

DYDD LLUN, 9 TACHWEDD 2020

**CYFARFOD RHITHWIR
PWYLLGOR AR Y CYD ERW
AM 2.00 YP,
AR DYDD GWENER, 13EG TACHWEDD, 2020**

A G E N D A

1. **YMDDIHEURIADAU AM ABSENOLDEB**
2. **DATGANIADAU O FUDDIANT**
3. **LLOFNODI YN COFNOD CYWIR COFNODION Y CYFARFOD A GYNHALIUYD AR 21AIN GORFFENNAF 2020** 3 - 12
4. **MATERION YN CODI O'R COFNODION**
5. **DIWEDDARIAD GWEITHGARWCH ERW** 13 - 114
6. **DATBLYGIADAU ERW**
 - 6.1 **AMRYWIAD DROS DRO O GYTUNDEB CYFREITHIOL ERW** 115 - 122
 - 6.2 **GWNEUD NEWIDIADAU I'R CYTUNDEB CYFREITHIOL AR Y CYD YN UNOL Â CHYMAL 25** 123 - 128
 - 6.3 **Y WYBODAETH DDIWEDDARAF AR DDATBLYGU'R CONSORTIWM** 129 - 138
7. **DIWEDDARIAD AR GYLLIDEB 2020-21** 139 - 156
8. **ADRODDIAD ERW 2020-21 AR GYLLID A DYRANIADAU GRANTIAU** 157 - 242
9. **CYNLLUN ARCHWILIO COMISIWN ARCHWILIO CYMRU** 243 - 260

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| 11. | DATGANIAD O GYFRIFON ERW 2019-20 AC ADRODDIAD ISA260 ARCHWILIAD CYMRU | 265 - 326 |
| 12. | DATGANIAD LLYWODRAETHU BLYNYDDOL | 327 - 344 |
| 13. | COFRESTRE RISG | 345 - 382 |
| 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 | |

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



**ERW Joint Committee
Tuesday, 21st July, 2020
Virtual Meeting
10.00 am - 11.20 am**

PRESENT: Councillor Emlyn Dole [Chair], Carmarthenshire County Council

| | |
|---|--|
| Councillor Rob Stewart | Swansea City Council |
| Councillor Rosemarie Harris | Powys County Council |
| Councillor Guy Woodham (substituting for Cllr David Simpson) | Pembrokeshire County Council |
| Councillor Ellen ap Gwynn | Ceredigion County Council |
| Ms Caroline Turner | Powys County Council |
| Mr Eifion Evans | Ceredigion County Council |
| Mrs Wendy Walters | Carmarthenshire County Council |
| Mr Phil Roberts | Swansea City Council |
| Mr Ian Westley | Pembrokeshire County Council |
| Councillor Robert Smith | Swansea City Council |
| Councillor Phyl Davies | Powys County Council |
| Mr Jonathan Haswell | Pembrokeshire County Council (ERW – S151 Officer) |
| Ms Elin Prysor | Ceredigion County Council (ERW - Monitoring Officer) |
| Mr Gareth Morgans | Carmarthenshire County Council (Lead Director) |
| Mr Nick Williams | Swansea City Council |
| Mr Ceri Davies | Pembrokeshire County Council (ERW - HR) |
| Ms Helen Lewis | Pembrokeshire County Council (ERW - HR) |
| Ms Natalie Chambers | ERW Principal Accountant |
| Mr Stephen Richards Downes | Pembrokeshire County Council |
| Mr Mark Campion | ESTYN |
| Mr Alex Ingram | Welsh Government |
| Ms Melanie Godfrey | Welsh Government |

Mr Kevin Thomas

Carmarthenshire County Council (Democratic Services)

1. APPOINTMENT OF CHAIR AND VICE-CHAIR

The Joint Committee considered nominations received for appointments to the positions of Chair and Vice Chair

RESOLVED THAT:

- 1.1 Councillor Emlyn Dole (Carmarthenshire County Council) be appointed Chair of the ERW Joint Committee**
- 1.2 Councillor Rosemarie Harris (Powys County Council) be appointed Vice Chair of the ERW Joint Committee**

2. APOLOGIES FOR ABSENCE

An apology for absence was received from Mr Yan James (ERW Interim Managing Director)

3. DECLARATIONS OF PERSONAL INTERESTS

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

4. TO SIGN AS A CORRECT RECORD THE MINUTES OF THE MEETING OF THE JOINT COMMITTEE HELD ON THE 9TH DECEMBER 2019

RESOLVED that the minutes of the meeting held on the 9th December 2019 be signed as a correct record.

5. MATTERS ARISING FROM THE MINUTES

The Following matters were raised:

Minute No. 4 – Matters Arising - It was noted that an item on ERW's governance arrangements had been agendaed under item no 15 for information only.

Minute No. 8 – Risk Register – It was noted that there was no current intention to appoint a Data Protection Officer and that arrangements for that aspect of ERW's work would form part of a wider Service Level Agreement discussion within the ERW footprint agenda

Minute 13 – Leaders of Learning Report – It was noted that the recommendations arising from the report had been subsumed within the Internal Audit Report (agendaed as Item 18 for information)

Minute 15 – ERW Financial and Funding Model for 2021-21 – It was noted that all four of the report recommendations were included within the agenda for the meeting and that under recommendation 15.4 the roles referenced within points 'b-e' had been removed. The Joint Committee was requested to confirm its support for the ongoing secondment of the Head of Curriculum Reform and Innovation on a full-time basis up until the 31st March 2021, with the role being invaluable to

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service delivery providing both the team and the secondee with a greater level of security and consistency

RESOLVED that the Joint Committee confirm its support for the ongoing secondment of the Head of Curriculum Reform and Innovation on a full-time basis up until the 31st March 2021

Minute 17 – Appointment of ERW Managing Director – It was noted that in accordance with the report, an unsuccessful recruitment exercise had been implemented during the Spring Term of 2020 and a report would be presented to the Joint Committee under agenda item no. 8

6. CORRESPONDENCE

The Joint Committee received a report on correspondence received by ERW together with the responses submitted thereto by the Interim Chair, (where appropriate) as detailed within the report.

