cluster, cross cluster and school to school working

Added value - Gaining more than the optimum expectation.

- Network Leaders of Learning are likely to secure added value due to enhanced collaboration and school driven support
- Improved knowledge and skills will be secured in Leaders , this will support the region to develop leaders for the future

Quality -Securing better quality and a focus on improvement

- Effective QA processes have been developed and will continue to be implemented to monitor the quality of all support to schools QA of pioneer work will be consistent and challenging to ensure value for money is provided

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
<b>Maes</b> Area	Schools Causing Concern
<b>Perchennog</b> Plan Owner	Aneirin Thomas
<b>Aelodau'r Tim:</b> Team Members:	SLT, IA, SP, MF CHAds
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ol style="list-style-type: none"> <li>1. Ensure Inspirational leadership has a positive impact on provision and standards</li> <li>2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.</li> <li>3. Ensure strong and inclusive schools that are committed to equity and wellbeing</li> <li>4. Deliver a system of robust assessment, evaluation and accountability</li> <li>5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li> <li>6. Improve communication (mandatory)</li> <li>7. Using digital systems to facilitate the delivery of the work stream (mandatory)</li> </ol>	
<b>Level 2 outcomes to be achieved in your plan</b> <ol style="list-style-type: none"> <li>1.1 All schools are well led and as a result, the proportion of schools in any statutory category reduces and judged A or B increases</li> <li>1.2 Shortcomings in leadership are quickly identified and rapid intervention is provided through a regional strategic programme.</li> <li>2.3 Shortcomings in teaching are quickly identified and rapid intervention is provided through a regional strategic programme</li> <li>3.3 Shortcomings in provision for wellbeing and support are quickly identified and rapid intervention is provided through a regional strategic programme.</li> <li>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 reduces and A or B increases</li> </ol>	



<b>Camau Gweithredu</b> Actions		<b>Swyddog</b> <b>Cyfrifol</b> Responsible Officer	<b>Cychwyn</b> Start	<b>Cwblhau</b> Completion	<b>Côd cyllid</b> Finance Code
1.	Consult and share SCC proposals with representative Boards.	SLT	April 2018	July 2018	SIL
2.	During summer / autumn 2018, all schools will be accurately and objectively categorised by the region and high quality support brokered to meet the improvement needs of the school.	AT	September 2018	December 2018	SIS
3.	Early meetings will be held with school improvement and schools in autumn 2018 so that all stakeholders will be introduced to the new SCC escalation procedures	AT	May 2018	September 2018	SIS
4.	SLT meet to identify new membership of groups within the new SCC protocol system.	SLT	May 2018	September 2018	SIL
5.	Schools Performance Team (SPT) agree on fortnightly dates as of September. Current Schools Causing Concern to be reviewed by the team and support coordinated regionally. Decision whether to escalate made in first two meetings.	Ceirios	May 2018	October 2018	SIL, HQP
6.	Fortnightly meetings of the SCCPT carried out in accordance with SCC protocol. These meeting will include updates from Challenge Advisers on support and progress as well as decisions regarding escalation procedures. Also identify any areas in provision and Leadership that require specific support.	AT	May 2018	July 2019	SIL
7.	Challenge Adviser Support visits ensure that early identification of shortcomings in leadership are swiftly addressed by support for Senior Leadership Team	AT	April 2018	April 2019	SIL
8.	Through SPT ChAds to signpost middle leaders requiring support to middle leaders course	SPT	April 2018	April 2019	SIL
9.	Partnership Board to be implemented every half term as of September 2018.	MD	October 2018	July 2018	SIL
10.	During CSV 2 and CSV 3 Challenge Advisers identify key weaknesses in the quality of teaching and learning and broker support to secure improvement. This information will be effectively used to broker support from Secondary, Network Leaders and	AT / SP / IA	April 2018	April 2018	HQP

	Subject specialist to provide effective and bespoke support to secured improved quality of teaching and learning.				
11.	Effective school leaders (senior and middle level) are identified through ChAd visits, school outcomes and LA feedback to develop a ' <i>regional lead school</i> ' matrix to contribute to school to school support programme.	MF	April 2018	April 2018	SIL

#### 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 - Utilising current and new online systems to report and collate all relevant information.
- Efficiency – relationship between output from services and the resources used to produce them – minimising request for data and intelligence by further developing our online repository of school intelligence.
- Effectiveness – relationship between outcomes and impact – all strategies and modes of delivery will be carefully reviewed.
- Sustainability – including succession planning and professional development and capacity building - all systems carefully developed to meet current and future needs. Professional Development for all School Improvement staff delivered on a timely basis.
- Collaborative advantage – making the most effective use of each other's combined capacity - Working to further promote a self-improving system by encouraging school to school support.
- Added value - Gaining more than the optimum expectation. – Clear identification of current intelligence and effective brokering of bespoke support to develop pupil outcomes in schools.
- Quality -Securing better quality and a focus on improvement – our programme of school visits is focused on school improvement and appropriate support.

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19					
Maes Area			Resource management		
Perchennog Plan Owner			Katie Morgan		
Aelodau’r Tim: Team Members:			Finance Team, 151, BOC		
Cynllun Gweithredu 2018-19 Operational Plan 2018-19					
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <div><div>1. Deliver a system of robust assessment, evaluation and accountability</div><div>2. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</div><div>3. Improve communication (mandatory)</div><div>4. Using digital systems to facilitate the delivery of the work stream (mandatory)</div></div>					
Level 2 outcomes to be achieved in your plan					
Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code
1.	Secure full compliance with Regional Consortia School Improvement Grant – quarterly reporting dates	KM / JH / BOC	April 2018	March 2019	Core
2.	Secure full compliance with Pupil Deprivation Grant.	KM / JH /BOC	April 2018	March 2019	EEW
3.	Evaluate all grant allocations to schools as part of VFM review – June 2018	Project Manager	June 2018	March 2019	EEW
4.	Internal audit performance and financial compliance review undertaken – Jan – March 2019	BOC / KM	Jan 2019	March 2019	Core

5.	Implement single delegation formula to schools. April 2018	BOC / Review and Reform team	April 2018	March 2019	Core
6.	Assist External Audit in their enquiries – Work to be undertaken June 2018	KM / IE	June 2018	March 2019	Core
7.	Continue use of VFM framework as part of business planning arrangements – quarterly	KM / BOC	April 2018	March 2019	Core
8.	Continue to provide regular budget updates to JC	JH / KM / BOC	June 2018	March 2019	Core
9.	Research based approach developed to evaluate and QA selected regional programme delivery ensuring value for money.	MF	June 2018	July 2019	Core
10.	To ensure that all grant income and expenditure is effectively monitored on a monthly basis and actions taken to correct any miscoding	KM in conjunction with Budget Holder / Project Manager	April 2018	March 2019	Core
11.	To ensure all invoices are paid twice weekly and coded against the correct budget code.	KM / HF / EP	April 2018	March 2019	Core
12.	To ensure that all cluster spending is monitored to ensure effective use of Welsh Government funding	KM / AE / BOC	April 2018	March 2019	HQP
13.	Financial guidance document to be updated with current information on grants, grant claims, audit expectations, PCC financial regulations and templates so that the region is complying with Welsh Government regulations and that all ERW staff are aware of these regulations	KM	June 2018	March 2019	Core
14.	To ensure Accountant meets regularly with Managing Director and SLT to discuss budget expenditure and to highlight any areas of concern in the budget	KM / SLT	April 2018	March 2019	Core
15.	To ensure that each grant claim is submitted on time and is within the terms and conditions of the grant to Welsh Government	KM / JH / BOC	April 2018	March 2019	Core
16.		Budget Holder / Project	April 2018	March 2019	Core

	To ensure that monitoring / progress reports for each grant claimed is written and submitted to Welsh Government on time and that it is written within the terms and conditions of the grant.	Manager & KM			
17.	Liaise with HR regularly on keeping an up to date record of staffing and costings.	KM / JA	April 2018	March 2019	Core
<b>Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?</b> How do you plan to provide value for money in your area? <ul style="list-style-type: none"> <li>• Economy – minimising the resources used</li> <li>• Efficiency – relationship between output from services and the resources used to produce them</li> <li>• Effectiveness – relationship between outcomes and impact</li> <li>• Sustainability – including succession planning and professional development and capacity building</li> <li>• Collaborative advantage – making the most effective use of each other's combined capacity</li> <li>• Added value - Gaining more than the optimum expectation.</li> <li>• Quality -Securing better quality and a focus on improvement</li> </ul>					

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
<b>Maes</b> Area:	Human Resources
<b>Perchennog</b> Plan Owner :	Julia Allen
<b>Aelodau'r Tim:</b> Team Members:	HR Team
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ol style="list-style-type: none"> <li>1. Deliver a system of robust assessment, evaluation and accountability</li> <li>2. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li> <li>3. Improve communication (mandatory)</li> <li>4. Using digital systems to facilitate the delivery of the work stream (mandatory)</li> </ol>	
<b>Level 2 outcomes to be achieved in your plan</b> <ol style="list-style-type: none"> <li>1.1 The region's Governance arrangements are effective, respected and transparent</li> <li>1.2 The value for money framework is core to all of The region's strategic planning.</li> <li>1.3 All internal and external audit reports will highlight strengths in financial management. Shortcomings are rapidly addressed</li> <li>1.4 The region has effective risk management that leads to early and effective intervention to mitigate identified risks.</li> <li>1.5 The region has highly effective performance management processes to support all members of staff to secure a highly effective organisation</li> <li>1.6 The region has effective, robust and equitable HR processes in place</li> <li>1.7 The region has effective systems that promote agile working and secure efficient use of time and avoid duplication</li> <li>1.8 The region has a continuous, robust and accurate evaluation of all of its strategies and their implementation.</li> <li>1.9 The region communicates well with all of its stakeholders</li> <li>1.10 The region adheres to health and safety regulations and ensures all staff are provided with a healthy and safe working environment.</li> <li>1.11 The region makes intelligent use of data, research and evaluation to inform its work and deliver effective school improvement.</li> </ol>	

Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code
1.	Review the balance of permanent, seconded and short term employed staff. Followed by full report to JC by June 2018	BOC	April 2018	June 2018	CP
2.	Undertake full review of, and Report all risks on workforce and workplace related risks to JC by June 2018.	BOC	May 2018	June 2018	CP
3.	Ensure all employment related contracts and paperwork are completed within deadline and reported to Ops on a weekly basis	JA	April 2018	March 2019	Core
4.	Develop recruitment pack for region May 2018.	JA	April 2018	May 2018	Core
5.	Ensure that effective systems are in place that will support agile working		April 2018	April 2019	CP
6.	Ensure all work places (including home) are risk assessed and meet health and safety requirements to ensure staff are provided with a safe working environment	JA	April 2018	April 2019	CP
7.	Ensure performance management processes are completed to manage support all members of staff and to improve the quality of work for the region	JA	April 2018	April 2019	Core
5.	Ensure HR policies are current and relevant to advise all members of staff accordingly	JA	April 2018	April 2019	Core
6.	Ensure ERW has in place effective HR and Payroll procedures	BOC	April 2018	April 2019	Core
7.	Ensure cluster working is administered efficiently and that appropriate systems are developed to monitor progress	JA	April 2018	April 2019	Core
8.	Ensure that effective and efficient recruitment processes are in place	JA	April 2018	April 2019	Core
9.	Ensure that training is available for all staff in order to develop their CPD	JA	April 2018	April 2019	Core
10.	ERW Officers to deliver on middle leadership training where appropriate	SLP	April 2018	April 2019	SIL
<b>Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?</b> How do you plan to provide value for money in your area?					

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19				
<b>Maes</b> Area		Research and Evaluation		
<b>Perchennog</b> Plan Owner		Mark Ford		
<b>Aelodau'r Tim:</b> Team Members:		DB / SLP / IA / SJ		
Cynllun Gweithredu 2018-19 Operational Plan 2018-19				
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ol style="list-style-type: none"> <li>1. Ensure Inspirational leadership has a positive impact on provision and standards</li> <li>2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.</li> <li>3. Ensure strong and inclusive schools that are committed to equity and wellbeing</li> <li>4. Deliver a system of robust assessment, evaluation and accountability</li> <li>5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li> <li>6. Improve communication (mandatory)</li> <li>7. Using digital systems to facilitate the delivery of the work stream (mandatory)</li> </ol>				
<b>Level 2 outcomes to be achieved in your plan</b> 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 reduces and judged to be a or increases  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  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.				
<b>Camau Gweithredu</b> Actions		<b>Swyddog</b> <b>Cyfrifol</b>	<b>Cychwyn</b> Start	<b>Cwblhau</b> Completion
				<b>Côd cyllid</b> Finance Code



		Responsible Officer			
1.	<p>Develop and communicate a regional understanding of the effective leadership of a research-informed / engaged profession.</p> <ul style="list-style-type: none"> <li>Attend meetings of pan-regional think-tank</li> <li>Develop regional model that aligns to national drive to develop schools as learning organisations.</li> <li>Strategy communicated and supported through NLoL.</li> </ul>	MF MF/DB/AE SJ	April 2018 June 2018 October 2018	September 2018 July 2019	SIS
2.	<p>School leaders receive training on leading a research informed school that works as an effective learning organisation.</p> <ul style="list-style-type: none"> <li>Train regional and school representatives – regional events</li> <li>Middle leader programme incorporates training.</li> <li>Training programme built into Leadership Menu of Support</li> </ul>	DB/AE SLP AE	September 2018 September 2018 October 2018	July 2019 July 2019 July 2019	SIS
3.	School to school collaboration strategies support school leaders in developing learning organisations.	MF	October 2018	July 2019	SIS
4.	Challenge Advisers support schools effectively to develop as learning organisations	DB, AE, AT	April 2018	April 2019	SIL
5.	Network leaders of learning provide training and support for schools to engage with the SLO tool and to develop effective practice as a result	AE, DB, IA	April 2018	April 2019	HQP
6.	Review all leadership programmes to include the option of being able to engage in professional research and gain accreditation if appropriate, eg. Middle Leaders, Network Leaders of Learning etc.	SLP	June 2018	September 2018	SIS
7.	Provide suitable professional learning for the OECD self-evaluation tool that supports leaders in evaluating and developing their school as a learning organisation.	DB / AE	September 2018	October 2018	SIS

8.	Planning / Evaluation tool developed to support school leaders in implementing research-informed strategies.	MF / DB	June 2018	September 2018	SIS
9.	Research based approach developed to evaluate and QA selected regional programme delivery.	MF (AT)	June 2018	July 2019	SIS
10.	Conduct a regional study to identify strategies for tackling rural and urban deprivation.	MF / JN	April 2018	June 2019	SIS
11.	All leaders of learning to be effectively trained in research methods	MF	April 2018	June 2018	SIS
12.	Ensure Leaders of learning provide effective support to develop enquiry based teaching and enquiry based learning in schools	DB,MF	April 2018	April 2019	SIL

#### **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 - . Utilising current and developing school to school approaches and systems to collate, monitor and resource and relevant information
- Efficiency – relationship between output from services and the resources used to produce them – Outset resources will be developed in a replicable and sustainable way where possible so that they can be utilised multiple times. Intelligent identification of collaboration to ensure schools used and time allocated aligned to high expectations at outset.
- Effectiveness – relationship between outcomes and impact – all strategies and partnerships will be evaluated against expectations/success criteria.
- Sustainability – including succession planning and professional development and capacity building - research-based approach taken that will secure success factors that ensure effective and sustainable school to school working. Capacity of schools to work in partnership increases as systems refined further.
- Collaborative advantage – making the most effective use of each other's combined capacity - Working to further promote a self-improving system by encouraging use of existing regional networks and school to school approaches . Research based approach identifies effective working that maximises synergy and this can be shared across the system.
- Added value - Gaining more than the optimum expectation. – supporting, extending and refining school as research informed learning organisations will focus development on strategies that work. Regional networks will ensure that 'strategies' are shared, capitalised on and spread across the system.
- Quality -Securing better quality and a focus on improvement – systems and 'resources' reviewed, evaluated and developed as appropriate to ensure maximum impact relative to resource utilisation.

