

**DYDD MAWRTH, 3 RHAGFYR 2019**

**PWYLLGOR AR Y CYD ERW  
I'W GADARNHAU AM 10.00 YB,  
AR DYDD LLUN, 9FED RHAGFYR, 2019**

## **A G E N D A**

- |   |                  |
|---|------------------|
| <b>1. YMDDIHEURIADAU AM ABSENOLDEB</b>  |                  |
| <b>2. DATGAN BUDDIANNAU PERSONOL</b>  |                  |
| <b>3. LLOFNODI YN COFNOD CYWIR COFNODION Y CYFARFOD A GYNHALIWYD AR 8 TACHWEDD 2019</b> | <b>3 - 6</b>     |
| <b>4. MATERION YN CODI O'R COFNODION</b>  |                  |
| <b>5. GOHEBIAETH</b>  | <b>7 - 12</b>    |
| <b>6. DIWEDDARIAD AR Y RHAGLEN ADOLYGU A DIWYGIO</b>                                    | <b>13 - 24</b>   |
| <b>7. DIWEDDARIAD AR GYLLID 2019-20</b>   | <b>25 - 54</b>   |
| <b>8. COFRESTRE RISG</b>  | <b>55 - 100</b>  |
| <b>9. PERFFORMIAD CA4 A NEWID POLISI</b>  | <b>101 - 114</b> |
| <b>10. CYMORTH UWCHRADD AC YSGOLION SY'N CAEL CYMORTH YCHWANEGOL</b>                    | <b>115 - 124</b> |
| <b>11. RHAGLEN WAITH ARCHWILIO MEWNOL 2019-20</b>                                       | <b>125 - 130</b> |



<b>12. ADBORTH GAN Y SESIWN GWERTHUSO A GWELLA RANBARTHOL</b>	<b>131 - 160</b>
<b>13. ADRODDIAD YR YMCHWILIAD ARCHWILIO MEWNOL</b>	<b>161 - 194</b>
<b>14. UNRHYW FATER ARALL Y GALL Y CADEIRYDD OHERWYDD AMGYLCHIADAU ARBENNIG, BENDERFYNU EI YSTYRIED YN FATER BRYN YN UNOL AG ADRAN 100B(4)(B) DEDDF LLYWODRAETH LEOL 1972</b>	
<b>15. GORCHYMYN I'R CYHOEDD ADAEL Y CYFARFOD</b>	
WEDI YSTYRIED HOLL AMGYLCHIADAU'R ACHOS AC WEDI CYNNAL PRAWF BUDD Y CYHOEDD GALL YR PWYLLGOR AR Y CYD ERW FARNU NAD YW'R EITEMAU CANLYNOL I'W GYHOEDDI AM EI FOD YN CYNNWYS GWYBODAETH EITHRIEDIG FEL Y'I DIFFINNIR YM MHARAGRAFFAU 12, 13 A 15 O RAN 4 O ATODLEN 12A I DDEDDF LLYWODRAETH LEOL 1972, FEL Y'I NEWIDIWYD GAN ORCHYMYN LLYWODRAETH LEOL (MYNEDIAD AT WYBODAETH) (AMRYWIO) (CYMRU) 2007.	
<b>16. DIWEDDARIAD AR GYLLID 2020-21</b>	<b>195 - 200</b>
<b>17. PENODI RHEOLWR GYFARWYDDWR</b>	<b>201 - 206</b>
<b>18. YMCHWILIAD ARCHWILIO MEWNOL ERW I RAGLEN YR ARWEINWYR DYSGU (NODIADAU O'R CYFARFODYDD)</b>	<b>207 - 238</b>

(NOTE: THESE MINUTES ARE SUBJECT TO CONFIRMATION BY THE JOINT COMMITTEE AT ITS NEXT MEETING)



**ERW Joint Committee**  
**Friday 8<sup>th</sup> November 2019**  
**Y Cothi, - Canolfan Halliwell Centre, University of Wales Trinity St David,**  
**Carmarthen. SA31 3EP.**  
**2.00pm-3.50pm**

**PRESENT:** Councillor Ellen ap Gwynn [Chair], Ceredigion County Council

Councillor Jen Raynor (substituting for Cllr Rob Stewart)	Swansea City Council
Councillor Phyl Davies (substituting for Cllr Rosemarie Harris)	Powys County Council
Councillor Guy Woodham (substituting for Cllr David Simpson)	Pembrokeshire County Council
Mr Gareth Morgans (substituting for Wendy Walters)	Carmarthenshire County Council
Mr Phil Roberts	Swansea City Council
Dr Caroline Turner	Powys County Council
Ms. Meinir Ebbsworth (substituting for Eifion Evans)	Ceredigion County Council
Dr Chris Llewelyn	WLGA
Mr Jonathan Haswell (also substituting for Ian Westley)	Pembrokeshire County Council (ERW - S151 Officer)
Ms Elin Prysor	Ceredigion County Council (ERW - Monitoring Officer)
Ms Kate Evan-Hughes	Pembrokeshire County Council (Lead Director)
Mr Ceri Davies	Pembrokeshire County Council (ERW - HR)
Ms Helen Lewis	Pembrokeshire County Council (ERW - HR)
Mr Alex Ingram	Welsh Government
Ms Natalie Chambers	ERW
Mr. Osian Evans	ERW
Mr Martin S. Davies	Carmarthenshire County Council (Democratic Services)



**1. APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillor Emlyn Dole (Carmarthenshire County Council), Councillor Rob Stewart (Swansea City Council), Councillor Rosemarie Harris (Powys County Council), Councillor David Simpson (Pembrokeshire County Council), Wendy Walters (Carmarthenshire County Council), Ian Westley (Pembrokeshire County Council), Andi Morgan (ERW Interim Managing Director) and Ruth Conway (Welsh Government).

**2. DECLARATIONS OF PERSONAL INTERESTS**

There were no declarations of personal interests made at the meeting.

**3. MINUTES – 15<sup>th</sup> JULY 2019**

**AGREED** that the minutes of the meeting held on 15<sup>th</sup> July 2019 be signed as a correct record.

**4. GOVERNANCE ARRANGEMENTS**

The Joint Committee considered a report setting out a proposed revised governance structure for ERW following the implementation of the review and reform programme, which, if approved, would enable the monitoring officer to provide a further report detailing any legal implications and changes required to the ERW Legal Agreement. It was noted that the views of the respective Heads of Legal on the proposed arrangements would need to be ascertained.

The Chair referred to proposals recently announced by Julie James AM, Welsh Government Minister for Housing and Local Government, to establish a new form of joint working vehicle called a 'corporate joint committee' aimed at making it easier for local authorities to collaborate in certain areas and questioned whether this could impact on ERW's structure.

The Lead Chief Executive expressed support for the draft proposals in principle, subject to legal input.

**RESOLVED** that a formal decision on future governance arrangements be deferred pending publication of the Local Government & Elections Bill.

**5. ANY OTHER ITEMS OF BUSINESS THAT BY REASONS OF SPECIAL CIRCUMSTANCES THE CHAIR DECIDES SHOULD BE CONSIDERED AS A MATTER OF URGENCY PURSUANT TO SECTION 100(4)(B) OF THE LOCAL GOVERNMENT ACT 1972**

The Chair noted that there were no other items of business that should be considered as a matter of urgency.

**6. EXCLUSION OF THE PUBLIC**

**AGREED**, pursuant to the Local Government Act 1972, as amended by the Local Government (Access to Information) (Variation) (Wales) Order 2007, that the public be excluded from the meeting during consideration of the





following items as the report contained exempt information as defined in paragraphs 13 and 15 of Part 4 of Schedule 12A to the Act.

**7. STAFFING / RECRUITMENT OF MANAGING DIRECTOR**

Following the application of the public interest test it was **UNANIMOUSLY RESOLVED**, pursuant to the Act referred to in Minute 6 above, to consider this matter in private, with the public excluded from the meeting as the report contained information relating to consultations or negotiations or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority and employees of the authority.

The Joint Committee had been circulated with a report which outlined proposals for the recruitment and selection of the Managing Director at ERW. In light, however, of budget and future ERW 'footprint' uncertainties and the need for clarification from the Welsh Government on the issue of Corporate Joint Committees and Joint Scrutiny, members took the view that they could not ratify the appointment process until there was a clearer picture of the way forward. Concern was also expressed that not all parties had been made fully aware of the agreement reached with the former incumbent.

**AGREED**

- 7.1 that consideration of the report be deferred to an additional meeting of the Joint Committee be held on Monday, 9<sup>th</sup> December 2019 at 10.00 am. and that details of the agreement reached with the former MD be circulated also;**
- 7.2 a report on the budget be included on the agenda for the abovementioned meeting.**

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**CHAIR**

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**DATE**



Mae'r dudalen hon yn wag yn fwriadol

## CYD-BWYLLGOR ERW 9 RHAGFYR 2019

### Gohebiaeth

Diben:

I ddarparu manylion unrhyw ohebiaeth sydd wedi cyraedd ers cyfarfod blaenorol y Cyd-Bwyllgor

1. Grwp Cynghorwyr Craffu ERW (llythyr wedi ei ddanfôn at Cyngor Ellen ap Gwynn, 22.10.19)

### ARGYMHELLION/PENDERFYNIADAU ALLWEDDOL SY'N OFYNNOL:

I aelodau'r Cyd-Bwyllgor gytuno prif bwyntiau'r llythyr ymatebol

### RHESYMAU:

Trefniadau llywodraethu presennol

Awdur yr Adroddiad:

Cynghorydd Ellen ap Gwynn

Teitl:

Cadeirydd y Cyd-Bwyllgor

Rhif Ffôn:



# EXECUTIVE SUMMARY

## ERW JOINT COMMITTEE

### 9 DECEMBER 2019

**Correspondence (ERW Scrutiny Councillor Group – 22.10.19)**

#### **BRIEF SUMMARY OF PURPOSE OF REPORT:**

Formulate a response to the ERW Scrutiny Councillor Group based on the issues raised and four specific points.

**DETAILED REPORT ATTACHED?**

**YES (Copy of letter)**

### **IMPLICATIONS**

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

### **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:**

**THESE ARE DETAILED BELOW**

Title of Document	File Ref No.	Locations that the papers are available for public inspection
N/A	N/A	N/A





At:  
**Y Cyng. Ellen ap Gwynn**  
Cadeirydd Cyd-bwyllgor ERW

Gofynnwch am: Y Tîm Craffu

Llinell y Swyddfa Graffu: 01792 637256

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

Dyddiad 22/10/2019

Annwyl Gynghorydd ap Gwynn

### **Grŵp Cynghorwyr Craffu ERW – 23 Medi 2019**

Hoffai Grŵp Cynghorwyr Craffu ERW ddiolch i Kate Evan-Hughes, Andi Morgan, Yan James, Cressy Morgan a Greg Morgan am ddod i'n cyfarfod, am gyflwyno'r wybodaeth y gofynnwyd amdani ac am ateb ein cwestiynau. Ysgrifennaf atoch i adlewyrchu safbwyntiau'r cyfarfod hwnnw.

Roeddem yn falch o glywed bod ERW wedi llwyddo i recriwtio i ystod o swyddi allweddol a bod hyder bod yr holl benodiadau hyn wedi bodloni'r disgwyliadau. Dywedwyd wrthym fod y cysylltiadau cyfathrebu wedi gwella a bod llif gwybodaeth clir i'r ysgolion erbyn hyn. Roeddem hefyd yn falch o glywed bod pob un o'r chwe Awdurdod Lleol bellach yn gweithio gyda'i gilydd i ysgogi gwelliant.

Cawsom wybod bod angen i'r awdurdodau lleol ledled y rhanbarth gytuno ar y Strwythur Llywodraethu, ac y bydd yn cael ei gyflwyno i Gydbwyllgor nesaf ERW. Hefyd bod y cynllun dirprwyo yn esblygu. Hoffem weld y rhain pan fyddant ar gael.

Clywsom y bydd y trefniadau llywodraethu yn cynnwys agweddau fel cyfarfodydd rheolwyr misol, grwpiau 3-2-1 Strategol, grŵp/grwpiau Penaethiaid, Craffu a'r Bwrdd Cynghori. Codwyd y mater o sut y gallai ERW gynnwys cynrychiolwyr o'r gymuned fusnes leol yn y trefniadau hyn. Roeddem yn awyddus i hyn gael ei ystyried oherwydd bod rhaid i ni sicrhau y dylai'r sgiliau yr ydym yn eu rhoi i'n disgyblion wneud y mwyaf o'r cyfleoedd cyflogaeth sydd i'w cael ledled y rhanbarth. Er enghraifft, y cyfleoedd a fydd yn codi o'r Fargen Ddinesig a'r Fargen Twf. Rydym yn deall y gall Cyd-bwyllgor ERW benodi arbenigwyr i'r Bwrdd Cynghori, a byddem yn awyddus i weld hyn yn cael ei ystyried.

Roeddem yn falch o glywed y bydd y model newydd yn golygu y bydd llawer mwy o dryloywder ym mhrosesau ERW, yn ogystal â thryloywder o ran materion ariannol.

Rhoddwyd sylw i gynnydd o ran y Cwricwlwm Newydd i Gymru, a chlywyd bod chwe sesiwn ddatblygu wedi'u cynnal ar y cyd â Llywodraeth Cymru, ond nid oedd y rhain wedi denu'r niferoedd y gobeithiwyd eu gweld. O ganlyniad, mae ERW yn bwriadu cynnal mwy o sesiynau ledled ardaloedd yr awdurdodau lleol gwahanol, a'u cysylltu'n llawer agosach ag ysgolion, er mwyn annog a gwella presenoldeb. Fe'n calonogwyd i glywed bod rhywfaint o arian wedi cael ei wneud ar gael i ysgolion i'w helpu i ryddhau staff i allu mynd i'r sesiynau. Roeddem hefyd yn awyddus i Lywodraethwyr allu gael mynediad at y rhain, ac roeddem yn falch o glywed eu bod yn gallu mynychu unrhyw sesiynau sy'n cael eu trefnu. Roeddem yn teimlo y gallai fod angen gwneud Llywodraethwyr yn ymwybodol o hyn.

Roeddem yn falch o glywed am y cynnydd a wnaed ledled y rhanbarth o ran y Cwricwlwm Newydd, ond roeddem yn teimlo bod yn rhaid i ni symud yn gyflym yn hyn o beth. Roeddem yn teimlo ei bod yn hanfodol sicrhau bod pob ysgol yn barod a bod diwylliant o ddysgu wedi'i ddatblygu.

Cawsom gyflwyniad addysgiadol ar Ddysgu a Systemau Digidol gan Arweinydd ERW. Roedd gennym ddiddordeb mewn clywed am y mater cyfredol iawn hwn, a chroesawyd y gwaith da sy'n digwydd yn y maes hwn. Mae gennym rai pryderon ac rydym yn teimlo bod yn rhaid mynd i'r afael â'r rhain er mwyn i'r agwedd hon ar y Cwricwlwm Newydd fod yn llwyddiannus. Mae'r pryderon hyn yn cynnwys:

1. Sicrhau bod gennym weithlu a all fodloni'r gofynion hyn a bod hyfforddiant a datblygiad digonol ar gael i'r staff hynny allu diwallu a deall anghenion y llinyn hwn o'r cwricwlwm newydd.
2. Sicrhau bod gennym y seilwaith cywir, sy'n ddibynadwy, a bod gennym y gefnogaeth TGCh briodol i gynnal y systemau hyn. Roedd hyn hefyd yn cynnwys y mater o ran diffyg cysylltedd band eang mewn rhannau o'r rhanbarth.

Cawsom sesiwn ddefnyddiol hefyd gydag Arweinydd Iechyd a Lles ERW. Amlinellodd y cyd-destun cenedlaethol, gan gynnwys sut y mae'n cyd-fynd, er enghraifft, â Deddf Llesiant Cenedlaethau'r Dyfodol, y Genhadaeth Genedlaethol a Chwricwlwm i Gymru. Clywyd y bydd yn un o linyddau allweddol y Cwricwlwm Newydd ac y bydd yn rhedeg trwy'r holl linyddau eraill, a groesawyd gennym. Roeddem hefyd yn croesawu'r gwaith sy'n digwydd i feithrin perthnasoedd ag amrywiaeth eang o sefydliadau ledled Cymru a fydd yn helpu i gyflawni'r agwedd hon ar y cwricwlwm.

Rydym yn deall bod gwaith yn digwydd gyda chydweithwyr Hyfforddi Athrawon i helpu i ymgorffori'n llawnach yr agwedd hon ar y cwricwlwm newydd mewn cyrsiau hyfforddiant cychwynnol athrawon. Rydym yn cydnabod bod hyn yn newid sylweddol iddynt, ond cytunwyd ag Arweinydd ERW ei bod yn ymwneud ag ennill llwyr gefnogaeth, a bydd hyfforddiant athrawon yn allweddol yn hyn o beth.

Croesawn eich meddyliau am unrhyw un o'r materion a godwyd yn ein llythyr, ond byddem yn gofyn am ymateb ysgrifenedig i'r pwyntiau a ganlyn:

1. Rydym yn argymhell eich bod yn ymchwilio i'r posibilrwydd o gynnwys arbenigwr o'r gymuned fusnes ar Fwrdd Cyngori ERW.
2. Byddem yn argymhell bod cynllun dirprwyo yn cael ei ysgrifennu sy'n cefnogi'r strwythur llywodraethu newydd.

Darperir Cymorth Craffu Grŵp Cyngorwyr 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)

3. Rydym yn argymhell bod ERW yn sicrhau bod Llywodraethwyr yn ymwybodol eu bod yn gallu mynychu'r sesiynau a gynllunnir ar Gwricwlwm i Gymru.
4. Rhaid i ERW weithio gydag awdurdodau lleol i sicrhau bod gan y gweithlu y sgiliau, yr isadeiledd, y cysylltedd a'r gefnogaeth angenrheidiol i alluogi dysgu digidol ledled y rhanbarth.

Yr eiddoch yn gywir,

**Y Cyng. Endaf Edwards**  
**Cadeirydd Grŵp Cynghorwyr Craffu ERW**  
[endaf.edwards@ceredigion.gov.uk](mailto:endaf.edwards@ceredigion.gov.uk)



Mae'r dudalen hon yn wag yn fwriadol



## CYD-BWYLLGOR ERW 9 RHAGFYR 2019

### Diweddariad Rhaglen Diwygio ac Adnewyddu

#### Diben:

I ddarparu diweddariad a throsolwg i'r i'r Cyd-Bwyllgor o'r cynnydd parthed ein gwiah diwygio ac adnewyddu

#### ARGYMHELLION/PENDERFYNIADAU ALLWEDDOL SY'N OFYNNOL:

Dim i'w nodi – er gwybodaeth yn unig

#### RHESYMAU:

N/A

<b>Awdur yr Adroddiad:</b>	<b>Teitl:</b>	<b>Rhif Ffôn:</b>
Andi Morgan	RhG Dros Dro ERW	01267 676840



# EXECUTIVE SUMMARY

## ERW JOINT COMMITTEE

### 9 DECEMBER 2019

#### ERW Review and Reform Update

#### BRIEF SUMMARY OF PURPOSE OF REPORT

The report provides Joint Committee members with a progress update on the ERW review and reform activity. In particular, it highlights the enhancement of the central team capacity following the Summer Term, 2019 recruitment campaign.

In addition, the report shares key messages with regard to the Team's work during the Autumn Term, 2019 including Business Plan delivery and future priorities.

DETAILED REPORT ATTACHED?	YES
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## IMPLICATIONS

Policy, Crime & Disorder and Equalities <b>NONE</b>	Legal <b>NONE</b>	Finance <b>YES</b>	Risk Management Issues <b>YES</b>	Staffing Implications <b>YES</b>
1. <b>Finance:</b> All aspects of the review and reform programme have been subject to financial planning processes. Future provision will need to meet the capacity of the revised ERW budget.				
2. <b>Risk Management:</b> The report addresses elements connected to our risk management content with regard to staff capacity.				
3. <b>Staffing Implications:</b> The report addresses current staffing levels and overall team capacity.				

## 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:

**THESE ARE DETAILED BELOW**

Title of Document	File Ref No.	Locations that the papers are available for public inspection
N/A	N/A	N/A



**Powys**  
Tudalen 15

Mae'r dudalen hon yn wag yn fwriadol



Ein Rhanbarth ar Waith  
Education through Regional Working

# Diweddariad Adolygiad a Dwygiad ERW Review and Reform Update

## 9.12.19

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.



Ynys y Ddraig

## **Contents:**

- **Purpose of the report**
- **Section 1: ERW Team Structure**
- **Section 2: ERW Team Activity**
- **Section 3: ERW Business Plan and future priorities**
- **Section 4: Appendices**

## **Purpose of the Report:**

To provide Joint Committee members with an overview of our review and reform progress to date.

## **Section 1: ERW Team Structure:**

Our central ERW Team structure has been significantly strengthened following the successful recruitment and appointment processes undertaken during the Summer Term, 2019. The summary noted in Appendix 1 provides you with an overview our current staff complement.

We have now finalised all aspects of appointments to the Finance Team and Business Support Team.

We are delighted with the depth of expertise and experience across the revised team and are utilising their skills and expertise in support of our schools.

We undertook an 'ERW Induction Week' which commenced on 2.9.19. We employed a 'whole Team approach' with all staff present. We covered a wide range of topics to ensure whole Team understanding of our values, moral purpose and strategic direction.

Our studies and conversations included:

- Values and behaviours
- Protocols and procedures
- Curriculum for Wales
- Schools as Learning Organisations
- Digital systems
- Leadership pathways
- Human Resources
- Business planning and key priorities



- Building teams and innovation

These activities have provided us with a firm foundation for our future working and ‘modus operandi.’ We have shared key messages with our Senior Challenge Adviser Group to provide them with the confidence and knowledge of our ‘One Team’ approach.

## Section 2: ERW Team activity:



### i) ERW Curriculum Engagement Events:

Our ‘Curriculum Engagement Events’ have been rolled out across the region. We have completed fourteen individual sessions with the Team’s final presentation held in Llanellwedd on 12.11.19. We took advantage of the following locations across the series to ensure a wide and encompassing geographical spread in support of our schools and practitioners: Narberth, Carmarthen, Swansea (x2), Aberteifi, Dolfor and Llanellwedd. As a result, we succeeded in facilitating the attendance and contributions of over 600 practitioners.

Ongoing feedback has remained positive with Head teachers, CAs and LA officers welcoming the opportunity to share information and views during the sessions (summary below). We will now build further on this work with a follow-up programme planned for the Spring Term. The central ERW Team would like to note its warmest thanks for all the support provided locally and in particular, the attendance and contributions of LA officers.

### Feedback overview (seven questions):

1.	The event met its stated aims & objectives –	96% positive
2.	Presentations were clear, and effective –	96% positive
3.	Content was well-organised and easy to follow –	98% positive
4.	Length and pace was suitable –	93% positive
5.	Participation and interaction were encouraged –	98% positive
6.	Materials and resources shared were helpful –	90. % positive
7.	Material available bilingually –	93% positive

ii) **ERW Roadshows:**

We have commenced a series of 'ERW Roadshows' with visits to Carmarthenshire, Pembrokeshire, Powys, Swansea and Ceredigion undertaken to date. The sessions provide a brief summary of the revised ERW team structure along with a more detailed focus on Schools as Learning Organisations as the main event. This work has been most professionally and effectively led by Sally Llewellyn, supported by Sarah Perdue. To date, school leaders have enjoyed the opportunity to raise questions in general with regard to the SLO model and propose refinements and improvements to our current ERW communication systems.

iii) **Estyn Link Visit:**

We warmly welcomed Mark Champion, HMI and Karen Newby Jones, HMI to Y Llwyfan on 11.11.19. We provided a broad range of discussion groups to assist Mark and Karen in gaining a comprehensive view of how the revised team has settled in, progressed and engaged with schools to date. We shared an outline of the revised team structure and content of this year's Business Plan. We also gained the opportunity to further discuss and share some of our information / evidence resources and mechanisms e.g. the ERW Support Log.

iv) **Communication and Engagement:**

We have undertaken a range of communication and engagement activities with numerous partners. The key focus to all of this work has been and includes:

- Meetings with Primary and Secondary HT associations
- Officer attendance across a wide range of national networks to ensure the ERW voice is heard and contributes to future provision and strategic planning for school improvement, including WG groups - Coherence, Evaluation & Improvement, Our National Mission Change Board, Professional Learning, Organisation Development Board, Digital Learning, Strategic Ed. Board and Cross-regional Groups (10 additional sub-groups focussing on effective cross-regional working)
- Regional Scrutiny (23.9.19)
- WG Evaluation and Improvement Session (21.11.19)
- Ongoing support and collaboration with KS4 Subject Networks

### **Section 3: ERW Business Plan and future priorities:**

A key area of discussion and action since September has been the content of the current ERW Business Plan. Throughout this term we have focused much of our time on an analysis of its content. Team members have been involved in 'chunking out' relevant delivery tasks in a practical and achievable manner. This work provides us with a termly overview of our forward work programme to facilitate and deliver agreed priorities across the content. In addition, it is underpinning an effective and measurable progress monitoring and evaluation system to help inform our future LA Update Sessions planned for the Spring Term, 2020.

Team members are eager to enhance and strengthen the Business Plan's content in an ongoing manner and in full partnership with our Senior Challenge Adviser Network. We will therefore utilise the Spring Term, 2020 network sessions to pursue the evaluation and review of Business Plan outcomes. This activity will both identify and inform our future priorities along with the collaborative planning process of a revised ERW Business Plan.

The implementation of our '**ERW Strategy Groups**' will support all elements of Business Plan delivery, monitoring, review and evaluation. We have six groups undertaking a central role in implementing our strategic direction. Delegated spending powers exist for each group in line with our regional finance arrangements. Strategy Groups have been established for:

- Professional Learning and Research
- Leadership
- Curriculum
- Health and Wellbeing
- Digital
- Welsh

To facilitate and ensure cross-region participation, engagement and our ability to benefit from a broad range of skills and expertise, all Strategy Groups include a representative from each Local Authority.