RESOLVED that the correspondence be received and the responses provided thereto be noted.

7. APPOINTMENT OF LEAD DIRECTOR

The Joint Committee was advised that following its previous Lead Director having left her post with Pembrokeshire County Council, it would need to appoint a new Lead Director

RESOLVED that Mr Gareth Morgans (Carmarthenshire County Council) be appointed Lead Director of ERW.

8. ERW INTERIM CHIEF OFFICER

The Lead Director informed the Joint Committee that following a recruitment and selection procedure for the post of ERW Interim Chief Officer a decision had been made to not appoint a single officer to the post but to make it a shared role for the period 1st September 2020 to the 31st March 2021. The two successful candidates appointed to those posts were Mr Greg Morgan and Mr Ian Altman. The Joint Committee was requested to approve the appointments

He further advised that should the appointments be endorsed, arrangements may need to be made to ensure appropriate levels of staff resources were made available as backfill to effectively support the revised model.

RESOLVED that the action taken in amending the post of ERW Interim Chief Officer to a shared post and the appointments thereto of Mr Greg Morgan and Mr Ian Altman for the period 1st September 2020 to 31st March 2021 be approved.

9. FINANCE UPDATE 2019-20

The Joint Committee received the updated financial position for the 2019/20 financial year up to the period 31st December, 2019 and noted that work was ongoing to complete the report to the year end. It was noted that the report provided specific detailed information in relation to:

- 2019-120 Central Team Budget
- Service Level Agreements
- 2019-20 Grant Allocations
- 2019-20 Grants, (incorporating a breakdown in Appendix A of the funding for the new ERW Staffing Structure (grant and core funding)
- Risks
- Reserves

The Joint Committee's attention was drawn to page 3 of the report referring to the additional £59k incurred in redundancy costs as a result of continuous service having been omitted from the original £19k calculation, approved on the 9th December 2019, thereby increasing the overall cost to £78k. It was reported that whilst the additional cost had not been included within the Central Team projected outcome for 2019-20 and could not be funded from the grant due to its specific terms and conditions, at outturn it had been funded and would now be met from reserves.

The Joint Committee's attention was also drawn to the Development of ERW's six strategic (321) groups and the virement of £32.5m thereto that required its endorsement.

RESOLVED

- 9.1 The updated ERW financial position as at the end of Quarter 3 2019-20 financial year and the draft outturn position for 2019-20 be noted**
- 9.2 The Virement of funding to the six strategic (321) groups be approved**
- 9.3 To note that the additional £59k incurred in statutory costs as a result of continuous service of the Lead for Secondary Support post, at outturn had been funded and would not now be met from reserves**

10. BUDGET 2020-21

The Joint Committee received for consideration the Outline Budget for the period 2020 - 2021 covering the following aspects:

- Assumptions
- Approved budget 2020-21 Proposals (Joint Committee meeting held on the 9th December 2019)
- Central Team Budget 2020-21
- Indicative Grant Allocations 2020-21
- Risks.

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The Joint Committee was advised that whilst the budget had been prepared on the anticipated contributions from five authorities and the Pupil Level Annual School Census (PLASC)19, there was an element of uncertainty on whether the Welsh Government would approve an additional £500k flexibility payment to ERW which could be used to fund the £91k loss of contribution from Neath Port Talbot, following that authority's decision to leave ERW. If that funding was not forthcoming, the Joint Committee would need to determine how the shortfall should be met. That could be either via the unused Education Workforce Council (EWC) funding carried forward or, by an increased contribution from ERW's five remaining authorities.

The Joint Committee's attention was also drawn to the element of the budget relating to the approved reduction in core costs of £54k from 1st April 2020 with the assumption that each authority would provide a current Service Level Agreement costed service on a reduced or no cost basis. However, as none of ERW's local authorities had responded to that approach, and if no reduction in core costs were agreed, the Central Team Budget would require an additional £54k of funding. The Committee would therefore need to consider the source of that funding, which could be met from unused EWC funds carried forward.

RESOLVED:

- 10.1 That the £91,785 loss of Neath Port Talbot's contribution for 2020-21 be funded from unused EWC funding carried forward**
- 10.2 That the £54,000 savings on Service Level Agreements for 2020-21 is not enforced and the cost thereof be met from unused EWC funding carried forward**
- 10.3 The Central Team budget and £480,355 contributions for 2020-21 based on five authorities and PLASC 19 be approved**
- 10.4 Delegated authority be granted to the S151 officer to amend the Central Team Budget and authority contributions should the Welsh Government confirm any additional transitional flexibility within the Regional Consortia School Improvement Grant for 2020-21 (RCSIG)**
- 10.5 The indicative RCSIG allocations for 2020-21 be noted**
- 10.6 The risks highlighted within the report be noted.**

11. INTERIM MD UPDATE

The Joint Committee received the Interim Managing Directors update report highlighting activities subsequent to its previous meeting held on the 9th December 2019 together an activity report following the Onset of Covid-19 for the period 20th March to 22nd June 2020.

The report focussed on the following areas:-

- Section 1 – ERW Team Structure
- Section 2 – ERW Team Activity
- Section 3 – ERW Business Planning and Service Delivery
- Section 4 – Appendices
- Section 5 – ERW Team Structure Update (June 2020)
- Section 6 – Covid-19 Activity and Contributions (20/3 – 22/6.20)

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

- Section 7 – Revised Appendices (22/6/20)
- Section 8 – ERW Activity Covid 19 Report

RESOLVED that the report be noted.