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
<b>Maes</b> Area	Support and Challenge
<b>Perchennog</b> Plan Owner	Yan James
<b>Aelodau'r Tim:</b> Team Members:	SPT / Challenge Advisers
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ol style="list-style-type: none"> <li>1. Ensure Inspirational leadership has a positive impact on provision and standards</li> <li>2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.</li> <li>3. Ensure strong and inclusive schools that are committed to equity and wellbeing</li> <li>4. Deliver a system of robust assessment, evaluation and accountability</li> <li>5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li> <li>6. Improve communication (mandatory)</li> <li>7. Using digital systems to facilitate the delivery of the work stream (mandatory)</li> </ol>	
<b>Level 2 outcomes to be achieved in your plan</b> <ol style="list-style-type: none"> <li>1.1 All schools are well led and as a result, the proportion of schools in any statutory category reduces and judged to be A or B increases</li> <li>1.2 Future leaders are identified and targeted professional learning results in expressed routes to leadership at all levels.</li> <li>1.3 Shortcomings in leadership are quickly identified and rapid intervention is provided through a regional strategic programme.</li> <li>1.7 All schools provide value for money for their pupils.</li> <li>1.8 Local Authorities, the region and schools work collaboratively support the 21st century schools' agenda.</li> <li>2.3 Shortcomings in teaching are quickly identified and rapid intervention is provided through a regional strategic programme.</li> <li>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 decreases</li> <li>3.2 All school adhere to the regulations and guidance outlined in the ALN bill.</li> <li>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.</li> </ol>	

<p>3.7 All schools have effective transition processes which support all pupils to progress through their education.</p> <p>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 reduces and judged to be A or B increases</p> <p>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.</p> <p>4.3 All schools have effective and accurate tracking and target setting procedures which secure improved progress for all pupils</p> <p>4.5 All schools have effective and accurate assessment processes which identify all pupils' strengths and next steps in learning.</p>					
<b>Camau Gweithredu</b> Actions		<b>Swyddog Cyfrifol</b> Responsible Officer	<b>Cychwyn</b> Start	<b>Cwblhau</b> Completion	<b>Côd cyllid</b> Finance Code
1.	High quality training will be provided to all Challenge Advisers and support Officers in the summer term. This will be based on clear understanding of national guidance. This will include curriculum reform and wellbeing and inclusion.	YJ	June 2018	April 2019	EIG
2.	During autumn 2018, all schools will be accurately and objectively categorised in by the region and high quality support brokered to meet the improvement needs of the school	AT	September 2018	December 2018	RSG
3.	All secondary core departments categorised and intelligence shared with SPT	IA	October 2018	November 2018	HQP
4.	Early identification of support will be disseminated effectively to all stakeholders so that support can be delivered early in the Autumn term. There will be clear focus on linking schools to deliver improvement strategies. The fortnightly meeting of the SPT will collate and process this information.	AP	September 2018	December 2018	HQP
5.	The School Causing Concern Protocol is accurately and consistently implemented across the region. Fortnightly meetings will be triggered in the summer term.	AT	April 2018	April 2019	RSG
6.	Thorough knowledge of schools and the staff involved in journeys of improvement identify potential future leaders; opportunities are created for aspiring school leaders to access appropriate professional development – middle and senior leader courses; aspiring SLT secondee programme. This information to be collated by the SP.	SP	April 2018	April 2019	SIL

7.	Challenge Advisers work monitored by robust and consistent quality assurance procedures at LA level and centrally. Feedback and concerns addressed.	YJ	April 2018	April 2019	RSG
8.	Robust accountability procedures implemented to ensure that money distributed to the schools impacts positively on improved outcomes for pupils	KE	April 2018	April 2019	Core
9.	Effective use of the Headteacher Representative Board ensures that current, relevant and accurate information is disseminated to support effective school leadership; ChAd Support Visits flag up concerns so that support is put in place prior to categorisation	BOC	April 2018	April 2019	
10.	CSV2 will include a clear focus on departmental reviews in secondary schools. AE and IA to develop an appropriate program for visits.	AT/AE	January 2019	July 2019	RSG
11.	New Aspiring Middle Leaders Program implemented	SP	April 2018	April 2019	SIL
12.	Seconded Senior Leaders Program implemented.	SP	April 2018	April 2019	SIL

#### **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 - Utilising current and new online systems to report and collate all relevant information.
- Efficiency – relationship between output from services and the resources used to produce them – minimising request for data and intelligence by further developing our online repository of school intelligence.
- Effectiveness – relationship between outcomes and impact – all strategies and modes of delivery will be carefully reviewed .
- Sustainability – including succession planning and professional development and capacity building - all systems carefully developed to meet current and future needs. Professional Development for all School Improvement staff delivered on a timely basis.
- Collaborative advantage – making the most effective use of each other’s combined capacity - Working to further promote a self-improving systems by encouraging school to school support.
- Added value - Gaining more than the optimum expectation. – Clear identification of current intelligence and effective brokering of bespoke support to develop pupil outcomes in schools.
- Quality -Securing better quality and a focus on improvement – our programme of school visits is focused on school improvement and appropriate support.

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
<b>Maes</b> Area	Support and Challenge
<b>Perchennog</b> Plan Owner	Yan James
<b>Aelodau'r Tim:</b> Team Members:	SPT / Challenge Advisers
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ul style="list-style-type: none"> <li>8. Ensure Inspirational leadership has a positive impact on provision and standards</li> <li>9. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.</li> <li>10. Ensure strong and inclusive schools that are committed to equity and wellbeing</li> <li>11. Deliver a system of robust assessment, evaluation and accountability</li> <li>12. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li> <li>13. Improve communication (mandatory)</li> <li>14. Using digital systems to facilitate the delivery of the work stream (mandatory)</li> </ul>	
<b>Level 2 outcomes to be achieved in your plan</b> <ul style="list-style-type: none"> <li>1.1 All schools are well led and as a result, the proportion of schools in any statutory category reduces and judged to be A or B increases</li> <li>1.2 Future leaders are identified and targeted professional learning results in expressed routes to leadership at all levels.</li> <li>1.3 Shortcomings in leadership are quickly identified and rapid intervention is provided through a regional strategic programme.</li> <li>1.7 All schools provide value for money for their pupils.</li> <li>1.8 Local Authorities, the region and schools work collaboratively support the 21st century schools' agenda.</li> <li>2.3 Shortcomings in teaching are quickly identified and rapid intervention is provided through a regional strategic programme.</li> <li>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 decreases</li> <li>3.2 All school adhere to the regulations and guidance outlined in the ALN bill.</li> <li>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.</li> </ul>	

<p>3.7 All schools have effective transition processes which support all pupils to progress through their education.</p> <p>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 reduces and judged to be A or B increases</p> <p>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.</p> <p>4.3 All schools have effective and accurate tracking and target setting procedures which secure improved progress for all pupils</p> <p>4.5 All schools have effective and accurate assessment processes which identify all pupils' strengths and next steps in learning.</p>					
Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code
13.	High quality training will be provided to all Challenge Advisers and support Officers in the summer term. This will be based on clear understanding of national guidance. This will include curriculum reform and wellbeing and inclusion.	YJ	June 2018	April 2019	EIG
14.	During autumn 2018, all schools will be accurately and objectively categorised in by the region and high quality support brokered to meet the improvement needs of the school	AT	September 2018	December 2018	RSG
15.	All secondary core departments categorised and intelligence shared with SPT	IA	October 2018	November 2018	HQP
16.	Early identification of support will be disseminated effectively to all stakeholders so that support can be delivered early in the Autumn term. There will be clear focus on linking schools to deliver improvement strategies. The fortnightly meeting of the SPT will collate and process this information.	AP	September 2018	December 2018	HQP
17.	The School Causing Concern Protocol is accurately and consistently implemented across the region. Fortnightly meetings will be triggered in the summer term.	AT	April 2018	April 2019	RSG
18.	Thorough knowledge of schools and the staff involved in journeys of improvement identify potential future leaders; opportunities are created for aspiring school leaders to access appropriate professional development – middle and senior leader courses; aspiring SLT secondee programme. This information to be collated by the SP.	SP	April 2018	April 2019	SIL

19.	Challenge Advisers work monitored by robust and consistent quality assurance procedures at LA level and centrally. Feedback and concerns addressed.	YJ	April 2018	April 2019	RSG
20.	Robust accountability procedures implemented to ensure that money distributed to the schools impacts positively on improved outcomes for pupils	KE	April 2018	April 2019	Core
21.	Effective use of the Headteacher Representative Board ensures that current, relevant and accurate information is disseminated to support effective school leadership; ChAd Support Visits flag up concerns so that support is put in place prior to categorisation	BOC	April 2018	April 2019	
22.	CSV2 will include a clear focus on departmental reviews in secondary schools. AE and IA to develop an appropriate program for visits.	AT/AE	January 2019	July 2019	RSG
23.	New Aspiring Middle Leaders Program implemented	SP	April 2018	April 2019	SIL
24.	Seconded Senior Leaders Program implemented.	SP	April 2018	April 2019	SIL

#### 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 - Utilising current and new online systems to report and collate all relevant information.
- Efficiency – relationship between output from services and the resources used to produce them – minimising request for data and intelligence by further developing our online repository of school intelligence.
- Effectiveness – relationship between outcomes and impact – all strategies and modes of delivery will be carefully reviewed .
- Sustainability – including succession planning and professional development and capacity building - all systems carefully developed to meet current and future needs. Professional Development for all School Improvement staff delivered on a timely basis.
- Collaborative advantage – making the most effective use of each other’s combined capacity - Working to further promote a self-improving systems by encouraging school to school support.
- Added value - Gaining more than the optimum expectation. – Clear identification of current intelligence and effective brokering of bespoke support to develop pupil outcomes in schools.
- Quality -Securing better quality and a focus on improvement – our programme of school visits is focused on school improvement and appropriate support.



TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19				
Maes Area		LA Request Plan		
Perchennog Plan Owner		Betsan O’Connor		
Aelodau’r Tim: Team Members:		ERW MD, LA Directors of Education		
Cynllun Gweithredu 2018-19 Operational Plan 2018-19				
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <ul style="list-style-type: none"><li>1. Ensure Inspirational leadership has a positive impact on provision and standards</li><li>2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.</li><li>3. Ensure strong and inclusive schools that are committed to equity and wellbeing</li><li>4. Deliver a system of robust assessment, evaluation and accountability</li><li>5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)</li><li>6. Improve communication (mandatory)</li><li>7. Using digital systems to facilitate the delivery of the work stream (mandatory)</li></ul>				
<b>Level 2 outcomes to be achieved in your plan</b> 1.7 All schools provide value for money for their pupils. 1.8 Local Authorities, the region and schools work collaboratively support the 21st century schools’ agenda. 3.2 All school adhere to the regulations and guidance outlined in the ALN bill. 3.6 All schools make effective use of PDG which has a positive impact on progress and standards for vulnerable pupils. 3.7 All schools have effective transition processes which support all pupils to progress through their education.				
Camau Gweithredu Actions	Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code

1.	Local Authorities to notify ERW Research and Evaluation Officer of upcoming inspections for schools	Directors of Education	Within 24 hours of the Authority receiving notice from Estyn		SIS
2.	Local Authorities to notify ERW Research and Evaluation Officer of changes in schools' Estyn status	Directors of Education			SIS
3.	Local Authorities to provide up to date contact details for all existing schools to ERW Systems Officer and ERW Communications Officer	Directors of Education / other relevant officers	April 2018	March 2019	SIS
4.	Local Authorities to provide up to date information on school closures, amalgamations, openings, or other organisational changes	Directors of Education / other relevant officers	April 2018	March 2019	SIS
5.	Local Authorities to provide up to date information on EOTAS pupils, Exclusion Rates, and similar pupil/school information.	Directors of Education / other relevant officers	April 2018	March 2019	EEW
6.	Local Authorities to inform ERW of long term changes to leadership staffing in schools within 3 working days of those changes	Directors of Education / other relevant officers	April 2018	March 2019	

### **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 – By ensuring clear lines of communication between ERW and its stakeholder Authorities, there will be more opportunities to minimise duplication wherever possible.
- Efficiency – By securing a strong relationship with the Local Authorities as statutorily responsible parties, ERW can carry out a joined-up approach to school improvement.
- Effectiveness – Using the information provided by Local Authorities, ERW as a service can make decisions from a more informed position and secure higher levels of effectiveness.
- Sustainability – by obtaining critical information in a timely manner, ERW can better formulate sustainable approaches to school improvement.
- Collaborative advantage – the sharing of various information noted in the above actions, combined with ERW Central Team's intelligence can give us a more complete picture of schools in the region
- Added value – Data shared with ERW as a result of the above can form the basis for future research that will in turn inform future strategies.

# Local Authority Level 3 Plans

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19						
<b>Adurdod Lleol</b> Local Authority   Carmarthenshire						
<b>Perchennog</b> Plan Owner        Andi Morgan / Elin Forsyth						
<b>Aelodau'r Tim:</b> Team Members:						
Cynllun Gweithredu 2018-19 Operational Plan 2018-19						
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <b>8. To develop a high-quality education profession</b> <b>9. To develop inspirational leaders and to facilitate them working collaboratively to raise standards.</b> <b>10.To develop strong and inclusive schools that are committed to excellence and wellbeing.</b> <b>11.To develop robust assessment, evaluation and accountability processes that support a self-improving system</b>						
<b>Camau Gweithredu</b> Actions			<b>Swyddog Cyfrifol</b> Responsible Officer	<b>Cychwyn</b> Start	<b>Cwblhau</b> Completion	<b>Cost a Ffynhonnell</b> Cost and source
14.	Priority 1,2,3,4 Delegated funding, devolved directly to schools to focus on the National Mission. Monitor progress through the school improvement team in line with the ERW strategy ensuring that all schools are held effectively to account. We will support schools, in tandem with ERW (Education through Regional Learning), to further improve outcomes		Andi Morgan Elin Forsyth	April 2018	April 2019 Ongoing	£6,258,122

	for all pupils outcomes at the end of the Foundation Phase, Key Stage 2, Key Stage 3 and Key Stage 4 but with a particular emphasis on raising the achievements of pupils entitled to free school meals and looked after children.				
<b>Delegated Funding - Targeted</b>					
15.	Priority 1, 2 In line with the ambition for Cymraeg 2050 schools will be supported to build capacity amongst the staff, implementing the content of the Carmarthenshire WESP in partnership with school leaders for the benefit of all Carmarthenshire learners.	Aeron Rees	April 2018	April 2019 Ongoing	£526,162
16.	Priority 1, 3 We will provide bespoke support to pupils and schools to ensure fully inclusive environments in relation to learning needs, wellbeing and behaviour. We will build capacity amongst staff to ensure improved attitudes to learning and progress.	Angela Davies	April 2018	April 2019 Ongoing	£160,000
17.	Priority 4, We will continue to support, challenge and improve the quality of leadership and its impact on improving provision and outcomes in collaboration with senior school leaders e.g. provision of Leadership Seminars and Networks.	Andi Morgan Elin Forsyth	April 2018	April 2019 Ongoing	£14,000
18.	Priority 1,2,3,4 We will support schools to improve learning, teaching and assessment in the foundation phase through school to school collaboration, officer support and the Foundation Phase CHATT programme.	Elin Forsyth Rose Jones	April 2018	April 2019 Ongoing	£50,000
19.	Priority 1, 2, 3 We will support leaders to further develop their wellbeing provision through working with partner organisations such as Arad Goch.	Mari Owen	April 2018	April 2018	£10,000

Local Authority Staff recharges					
20.	<p>Priorities 1,4</p> <p>We will provide effective managerial and administrative support to schools and local authority officers to ensure the effective use of the RSIG as well as compliance with the funding body's terms and conditions and audit requirements.</p>	Nia Thomas	April 2018	April 2019 Ongoing	£58,511
21.	<p>Priorities 1,2,3,4</p> <p>We will continue to provide a dedicated Foundation Phase Training &amp; Support Officer focused on the delivery of the Foundation Phase and to work with the School Improvement Service to support schools in further developing the Foundation Phase.</p>	Elin Forsyth	April 2018	April 2019 Ongoing	£56,000
22.	<p>Priorities 1,2,3,4</p> <p>We will continue to improve the quality of Early Years Provision in non-maintained settings by ensuring qualified teacher input into approved Early Years Education Settings. .</p>	Angharad Jones Heini Jones	April 2018	April 2019 Ongoing	£180,000
23.	<p>Priorities 1,2,3,4</p> <p>In line with the ERW regional strategy we will support schools to further develop their professional capacity through a bespoke range of professional development opportunities. In addition, our challenge advisers and associate challenge advisers will support schools with their self-evaluation strategies, holding schools purposefully to account for the standards of provision and outcomes</p>	Elin Forsyth	April 2018	April 2019 Ongoing	£335,000

	achieved. Focussed collaboration between schools will be encouraged, sharing best practice and ensuring inclusive learning environments that leads to progress for all learners.				
24.	Priorities 1,2,3,4 Schools will receive access to support from the Advisory Teachers for ASD, SLCN and SpLD in order to support individual pupils and groups with identified Additional Learning Needs. The support package will focus on upskilling schools to overcome identified barriers to learning and support pupils progress and attainment.	Rebecca Williams Elinor Williams	April 2018	April 2019 Ongoing	£95,000
25.	<b>Priorities 1, 3</b> <b>Provide effective professional development opportunities to ensure improved learning opportunities and outcomes for looked after children at Key Stage 2, 3 and 4</b>	Bethan James	April 2018	April 2019 Ongoing	£40,000
26.	<b>Priorities 1,2,3</b> Provide coaching for schools to ensure a Person Centred Approach developing and reviewing a child-centred, personalised plan to overcome identified barriers to learning or accelerating progress in an identified area of under attainment. Schools will also be supported to develop their skills and build capacity in teaching and learning to meet the needs of all pupils including those with low incidence, highly complex needs.	Rebecca Williams Elinor Williams	April 2018	April 2019 Ongoing	£18,733
				Total	£7,801,528



TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19			
Adurdod Lleol Local Authority		Ceredigion	
Perchennog Plan Owner		Mary Davies	
Aelodau’r Tim:Team Members:		Mary Davies, Silyn Roberts, Elen Davies, Dafydd Iolo Davies, Mair Potter, Clive Williams, Christine Williams, Gillian Evans, Vanessa Bowen, Bethan Mair Jones, Ruth Lewis, Hilary McConnell, Carole Price, Menna Jones, Kay Morris, Liwsi Harries, Rhian Rees, Geraint Evans ,	
Cynllun Gweithredu 2018-19 Operational Plan 2018-19			
Gweithred Cynllun Busnes Lefel 1: Level 1 Business Plan Objective:			
12. To develop a high-quality education profession			
13. To develop inspirational leaders and to facilitate them working collaboratively to raise standards.			
14. To develop strong and inclusive schools that are committed to excellence and wellbeing.			
15. To develop robust assessment, evaluation and accountability processes that support a self-improving system			
EIG Ceredigion			
Match needed for EIG 2018-19	290,326		
Total Grant Funding	(2,511,393)		
EIG Grant	2,801,719		
Delegation to schools element			
Actual delegation to school	2,576,278	92%	
£225,441 Central EIG			

Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Cost a Ffynhonnell Cost and source
27.	Priority 2, 3, 4 Ensuring that schools noted as “C” (or amber) for leadership /teaching and learning in the categorisation system receive menus of support that are thorough and lead to rapid improvements.	Mary Davies	April 2018	March 2019	
28.	Priority 2, 4 Ensure Penglais Improvement Board is strong and making rapid improvements.	Mary Davies	April 2018	March 2019	
29.	Priority 2, 4 Ensure Pendweddig Improvement Board is strong and making rapid improvements.	Mary Davies	April 2018	March 2019	
30.	Priority 1, 2, 3 Sicrhau eglurder pawb o'u rôl a'u gweithredoedd wrth i'r CySGA newydd ddod i rym Chwefror 2018	Silyn Roberts	April 2018	March 2019	
31.	Priority 2, 3, 4 Ensure a rise in English L2 standards, particularly boys	Mary Davies	April 2018	March 2019	
32.	Priority 1, 3, 4 Ensure consistent information for schools on the Curriculum for Wales	Mary Davies	April 2018	March 2019	
33.	Priority 2, 3, 4 Raise KS2 Standards	Mary Davies	April 2018	March 2019	
34.	Priority 1, 4 Ensure clear lines of responsibility and accountability in the period of Review and Reform in ERW.	Mary Davies	April 2018	March 2019	
					£225,441 Central EIG

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19					
Adurdod Lleol Local Authority			NPT		
Perchennog Plan Owner			Aled Evans		
Aelodau’r Tim: Team Members:			Chris Millis, Andrew Thomas, Mike Daley, Hayley Lervy		
Cynllun Gweithredu 2018-19 Operational Plan 2018-19					
<b>Gweithred Cynllun Busnes Lefel 1:</b> Level 1 Business Plan Objective: <b>16. To develop a high-quality education profession</b> <b>17. To develop inspirational leaders and to facilitate them working collaboratively to raise standards.</b> <b>18. To develop strong and inclusive schools that are committed to excellence and wellbeing.</b> <b>19. To develop robust assessment, evaluation and accountability processes that support a self-improving system</b>					
Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Cost a Ffynhonnell Cost and source
35.	Directly delegate 94.6% of EIG to schools	Claire Darracott/ Nicola Bartle	April 2018	March 2019	£4,805,835
36.	<b>Priority 1,2,3 &amp; 4</b> Provide support for early years and foundation phase to create a high-quality education profession by collaborating and liaising with early	Sarah Griffiths	April 2018	March 2019	£78,266

	years services in LA, developing an early year's strategy and training for all schools in foundation principles and best practice				
37.	<b>Priority 3</b> To develop strong and inclusive schools by further strengthening the 14-19 pathways by employing a 14-19 officer	Karen Thomas	April 2018	March 2019	£58,496
38.	<b>Priority 3</b> To further develop strong and inclusive schools by supporting year 10 & 11 pupils at risk of becoming NEET by funding collaborative provision in schools and in partnership with colleges	Karen Thomas	April 2018	March 2019	£97,792
39.	<b>Priority 3</b> To develop strong and inclusive schools by funding release costs for Welsh Bacc. Implementation, Skills Cymru events and admin/translation costs	Karen Thomas	April 2018	March 2019	£9,384
40.	<b>Priority 4</b> To develop accountability processes that support a self-improving system by employing a finance officer to delegate funding and ensure schools account for their EIG spend against improvement priorities	Nicola Bartle	April 2018	March 2019	£37,401
41.	<b>Priority 2</b> To develop robust self-evaluation for schools to become self-improving through a series of workshops for headteachers, deputy headteachers and in schools where self-evaluation requires support (supply cost covered)	Mike Daley	April 2018	March 2019	£19,800
42.	<b>Priority 2 &amp; 4</b> To develop robust self-evaluation in schools by releasing teachers to work alongside school improvement officers and visiting other schools	Mike Daley	April 2018	March 2019	£9622
43.	<b>Priority 2</b> To develop inspirational leaders by implementing the NPT leadership strategy: Coaching and mentoring programme for new headteachers	Andrew Herbert	April 2018	March 2019	£4000
44.	<b>Priority 2</b>	Andrew Herbert	April 2018	March 2019	£4000

	To develop inspirational leaders by implementing the NPT leadership strategy: Coaching and mentoring programme for experienced headteachers to become coaches and mentors for other headteachers in the LA				
	Total retained EIG				£318,761

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TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19						
Adurdod Lleol Local Authority			PEMBROKESHIRE COUNTY COUNCIL			
Perchennog Plan Owner			Steven Richards-Downes			
Aelodau'r Tim: Team Members:			Mark Austin Challenge advisers Associate challenge advisers			
Cynllun Gweithredu 2018-19 Operational Plan 2018-19						
Gweithred Cynllun Busnes Lefel 1: Level 1 Business Plan Objective: 20. To develop a high-quality education profession 21. To develop inspirational leaders and to facilitate them working collaboratively to raise standards. 22. To develop strong and inclusive schools that are committed to excellence and wellbeing. 23. To develop robust assessment, evaluation and accountability processes that support a self-improving system						
Camau Gweithredu Actions			Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Cost a Ffynhonnell Cost and source
45.	Delegate money to schools so that their plans can develop the National Mission priorities effectively		SRD	April 2018	March 2019	RCSIG £3,897,360
46.	Priority 1, 2, 3 Improve performance in the:		MA/RH/JA	April 2018	March 2019	RCSIG £371,980

	<ul style="list-style-type: none"> <li>National priority areas of: literacy, numeracy, ICT, key skills, reducing the FSM gap and improves the performance of MAT pupils</li> <li>Ensure effective implementation of Leadership Strategy and Teaching, Learning and eFSM Strategy</li> <li>Science in KS3 and KS4</li> </ul>				
47.	<b>Priority 3</b> Build capacity and improve the performance in Welsh, particularly at KS2.	EE	April 2018	March 2019	RCSIG £25,800
48.	<b>Priority 1,2,4</b> Improve the challenge/support to school leaders & governors to ensure that all schools provide high-quality education  Ensure effective implementation of Leadership Strategy and Teaching, Learning and eFSM Strategy	SRD SRD/MA	April 2018	March 2019	Core Budget £715,930
49.	<b>Priority 3</b> Work with schools to improve their performance in preparing for the ALN reform, improve attendance, reduce FTE and reduce NEETs	NJ/TT/JW	April 2018	March 2019	EIG £271,600
50.	<b>Priority 1,2,3,4</b> Ensure accelerated progress in schools causing concern particularly at KS4	SRD	April 2018	March 2019	Cabinet* £50,000
51.	<b>Priority 2</b> Continue to develop and support a collaborative 'self-improving school system' across all Pembrokeshire schools for all red secondary schools	SRD	April 2018	March 2019	Cabinet* £20,000
52.	<b>Priority 1,2</b> Work with cluster and governors to develop the self-improving system for Pembrokeshire and ensure that everyone plays their part	SRD/MA	April 2018	March 2019	RCSIG £54160 Cabinet* £50,000

53.	<b>Priority 1,2,4</b> Continue to develop, support and challenge the Pembrokeshire KS4 Improvement Strategy, including implementation of the Plan for Focused Support in Pembrokeshire Secondary Schools – and the 14-19 federation	MA/RH	April 2018	March 2019	RCSIG £271,600
54.	<b>Priority 1,3</b> Improving outcomes in the Foundation Phase	SA/SRD	April 2018	March 2019	RCSIG £3,276,000 (Delegated) Central £121,400



TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19					
Adurdod Lleol Local Authority			Powys		
Perchennog Plan Owner			Ian Budd		
Aelodau’r Tim: Team Members:			Dr Alec Clark Eurig Towns Lynette Lovell		
Cynllun Gweithredu 2018-19 Operational Plan 2018-19					
Gweithred Cynllun Busnes Lefel 1: Level 1 Business Plan Objective: 24. To develop a high-quality education profession 25. To develop inspirational leaders and to facilitate them working collaboratively to raise standards. 26. To develop strong and inclusive schools that are committed to excellence and wellbeing. 27. To develop robust assessment, evaluation and accountability processes that support a self-improving system					
Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Cost a Ffynhonnell Cost and source
1.	Priority 1 & 4 Support schools during the implementation of the new education and curricular reforms	Anwen Orrells Delyth Jones	April 2018	April 2019	EIG £27,000 ICT seconded practitioner

	<ul style="list-style-type: none"> <li>• <b>Cluster model for training</b> – change mode of working of cluster meetings.</li> <li>• <b>Coaching and mentoring program.</b> Triad across phase training. (Lesson Box) Yr5-8.</li> <li>• Good practice sharing days, coaching through watching one excellent teacher (EAS model).</li> <li>• <b>ROWND</b> – Reading, Oracy, Writing, Numeracy, Digital (AOLE)</li> <li>• OSIRIS</li> <li>• <b>Transition</b> – Best practice guidance to improve impact of transition. Model and share.</li> </ul>				<p>£27,000 NQT £4,500</p> <p>85% delegated to schools. £4,791,908</p> <p>Admin: £35,523</p>
2.	<p><b>Priority 2</b> Develop initial workforce strategy in order to improve the recruitment, retention and quality of leadership (at all levels), across our schools with a specific focus on secondary schools.</p> <ul style="list-style-type: none"> <li>• Improve number of schools with permanent leadership</li> <li>• Improve number of leaders gaining leadership qualifications. (eg, NPQH, Middle leaders, HLTA, etc.)</li> <li>• Improve the number of schools where the quality of leadership is good or better.</li> </ul>	Lynette Lovell Eurig Towns	April 2018	April 2019	<p>EIG Secondary £80,000 Leading learning £54,000 Targeted leadership £100,000</p> <p>85% delegated to schools. £4,791,908</p>

3.	<p><b>EPriority 3</b></p> <p>Improve outcomes for all pupils, including vulnerable pupils with a specific focus on eFSM pupils Improve standards at key stage 3 especially for Welsh efsm and boys ( low numbers).</p> <ul style="list-style-type: none"> <li>• Improve standards in level 1 performance for efsm learners.</li> <li>• Improve standards in science at KS4 for efsm learners.</li> <li>• Improve performance in the Welsh bacc at ks 4.</li> <li>• Improve outcomes for pupils at the higher grades in key stage 5.</li> <li>• Improve standards in ks4 in ICT.</li> </ul>	<p>Eurig Towns Lynette Lovell Nia Vaughan Delyth Jones Hayley Smith</p>	April 2018	April 2019	<p>Literacy £49,510 Numeracy £21,600 Welsh £13,500 Athrawon bro £279,750 F Ph £279,750 F ph level 3 plan £15,237 LAC £13,500 ALN £18,000 ICT £29,500 Well-being £10,000 85% delegated to schools. £4,791,908</p>
4.	<p><b>Priority 3</b></p> <p>Improve the performance of secondary schools and the rate of progress of schools in Estyn follow up category.</p> <ul style="list-style-type: none"> <li>• Improve number of secondary schools in follow up categories - Llanfyllin, Caereinion to be removed from categories this year.</li> </ul>	<p>Eurig Towns Lynette Lovell Anwen Orrells Glyn Whiteford Dr Rashida Shariff</p>	April 2018	April 2019	<p>14/19 £57,000 EIG Secondary £80,000</p>

					Leading learning £54,000 Targeted leadership £100,000
5.	<b>Priority 1</b> Provide equality of provision for Welsh medium learners through the implementation of the Welsh in Education Strategic Plan (WESP)	Delyth Jones Sarah Astley Marianne Evans	April 2018	April 2019	Literacy £49,510 Welsh 2 <sup>nd</sup> lang £13,500 Athrawon bro £293,790 85% delegated to schools. £4,791,908

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19						
Adurdod Lleol Local Authority			Swansea			
Perchennog Plan Owner			Nick Williams			
Aelodau’r Tim: Team Members:			Helen Morgan-Rees, Brian Roles, Kelly Small, Sue Edgar, Rob Davies, Sharon Jones			
Cynllun Gweithredu 2018-19 Operational Plan 2018-19						
Gweithred Cynllun Busnes Lefel 1: Level 1 Business Plan Objective: <div>28. To develop a high-quality education profession</div> <div>29. To develop inspirational leaders and to facilitate them working collaboratively to raise standards.</div> <div>30. To develop strong and inclusive schools that are committed to excellence and wellbeing.</div> <div>31. To develop robust assessment, evaluation and accountability processes that support a self-improving system</div>						
Camau Gweithredu Actions			Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Cost a Ffynhonnell Cost and source
55.	All 4 priorities 95% of EIG delegated to schools to support level 1 business plan objectives: <ul style="list-style-type: none"><li>To develop a high-quality education profession</li></ul>		NW/BR	April 18	April 19	£8,968,200, EIG

	<ul style="list-style-type: none"> <li>To develop inspirational leaders and to facilitate them working collaboratively to raise standards.</li> <li>To develop strong and inclusive schools that are committed to excellence and wellbeing.</li> <li>To develop robust assessment, evaluation and accountability processes that support a self-improving system</li> </ul>				
56.	<b>Priorities 1 &amp; 2</b> To develop high-quality provision for pupils to improve their Welsh language skills. <ul style="list-style-type: none"> <li>Promote and support school-to-school work, including the deployment and oversight of lead practitioners and the facilitation of local networks</li> <li>Welsh language professional development opportunities</li> <li>Develop leadership skills of middle leaders</li> <li>Improve Welsh language skills for NQTs</li> <li>Promote Siarter Iaith</li> </ul>	HMR/SJ	April 18	April 19	£363.5k, EIG
57.	<b>Support for all priorities</b> Administrative support to monitor and manage EIG allocations to schools and central services in line with the terms and conditions of the grant	BR/KS	April 18	April 19	£65.2k, EIG
58.	<b>Priorities 1, 2 &amp; 3</b>	HMR/SJ	April 18	April 19	£56.1k, EIG

	To develop a high-quality provision in early-years settings, with a focus on improving leadership, pupils' standards & wellbeing, and assessment.				

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## Abbreviations

ACE Adverse childhood experiences

ALN Additional learning needs AoLE Areas of learning and experience

APL Accelerated progress leads

CA Challenge adviser

CLA Children Looked After

CSI Core subject indicator

CSWC Central South Wales Challenge DCF Digital Competence Framework EAL English as an additional language

EDT Education Development Trust

eFSM Eligible for free school meals

EIG Education improvement grant EWM English, Welsh and mathematics

FPOI Foundation phase outcome indicator

GIG Governor Improvement Group

HEI Higher education institutions

HLTA Higher level teaching assistant

IBA Indicator based assessments

ITE Initial teacher education

KS1, KS2, KS3 or KS4 Key stage 1,2,3 or 4

L2+ Level 2 plus

LA Local authority LCE Language, literacy and communication skills (English) LCW Language, literacy and communication skills (Welsh)



MAT More able and talented MEAG Minority and ethnic achievement grant NAEL National Academy for Educational Leadership

NFER National Foundation for Educational Research

NQT Newly qualified teacher

PDG Pupil development grant

PRU Pupil referral unit RCSIG Regional Consortia School Improvement Grant

RSG Regional stakeholder group

SER Self-evaluation report

SIG School improvement group SLO Schools as learning organisations

SLT Senior leadership team

SRE Sex and relationship education

WG Welsh Government

WM Welsh medium

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Mae'r dudalen hon yn wag yn fwiadol

**CYD-BWYLLGOR ERW  
12.10.18**

**COFNOD RISG CORFFORAETHOL (BYGYTHIADAU)  
2018-19**

**Y Pwrpas:**

**Yn dilyn adborth gan y Cyd-Bwyllgor, mae'r Cofnod Risg wedi ei ail-ddrafftio, yn dilyn adborth a chyngor gan y Swyddog Adran 151**

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

- Adolygu a chytuno lefelau goddefiant er mwyn i gwaith pellach parhau
- Adolygu a thrafod gweithredu er mwyn lliniaru

**Y RHESYMAU:**

**Mecanwaith Nodi Risg priodol, sicrwydd i Awdit Mewnol a'r Adran Cyllid.**

<b>Awdur yr Adroddiad:</b>	<b>Swydd:</b>	<b>Rhif Ffon</b>
Jon Haswell	Swyddog Adran 151	E: bost

**EXECUTIVE SUMMARY**  
**ERW JOINT COMMITTEE**  
**12.10.2018**

**Risk Register**

**BRIEF SUMMARY OF PURPOSE OF REPORT**

**The report contains:**

**Introduction – A brief narrative the purpose of the Risk Register Report**

**Risk Evaluation Matrix – The underlying methodology for analysing and scoring risks**

**Corporate Business Risks Heat Map – A quick assessment of the highest scoring risks on the register**

**Index – A summarisation and index of the body of the report**

**Contextualisation – Some information on ERW**

**Risks – The main section of the report, where each risk is analysed individually**

- The changes include content, reporting format, with a focus on the Central and Finance Register. This report does not include work of Local Authorities.
- It should be noted that there are significant risks, many of which are long standing and which have not yet been mitigated despite activity.