#### **ERW Strategy Group composition:**

- 1 x ERW Lead Officer
- 1 x Local Authority Director
- 2 x Local Authority Officers
- 3 x Headteacher / Outstanding Practitioner

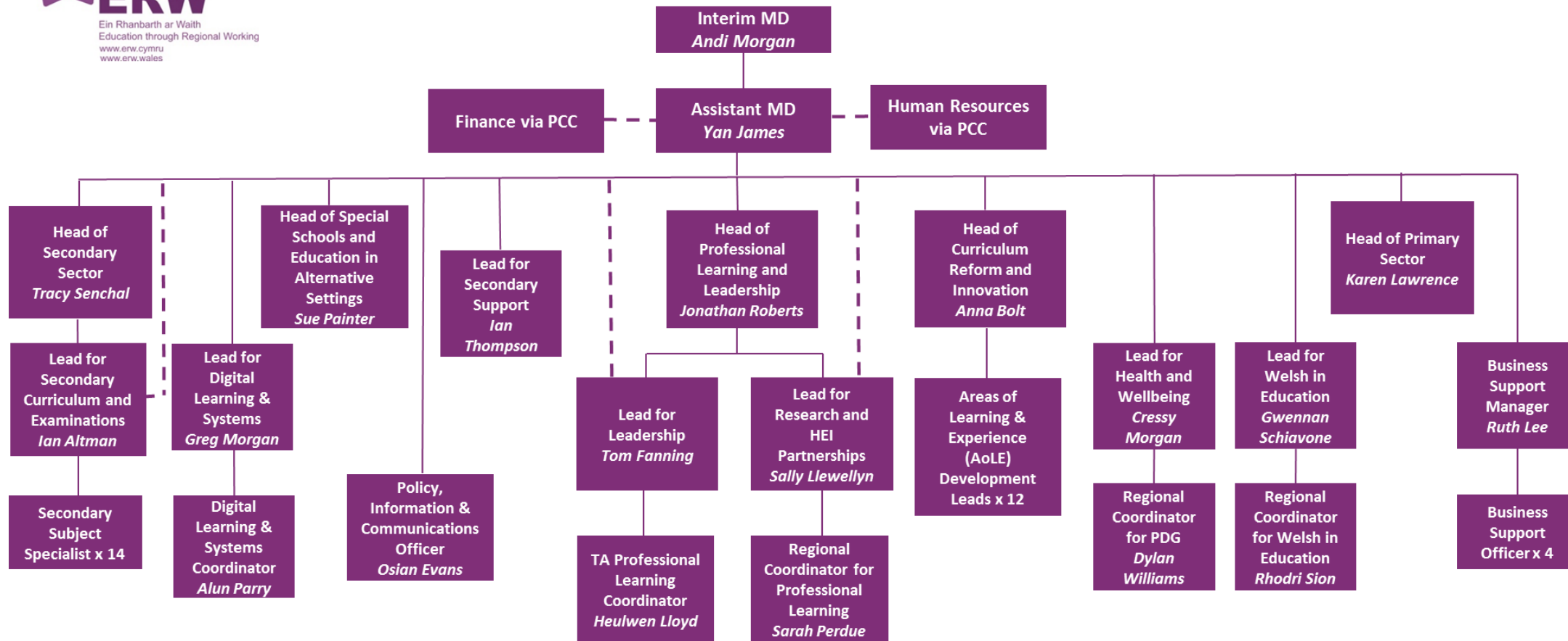


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## Section 4: Appendices:

Appendix 1: ERW Central Team Structure and staffing complement

# Current Organisation Structure



## ERW staffing complement:

Swydd / Post	Enw / Name
Rheolwr Gyfarwyddwr Dros Dro / Interim Managing Director	Andi Morgan <a href="mailto:andi.morgan@erw.cymru">andi.morgan@erw.cymru</a>
Rheolwr Gyfarwyddwr Cynorthwyol / Assistant Managing Director	Yan James <a href="mailto:yan.james@erw.cymru">yan.james@erw.cymru</a>
Pennaeth y Sector Cynradd / Head of Primary Sector	Karen Lawrence <a href="mailto:karen.lawrence@erw.cymru">karen.lawrence@erw.cymru</a>
Pennaeth y Sector Uwchradd / Head of Secondary Sector	Tracy Senchal <a href="mailto:tracy.senchal@erw.cymru">tracy.senchal@erw.cymru</a>
Pennaeth Ysgolion Arbennig ac Addysg mewn Lleoliadau Amgen / Head of Special Schools and Education in Alternative Settings	Sue Painter <a href="mailto:sue.painter@erw.cymru">sue.painter@erw.cymru</a>
Pennaeth Dysgu Proffesiynol ac Arweinyddiaeth / Head of Professional Learning & Leadership	Jonathan Roberts <a href="mailto:jonathan.roberts@erw.cymru">jonathan.roberts@erw.cymru</a>
Pennaeth Diwygio'r Cwricwlwm ac Arloesedd / Head of Curriculum Reform & Innovation	Anna Bolt & Rhian Carruthers <a href="mailto:anna.bolt@erw.cymru">anna.bolt@erw.cymru</a> <a href="mailto:rhian.carruthers@erw.cymru">rhian.carruthers@erw.cymru</a>
Arweinydd Arweinyddiaeth / Lead for Leadership	Tom Fanning <a href="mailto:tom.fanning@erw.cymru">tom.fanning@erw.cymru</a>
Arweinydd Cymorth Uwchradd / Lead for Secondary Support	Ian Thompson <a href="mailto:ian.thompson@erw.cymru">ian.thompson@erw.cymru</a>
Arweinydd Dysgu Digidol a Systemau / Lead for Digital Learning and Systems	Greg Morgan <a href="mailto:greg.morgan@erw.cymru">greg.morgan@erw.cymru</a>
Arweinydd Iechyd a Llesiant / Lead for Health and Wellbeing	Cressy Morgan <a href="mailto:cressy.morgan@erw.cymru">cressy.morgan@erw.cymru</a>
Arweinydd y Cwricwlwm Uwchradd ac Arholiadau / Lead for Secondary Curriculum and Examinations	Ian Altman <a href="mailto:ian.altman@erw.cymru">ian.altman@erw.cymru</a>
Arweinydd y Gymraeg mewn Addysg / Lead for Welsh in Education	Gwennan Schiavone* *Gwennan Hughes (secondment) *Catrin Phillips (secondment)
Arbenigwr Pwnc Uwchradd / Secondary Subject Specialist  Ian Altman <a href="mailto:ian.altman@erw.cymru">ian.altman@erw.cymru</a>	Barbara George / David Bradley – Science Julie Hart / Helen Davies – Maths Emma Wright / Jane Shilling / Anthony Jones – English Tina Thomas / Lowri Davies – Welsh

	Julian Nicholls – Humanities Diane Evans – Post 16 & Welsh Bacc (11)
Arweinydd Datblygu MDPH / AoLE Development Lead Anna Bolt <a href="mailto:anna.bolt@erw.cymru">anna.bolt@erw.cymru</a>	Adrian Smith, Mari Bowen, Anna Vivian-Jones, Rob Walters, Debbie Moon, Sophie Flood, Huw Griffiths, Stephen Williams, Jenna Gravelle, Stuart Jacob, Katherine Andrews, Tom Basher (12)
Cydlynnydd y Cymraeg Rhanbarthol / Regional Coordinator for Welsh	Rhodri Sion <a href="mailto:rhodri.sion@erw.cymru">rhodri.sion@erw.cymru</a>
Cydlynnydd Dysgu Proffesiynol Rhanbarthol / Regional Coordinator for Professional Learning	Sarah Perdue <a href="mailto:sarah.perdue@erw.cymru">sarah.perdue@erw.cymru</a>
Cydlynnydd Dysgu Proffesiynol CA / TA Professional Learning Coordinator	Heulwen Lloyd <a href="mailto:heulwen.lloyd@er.cymru">heulwen.lloyd@er.cymru</a>
Cydlynnydd Dysgu Digidol a Systemau / Digital Learning and Systems Coordinator	Alun Parry <a href="mailto:alun.parry@erw.cymru">alun.parry@erw.cymru</a>
Cydlynnydd GDD Rhanbarthol / Regional Coordinator for PDG	Dylan Williams <a href="mailto:dylan.williams@erw.cymru">dylan.williams@erw.cymru</a>
Rheolwr AD / HR Manager	Helen Lewis <a href="mailto:helen.lewis@erw.cymru">helen.lewis@erw.cymru</a>
Rheolwr Cymorth Busnes / Business Support Manager	Ruth Lee <a href="mailto:ruth.lee@erw.cymru">ruth.lee@erw.cymru</a>
Swyddog Cymorth Busnes / Business Support Officer	Hazel Faulkner <a href="mailto:hazel.faulkner@erw.cymru">hazel.faulkner@erw.cymru</a>
Swyddog Cymorth Busnes / Business Support Officer	Meinir Davies <a href="mailto:meinir.davies@erw.cymru">meinir.davies@erw.cymru</a>
Swyddog Cymorth Busnes / Business Support Officer	Emily Partridge <a href="mailto:emily.partridge@erw.cymru">emily.partridge@erw.cymru</a>
Swyddog Cymorth Busnes / Business Support Officer	Rhian Lloyd <a href="mailto:rhian.lloyd@erw.cymru">rhian.lloyd@erw.cymru</a>
Swyddog Polisi, Gwybodaeth a Chyfathrebu / Policy, Information & Communications Officer	Osian Evans <a href="mailto:osian.evans@erw.cymru">osian.evans@erw.cymru</a>
Prif Gyfrifydd / Senior Principal Accountant	Natalie Chambers <a href="mailto:natalie.chambers@erw.cymru">natalie.chambers@erw.cymru</a>
Uwch Gyfrifydd / Senior Accountant	Naomi Vaughan <a href="mailto:naomi.vaughan@erw.cymru">naomi.vaughan@erw.cymru</a>
Technegydd Cyfrifeg / Accounting Technician	Sian Morris <a href="mailto:sian.morris@erw.cymru">sian.morris@erw.cymru</a>

## CYD-BWYLLGOR ERW 9 RHAGFYR 2019

### Diweddariad Cyllid ERW – Cwarter 3 2019-20

#### Diben:

I ddarparu gwybodaeth i Gyd-Bwyllgor am sefyllfa cyllid a, 2019-20

#### ARGYMHELLION/PENDERFYNIADAU ALLWEDDOL SY'N OFYNNOL:

- I'r Cyd-Bwyllgor nodi'r adroddiad
- I'r Cyd-Bwyllgor gymeradwyo'r Cyllideb Tim Canolog ERW, Dyraniad Grantiay, a cyllideb wrth-gefn ERW am 2019-20
- I'r Cyd-Bwyllgor nodi'r gwybodaeth ychwanegol am cyllid grant a gwariant cyfredol sy'n cael ei ddarparu
- I'r Cyd-Bwyllgor gymeradwyo'r trosglwyddo o gyllideb i'r 6 grwp strategol

#### RHESYMAU:

Er mwyn sicrhau cymeradwyaeth Cyd-Bwyllgor ERW

Awdur yr Adroddiad:	Teitl:	Rhif Ffôn:
Natalie Chambers	Prif Gyfrifydd	01267 245 607





# EXECUTIVE SUMMARY

## ERW JOINT COMMITTEE

### 9 DECEMBER 2019

#### ERW Financial Update – Quarter 3 2019-20

#### BRIEF SUMMARY OF PURPOSE OF REPORT

Provides an updated budget for 2019-20 financial year.

Provides information on the level of Welsh Government grant funding for the 2019-20 financial year including additional confirmed funding.

Update on the projected implications on the ERW reserves.

Provides information on the virements to the six strategic (321) groups.

DETAILED REPORT ATTACHED?	YES
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## IMPLICATIONS

Policy, Crime & Disorder and Equalities <b>NONE</b>	Legal <b>NONE</b>	Finance <b>YES</b>	Risk Management Issues <b>YES</b>	Staffing Implications <b>YES</b>
<b>1. Finance</b> Financial implications outlined in the detailed report.				
<b>2. Risk Management</b> Risk management to be reviewed as part of the Internal Audit, where applicable and outlines in the detailed report.				
<b>3. Staffing Implications</b> Staffing implications outlined in the detailed report.				

## CONSULTATIONS

None

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

Title of Document	File Ref No.	Locations that the papers are available for public inspection
N/A	N/A	N/A



Mae'r dudalen hon yn wag yn fwriadol



# ERW

Ein Rhanbarth ar Waith  
Education through Regional Working

## ERW Financial Update 2019-20

9 December 2019

### 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.



Tudalen 29<sup>1</sup>

## 1. Introduction

This report presents the Joint Committee with a financial update at 31 October 2019.

## 2. 2019-20 Central Team Budget

The 2019-20 Central Team budget was approved by the Joint Committee on 3 April 2019. Whilst the budget was set in April, given the scale of the restructure proposed this year, budgets will need to be amended accordingly. Once the new structure is in place, it should result in a stable budget position. However, 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.

It has been noted that grant dependency has risks however, these have been accepted by the Joint Committee.

### 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 2019-20 the breakdown is as follows:

SLA's	Budgeted Cost
Committee Services (Carmarthenshire)	£5,000
Scrutiny (Swansea)	£5,000
Finance (Pembrokeshire)	£40,000
Internal Audit (Pembrokeshire)	£25,000
Human Resources (Pembrokeshire)	£20,000
Information Technology (Pembrokeshire)	£24,000
Procurement (Pembrokeshire)	£20,000
Insurance (Pembrokeshire)	£20,000
<b>Total Budgeted SLA's</b>	<b>£159,000</b>

It is understood that expressions of interest for these services will be sought from the six Local Authorities during 2019-20, with a view to any potential changes commencing in 2020-21.

Following the report on the ERW Finance Function (including S151 Officer) considered by the Joint Committee on 15 July 2019, the ERW S151 Officer contacted the five other S151 Officers in the region to ascertain whether they would want to provide the ERW Finance Function (including S151 Officer) in future years. It was confirmed that none of the S151 officers wish to provide the ERW finance function.

Core Budgeted Expenditure	2019-20 Projected Outturn at June 2019 £000's	2019-20 Projected Outturn at October 2019 £000's	Core Funded £000's	Grant Funded £000's	Actual Income / Expenditure October 2019 £000's
<b>Staffing Costs</b>					
Salaries, Secondments, Specialists	676	700	700	-	118
Core Central Staff Salaries to be Recharged	912	714	-	714	159
Travel, Subsistence, Training and Development	6	15	15	-	15
Recruitment costs	10	18	18	-	0
	<b>1,604</b>	<b>1,447</b>	<b>733</b>	<b>714</b>	<b>292</b>
<b>Development and Running Costs</b>					
Rent and Accommodation	63	63	26	37	26
Stationary, Telephone, Photocopying	11	11	11	-	1
Translation	15	15	15	-	3
Software, Marketing, R&E,	53	53	53	-	6
Service Level Agreements	159	159	88	71	59
External Audit	14	14	14	-	0
Schools Causing Concern	75	75	75	-	0
Contingency	60	55	55	-	9
	<b>450</b>	<b>445</b>	<b>337</b>	<b>108</b>	<b>104</b>
<b>Total Estimated Expenditure</b>	<b>2,054</b>	<b>1,892</b>	<b>1,070</b>	<b>822</b>	<b>396</b>
<b>Core Budgeted Income</b>					
Local Authority Contributions	250	250	250	-	216
Other Income	4	4	4	-	-
Grant Funding	1,510	1,348	526	822	238
2018-19 funding utilised	290	290	290	-	0
<b>Total Estimated Income</b>	<b>2,054</b>	<b>1,892</b>	<b>1,070</b>	<b>822</b>	<b>454</b>
<b>Core Net Expenditure</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>-58</b>
<b>Appropriation to / (from) Reserve</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>58</b>

- All office costs are primarily costed to the Core Central Team. Where appropriate, the costs are recharged to various grants.
- It is anticipated that £1,318,000 (2018-19 £439,000) of Core Central Team costs will be recoverable from various grant funding sources in 2019-20. The increase in costs is a reflection of the restructure.

This represents a reduction in core grant funded expenditure of £192,000 since the report considered on 15 July 2019, due to the delays in appointing some senior staff within the

organisation. This will result in additional grant funding being available to the six strategic (321) groups that have been established.

- The contingency has been allocated to ERW reorganisation costs.
- The planned use of reserves for 2019-20 is nil, resulting in the reserves remaining at £106,000. However, £290,000 previously held to fund training will be used to fund the core Central Team budget.

### 3. 2019-20 Grant Allocations

	Original Grant Income Estimate 2019-2020 £000's	Revised Grant Income at October 2019-2020 £000's
<b>RCSIG</b>		
Curriculum and Assessment	1,881	1,881
Developing the Profession	36,879	36,889
Leadership	621	653
Supporting Self Improving System	417	440
Strong Inclusive Controls	-	-
Expected Additional Grant	-	-
<b>RCSIG Total</b>	<b>39,798</b>	<b>39,862</b>
<b>PDG</b>		
PDG	23,292	23,256
LAC PDG	1,100	1,134
PDG Coordinator	100	100
<b>PDG Total</b>	<b>24,492</b>	<b>24,490</b>
<b>Other Funding</b>		
EWC	480	505
Academic Year Grants Bought Forward *	144	144
Secondments to WG	-	83
<b>Other Funding Total</b>	<b>624</b>	<b>732</b>
<b>Total Grant Income</b>	<b>64,914</b>	<b>65,084</b>

\*These are 2018-19 grants which span the academic year September 2018 – August 2019. This money has been spent between April – August 2019 in line with the 2018-19 ERW Business Plan.



## 4. 2019-20 Grants

**4.1** A breakdown of the funding for the new ERW staffing structure (grant funding and core funding) is shown at Appendix A.

### 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 2019-20 priorities:

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

Welsh Government will now be distributing the RCSIG on a quarterly basis compared to bi-monthly in 2018-19. The 2019-20 grant offer letter was accepted by the Joint Committee on 30 May 2019. Two payments have been received to date for a total of £18,875,158. The next payment is expected 6 January 2020.

Attached at Appendix B are the six individual Authority's monitoring reports for the EIG element of RCSIG delegated to each Authority (£32,522,107) for the period to October 2019, as summarised below. Further monitoring reports are due on 6 January 2020 having been audited.

<b>EIG Grant Breakdown by Authority</b>	<b>Total Grant Funding £000's</b>	<b>Match Funding £000's</b>	<b>Total Funding £000's</b>
Carmarthenshire	6,975	669	7,644
Ceredigion	2,530	290	2,820
Neath Port Talbot	5,181	479	5,660
Pembrokeshire	4,389	496	4,885
Powys	4,591	540	5,132
Swansea	8,856	714	9,570
<b>Total Funding</b>	<b>32,522</b>	<b>3,190</b>	<b>35,712</b>

We have received the additional funding outlined below, however, it should be noted that while we estimated £240k for NPQH, we have in fact only been granted £180k. Welsh Government have indicated that a further variation to the RCSIG grant is likely in January or February 2020.

Leading Collaborative Learning Project	£62,340
Facilitate the Evaluation of Professional Standards	£5,000
National Professional Qualification for Headship (NPQH)	£180,000
HLTA (TALP)	£10,000
External Policy Advice/Support for the 16-19 PCET Policy Team	£23,200
HEI Accreditation Manager	£25,000

The PDG grant offer letter has been received and confirmed, please refer to Table 3 for the breakdown.

This report and the financial information contained within it should be considered alongside the ERW Business Plan 2019-20.

### 4.3 Curriculum and Assessment

Curriculum and Assessment Budgeted Income	2019-20 Projected Income £000's	2019-20 Projected Income 31 Oct 2019 £000's	Actual Income 31 October 2019 £000's
RCSIG Curriculum & Assessment 2019-20	1,881	1,880,501	906
<b>Total Estimated Income</b>	<b>1,881</b>	<b>1,880,501</b>	<b>906</b>

Curriculum and Assessment Budgeted Expenditure	2019-20 Projected Expenditure £000's	2019-20 Rolling Budget 31st Oct 2019 £000's	Actual Expenditure £000's	Committed £000's
<b>Staffing Costs</b>				
Salaries, Secondments, Specialists	548	508	379	129
Core Central Staff	59	63	63	0
Travel, Subsistence, Training & Devel.	0	5	4	1
	<b>607</b>	<b>576</b>	<b>446</b>	<b>130</b>
<b>Development and Running Costs</b>				
Accommodation & Venue Hire	0	5	3	2
Service Level Agreements	61	71	0	71
	<b>61</b>	<b>76</b>	<b>3</b>	<b>73</b>
<b>Delegated to Schools</b>				
Passported on WG Instruction	750	750	928	0
Regional & Support Work	287	322	0	0
	<b>1,037</b>	<b>1,072</b>	<b>928</b>	<b>0</b>
<b>Unallocated Funds</b>	<b>176</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Total Estimated Expenditure</b>	<b>1,705</b>	<b>1,724</b>	<b>1,377</b>	<b>204</b>

## 4.4 Developing the Profession

Developing the Profession Budgeted Income	2019-20 Projected Income £000's	2019-20 Projected Income 31 Oct 2019 £000's	Actual Income 31 October 2019 £000's
RSCIG Developing the Profession 2019-20	36,879	36,889	17,770
EWC 2019-20	480	505	308
WG Additional Funding	0	12	0
<b>Total Estimated Income</b>	<b>37,359,000</b>	<b>37,406,366</b>	<b>17,770</b>

Developing the Profession Budgeted Expenditure	2019-20 Projected Expenditure £000's	2019-20 Rolling Budget 31st Oct 2019 £000's	Actual Expenditure £000's	Committed £000's
<b>Staffing Costs</b>				
Salaries, Secondments, Specialists	2,172	1,633	976	657
Core Central Staff	520	406	216	190
Travel, Subsistence, Training & Devel.	3	40	15	25
	<b>3,195</b>	<b>2,579</b>	<b>1,208</b>	<b>871</b>
<b>Development and Running Costs</b>				
Stationary, Telephone, Photocopying	0	2	1	1
Translation	1	3	3	0
Software, Marketing, R&E,	0	0	20	-20
Professional Learning	0	12	0	12
	<b>1</b>	<b>17</b>	<b>24</b>	<b>-7</b>
<b>Delegated to Schools</b>				
Passported on WG Instruction	998	998	304	694
Regional Support & Support Work	116	139	0	139
	<b>1,114</b>	<b>1,137</b>	<b>304</b>	<b>833</b>
<b>Delegated to Local Authorities</b>	<b>32,527</b>	<b>32,522</b>	<b>14,772</b>	<b>17,750</b>
<b>Unallocated Funds</b>	<b>522</b>	<b>10</b>	<b>0</b>	<b>0</b>
<b>Strategic (321) Groups</b>				
Prof Learning Group	0	223	0	<b>223</b>
Leadership Group	0	90	0	<b>90</b>
Curriculum Group	0	60	0	<b>60</b>
Digital Group	0	164	0	<b>164</b>
Health & Wellbeing Group	0	6	0	<b>6</b>
Welsh Group	0	13	0	<b>13</b>
<b>Total Strategic (321) Groups Allocation</b>	<b>0</b>	<b>556</b>	<b>0</b>	<b>556</b>
<b>Total Estimated Expenditure</b>	<b>37,359</b>	<b>36,821</b>	<b>16,308</b>	<b>20,003</b>

## 4.5 Leadership

Leadership Budgeted Expenditure	2019-20 Projected Income £000's	2019-20 Projected Income 31 Oct 2019 £000's	Actual Income 31 October 2019 £000's
RCSIG Leadership 2019-20	621	653	300
<b>Total Estimated Income</b>	<b>621</b>	<b>653</b>	<b>300</b>

Leadership Budgeted Expenditure	2019-20 Projected Expenditure £000's	2019-20 Rolling Budget 31 Oct 2019 £000's	Actual Expenditure £000's	Committed £000's
<b>Staffing Costs</b>				
Salaries, Secondments, Specialists	37	40	18	22
Core Central Staff	192	160	74	86
Travel, Subsistence, Training & Devel.	2	10	10	0
IT Hardware & Mobiles	0	0	0	0
	<b>231</b>	<b>210</b>	<b>103</b>	<b>107</b>
<b>Development and Running Costs</b>				
Accommodation & Venue Hire	5	6	6	0
Translation	0	1	1	0
	<b>5</b>	<b>7</b>	<b>7</b>	<b>0</b>
<b>Delegated to Schools</b>				
Regional & Support Work	0	19	0	19
	<b>0</b>	<b>19</b>	<b>0</b>	<b>0</b>
<b>Unallocated Funds</b>	<b>390</b>	<b>91</b>	<b>0</b>	<b>91</b>
<b>Strategic (321) Groups</b>				
Leadership Group	0	344	0	<b>344</b>
Health & Wellbeing Group	0	50	0	<b>50</b>
<b>Total Strategic (321) Groups Allocation</b>	<b>390</b>	<b>394</b>	<b>0</b>	<b>394</b>
<b>Total Estimated Expenditure</b>	<b>626</b>	<b>630</b>	<b>109</b>	<b>502</b>

## 4.6 Strong and Inclusive Schools

<b>Strong and Inclusive Schools Budgeted Income</b>	<b>2019-20 Projected Income £000's</b>	<b>2019-20 Projected Income 31 Oct 2019 £000's</b>	<b>Actual Income 31 October 2019 £000's</b>
PDG	23,292	23,256	0
PDG Coordinator	100	100	0
LAC PDG	1,100	1,134	0
RCSIG 2018-19 Academic Funding	144	144	144
Other Income WG Secondment	0	83	0
<b>Total Estimated Income</b>	<b>24,636</b>	<b>24,716</b>	<b>144</b>

<b>Strong and Inclusive Schools Budgeted Expenditure</b>	<b>2019-20 Projected Expenditure £000's</b>	<b>2019-20 Rolling Budget 31 Oct 2019 £000's</b>	<b>Actual Expenditure £000's</b>	<b>Committed £000's</b>
<b>Staffing Costs</b>				
Salaries, Secondments, Specialists	70	122	101	21
Core Central Staff	4	2	2	0
Travel, Subsistence, Training & Devel.	0	2	2	0
IT Hardware & Mobiles	0	0	0	0
	<b>74</b>	<b>126</b>	<b>105</b>	<b>21</b>
<b>Delegated to Schools</b>				
Regional & Support Work	1,144	121	76	0
	<b>1,144</b>	<b>121</b>	<b>76</b>	<b>0</b>
<b>Delegated to Local Authorities</b>	<b>23,292</b>	<b>24,356</b>	<b>0</b>	<b>24,356</b>
<b>Unallocated Funds</b>	<b>126</b>		<b>0</b>	<b>0</b>
<b>Strategic (321) Groups</b>				
Health & Wellbeing Group	0	52	1	51
Welsh Group	0	0	0	0
<b>Total Strategic (321) Groups Allocation</b>	<b>0</b>	<b>52</b>	<b>1</b>	<b>51</b>
<b>Total Estimated Expenditure</b>	<b>24,636</b>	<b>24,655</b>	<b>181</b>	<b>24,429</b>

## 4.7 School Improvement

School Improvement Budgeted Income	2019-20 Projected Income £000's	2019-20 Projected Income 31 Oct 2019 £000's	Actual Income 31 October 2019 £000's
RCSIG Curriculum & Assessment 2019-20	417	440	200
<b>Total Estimated Income</b>	<b>417</b>	<b>440</b>	<b>200</b>

School Improvement Budgeted Income	2019-20 Projected Expenditure £000's	2019-20 Rolling Budget 31 Oct 2019 £000's	Actual Expenditure £000's	Committed £000's
<b>Staffing Costs</b>				
Salaries, Secondments, Specialists	217	202	100	102
Core Central Staff	137	83	64	19
Travel, Subsistence, Training & Devel.	0	1	1	0
	<b>354</b>	<b>286</b>	<b>165</b>	<b>121</b>
<b>Development and Running Costs</b>				
Translation	0	1	1	0
	<b>0</b>	<b>1</b>	<b>1</b>	<b>0</b>
<b>Delegated to Schools</b>				
Regional & Support Work	0	92	22	-
	<b>0</b>	<b>92</b>	<b>22</b>	<b>0</b>
<b>Delegated to Local Authorities</b>	<b>0</b>	<b>20</b>	<b>0</b>	<b>20</b>
<b>Unallocated Funds</b>	63	<b>23</b>	0	<b>23</b>
<b>Strategic (321) Groups</b>				
Prof Learning Group	0	18	0	<b>18</b>
<b>Total Strategic (321) Groups Allocation</b>	<b>63</b>	<b>18</b>	<b>0</b>	<b>18</b>
<b>Total Estimated Expenditure</b>	<b>417</b>	<b>417</b>	<b>188</b>	<b>159</b>

## 5. Risks

This report, in a similar vein to previous Financial Updates, highlights risks for ERW.