12. TO AGREE TO PROVIDE AGREED SERVICES AND FUNDING TO NEATH PORT TALBOT SCHOOLS DURING 2020/21, AND FOR TEMPORARY REVISION TO THE LEGAL AGREEMENT TO REFLECT THESE CHANGES

The Joint Committee considered a report on the provision of agreed services and funding to Neath Port Talbot schools during 2020/21 and on the temporary revision to ERW's Legal Agreement to effect the changes

The Lead Director outlined to the Committee the discussions undertaken with Welsh Government and Neath Port Talbot on the provision and access to national programmes by ERW to that authority for 2020/21 following its decision to leave ERW. He advised that should the Committee agree to providing those services, it would also need to revise its legal agreement between its constituent authorities accordingly. The Committee was advised that if it were to agree to that revision in principle, it would then need to be referred to each of the authorities for their individual endorsement/approval.

Several references were made to the cost of providing services to Neath Port Talbot and to whether that would fall upon ERW. It was confirmed that if ERW were to agree to providing those services, there would be an administration charge involved and that would be met via a reduction in funds to Neath Port Talbot and the costs would not fall upon ERW

The Chief Executive of Ceredigion County Council advised that whilst that authority would be responsible for amending the legal agreement, the costs incurred in connection therewith would be on a rechargeable basis.

RESOLVED THAT

- 12.1 ERW provides agreed services and funding to Neath Port Talbot Schools during 2020/21, as detailed within the report, subject to the assurance of no costs falling on ERW (save for legal costs incurred in amending the Legal Agreement).**
- 12.2 The ERW's core aims and objectives (as set out in the Legal Agreement) be temporarily extended to include the provision of services and funding to Neath Port Talbot schools during 2020/21**
- 12.3 In consultation with the Executive Board, it be approved in principle that the ERW Legal Agreement be revised/varied temporarily to reflect the above changes, subject to approval being obtained from each of its local authorities**

13. THE FOLLOWING ITEMS ARE FOR INFORMATION ONLY (further discussions to follow during the Autumn Term)

The Joint Committee was advised that item no's 14-18 had been included on the agenda for information and that further discussion on the content would be

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undertaken during its meeting in the Autumn. That decision had been taken due to the challenge of dealing with a high volume of issues in a 'virtual environment'. However, subject to the despatch of the agenda for the meeting Item 18 on the Agenda would now be considered.

NOTED

14. ERW FOOTPRINT PAPER

The Joint Committee received the above report outlining a range of options and proposals in pursuit of an agreed future footprint for ERW. It was reported that given the depth and detail of this issue the work would be progressed via a series of specific 'footprint meetings' within a schedule of 'milestones' to ensure successful completion.

It was reported that Pembrokeshire County Council had now indicated a preference for the Swansea City Deal Footprint and working in the main with Carmarthenshire, Swansea and Neath Port Talbot.

The Committee was advised that the Chair had requested the Lead Chief Executive and Lead Director to develop a project timeline for the work and that the Directors would be meeting over the summer to progress the work.

NOTED

15. ERW GOVERNANCE STRUCTURE

The Joint Committee received the report on Governance arrangements and noted that whilst the paper had previously been presented, and deferred, its content was central to the 'Footprint discussion' and it was therefore proposed to be progressed under the auspices of the 'footprint meetings'

NOTED

16. RISK REGISTER

The Joint Committee received the report on the Risk Register which was a standing agenda item and was advised that its content was in need of revision due to the:

- implications of Covid-19 on ERW's working
- Withdrawal of Neath Port Talbot
- Outcomes of the ERW Internal Audit
- Implications of the ongoing 'footprint' discussion

It was reported that it was proposed to refresh the registers' content and to present a revised Risk Register to the Autumn meeting.

NOTED

17. PRE-DECISION PROTOCOL

The Joint Committee received the above report produced in response to the request of the ERW Councillor Scrutiny Group for the implementation of a 'pre-decision protocol', as detailed in the report. It was noted that given the impact of Covid -19 on all working practices and on-going ERW footprint discussions the report would be deferred to a future date.

NOTED

18. INTERNAL AUDIT REPORT

The Joint Committee received ERW's 2019-20 Internal Audit Report which whilst receiving a limited assurance opinion had provided a summary of key weaknesses, as identified within the report's executive summary. It was advised that ERW's Senior Officers had collaborated on the management responses to the audit and work would now be progressed with an update to be provided to the Committee's Autumn Meeting.

The Section 151 Officer referred to the report and reported that a revised Schedule of Delegation had been prepared in compliance with recommendation LOL R2 of the audit report, as detailed in Appendix 2, and the Joint Committee's approval was required for the revised Schedule

RESOLVED

18.1 To note that the Internal Audit report would be presented to the Committee's Autumn meeting

18.2 That the Revised Scheme of Delegation detailed in Appendix 2 to the report be approved.

19. 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

There were no items of urgent business.

20. 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 12,13, 14 and 15 of Part 4 of Schedule 12A to the Act.

21. HR REPORT

Following the application of the public interest test it was UNANIMOUSLY RESOLVED, pursuant to the Act referred to in Minute 20 above, to consider this matter in private, with the public excluded from the meeting as the report contained personal sensitive and confidential information relating to an employee.

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

The Joint Committee considered a report on the award of statutory redundancy payment.

RESOLVED that the statutory redundancy payment be agreed.

CHAIR

DATE

Mae'r dudalen hon yn wag yn fwriadol

CYDBWYLLGOR ERW TACHWEDD 13eg, 2020

DIWEDDARIAD GWEITHGARWCH ERW, Y CYNLLUN BUSNES A MONITRO

Y PWRPAS: I gyflwyno'r wybodaeth ddiweddaraf i'r Cydbwyllgor am weithgarwch ERW rhwng mis Medi a mis Tachwedd 2020, trosolwg o'r Cynllun Busnes a'r gwaith o fonitro'r Cynllun Busnes.

YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

Bod y Cydbwyllgor yn cymeradwyo'r Cynllun Busnes presennol a'r prosesau monitro cysylltiedig.