**For Clarity**

- An “Inherent risk score” is a scoring of the risk before any mitigating factors are applied
- A “Residual risk score” is the scoring of the risk after mitigating actions are applied

Note: The Executive Board advise that risks 2 and 3 will be subject to changes in the coming few weeks.

**DETAILED REPORT ATTACHED?**

**YES**

## IMPLICATIONS

Finance <b>YES</b>	Risk Management Issues <b>YES</b>	Staffing Implications <b>YES</b>
<b>1. Finance</b> There is a section in the report dedicated to financial risks		
<b>2. Risk Management</b> The Risk Register is ERW's main mechanism for capturing systemic risk.		
<b>3. Staffing Implications</b> Some of the risks are related to capacity and organisational design.		

## CONSULTATIONS

Details of any consultations undertaken are to be included here    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**

Mae'r dudalen hon yn wag yn fwriadol



Ein Rhanbarth ar Waith  
Education through Regional Working  
[www.erw.cymru](http://www.erw.cymru)  
[www.erw.wales](http://www.erw.wales)

# Corporate Risk Register (Threats)

## 2018-19

## October 2018



# Introduction

ERW's Corporate Risk Register contains the strategic business risks (threats) to the achievement of the ERW's Vision and Aims as outlined within the ERW Business Plan.

**ERW's Vision: "Improving Learning Together"**

**ERW's Objectives:**

- Improve the quality of leadership and its impact on outcomes
- Improve the quality of teaching and learning experiences and its impact on outcomes
- Reduce the impact of poverty on attainment, support vulnerable learners and ensure all learners reach their potential
- Deliver high quality and bespoke support, challenge, and intervention to schools
- Communicate effectively with all stakeholders

Corporate business risks (threats) are scored against the risk (threats) evaluation matrix shown on page 4, using the probability and impact criteria shown on pages 5 and 6.

The Corporate Risk Register is a live document which is subject to regular review by the ERW Managing Director. New business risks identified or escalated via Local Authority risk registers are captured as proposed business risks and considered for inclusion on the Corporate Risk Register by the Lead Chief Executive. The updated Corporate Risk Register is then formally reviewed by the ERW Executive Board. The Corporate Risk Register is reviewed regularly by the ERW Joint Committee.

**Business risks are scored at inherent level (before any control measures are applied) and at residual level (after control measures have been applied).**

Although control measures are applied, they may not be sufficient to reduce the residual score if external factors (outside of officer control) still have a high influence on the probability of the risk occurring or the impact should it occur, e.g. Review and Reform Programme. The heat map on page 7 shows the highest residual risks on the Corporate Risk Register.

**Each risk has its own table showing the inherent and residual risk score along with the tolerance for the risk. Tolerance levels and responsible officers should ultimately be decided by the Joint Committee, who will be advised by the ERW Central Team.**

To assist with the monitoring of changes to the Corporate Risk Register between reviews, the risk score table for each risk includes a movement column which shows if the residual risk has increased↑, decreased↓, or stayed the same↔. Where there is no arrow icon, this process will commence from the report presented to the next Joint Committee.



The Corporate Risk Register for 2018-19 contains 17 business risks (threats), each of which is indexed at page 8 and 9, and shown in detail on pages 10 to 21.

**Risks are categorised under one of the four following groupings, with each grouping requiring an agreed tolerance level.**

1. Financial Risks - Tolerance Level (tbd)
2. Infrastructural Risks – Tolerance Level (tbd)
3. People and Knowledge Risks – Tolerance Level (tbd)
4. Governance and Compliance – Tolerance Level (tbd)

**Every risk is explained in three steps:**

1. Event
2. Consequence
3. Impact

# Risk Evaluation Matrix

Threats					
Probability	Very High	Low (4)	Medium (8)	High (12)	High (16)
	High	Low (3)	Medium (6)	Medium (9)	High (12)
	Medium	Low (2)	Low (4)	Medium (6)	Medium (8)
	Low	Low (1)	Low (2)	Low (3)	Low (4)
		Low	Medium	High	Very High
Impact					

## Impact assessment criteria

(Review the risk against the following criteria, chose the one that best describes the impact and rate accordingly from 1 – 4)

Rating	Description	Financial Capital / Revenue	Political	Service / Operations
4	<b>Very High</b>	>40% to <100% budget	<ul style="list-style-type: none"> <li>Political intervention required.</li> </ul>	<ul style="list-style-type: none"> <li>Catastrophic fall in service quality and statutory service standards are not met.</li> <li>Long term interruption to service provision.</li> <li>Report from regulator or inspectorate requiring major project for corrective action.</li> </ul>
3	<b>High</b>	>15% to <40% budget	<ul style="list-style-type: none"> <li>Major adverse political reaction.</li> </ul>	<ul style="list-style-type: none"> <li>Major impact to service quality, statutory service standards are not met, long term disruption to operations, multiple partnerships affected.</li> <li>Report of breach to regulator with immediate correction to be implemented.</li> </ul>
2	<b>Medium</b>	>5 % to < 15 % budget	<ul style="list-style-type: none"> <li>Significant adverse regional political reaction.</li> </ul>	<ul style="list-style-type: none"> <li>Significant fall in service quality, major partnership relationships strained, serious disruption to statutory service standards.</li> <li>Reportable incident to regulator(s).</li> </ul>
1	<b>Low</b>	< 5% budget	<ul style="list-style-type: none"> <li>Minor adverse political reaction and complaints which are quickly remedied.</li> </ul>	<ul style="list-style-type: none"> <li>Minor impact to service quality, minor statutory service standards are not met.</li> </ul>

< = Less than

> =More than

## Probability assessment criteria

(Select one of the ratings from the definitions below)

Rating	Annual Frequency			Probability	
	Description	Definition		Description	Definition
4	Very High	More than once in last 12 months		Very High	>85 % chance of occurrence
3	High	Once in last 2 years		High	>45% to <85 % chance of occurrence
2	Medium	Once in 3 years up to 10 years		Medium	>15% to < 45 % chance of occurrence
1	Low	Once in 10 years		Low	<15 % chance of occurrence

< = Less than

> =More than

# Corporate Business Risks

The heat map below summarises the highest residual risks contained on the Corporate Risk Register.

<b>Very High Probability</b>	<b>12</b> <b>Cuts to School Budgets</b>	<b>16</b> <b>Failure to comply with Estyn Action Plan</b>
<b>High Probability</b>		<b>12</b> <b>Non – compliance with Grant Terms and Conditions</b>
	<b>High Impact</b>	<b>Very High Impact</b>

# Index and Summary of Residual Business Risk Scores

## Central

No.	Risk	Probability	Impact	Residual Risk	Movement	Page
1.1	Powys Estyn Monitoring result in follow up	1	4	4		11
1.2	Ceredigion Estyn Monitoring result in follow up	1	4	4		12
1.3	Pembrokeshire Estyn Monitoring result in follow up	2	4	8		13
1.4	Carmarthenshire Estyn Monitoring result in follow up	2	4	8		14
1.5	Swansea Estyn Monitoring result in follow up	1	4	4		15
1.6	Neath Port Talbot Estyn Monitoring result in follow up	1	4	4		16
2	Failure to comply with Estyn Action Plan	4	4	16		17
3	Failure to deliver Business Plan	3	3	9		18
4	ERW Governance	2	4	8		19
5	Deliver National Mission	3	3	9		20
6	Non-compliance with Grant Terms and Conditions	3	4	12		21
7	ERW Central Team Accommodation	1	3	3		22
8	Data Protection	2	4	8		23

## Financial

No.	Risk	Probability	Impact	Residual Risk	Movement	Page
1	Timeliness of Welsh Government Funding	2	3	6		24
2	ERW is found to not provide Value for Money	2	4	8		25
3	LA failure to comply with Grant Regulations	2	4	8		26
4	Cuts to School Services	4	3	12		27

# Contextualisation

ERW (Education through Regional Working) is one of 4 regional education consortia in Wales. It is an alliance of six local authorities - Carmarthenshire, Ceredigion, Pembrokeshire and Powys, the County Borough of Neath Port Talbot and the City and County of Swansea. The purpose of ERW is to deliver a single, consistent and integrated professional school improvement service for children and young people across the South-West and Mid-Wales region.

ERW works closely with Welsh Government and with the other three regional consortia to deliver national priorities and policies in Wales, such as literacy, numeracy and digital competence, and improving learner outcomes.

The regional education consortia were formally established following the publication of the National Model for School Improvement by Welsh Government in 2014. The National Model is based on a vision of regional school improvement consortia working with and on behalf of local authorities to lead, orchestrate and co-ordinate the improvement in the performance of schools and education of young people. This would be achieved by allowing local authorities to work collaboratively to share good practice, knowledge and skills, build capacity and increase opportunities for constructive challenge and targeted support.

ERW works to communicate, broker and support the development of high performing school networks in order to identify the challenges and establish improvement pathways that lead to success. It seeks to ensure that every school is a good school offering high standards of teaching and good leadership resulting in all learners achieving their maximum potential. This can only be achieved by building school capacity through support, challenge and intervention so that they become self-improving, resilient organisations which continually improve outcomes for learners.

## Our Objectives:

- 1. Developing a high-quality education profession**
- 2. Inspirational Leaders working collaboratively to raise standards**
- 3. Strong and inclusive schools committed to excellence, equity and well-being**
- 4. Robust assessment, evaluation and accountability arrangements supporting a self-improving system**



## Central Risks

### 1.1 Estyn Monitoring activity results in follow up for Powys

#### Description of Risk

Estyn visits result in Powys being placed in follow up / special measures or requiring further attention.

#### Background

#### Objectives at Risk : All

#### Risk Control Measures

#### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	2	4	8	
Residual	1	4	4	
Tolerance			TBD	

#### Risk Owner

Ian Budd (Powys)

## 1.2 Estyn Monitoring activity results in follow up for Ceredigion

### Description of Risk

Estyn visits result in Ceredigion being placed in follow up / special measures or requiring further attention.

### Background

**Objectives at Risk :** All

### Risk Control Measures

Consolidation of existing strengths in processes and procedures deemed to be successful in the previous Estyn inspection. Many are still relevant in the new Estyn Local Authority Education Service Inspection Framework.

Continue work to improve quality, resilience and impact of senior and middle leadership in schools, particularly where recruitment has been difficult in order to improve intra and inter school variation.

Continue to provide high quality curriculum and leadership support for schools, in particular in core subject areas in specific secondary schools.

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	1	4	4	
Residual	1	4	4	
Tolerance			TBD	

### Risk Owner

Meinir Ebbsworth (Ceredigion)

### 1.3 Estyn Monitoring activity results in follow up for Pembrokeshire

#### Description of Risk

Estyn visits result in Pembrokeshire being placed in follow up / special measures or requiring further attention.

#### Background

Pembrokeshire has had two improvement conferences undertaken by Estyn. It is unlikely that there will be an inspection until 12 months after last conference.

**Objectives at Risk :** All

#### Risk Control Measures

Consolidation of existing strengths in processes and procedures deemed to be appropriate at improvement conferences.

Continue work to improve quality and resilience in senior and middle leadership in secondary schools, particularly where recruitment has been difficult, in order to improve outcomes.

Continue to provide high quality curriculum and leadership support for schools

#### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	4	12	
Residual	2	4	8	
Tolerance			TBD	

#### Risk Owner

Kate Evan Hughes (Pembrokeshire)

## 1.4 Estyn Monitoring activity results in follow up for Carmarthenshire

### Description of Risk

Estyn visits result in Carmarthenshire being placed in follow up / special measures or requiring further attention.

### Background

**Objectives at Risk :** All

### Risk Control Measures

- A regular review of core services, to determine whether outcomes are being achieved and where potential issues may be arising.
- Effective business function evaluation and monitoring in place as part of regular Directorate Team meetings with overview of risk register, financial planning, outcomes measurement etc.
- Effective and constructive partnership working with schools, corporate Council Services, the regional Consortium and other partners who contribute to delivering school improvement and education services.
- Robust and honest self-evaluation, incorporating the views of a range of stakeholders and partners, leading to clear Business Plans identifying successes and challenges/areas to develop.
- Service and Business Plan development put in place in order to ensure most effective use of resources across services and with partners in order to achieve excellent outcomes for our children and young people.
- Ensure that there is clarity in terms of vision and staff role and remit in their work towards achieving this vision.
- Effective Performance reporting in place throughout the directorate.
- Effective appointments and support and training provided to provide a high quality, skilled team of Senior Managers and officers.

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
<b>Inherent</b>	<b>3</b>	<b>4</b>	<b>12</b>	
<b>Residual</b>	<b>2</b>	<b>4</b>	<b>8</b>	
<b>Tolerance</b>			<b>TBD</b>	

### Risk Owner

Gareth Morgans (Carmarthenshire)

## 1.5 Estyn Monitoring activity results in follow up for Swansea

### Description of Risk

Estyn visits result in Swansea being placed in follow up / special measures or requiring further attention.

### Background

**Objectives at Risk :** All

### Risk Control Measures

- The local authority benefits from strong leadership at all levels, strong partnership with schools and other key agencies and has a good track record of delivering strong outcomes for children and young people.
- Self-evaluation processes are robust and clear priorities are identified in operational plans. Areas of underperformance are identified as early as possible and support and challenge put in place to secure improvements.
- Existing monitoring processes will be further developed to ensure that key strategic priorities, eg foundation phase, wellbeing post 16 provision, school leadership, are addressed.
- Through our ERW partnership, the local authority will continue to secure good standards and overall progress of learners, including specifically raising standards in primary schools and provision for pupils in key stage 4.

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	2	4	8	
Residual	1	4	4	
Tolerance			TBD	

### Risk Owner

Nick Williams (Swansea)

## 1.6 Estyn Monitoring activity results in follow up for Neath Port Talbot

### Description of Risk

Estyn visits result in Neath Port Talbot being placed in follow up / special measures or requiring further attention.

### Background

- NPT was inspected by Estyn in December 2017 and judged to be good in all inspection areas. NPT will now focus on delivering progress against the four recommendations made.

### Objectives All: All

### Risk Control Measures

- The local authority benefits from strong leadership at all levels, strong partnership with schools and other key agencies and has a long, secure track record of delivering strong outcomes for children and young people.
- Business planning processes have been modified to account for the four recommendations and progress will be scrutinised by elected members on a regular basis.
- Self-evaluation processes have been revised to secure improvement and to better inform planning processes. These will continue to be developed in order to identify aspects of underperformance as early as possible.
- Existing monitoring processes will be further developed to ensure that key strategic priorities, eg children's school readiness, post 16 transition, school leadership, are addressed.
- Action has been taken to address the safeguarding issue identified during the inspection and Estyn is satisfied with the progress made in relation to this area.
- Through our ERW partnership, the local authority will continue to secure good standards and overall progress of learners, including specifically raising standards in primary schools and provision for pupils in key stage 4.

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
<b>Inherent</b>	<b>2</b>	<b>4</b>	<b>8</b>	
<b>Residual</b>	<b>1</b>	<b>4</b>	<b>4</b>	
<b>Tolerance</b>			<b>TBD</b>	

### Risk Owner

Aled Evans (Neath Port Talbot)

## 2. Failiure to comply with Estyn Action Plan

### Description of Risk

Inspection/ Visit of Region finds less than adequate progress on any recommendation thus resulting in further follow up activity for ERW.

### Background

This risk had been identified during the last 24 months and the mitigating actions did not successfully reduce the likelihood of the risk. Therefore, ERW has a judgement of limited progress (Nov 2017) against Recommendation 1 (improvement in Schools Causing Concern, most notably secondaries), from its June 2016 inspection.

The risk has now been compounded by slow progress in making decisions to progress the Review and Reform Programme, which is cited in the 2017 Estyn Report as cause for possible governance improvements which could in turn impact ERW's ability to respond to recommendations.