The ERW Reserves are diminishing as outlined below, albeit the budget for 2019-20 does not include any contribution from reserves. Work is ongoing in respect of the future financial and funding model for ERW.

## 6. Reserves

The table below shows the projected implications on ERW Reserves for 2019-20.

The projected annual contribution to the cost of the Central Team for 2019-20 is nil.

Movement on the Pension Reserve for 2019-20 could reduce the total reserve balance of £106k further.

As referred to above, £290,000 previously held to fund training will be used to fund the core Central Team budget. A further £100,000 may be required in respect of supporting NQT's (newly qualified teachers) during 2019-20.

Useable Reserves	Earmarked Joint Committee Reserves £000's	General Working Reserve £000's	Pensions Reserve £000's	Total Reserves £000's
Balance 31 March 2019	322	100	(316)	206
2019-20 To Revenue	-	-	-	-
<b>Balance 31 March 2020</b>	<b>322</b>	<b>100</b>	<b>(316)</b>	<b>206</b>

Income Previously Held to Fund Training		
		£000's
Balance	31 March 2019	596
2019-20	To Revenue	(390)
<b>Balance</b>	<b>31 March 2020</b>	<b>206</b>

## 7. Recommendations

- The Joint Committee approves the amendments to the core Central Team budget for 2019-20 and the grant funded budgets for 2019-20.
- The Joint Committee approves the virement of funding to the six strategic (321) groups.



Breakdown of funding for the new ERW staffing structure							
<b>CENTRAL TEAM</b>			<b>C&amp;A</b>	<b>Dev Prof</b>	<b>Lead</b>	<b>Self Imp</b>	<b>Strong Inc</b>
	<b>Core</b>	<b>Grant</b>	<b>% Total</b>	<b>% total</b>	<b>% total</b>	<b>% total</b>	<b>% total</b>
<b>MD</b>							
	100%	0%					
<b>1 X AMD</b>							
2 year fixed term	50%	50%	50%				
<b>Areas of Specialism (Tier 2)</b>							
Head of Primary Sector - 0.6 Secondment	20%	80%		40%		40%	
Head of Secondary Sector - 0.6 Secondment	20%	80%		40%		40%	
Head of Special Schools and Education in Alternative Settings 0.6 appointment	20%	80%		40%		40%	
Head Professional Learning and Leadership - 0.6 secondment	20%	80%		5%	75%		
Head Curriculum Reform and Innovation - 0.6 secondment	20%	80%		80%			
Lead for research and HEI Partnerships	0%	100%		36%		64%	
Lead for Leadership	0%	100%			100%		
Lead for Secondary and Curriculum and Examinations	0%	100%		100%			
Lead for Welsh in Education maternity cover job share	0%	100%		100%			
Lead for Digital Learning and Systems	0%	100%		100%			
Lead for Health and Wellbeing	0%	100%		100%			
Lead for Secondary Support ( Schools Causing concern) 0.6 fixed term	100%	0%					
<b>STRATEGIC TEAM</b>							
<b>Secondary Curriculum Leads (Tier 3)</b>							
Science Lead	0%	100%		100%			
Science Lead	0%	100%		100%			
Maths Lead	0%	100%		100%			
Maths Lead	0%	100%		100%			
English Lead	0%	100%		100%			
English Lead 0.8	0%	100%		100%			
English Lead 0.6	0%	100%		100%			
Welsh Lead	0%	100%		100%			
Welsh Lead	0%	100%		100%			
Post 16	0%	100%		100%			
Humanities	0%	100%	100%				
Technology - School lead practitioner	0%	100%		100%			
Modern Foreign Languages - School lead practitioner	0%	100%		100%			
Expressive Arts - School lead practitioner	0%	100%		100%			
<b>AoLEs Secondary / AoLEs Primary (Tier 3)</b>							
12 AOLEs (all appointed)	0%	100%	100%				
12 AOLEs (all appointed)	0%	100%	100%				
12 AOLEs (all appointed)	0%	100%		100%			
12 AOLEs (all appointed)	0%	100%		100%			
12 AOLEs (all appointed)	0%	100%		100%			
12 AOLEs (all appointed)	0%	100%		100%			
12 AOLEs (all appointed)	0%	100%		100%			
12 AOLEs (all appointed)	0%	100%		100%			
12 AOLEs (all appointed)	0%	100%		100%			
12 AOLEs (all appointed)	0%	100%				100%	
12 AOLEs (all appointed)	0%	100%				100%	
<b>Service Area Coordinators</b>							
Induction & Alternative Routes Coordinator ( including NQT) ( fixed term)	0%	100%		100%			
Starter laith Cooridinator	0%	100%	100%				
HLTA Professional Learning Coordinator ( Fixed Term)	0%	100%		100%			
PDG Coordinator ( fixed term)	0%	100%					100%
Digital learning & Systems Coordinator	50%	50%		50%			
Secondment to support ITE to be confirmed	0%	100%		100%			
<b>Office Organisation</b>	90%	10%	1%	4%	3%	1%	1%
Business Support Manager	90%	10%			10%		
Business Support to Professional lead	90%	10%			10%		
Business Support to Professional lead	90%	10%			10%		
Business Support to Professional lead	90%	10%			10%		
Business Support to Professional lead	90%	10%				10%	
HR Manager	90%	10%		10%			
Policy, Information & Communications Officer	90%	10%		10%			
Principal Accountant & Deputy S151 Officer	90%	10%		10%			
Senior Accountant	90%	10%	10%				
Accounting Technician	90%	10%			10%		

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## EDUCATION IMPROVEMENT GRANT ELEMENT OF RCSIG GRANT 2019-2020 MONITORING REPORT TO SEPTEMBER 2019

Accompanying notes may be provided for clarification on any elements, including around the delegated and devolved amounts, as necessary.

This form should be completed and submitted to [finance@erw.org.uk](mailto:finance@erw.org.uk) ERW.

Area	Budget	Actual costs to September 2019	Remaining committed costs
	£	£	£
<b>Curriculum</b>			
Staffing costs	£263,633	£136,866	£126,766
Development and Running Costs	£6,580	£729	£5,851
Delegated to schools	£1,317,556	£613,558	£703,998
<b>Developing the Profession</b>			
Staffing costs	£263,633	£85,616	£178,016
Development and Running Costs	£6,580	£729	£5,851
Delegated to schools	£1,242,556	£613,558	£628,998
<b>Leadership</b>			
Staffing costs	£263,632	£85,616	£178,016
Development and Running Costs	£1,580	£729	£851
Delegated to schools	£1,242,556	£613,558	£628,998
<b>Strong Inclusive Schools</b>			
Staffing costs	£263,632	£85,616	£178,016
Development and Running Costs	£1,580	£729	£851
Delegated to schools	£1,262,556	£613,558	£648,998
<b>Self-Improving System</b>			
Staffing costs	£263,632	£85,616	£178,016
Development and Running Costs	£1,580	£729	£851
Delegated to schools	£1,242,556	£613,558	£628,998
<b>Totals</b>	<b>£7,643,842</b>	<b>£3,550,767</b>	<b>£4,093,075</b>

An authorised signatory of Carmarthenshire County Council

Signature:

Name:

Position:

Date:

*Elin Fersyth*  
*Elin Fersyth*  
*Head of School Effectiveness*  
*9th Oct 2019*

Mae'r dudalen hon yn wag yn fwriadol

## EDUCATION IMPROVEMENT GRANT ELEMENT OF RCSIG GRANT 2019-2020 MONITORING REPORT Q2

Accompanying notes may be provided for clarification on any elements, including around the delegated and devolved amounts, as necessary.

This form should be completed and submitted to Katie Morgan, ERW.

Area	Budget	Actual costs to date	Remaining committed costs
	£	£	£
<b>Curriculum</b>			
Staffing costs			
Development and Running Costs			
Delegated to schools			
<b>Developing the Profession</b>			
Staffing costs			
Development and Running Costs			
Delegated to schools			
<b>Leadership</b>			
Staffing costs			
Development and Running Costs			
Delegated to schools			
<b>Strong Inclusive Schools</b>			
Staffing costs			
Development and Running Costs			
Delegated to schools			
<b>Self-Improving System</b>			
Staffing costs			
Development and Running Costs			
Delegated to schools			
<b>TOTAL</b>			
Staffing costs	£453,870	£199,588.90	£253,367.37
Development and Running Costs		£913.73	
Delegated to schools	£2,366,393	£1,196,110.64	£1,170,282.36
<b>Total</b>	<b>£2,820,263</b>	<b>£1,396,613.27</b>	<b>£1,423,649.73</b>

**An authorised signatory of** Ceredigion County Council

Name: Chris Hywel Macey

Signature



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## EDUCATION IMPROVEMENT GRANT ELEMENT OF RCSIG GRANT 2019-2020 MONITORING REPORT TO SEPTEMBER 2019

Accompanying notes may be provided for clarification on any elements, including around the delegated and devolved amounts, as necessary.

This form should be completed and submitted to [finance@erw.org.uk](mailto:finance@erw.org.uk) ERW.

Area	Budget	Actual costs to September 2019	Remaining committed costs
	£	£	£
<b>Curriculum</b>			
Staffing costs	78,715.40	46,777.13	31,938.27
Development and Running Costs	3,940		3,940
Delegated to schools	978,013.60	395,640	582,373.60
<b>Developing the Profession</b>			
Staffing costs	81,114.4	39,567.80	41,573.60
Development and Running Costs	41,888.50		41,888.50
Delegated to schools	978,013.60	395,640	582,373.60
<b>Leadership</b>			
Staffing costs	81,268.40	33,854.13	47,414.27
Development and Running Costs			
Delegated to schools	978,013.60	395,640	582,373.60
<b>Strong Inclusive Schools</b>			
Staffing costs	139,865.40	73,092.80	66,772.60
Development and Running Costs	253,488.50	15,492	237,996.50
Delegated to schools	978,013.60	395,640	582,373.60
<b>Self-Improving System</b>			
Staffing costs	90,096.40	47,490.13	42,606.27
Development and Running Costs			
Delegated to schools	978,013.60	395,640	582,373.60
<b>Totals</b>	<b>£5,660,472</b>	<b>£2,234,474</b>	<b>£3,425,998</b>

An authorised signatory of

Name

Nicola Bartle

Signature

N Bartle

Mae'r dudalen hon yn wag yn fwriadol



## EDUCATION IMPROVEMENT GRANT ELEMENT OF RCSIG GRANT 2019-2020 MONITORING REPORT TO SEPTEMBER 2019

Accompanying notes may be provided for clarification on any elements, including around the delegated and devolved amounts, as necessary.

This form should be completed and submitted to [finance@erw.org.uk](mailto:finance@erw.org.uk) ERW.

Area	Budget	Actual costs to September 2019	Remaining committed costs
	£	£	£
<b>Curriculum</b>	<b>381,940</b>	<b>197,730</b>	<b>184,210</b>
Staffing costs	99,080	49,195	49,885
Development and Running Costs	97,500	35,829	61,671
Delegated to schools	185,360	112,706	72,654
<b>Developing the Profession</b>	<b>4,070,336</b>	<b>1,994,400</b>	<b>2,075,936</b>
Staffing costs	0	0	0
Development and Running Costs	0	0	0
Delegated to schools	4,070,336	1,994,400	2,075,936
<b>Leadership</b>	<b>396,228</b>	<b>249,806</b>	<b>146,422</b>
Staffing costs	218,891	146,105	72,786
Development and Running Costs	64,169	34,166	30,003
Delegated to schools	113,168	69,534	43,634
<b>Strong Inclusive Schools</b>	<b>0</b>	<b>0</b>	<b>0</b>
Staffing costs	0	0	0
Development and Running Costs	0	0	0
Delegated to schools	0	0	0
<b>Self-Improving System</b>	<b>36,639</b>	<b>18,320</b>	<b>18,319</b>
Staffing costs	36,639	18,320	18,319
Development and Running Costs	0	0	0
Delegated to schools	0	0	0
<b>Totals</b>	<b>4,885,143</b>	<b>£2,460,256</b>	<b>£2,424,887</b>

DP.

An authorised signatory of

Name *SARAH EDWARDS*

Signature *SEdwards*

Area	Budget	Actual costs to date to Q2	Remaining committed costs	
	£	£	£	
<b>Curriculum</b>	<b>381,940</b>	<b>197,730</b>	<b>184,210</b>	<b>51.77%</b>
Staffing costs	99,080	49,195	49,885	
Development and Running Costs	97,500	35,829	61,671	
Delegated to schools	185,360	112,706	72,654	
<b>Developing the Profession</b>	<b>4,070,336</b>	<b>1,994,400</b>	<b>2,075,936</b>	<b>49.00%</b>
Staffing costs	0	0	0	
Development and Running Costs	0	0	0	
Delegated to schools	4,070,336	1,994,400	2,075,936	
<b>Leadership</b>	<b>396,228</b>	<b>249,806</b>	<b>146,422</b>	<b>63.05%</b>
Staffing costs	218,891	146,105	72,786	
Development and Running Costs	64,169	34,166	30,003	
Delegated to schools	113,168	69,534	43,634	
<b>Strong Inclusive Schools</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.00%</b>
Staffing costs	0	0	0	
Development and Running Costs	0	0	0	
Delegated to schools	0	0	0	
<b>Self-Improving System</b>	<b>36,639</b>	<b>18,320</b>	<b>18,319</b>	<b>50.00%</b>
Staffing costs	36,639	18,320	18,319	
Development and Running Costs	0	0	0	
Delegated to schools	0	0	0	
	<b>4,885,143</b>	<b>2,460,256</b>	<b>2,424,887</b>	<b>50.36%</b>

## EDUCATION IMPROVEMENT GRANT ELEMENT OF RCSIG GRANT 2019-2020 MONITORING REPORT TO SEPTEMBER 2019

Accompanying notes may be provided for clarification on any elements, including around the delegated and devolved amounts, as necessary.

This form should be completed and submitted to [finance@erw.org.uk](mailto:finance@erw.org.uk) ERW.

Area	Budget	Actual costs to September 2019	Remaining committed costs
	£	£	£
<b>Curriculum</b>	<b>£50,000</b>	<b>£400</b>	<b>£50,000</b>
Staffing costs	£35,000	£0	£35,000
Development and Running Costs	£15,000	£400	£15,000
Delegated to schools	£0	£0	£0
<b>Developing the Profession</b>	<b>£50,000</b>	<b>£7,995</b>	<b>£50,000</b>
Staffing costs	£40,000	£0	£40,000
Development and Running Costs	£10,000	£7,995	£10,000
Delegated to schools	£0	£0	£0
<b>Leadership</b>	<b>£100,000</b>	<b>£10,000</b>	<b>£100,000</b>
Staffing costs	£ 90,000	£10,000	£ 90,000
Development and Running Costs	£10,000	£0	£10,000
Delegated to schools	£0	£0	£0
<b>Strong Inclusive Schools</b>	<b>£50,000</b>	<b>£0</b>	<b>£50,000</b>
Staffing costs	£20,000	£0	£20,000
Development and Running Costs	£30,000	£0	£30,000
Delegated to schools	£0	£0	£0
<b>Self-Improving System</b>	<b>£29,556</b>	<b>£0</b>	<b>£29,000</b>
Staffing costs	£19,000	£0	£19,000
Development and Running Costs	£10,000	£0	£10,000
Delegated to schools	£0	£0	£0
<b>Totals</b>	<b>£279,556</b>	<b>£18,395</b>	<b>£279,000</b>

**An authorised signatory of**

Name: EURIG TOWNS (Senior Challenge Advisor)

Signature



Mae'r dudalen hon yn wag yn fwriadol

## EDUCATION IMPROVEMENT GRANT ELEMENT OF RCSIG GRANT 2019-2020 MONITORING REPORT TO SEPTEMBER 2019

Accompanying notes may be provided for clarification on any elements, including around the delegated and devolved amounts, as necessary.

This form should be completed and submitted to [finance@erw.org.uk](mailto:finance@erw.org.uk) ERW.

Area	Budget	Actual costs to September 2019	Remaining committed costs
	£	£	£
<b>Curriculum</b>			
Staffing costs			
Development and Running Costs			
Delegated to schools			
<b>Developing the Profession</b>			
Staffing costs			
Development and Running Costs			
Delegated to schools	£2,263,802	£915,954.44	£1,347,847.56
<b>Leadership</b>			
Staffing costs			
Development and Running Costs			
Delegated to schools			
<b>Strong Inclusive Schools</b>			
Staffing costs	£241,758	£152,139.60	£89,618.40
Development and Running Costs			
Delegated to schools	£6,993,000	£3,918,190.15	£3,074,809.85
<b>Self-Improving System</b>			
Staffing costs			
Development and Running Costs			
Delegated to schools			
<b>Totals</b>	<b>£9,498,560</b>	<b>£4,986,285.69</b>	<b>£4,512,275.81</b>

**An authorised signatory of:** Chief Finance Officer/S151 Officer

Name: Ben Smith

Signature:



Mae'r dudalen hon yn wag yn fwriadol

## CYD-BWYLLGOR ERW 9 RHAGFYR 2019

<b>Cofnod Risg</b>		
<p><b>Diben:</b></p> <p>I ddarparu gwybodaeth am lefelau systemig risg ERW</p>		
<p><b>ARGYMHELLION/PENDERFYNIADAU ALLWEDDOL SY'N OFYNNOL:</b></p> <p>(a) I'r Cyd-Bwyllgor gymeradwyo'r adroddiad</p> <p>(b) I'r Cyd-Bwyllgor benderfynu ar sut i weithredu parthed Risg Canolog 5 – Gofalu am Ddata. Yn benodo, apwyntio Swyddog Gwarchod Data.</p>		
<p><b>RHESYMAU:</b></p> <p><b>Rheoli Risg Corfforaethol</b></p>		
<p><b>Awdur yr Adroddiad:</b></p> <p>Osian Evans</p>	<p><b>Teitl:</b></p> <p>Swyddog Polisi, Gwybodaeth a Chyfathrebu ERW</p>	<p><b>Rhif Ffôn:</b></p> <p>01267 24 5640</p>



# EXECUTIVE SUMMARY

## ERW JOINT COMMITTEE

### 9 DECEMBER 2019

#### Risk Registers

**The Corporate Risk Register has the following notable changes:**

- Central Risks 2 and 3 have de-escalated since the previous report
- Financial Risk 3 has de-escalated since the previous report
- Financial Risk 5 is a new addition to the report, which at this point cannot be scored effectively.
- A secondary Risk Register has been created for the first 12 months following the re-structure of ERW, this is the Review and Reform Risk Register. This will be absorbed into the main Risk Register document by the next term's report.
- All other risks are stable at the point of this report's writing.

**DETAILED REPORT ATTACHED?**

**YES**





## IMPLICATIONS

Policy, Crime & Disorder and Equalities <b>NONE</b>	Legal <b>NONE</b>	Finance <b>YES</b>	Risk Management Issues <b>YES</b>	Staffing Implications <b>NONE</b>
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### 1. Finance

There is a financial risk section dedicated to ERW's financial risk profile

### 2. Risk Management

The Risk Register report is the primary mechanism for capturing systemic risk

## CONSULTATIONS

N/A

### Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

**THESE ARE DETAILED BELOW**

Title of Document	File Ref No.	Locations that the papers are available for public inspection
N/A	N/A	N/A



Mae'r dudalen hon yn wag yn fwriadol

# **Review and Reform Risk Register (Threats)**

**2019-2020**

**For Joint Committee  
December 2019**

# Introduction

ERW's Review and Reform Risk Register contains the strategic risks (threats) to the implementation of its new structure in the first 12 months.

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 Review and Reform Risk Register is a live document which is subject to regular review by the ERW Managing Director. It is then reviewed by the ERW Directors Group. The updated Review and Reform Risk Register is then formally reviewed by the ERW Executive Board. The Risk Register is reviewed regularly by the ERW Joint Committee.

**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. The heat map on page 7 shows the highest residual risks on the Review and Reform 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 ERW Review and Reform Risk Register contains 4 business risks (threats), each of which is indexed at page 8 and shown in detail on pages 10 to 13.

**Risks are categorised under one of the four following groupings, with each grouping requiring an agreed tolerance level (as taken from the ERW Corporate Risk Register).**

1. Financial Risks - Tolerance Level 6
2. Infrastructure Risks – Tolerance Level 8

3. People and Knowledge Risks – Tolerance Level 9

4. Governance and Compliance – Tolerance Level 4

**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.

Very High Probability	12	16
High Probability		12 Neath Port Talbot withdraws from ERW
	High Impact	Very High Impact

## Index and Summary of Residual Business Risk Scores

No.	Risk	Probability	Impact	Residual Risk	Movement	Page
1	Neath Port Talbot Withdraws from ERW	3	4	12		10
2	Continued Lack of Clarity on ERW's Functions	2	3	6		11
3	Duplication negates efficiency	2	3	6		12
4	Failure to improve transparency through governance arrangements	2	4	8		13

# 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.

## 1. Neath Port Talbot withdraws from ERW

### Description of Risk

Neath Port Talbot withdraws from the ERW Consortium on the 31<sup>st</sup> of March 2020, as set out in its cabinet report on 27<sup>th</sup> March 2019.

### Background

During the 2018-19 Academic Year, NPT Council confirmed a decision to issue notice of their intent to withdraw from the ERW Consortium, effective March 2020. This decision has yet to be reversed/withdrawn.

### Impact of Risk:

Should the risk be realised, then we can expect significant impact, not only on ERW service delivery but on local arrangements within NPT. ERW would potentially need to consult the Monitoring Officer about how to proceed, with regard to the ERW Legal Agreement.

Other significant impact of note:

- NPT teaching workforce access to consortia-led national programmes such as the NPQH
- Large scale changes to Grant Funding from WG
- NPT access to WG Grants that typically come through Regional Consortia
- Decreased confidence or potential monitoring of ERW / NPT by Estyn due to large-scale changes
- Adverse effect on public and professional perceptions of the new ERW structure

### Risk Control Measures

Significant dialogue undertaken between Lead Chief Executive, and NPT Chief Executive. NPT Director of Education has been consistently involved in the design and co-construction of the new ERW Structure, as well as planning meetings regarding 2020-2021 funding arrangements. ERW's new operational governance has been structured to include all 6 LAs as significant stakeholders in the decision making process, at school, Challenge Adviser and Director of Education level. NPT has also paid their core contribution to ERW that was previously outstanding.

However, it must be noted that despite the above, NPT Council have yet to reverse their notice to leave.

### Risk Scores:

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	4	4	16	
Residual	3	4	12	
Tolerance				

### Risk Owner

Lead Chief Executive, Interim Managing Director, NPT Chief Executive, NPT Director of Education

## 2. Continued lack of clarity on ERW's functions

## Description of Risk

That the new ERW structure does not bring sufficient clarity on the function of ERW and its central team.

## Background

Despite thorough stakeholder engagement when constructing the new ERW structure, there remains work to be done with regard to communicating and clarifying the function of the new ERW to all stakeholders. Should this work not be completed, or fail to gain traction, there could be significant impact on the perception of ERW within the education sector.

## Impact of Risk:

- Unwillingness of schools to engage with ERW as a result of legacy perceptions
- Lack of clarity on the difference between the role of the LA, and the role of the region, among the teaching community
- Lack of confidence in the new structure, loss of trust with the profession

## Risk Control Measures

- The ERW SLT are attending Headteacher meetings across all 6 LAs to present on what the new ERW can offer
- A comprehensive Communications Strategy is being drafted, which will include a communications plan for all key stakeholder groups,
- Communications systems are being overhauled in the Autumn term to better streamline outgoing information
- Consistent dialogue is being undertaken with LA partners to ensure consistency of communication through both regional and local channels

## Risk Scores:

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	3	9	
Residual	2	3	6	
Tolerance				

## Risk Owner

Interim Managing Director, ERW SLT,

### 3. Lack of communication and clarity of roles between LA and ERW staff

#### Description of Risk

Insufficient communication and clarity between LA and ERW staff leads to conflicting messages reaching schools

#### Background

LA's will need to employ curriculum support or other roles as according to their need and priority areas – i.e with less than 2 fte for secondary English support across the region an LA may wish to 'top up' locally. Furthermore, the linguistic need of each LA is different and current ERW structure does not guarantee that the linguistic needs of all Local Authorities can be met.

With clarity, LA and ERW staff could complement each other and add value, but it is imperative that communication channels are robust, and that clear protocols are in place.

#### Impact of Risk:

- Reinforcement of the narrative that there are “too many layers”
- Raising questions surrounding value for money
- Lack of clarity for schools on what advice to follow
- Local Authorities being perceived as “not buying in” to the new ERW function

#### Risk Control Measures

- Consistent two-way communication between local resources supporting the new curriculum, and the regional body
- Join-up of work and personnel wherever possible
- Use of local arrangements to cascade the regional message
- Membership of Regional Strategy Groups to contain all 6 constituent LAs
- Brokerage protocol to be agreed at Director Level

#### Risk Scores:

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	3	9	
Residual	2	3	6	
Tolerance				

#### Risk Owner

Lead Chief Executive, Interim Managing Director, Directors of Education, Lead Director

### 4. Failure to improve transparency through governance arrangements

## Description of Risk

That the changes to ERW's operational governance arrangements do not increase transparency / confidence of the profession.