Y RHESYMAU:

I sicrhau bod blaenoriaethau'r Cynllun Busnes yn parhau i gael eu cyflawni dros y 2 chwarter olaf.

| | | |
|--|--|--|
| Awdur yr Adroddiad: Greg Morgan/Ian Altman | Swydd: Prif Swyddogion ERW | Rhif Ffôn E: bost- greg.morgan@erw.cymru ian.altman@erw.cymru |
|--|--|--|

EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

13TH NOVEMBER 2020

ERW ACTIVITY UPDATE, BUSINESS PLAN AND MONITORING

BRIEF SUMMARY OF PURPOSE OF REPORT

The purpose of this report is to provide members with an overview of ERW Central Team accomplishments between September and November 2020. The report builds on previous activity reports submitted by interim MDs Andi Morgan and Yan James.

Also included within the report is:

- Business Plan 2020/21
- Overview of the Business Plan monitoring tool completed for the first two quarters of the financial year.

DETAILED REPORT ATTACHED?

Yes

IMPLICATIONS

| Policy, Crime & Disorder and Equalities | Legal | Finance | Risk Management Issues | Staffing Implications |
|---|-------------|------------|------------------------|-----------------------|
| NONE | NONE | YES | YES | YES |
| <p>1. Finance All aspects of the BP have now been subject to financial planning with principal accountant, taking into account revised budget.</p> | | | | |
| <p>2. Risk Management The report addresses elements connected to our risk management content with regard to delivery of business plan.</p> | | | | |
| <p>3. Staffing Implications The report reflects current staffing levels and overall staff capacity.</p> | | | | |

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



ERW

Ein Rhanbarth ar Waith
Education through Regional Working

ERW Activity Report

Autumn 2020

Tudalen 17

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Section 1: Introduction

Regional Context

This report provides an overview of the:

- a. strategies and actions undertaken by ERW officers in support of school communities and Local Authorities during autumn term linked to Business Plan priority areas.

1. *Curriculum*
2. *Professional Learning and Research*
3. *Equity and Well-being*
4. *Leadership*
5. *Digital Skills*
6. *Cymraeg*

Each of these priority areas has a Strategy Group associated with it. These groups are responsible for monitoring the progress of actions against the relevant area of the Business Plan. They will also be responsible for co-constructing content in the following year's Business Plan.

While it is accepted that the context and setting of each Local Authority in ERW is different the purpose of collaborating on a regional level is to achieve a greater scale of economy through co-operation. Whilst changes and innovations can be incorporated to take into account local priorities or differences, there must remain a degree of regional consistency.

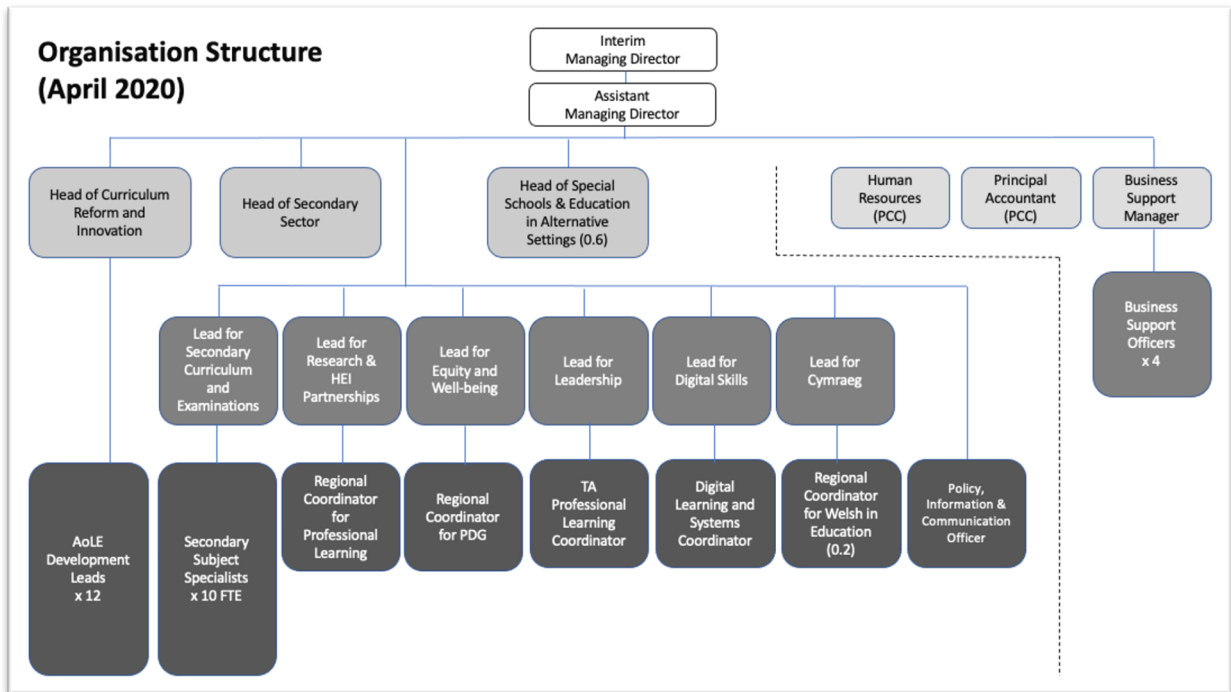
- b. levels of engagement and planned activity in autumn 2020