### Objectives at Risk : All

### Risk Control Measures

- 

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	4	4	16	↔
Residual	4	4	16	
Tolerance			TBD	

### Risk Owner

ERW Managing Director, Lead Director and Lead Chief Executive

### 3. Failure to deliver Business Plan

#### Description of Risk

3.1 Insufficient capacity of Central Team and Challenge Adviser Team to deliver Business Plan to high standard.

3.2 Lack of engagement from all LAs consistently

3.3 Failure to meet grant conditions (and subsequent lack of funding)

All 3 of the above risks contributing to a failure on ERW's behalf to deliver the Business Plan, and subsequently risk a clawback in funding and adverse effect on schools.

#### Background

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. Permanent posts in Central Team discussed at July 2018 Joint Committee but deferred pending discussion by the HR Group.

HT Questionnaires 2017 + 2018 report significant inconsistency.

**Objectives at Risk :** All

#### Risk Control Measures

- Effective planning by Central Team, Lead Director and Lead Chief Executive.
- Ongoing dialogue with Welsh Government

#### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	3	9	↔
Residual	3	3	9	
Tolerance			TBD	

#### Risk Owner

Managing Director, Lead Director



## 4. ERW Governance

### Description of Risk

Organisational Design, Governance or Legal footing of ERW found to be ineffective at securing consistent improvement across all LAs by Estyn / WAO / WG / Self Evaluation, This then resulting in action by the inspectorate, or clawback of funds from WG.

### Background

Estyn follow up report note that the governance structure has hindered progress. December 2017

Challenge and Review meetings with Cabinet Secretary for Education have increased in frequency – meetings took place in December, February, and April.

Following an invitation from the Chair of the Joint Committee when WG raised concerns about financial delegation to Local Authorities and governance, WG are conducting a review of ERW funding arrangements. This has now been expanded into a review of all regions.

**Objectives at Risk:** All

### Risk Control Measures

- Undertaking Review and Reform Programme
- Meetings of Chief Execs in September – discussions progressing
- Geraint Rees appointed to assist

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	4	12	↓
Residual	2	4	8	
Tolerance			TBD	

### Risk Owner

Lead Chief Exec, Section 151 Officer, Monitoring Officer, Lead Director, Managing Director

## 5. ERW unable to deliver National Mission

### Description of Risk

ERW fails to deliver Welsh Government's National Mission. Subsequently, WG could tie funding conditions to this delivery, risking grant clawback.

### Background

Currently, there are many issues that are caused by a lack of capacity to manage the business side of ERW.

Many of the roles have evolved with the growth of ERW with staff undertaking more than one role.

Staff insecurity is heightened at present as ERW, increasing the risk of insufficient capacity to deliver the National Mission.

It should be noted that elements of the National Mission fall outside ERW's responsibility, and this risk is directed at the elements that fall inside ERW's scope of responsibility.

**Objectives at Risk:** All

### Risk Control Measures

- Review and Reform Programme
- The Lead Director and Managing Director are involved in the working group for the New National Model.

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	3	9	↔
Residual	3	3	9	
Tolerance			TBD	

### Risk Owner

Managing Director, 6 LA Directors, Joint Committee

## 6. Failure to comply with Grant Conditions from WG

### Description of Risk

ERW fails to comply with Welsh Government Grant Conditions, resulting in the withholding or clawback of funding, and adversely affecting the region's School Improvement service.

### Background

Due to the heavy reliance on grant funding, ERW's compliance with grant conditions is key.

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.

Following an invitation from the Chair of the Joint Committee when WG raised concerns about financial delegation to Local Authorities and governance, WG are conducting a review of ERW funding arrangements.

ERW has received a revised Grant Offer Letter for the Regional Consortia School Improvement Grant which contains additional conditions which are to be met before funding is released for the remaining 7/12ths of funding – urgent actions are required for this funding to be released.

**Objectives at Risk:** All

### Risk Control Measures

- Central Team and Senior Challenge Advisers commissioned to provide additional Business Plan Details
- Ongoing dialogue with Welsh Government

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
<b>Inherent</b>	<b>4</b>	<b>4</b>	<b>16</b>	↑
<b>Residual</b>	<b>3</b>	<b>4</b>	<b>12</b>	
<b>Tolerance</b>			<b>TBD</b>	

### Risk Owner

Lead Director, Managing Director, Lead Chief Executive, Section 151 Officer

## 7. ERW Central Team Accommodation

### Description of Risk

ERW's accommodation fails to safely house all Central Team staff, and presents health and safety issues. This in turn could have a detrimental effect on the service, and on the wellbeing of ERW staff.

### Background

As of the last Joint Committee, Lead Officers were tasked to mitigate any Health and Safety issues that may arise at the ERW Central Team's current accommodation. The remaining risk around procurement of DDA compliant furniture/seating for staff is being mitigated.

**Objectives at Risk:** All

### Risk Control Measures

- Audit of specialist furniture/seating requirements being undertaken
- Local Authorities to be contacted to source any spare equipment they can provide

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	2	3	6	↓
Residual	1	3	3	
Tolerance				

### Risk Owner

Executive Board, Pembrokeshire County Council Chief Executive

## 8. [Data Protection](#)

### Description of Risk

ERW fails to comply with GDPR Regulations.

### Background

Currently ERW does not have a designated Data Protection Officer which is a requirement of General Data Protection Regulations as of May 2018.

**Objectives at Risk:** All

### Risk Control Measures

ERW has taken pro-active steps to prepare staff for GDPR, including awareness seminars at ERW Central Team Training. However, the absence of a dedicated DPO remains a concern.

Some of this risk is mitigated by the Local Authorities employing their own DPOs for schools respectively.

Executive Board 21.9.18 agreed an interim measure of the Managing Director being named DPO, with a view of appointing a Business and Finance Manager for ERW and naming them DPO once appointed and sufficiently trained.

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
<b>Inherent</b>	<b>3</b>	<b>4</b>	<b>12</b>	
<b>Residual</b>	<b>2</b>	<b>4</b>	<b>8</b>	
<b>Tolerance</b>			<b>TBD</b>	

### Risk Owner

Managing Director, Lead Chief Executive, Lead Director

## Financial Risks

### 1. Timeliness of WG Funding

#### Description of Risk

WG Funding may not be timely resulting in underspend or an inability to spend at the end of the financial year.

#### Background

Financial forward planning with contingency arrangements so that essential implementation is not hindered.

Due to a significant dependence on grants and the use of ERW's reserves, timely receipt of funding is a key cash flow issue.

Other regions report that bi-monthly payments for 18-19 financial year have been on time. The issue surrounding receiving money from Welsh Government is now ERW's ability to meet grant terms and conditions, which is represented in other risks within the register

**Objectives at Risk:** All

#### Risk Control Measures

- A new bi-monthly payment profile has been established with Welsh Government
- Financial forward planning with contingency arrangements so that essential implementation is not hindered.
- Constant communication with WG to improve expectation.
- New Regional Consortia School Improvement Grant

#### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	3	9	↔
Residual	2	3	6	
Tolerance			TBD	

#### Risk Owner

Section 151 Officer, Lead Banker Authority

## 2. ERW is judged to not provide Value for Money

### Description of Risk

Failure to ensure value for money in future years results in action from Estyn, reputational damage, or a reduction in grant funding.

### Background

In ERW's 2017 Estyn Report, it is stated:

"Senior leaders understand that the current organisational design constrains ERW's ability to deliver value for money"

"ERW is also judged to make "satisfactory" progress only when addressing:

Recommendation 4: Refine the framework for assessing value for money so that all relevant costs across the six authorities are taken into account fully when set against outcome."

**Objectives at Risk:** All

### Risk Control Measures

- Comprehensive VFM Framework in place.
- In house monitoring of effectiveness; support in any identified areas of concern.
- VFM monitoring and recommendations from Internal Audit undertaken.
- Annual Governance Statement

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
<b>Inherent</b>	<b>3</b>	<b>4</b>	<b>12</b>	↑
<b>Residual</b>	<b>2</b>	<b>4</b>	<b>8</b>	
<b>Tolerance</b>			<b>TBD</b>	

### Risk Owner

Managing Director

### 3. Local Authority failure to comply with Grant Regulations

#### **Description of Risk**

Individual LAs fail to comply with Grant Regulations and limited assurance given from other LA's to PCC, resulting in clawback of funding,

#### **Objectives at Risk: All**

#### **Risk Control Measures**

Clear agreed financial guidance and procedures.

- Correspondence from Section 151 Officer and Internal Audit to all LA's.
- Assurance for PCC from each LA.
- Improved communication and understanding of roles, responsibilities and risks.
- Training and termly finance officers meeting.

#### **Risk Scores**

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	4	12	
Residual	2	4	8	
Tolerance			TBD	

#### **Risk Owner**

LA Section 151 Officers, Head of Internal Audit,



## 4. Real Term Cuts to school budgets

### Description of Risk

Further cuts to school services and reductions of quantum in Welsh Government funding, which in turn have an effect on service capacity, and therefore outcomes in schools.

### Background

Financial pressures in each LA leading to cuts affecting school services. On-going information and discussion. Impact on capacity and willingness of schools to engage on self-improving system. Due to the core funding being distributed to LAs, ERW is effectively running 7 services (6 teams of Challenge Advisers) and a Central Team who deliver national programmes. Currently there are other duplicated services in each Local Authority e.g. data

The EIG, which is now an element of the Regional Consortia School Improvement Grant, has seen an 11% cut for the 18-19 financial year.

**Objectives at Risk:** All

### Risk Control Measures

Further work with HT board to ensure clarity around expectations of HT to collaborate and the remuneration.

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
<b>Inherent</b>	<b>4</b>	<b>4</b>	<b>16</b>	
<b>Residual</b>	<b>4</b>	<b>3</b>	<b>12</b>	
<b>Tolerance</b>			<b>TBD</b>	

### Risk Owner

Managing Director, Lead Director, All 6 LA Directors, Section 151 Officer, Lead Chief Executive.

## **ERW JOINT COMMITTEE**

### **12.10.18**

#### **Supporting / Additional information from ERW Executive Board**

**All LA Risks to have Impact re-scored at 4**  
**Risk 5 to be reworded to discuss National Mission not National Model**  
**Risk 8 for Data Protection given a scoring of 8**

**Needs to be noted that risks 2 and 3 will be subject to changes in the coming few weeks.**

#### **Supporting / Additional Information from ERW Advisory Board**

## CYD-BWYLLGOR ERW 12.10.18

### ADRODDIAD AWDIT MEWNOL

#### Y Pwrpas:

I diweddaru'r Cyd-Bwyllgor ar ymateb rheolwyr i'r Adroddiad Awdit Mewnol ERW 2017-18

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

I'r adroddiad a'r ymatebion diwygiedig gan rheolwyr cael eu nodi gan y Cyd-Bwyllgor

#### Y RHESYMAU:

Penderfyniad o gyfarfod diwethaf y Cyd\_Bwyllgor

Awdur yr Adroddiad:	Swydd:	Rhif Ffon
Jon Haswell	Swyddog Adran 151	E: bost



# EXECUTIVE SUMMARY

## ERW JOINT COMMITTEE

### 12.10.18

#### Internal Audit Report

#### BRIEF SUMMARY OF PURPOSE OF REPORT

The report has had the Management Responses updated in line with actions from the previous Joint Committee.

DETAILED REPORT ATTACHED?

YES

### IMPLICATIONS

Policy, Crime & Disorder and Equalities	Legal	Finance	Risk Management Issues	Staffing Implications
NONE	NONE	yes	None	None

#### Finance

The Internal Audit Report will evaluate and discuss large amounts of ERW's Financial Operations

### CONSULTATIONS

Details of any consultations undertaken are to be included here 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





**Internal Audit Service**  
**PRIVATE AND CONFIDENTIAL**

**Education through Regional Working Consortium**

**Final Report**

**Audit No. 17117 (2017-18)**

<b>Current Assurance Rating 2017-18</b>	<b>Limited</b>
<b>Previous Assurance Rating 2016-17</b>	<b>Substantial</b>

<b>Report issued to:</b>	<b>Geraint Rees, ERW Jon Haswell, ERW Section 151 Officer</b>
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<b>Report copied to:</b>	<b>Ian Eynon, ERW Deputy Section 151 Officer</b>
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<b>Auditor:</b>	<b>Justin Blewitt, Senior Auditor</b>
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<b>Manager/Reviewer:</b>	<b>Charlotte Hodges, Audit Team Leader</b>
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<b>Fieldwork complete:</b>	<b>07-06-18</b>
<b>Draft report issued:</b>	<b>14-06-18</b>
<b>Management comments:</b>	<b>03-10-18</b>
<b>Final report issued:</b>	<b>03-10-18</b>

## **Education through Regional Working Consortium**

**This report may contain data as defined by the General Data Protection Regulation 2016 and the Data Protection Act 2018, which must be treated as strictly private and confidential.**

### **1.0 Introduction**

- 1.1 An audit review of the Education through Regional Working Consortium (ERW) has been carried out as part of the 2017-18 Internal Audit Plan, as agreed by the Joint Committee, the ERW Section 151 Officer, and the Managing Director.
- 1.2 The scope of the 2017-18 audit, as approved by the Joint Committee on 1 December 2017 included:
- Governance (follow up of previous audit recommendations and Annual Governance Statement Priorities for Improvement)
  - Financial Management
  - Business Plan Implementation & Value for Money
  - Project Management of the Review & Reform Programme
  - Preparation for the Introduction of the General Data Protection Regulations (GDPR)

### **2.0 Audit Objectives**

- 2.1 To provide assurance to the Joint Committee, the Executive Board, the ERW Section 151 Officer, and the Managing Director that ERW has adequate governance, internal control, risk management and financial management arrangements in place, which are operating effectively and assisting it to achieve its objectives.
- 2.2 To provide assurance that the 2016-17 recommendations have been implemented.
- 2.3 To identify areas of weakness and risk, good practice and opportunity.

### **3.0 Audit Methodology**

- 3.1 We took an evidence based approach to our audit review using interviews with staff, review of supporting documentation and sample testing to arrive at our opinion.
- 3.2 Compilation of a formal internal audit report making recommendations for improvement and adding value to ERW.

#### 4.0 Audit Opinion and Assurance Statement<sup>1</sup>

- 4.1 We have identified a number of opportunities for improvement to the adequacy and effectiveness of existing arrangements, which if implemented, would both improve and add value to ERW.
- 4.2 Weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements in place for ERW were identified and these could have an impact on the ability of the Consortium to achieve its objectives. Therefore, **Limited Assurance** is given on the adequacy and effectiveness of the arrangements in place for ERW.
- 4.3 Key areas of weakness and risk, good practice and opportunity identified during the audit review are summarised below:

##### Governance

- The Review & Reform Programme has not progressed as a result of Authorities being unable to agree a way forward. This has impacted on governance arrangements, with the updated Code of Corporate Governance and an updated Legal Agreement not yet being agreed by Joint Committee, one Authority not having paid its contribution, and Welsh Government withholding funding.
- A number of recommendations agreed during the previous audit review, and priorities for improvement identified within the 2016-17 Annual Governance Statement relate to the areas detailed above, and therefore remain outstanding. Recommendations with regards to these have been reiterated within this review.

##### Financial Management

- The level of Authority contributions and ERW reserves requires review to determine if they are sufficient going forward.
- Whilst improvements have been made, there is still non-compliance with standing orders and procurement rules.
- For EIG and PDG, where funds are delegated to schools/Local Authorities, assurance is sought that all funds have been spent as intended and in accordance with the grant terms and conditions. However, for other grants, this assurance is not currently obtained.
- A number of financial compliance issues were noted where controls are in place but these were not always being adhered to.

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<sup>1</sup> A definition of the Assurance Ratings are shown at Appendix B

#### Business Plan Implementation & Value for Money

- The 2018-19 Business Plan has yet to be formally approved by the Joint Committee which represents a significant risk. There is a clear process for implementation and links between the objectives/priorities and the plans/actions in place to help achieve these. Processes are in place to monitor progress against actions.
- Annual Impact Reports for ERW are produced to help demonstrate improvements in outcomes achieved and value added. There is an opportunity to improve these further by reverting to the previous format of demonstrating key headline achievements and the use of quantitative data to evidence improvements. There is also an opportunity to publicise these reports in the wider public domain to raise awareness of the work carried out and the achievements made.

#### Project Management of the Review & Reform Programme

- The Review & Reform programme was agreed by the Joint Committee in September 2017 and project plans have been documented. However, the programme has not progressed as Local Authorities are unable to unanimously agree a way forward.

#### Preparation for the Introduction of the General Data Protection Regulations (GDPR)

- ERW has received advice on this and have begun some initial work. The next agreed step is for a Service Level Agreement to be offered to Authorities to assist with this work. With the implementation date of 25 May 2018 now passed this is a significant risk area.

- 4.4 The arrangements reviewed and tested and an opinion as to their adequacy and effectiveness are shown in tabular format (Action Plan) at Appendix A, along with the weaknesses and risks, good practice and opportunities identified during the audit review, comments and consequences, and recommendations for improvement.
- 4.5 Prompt action to implement these recommendations will improve the adequacy and effectiveness of the existing governance, internal control, risk management and financial management arrangements for ERW and assist it to achieve its objectives.