## Background

ERW has adopted some new strategic meetings that include a variety of key stakeholders in the decision making process. The main aim of this change is that there is increased transparency around decision making and allocation of funding. Should these new strategic meetings fail to improve transparency, there will be significant adverse effects

## Impact of Risk:

- Loss of confidence from regulatory bodies
- Loss of trust with the teaching profession, and constituent LAs
- Increased tensions within the context of funding for education
- Challenges regarding value for money

## Risk Control Measures

- Consistent Terms of Reference for all Strategy Groups
- Clear lines of reporting for all groups
- Director Group oversight of decisions made, and approval of any decisions that require it
- Potential publishing of delegated strategy group decisions as part of the ERW Communications Package
- Directors receive monthly updates of ERW funding to schools

## Risk Scores:

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

## Risk Owner

Lead Chief Executive, Interim Managing Director, Directors of Education, Lead Director

Mae'r dudalen hon yn wag yn fwriadol



# **Corporate Risk Register (Threats)**

## **2019-2020**

### **For Joint Committee December 2019**

# 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 6
2. Infrastructure Risks – Tolerance Level 8
3. People and Knowledge Risks – Tolerance Level 9
4. Governance and Compliance – Tolerance Level 4

**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.

Very High Probability	<div>12</div> <div>Cuts to School Budgets</div>	<div>16</div>
High Probability	<div></div>	<div>12</div> <div>Data Protection</div>
	<div>High Impact</div>	<div>Very High Impact</div>

# Index and Summary of Residual Business Risk Scores

## Central

No.	Risk	Probability	Impact	Residual Risk	Movement	Page
1.1	Powys Estyn Monitoring results in continued follow up				↔	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	2	4	8	↓	17
3	Failure to deliver Business Plan	1	3	3	↓	18
4	ERW Governance	2	4	8	↔	19
5	Data Protection	3	4	12	↑	21
6	ERW found not to provide Value for Money	2	4	8	↔	22
7	LA Failure to comply with Grant Regulations	2	4	8	↔	23



## Financial

No.	Risk	Probability	Impact	Residual Risk	Movement	Page
1	Timeliness of Welsh Government Funding	2	3	6	↔	24
2	Cuts to School Budgets	4	3	12	↔	25
3	Delivery of National Mission	2	3	6	↓	26
4	WG Grant Compliance	2	4	8	↔	27
5	No Deal Brexit					29

# 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 continued follow up for Powys (Governance and Compliance)

#### Description of Risk

Estyn follow up visits result in Powys continuing to be placed in category or requiring further attention.

#### Background

Powys was subject to an Estyn improvement conference in 2016 and 2017 primarily because the Authority had too many secondary schools in Estyn follow up

Powys received notice that they were to be inspected in July 2019. They were judged to be causing significant concern and requiring follow-up activity. The local authority will update its improvement plans to show how it is going to address the recommendations. Estyn will review the authority's progress through a post-inspection improvement conference and progress conferences. A monitoring visit will take place after the last progress conference to consider how well the local authority has addressed each of the recommendations and how much progress has been made overall.

As Powys develops their response and action plan following the inspection the scoring of this risk can manifest.

**Objectives at Risk:** All

#### Risk Control Measures

Collaboration with numerous regional programmes surrounding Leadership – Secondary Support Team being a good example

Control measures can be more accurately established in tandem with Powys' improvement plans, which will in turn give a more accurate picture of the Residual Risk Score.

#### Risk Scores:

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

#### Risk Owner

Lynette Lovell (Powys)

## 1.2 Estyn Monitoring activity results in follow up for Ceredigion (Governance and Compliance)

### 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			4	

### Risk Owner

Meinir Ebbsworth (Ceredigion)

### 1.3 Estyn Monitoring activity results in follow up for Pembrokeshire (Governance and Compliance)

#### 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. Pembrokeshire has received notice that they will be inspected by Estyn on the 2<sup>nd</sup> of December. -

**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			4	

#### Risk Owner

Kate Evan Hughes (Pembrokeshire)

## 1.4 Estyn Monitoring activity results in follow up for Carmarthenshire (Governance and Compliance)

### 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>4</b>	

### Risk Owner

Gareth Morgans (Carmarthenshire)

## 1.5 Estyn Monitoring activity results in follow up for Swansea (Governance and Compliance)

### 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			4	

### Risk Owner

Nick Williams (Swansea)

## 1.6 Estyn Monitoring activity results in follow up for Neath Port Talbot (Governance and Compliance)

### 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 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 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)	↑↓↔
Inherent	2	4	8	↔
Residual	1	4	4	↔
Tolerance			4	

### Risk Owner

Aled Evans (Neath Port Talbot)



## 2. Failure to comply with Estyn Action Plan (Governance and Compliance)

### 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

ERW received a judgement of limited progress (Nov 2017) against Recommendation 1 (improvement in Schools Causing Concern, most notably secondaries), from its June 2016 inspection.

Following positive feedback from the Estyn team in 2019 over 2 visits, and the re-structure of the ERW Central Team, there is sufficient cause to de-escalate the probability of this risk.

**Objectives at Risk : All**

### Risk Control Measures

- ERW Secondary Support Team working alongside Secondary Schools in difficulty, feedback on this work is very positive.
- Schools Performance Team now meets regularly with each Principal Challenge Adviser individually to discuss early warning signs for schools, increasing chances of prevention and administering additional support where needed
- Progress in the ERW Review and Reform Programme
- Renewed capacity within the ERW Secondary Subject Specialist Team

### Risk Scores

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

### Risk Owner

ERW Managing Director, Lead Director and Lead Chief Executive

### 3. Failure to deliver Business Plan (Governance and Compliance)

#### Description of Risk

Delivery of Business Plan fails to meet the satisfaction of Welsh Government/WAO/Estyn.

#### Background

2018-19 Business Plan Approved by Welsh Government. Delays in clearance / delivery of funding have increased the difficulty of implication due to reduced timescales.

2019-20 Business Plan Approved by Welsh Government following extensive stakeholder engagement. Positively received by Estyn, JC, Directors and Headteacher Community. Delivery and judging value is now the key issue

Monitoring systems and exception reporting now in place for the 2019-20 Business Plan. Strategic groups in place to begin formation of 2020-21 Business Plan, and to oversee the remainder of the 19-20 business year.

**Objectives at Risk : All**

#### Risk Control Measures

- Effective planning by Central Team, Lead Director and Lead Chief Executive.
- Ongoing dialogue with Welsh Government and other monitoring bodies
- BP aligned to National Mission document
- Established Strategy Groups who will co-construct a large amount of 2020-21 Business Plan

#### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
<b>Inherent</b>	<b>2</b>	<b>3</b>	<b>6</b>	↔
<b>Residual</b>	<b>1</b>	<b>3</b>	<b>3</b>	↓
<b>Tolerance</b>			<b>4</b>	

#### Risk Owner

Managing Director, Lead Director

#### 4. ERW Governance (Governance and Compliance)

##### 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

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 was then expanded into a review of all regions.

Paper submitted to Autumn 2019 Joint Committee surrounding revised Governance of ERW to support the new structure. Paper approved as a draft, pending approval of 6 Local Authority Heads of Legal.

**Objectives at Risk:** All

##### Risk Control Measures

- Geraint Rees appointed to assist, Andi Morgan appointed as Interim MD September 2019
- ERW Central Team restructured,
- Revised Governance document currently in circulation

##### Risk Scores

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

**Risk Owners:** Lead Chief Exec, Section 151 Officer, Monitoring Officer, Lead Director, Managing Director



## 5. Data Protection (Governance and Compliance)

### Description of Risk

ERW fails to comply with the Data Protection Act 2018.

### Background

Currently ERW does not have a clearly 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.

Business and Finance Manager role is now no longer part of new ERW structure, renewed agreement on DPO role requires Executive Board / Joint Committee agreement as soon as possible.

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	4	4	16	↑
Residual	3	4	12	↑
Tolerance			4	

### Risk Owner

Managing Director, Lead Chief Executive, Lead Director

## 6. ERW is judged to not provide Value for Money (Governance and Compliance)

### 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”

The new ERW model is now in place, however efficiencies and full increase of funding to frontline services do not take effect until the 2020-2021 business year. Should this structure change further, the scoring of this risk will need to be revisited.

**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
- Proposed financial efficiencies in the new ERW Model.

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	4	12	↔
Residual	2	4	8	↔
Tolerance			6	

### Risk Owner

Managing Director

## 7. Local Authority failure to comply with Grant Regulations (Governance and Compliance)

### 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

- 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.
- LA Local Delivery Plans sent to ERW Finance Team as costed documents

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	4	12	↔
Residual	2	4	8	↔
Tolerance			6	

### Risk Owner

LA Section 151 Officers, Head of Internal Audit,

## Financial Risks

### 1. Timeliness of WG Funding (Financial Risk)

#### 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. This issue has largely been resolved through a quarterly payment profile of the RCSIG grant

The key issue for ERW regarding this risk, is the need to receive indicative grant funding before the beginning of the financial year, so that Business Planning can take funding streams into account at the beginning of the process.

In-year variation funding from WG does occasionally materialise, sometimes as late as February (as happened in 18-19). This late arrival of funding is a contributing factor to this risk.

**Objectives at Risk:** All

#### Risk Control Measures

- A new quarterly 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, and to improve timeliness of in-year funding.

#### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	3	9	↔
Residual	2	3	6	↔
Tolerance			6	

#### Risk Owner

Section 151 Officer, Lead Banker Authority



## 2. Real Term Cuts to school/education budgets (Financial Risk)

### 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. This would then have a further impact on capacity and willingness of schools to engage in the self-improving system

Local Government 20-21 budgets and the Teachers Pay Award also present significant risks. Other risks that were noted by the ERW Headteacher Representative Board were the rise in teacher pensions, as well as the permanence of the new Professional Learning Funding.

Another issue raised by Headteacher representatives is the use of 2016 PLASC figures for allocation of the PDG grant.

**Objectives at Risk:** All

### Risk Control Measures

Further work with HT board to ensure clarity around expectations of HT to collaborate and the remuneration.

Maximising of delegated funding to schools wherever possible.

The new WG funding stream for schools, dedicated to Professional Learning is aimed at reducing the impact of this risk.

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	4	4	16	↔
Residual	4	3	12	↔
Tolerance			6	

### Risk Owner

Managing Director, Lead Director, All 6 LA Directors, Section 151 Officer, Lead Chief Executive.

### 3. ERW unable to deliver National Mission (Financial Risk)

#### Description of Risk

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

#### Background

With the ERW Review and Reform programme having delivered a new regional structure with increased capacity, this risk can be scored lower as ERW can now better work towards the aim of the National Mission. Once the impact of this model can be measured, a case can be made for the removal of this risk.

**Objectives at Risk:** All

#### Risk Control Measures

- ERW Review and Reform Programme has delivered new structure, positively received by Estyn. (Meilyr Rowlands letter 28.06.2019)
- Aligning of ERW Business Plan to National Mission document

#### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	3	9	↔
Residual	2	3	6	↔
Tolerance			6	

#### Risk Owner

Managing Director, 6 LA Directors, Joint Committee

#### 4. Failure to comply with Grant Conditions from WG (Financial Risk)

##### Description of Risk

ERW fails to comply with Welsh Government Grant Conditions, resulting in the withholding or clawback of funding, 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 had received two letters from WG in 2018-19 outlining the concerns that ERW was not using its "Regional Grants" within the spirit of the terms and conditions.

ERW had received a revised Grant Offer Letter for the Regional Consortia School Improvement Grant which contained additional conditions which were to be met before funding was released for the remaining 7/12ths of funding – urgent actions were required for this funding to be released. The funding was subsequently released.

Grant arrangements for 2019-2020 are much more effective/efficient – Grant Offer Letter signed and agreed in May 2019, funding is being received on a quarterly basis.

Welsh Government have been communicated with consistently throughout ERW's reform journey, and we can expect this risk to de-escalate by the February 2020 Joint Committee meeting

The only area of concern is that RCSIG grant funding conditions currently requires that all constituent Local Authorities pay their contribution to ERW – should Neath Port Talbot complete their withdrawal from the region, it is unclear what effect this will have on ERW's ability to meet the grant conditions, or how those grant conditions may change.

##### Objectives at Risk: All

##### Risk Control Measures

- Central Team and Senior Challenge Advisers commissioned to provide additional Business Plan Details for 2018-19
- Ongoing dialogue with Welsh Government
- Business Plan for 2019-2020 co-constructed alongside LA and Headteacher partners in early 2019, approved by May

##### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	4	12	↓
Residual	2	4	8	↓
Tolerance			6	

##### Risk Owner

Lead Director, Managing Director, Lead Chief Executive, Section 151 Officer

## 5. No Deal Brexit and its impact on service delivery (Financial Risk)

### Description of Risk

Should the United Kingdom exit the European Union with no deal in place on the 31<sup>st</sup> of October, there are potential concerns for ERW.

### Background

A “no deal Brexit” has consequences for the Welsh economy, and the delivery of education services is one field that could see significant impact. Guidance and documentation is being released by WG, but the effect on ERW remains unclear. It is fair however to assume that in the event of escalation of financial pressures on ERW’s constituent Local Authorities, there would be a knock-on effect to the regional body.

Political events pertaining to this risk are still unfolding at a rapid rate, and more accurate projections of the impact on service delivery can be made in the future.

**Objectives at Risk:** All

### Risk Control Measures

- Until the upcoming General Election takes place on December 12<sup>th</sup>, it is extremely difficult to forecast risk control measures, and to score this risk. These details will be input once the General Election is resolved and the national direction of travel is clear.

### Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent				
Residual				
Tolerance			6	

### Risk Owner



## CYD-BWYLLGOR ERW 9 RHAGFYR 2019

### Perfformiad a Newid Polisi CA4 2019

#### Diben:

Ymgynghori'r Cyd-Bwyllgor am newidiadau i bolisiau Llywodraeth Cymru am mesurau perfformiad dros-dro CA4, a darparu trosolwg rhanbarhtol o berfformiad ysgolion

#### ARGYMHELLION/PENDERFYNIADAU ALLWEDDOL SY'N OFYNNOL:

Dim i'w nodi – eitem er gwybodaeth y Cyd-Bwyllgor yn unig

#### RHESYMAU:

N/A

<b>Awdur yr Adroddiad:</b>	<b>Teitl:</b>	<b>Rhif Ffôn:</b>
Andi Morgan	RhG Dros Dro ERW	01267 676840



# EXECUTIVE SUMMARY

## ERW JOINT COMMITTEE

### 9 DECEMBER 2019

## KS4 Performance and Policy Change 2019

### BRIEF SUMMARY OF PURPOSE OF REPORT

Welsh Government has been developing new evaluation and improvement arrangements to replace parts of the current accountability system. These arrangements have been co-constructed with colleagues in schools, Estyn, local government, regional consortia, and taken international research into consideration. They have been carefully developed to ensure that they align with and help support the realisation of the new curriculum and associated reforms.

This report provides further background and guidance with regard to the key elements of policy change and a summary of ERW Secondary schools' performance for 2019 within this context.

DETAILED REPORT ATTACHED?

YES



## IMPLICATIONS

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

**THESE ARE DETAILED BELOW**

Title of Document	File Ref No.	Locations that the papers are available for public inspection
N/A	N/A	N/A



Mae'r dudalen hon yn wag yn fwriadol





Ein Rhanbarth ar Waith  
Education through Regional Working

## Perfformiad CA4 a Newid Polisi

# KS4 Performance and Policy Change

## 2019

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.



**Purpose of this Report:**

To advise ERW Joint Committee members of Welsh Government policy changes in relation to KS4 interim performance measures and provide an overview of our schools' performance.

**Introduction and Context:**

Welsh Government has been developing new evaluation and improvement arrangements to replace parts of the current accountability system. These arrangements have been co-constructed with colleagues in schools, Estyn, local government, regional consortia, and taken international research into consideration. They have been carefully developed to ensure that they align with and help support the realisation of the new curriculum and associated reforms.

The new arrangements will support the aim of raising standards, reducing the attainment gap and delivering an education system that is a source of national pride and public confidence.

The arrangements are based on the following four key principles. They will be:

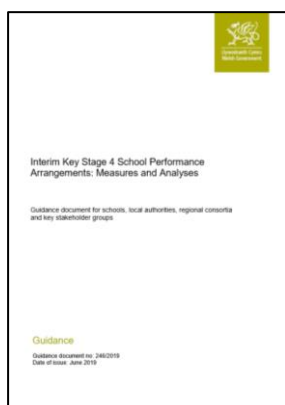
- fair – they will promote equity, inclusion, choice, individual pathways to learning and never losing sight of the learner;
- coherent – allowing each part of the system to work together without overlapping, with clear roles and responsibilities;
- proportionate – ensuring that the implementation of the new arrangements and process is manageable and makes a difference;
- transparent – recognising the breadth of learning experience across schools and the value added by teacher in class

Over the next three years, there will be an evolving programme of future developments, making the transition between the current system and the future plans. The process of developing the new Evaluation and Improvement arrangements by 2022 will evolve in a planned way to support schools and others to build a self – improving system and plan for sustained improvements.

In May 2018, the Minister for Education announced the introduction of a suite of interim Key Stage 4 performance measures that were developed through collaboration with head teachers and key stakeholders. The new measures, based on 'points scores' were designed to remove the historic emphasis on the Level 2 threshold measure and the narrow focus on borderline C/D grade learners that past use of threshold measures has cultivated. Instead, they reflect a school average of all individual learners' points' scores, rather than a percentage attaining a minimum threshold level.

The measures have been designed to help broaden learner choice, valuing individual learner needs and achievement. This will help better capture the progress of every learner. Whilst the interim measures are broader in order to achieve this goal, existing curriculum requirements and expectations of provision remain. There will continue to be headline measures on literacy, numeracy and science.

## Interim Key Stage 4 School Performance Arrangements:



In June 2019, this guidance document for schools, Local Authorities, regional consortia and key stakeholder groups was published (Interim Key Stage 4 School Performance Arrangements: Measures and Analyses - Guidance document no: 246/2019)

### Summary comments:

Reporting against the interim performance measures commenced in September 2019. It is understood that the interim measures will not significantly change system-wide behaviours. However, schools should not be placed under disproportionate scrutiny on the basis of one or two measures in isolation, as we move to a system that values a much wider range of factors in assessing a school's effectiveness in best providing for individual learners' needs.

There is an expectation that Local Authorities and regional consortia support schools to make appropriate decisions about their curriculum to avoid narrowing choice for learners.

As a minimum, there is an expectation that most learners will study:

- both a Welsh/English language and literature qualification;
- both mathematics and mathematics - numeracy GCSEs;
- and either three separate science GCSEs or a double award GCSE.

The best interest of the learner must always be the main factor in any decision about the qualifications chosen and learners' choices must not be dictated by changes to performance measures.

Data alone will not provide the whole story. Instead, it raises questions. Most questions can only be addressed by schools themselves and when considering learner level performance data with a wide range of contextual information which may affect learner outcomes.

Over the next six months, Welsh Government will commission an independent research project to review the performance measurement system. Decisions on future indicators, and the associated systems that will supersede the interim arrangements, will be informed by this research, in conjunction with the responses received in response to a full consultation with schools and key stakeholders.

## Interim Performance Measures: Basic principles

### Cohort being measured:

The cohort measured will remain as Year 11 learners. All Year 11 learners on the school's roll will be included in Key Stage 4 (KS4) results data with the exception of those identified as:

- NEWBES (New to the English or Welsh based Education System within the last two academic years); or
- FEWBES (From an English or Welsh based Education System but with qualifications that are not counted in Wales KS4 performance data).

Whilst such learners can be excluded from the figures, this will mean they will be excluded from all the KS4 performance data measures at a school level.

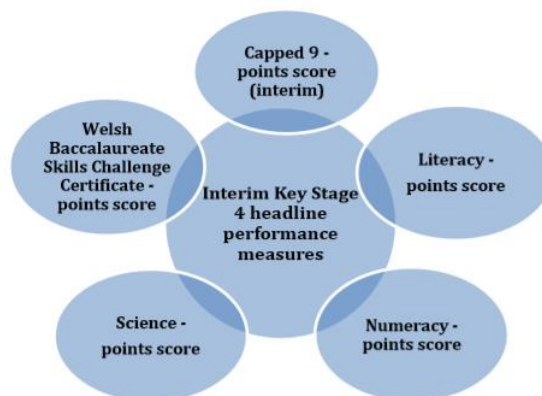
### Qualifications that can be included in KS4 performance data:

All qualifications approved or designated for delivery in Wales continue to count towards KS4 performance measures, other than where particular subject requirements are specified. Only the first complete awarding of a qualification can be included in the measures, irrespective of whether a better grade is subsequently achieved for the same qualification by a learner. This change encourages schools to enter learners when schools are confident, they are ready to gain their best possible result. It does not prevent a learner resitting should a school or learner wish to attempt to improve their results, but the resit result would not count towards school performance measures, even if the outcome is higher.

### Overview of headline measures:

The interim performance measures are made up of five headline measures, all based on points scores:

1. Capped 9 measure (interim)
2. Literacy measure
3. Numeracy measure
4. Science measure
5. Welsh Baccalaureate Skills Challenge Certificate measure



## Capped 9 Measure:

No*	Slot	Requirement	
1	Literacy slot	Subject specific requirements** (GCSEs only)	Best result of first awarding of: Welsh first language or English language or Welsh literature or English literature
2	Numeracy slot		Best result of first awarding of: mathematics – numeracy or mathematics
3	Science slot		Best result of first awarding of (currently limited to awards in the WJEC suite of science GCSE qualifications available to learners): biology, chemistry, physics, science (double award) applied science (double award) and applied science (single award)
4	'Other six' (GCSEs or equivalent volume of qualifications)	Best six remaining qualification awards***	All qualifications approved/designated for pre-16 delivery in Wales can count, subject to usual discounting rules and excluding Essential Skills Wales qualifications.  The Welsh Baccalaureate Skills Challenge Certificate qualification can count towards one of these slots where it features in a learner's best remaining awards.
5			
6			
7			
8			
9			

\*Each slot is the equivalent of one GCSE in size.

The literacy, numeracy and science slots are also standalone performance measures.

\*\*Where multiple awards can count, the best grade achieved by a learner is taken. Only the result for the first complete awarding of that qualification is considered when identifying the best grade.

\*\*\* There is no cap on total volume of non-GCSEs contributing to the 'Other six' slots.

**Use of Data:** In order to support robust and rigorous self-evaluation WG are making changes to the information they provide to schools in the All Wales Core Data Sets (AWCDS) to reflect the interim KS4 performance measures. The information should not be considered in isolation and is by no means an exhaustive list of what schools should be looking at. It should be considered alongside schools' own data (including, for example, learner participation, learner characteristics, prior attainment, socioeconomic background etc.), to enable a thorough evaluation of performance. Data is only a small part of what should be considered in evaluating how effective a school is.

The data pack will only tell part of the story; it is for each school, supported by their Local Authority and regional consortia, to consider it alongside other evidence and local knowledge in order to inform school self-evaluation, target setting and planning.

National benchmarking data was previously provided to allow a comparison with other schools in similar socio-economic circumstances to encourage collaboration. However, the way in which benchmarking has been used has instead driven competition between schools and Local Authorities rather than collaboration. It will, therefore, no longer be provided.

In its place, Welsh Government will be providing a range of new analyses to enable schools to look at data from a range of angles and taking into account the performance

of all learners. These will be released during the autumn term 2019, with the first release scheduled for mid-October 2019.

In line with the move away from threshold measures, WG will no longer be providing analyses on the percentage of learners achieving: individual subjects, including the Welsh Baccalaureate at Foundation or National, or threshold performance measures, namely the Core Subject Indicator (CSI) or Level 2 threshold.

The exceptions to this are the Level 2 inclusive (L2+) and Level 1 threshold measures – the requirement for schools to set targets for KS4 learners against these measures has remained in legislation for the 2018/19 academic year. Therefore, in order to assist individual schools with monitoring progress against targets, WG will provide schools with their Level 2 inclusive and Level 1 attainment data, in addition to the new interim measures. Two versions of the Level 2 inclusive measure will be provided: one with and one without Welsh or English literature qualifications being able to contribute towards the literacy component.

**Some examples of the type of questions schools should be asking when looking at the data provided include:**

- What are our stronger and weaker subjects / performance indicators?
- What are the trends for subjects / performance indicators?
- Is our performance higher, the same as, or lower than, expected?
- How different were actual outcomes from those expected (a little, a lot)? If there is a notable difference – what might have caused this?
- Are there any contextual factors that have affected performance for this indicator / subject?
- How does the performance of boys compare to that of boys in similar schools?
- How does the performance of girls compare to that of girls in similar schools?
- How does the performance of FSM learners compare to that of their counterparts in similar schools?
- Are there trends over time indicated for boys' / girls' performance?
- How does our school performance compare with our statistical family, the local authority and Wales? What are the similarities? What are the differences?
- Are some family schools more consistent in having higher outcomes?
- What might account for these e.g. have any specific strategies or curricular arrangements been implemented in the school?
- Are there trends over time to grade distributions?
- How do the grade distributions compare across subjects within the school, and with other schools in the family?
- Are there trends in the performance of the lower, middle or upper third?
- How do the average points scores for each third compare with the modelled points scores?
- What proportion of the school's cohort is included within each national third?
- How does that pattern compare across the family and with the local authority?
- How does the proportion of the school's Capped 9 Points Score (interim) ('other six' slots only) that is made up of non-GCSEs compare to that of similar schools?
- What could be the reasons for this?

The content of the data provided below is therefore intended to be used within the context of a wider range of information and a range of regional processes which are used to evaluate individual school performance.

The key aim of this work is to support and provide for our schools appropriately to secure ongoing improvement.

The **Welsh Government, Estyn and WLGA Letter on Evaluation and Improvement Arrangements, 16 July 2019** was sent as a joint communication to Chairs of Scrutiny, Cabinet Members, Directors of Education, Chief Executive Officers, Managing Directors of Regional Education Consortia).

It stated that:

“It is counter-productive for schools to be placed under disproportionate pressure on the basis of individual measures. It is not in the interest of school improvement and risks undermining the ongoing change in culture that we are working together to achieve. We expect local authorities and regional consortia to support schools to make appropriate decisions about their curriculum to avoid narrowing choice for learners.

Collectively, we have agreed that this is the right approach to take and strongly advise you to **use a broad range of un-aggregated data and information** to enable you to discharge your duties when reporting on school performance. Evaluating the performance of individual schools rather than generating aggregated data at local authority level will be more helpful to supporting and challenging individual schools with their improvement.”