Overview

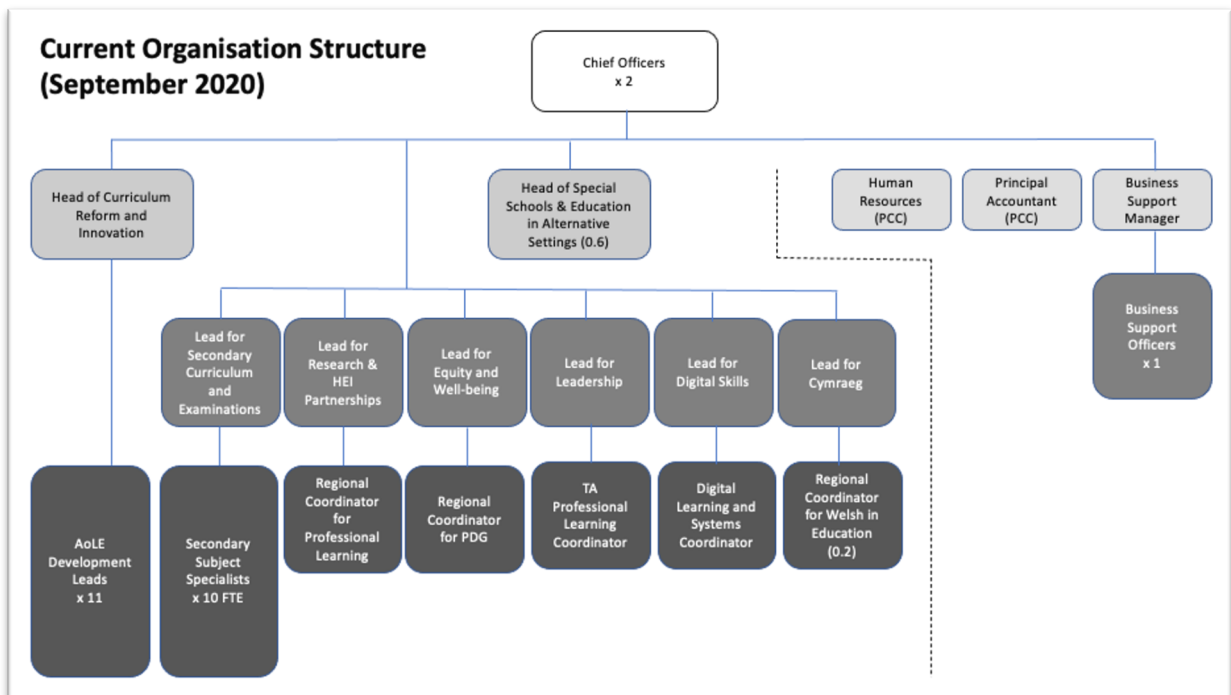
Since the onset of Covid-19 the ERW region has continued to work closely and collaboratively with its constituent local authorities (Carmarthenshire, Ceredigion, Powys, Pembrokeshire and Swansea), consortia partners, Welsh Government, Estyn and other stakeholders in support of the highest quality of blended learning and well-being provision for all learners.

During the autumn term, ERW has planned and delivered a range of high quality, bespoke support and professional learning for schools. The focus has been the blended learning agenda and continued support for all schools given the challenges of Covid-19. Work has continued to prioritise vulnerable and disadvantaged learner wellbeing and key groups identified by Welsh Government for the Accelerated Learning Plan/Recruit, Recover, Raise Standards strategy (ALP/RRRS).

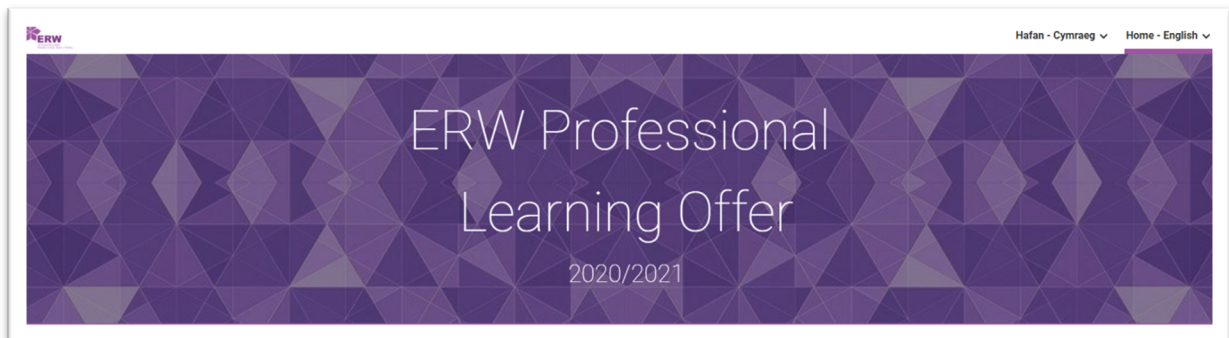
April 2020



September 2020



Professional Learning Offer



A Google Site has been developed to detail the full range of support and professional learning opportunities provided by the ERW team to practitioners and leaders across the region. The offer outlined takes into account the challenging circumstances schools are facing at present and has been structured in a flexible way to ensure a range of synchronous and asynchronous training and professional learning.

<https://sites.google.com/hwbcymru.net/erwpl/home-english>

Section 2: Business Plan Overview and Activity

Curriculum

ERW will ensure that all schools and settings are supported to:

1. *develop whole school understanding of a purpose-led curriculum*
2. *consider how the Four Purposes drive all school priorities.*
3. *develop an agreed view of priorities for developing teaching and approaches to assessment set out in the Curriculum for Wales guidance.*
4. *remain abreast of qualification requirements and future reform.*
5. *design, plan and trial inclusive approaches to curriculum and pedagogy*
6. *collaborate within and between settings to develop and share their thinking*

The priorities above are predominantly delivered by the Secondary Support Team and Curriculum for Wales Team.