4.6 A summary of the Action Plan is shown in the table below:

Expected Arrangements (Controls)		Adequate & Effective <sup>2</sup>	Recommendations <sup>3</sup>						
			A1	A2	B1	A3	B2	C1	Other
6	Governance	✗	1	1	1	0	1	0	3
7	Financial Management	✗							
7.1-7.7	<i>Budgetary Control</i>	✓	1	0	0	0	1	0	0
7.8	<i>Compliance with Grant Funding Terms &amp; Conditions</i>	✗	0	0	1	0	0	0	0
7.9	<i>Distribution of Grant Funding</i>	✗	0	1	0	0	0	0	0
7.10	<i>Compliance with Financial Procedures</i>	✗	0	0	0	0	4	2	11
8	Business Plan Implementation & Value for Money	✓	1	1	0	0	1	0	0
9	Project Management of the Review & Reform Programme	✗	1	0	0	0	1	0	0
10	Preparation for the Introduction of the General Data Protection Regulations (GDPR)	✗	1	0	0	0	0	0	0
<b>Total</b>			<b>5</b>	<b>3</b>	<b>2</b>	<b>0</b>	<b>8</b>	<b>2</b>	<b>14</b>

## 5.0 Acknowledgement


5.1 It should be noted that all testing undertaken as part of this audit review was on a sample basis and therefore the results should be considered in this context.

5.2 We would like to thank all staff involved for their co-operation during the audit review. If the Internal Audit Service can be of any further assistance, please contact:  
Justin Blewitt, Senior Auditor (extension 5641)  
Jo Hendy, Governance, Assurance & Information Manager (extension 6213)

<sup>2</sup> A definition of the Adequate & Effective ratings are shown at Appendix B

<sup>3</sup> A definition of the Recommendation Gradings are shown at Appendix B

## ACTION PLAN


No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
6	<b>Governance</b>				
6.1	Accepted recommendations from the previous audit review have been implemented.		<p>Of the 15 recommendations from the previous internal audit, 10 have been completed as far as possible, 3 have been partially completed, and 2 remain outstanding as follows:</p> <ul style="list-style-type: none"> <li>Risks within the ERW risk register should be articulated clearly to allow the event, consequence and impact to be defined. <i>Not Complete - assurance was given that training has been provided, but testing identified that risks still do not clearly articulate event, consequence and impact.</i></li> </ul>	<p>a. Risks within the ERW risk register should be articulated clearly to allow the event, consequence and impact to be defined.</p> <p><b>Grade: C2</b></p>	<p>a. <b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b> Following July 2018 Joint Committee, ERW Central Team have sought advice from the Section 151 Officer, and liaised with him in the most recent cycle of meetings to ensure improved articulation of risks for Executive Board and subsequently, the Joint Committee. The Risk Register now better articulates risk according to Event, Consequence, and Impact.</p> <p><b>Timescale for Action:</b> Process initiated in September 2018, report submitted to Exec 21.9.18, going to Joint Committee 12.10.18, work will continue with the aim of completing action by February Joint Committee</p> <p><b>Responsible Officer:</b> ERW SLT, ERW Managing Director</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
6.1 (cont)			<ul style="list-style-type: none"> <li>The scoring methodology should be consistently applied for all risks recorded within the ERW risk registers. <i>Partially Complete - testing identified that scores following mitigation were included for the Central and Financial registers, however, this was not consistent within each of the Local Authority registers.</i></li> </ul>	<p>b. The risks where the scores following mitigation are not completed should be followed up with the relevant Authorities to ensure a fully complete risk register is in place for reporting to Joint Committee.</p> <p><b>Grade: C2</b></p>	<p>b. <b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b> Executive Board 21.9.18 has been used as a forum to facilitate discussion among Directors, who then scored their LA registers in due course for 12.10.18 Joint Committee. As of 12.10.18 Joint Committee, all LAs have scored their risks, and have agreed a common “impact” score surrounding Estyn follow-up.</p> <p><b>Timescale for Action:</b> Completed by October 2018</p> <p><b>Responsible Officer:</b> ERW Managing Director, LA Directors</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
6.1 (cont)			<ul style="list-style-type: none"> <li>Schools should be required to sign a declaration confirming Capacity Building Grant funding has been used as intended. <i>Partially Complete – for the sample of 5 schools who received Capacity Building Funding in 2016-17 there was no declaration confirming it had been used as intended for 4 of them. However, process has been updated for 2017-18 as a consequence. This is currently being actioned for 2017-18 grant funding.</i></li> </ul>	<p>c. Schools should be required to sign a declaration confirming Capacity Building Grant funding has been used as intended.</p> <p><b>Grade: B2</b></p>	<p>c. <b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b></p> <p>There has been an improvement in accountability for schools in receipt of grant money. A new format to clarify in year spend, Head teacher authorisation and a clear delivery plan in line with the aims of the grant as part of National Mission is signed electronically on receipt on grant funding. A follow up process to assess impact and confirm that resources are spent as planned. The scheduled follow up on these is June 2018.</p> <p>All forms have been updated to include a clause on compliance with agreed spend.</p> <p><b>Timescale for Action:</b></p> <p>July 2018</p> <p><b>Responsible Officer:</b></p> <p>ERW Managing Director</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
6.1 (cont)			<ul style="list-style-type: none"> <li>The Code of Corporate Governance should be updated to ensure it reflects the principles contained within CIPFA's Delivering Good Governance in Local Government: Framework (2016 Edition). <i>Partially Complete - this has been updated but was not accepted at Joint Committee and further work was requested.</i></li> </ul>	<p>d. The Code of Corporate Governance should be approved by the Joint Committee.</p> <p><b>Grade: A2</b></p>	<p>d. <b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b></p> <p>The Code of Corporate Governance was amended in light of feedback at Joint Committee with regard to the performance management of Challenge Advisers. It was agreed that the Code be amended to cover central team staff only, and that the individual codes of each LA cover the work of locally employed staff. The revised document with the codes of respective employing LAs attached is scheduled for approval at the next Joint Committee July 16 2018.</p> <p><b>Timescale for Action:</b></p> <p>Complete</p> <p><b>Responsible Officer:</b></p> <p>ERW Managing Director</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
6.1 (cont)			<ul style="list-style-type: none"> <li>It is imperative that Standing Orders are complied with for all instances where individual or aggregate payments to suppliers exceeds £50,000 and that the spirit of the Standing Orders are followed for all individual or aggregate payments above the value of £5,000 and below £50,000. <i>Partially Complete – improvements made through strengthening tender arrangements but issues remain with high levels of expenditure with suppliers with no contract/exception.</i></li> </ul>	<p>e. Standing Orders must be complied with for all instances where individual or aggregate payments to suppliers exceeds £50,000 and that the spirit of the Standing Orders are followed for all individual or aggregate payments above the value of £5,000 and below £50,000.</p> <p><b>Grade: C2</b></p>	<p>e. <b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b></p> <p>To create a Procurement SLA with Pembrokeshire in order to assist with compliance to Standing Orders and Procurement Rules. Creating a framework for School Improvement support services. The framework will be the vehicle used for all procurement requirements of the Review and Reform Programme. Provide awareness training to ERW staff of Standing Orders and Procurement rules. Establish a process for ERW procurement and implement.</p> <p><b>Timescale for Action:</b> October 2018</p> <p><b>Responsible Officer:</b> ERW Managing Director</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
6.2	Annual Governance Statement Priorities for Improvement have been addressed.		<p>Of the 5 Annual Governance Statement Priorities for Improvement, 2 have been completed as far as possible, 2 have been partially completed, and 1 remains outstanding as follows:</p> <ul style="list-style-type: none"> <li>The Local Code of Corporate Governance for ERW needs to be re-written in line with the requirements of CIPFA's Delivering Good Governance in Local Government Framework 2016 (refer to recommendation 6.1d).</li> <li>The ERW Legal Agreement, which would include details of the Service Level Agreements between ERW and respective authorities, needs to be reviewed and updated in consultation with the Monitoring Officer, Section 151 Officer and Lead Director. <i>Internal Audit was informed that initial work was undertaken but this is on hold pending the Review &amp; Reform Programme.</i></li> </ul>	<p>a. The ERW Legal Agreement, which would include details of the Service Level Agreements between ERW and respective authorities, needs to be reviewed and updated in consultation with the Monitoring Officer, Section 151 Officer and Lead Director.</p> <p><b>Grade: A1</b></p>	<p>a. <b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b> Joint Committee in July 2018 agreed that the Legal Agreement be updated. This has been initiated by the Monitoring Officer, for consultation with the Lead Director and Section 151 Officer prior to discussion at a future Joint Committee.</p> <p>Service Level Agreements between ERW and respective LAs to be reviewed and updated in consultation with the Monitoring Officer, Section 151 Officer and Lead Director.</p> <p>Once agreed all SLAs to be offered to the LAs for expressions of interest.</p> <p>Decisions to be made as determined by proposed governance structures on which LA is to be responsible for each SLA.</p> <p>New SLAs are implemented.</p> <p><b>Timescale for Action:</b> To be agreed</p> <p><b>Responsible Officer:</b> ERW Managing Director</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
6.2 (cont)			<ul style="list-style-type: none"> <li>Support delivered to schools by Challenge Advisers needs to be applied consistently in line with identified need and recorded so that the impact of support can be effectively measured.</li> </ul>	<p>b. Support delivered to schools by Challenge Advisers needs to be applied consistently in line with identified need and recorded so that the impact of support can be effectively measured.</p> <p><b>Grade: B1</b></p>	<p>b. <b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b></p> <p>Termly School Performance Team meetings, which include Principal Challenge Advisers and team Challenge Advisers are scheduled for the 18-19 academic year. These meetings will facilitate honest challenge and discussion between ERW SLT and LA colleagues in order to address activity of LA staff, and to ensure that schools are receiving support in accordance with identified need.</p> <p><b>Timescale for Action:</b></p> <p>Ongoing</p> <p><b>Responsible Officer:</b></p> <p>All LA Education Directors, ERW Managing Director</p>




No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7	Financial Management				
BUDGETARY CONTROL					
7.1	There is a clear budget setting process in place.	✓	ERW has a £250k core budget made up of contributions from each Authority. Internal Audit was informed that the Managing Director, Deputy Section 151 Officer and Senior Accountant set the budget for this funding based on the previous year spend plus inflation and any expected additional expenditure. Use of an element of reserves is also budgeted for at the start of the year. Grant allocations make up the remainder of the funding received by ERW. Internal Audit were advised that a draft budget/spend plan is completed for each grant though this is difficult (particularly at the start of the year) due to late notification of funding from Welsh Government. There is therefore an element for most grants that is recorded as unallocated. The Managing Director stated that there should be improvements to this in 2018-19 as Welsh Government will be awarding just one main grant rather than a number of grants.	-	-


No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.2	The ERW budget is formally approved on an annual basis.	✓	The central ERW budget for 2017-18 was approved by the Joint Committee in February 2017. This included a total contribution of £250k from the 6 Local Authorities, an additional £194k from the local authority reserve, and indicative grant figures (no formal grant offer letters had been received at this time). The 2018-19 budget was approved by the Joint Committee on 21/03/18.	-	-
7.3	Budgets are monitored on a regular basis.	✓	The Managing Director confirmed that the budget is monitored in conjunction with the Deputy Section 151 Officer. The Managing Director also stated that 6 weekly business plan and budget monitoring meetings are held, where the budget is reviewed by the Senior Leadership Team and Senior Accountant. The Joint Committee meets on a quarterly basis and budget monitoring reports are taken to each meeting.	-	-


No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.4	Financial performance is in line with budgets.	✓	The majority of ERW spend is grant funded and expenditure therefore has to reconcile to the grant awarded. Any underspends have to be paid back to the awarding body, and Internal Audit was informed that this was the case for some Authority expenditure in 2016-17. To avoid this happening in 2017-18, Authorities were provided with funds based on actual expenditure (rather than being given the funds in advance) and verbal updates were requested each quarter to determine if funds had been spent (Internal Audit was informed that for 2017-18 Authorities gave assurance that the funds were spent). Any ERW overspends (central budget or grants) would need to be funded from reserves. Central spend is consistently more than the £250k contributions received from Authorities and an element of reserves is used each year. Reserves are therefore reducing each year and there will come a point where there will not be sufficient funds available. The level of reserves as at 31/03/19 is estimated to be £386k (based on 2017-18 usage, this would only be sufficient to fund a further 2 years).	The level of Local Authority contributions and the level of reserves should be reviewed to determine if they are sufficient or if additional contributions are required from Authorities going forward. <b>Grade: A1</b>	<b>Acceptance:</b> Agreed <b>Management Response:</b> 1. A forecasting exercise is to be undertaken to establish the amount of funding required over the next few years. 2. Explore opportunities to reduce costs within ERW. 3. Offset realised cost savings to calculated financial spend. <b>Timescale for Action:</b> December 2018 <b>Responsible Officer:</b> ERW Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.4 (cont)			<p>A “Review of ERW Financial Arrangements” report was taken to Joint Committee in September 2017 and this reflected the fact that the current level of Local Authority contributions would not be sufficient going forward. The outcome of this was that a Programme Team would report back to Joint Committee with a set of proposals which could be considered and agreed.</p> <p>Internal Audit was informed that this is currently on hold as it is linked with the Review &amp; Reform programme.</p>		



No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.5	The use of journals is minimal.		<p>Wales Audit Office, as part of their audit for 2016-17, identified the high number of adjustments on the ledger (2179). The Managing Director stated that controls were put in place to help reduce the number of journals in 2017-18. Written guidance (indicating the type of project for each code) was provided to staff and codes are checked by middle managers when authorising transactions.</p> <p>However, the number of adjustments in 2017-18 almost doubled (4329), with just under half of these (48%) being carried out in Period 14. Internal Audit was informed that changes were made to the budget (grouping related budget codes and increasing the number of subjective codes) but this was not implemented until July 2017 (due to closure of accounts) and this would account for the volume of adjustments. Internal Audit was also informed that a number of journals would relate to salaries, and as ERW is mainly grant funded, there is therefore an option to move salaries between grants depending on work being undertaken by employees.</p>	<p>A review of journals needs to be carried out to determine the reasons for the high volume in order that processes can be put in place to reduce the number of journals going forward.</p> <p><b>Grade: B2</b></p>	<p><b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b></p> <p>Undertake a review of all adjustments to establish reasons for the high volume.</p> <p>Analyse the data to establish cause</p> <p>Design processes to reduce the number of journals.</p> <p>Implement these processes.</p> <p><b>Timescale for Action:</b></p> <p>March 2019</p> <p><b>Responsible Officer:</b></p> <p>ERW Managing Director</p>


No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.6	All journals have to be authorised on the ledger.	✓	There is a separation of duties between preparation and authorisation of adjustments and this is evidenced on the ledger.	-	-
7.7	The accounts closure process has been reviewed to ensure that high quality financial statements and working papers can be produced on a timely basis, and that only transactions relating to work completed before the financial year end are included as expenditure in the financial statements.	✓	The Managing Director stated that there were issues with the accounts closure in 2016-17 due to capacity (ERW were without a dedicated Accountant for 6 of the 12 months). Posts have now been filled and a Senior Accountant has been in post for the full year and confirmation was obtained that 2017-18 accounts have been published in a timely manner.	-	-

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
<b>COMPLIANCE WITH GRANT FUNDING TERMS &amp; CONDITIONS</b>					
7.8	Prescribed grant conditions are complied with.		<p>With the exception of the Education Improvement Grant and the Pupil Development Grant, assurance is not currently obtained that all funds have been spent as intended and in accordance with the grant terms and conditions when funds are delegated to schools/Local Authorities.</p> <p>Testing also identified that claims for funding are not always being submitted within the specified timeframes (sometimes, but not always, due to Authority claims not being submitted to ERW by specified timeframes).</p> <p>Internal Audit was also made aware of issues with the LAC element of the PDG in 2017-18. The terms and conditions of the grant state that this element should be retained and managed centrally by ERW, but this has not happened and these funds have been delegated to Authorities. Welsh Government are currently carrying out a review of the use of the EIG and PDG in ERW.</p> <p>For detailed testing refer to Appendix C.</p>	<p>For all funds delegated to schools/Local Authorities, assurance (signed by the school/Local Authority) should be obtained confirming that all funds have been spent as intended and in accordance with the grant terms and conditions.</p> <p>A possible option would be to add this to the existing evaluation process.</p> <p><b>Grade: B1</b></p>	<p><b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b></p> <p>The recommendations suggested has been implemented as follows. Grant funding forms for schools and Local Authorities have been revised to address this recommendation – they now include a line where it is explicitly asked to state/agree that the funding has been spent as intended and in accordance with the grant terms and conditions.</p> <p>ERW managers will be responsible for ensuring that the evaluations are returned promptly and the quality of the evaluation is sufficient to demonstrate value for money.</p> <p><b>Timescale for Action:</b></p> <p>December 2018</p> <p><b>Responsible Officer:</b></p> <p>ERW Managing Director</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
<b>DISTRIBUTION OF GRANT FUNDING</b>					
7.9	There is a clear methodology for the allocation of grant funding (including a rationale for selecting schools), and this has been approved by Joint Committee.		<p>There was a clear methodology for the allocation of grant funding and a rationale for selecting schools (e.g. directed by Welsh Government, based on performance data and discussions with Challenge Advisers, expressions of interest, posts advertised) for the sample of grants and projects reviewed.</p> <p>However, the delegation arrangements for making these decisions was not clear. A report went to Joint Committee in June 2016 stating that decisions on additional ad hoc Welsh Government grants be delegated to the Managing Director and it was agreed that this arrangement be approved and the Legal Agreement be amended accordingly.</p> <p>However, when this came back to the November 2016 meeting for formal approval, the delegation arrangements which were then formally approved by the Joint Committee stated that decisions on additional ad hoc Welsh Government grants be delegated to the Executive Board. This has not been happening.</p>	<p>The delegation arrangements for the allocation of grant funding need to be clarified and formally approved by the Joint Committee.</p> <p><b>Grade: A2</b></p>	<p><b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b> Delegation of EIG to be agreed by Directors and Chief Executives. Joint Committee on July 2018 agreed for Legal Agreement to be updated to provide clarity on grant delegation arrangements.</p> <p><b>Timescale for Action:</b> Ongoing</p> <p><b>Responsible Officer:</b> ERW Managing Director, Lead Director, Section 151 Officer, Monitoring Officer</p>