### **Data Validity, Accuracy and Risk:**

Please note that the following data summary is compiled using provisional data provided by schools on 8.19 and we await final verification.

### **ERW Capped 9 Performance Overview:**

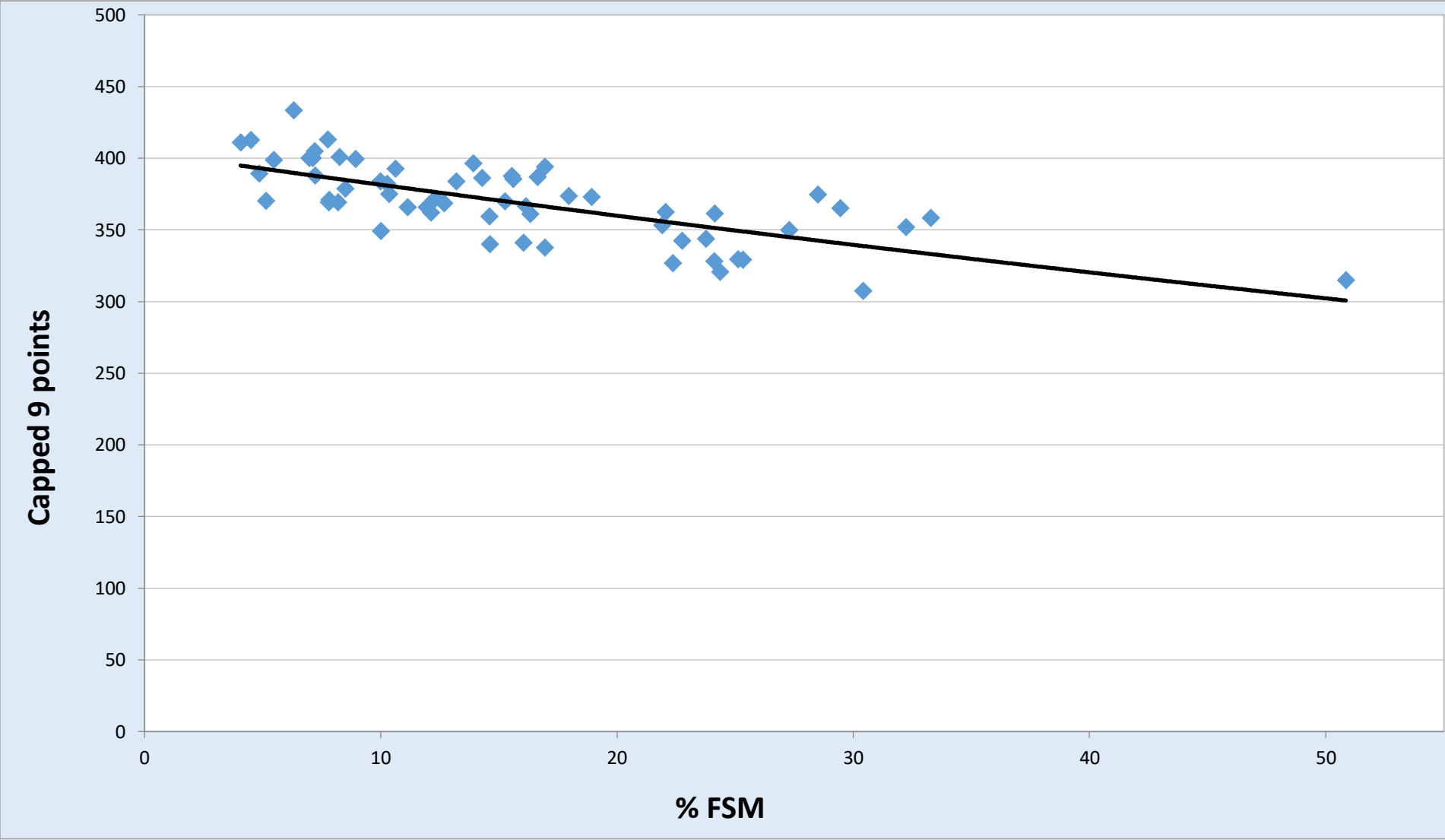
The graphic below provides an overview of performance across all schools in the regions (anonymised).

Each blue dot on the graphic represents a single school within our region which is organised by the FSM% of each school (PLASC 2019). The schools serving our least disadvantaged communities are on the left with those serving our most disadvantaged on the right.

The single line through each chart is the ‘line of best fit’ across the region. If schools are on or around the line, then they are performing in line with expectation (for the region). The 28 schools that are above the line are therefore performing above ‘expectation’ for that particular year, whilst the 16 schools below the line are performing below expectation. The remaining schools (16) are performing according to expectation.

Capped 9 for 2019 (ERW schools only)

Tudalen 112





### **ERW Performance Overview:**

The table below provides the current regional overview of performance for the new interim measures along with national averages.

\*please note the wide range of our schools' FSM statistics which provides us with a further level of context.

<b>Measure:</b>	<b>Capped 9</b>	<b>Literacy</b>	<b>Numeracy</b>	<b>Science</b>	<b>BAC Certificate</b>
<b>ERW</b>	<b>359.0</b>	<b>40.0</b>	<b>38.1</b>	<b>38.2</b>	<b>37.4</b>
<b>Wales</b>	<b>353.3</b>	<b>39.0</b>	<b>37.1</b>	<b>36.8</b>	<b>36.4</b>

### **ERW Capped 9 range:**

Highest = 433.4

Lowest = 305.8

### **ERW Secondary Schools' range of FSM %:**

Lowest = 4.1%

Highest = 50.4%

Mae'r dudalen hon yn wag yn fwriadol

## CYD-BWYLLGOR ERW 9 RHAGFYR 2019

### Adroddiad Cymorth Uwchradd ERW – Rhagfyr 2019

#### Diben:

I ddarparu diweddariad i'r Cyd-Bwyllgor ar Cymorth Uwchradd ERW, a'r cymorth i ysgolion sydd angen cymorth ychwanegol.

#### ARGYMHELLION/PENDERFYNIADAU ALLWEDDOL SY'N OFYNNOL:

Dim i'w nodi – mae'r adroddiad er gwybodaeth i'r Cyd-Bwyllgor

#### RHESYMAU:

N/A

<b>Awdur yr Adroddiad:</b>	<b>Teitl:</b>	<b>Rhif Ffôn:</b>
Andi Morgan	RhG Dros Dro ERW	01267 676 840



**EXECUTIVE SUMMARY  
ERW JOINT COMMITTEE  
9 DECEMBER 2019**

**ERW Secondary Support Report – December 2019**

**BRIEF SUMMARY OF PURPOSE OF REPORT:**

ERW provides enhanced support for schools experiencing specific areas of challenge. This work is implemented through a variety of strategies, placing great emphasis on engagement and collaboration between ERW central officers and locally based Senior Challenge Advisers, Challenge Advisers and LA officers. The attached report update provides a summary of strategies and current activity.

**DETAILED REPORT ATTACHED?**

**YES**



## IMPLICATIONS

Policy, Crime & Disorder and Equalities <b>NONE</b>	Legal <b>NONE</b>	Finance <b>YES</b>	Risk Management Issues <b>YES</b>	Staffing Implications <b>YES</b>
1. <b>Finance:</b> Provision is implemented in line with current ERW Business Plan and staffing structure strategy.				
2. <b>Risk Management:</b> Provision is subject to current Risk Register content as appropriate to the delivery of this service.				
3. <b>Staffing Implications:</b> Provision is implemented in live with current ERW staffing structure strategy.				

## 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:

#### THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
National Categorisation of Schools		County Hall, Carmarthen



Mae'r dudalen hon yn wag yn fwriadol



Ein Rhanbarth ar Waith  
Education through Regional Working

# Cefnogaeth Uwchradd ac Ysgolion sy'n derbyn cefnogaeth ychwanegol

## Secondary Support and Schools receiving additional support 9.12.19

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.



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## **Contents:**

- **Purpose of the report**
- **Section 1: ERW Support Strategies and SCC Protocol**
- **Section 2: Current secondary support activity**
- **Section 3: Appendices**

## **Purpose of the report:**

The report provides Joint Committee members with an overview of ERW support strategies and our current work in support of secondary school support and schools identified in need of additional support.

## **Section 1: ERW Support Strategies and SCC Protocol:**

### **i) School Performance Team Meetings and Protocol:**

We undertake 'School Performance Team Meetings' on a half-termly basis. These meetings provide the opportunity for each Senior Challenge Adviser to meet with ERW central officers (Interim MD, Assistant MD, Head of Secondary and Head of Primary) and share an overview of the Local Authority's specific, current needs. The meetings also facilitate an evaluation of any previous elements of support provision. A strong emphasis is placed on ensuring the appropriateness, nature and timescale of ERW's provision.

Our protocol has arisen out of discussions with Senior Challenge Advisers and a range of ERW officers. It serves to ensure clarity and clearly defined pathways to support schools experiencing specific levels of challenge and need. Please see Appendix 1 for a copy of the Protocol.

### **ii) Secondary Support Group (SSG):**

Our ERW Secondary Support Group continues to provide bespoke support for identified schools across the region. The Group's activity is always brokered in a detailed manner via discussions between the school, ERW officers, senior LA officers, Senior Challenge Adviser and any additional, appropriate officers. The focus of need and following support provision is always tailored to the individual case and setting to ensure effective impact and progress.



**iii) Key Stage 4 Subject Specialists:**

Our team of Key Stage 4 Subject Specialists continue to support a wide range of schools across our region. Whilst their support is not restricted to schools specifically noted as causing concern, their valuable input can often provide the necessary level of expertise required to support and progress an individual element of provision swiftly. In addition, their integral involvement in our Secondary Subject Networks provides effective guidance and reinforcement of some central priorities for all our schools, namely 'high expectations for all learners' and 'whole school responsibility for raising standards and ensuring progress for each learner.'

**iv) National Evaluation and Improvement Resource (WG / Consortia Schools Causing Concern and Self-evaluation Pilot):**

We have recently commenced collaborative work with Welsh Government on two key aspects of national pilot study. Aspect 1 focuses on supporting schools to develop effective self-evaluation. We succeeded in gaining six places for the Aspect 2 self-evaluation pilot which therefore provides us with one school per Local Authority. Schools were nominated by the Senior Challenge Advisers who will be closely involved with the work. Our group of nominated schools contain a mix of primary, secondary and federated settings. This work will evolve and roll out over the next three years, forming a central part of school's future self-evaluation work in pursuit of school improvement.

We have two nominated schools working within Aspect 2 (one from Powys and one from Pembrokeshire). This aspect focuses on Schools Causing Concern. It will take a multi-agency approach to school improvement with both schools supported by a wide ranging School Improvement Board. Our work will commence in partnership with the schools, WG and other partners during the Spring Term, 2020.

**Section 2: Current secondary support activity:**

**Secondary Support Group (SSG):**

Our current activity is focused in the main on schools within Powys, Pembrokeshire and Ceredigion. The Secondary Support Group is working with 15 schools in support of some key elements of provision including:

- building leadership capacity (newly appointed Head teachers, senior leader teams etc)

- teaching and learning
- developing schools as learning organisations

All schools involved with the 'SSG' benefit from close links between the team members and locally based Challenge Advisers. This element is crucial and ensures an agreed and consistent menu of support and improvement for the school.

#### **Key Stage 4 Subject Specialist Team:**

The KS4 Subject Specialist Team is currently supporting some 29 schools across our region, focusing their work in the main on the key areas of:

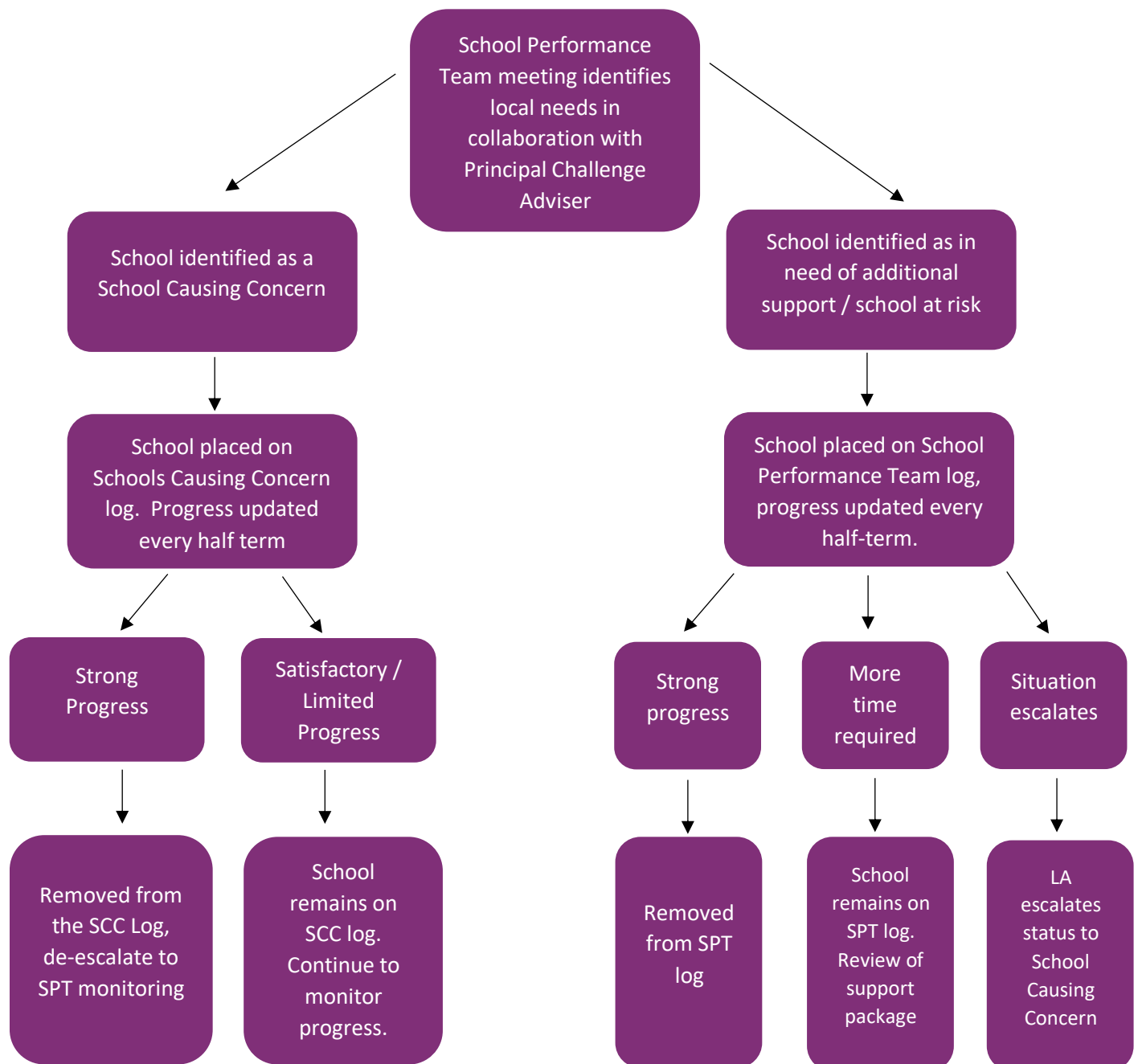
- Cymraeg
- English
- Maths
- Science

We have seven schools involved in Powys, three in Ceredigion, five in Pembrokeshire, five in Carmarthenshire, six in Swansea and three in Neath Port Talbot.

We would emphasise that the use of both of these teams aims tirelessly to avoid schools becoming 'causes for concern.' In close partnership with Senior Challenge Advisers and senior LA officers, our ongoing and supportive dialogue is always targeted towards early support and intervention. We have clear evidence of this approach succeeding and supporting our school communities well.

### Section 3: Appendices:

#### Appendix 1: Schools Causing Concern Protocol Overview



Mae'r dudalen hon yn wag yn fwriadol



## CYD-BWYLLGOR ERW 9 RHAGFYR 2019

### Rhaglen Gwaith Awdit Mewnol am 2019-20

**Diben:**

I ddarparu trosolwg o'r Sesiwn Gwella a Gwerthuso i'r Cyd-Bwyllgor ar y 21.11.19 gyda Kirsty Williams, y Gweinidog Addysg.

**ARGYMHELLION/PENDERFYNIADAU ALLWEDDOL SY'N OFYNNOL:**

Dim i'w nodi – mae'r adroddiad er gwybodaeth i'r Cyd-Bwyllgor

**RHESYMAU:**

N/A

<b>Awdur yr Adroddiad:</b>	<b>Teitl:</b>	<b>Rhif Ffôn:</b>
Joanne Hendy	ERW Head of Internal Audit	01437 776 213



# EXECUTIVE SUMMARY

## ERW JOINT COMMITTEE

### 9 DECEMBER 2019

#### INTERNAL AUDIT WORK PROGRAMME FOR 2019-20

#### BRIEF SUMMARY OF PURPOSE OF REPORT

The Internal Audit work programme for 2019-20.

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>YES</b>	<b>NONE</b>
<b>1. Finance</b>  Joint Committee consideration and approval of the Internal Audit work programme for 2019-20, namely the financial issues included.				
<b>2. Risk Management</b>  Joint Committee consideration and approval of the Internal Audit work programme for 2019-20, namely the risk management issues included.				

## CONSULTATIONS

N/A

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



Mae'r dudalen hon yn wag yn fwriadol



## JOINT COMMITTEE

**Report of:** ERW Head of Internal Audit

**Date:** 9 December 2019

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### INTERNAL AUDIT WORK PROGRAMME 2019-20

The Internal Audit work programme for 2019-20 has been prepared in accordance with the requirements of the Public Sector Internal Audit Standards.

The following Internal Audit work programme has been developed in consultation with the Lead Chief Executive, Interim Managing Director and Section 151 Officer:

- **Follow Up of Previous Internal Audit Recommendations and Annual Governance Statement Action Plan**
- **Financial Management**
  - Sustainability of funding for Central Team
  - Core costs and expenditure
- **ERW Business Plan**
  - Alignment of the Business Plan to the National Mission and local priorities
  - Monitoring delivery of the Business Plan
  - Integrity and reliability of data
  - Assessment of impact and value for money
- **Grant Schedules & Returns from Authorities**
  - Local Authority compliance with grant schedules & terms and conditions
  - Submission of financial and non-financial data to the Consortia/Welsh Government

### RECOMMENDATION:

The Joint Committee considers and approves the Internal Audit work programme 2019-20.

### Background Documents:

N/A

Mae'r dudalen hon yn wag yn fwriadol



## CYD-BWYLLGOR ERW 9 RHAGFYR 2019

### Sesiwn Gwella a Gwerthuso LIC (21.11.19)

#### **Diben:**

I ddarparu trosolwg o'r Sesiwn Gwella a Gwerthuso i'r Cyd-Bwyllgor ar y 21.11.19 gyda Kirsty Williams, y Gweinidog Addysg.

#### **ARGYMHELLION/PENDERFYNIADAU ALLWEDDOL SY'N OFYNNOL:**

Dim i'w nodi – mae'r adroddiad er gwybodaeth i'r Cyd-Bwyllgor

#### **RHESYMAU:**

**N/A**

<b>Awdur yr Adroddiad:</b>	<b>Teitl:</b>	<b>Rhif Ffôn:</b>
Andi Morgan	RhG Dros Dro ERW	01267 676 840



**EXECUTIVE SUMMARY  
ERW JOINT COMMITTEE  
9 DECEMBER 2019**

**WG Evaluation and Improvement Session (21.11.19)**

**BRIEF SUMMARY OF PURPOSE OF REPORT**

All Consortia have worked collaboratively with Welsh Government on the School Improvement Agenda overtime. These annual engagement sessions are designed to provide the opportunity to evaluate and review our work as a region in the company of the Minister for Education, Kirsty Williams AM and Steve Davies, Director of Education, Welsh Government.

ERW attendees were Cllr. Ellen ap Gwynn, ERW Joint Committee Chair, Phil Roberts, Lead CEO, Kate Evan-Hughes, Lead Director, Andi Morgan, Interim MD and Yan James, Assistant MD. The attached report provides Joint Committee members with an overview of the proceedings and discussions.

**DETAILED REPORT ATTACHED?**

**YES**



## IMPLICATIONS

Policy, Crime & Disorder and Equalities <b>NONE</b>	Legal <b>NONE</b>	Finance <b>NONE</b>	Risk Management Issues <b>YES</b>	Staffing Implications <b>NONE</b>
<b>1. Risk Management:</b> The report cites areas of risk identified as a result of our evaluation, monitoring and review processes.				

## 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:

**THESE ARE DETAILED BELOW**

Title of Document	File Ref No.	Locations that the papers are available for public inspection
N/A	N/A	N/A



Mae'r dudalen hon yn wag yn fwriadol



Ein Rhanbarth ar Waith  
Education through Regional Working

# Sesiwn Werthuso a Gwella Llywodraeth Cymru

21.11.19

## Welsh Government Evaluation and Improvement Session

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.

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Its aim is to implement the agreed regional strategy and business plan to support school improvement.



## **Contents:**

- **Purpose of the report**
- **Section 1: Context**
- **Section 2: General feedback**
- **Section 3: Appendices**

### **Purpose of the report:**

To provide Joint Committee members with an overview of the annual Regional Evaluation and Improvement Session (Challenge and Review) undertaken in partnership with Welsh Government.

### **Section 1: Context**

All Consortia have worked collaboratively with Welsh Government on the School Improvement Agenda overtime. These annual engagement sessions are designed to provide the opportunity to evaluate and review our work as a region in the company of the Minister for Education, Kirsty Williams AM and Steve Davies, Director of Education, Welsh Government.

In summary, the main emphasis and purpose of the session is to share an overview of our work and progress as a region, along with details of our key future priorities.

Appendix 1 below provides details of the content of the agenda items discussed during the session. Our ERW attendees were Cllr. Ellen ap Gwynn, ERW Joint Committee Chair, Phil Roberts, Lead CEO, Kate Evan-Hughes, Lead Director, Andi Morgan, Interim MD and Yan James, Assistant MD.

### **Section 2: General feedback:**

The session commenced with the Minister welcoming all to the session along with an outline of its purpose. We were then invited to share our presentation (for the agreed period of 15 minutes) and proceeded to present the content of the attached document 'Evaluation and Improvement Pack' in Powerpoint style.

Following this, the Minister continued to open the session for follow-up questions and a range of discussion areas.



The following summary provides a brief overview of the issues raised and discussed:

1. ERW arrangements for supporting the new curriculum and links with Challenge Adviser (CA) activity.

**Response:** we referred back to the presentation pack elements which highlighted the series of Curriculum Engagement Events. In addition, we emphasised the close and effective nature of collaboration between our CAs and their role in supporting the advent of the Curriculum for Wales. We praised the effectiveness of our Senior Challenge Adviser Network and additional elements such as CA Update Training events.

2. Quality Assurance and Performance Management of CAs:

**Response:** we reassured the Minister that ongoing quality assurance activities are undertaken e.g. joint Core Support Visits and report scrutiny. In addition, we confirmed that performance management of CAs is undertaken by individual LAs.

3. Duplication of LA Advisory staff and ERW functions:

**Response:** we reassured the Minister that no levels of duplication exist due to the benefits of additional capacity provided by the small number of officers involved and the overriding need for provision through the medium of Welsh.

4. Key regional risks:

**Response:** we discussed the content of our identified risks (noted below) in further detail and addressed elements pertaining to the ERW footprint.

- Further develop and finalise content of the Senior Leadership Profile with a focus on the roles of the MD and 'Heads of Service'
- Implement the revised and agreed Governance Structure in support of effective business planning and service delivery
- Continue to support schools with the successful implementation of Curriculum Reform and Our National Mission
- Continue to collaborate with Estyn (sharing further evidence of the ongoing progress and impact of our work)

5. How is ERW adding additional value?

**Response:** we explained the context and purpose of the revised team structure in greater depth, highlighting the services provided by the KS4 Subject Specialist Team, School Support Group and Curriculum Team.

6. ERW support for schools in need of additional support:

**Response:** we provided further evidence of the work and impact of the Secondary Support Group. We noted our thanks for WG's agreement to include six schools within the newly launched National Evaluation and Improvement Resource self-evaluation pilot along with our two nominated schools working within the Schools Causing Concern aspect.

7. ERW Support for English departments:

**Response:** we explained the nature of the support work undertaken by our KS4 Subject Specialist Team placing much emphasis on collaborative links with CAs and school leaders. In addition, we shared information with regard to the KS4 Team's work across the subject networks.

8. How do we measure schools' readiness for the new curriculum?

**Response:** we further discussed the content and purpose of the recent Curriculum Engagement Events. We emphasised the crucial role of the Senior Challenge Adviser Network and CAs in general as conduits within this process. We explained the ongoing partnership working between the CA Network and Curriculum Team (via the Head of Curriculum Review & Innovation).

9. Questions focusing on ALN transformation and LA responsibilities:

**Response:** we discussed the work of the ERW ALN Transformation Group, appointment and direction of our Head of Special Schools along with provision for schools and how ERW activity dovetails with LA support services.

**Summing up:** The Minister noted her thanks for our contributions and the opportunity to engage in an open and productive dialogue at such a key point within the national reform journey.