Curriculum - Secondary Support Team Activity

The secondary team has focussed on developing and delivering a range of online professional learning opportunities for middle leaders across all 52 secondary settings (via MS Teams). For example, around 40 separate dates have been made available to middle leaders across a range of subjects to access network meetings and collaborate effectively. These also include, in response to headteacher requests, an additional date and time, outside core hours to maximise attendance. All agenda items are linked to school priorities and developed in conjunction with school leaders. In the autumn term 2020, priority agenda items:

- Leadership after lockdown
- Effective teaching and learning in the 'new normal'
- Blended Learning
- Qualifications 2021

The Secondary team supports the following areas via Middle Leader Networks:

- Cymraeg
- English
- Mathematics
- Science
- Geography
- History
- Religious Studies
- Humanities
- Sixth Form Leaders

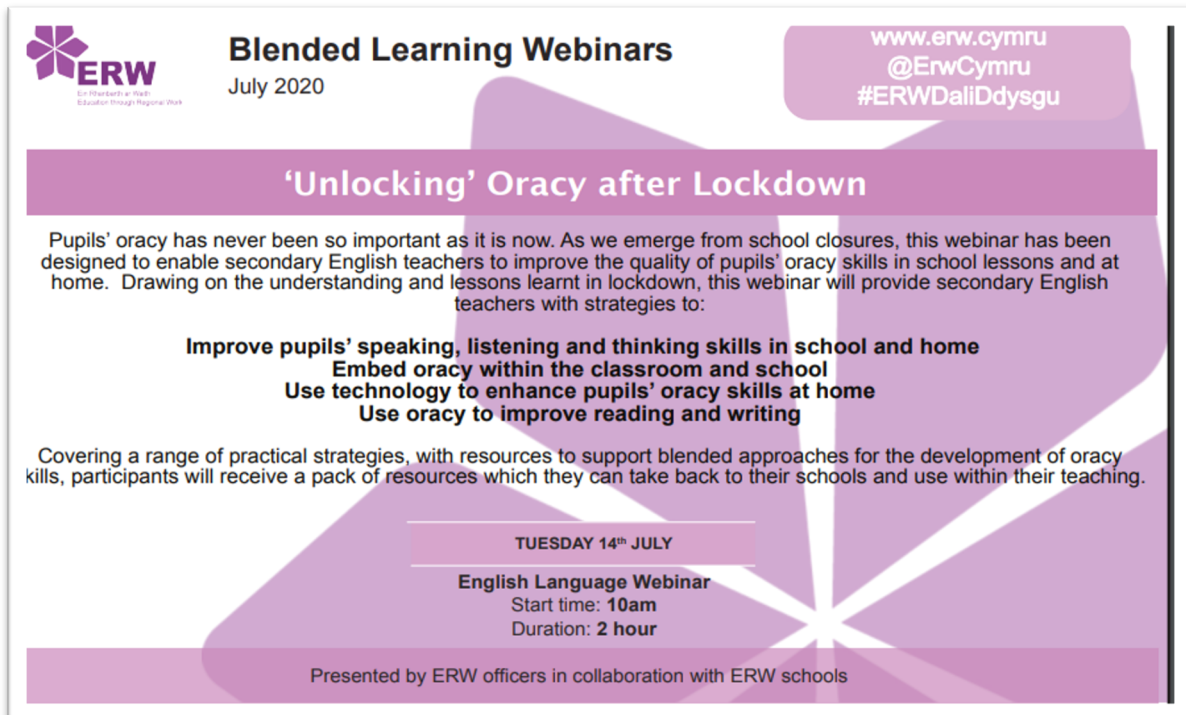
“Diolch yn fawr! That was incredibly useful, as always.”

“Thank you. Excellent as always. Some great ideas for improving the 'blend'!”

“Really enjoyed. Thanks for all your support. It was lovely to see everyone get some shared understanding.”

Heads of English, October 2020

Examples of PL already undertaken:
Unlocking Oracy



Blended Learning Webinars
July 2020

www.erw.cymru
@ErwCymru
#ERWDaliDdysgu

'Unlocking' Oracy after Lockdown

Pupils' oracy has never been so important as it is now. As we emerge from school closures, this webinar has been designed to enable secondary English teachers to improve the quality of pupils' oracy skills in school lessons and at home. Drawing on the understanding and lessons learnt in lockdown, this webinar will provide secondary English teachers with strategies to:

- Improve pupils' speaking, listening and thinking skills in school and home**
- Embed oracy within the classroom and school**
- Use technology to enhance pupils' oracy skills at home**
- Use oracy to improve reading and writing**

Covering a range of practical strategies, with resources to support blended approaches for the development of oracy skills, participants will receive a pack of resources which they can take back to their schools and use within their teaching.

TUESDAY 14th JULY

English Language Webinar
Start time: **10am**
Duration: **2 hour**

Presented by ERW officers in collaboration with ERW schools

"The ideas around mind, body and voice are great for improving how oracy is taught."

" This is a good idea for moving forward with the new curriculum."

"Thank you for sharing your knowledge with us and for creating such excellent resources for use in the classroom. You've made a real difference to my practice"

Feedback from the Unlocking Oracy session

1. How useful was this event?

| | |
|-------------------|----|
| ● Very useful | 14 |
| ● Useful | 1 |
| ● Somewhat useful | 0 |
| ● Not useful | 0 |



2. Please rate the extent to which you agree or disagree with the following statements

■ Strongly agree
 ■ Agree
 ■ Neutral
 ■ Disagree
 ■ Strongly disagree

The training developed my understanding of oracy



The content was appropriate and relevant to my needs



The training provided resources relevant to my role



I would recommend the training to other English teachers



Adborth Siarad a Gwrando mewn gwersi Cymraeg Uwchradd



Cyfoethogi Siarad a Gwrando mewn gwersi Cymraeg - 29.09.2020

33 Responses 04:32 Average time to complete Active Status

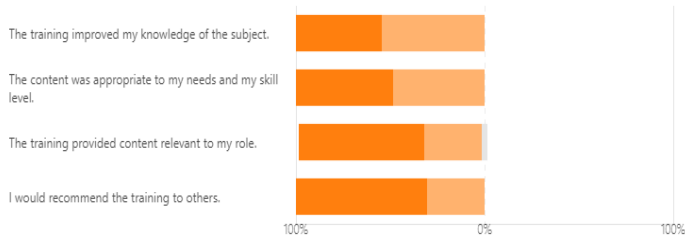
1. In which local authority do you work?