No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
<b>COMPLIANCE WITH FINANCIAL PROCEDURES</b>					
7.10	Financial procedures are complied with.		Testing identified a number of instances of non-compliance with financial procedures.	Refer to Appendix D for detail.	Refer to Appendix D for detail.
<b>8</b>	<b>Business Plan Implementation &amp; Value for Money</b>				
8.1	All aspects of the Business Plan are being implemented.		<p>The ERW Business Plan 2017-20 actions are recorded and monitored on the ERW Intranet site. This includes 402 actions, and at the start of March 2018, 36 were recorded as completed, with a further 304 recorded as on track (84% on track or completed). A further 3 were no longer relevant (1%), with 19 behind schedule (5%) and 40 with an early risk identified (10%).</p> <p>Internal Audit were advised that some actions were outside of ERW's control and sat with the Local Authorities. For the 2018-21 Business Plan, the actions are all areas that ERW have control of.</p>	-	-



No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.2	Arrangements are in place to monitor the implementation of the Business Plan.		<p>The Business Plan sets out the Level 1 Priorities and Plan, which are underpinned by Level 2 Business Plans and Level 3 Business Plans. Each Level 3 Business Plan has a Lead Officer and working group (where appropriate) made up of central staff and Local Authority representatives. Monitoring meetings have previously taken place every half term with any issues escalated to the relevant board. Evidence of this was viewed by Internal Audit.</p> <p>However, this process has changed for 2018-19 and a new quality assurance calendar has been documented.</p> <p>This includes a Business Plan Monitoring meeting each term which will involve all the Level 3 Business Plan Lead Officers and the 3 Heads of Service, with any issues escalated to the Executive Board. However, these will not commence as planned as the Business Plan is yet to be formally approved by Joint Committee.</p>	<p>The 2018-19 Business Plan needs to be formally approved by Joint Committee as soon as possible.</p> <p><b>Grade: A1</b></p>	<p><b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b></p> <p>The Business Plan has to be re-written and presented back to the Joint Committee for approval.</p> <ol style="list-style-type: none"> <li>The Directors of Education are to consider the contents of the Business Plan and to amend it taking into consideration the concerns of the Joint Committee.</li> <li>Submit to Welsh Government for approval.</li> <li>Assist Welsh Government with additional supporting information.</li> <li>Re-present for sign-off.</li> </ol> <p><b>Timescale for Action:</b></p> <p>October 2018</p> <p><b>Responsible Officer:</b></p> <p>ERW Managing Director</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.3	The Business Plan is aligned with financial planning.	✓	<p>Internal Audit was informed that the business plan is produced based on Local Authority priorities, national priorities, and local needs. From this a business plan with Level 1 Priorities/Objectives is developed, with operational Level 2 and Level 3 plans feeding into this. As information has been more readily available from Welsh Government this year, ERW have been able to identify relevant funding streams for each of the plans, but the plan could not be fully aligned to the budget.</p> <p>The Business Plan has yet to be formally approved by Joint Committee which represents a significant risk.</p>	Refer to recommendation 8.2	Refer to recommendation 8.2

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.4	A Value for Money framework is in place, is effective, and the achievement of value for money is clearly demonstrated, measured and monitored.	✓	<p>A Value for Money framework is in place and requires plans/projects to be assessed against 7 criteria. ERW Impact Reports are completed each year and these are circulated within the ERW region (e.g. to Headteachers and Local Authorities) but there is an opportunity to publicise these reports further in the public domain to raise awareness of the work carried out by ERW and the impact and value being achieved.</p> <p>It was noted that previous impact reports included headline figures and more qualitative data to evidence the improvement in outcomes. This was less so in the 2016-17 Impact Report which was much more narrative with no key headline figures. Internal Audit was informed that a new report style was trialled but it is likely that they will return to the previous reporting format. Various data analysis is carried out which indicates some key positive messages which could also be used within these Impact Reports to evidence the impact on outcomes since the inception of ERW.</p>	<p>a. Annual ERW Impact Reports should be publicised in the public domain (potentially via a press release) to raise awareness of the work carried out by ERW and the impact and value being achieved, and increase public perception. Value added should also be aligned to funding where possible.</p> <p><b>Grade: A2</b></p>	<p>a. <b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b></p> <p>The format of the Annual Impact Reports are to be re-instated and published to raise awareness of the achievements made.</p> <p>a. Annual Impact Reports are to include key headline achievements using quantitative data to evidence improvements.</p> <p>b. The quality of the qualitative data needs to be improved.</p> <p>c. All project officers are to be held responsible to ensure the quality is there.</p> <p>d. Training is to be provided to ensure the reports are received to a certain standard.</p> <p>e. The reports are to be publicised on the website and intranet site.</p> <p>f. Specific improvements are to be selected from the reports and used to promote the ERW brand through individual newsfeeds/articles to highlight the achievements to direct stakeholders and other interested parties.</p>




No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.4 (cont)			Internal Audit was informed that previously grant funding was allocated to schools and evaluations were not always being completed to evidence how this money had been used, but now money is not given until a spending plan is in place and they will then be required to evaluate against those plans. Where evaluations have been completed, there is an opportunity to improve how value for money is evidenced by using qualitative data wherever possible.	b. Overall ERW Impact Reports, and impact reports for individual grants/projects should include qualitative data, and should be aligned to funding, wherever possible to help evidence the impact on outcomes and value added.  <b>Grade: B2</b>	<b>Timescale for Action:</b> April 2019 <b>Responsible Officer:</b> ERW Managing Director  b. <b>Acceptance:</b> Agreed <b>Management Response:</b> Refer to 8.4a. <b>Timescale for Action:</b> Refer to 8.4a <b>Responsible Officer:</b> Refer to 8.4a


No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
9	<b>Project Management of the Review &amp; Reform Programme</b>				
9.1	There is a clear business case setting out the need, aims and benefits of the project.	✓	<p>A decision was made to progress the Review &amp; Reform programme at the September 2017 Joint Committee. A business case overview has been produced and individual business cases for each of the 6 project streams (set out below) have also been documented:</p> <ul style="list-style-type: none"> <li>• Governance</li> <li>• HR</li> <li>• Finance</li> <li>• Improved Premises for Regional working</li> <li>• Communication &amp; Engagement</li> <li>• Digital Infrastructure.</li> </ul>	-	-
9.2	Project objectives (with clear links to ERW's objectives and vision) have been clearly identified.	✓	Anticipated outcomes are included within each business case.	-	-

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
9.3	A clear project plan has been established and is progressing well.		Project plans are set out within the overview business case and each of the individual business cases. However, Internal Audit was informed that work has not progressed any further as all Authorities are unable to reach agreement on the proposed way forward.	Agreement on a way forward for the Review & Reform programme needs to be reached as soon as possible in order that the project can be progressed. <b>Grade: A1</b>	<b>Acceptance:</b> Agreed <b>Management Response:</b> Geraint Rees has been appointed to work with ERW SLT to agree a way forward with Chief Executives and Directors. This work will include: a. Review the current governance arrangements. b. Prepare and agree a mandate for the Review and Reform. c. Prepare and agree a programme plan aligned to the mandate. d. Governance structure to be implemented to facilitate the Review and Reform. <b>Timescale for Action:</b> October 2018 <b>Responsible Officer:</b> ERW Managing Director
9.4	Governance arrangements for the project have been clearly defined.		Governance arrangements have been defined with a Project Manager appointed who reports to a Programme Board. However, the project has not progressed as all Local Authorities are unable to agree a way forward.	Refer to recommendation 9.3	Refer to recommendation 9.3

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
9.5	Risks throughout the project are monitored and mitigated against.	✓	Internal Audit was informed that a risk register for the programme has not yet been drawn up as the programme has not yet officially started. However, assurance was given that all of the risks have been recorded in the main risk register for ERW.	A risk register for the Review & Reform programme should be documented as soon as possible. <b>Grade: B2</b>	<b>Acceptance:</b> Agreed <b>Management Response:</b> A risk register will need to be created specifically for the Review and Reform once a mandate has been created. a. All risks associated to the programme is to be identified and recorded in a risk register. b. An owner is to be assigned to each risk to manage and report on the risk. c. A dependency and benefits map is to be created to show links. <b>Timescale for Action:</b> Following receipt of mandate <b>Responsible Officer:</b> ERW Managing Director
9.6	A Project Manager has been appointed to work on the Review & Reform programme, and is undertaking duties in line with this role.	✗	A Project Manager has been appointed on a temporary contract. However, the programme has not progressed, and the Managing Director stated that the Project Manager is undertaking tasks commensurate with the pay grade.	Refer to recommendation 9.3	Refer to recommendation 9.3



No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
9.7	Key milestones and progress targets have been set and are on track.		Key milestones have been documented within each business case but these have not progressed and are behind target as a way forward for the Review & Reform programme has not yet been agreed.	Refer to recommendation 9.3	Refer to recommendation 9.3
9.8	Sufficient processes for monitoring the progress of the project are in place.		A Programme Board has been established and includes all Directors of Education from the region, the Lead Chief Executive, the Managing Director, the Project Manager, Human Resources, and the Section 151 Officer. The board has met three times to date, however Internal Audit was informed that all Local Authorities were unable to agree a way forward for the Review & Reform programme.	Refer to recommendation 9.3	Refer to recommendation 9.3
9.9	Issues that have impeded project delivery are communicated.		Internal Audit was informed that project delivery has not progressed as a way forward has not yet been fully agreed by all Authorities and that all relevant persons are aware of this. An update on the Review & Reform programme was taken to Joint Committee in March 2018 but the minutes do not show that these issues were communicated.	Refer to recommendation 9.3	Refer to recommendation 9.3

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
<b>10</b>	<b>Preparation for the Introduction of the General Data Protection Regulations (GDPR)</b>				
10.1	Plans have been put in place to prepare for the introduction of the General Data Protection Regulation (GDPR).		The Managing Director stated that initial advice on this has been obtained from Pembrokeshire County Council and some initial work on completing an Information Asset Template has begun. Training has also been provided to employees via an external provider (South West Grid for Learning). Internal Audit was informed that the next agreed step is to refer this to Joint Committee for a Service Level Agreement to be offered to Authorities to assist with this work. It should be noted that work on this has been left late and the implementation date of 25 May 2018 has now passed.	A Joint Committee decision is required on how to progress preparations for the introduction of the General Data Protection Regulation (GDPR) urgently. The ICO's "Preparing for the General Data Protection Regulation (GDPR) - 12 steps to take now" would be a useful starting point. <b>Grade: A1</b>	<b>Acceptance:</b> Agreed <b>Management Response:</b> The SLA is to be opened up to the LAs to allow them to bid for this work and is covered under the Governance section of this Plan. It has been agreed that this will not place until 2019 which presents a non-compliance risk for ERW. This risk has been captured within the main Risk Register. <b>Timescale for Action:</b> April 2019 <b>Responsible Officer:</b> ERW Managing Director

## Assurance Ratings

Level of Assurance	Description
<b>Full</b>	There are either no weaknesses or only low impact weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements, which if addressed would further improve the ability of the Consortium to achieve its objectives. These weaknesses do not affect key elements of the arrangements in place and are unlikely to impair the ability of the Consortium to achieve its objectives. Therefore, we can conclude that the arrangements are adequate and are operating effectively, assisting the Consortium to achieve its objectives.
<b>Substantial</b>	There are some weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements, which could impair the ability of the Consortium to achieve its objectives. However, they would either be unlikely to occur or their impact would be less than high.
<b>Limited</b>	There are weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements, which could have a significant impact on the ability of the Consortium to achieve its objectives.
<b>None</b>	There are weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements which, in aggregate, have a significant impact on the ability of the Consortium to achieve its objectives.

## Recommendation Gradings

<b>Action</b>	<b>Requires strategic management action or a corporate policy or procedural decision.</b>	<b>A</b>	<b>A1*</b>	<b>A2*</b>	<b>A3</b>
	<b>Requires operational management action or a directorate/service policy or procedural decision.</b>	<b>B</b>	<b>B1*</b>	<b>B2</b>	<b>B3</b>
	<b>Continued compliance with an existing policy or procedure.</b>	<b>C</b>	<b>C1</b>	<b>C2</b>	<b>C3</b>
			<b>1</b>	<b>2</b>	<b>3</b>
			<b>Critical</b>	<b>Important</b>	<b>Desirable</b>
			<b>Seriousness</b>		

\*May be reported to the Audit Committee

## Adequate &amp; Effective Ratings

- ✓ Adequate and effective
- ✓ or ✗ Partially adequate and effective
- ✗ Not adequate and effective

## Compliance with Grant Funding Terms &amp; Conditions

Grant Reviewed	Findings
<b>Schools Causing Concern</b>	<ul style="list-style-type: none"> <li>• Whilst progress update forms were evident for the sample selected there is no detail received on actual expenditure, or assurance sought from schools/Local Authorities that expenditure was in accordance with the spending plan, and the grant terms and conditions.</li> <li>• Due to the late award of the grant, claims were only made in quarter 3 and 4. Both were submitted late. The Managing Director stated that it is common practice to have a verbal extension, and that Welsh Government are supportive of these as they are aware that ERW has been, and continues to be, under capacity.</li> </ul>
<b>EIG &amp; PDG</b>	<ul style="list-style-type: none"> <li>• Testing identified that all claims for the EIG &amp; PDG in 2017-18 were submitted after the deadline dates recorded in the grant terms and conditions, though Internal Audit was informed that ERW would have had agreement for all of these from Welsh Government.</li> </ul>
<b>Pioneers</b>	<ul style="list-style-type: none"> <li>• The final grant claim was submitted late. The Managing Director stated that this was a significant issue at the end of the year, as there was a significant change in reporting expectations from Welsh Government.</li> </ul>
<b>Raising Standards</b>	<ul style="list-style-type: none"> <li>• Testing confirmed that all claims were submitted late (though for the first claim it is noted that the award of funding was not received until September 2017 {claim was due 13/10/17}).</li> </ul>
<b>GCSE 17-18 Allocation</b>	<ul style="list-style-type: none"> <li>• Grant claims were submitted late.</li> </ul>
<b>Additional Learning Needs (ALN) Fund 2017-18</b>	<ul style="list-style-type: none"> <li>• Whilst an interim progress evaluation was completed for each project, there is no monitoring of actual expenditure during the year or assurance sought from Authorities to confirm what the funds have actually been spent on and/or to provide assurance that it has been spent as intended and in accordance with the grant terms and conditions.</li> <li>• The final claim (due by the 31st March 2018) was submitted half way through April. The Managing Director stated that getting the information from all Local Authorities was a challenge, and that Welsh Government understand that all the timescales are established for regions as single entities (and the fact that ERW is not set up in the same way is understood).</li> </ul>