## Section 3: Appendices

### Appendix 1: Evaluation and Improvement Agenda

#### Review and Challenge Meeting: ERW

**Venue:** The Liberty Stadium, Swansea

**Date:** 21 November 2019

**Time:** 11:00 – 12:30

***(Invited attendees only)***

#### Agenda

11:00	<b>Chair's welcome and introductions (5 minutes)</b> – Minister for Education
11:05	<b>Presentation by Consortium (15 minutes)</b> <ul style="list-style-type: none"><li>• Analysis of a range of evidence and data and information reviewed to inform this year's business planning priorities</li></ul>
11:20	<b>Group discussion and questions (60 minutes)</b> <ul style="list-style-type: none"><li>• Top three risks to delivery against business planning priorities</li><li>• Update of regional delivery of Education in Wales: our National Mission – identify the top risk for each objective in the National Mission</li><li>• Consortia funding priorities for 2020/21 Business Planning Cycle</li><li>• How does the region monitor the impact of their support for schools on the implementation of the new curriculum in all of the schools in the region</li></ul>
12:20	<b>Summary of actions and next steps (10 minutes)</b>
12:30	<b>Close</b>

Mae'r dudalen hon yn wag yn fwriadol

# **‘Autumn Evaluation and Improvement Session’**

**ERW Consortium**

**Liberty Stadium, Swansea  
21.11.19**



# Presentation Content

1. Revised ERW team structure
2. Business Planning and Strategic Direction
3. Achievement and Performance
4. Celebrating, sharing and strengthening
5. Key strengths, risks and priorities



Cynghrair o 4 awdurdod lleol yw ERW a nodir gan gytbwyltgar cyfnewidiadau cyfluthio.  
Y nod yw gweithredu strategaeth a chynllun busnes rhannbarthol dylunedig a chatholgi gweithiant ysgolion.  
ERW is an alliance of 4 local authorities governed by a legally constituted joint committee.  
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## Section 1:

# Our revised ERW team structure



Cyngorwr a 6 awdurdod lleol yn ERW a nodir gan gyddwyllyddiaeth sylweddolddad sylweddol.  
Y nod yn gweithredu strategaeth a chydus busnes rhannolrhol cyfnewllig a chafael gweithredu ysgolion.  
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Following a comprehensive recruitment campaign during the Summer Term, we have successfully enhanced our ERW team structure to include the following additional key roles:

Head of Primary Sector

Head of Secondary Sector

Head of Special Schools and Alternative Settings

Head of Professional Learning

Head of Curriculum Reform and Innovation

Lead for Research and HEI Partnerships



Cyngorwr a 6 awdurdod lleol yn ERW a nodir gan gyddwyllyddiaeth sylweddolddad sylweddol.  
Y nod yn gweithredu strategaeth a chydus busnes rhannolrhol cyfnewllig a chafael gweithredu ysgolion.  
ERW is an alliance of 6 local authorities governed by a legally constituted joint committee.  
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In addition, we now have full complement of Secondary Specialists (14 in total) and Leads for AoLEs (11 in total)

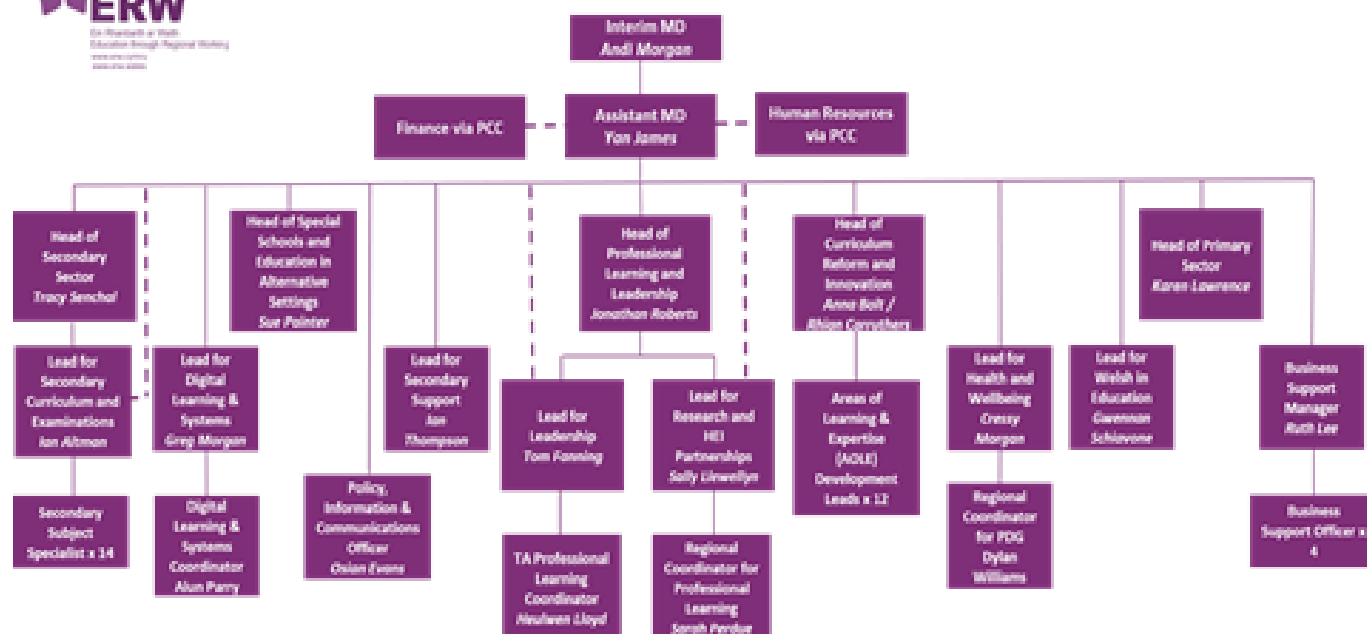
We are utilising their expertise and skills across our schools within a variety of activities which include:

- bespoke support and training for individual schools and Clusters
- curriculum reform information and guidance sessions across the Region



Cyngorwyr a 16 awdurdod lleoliol ym ERW a nodir gan gyfarwyddwr cyffwrdd blaiddol cyffwrdd.  
Y nod ym gyswlltrefnu strategaeth a chyswlltrefnu rhwydwrthol cyffwrdd a chyswlltrefnu cyffwrdd.  
ERW is an alliance of 16 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.

## ERW Team Structure





## Section 2:

# Business Planning and Strategic Direction



Cynghrair o 5 awdurdod lleol yn ERW a nodir gan gyflwyniadau alysmoddolddad eghellidol.  
Y nod yr awdurdodau strategaidd a chydun busnes rhannu'r ddiwydiedig a chafodd gennid ysgellid.  
ERW is an alliance of 5 local authorities governed by a legally constituted joint committee.  
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## Business Planning and Strategic Direction

Our Business Planning processes have focused on a detailed analysis of a wide range of evidence and data available to us regionally and nationally.

This has enabled us to align our Business Plan content with local, regional and national needs and priorities in full support of Our National Mission.



Cynghrair o 5 awdurdod lleol yn ERW a nodir gan gyflwyniadau alysmoddolddad eghellidol.  
Y nod yr awdurdodau strategaidd a chydun busnes rhannu'r ddiwydiedig a chafodd gennid ysgellid.  
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## ERW Strategy Groups

Our 'ERW Strategy Groups' undertake a central role in delivering Business Plan priorities and implementing our strategic direction in a practical and effective manner. Delegated spending powers exist for each Group in line with our regional financial arrangement. ERW Strategy Groups have been established for:

- Professional Learning and Research
- Leadership
- Curriculum
- Health and Wellbeing
- Literacy, Numeracy and Digital Learning
- Welsh



Cyngorwyr a 5 awdurdod lleol yn ERW a nodir gan gylloeyddwyr sylfennoddiadau cyffwrddol.  
Y nod yw gweithredu strategaeth a chynllun busnes rhannurolat cyffwrddol a chafaelu gweithredu ysgolion.  
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## ERW Strategy Groups

To ensure cross-regional participation, engagement and our ability to benefit from a broad range of skills and expertise, all Strategy Groups include a representative from each Local Authority.

Group composition:

- 1 x ERW Lead Officer
- 1 x Local Authority Director
- 2 x Local Authority Officers
- 3 x Headteacher / Outstanding Practitioner



Cyngorwyr a 5 awdurdod lleol yn ERW a nodir gan gylloeyddwyr sylfennoddiadau cyffwrddol.  
Y nod yw gweithredu strategaeth a chynllun busnes rhannurolat cyffwrddol a chafaelu gweithredu ysgolion.  
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## Business Plan content (examples of priorities, delivery mechanisms and progress monitoring):

- please note the emphasis on roles and responsibilities for specific partners e.g. Region, sub-region and schools



Cynghrair a 6 awdurdod lleol yn ERW a reolir gan gyllwyllyddr cyfnewidiadau cyffwrdd.  
Y nod yw gweithredu strategaeth a chynllun busnes rhanbarthol cyffwrdd a chafael gwellant ysgolion.  
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Business Plan 2019-20, v. 1.2 cwtgwgubw - Word

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The tables on pages 17 - 20 outline responsibilities that have been agreed between the region and the constituent Local Authorities. These delegated responsibilities are interdependent and are carefully aligned in order to reduce duplication of resource and provision.

### 1. A Curriculum for Wales

Statement of intent	Region	Sub-region	Schools
<p>All 16 schools will be fully engaged in the development of a Curriculum for Wales.</p> <p>Work collaboratively with Welsh Government (WG) and the other regions to inform and monitor developments through programme board and regional monitoring group.</p> <p>Agree a regional timeline so that all schools can have milestones to work to, in order to ensure timely progress and seamless transition into 2020.</p> <p>Provide a 'national' curriculum preparation tool.</p> <p>Establish regional <a href="#">APL</a> collaborative groups to provide mutual support and identification of best practice.</p> <p>Regional groups for each <a href="#">APL</a> will monitor support requirements for schools and ensure schools are</p>	<p>The local authority will provide the time and space through headteacher meetings to provide workshops related to the new curriculum. Also consideration to common / local curriculum content.</p> <p>The local authority will provide facilitation services so that schools are getting up to date information from <a href="#">APL</a> tools and will provide support to embed the learning into the curriculum.</p> <p>Local authorities will capture the information for the readiness tool.</p> <p><a href="#">APL</a> tools will:</p> <ul style="list-style-type: none"> <li>Provide direct interface with local authorities to support and develop local knowledge.</li> <li>Support schools in understanding of</li> </ul>	<p>Schools will work collaboratively through their professional networks and bodies of schools to develop their understanding of all aspects of the new curriculum, (see <a href="#">APL</a> page).</p> <p>Schools will provide opportunities for all staff to engage in the development of key milestones for the new curriculum.</p> <p>Schools will share their learning with each other through local authority headteacher meetings.</p> <p>Schools will use and develop their own set of tools with their local curriculum and identified priorities. Schools and clusters need to consider context and community.</p>	

4. ERW Business Plan 2019-20

moving towards preparation for 2020 implementation

progression steps and achievement outcomes

Page 5 of 11 11682 words English (United Kingdom) 10/11/2019



Cynghrair a 6 awdurdod lleol yn ERW a reolir gan gyllwyllyddr cyfnewidiadau cyffwrdd.  
Y nod yw gweithredu strategaeth a chynllun busnes rhanbarthol cyffwrdd a chafael gwellant ysgolion.  
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Yn eiddoedd a gysylltu â'r EWR a'r EFTA, mae'r gwybodaeth hon yn parhau'n ddilys a'n ddarparu'n ddwyfysol i'r Eiddoedd a'r EFTA. Yn eiddoedd a gysylltu â'r EWR a'r EFTA, mae'r gwybodaeth hon yn parhau'n ddilys a'n ddarparu'n ddwyfysol i'r Eiddoedd a'r EFTA.

# ERW Brokerage Protocol

- We recognise that successful and effective support is based on an equitable brokerage system
- We have therefore designed a 'Brokerage Protocol' to assist this work and ensure clearly defined routes for our schools and partners to follow
- Each 'Brokerage Pathway' reinforces the role and effectiveness of our Senior Challenge Adviser Network as requests for provision support are driven through the local Senior Challenge Adviser
- Our Senior Challenge Adviser Network will broker and monitor impact of support on a regional basis



Cyngorwr a ffurfiwyd fel ym ERW a reolir gan gyllwylfyrer cyfnewidiadaol cyffwrddol.  
Y nod yw gweithredu strategaidd a chydlynio busnes rhwyddwr cyffwrdd a chydlynio gweithredu cyffwrdd.  
ERW is an alliance of 6 local authorities governed by a legally constituted joint committee.  
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## Section 3:

# Achievement and Performance



Cyngorwr a 5 awdurdod lleol yn ERW a nodir gan gyfnewtlydder cyfnewtlyddol cyfnewtlyddol.  
Y nod yr awdurdodau strategaidd a chydun busnes rhannolddol cyfnewtlyddol a chafaellydd gweithred ysgolion.  
ERW is an alliance of 5 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.

## Achievement and Performance

The following slides articulate an overview of our performance against the KS4 2019 measures and National Categorisation since 2014



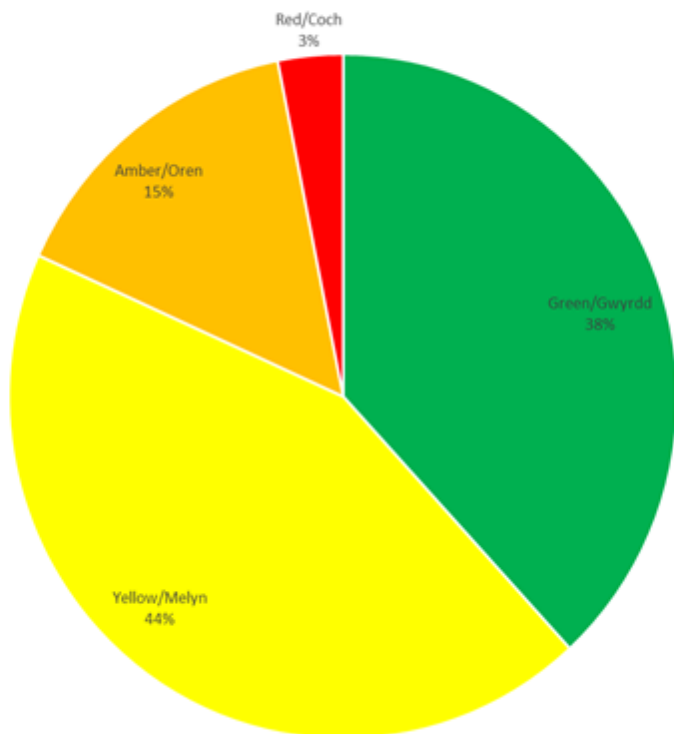
Cyngorwr a 5 awdurdod lleol yn ERW a nodir gan gyfnewtlydder cyfnewtlyddol cyfnewtlyddol.  
Y nod yr awdurdodau strategaidd a chydun busnes rhannolddol cyfnewtlyddol a chafaellydd gweithred ysgolion.  
ERW is an alliance of 5 local authorities governed by a legally constituted joint committee.  
Its aim is to implement the agreed regional strategy and business plan to support school improvement.

Secondary	Primary	All-Age	Alternative Settings
52	397	9	16

Capped 9	Llythrennedd Literacy	Rhifedd Numeracy	Gwyddoniaeth Science	Tystysgrif BAC BAC Certificate
Average	Average	Average	Average	Average
359.9	40.0	38.1	38.2	37.4

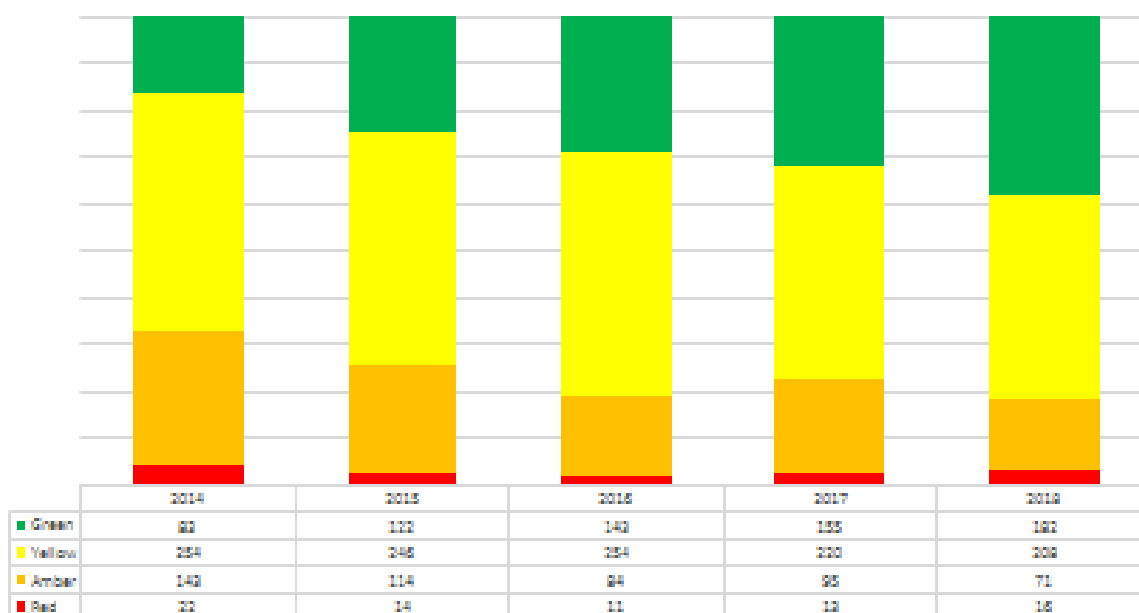


EWB is an alliance of 6 local authorities governed by a legally constituted joint committee. Its aim is to implement the agreed regional strategy and business plan to succeed school improvement.



# ERW Categorisation 2014 - 2018

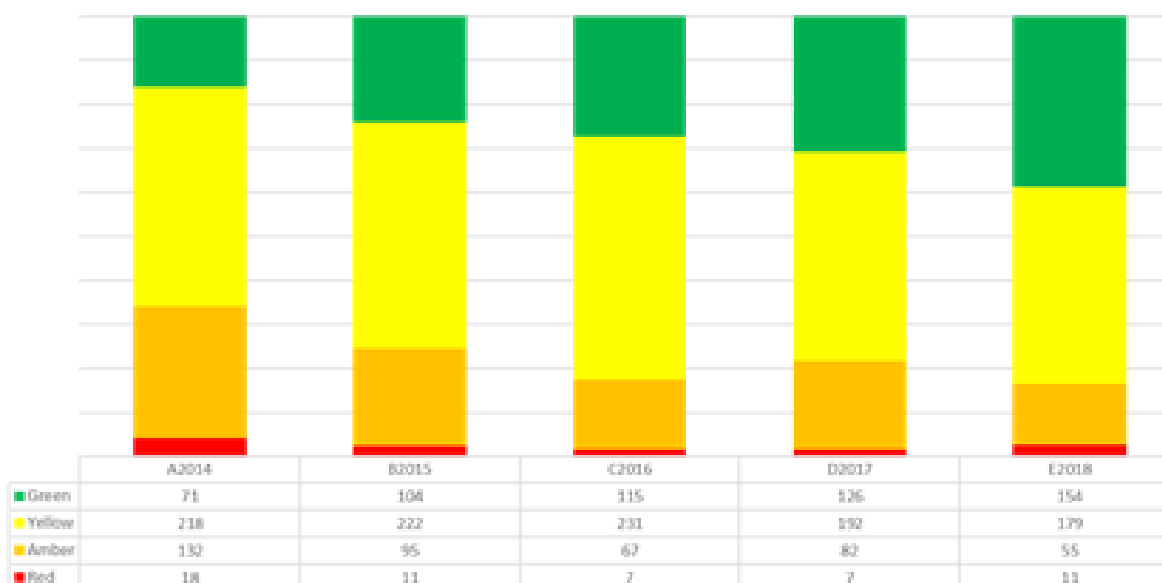
ERW All



Cynghrair a 6 awdurdod lleol ym ERW a nodir gan gyflwynedig sylfawddoldeb sylffwrdd.  
Y nod ym gwybodaeth strategaeth a chysylltu busnes rhannol fel sylffwrdd a chofrestr gwybodaeth.  
ERW is an alliance of 6 local authorities governed by a legally constituted joint committee.  
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# ERW Primary Categorisation 2014-2018

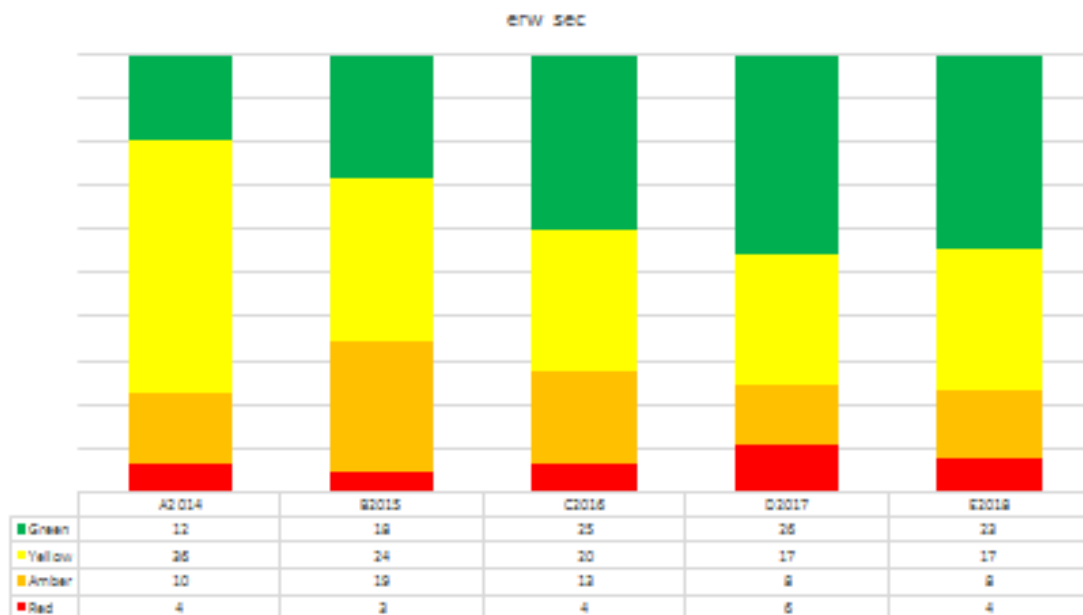
ERW PRI



Cynghrair a 6 awdurdod lleol ym ERW a nodir gan gyflwynedig sylfawddoldeb sylffwrdd.  
Y nod ym gwybodaeth strategaeth a chysylltu busnes rhannol fel sylffwrdd a chofrestr gwybodaeth.  
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.



## ERW Secondary Categorisation 2014-2018



Cynghrair a 5 awdurdod lleol ym ERW a nodir gan gyfrifwythgar sylfenneddolddol sylffeddol.  
Y nod ym gweithredau strategaidd a chydlyn busnes rhannolddol cyfnewidi a chafwyd gweithred ysgellu.  
ERW is an alliance of 5 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.

## Section 4:

# Celebrating, Sharing and Strengthening



Cynghrair a ffurfiwyd fel ym ERW a nodir gan gyfnewtlydd sylfaenolddadl sylfaenol.  
Y nod ym gweithredu strategaidd a chydun busnes rhannolddad sylfaenol a chofrestrd gweithredu sylfaenol.  
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Its aim is to implement the agreed regional strategy and business plan to support school improvement.



## Curriculum Engagement Events Autumn Term 2019

- During the summer of 2019, schools and partners were invited to engage with the *Curriculum for Wales* in order to give feedback on its development so far
- The Autumn Term ERW events seek to reinforce this work and continue to provide further clarity on the current position and most recent developments
- Support available for schools in developing their curriculum and in providing practitioners with the professional learning needed to bring about growth is a key theme within these sessions as well as ...
  - providing an opportunity to explore the broad principles at the core of *Curriculum for Wales*, the 'essence of learning' which underpins its purpose and the importance of equity of experience
  - providing time for schools to reflect on their curriculum strengths and to consider, with colleagues, further strategies for shaping the school's curriculum



Cynghrair a ffurfiwyd fel ym ERW a nodir gan gyfnewtlydd sylfaenolddadl sylfaenol.  
Y nod ym gweithredu strategaidd a chydun busnes rhannolddad sylfaenol a chofrestrd gweithredu sylfaenol.  
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# Curriculum Engagement Events Autumn Term 2019

- Our schedule has included seven days of events based on morning and afternoon sessions
- Some 509 attendees have registered so far across all events
- We have received significantly positive feedback from events to date with all survey questions reaching 90% positive responses or higher
- Our work will be further consolidated in the Spring Term, 2020 with revised events focusing on the final content of the AOLEs



Cynghrair o 5 awdurdod lleol ym ERW a nodir gan gydlynwyrdd yr aroddolddad cyffwrddol.  
Y nod ym gweithredau strategaidd a chynllun busnes rhannolddol cyffwrddol a chafwyd gweithred gweithred.  
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Its aim is to implement the agreed regional strategy and business plan to support school improvement.

## Cluster Level Support and Guidance

The newly appointed ERW Curriculum Team has already begun refining their delivery of Curriculum support to Clusters of schools.

The number of schools (469) and geography of ERW promotes a Cluster based model in support of ensuring effective curriculum reform across our Region

Pilot sessions to trial this work have already been undertaken with Clusters in Morriston and Bryntawe – both sessions have provided very positive feedback

This training will be a key component of our follow-up work to the curriculum update events.



Cynghrair o 5 awdurdod lleol ym ERW a nodir gan gydlynwyrdd yr aroddolddad cyffwrddol.  
Y nod ym gweithredau strategaidd a chynllun busnes rhannolddol cyffwrddol a chafwyd gweithred gweithred.  
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Its aim is to implement the agreed regional strategy and business plan to support school improvement.

## ERW “Lead Support School” Project 2018-19

- We collaborated within this Consortia led initiative which linked supportively to developing ‘Schools as Learning Organisations’
- Lead schools with particular areas of expertise e.g. leadership, self-evaluation, assessment etc were identified to support work within other schools (identified as having specific areas of need by Challenge Advisers)
- Funding was provided to facilitate ‘School-to-School’ working for up to an academic year, underpinned by agreed Action Plans
- 30 Lead schools participated with 45 individual schools and 3 federations receiving support across a range of priorities
- Participants’ responses to the survey were overwhelmingly positive citing opportunities to witness good practice, engage in professional dialogue, receive advice and support as particularly valuable aspects of the project



Cyngorau a 6 awdurdod lleol yn ERW a reolir gan gyllwyllydd yr amlinodddadai cyfeithiol.  
Y nod yw gweithredu strategaeth a chynllun busnes rhannolrhol cyfnewid a chafael gwelltad yegalon.  
ERW is an alliance of 6 local authorities governed by a legally constituted joint committee.  
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## ERW Roadshows Autumn Term 2019-20

- Our Autumn Term ‘Roadshows’ have been scheduled across all six Local Authorities within the ERW Region
- Our aim is to present, clarify and reinforce the role and contributions of the revised ERW structure for Headteachers, Senior leaders, officers and partners
- In addition, workshops on Schools as Learning Organisations will form an integral part of the presentation, thus ensuring a consistency of understanding and implementation across our schools
- This is a significant piece of stakeholder engagement which aims to further enhance engagement with all of our partners



Cyngorau a 6 awdurdod lleol yn ERW a reolir gan gyllwyllydd yr amlinodddadai cyfeithiol.  
Y nod yw gweithredu strategaeth a chynllun busnes rhannolrhol cyfnewid a chafael gwelltad yegalon.  
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## Schools requiring enhanced provision and support

- A key part of our Region's work is securing appropriate and effective provision for schools requiring a specific area of support
- We have designed and implemented a bespoke protocol to promote and implement this work in partnership with our Senior Challenge Advisers
- Our support provision follows a range of routes which include bespoke input from our Curriculum Team, Secondary Specialist Team and Secondary Support Group
- All elements of support are monitored and reviewed regularly in a collaborative manner with all partners



Cynghrair a 6 awdurdod lleol yw ERW a weithir gan gydlynwyr cyfnewidiadau cyhoeddus.  
Y nod yw gwellhrodd strategaeth a chynllun busnes rhannurol cyfnewidiad a chafael gwellhrodd ysgolion.  
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### School Performance Team Protocol



Cynghrair a 6 awdurdod lleol yw ERW a weithir gan gydlynwyr cyfnewidiadau cyhoeddus.  
Y nod yw gwellhrodd strategaeth a chynllun busnes rhannurol cyfnewidiad a chafael gwellhrodd ysgolion.  
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## Section 5:

### Key Strengths, Risks and Priorities



Cynghrair o 5 awdurdod leol yw ERW a nodir gan gyt-bwyllgor cyfnewidiadol cyfnewidiol.  
Y nod yw gweithredu strategaeth a chynllun busnes rhannbarthol cyfnewidiol a chafaelu gwelliant ysgolion.  
ERW is an alliance of 5 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.