| | |
|-----------------|----|
| Carmarthenshire | 13 |
| Ceredigion | 2 |
| Pembrokeshire | 6 |
| Powys | 5 |
| Swansea | 7 |



2. REACTION: Please rate the extent to which you agree or disagree with the following statements

Strongly Agree Agree Neither Agree nor Disagree Disagree Strongly Disagree



3. REACTION: Which aspects of the training did you find most helpful to your current situation, and why?

32 Responses

Latest Responses

"The sharing of useful techniques e.g. noughts and crosses, fish bowl"
 "Syniadau newydd i mi wrth strwythuro gwersi trafod. Yn paratoi gwe..."
 "Syniadau sut i drefnu tasgau llafar a sut i gyflwyno cyfleoedd am laf..."

4. REACTION: Which aspects of the training did you find least helpful to your current situation, and why?

18 Responses

Latest Responses

"Y cyfan yn bosib i'w addasu i'r cynradd - angen symleiddio a dewis t..."
 "Mae'n rhai syniadau fydden ni ddim yn cael trio oherwydd cyfyngia..."

5. REACTION: If any, what are the areas for improvement for this training?

17 Responses

Latest Responses

"Buddiol iawn. Diolch yn fawr"

6. LEARNING: To what extent do you anticipate that the learning will have a positive impact on your practice?

33 Responses

★★★★★
4.64 Average Rating

7. LEARNING: Give some examples of how you will apply the learning from the training

28 Responses

Latest Responses

"Link some of the learning to the teaching I provide as a science teach..."
 "Yn ein gwersi meicro"
 "Bydda i'n defnyddio mapiau meddwl a siarad a matiau 4 barn"

8. LEARNING: To what extent do you anticipate that your learning from this training will have a positive impact on your practice over the next year?

33 Responses

★★★★★
4.61 Average Rating

9. LEARNING: What positive steps are you going to take to ensure you achieve this?

26 Responses


Latest Responses

"Communicate with other departments to try and incorporate some o..."
 "Parhau i greu adnoddau pwrpasol ar gyfer ysgolion a modelu gwersi..."
 "Rhannu syniadau gyda'r adran a strwythuro tasgau siarad yn well"

Autumn Term 2020

In addition to the common offer for all schools, the secondary team continue to offer bespoke departmental support to develop improvement in leadership and teaching. As part of this process, the secondary team are conducting virtual visits and face-to-face support will be considered through dialogue between ERW SLT and LA Directors where appropriate.

Secondary subject specialists complete a support form and key actions are agreed between ERW officers and the school. The recommendations include key actions to be completed by both ERW officers and school staff though the 'ERW will.../The School will...' sections.



Ffurflen Gefnogi
Support Form

Ein Rhanbarth ar Waith
Education through Regional Working

Area of focus:

- Develop the quality of blended learning resources in English to prepare for any future lockdowns/class isolation.
- Improve the quality and consistency of assessment.
- Implement robust standardisation and moderation processes to improve accuracy of departmental assessment.

| Argymhellion/Recommendations | | |
|---|---|--|
| <p>Bydd ERW yn/ERW will:</p> <ul style="list-style-type: none"> Provide teachers with examples of effective blended learning resources and collaborate with department in amending SOL for blended learning. Support middle leader in quality assuring blended learning resources and supporting learning loss. Support middle leader with standardisation and moderation meetings to ensure assessment is accurate and consistent across the department. | <p>Bydd yr ysgol yn/The School will:</p> <ul style="list-style-type: none"> Collaborate on new SOL with a focus on challenge and blended learning. Continue to develop new quality assurance processes in reviewing pupil work and response. Provide appropriate time for department to standardise and moderate all key assessments. | |

A range of PL opportunities for middle leaders and practitioners is being offered to schools during the autumn term to develop their practice. These include improving blended learning and classroom teaching, leadership and support for NQTs across the region, including those who will be recruited following WG's £29 million commitment to the RRRS/ALP programme.


Example of Professional Learning Offer for teachers and leaders:


SECONDARY HUMANITIES
PROFESSIONAL LEARNING 20-21

Further details and sign up links will be made available closer to the dates on our twitter page, Dolen and website.

For more information, contact:

julian.nicholds@erw.cymru

 All events held via Microsoft Teams



Ein Rhanbarth ar Waith
Education through Regional Working

| PL Title | Focus | Audience | Date |
|--|---|--|--|
| Talking Humanities | Developing the use of oracy in the humanities classroom. | All secondary humanities teachers | 19th November 2020 |
| Improving questioning in Humanities | Exploring questioning techniques in context with humanities subjects and blended learning approaches. | All secondary humanities teachers | 5th November 2020 11th February 2021 |
| Blended Learning in Humanities | Focusing on blended learning models which allow for learners to make progress | All secondary humanities teachers | 13th November 2020 |
| Preparing for Curriculum 2022 (Part 1) | Developing departmental Purpose and Vision. | All regional Heads of Humanities | 3rd November 2020 |
| ALN Reform | Preparing for ALN Reform (Supporting ALN learners in Humanities) - updates on reform, one page pupil profiles and person centred planning | All regional Heads of Humanities | 10th November 2020 |
| Supporting new subject leaders and heads of department | Providing support for new heads of Humanities in how to improve outcomes for learners and leadership | New heads of department or subject leads | 17th November 2020 10th February 2021 |
| Supporting Vulnerable Learners in Humanities | Supporting Vulnerable and eFSM learners in your classroom | All secondary humanities teachers | 26th November 2020 |
| Supporting new and non-specialist teachers of religious studies Part 1 | Developing confidence teaching, assessment and marking for the RS GCSE | All teachers of Religious Studies | 21st January 2021 |
| Supporting new and non-specialist teachers of religious studies Part 2 | Developing confidence teaching, assessment and marking for RS at Key Stage 3 | All teachers of Religious Studies | 27th January 2021 |
| Preparing for Curriculum 2022 (Part 2) | Planning for 2022 | All regional Heads of Humanities | 4th February 2021 |

The secondary team continues to support schools by producing a range of high quality resources to exemplify what effective distance, blended and classroom learning looks like. These resources focus on subject content and skills progression for KS3, KS4 and KS5. As well as altering these resources to fit their learners, these resources exemplify how leaders and practitioners can adapt their own schemes of learning. All resources are appropriate for supporting examination units for each subject. Across all subjects, most heads of department have indicated that these resources are useful in supporting their departments and pupils and download numbers have increased significantly since March.