## Compliance with Financial Procedures

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
<b>PAYMENT OF EMPLOYEES</b>					
7.10a	All salaries and related expense payments to individuals are paid through the official Payroll System.	✓	<p>All salaries are paid via the official Payroll System (iTrent) with the exception of seconded employees who are paid via their own Local Authority payroll and reimbursement is then sought in the form of an invoice sent to ERW.</p> <p>Examples were identified of expenses being paid using the purchase card. On some occasions this had resulted in the Managing Director effectively authorising her own expenses. Payroll and Procurement both confirmed that accommodation costs should be paid for via the purchase card but any expenses should be paid by the employee and reimbursed via Payroll.</p> <p>The Managing Director raised some concerns with regards to employee's being out of pocket and that some are only seconded. Payroll confirmed the process was the same for all employees whereby the individuals would pay and then be reimbursed a month in arrears.</p>	<p>Expenses other than accommodation costs (e.g. meals) should be paid for by the employee and reimbursement sought via Payroll using the Travel &amp; Expenses Claim Form (seconded employees should seek reimbursement from their originating Authority who can then seek reimbursement from ERW). These should not be paid for using the purchase card and should not exceed the limits set out within the Travel &amp; Expenses policy.</p> <p><b>Grade: C1</b></p>	<p><b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b></p> <p>There is an opportunity to reduce expenses through better planning and more stringent rules on team training days.</p> <ul style="list-style-type: none"> <li>a. Overview of Travel and Expenses Policy provided to all staff in the form of a summary.</li> <li>b. All trainers to ensure the names of candidates are circulated prior to the training to encourage car sharing.</li> <li>c. All residential team training days/meetings to be approved by MD.</li> <li>d. All training courses are to be reviewed to ensure contents make best use of time.</li> <li>e. All budget holders to be measured on budget management as part of their performance appraisal.</li> </ul>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.10a (cont)			Seconded employees would need to seek reimbursement from their originating Authority (who would then seek reimbursement from ERW).		<p>f. Finance staff to ensure all claims/bookings/orders comply with the Financial Regulations and ERW policies and return these to line managers where this is not the case.</p> <p><b>Timescale for Action:</b> November 2018</p> <p><b>Responsible Officer:</b> ERW Managing Director</p>


No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.10b	Supporting records are maintained and arrangements are in place to verify and monitor payments for seconded employees.	✓	Seconded employees continue to be paid by their employer, who invoice ERW for reimbursement. A spreadsheet of expected payments and invoices received for seconded Leaders of Learning is maintained. Testing identified reimbursements for seconded employees dating back to November 2017 and January 2018 which had not been reimbursed at the start of March 2018. Delays were mainly due to schools not yet having submitted invoices. Internal Audit was informed that the reimbursements for Pembrokeshire would now be processed via journal, and invoices requested from other Authorities.	Schools should be reminded of the need to submit invoices for reimbursement of secondments promptly or alternative reimbursement arrangements should be investigated (e.g. if salary is fixed, a periodic reimbursement could be set up without the need for an invoice to be submitted). Prompt reimbursement of salaries should then be made. <b>Grade: B2</b>	<b>Acceptance:</b> Agreed <b>Management Response:</b> A new process is to be introduced to ensure as follows: Salary payments for seconded members of staff a. The monthly salary costs are to be included within the original secondment agreement. b. A spreadsheet is to be created for secondments using the staff number only thus ensuring compliance to GDPR. c. All monthly costs (salary & expenses) recorded against each member of staff. d. Statements are prepared to identify the amount to be sent to each LA and payments made electronically. <b>Timescale for Action:</b> Implementation scheduled for beginning of the 2018-19 academic year <b>Responsible Officer:</b> ERW Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.10c	Authorised signatory lists are up to date and ERW staff are aware of who the authorised officers are.	✓	Authorised signatory details have been provided to the Payroll section. Testing identified a small number of submissions for payment which had been submitted by an Officer <sup>4</sup> (who is not an authorised signatory) with no evidence of authorisation.	All payment requests submitted to Payroll should be submitted by (or show evidence of approval by) authorised officers. If necessary, the authorised signatory list held by Payroll should be updated. <b>Grade: C2</b>	<b>Acceptance:</b> Agreed <b>Management Response:</b> The list of authorised signatories within Pembrokeshire Finance need to reflect the number of staff allowed to authorise payments within ERW. a. Review the list of authorised signatories within ERW and the limit permissible for each. b. Ensure a process is in place to update this list when a change in staff occurs. c. Pembrokeshire Finance to return any unauthorised requests for payment to ERW. d. Senior Accountant to address any breaches of process. <b>Timescale for Action:</b> September 2018 <b>Responsible Officer:</b> ERW Managing Director



<sup>4</sup> Specific details have been made available to the Managing Director and Section 151 Officer.





No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.10d	Timesheets are completed accurately and promptly.	✓	Testing identified some delays in the submission and payment of timesheets. Examples of employees submitting claims at the start of December and not being paid until February, and an example of an employee submitting a claim in October 2017 for work/meetings completed in early 2017 were noted.	External mentors should be reminded of the requirement to submit claims promptly, and these should be forwarded to Payroll in a timely manner. <b>Grade: C2</b>	<b>Acceptance:</b> Agreed <b>Management Response:</b> The following actions are needed in order to improve this situation: a. Terms and conditions of service need to be signed by all mentors. b. Terms and conditions to stipulate when the claim forms are to be submitted. c. Timeframe to be enforced. d. If mentor continues to submit claim form in an untimely manner then consideration should be taken to remove mentor from the list of approved mentors. <b>Timescale for Action:</b> September 2018 <b>Responsible Officer:</b> ERW Managing Director
7.10e	Timesheets are signed off by the employee and an authorised officer.	✓	A sample of timesheets was tested and confirmed that all were signed by the employee (with the exception of one). All had been signed by an authorised officer (though not always dated).	-	-


No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.10f	Employees do not work continuously for more than 6 hours without taking an unpaid break (unless there is prior approval).		Review of admin staff flexi records identified that employees are at times working full days without taking an unpaid break. This contravenes the Working Time Directive and Flexible Working Scheme which states that a minimum 30 minute break must be taken after working 6 hours. Internal Audit was informed that ERW will now be moving to electronic recording via Pembrokeshire County Council's HFX system.	Employees should not work continuously for more than 6 hours without taking an unpaid break (unless this has been formally approved and documented). <b>Grade: C1</b>	<b>Acceptance:</b> Agreed <b>Management Response:</b> Line Managers to periodically check staff HFX entries to check anomalies – any issues around recording breaks to be raised on a 1:1 basis. <b>Timescale for Action:</b> September 2018 <b>Responsible Officer:</b> ERW Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.10g	Employee absence is recorded accurately and promptly, and is monitored and reported on a regular basis.	✓	<p>Sickness absence is reported to Human Resources and recorded on iTrent via monthly returns. Testing did not identify any issues.</p> <p>Testing of flexi records identified some anomalies resulting in employees being credited with more hours than they are entitled to. Examples included:</p> <ul style="list-style-type: none"> <li>employees claiming 7 hours 30 minutes per day for annual leave (equating to 37 hours 30minutes for a week when they are contracted for 37 hours) - some were recording 7 hours for leave on a Friday to compensate for this but others were not.</li> <li>employees working less than 37hrs per week were credited with 7 hours 30 minutes for leave rather than their standard working hours.</li> </ul> <p>These should be resolved by ERW moving to electronic records via Pembrokeshire County Council's HFX system.</p>	<p>Correct working patterns should be entered onto the HFX system to ensure that any employees working reduced hours are only credited with their contracted hours for periods of absence.</p> <p><b>Grade: C2</b></p>	<p><b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b> Line Managers and HR Officers to liaise in order to ensure accuracy of records pertaining to staff working hours. Line Managers to periodically check HFX in order to secure accuracy of recorded absences.</p> <p><b>Timescale for Action:</b> September 2018</p> <p><b>Responsible Officer:</b> ERW Managing Director</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
<b>PURCHASE OF SUPPLIES &amp; SERVICES</b>					
7.10h	Relevant staff are aware of the Financial Regulations which have to be followed.		ERW have adopted Pembrokeshire's Financial Regulations and this is referenced in their Code of Corporate Governance, but relevant employees were not clear on this until it was clarified during the audit.	Relevant employees should be reminded of the Financial Regulations, Procurement Rules, and Standing Orders which ERW have adopted. <b>Grade: C2</b>	<b>Acceptance:</b> Agreed <b>Management Response:</b> In order for staff to comply with the Financial regulations training to be delivered to relevant staff on the contents of the Financial Regulations, Procurement Rules and Standing Orders. <b>Timescale for Action:</b> September 2018 <b>Responsible Officer:</b> ERW Managing Director
7.10i	Relevant staff are aware of the procurement and tendering requirements/procedures which have to be followed.		Relevant staff were aware that ERW have recently adopted Pembrokeshire County Council's Procurement Procedures and Standing Orders Relating to Contracts (from January 2018). However, officers were not fully aware of the detail within the Procurement Rules and Standing Orders.	Refer to recommendation 7.10h	Refer to recommendation 7.10h

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.10j	A robust process (including separation of duties, authorisation, VAT checks) is in place for the purchase of supplies and services.		<p>A sample of 20 orders and invoices was tested. Only 4 of these had been paid within 30 days. An additional £3k (10% late payment charge) had been added to the invoice for one late payment, although this was not actually paid by ERW. Internal Audit was informed that where late payment charges have been incurred recently, ERW has just paid the original debt and on the majority of occasions the supplier does not query this. A number of contributing factors for late payments were relayed to Internal Audit, including capacity, setting up new suppliers, and the Managing Director being the only authorising officer for transactions over £5k (and she can have issues accessing Commitments when away from the office). The potential for the 3 Heads of Service to be made authorising officers may assist with this.</p> <p>For 13 of the sample of 20, the orders had also not been raised on the Commitments system until after the invoice had been received.</p>	<p>a. Invoices should be paid promptly on receipt, and within 30 days at the latest, to avoid claims under the Late Payment of Commercial Debts (Interest) Act 1998.</p> <p><b>Grade: B2</b></p>	<p>a. <b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b></p> <p>To improve the payment of invoices, the following actions are required:</p> <ol style="list-style-type: none"> <li>Review of the Ordering Process to ensure it is as efficient as possible (to support the payment process and compliance to Financial Regulations).</li> <li>The Section 151 Officer is to authorise all expense claims for the MD.</li> <li>All financial anomalies are to be reviewed and resolved by the Senior Accountant/ Trainee Accountant on a regular basis.</li> <li>Review authorisation levels and access to the Commitments system so authorisation is no longer a barrier to payment. (Senior Accountant should have equivalent level as MD).</li> </ol> <p><b>Timescale for Action:</b> March 2019</p> <p><b>Responsible Officer:</b> ERW Managing Director</p>


No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.10j (cont)			An Officer stated that an electronic authorisation form was set up to try and help combat this but this is not yet being used effectively.	<p>b. The number of officers authorised to approve expenditure over £5k on the Commitments system should be increased. A possible option for this would be for the 3 Heads of Service to be given authorisation. <b>Grade: B2</b></p> <p>c. Order should be placed on Commitments system at the time of ordering and not only once the invoice has been received. <b>Grade: C2</b></p>	<p>b. <b>Acceptance:</b> Agreed <b>Management Response:</b> Refer to Management Response 7.10j – a. <b>Timescale for Action:</b> March 2019 <b>Responsible Officer:</b> ERW Managing Director</p> <p>c. <b>Acceptance:</b> Agreed <b>Management Response:</b> Refer to Management Response 7.10j – a. <b>Timescale for Action:</b> March 2019 <b>Responsible Officer:</b> ERW Managing Director</p>
7.10k	Outstanding orders are reviewed and followed up on a regular basis.		A review of outstanding orders on the Commitments system identified a number of orders which remain open dating back to the end of 2016/start of 2017. Internal Audit was informed that a review would be carried out at year end. It was acknowledged that this should be done more regularly.	A review of outstanding orders should be completed as soon as possible. These should then be reviewed on a regular basis going forward. <b>Grade: C2</b>	<p><b>Acceptance:</b> Agreed <b>Management Response:</b> All outstanding orders were reviewed as part of the end of year closure process and there are none outstanding. <b>Timescale for Action:</b> Already undertaken <b>Responsible Officer:</b> ERW Managing Director</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.10I	The purchase card is operated in accordance with the approved purchase card scheme and guidelines.		<p>Only one purchase card had been used at the time of the audit. Testing was carried out for a sample of transactions and identified the following:</p> <ul style="list-style-type: none"> <li>Personal expenses being paid for via the purchase card (refer to recommendation 7.10a), and instances of these exceeding the maximum allowance set out in the Travel &amp; Expenses Policy.</li> <li>Accommodation expenditure regularly exceeding the limits set out in the Travel &amp; Expenses Policy. A separate authorisation document in place for the Managing Director to authorise these.</li> <li>Purchases which did not represent good use of public funds (e.g. room service, refreshments for the office, no show at accommodation).</li> </ul>	<p>a. Whilst it is appreciated that there is management discretion to exceed the accommodation cost limits in the Travel &amp; Expenses Policy, this should be the exception rather than the norm and where possible accommodation within these limits should be sourced. <b>Grade: C2</b></p> <p>b. All purchases should be considered as to whether they represent good use of public funds. Additional extras (e.g. room service, refreshments for office) should be at the employee's own expense rather than from public money. <b>Grade: B2</b></p>	<p>a. <b>Acceptance:</b> Agreed <b>Management Response:</b> Refer to 7.10a <b>Timescale for Action:</b> Refer to 7.10a <b>Responsible Officer:</b> Refer to 7.10a</p> <p>b. <b>Acceptance:</b> Agreed <b>Management Response:</b> Refer to 7.10a <b>Timescale for Action:</b> Refer to 7.10a <b>Responsible Officer:</b> Refer to 7.10a</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.10l (cont)			Testing identified that monthly purchase card returns are not being submitted on a timely basis.	c. Monthly purchase card returns should be submitted to Procurement on a timely basis. <b>Grade: C2</b>	c. <b>Acceptance:</b> Agreed <b>Management Response:</b> Deputy S151 Officer added as a signatory in case of emergency / unavailability of MD to approve card returns. <b>Timescale for Action:</b> Implemented September 2018 <b>Responsible Officer:</b> ERW Managing Director
7.10m	VAT is taken into account and appropriately deducted for purchase card transactions where relevant.	✓	Testing identified that VAT had not been calculated correctly on 2 out of the 20 transactions tested (10%). For a further 2, VAT was applicable but had not been accounted for as VAT invoices had not been received.	a. Where VAT is applicable, VAT invoices should be requested from suppliers in order that the VAT can be appropriately accounted for. <b>Grade: C2</b>	a. <b>Acceptance:</b> Agreed <b>Management Response:</b> All accounting staff have received training in identifying the difference between proforma invoices and VATable invoices. Any proforma invoices are directed to the Senior Accountant who will ensure a VATable invoice is obtained prior to payment, thus ensuring where VAT is applicable, it is appropriately accounted for. <b>Timescale for Action:</b> Completed by September 2018 <b>Responsible Officer:</b> ERW Managing Director



No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
				<p>b. Care should be taken to ensure VAT is recorded correctly for purchase card transactions. This should also be checked as part of the supervisor review.</p> <p><b>Grade: C2</b></p>	<p>b. <b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b> All accounting staff have received training in identifying the difference between proforma invoices and VATable invoices. Any proforma invoices are directed to the Senior Accountant who will ensure a VATable invoice is obtained prior to payment, thus ensuring where VAT is applicable, it is appropriately accounted for.</p> <p><b>Timescale for Action:</b> Completed by September 2018</p> <p><b>Responsible Officer:</b> ERW Managing Director</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.10n	Card supervisors review and authorise all purchase card transactions.		<p>The card supervisor is the Managing Director who is the budget holder and has management responsibility. Testing identified that all transactions had been authorised on the system.</p> <p>Testing also identified a small number of IT purchases which had been purchased on the IT purchase card. This had been approved by the IT card supervisor. The request for these purchases was made by an ERW Officer, though some were over their authorisation limit, with no evidence of authorisation by the Managing Director. Internal Audit was informed that an electronic authorisation form (to be used for all purchases) was set up to try and help combat this but this is not yet being used effectively.</p>	<p>All purchases outside of the ERW purchasing systems (Commitments and purchase card), such as IT purchases procured through the IT department, should be approved by an authorising officer within ERW.</p> <p><b>Grade: C2</b></p>	<p><b>Acceptance:</b> Agreed</p> <p><b>Management Response:</b></p> <p>The current purchase ordering system captures all external procurement. This system has now been applied to IT purchases procured through the IT department, thus ensuring that orders for IT is approved by an authorising officer.</p> <p><b>Timescale for Action:</b></p> <p>Implemented by September 2018</p> <p><b>Responsible Officer:</b></p> <p>ERW Managing Director</p>

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
<b>COMPLIANCE WITH STANDING ORDERS</b>					
7.10o	The Procurement Procedures and Standing Orders Relating to Contracts which ERW are to follow have been clearly set out.	✓	ERW have recently agreed to follow Pembrokeshire County Council's Procurement Procedures and Standing Orders Relating to Contracts. However, officers were not fully aware of the Procurement Rules and Standing Orders. A Service Level Agreement has now been documented which should strengthen arrangements.	Refer to recommendation 7.10h	Refer to recommendation 7.10h
7.10p	Spend with suppliers is reviewed periodically to ensure it is compliant with the Standing Orders Relating to Contracts.	✗	Internal Audit was informed that this is done on an ad hoc basis, with reviews undertaken when staff identify expenditure with a supplier is increasing. Testing identified that whilst tenders, quotes or exceptions were in place for some companies where spend was over £25k, formal signed contracts had not been documented, as officers were unaware that this was required under Procurement rules. ERW have recently met with Pembrokeshire's Procurement team (with whom they now have an SLA) to resolve these issues.	Refer to recommendation 6.1e	Refer to recommendation 6.1e

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