### Key strengths, risks and priorities

#### Key strengths:

- Revised ERW team structure providing greatly enhanced capacity and expertise to support school communities across the Region
- Enhanced engagement with school leaders and partners via a range of ongoing support and guidance sessions

#### Risks and Priorities:

- Further develop and finalise content of the Senior Leadership Profile with a focus on the roles of the MD and 'Heads of Service'
- Implement the revised and agreed Governance Structure in support of effective business planning and service delivery



Cynghrair o 5 awdurdod leol yw ERW a nodir gan gyt-bwyllgor cyfnewidiadol cyfnewidiol.  
Y nod yw gweithredu strategaeth a chynllun busnes rhannbarthol cyfnewidiol a chafaelu gwelliant ysgolion.  
ERW is an alliance of 5 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.

## Key strengths, risks and priorities

### Key strengths:

- A clearly defined and detailed strategic direction outlining our priorities and mainlining resources to support the successful delivery of the National Reform Agenda
- Effective Business Planning progress and review mechanisms directly informing longer term strategic planning and direction, including agreed rationale for allocation of regional resources

### Risks and Priorities:

- Continue to support schools with the successful implementation of Curriculum Reform and our National Mission
- Continue to collaborate with Estyn (sharing further evidence of the ongoing progress and impact of our work)



Cynghrair o 5 awdurdod leol yw ERW a nodir gan gyfrinwylgwr cyfansoddiadol cyhoeddus.  
Y nod yw gweithredu strategaeth a chynllun busnes rhannbarthol cyfunedig a chethnogi gwelliant ysgolion.  
ERW is an alliance of 5 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.

## Key strengths, risks and priorities

### Key strengths:

- Enhanced and regular engagement with national partners via participation within all strategic groups e.g. Coherence, Evaluation & Improvement, Our National Mission Change Board, PL, ODB, WJEC Advisory Group, Digital, Strategic Ed. Board, Cross-regional Groups (10)



Cynghrair o 5 awdurdod leol yw ERW a nodir gan gyfrinwylgwr cyfansoddiadol cyhoeddus.  
Y nod yw gweithredu strategaeth a chynllun busnes rhannbarthol cyfunedig a chethnogi gwelliant ysgolion.  
ERW is an alliance of 5 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.

## Key strengths, risks and priorities

### Key strengths:

- Ongoing progress against our Estyn recommendations including:
  - enhanced staffing structure
  - refined business planning and service delivery
  - strengthened governance and service effectiveness
  - Enhanced stakeholder engagement and partnership working



Cynghrair a 6 awdurdod lleol yw ERW a nodir gan gyfrifwylfyr cyfnewidiadau cyfnewidiol.  
Y nod yw gweithredu strategaeth a chynllun busnes rhannbarthol cyfunedig a chafuogi 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.



## CYDBWYLLGOR ERW 09 RHAGFYR 2019

### YMCHWILIAD ARCHWILIO MEWNOL ERW I RAGLEN YR ARWEINWYR DYSGU

#### Diben:

Adrodd ar ganfyddiadau'r Ymchwiliad Archwilio Mewnol i Raglen yr Arweinwyr Dysgu, yn unol â chais y Cydbwyllgor.

#### ARGYMHELLION/PENDERFYNIADAU ALLWEDDOL SY'N OFYNNOL:

Nodi canfyddiadau'r ymchwiliad, ac ystyried yr argymhellion a gynhwysir yn yr adroddiad i gryfhau trefniadau llywodraethu, rheolaeth fewnol a rheolaeth ariannol yn y Consortiwm.

#### RHESYMAU:

Cydymffurfio â chais y Cydbwyllgor.

#### Awdur yr Adroddiad:

Matthew Holder

#### Teitl:

Rheolwr Archwilio, Risgiau a  
Gwrth-dwyll

**Rhif Ffôn:** 01437 776581

#### e-bost:

[Matthew.holder@pembrokeshire.gov.uk](mailto:Matthew.holder@pembrokeshire.gov.uk)



# EXECUTIVE SUMMARY

## ERW JOINT COMMITTEE

### 09 DECEMBER 2019

## ERW INTERNAL AUDIT INVESTIGATION INTO THE LEADERS OF LEARNING PROGRAMME

### BRIEF SUMMARY OF PURPOSE OF REPORT

The ERW Joint Committee met on 03 April 2019 and resolved that an Internal Audit investigation be undertaken into previous funding streams and governance arrangements to support the expenditure associated with the Leaders of Learning Programme.

The objective of the investigation was to ascertain:

- The quantum of funding for ERW Leaders of Learning.
- The funding streams utilised for the ERW Leaders of Learning (including the specific issue around “Initial Teacher Training” funds as one of the potential funding streams utilised to fund Leaders of Learning).
- Who authorised the funding for the ERW Leaders of Learning (as it had been mentioned previously that funds were moved around to balance various priority areas. The Joint Committee want reassurance that the correct governance was followed at all times, and this includes authorisation from Welsh Government as well as the internal arrangements of ERW).
- That funding Terms and Conditions have been complied with at all times.
- The circumstances surrounding the location of ERW Leaders of Learning directly within Welsh Government buildings in Aberystwyth, Carmarthen and Swansea.
- The number of FTE (Full-time equivalent) ERW Leaders of Learning employed within the ERW Central Team.
- Whether there are any opportunities and funding flexibilities that were not previously realised in the funding Terms and Conditions.

DETAILED REPORT ATTACHED?

YES



## IMPLICATIONS

Policy, Crime & Disorder and Equalities <b>NONE</b>	Legal <b>YES</b>	Finance <b>YES</b>	Risk Management Issues <b>YES</b>	Staffing Implications <b>YES</b>
<b>1. Legal</b> Section 5.2 within the report highlights that scrutiny arrangements within the Consortia need to be strengthened to ensure evidenced oversight of how funding is to be used and the expected outcomes to be achieved. Delegation arrangements also require updating so that is a clear decision making process in place to agree and approve the use of grant funding.				
<b>2. Finance</b> Section 5.3 highlights that the Business Plan had not been costed and is not subject to regular scrutiny and whether the finances of the region allow priorities to be met. The report also highlights the complexity of the accounting structure, which when coupled with movements in expenditure following additional in-year grant variations can result in errors occurring and duplicate payments being made.				
<b>3. Risk Management</b> The report highlighted the lack of oversight by the Joint Committee for the Leaders of Learning Programme, and it was apparent that the Business Plan once approved at the beginning of the year is not monitored on a regular basis, which presents concerns on the effectiveness of interventions and whether there is available resource to deliver the National Priorities.				
<b>4. Staffing Implications</b> Section 5.3 within the report highlights the need to strengthen the HR process surrounding secondments so that key processes are in place for both recruitment and selection. Section 5.6 within the report also highlights the need to inform the Joint Committee from where secondments are funded from and the National Priorities that are being met to ensure improved accountability and greater scrutiny on working arrangements.				

## CONSULTATIONS

Details of any consultations undertaken are to be included here

### Section 100D Local Government Act, 1972 – Access to Information



List of Background Papers used in the preparation of this report: THESE ARE DETAILED BELOW		
Title of Document	File Ref No.	Locations that the papers are available for public inspection
Not applicable		





## **ERW Leaders of Learning Programme**

### **FINAL INVESTIGATION REPORT**

**Investigation Number I-119 (2019-20)**

<b>Report issued to:</b>	<b>Jonathan Haswell, ERW S151 Officer Eifion Evans, Former Interim ERW Lead Chief Executive, Ceredigion CC Phil Roberts, ERW Lead Chief Executive Elin Prysor, ERW Monitoring Officer</b>
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<b>Report copied to:</b>	<b>Joanne Hendy, ERW Head of Internal Audit</b>
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<b>Investigating Officer:</b>	<b>Matthew Holder, Audit, Risk &amp; Counter Fraud Manager</b>
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**Investigation I-119 (2019-20)****ERW Leaders of Learning Programme**

**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 and Background**

- 1.1 The ERW Joint Committee met on 03 April 2019 and resolved that an Internal Audit investigation be undertaken into previous funding streams and governance arrangements to support the expenditure associated with the Leaders of Learning Programme.
- 1.2 Negotiation between the Central Team of ERW and Civil Servants from Welsh Government initially agreed to host these Leaders of Learning directly within Welsh Government buildings in Aberystwyth, Carmarthen and Swansea.
- 1.3 A global figure of approximately £2.5m was utilised from several funding streams provided by Welsh Government to the region to employ 58 (FTE) Full-time equivalent) Leaders of Learning.
- 1.4 The Audit, Risk and Counter Fraud Manager was asked to lead on the investigation, with the draft investigation report being presented to the ERW S151 Officer, ERW Monitoring Officer and ERW Lead Chief Executive for review, before being finalised and reported to the ERW Joint Committee.
- 1.5 Whilst the ERW Joint Committee resolved to commission the investigation through its own Internal Audit function, in the interests of openness and transparency, the Wales Audit Office Financial Audit Director was notified on 04 April 2019.

**2.0 Investigation Objectives**

- 2.1 The objective of the investigation was to ascertain:
  - The quantum of funding for ERW Leaders of Learning.
  - The funding streams utilised for the ERW Leaders of Learning (including the specific issue around “Initial Teacher Training” funds as one of the potential funding streams utilised to fund Leaders of Learning).

- Who authorised the funding for the ERW Leaders of Learning (as it had been mentioned previously that funds were moved around to balance various priority areas. The Joint Committee want reassurance that the correct governance was followed at all times, and this includes authorisation from Welsh Government as well as the internal arrangements of ERW).
- That funding Terms and Conditions have been complied with at all times.
- The circumstances surrounding the location of ERW Leaders of Learning directly within Welsh Government buildings in Aberystwyth, Carmarthen and Swansea.
- The number of FTE (Full-time equivalent) ERW Leaders of Learning employed within the ERW Central Team.
- Whether there are any opportunities and funding flexibilities that were not previously realised in the funding Terms and Conditions.

### **3.0 Investigation Methodology**

3.1 The Investigating Officer interviewed the following:

- Alan Edwards, former ERW Head of Teaching & Learning
- Geraint Rees, ERW Acting Managing Director
- [REDACTED]
- [REDACTED]

3.2 Relevant documentation relating to the ERW Leaders of Learning Programme was reviewed where available, including grant Terms and Conditions.

3.3 The Investigating Officer compiled a formal investigation report.

### **4.0 Conclusion and Opinion**

4.1 The audit investigation found weaknesses in governance arrangements, with the delegation arrangements surrounding the approval and usage of grant funding requiring strengthening and formalising, so that there is a clear understanding of the process to be followed to determine both the allocation of funding and the outcomes that are to be achieved.

There was a lack of direction and scrutiny from the Joint Committee relating to how grant funding is to be utilised. For the Leaders of Learning Programme there were no requests by the Joint Committee for Programme updates in order to effectively scrutinise whether the Programme provided value for money and whether it was an efficient way of delivering Business Plan priorities. Governance arrangements surrounding the employment of seconded staff also need to be strengthened with a

significant amount of paperwork missing resulting in the appointment process being weak and being open to criticism.

No financial issues were identified during the investigation with the Leaders of Learning Programme complying with the respective grant Terms and Conditions, although there is an opportunity to simplify the accounting structure in order to reduce the number of journals made, and to strengthen existing arrangements.

Recommendations have been made within the detailed findings, which the Joint Committee should consider in order to strengthen arrangements moving forward within ERW. A definition of the Recommendation gradings are shown at Appendix A.

**4.2 The quantum of funding for ERW Leaders of Learning Programme.**

The total funding used to support the Leaders of Learning Programme is predicted to be £5.09m, from the beginning of September 2017 through to August 2019. This figure may reduce but is dependent on secondment agreements ceasing earlier than stated. This has funded a total of 57.7 FTE staff with additional payments being made direct to schools involved.

**4.3 The funding streams utilised for the ERW Leaders of Learning Programme.**

The Initial Teacher Training (ITT) funding was not used to support the Leaders of Learning Programme. A total of 7 funding streams have been used to fund the Leaders of Learning Programme over 3 financial years. The Executive Board and Joint Committee, whilst being made aware of variations in funding through the S151 Officer's budget report, have not requested any updates on the funding which has been used or the outcomes that are to be achieved. (The Business Plan which outlined the Leaders of Learning Programme is only approved on an annual basis with no progress update provided on achievement against National Priorities to ensure that the Consortia is achieving the objectives approved).

**4.4 Authorisation of funding for the ERW Leaders of Learning Programme.**

Both the Executive Board and Joint Committee approved the Leaders of Learning Programme with minutes of both meetings showing approval; however, there was no approval of the grants, which were to be used to support delivery. As stated above, no progress reports were requested from either the Executive Board or Joint Committee to ensure that the Leaders of Learning Programme was an effective way of delivering the National Priorities. Governance arrangements in approving and monitoring the use of grant funding were also found to be ineffective, with arrangements for delegated decisions requiring updating to ensure that it is fit for purpose. Whilst noted, there was no approval by the Joint Committee for the



Education Improvement Grant spend in 2017-18 or the Raising School Standards grant 2017-18.

4.5 **Funding Terms and Conditions.**

Funding Terms and Conditions have been complied with, with the expenditure matching the aims and objectives of both the grant and the Business Plan. The accounting set up is complex with multiple codes being used to align with the Business Plan. The in-year variation grant letters and the lateness of approval has led to significant journal entries transferring expenditure from one code to another. This is a concern both for the accuracy of expenditure against specific priorities as it could allow ineligible expenditure to be incurred. Evidence was found where duplicate payments had been made to schools.

4.6 **The location of ERW Leaders of Learning.**

There has been no accommodation provided within Welsh Government buildings to house staff working on the Leaders of Learning Programme, with all employees working within their cluster of schools to deliver outcomes.

4.7 **The number of FTE (Full-time equivalent) ERW Leaders of Learning employed within the ERW Central Team.**

There was evidence to show that expenditure for staff classed as “Central Team Employees” had been included within the same priorities where there was Leaders of Learning expenditure. It was difficult to determine the value of management time allocated direct to the Leaders of Learning Programme due to there being no formal method to record the allocation of staff time against a priority area.

Weaknesses were found in the recruitment process, with a number of secondment agreements not signed by all parties, interview notes not being fully completed, the quality assurance process of managing the Leaders of Learning ineffective and the final recruitment and selection form formally appointing an individual to the Leaders of Learning role not being completed on any occasion.

4.8 **Whether there are any opportunities and funding flexibilities that were not previously realised in the funding Terms and Conditions.**

There are flexibilities within the grant funding which allows ERW to be able to deliver its objectives and goals. This could also relate to the funding of “Central Team” staff, although the Joint Committee will need to balance this option with the level of delegated funding that is required by Welsh Government. If the Joint Committee see this as a viable option, then an understanding of the direct impact Schools will face should be undertaken as this will reduce their overall budget to deliver the priorities set out within the ERW Business Plan, which has been agreed by Welsh Government.

## **5.0 Detailed Findings**

### **5.1 Quantum of Funding for Leaders of Learning Programme**

- 5.1.1 The financial accounting for the Leaders of Learning Programme is fairly complex, with Leaders of Learning working across multiple National Priorities, which have individually been accounted for through a specific main code.
- 5.1.2 The financial accounting codes provided a direct link to either the Education Improvement Grant (EIG), or the Raising School Standards (RSS) Grant in 2017-18, and a link to the Regional Consortia School Improvement Grant (RCSIG) in 2018-19.
- 5.1.3 The 2019-20 expenditure is currently based on an estimate as this is dependent on whether secondment arrangements cease earlier than expected. (Currently secondment agreements are due to cease in either May or August 2019).
- 5.1.4 A complete analysis of the expenditure incurred from September 2017 has been undertaken, and has been split down into financial years, payments made to Schools, and also by Business Plan priority. Full details can be found at Appendix B.
- 5.1.5 The total expenditure figure does not include any management or support time allocated from a "core budget" perspective. A breakdown of secondments presented to the Executive Board in June 2017 outlined that there were 3 staff members classed within the Central Team whose salaries could be apportioned to the Leaders of Learning Programme.
- 5.1.6 These posts specifically relate to the former Head of Teaching & Learning (0.5 FTE), the Strategic Portfolio Lead for Pioneer Schools (1 FTE), and the Strategic Portfolio holder for School to School Improvement (1 FTE). The salaries for these 3 members of staff were attributed to the same main accounting codes as the seconded staff members, therefore could be directly linked to the Programme.
- 5.1.7 The time spent managing and supporting the Leaders of Learning Programme could not be quantified, due to there being no timesheets available, which would have confirmed the allocation of expenditure to the priority which it had been attributed.
- 5.1.8 The [REDACTED] stated that as these positions were already in place before the Leaders of Learning programme was implemented, there is a case to state that if the programme had not been implemented then their roles would have remained unaffected, as they would have worked on different priorities.

- 5.1.9 [REDACTED] stated during interview (Appendix C) that Education Directors agreed in 2017-18 to allow ERW to retain a further £300k to support the Leaders of Learning Programme. There was evidence to show that all Directors had been emailed by the Managing Director outlining their EIG funding for 2017-18 which showed a reduction in funding to support the programme. Whilst, no email confirmation could be viewed, a decision log provided evidence that all Directors of Education had agreed to this action before the Executive Board meeting was held on 03 March 2017.
- 5.1.10 The ERW Financial Update Reports submitted by the ERW S151 Officer have stated since July 2017 the proposed costs of the Programme relating to salaries of seconded staff, with an original salary figure of £3.25m quoted.
- 5.1.11 The financial breakdown of the Leaders of Learning Programme showed that a total of 57.7 FTE (76 individuals) were employed on the programme with a salary total of £4.13m (this figure includes salaries projected in 2019-20 based on when individual secondments cease – see section 5.1.3). Payments were also made to schools totalling £0.96m for those who engaged with the programme. The total value of the Leaders of Learning programme is therefore £5.09m.
- 5.2 Funding Streams utilised to fund the ERW Leaders of Learning Programme**
- 5.2.1 One of the questions which formed part of the original scope was to investigate whether any Initial Teacher Training (ITT) funds were used to support the development and ongoing provision of the Leaders of Learning Programme.
- 5.2.2 The former Head of Teaching & Learning stated during his interview (Appendix D) that he did not have at the time of questioning have any information to state whether ITT funding was used. He also stated that the training provided by the Leaders of Learning for current Initial Teacher Education (ITE) students would have allowed elements of the funding to be allocated against the work undertaken.
- 5.2.3 Following the interview the former Head of Teaching & Learning clarified that ERW worked with the University of Wales Trinity St David to develop an engagement programme for Mathematics, English and Science teachers in order to "up skill" non-specialists. A total of £60k had been spent with Swansea University and the University of Wales Trinity St David during 2018-19 to engage in a regional collaborative partnership between ERW and the Higher Education Institution (HEI) to build on ITE partnerships and grow capacity in and across schools in order to increase research engagement.
- 5.2.4 As part of the Terms and Conditions outlined within the RSS Grant a budget profile was submitted to Welsh Government outlining that in 2017-18 an allocation of

£100k had been set for the Initial Teacher Education Programme. In 2018-19, £122k had been allocated though the RCSIG. (Appendix F provides a breakdown of the costs associated to the ITT Programme).

- 5.2.5 The [REDACTED] confirmed that whilst the Initial Teacher Training programme is funded through the RCSIG 2018-19 grant, no allocation of the budget had been utilised through the Leaders of Learning Programme. Evidence obtained through the Main Accounting System provided confirmation that no funding had been used from the Initial Teacher Training programme to fund or support the Leaders of Learning Programme.
- 5.2.6 The [REDACTED] stated that [REDACTED] believed that the RCSIG had funded the whole programme for 2018-19, with the EIG and RSS Grant being used in 2017-18. These grants were split into different main codes to track progress against National Priorities.
- 5.2.7 EIG totalling £39,093,186 in 2017-18 was awarded to ERW for the following priorities:
- Education Improvement Grant (Main) - £37,751,710
  - Global Futures - £120,000
  - GCSE Support Programme - £582,232
  - Assessment for Learning - £129,126
  - Literacy & Numeracy - £125,000
  - Foundation Phase Practice & Training Resources - £5,000
  - Accelerate Improvement in Schools - £313,118
  - Implementation of the Professional Standards - £40,000
  - Head teacher Advisory Group - £7,000
  - Post 16 Challenge & Support - £20,000
- 5.2.8 The RSS Grant totalling £3,091,886 in 2017-18 was awarded to ERW for the following priorities:
- Raising School Standards (Main) - £2,162,005
  - Capacity Building - £231,039
  - Develop Schools as Learning Organisation - £125,000
  - Future Leadership Programme - £480,342
  - Mentoring & Network Support Programme - £37,500
  - Associates Programme - £56,000

5.2.9 The RCSIG totalling £44,957,883 in 2018-19 was awarded to ERW for the following priorities:

- Regional Consortia School Improvement Grant (Main) - £40,791,102
- School Improvement - £37,500
- Professional Teaching Awards Cymru - £5,000
- National Professional Qualification for Headship - £253,500
- Digital Competence Framework - £28,945
- Modern Foreign Languages - £53,470
- Curriculum Pioneer Partnership Schools & Additional Capacity for AoLE Groups - £450,000
- Part-time & Work Based ITE - £50,000
- More Able & Talented - £144,443
- Associates Programme - £10,000
- Professional Learning to support and raise the quality of our teachers - £2,461,126
- Capacity Building expertise - £62,500
- Schools as Learning Organisations & Professional Teaching Leadership Standards - £145,168
- National Approach to Professional Learning Accreditation Project - £25,000
- Cluster Funding (non-Pioneer Schools) - £64,000
- Production of Digital Resources to support the Curriculum Reform - £116,129
- Development funding for further National Networks of Excellence - £120,000
- Research funding in relation to All-Age Schools - £100,000
- Discover Teaching - £40,000

5.2.10 Grant offer variation letters were received late both in 2017-18 and 2018-19 from Welsh Government which increased the overall value of funding available for all 3 grants stated above. Whilst the budget updates for the Joint Committee do provide evidence of the increase in funding received there was no evidence within minutes to show that the Joint Committee had scrutinised or approved the funding streams which were being used to support the Leaders of Learning Programme. There was also no formal decision by the Joint Committee approving the allocations on how either the EIG or the RSS Grant in 2017-18 were to be used. **(Refer to Recommendation R1).**

5.2.11 The Joint Committee received a report on 02 November 2016 from the Managing Director to outline the delegation arrangements for the Consortia in which it was agreed that for additional ad hoc grants received for smaller funding streams, delegation would be given to the Executive Board.

- 5.2.12 The report however, does not clearly define the level of a smaller funding stream, and given the value of the larger grants (such as RCSIG or EIG back in 2017-18), a grant totalling £3m (RSS Grant for example) could be considered small in comparison.
- 5.2.13 Given the funding used in Appendix B, it could be considered that the amalgamation of all of these grants and the values attached would be material within the Statement of Accounts, and would therefore require approval by the Joint Committee, both in terms of how the funding is to be spent and the outcomes which can be measured. **(Refer to Recommendation R2).**
- 5.2.14 Governance arrangements within ERW have only ever required that the RCSIG or EIG Grants be approved formally by Joint Committee at the beginning of the financial year (so that Local Authorities are aware of their delegation) rather than once a variation letter has been received, and how these new priorities will be met. There was no evidence of variation letters being approved by the Executive Board, and no formal approval of the RSS Grant, which would have highlighted the work being undertaken by the Leaders of Learning.

Recommendations	Management Response
<p><b>R1.</b> Scrutiny arrangements for both the Joint Committee and Executive Board should be strengthened to ensure evidenced oversight of how grant funding (including in-year variations) are to be used and the expected outcomes.</p> <p><b>Grade: A1</b></p>	<p><b>Acceptance:</b> Accepted</p> <p><b>Management Response:</b></p> <ul style="list-style-type: none"> <li>i) Delegation levels in relation to grant funding to be included within the Schedule of delegation (R2 below).</li> <li>ii) Oversight of how grant funding (including in-year variations) are to be used and the expected outcome to be provided to Joint Committee and Executive Board by quarterly reporting.</li> </ul> <p><b>Timescale for Action:</b> 01 Nov 2019</p> <p><b>Responsible Officer:</b> Managing Director</p>

Recommendations	Management Response
<p><b>R2.</b> Delegation arrangements of the Consortia should be reviewed and updated so that a clear decision making process is in place to agree and approve the use of grant funding.</p> <p><b>Grade: A1</b></p>	<p><b>Acceptance:</b> Accepted</p> <p><b>Management Response:</b> A revised Schedule of delegation will be prepared to include financial levels where appropriate. This schedule to be approved by Joint Committee.</p> <p><b>Timescale for Action:</b> 31 Dec 2019</p> <p><b>Responsible Officer:</b> S151 Officer &amp; Monitoring Officer</p>

### 5.3 Authorisation of the Leaders of Learning Programme.

- 5.3.1 The Leaders of Learning Programme was first brought to the attention of Directors of Education on 03 March 2017, where Directors of Education were informed of the new Cluster Model and that the proposal would require additional financial support from each of the Local Authorities through their EIG allocation.
- 5.3.2 The centrally held decision log provided evidence that all Directors of Education agreed to provide the additional resources from the EIG totalling £300k, and agreed on a cluster principle to support teaching and learning and the rollout of Successful Futures.
- 5.3.3 The Managing Director sent an email to all Directors of Education and the Deputy S151 Officer on 10 March 2017 to outline the EIG allocations, however this was subject to the Joint Committee agreeing the allocations. Joint Committee minutes show that no formal approval had been received in relation to the allocations to each Authority. There was no evidence to show that the Executive Board were aware of how the centrally retained funding was to be used, which would have strengthened arrangements along with transparency of how the funding was to be used. (Refer to Recommendation R3).

- 5.3.4 On 07 April 2017, the Executive Board received the proposal for the new Leaders of Learning model and agreed to employ a Leaders of Learning in clusters of schools across ERW to support the improvement of teaching and learning, mentoring new and developing teachers, implementing Successful Futures, and delivering key actions from the ERW Business Plan. The Executive Board minutes of this meeting confirmed that this decision had been approved.
- 5.3.5 The Leaders of Learning Programme was presented to the Joint Committee on 17 July 2017, with Members querying the risks associated with the increased cost for cluster work, to which it was clarified that the risks were from secondments in future years and delayed confirmation and payment of grants. At this meeting the Joint Committee Members agreed that the Cluster Model report be received and that the "development of Teaching and Learning networks of schools across the region be approved".
- 5.3.6 The Business Case submitted to both the Executive Board and Joint Committee did not contain any clear financial data or the outcomes which were to be achieved. There was an outline cost of the Programme which was submitted as part of the S151 Officer's budget report although this only consisted of a one-line heading. There was no clarification on how the project was to be funded and where this funding was to come from. There has been no progress update provided to the Joint Committee since the initial project was approved, and the Joint Committee have not requested any update.
- 5.3.7 The Executive Board were presented with a verbal update and PowerPoint presentation by the former Head of Teaching & Learning and the Strategic Lead for Secondary Support, on 20 October 2017.
- 5.3.8 On 24 November 2017, the Directors of Education were given a verbal update by the Managing Director on the Leaders of Learning Programme, with the Managing Director agreeing to e-mail the respective Directors of Education the details of the remaining cluster schools who had not engaged with the Programme.
- 5.3.9 A monitoring report for the Pioneer Grant was submitted to Welsh Government on 22 December 2017, outlining compliance with the Terms and Conditions of the grant and also how the grant was being used to help develop the Leaders of Learning Programme. There was no feedback received from Welsh Government outlining concerns with how the grant was being utilised.



5.3.10 The former Head of Teaching & Learning provided evidence to show that updates had been presented to the Directors of Education on 28 February 2018 and May 2018. He also stated that a Gateway Review had been commissioned and was undertaken by Welsh Government officials specifically looking at 4 areas which assessed whether:

- ERW has a clear and resourced plan to support the implementation of "A curriculum for Wales" against the Welsh Government timeline;
- Teaching and Learning Networks are a suitable vehicle to support curriculum reform;
- Schools in the ERW region will be prepared and equipped to meet the challenges of the new curriculum, assessment and professional teaching standards;
- There is or will be a good level of understanding across the schools' workforce of the rationale for and benefits of curriculum reform.

This report has not been shared with the Joint Committee, which would have provided additional assurance that ERW are achieving their objectives. **(Refer to Recommendation R4).**

5.3.11 The former Head of Teaching & Learning confirmed during interview that reports are sent to the Welsh Government's "Operational Delivery Board" with representatives from the four Education Consortia. The former Head of Teaching & Learning stated that he previously attended Board meetings to provide evidence of compliance and fulfilment with the Terms and Conditions of the RCSIG and RSS grant.

5.3.12 The former Head of Teaching & Learning stated that the Managing Director sat on the Welsh Government's "Change Board" which the Operational Delivery Board feeds into. He also reiterated that the Welsh Government's approval of ERW's Business Plan and the flexibility of funding helps the region meet the needs of the business. A Challenge and Review session with Welsh Government was held in 2018 where ERW designed a booklet, which was presented to Welsh Government officials and the Cabinet Secretary for Education. This session entailed a group discussion and questions on ERW's performance outcomes and the Regional delivery of Education in Wales. The booklet contained information on the Leaders of Learning, however from review of both the Executive Board and Joint Committee minutes there is no evidence to state that this booklet had been shared with Members of the Executive Board or Joint Committee.

- 5.3.13 ERW's Business Plan 2018-19 was not approved by the Joint Committee until late in 2018. There is detail contained within to state that "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". **(Refer to Recommendation R5).**
- 5.3.14 The Leader of Learning Programme is also outlined within the Level 3 Plan Template for 2018-19, which has been scrutinised by all Directors of Education, Joint Committee and Welsh Government officials, however the Business Plan is not costed by priority area.
- 5.3.15 There is a disjointed approach towards the monitoring of the Business Plan (approved annually - with no updates provided to the Joint Committee on progress made) and matching it to whether the finances of the region allow the Business Plan priorities to be met. If the Business Plan priorities were reviewed more regularly as well as being fully costed then the Joint Committee would have been able to scrutinise the benefits of the Leader of Learning Programme and the expenditure associated. **(Refer to Recommendation R6).**
- 5.3.16 As part of the investigation, the secondments process was looked at, which identified weaknesses. Out of a total of 76 appointments, no paperwork could be provided for 24 individuals with a further 20 individuals not completing an application form. The job advert was approved by the Managing Director and countersigned by the Deputy S151 Officer who put a caveat on the appointments stating that it was subject to grant funding being approved. **(Refer to Recommendation R7).**
- 5.3.17 There was no reference on the recruitment form of the numbers of individuals that would be appointed to the role. Testing also identified shortcomings with the secondment process with interview notes not being completed thoroughly (this was a common theme) and the final recruitment and selection form, which formally appoints an individual to the role, not being completed on any occasion.
- 5.3.18 Secondment agreements were not saved (where applicable) onto the employers HR (Trent) system, with 18 of the 55 agreements that were available to view out of the 76 (33%) not being fully signed by all parties. The former Head of Teaching & Learning also stated that the S151 Officer would not approve secondments for longer than a year at a time due to funding concerns.

Recommendations	Management Response
<p><b>R3.</b> The Joint Committee should approve how grant funding is to be utilised. This should include any centrally retained funding so that there is openness and transparency of how this funding is to be used.</p> <p><b>Grade: A1</b></p>	<p><b>Acceptance:</b> Accepted</p> <p><b>Management Response:</b></p> <ul style="list-style-type: none"> <li>i) Delegation levels to be clarified by way of a revised Schedule of delegation (R2).</li> <li>ii) Publication of Executive Board decision logs and quarterly reports to Joint Committee will enhance transparency of decision making.</li> </ul> <p><b>Timescale for Action:</b> 01 Nov 2019</p> <p><b>Responsible Officer:</b> Managing Director</p>
<p><b>R4.</b> Any external reports from regulatory bodies (including the Gateway Review) should be presented to the Joint Committee as a source of assurance that the region is achieving its aims and objectives.</p> <p><b>Grade: B1</b></p>	<p><b>Acceptance:</b> Accepted</p> <p><b>Management Response:</b></p> <p>Copies to be supplied initially to the Lead Chief Executive, S151 Officer and Monitoring Officer.</p> <p><b>Timescale for Action:</b> 01 Nov 2019</p> <p><b>Responsible Officer:</b> Managing Director</p>
<p><b>R5.</b> The Joint Committee should be presented with quarterly reports on the progress against the objectives within the Business Plan, with more explicit focus on how the individual projects are aligned to the National Priorities. A Forward Work Programme for the Joint Committee should help achieve this recommendation.</p> <p><b>Grade: B1</b></p>	<p><b>Acceptance:</b> Accepted</p> <p><b>Management Response:</b></p> <p>Forward Work Programme will become standing Joint Committee agenda item.</p> <p><b>Timescale for Action:</b> 01 Nov 2019</p> <p><b>Responsible Officer:</b> Managing Director</p>

Recommendations	Management Response
<p><b>R6.</b> Business Plan priorities should be fully costed to ensure that the objectives of the region are deliverable.</p> <p><b>Grade: B1</b></p>	<p><b>Acceptance:</b> Accepted</p> <p><b>Management Response:</b> Costing exercise to be undertaken prior to consideration of the Business Plan by the Joint Committee. Costing evidence to be supplied to the Joint Committee</p> <p><b>Timescale for Action:</b> 31 Mar 2020</p> <p><b>Responsible Officer:</b> Managing Director &amp; [REDACTED] [REDACTED]</p>
<p><b>R7.</b> The HR process surrounding secondments within ERW needs to be strengthened, so that key processes are in place in terms of recruitment and selection, and to allow openness and transparency of the appointments process.</p> <p><b>Grade: B1</b></p>	<p><b>Acceptance:</b> Accepted</p> <p><b>Management Response:</b> HR recruitment processes and policies of the lead HR authority (currently Pembrokeshire County Council) to be followed.</p> <p><b>Timescale for Action:</b> 01 Nov 2019</p> <p><b>Responsible Officer:</b> Managing Director &amp; [REDACTED] [REDACTED]</p>

#### 5.4 Compliance with Funding Terms & Conditions

- 5.4.1 The expenditure incurred through the Leaders of Learning Programme was eligible within the grants used. More information is given within sections 5.4.4 to 5.4.8.
- 5.4.2 Welsh Government have not requested a financial breakdown relating to expenditure as they are now more focussed on an outcome based provision. The in-year variations have also meant that journal transfers moving expenditure around has become more prevalent, and increases the risk of mistakes occurring. There was

evidence of two schools being paid on multiple occasions for a number of priorities linked to the Leaders of Learning. The duplicate payments made totalled £33k. This also makes the financial monitoring of the programme difficult for Officer's to quantify, and whilst some of this is out of ERW's control (due to in-year variations), the accounting structure is complex and could be simplified, so that reporting is easier to understand. **(Refer to Recommendation R8).**

5.4.3 The lack of financial accountability required by Welsh Government has ensured that the movements within the account headings are not heavily scrutinised, as regular reports are not required as part of the Terms and Conditions. Updates on Grant streams should be provided to the Executive Board/Joint Committee along with a progress update so that the Members are reassured that Terms and Conditions are being adhered to. **(Refer to Recommendation R9).**

5.4.4 The EIG Terms and Conditions are clearly outlined within the grant offer letter. Expenditure on the Leaders of Learning Programme was compliant with the Terms and Conditions as it met the following criteria:

- Schools and settings being supported and challenged to implement the Successful Futures agenda.
- Improved quality of teaching and leadership.
- Schools and settings being enabled to grow as learning organisations, working in collaboration and sharing expertise for the benefit of all learners.
- The related outcomes and their supporting key performance indicators will be embedded in consortia business plans and the level 2/3 plans.
- Supporting a self-improving system - where applicable, you will facilitate, schools, foundation phase providers and PRUs consideration of cluster models when determining the most effective use of the funding to support the delivery of improved outcomes for learners.

5.4.5 The RCSIG Terms and Conditions were detailed within the grant offer letter. Expenditure on the Leaders of Learning Programme was compliant the Terms and Conditions as it met the following criteria:

- The funding covers 4 main objectives to support the Welsh Governments National Priorities for Education. These include:
  - 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

- Supporting a self-improving system - where appropriate, you will facilitate schools, foundation phase providers and PRUs consideration of cluster models when determining the most effective use of the funding to support the delivery of improved outcomes for learners.
- 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.
- Support for the 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 publications from 2019.

5.4.6 The Pioneer Schools Network, Professional Learning & Curriculum Design Grant Terms and Conditions were detailed within the grant offer letter. Expenditure on the Leaders of Learning Programme was compliant the Terms and Conditions as it met the following criteria:

- Contribute to national engagement indicators and develop and implement a national engagement approach to prepare schools to deliver Successful Futures in a managed way.
- Engaging and involving the wider schools in developing the new curriculum around action inquiry cycles and cluster based approach led by pioneers.
- National Plan to develop all schools to adopt the principles of Schools as Learning Organisation.

5.4.7 The RSS Grant Terms and Conditions were detailed within the grant offer letter. Expenditure on the Leaders of Learning Programme was compliant the Terms and Conditions as it met the following criteria:

- Curriculum & Assessment.
- Primary LNF Oracy Scheme for Wales - Further develop approaches to oracy development within the foundation phase, building on the work achieved during 2016-17 as part of the consortium's contribution to developing a national approach to oracy in Wales. Delivery will align with existing provision on literacy and numeracy and strengthen existing school to school working and professional learning approaches in relation to oracy so that capacity within schools and settings is increased.
- Professional Learning

- Higher Level Teaching Assistants - Continue delivery of the scheme to increase HLTA members and consider associated activity to enhance opportunities for learning support workers within the Consortium.
- Professional Standards - to support the introduction of new professional standards for teaching and leadership and the development of professional standards for assisting teaching and learning support staff in schools. Specifically, the consortium will support further trialling work and generate examples of how the standards are being used effectively.
- National Network for Excellence in Science & Technology (NNEST) - Support science and technology teaching and learning in schools through a Network of Excellence approach, working with universities, learned societies and lead schools across Wales - as an integral part of the national approach to Professional Learning Standards.
- Welsh language - Professional development of practitioners' Welsh language skills - The funding must be used for action to deliver a professional learning programme to develop the Welsh language skills of all practitioners and effective methodology for Welsh-medium and bilingual teaching; and provide a programme of professional learning for practitioners.
- Self Improving System
- Action to extend the depth and impact of collaborative working and develop capacity in consortia to support the Welsh Government's ambitions for a self-improving system; a system in which all schools actively support themselves and each other to improve, to raise standards, reducing variability between schools and classes, ensuring consistency across Wales.

Recommendations	Management Response
<p><b>R8.</b> The accounting structure of ERW should be reviewed so that each grant is allocated a specific main code, with each business plan priority having a separate cost centre so that financial reporting is both strengthened and easier to analyse. The introduction of the new Financial Management Information System within Pembrokeshire should provide an opportunity to do this.</p> <p><b>Grade: B2</b></p>	<p><b>Acceptance:</b> Accepted</p> <p><b>Management Response:</b> The introduction of the new Financial Information Management System within Pembrokeshire County Council will address this.</p> <p><b>Timescale for Action:</b> 31 Mar 2020</p> <p><b>Responsible Officer:</b> S151 Officer and [REDACTED] [REDACTED]</p>

Recommendations	Management Response
<p><b>R9.</b> A formal process to vire expenditure from one grant to another should be adopted, to ensure that there is scrutiny, clarity and transparency in the transfer.</p> <p><b>Grade: B1</b></p>	<p><b>Acceptance:</b> Accepted</p> <p><b>Management Response:</b> The Pembrokeshire County Council Financial Regulations (Section 3.4 Budget Transfer/Virements) adopted by ERW on 8 February 2019 will be complied with.</p> <p><b>Timescale for Action:</b> 31 Mar 2020</p> <p><b>Responsible Officer:</b> Managing Director and [REDACTED] [REDACTED]</p>

## 5.5 Circumstances surrounding location of ERW Leaders of Learning

- 5.5.1 A report was submitted to the Joint Committee on 01 December 2017 to provide an overview of the rationale to move to larger offices in order to accommodate ERW's workforce.
- 5.5.2 The proposal outlined within the report was to move offices and lease from a choice of two suitable office spaces within Carmarthen, to accommodate all existing staff plus hot-desking for an additional 50 Leaders of Learning.
- 5.5.3 Two options were put forward to the Joint Committee, which included:
- Moving to Parc Pensarn, Pensarn, Carmarthen with the benefits and risks associated with this move clearly outlined.
  - Moving to Welsh Government Offices, Picton Terrace, Carmarthen. This outlined that the Welsh Government had two floors within the Carmarthen Office available to let, with the offices being newly refurbished and able to provide workspace support for all ERW employees.
- 5.5.4 The report concluded that the Joint Committee approve the report and support the move to the Welsh Government Offices, however review of the Joint Committee minutes showed that Members agreed to defer consideration of the report on office space pending the outcome of the ERW Review and Reform Programme.



- 5.5.5 This report was deferred to the Joint Committee meeting on 16 July 2018, where an updated report by the Programme Manager asked the Joint Committee for the following:
- To note the situation regarding current lease
  - To note current situation regarding Health & Safety report
  - To note the cost efficiencies and value for money of proposed relocation
  - To approve the request regarding pursuing alternative accommodation
- 5.5.6 As a result of this report, the Joint Committee agreed that there was a requirement to renegotiate the lease at Y Llwyfan for a further period of time, pending progress of the ERW Review & Reform Programme and the National Model. The report also stated that Welsh Government buildings are not to be utilised by ERW staff in the event that alternative accommodation is required in the future.
- 5.5.7 The former Head of Teaching & Learning stated that there was no placement of Leaders of Learning based within Welsh Government buildings in Aberystwyth, Carmarthen and Swansea.
- 5.5.8 The former Head of Teaching & Learning stated that ERW considered the option of renting a public space in one of the Welsh Government Offices in Carmarthen as their current offices were not big enough. The former Head of Teaching & Learning also stated that it was believed that if they had taken this option then ERW would have been given access to other rooms in Aberystwyth and Swansea to use as meeting rooms.
- 5.5.9 The former Head of Teaching & Learning stated that various other buildings were looked at corporately by ERW as part of the process and this was reported back to the Executive Board and Joint Committee. This was presented to the Joint Committee as a report but was not related to the Leaders of Learning Programme.
- 5.5.10 The former Head of Teaching & Learning reiterated that the Leaders of Learning were hosted by their own clusters and not in Welsh Government buildings. There was no evidence found during the investigation that any of the Leaders of Learning were or had been based within a Welsh Government building.

## 5.6 Number of FTE ERW Leaders of Learning employed in ERW Central Team

- 5.6.1 The Acting Managing Director (Appendix E) explained that the Leader of Learning for Primary Science and the former Head of Teaching and Learning have been trying to manage all 76 individuals (57.7FTE), along with the training portfolio. The Acting Managing Director also stated that there is a misconception that the funding was used in the Central Team, and that the role of the Leader of Learning for Primary Science predated the Leaders of Learning Programme.
- 5.6.2 Financial analysis evidenced that “Central Team” staff including the Strategic Lead for Successful Futures and the Portfolio Lead School to School Improvement Officer, were accounted for in the same priority areas as some of the Leaders of Learning. However, it was difficult to ascertain the direct involvement they had with the Leaders of Learning Programme, and to quantify it financially. A breakdown of secondments and where they were to be funded from was presented to the Executive Board in June 2017, but has not been shared with the Joint Committee for openness and transparency. **(Refer to Recommendation R10).**
- 5.6.3 The [REDACTED] stated that as the Leaders of Learning Programme was managed by the former Head of Teaching & Learning, an element of [REDACTED] salary could therefore be attributed to the programme. Again it was difficult to quantify the time being spent managing the Leaders of Learning due to a lack of supporting evidence.

Recommendations	Management Response
<p><b>R10.</b> The Joint Committee should be informed where all secondments are funded from and the National Priorities which are being worked on to ensure improved accountability and greater scrutiny on working arrangements.</p> <p><b>Grade: B1</b></p>	<p><b>Acceptance:</b> Accepted</p> <p><b>Management Response:</b> Joint Committee to be informed quarterly of:</p> <ul style="list-style-type: none"> <li>i) Where all secondments are funded from, and;</li> <li>ii) The National Priorities that are being worked on.</li> </ul> <p><b>Timescale for Action:</b> 01 Nov 2019</p> <p><b>Responsible Officer:</b> Managing Director</p>

## **5.7 Any opportunities and funding flexibilities not previously realised**

- 5.7.1 There are flexibilities in the use of funding and this was evidenced through the grant offers received, which allow spending for a wider range of activities on the basis that outcomes are effectively measured.
- 5.7.2 There were several variation funding letters received from Welsh Government during 2017-18 and 2018-19, which has increased ERW's capacity to meet the National Priorities, however it has restricted ERW in appropriately planning to be able to deliver change or improvements. This has resulted in ERW being reactive rather than proactive in addressing areas that feature as part of their business plan.
- 5.7.3 The [REDACTED] stated that grant funding is maximised wherever possible, and that only £50k of salaries have been coded to the "core" budget during 2018-19, providing evidence that grant funding is being maximised. The grants require ERW to delegate 80% of funding out to schools, with 0.75% funding being allowed to support administrative costs.
- 5.7.4 Review of the Terms and Conditions show that there is the potential for core staff to be funded through grant streams, which is currently being utilised, however if this continues then it will ultimately detract on the level of delegation that schools will receive which may impact on the effectiveness of the region. The Acting Managing Director did state that there is the flexibility to fund all staff through grants received, however Welsh Government would expect to see an 80% delegation rate to schools, which would mean that Local Authorities would have to use their Revenue Support Grant (RSG) to support this.
- 5.7.5 There is nothing contained within the Terms and Conditions to stop all staff being funded through the grants received. However the Joint Committee should carefully balance this on the basis that if this route is to be undertaken then delegation to schools will decrease, and given schools dependence on these funding streams to support key roles to deliver Regional targets, could lead to further oversight and scrutiny by regulatory bodies.

# Appendices

**APPENDIX A****Recommendation Gradings**

Requires strategic management action or a corporate policy or procedural decision.	A	A1*	A2*	A3
Requires operational management action or a directorate/service policy or procedural decision.	B	B1*	B2	B3
Continued compliance with an existing policy or procedure.	C	C1	C2	C3
		1	2	3
		Critical	Important	Desirable
		Seriousness		

**APPENDIX B****Financial Breakdown of Leaders of Learning Programme.**

Local Authority	FTE Secondments	2017-18 Expenditure	2018-19 Expenditure	2019-20 Estimated Expenditure	Payments to Schools 2017-18	Total Funding
Carmarthenshire	11.8	£193,636	£528,763	£129,809	£182,000	£1,034,208
Ceredigion	7.0	£16,328	£260,960	£45,900	£106,600	£429,788
Neath Port-Talbot	10.0	£25,988	£484,416	£166,899	£153,400	£830,703
Pembrokeshire	6.8	£132,126	£359,670	£53,691	£122,200	£667,687
Powys	8.4	£133,068	£421,882	£127,482	£172,800	£855,232
Swansea	13.7	£148,847	£753,373	£148,946	£218,400	£1,269,566
<b>Total</b>	<b>57.7</b>	<b>£649,993</b>	<b>£2,809,064</b>	<b>£672,727</b>	<b>£955,400</b>	<b>£5,087,184</b>

**APPENDIX B****Business Plan Priorities & Grants Utilised to Fund Leaders of Learning Programme**

2017-18 Financial Year Secondment Payments and Payments to Schools		
<u>Funding Streams Used</u>	<u>Business Plan Priorities</u>	<u>Total Funding Used</u>
Pioneer Grant	<ul style="list-style-type: none"> <li>Core Consortia Support / Curriculum &amp; Assessment Priority</li> </ul>	£286,570
GCSE Support Grant	<ul style="list-style-type: none"> <li>GCSE / Developing the Profession Priority</li> </ul>	£53,387
Education Improvement Grant	<ul style="list-style-type: none"> <li>Education Improvement Grant / Developing the Profession Priority</li> </ul>	£287,303
Raising School Standards	<ul style="list-style-type: none"> <li>Welsh / Developing the Profession Priority</li> <li>Primary Oracy / Developing the Profession Priority</li> <li>NNEST / Developing the Profession Priority</li> <li>Schools as a Learning Organisation / Developing the Profession Priority</li> <li>Higher Level Teaching Assistants / Developing the Profession Priority</li> </ul>	£216,000 £189,800 £197,406 £171,520 £62,000
Assessment for Learning	<ul style="list-style-type: none"> <li>Assessment for Learning / Developing the Profession Priority</li> </ul>	£83,555
Literacy & Numeracy	<ul style="list-style-type: none"> <li>Literacy &amp; Numeracy Grant / Developing the Profession Priority</li> </ul>	£57,852
<b>Total</b>		<b>£1,605,393</b>

2018-19 Financial Year Secondment Payments		
<u>Funding Streams Used</u>	<u>Business Plan Priorities</u>	<u>Total Funding Used</u>
Regional Consortia School Improvement Grant	• Successful Futures / Curriculum & Assessment Priority	£357,805
	• Siarter Iaith / Curriculum & Assessment Priority	£223,852
	• Multiple Areas / Leadership Priority	£103,029
	• Future Leadership / Leadership Priority	£15,642
	• Education Improvement Grant / Developing the Profession Priority	£1,353,674
	• Welsh / Developing the Profession Priority	£119,240
	• GCSE / Developing the Profession Priority	£66,751
	• Assessment for Learning / Developing the Profession Priority	£106,343
	• Literacy & Numeracy / Developing the Profession Priority	£59,068
	• Professional Teaching Standards / Developing the Profession Priority	£5,194
	• Oracy / Developing the Profession Priority	£202,224
	• NNEST / Developing the Profession Priority	£148,303
	• Foundation Phase / Developing the Profession Priority	£47,939
<b>Total</b>		<b>£2,809,064</b>



2019-20 Financial Year Secondment Payments (if allocations remain the same)		
<u>Funding Streams Used</u>	<u>Business Plan Priorities</u>	<u>Total Funding Used</u>
Regional Consortia School Improvement Grant	• Successful Futures / Curriculum & Assessment Priority	£98,828
	• Siarter Iaith / Curriculum & Assessment Priority	£98,018
	• Multiple Areas / Leadership Priority	£20,976
	• Education Improvement Grant / Developing the Profession Priority	£321,812
	• Welsh / Developing the Profession Priority	£21,208
	• Assessment for Learning / Developing the Profession Priority	£7,882
	• Literacy & Numeracy / Developing the Profession Priority	£39,949
	• Oracy / Developing the Profession Priority	£36,096
	• NNEST / Developing the Profession Priority	£27,958
<b>Total</b>		<b>£672,727</b>

**APPENDIX F****Initial Teacher Training Programme Expenditure**

<b>Code</b>	<b>Subjective</b>	<b>Expenditure 2017-18 £</b>	<b>Expenditure 2018-19 £</b>
NE43-13201-999	Core Salaries	60,374	58,119
NE43-13227-670	Secondments	25,315	-
NE43-21312-999	Accommodation	150	89
NE43-25310-999	Mobile Telephone	60	-
NE43-31129-999	ICT Equipment	-	54
NE43-31134-999	Comp. Refreshments	58	-
NE43-31138-999	Catering Supplies	90	-
NE43-31206-999	Hire of Equipment	115	-
NE43-31246-999	Translation Services	33	33
NE43-31283-999	Other Contracted Services	-	60,000
NE43-41104-999	Mileage	296	1,321
NE43-41105-999	Expenses	9	-
NE43-41612-620	Payment to Schools – Powys	1,500	(1,500)
NE43-41612-630	Payment to Schools – Ceredigion	1,500	-
NE43-41612-640	Payment to Schools – Pembs	3,000	-
NE43-41612-650	Payment to Schools – Carms	1,500	-
NE43-41612-660	Payment to Schools – Swansea	3,000	2,160
NE43-41612-670	Payment to Schools - NPT	3,000	1,500
NE43-65101-999	Income from Welsh Government	(100,000)	(121,776)
	<b>Net Cost</b>	<b>-</b>	<b>-</b>

Yn rhinwedd paragraff(s) 13 o Rhan 4 o Atodlen 12A% o ddeddf Llywodraeth Leol 1972 fel y'i diwygiwyd  
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