In addition to these resources, the secondary team have created 'response packs' for each individual subject area. These packs provide a week's worth of work for KS3 and KS4 when a temporary or individual lockdown occurs in schools. The aim of these 'response packs' is to ensure that leaders and practitioners are prepared and planning for any eventuality with partial school closures and are able to continue and support pupils' learning quickly. Once the response packs have been sent out it provides classroom teachers an opportunity to tailor and alter their current schemes of learning to a distance or blended approach.

ALN

Readiness training, including Person Centred Practice has been provided to Humanities teachers during the Autumn Term.

Curriculum and Innovation Team

Professional Learning Resources

Due to the current situation and in light of restrictions to delivery, the team have created a menu of significant online support as outlined in the support menu available through the Google site. As schools concentrated on operations, the team focused on creating Professional Learning support for schools to engage with Curriculum for Wales (CfW) as and when they felt ready and now, in alignment with the national expectations, ERW is in a much stronger position to support schools with their CfW reform.

A comprehensive website is available to support schools with the national expectations to engage with whole-school vision, consideration of pedagogy, collaboration and assessment and progression. These are followed by six AoLE engagement workshops and additional resources provide schools with clarity around the conceptual model of the curriculum. This has been the most significant piece of work in supporting schools to develop the CfW at this uncertain time and is the backbone of professional learning for schools as they develop their vision for the curriculum: <https://sites.google.com/hwbcymru.net/journey-to-cfw/home>

“A heartfelt thanks for the INSET on the new curriculum which was remotely delivered by ERW in the school today. The professionalism of the delivery was excellent and the whole thing was a slick operation which really was a superb reflection of ERW's standards. We look forward in maintaining this worthwhile professional collaboration between the school and ERW as we walk the path towards the 2022 Curriculum for Wales.”
Secondary School colleague

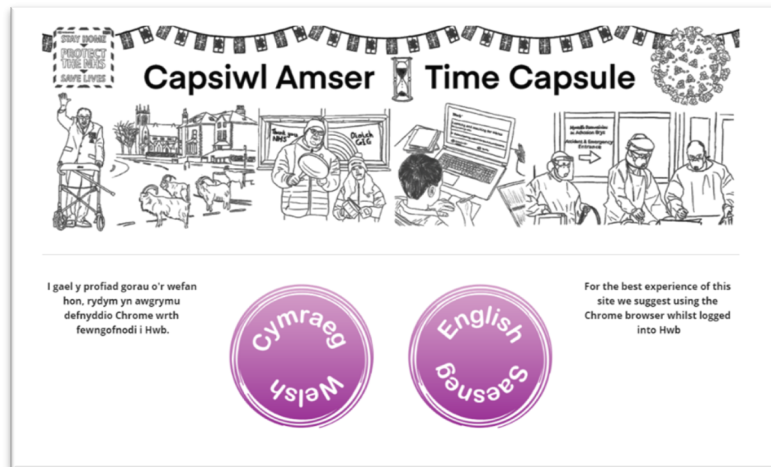
This site complements the bite-sized development site ‘Transforming Your Curriculum’ which is updated regularly to build a full picture of the CfW purposes and principles and is strengthened by two programmes which enable schools to take a deeper look at the pedagogical principles and high-quality pedagogical practice. This resource was shared with all schools during the spring term 2020 and has been utilised extensively since and has received positive feedback each time it has been updated.



“The TYC provides a clear way forward for school leaders to work towards designing the curriculum in their schools and this will have a positive impact on learner outcomes within the school. It has given us an understanding where we are now and what the journey may be like over the years to come. I was enthused by what I saw, I know the learners will love it!” ERW Headteacher

Time Capsule

Time Capsule, a site which supports schools with their approach to recovery, is also available online. In order to support learners, parents and practitioners for the return to school in the summer term and first weeks of the autumn term, Time Capsule provided practitioners in both primary and secondary



schools with support for wellbeing and re-connecting initially. In addition, the site provides learning experiences for wellbeing. Learners contributed to a living archive of their views on how life has changed, good and bad. The site is still available as an ongoing resource, which could be especially used with groups of learners needing more support in re-connecting during the recovery period. Feedback has already been extremely positive on these resources and there has been interest from Welsh Government and other regions in sharing and developing similarly high-quality resources linked to supporting schools in supporting their learners.

Work is underway on further online support packages to support development with CfW throughout the autumn term, including two further sites to support schools to improve learning and teaching, a site which exemplifies the implementation journey and a practical look at design and methodology, and a site to support outdoor experiences as schools build their local curriculum. The PfE is also being used in other regions and supports the Talk for Pedagogy programme and the professional learning support led by Welsh Government.

“We’ve been really impressed with your site and wanted to ask if you would mind us sharing it with schools in our region and encouraging them to engage with it? It’s such a good piece of work it we’d love to use it!”
Regional Consortium Officer



The Journey to Curriculum for Wales website provides a structured insight into how a local school curriculum can be developed. It provides a clear interpretation of the Curriculum for Wales model and a bitesize step-by-step approach to guiding whole school engagement via the development of vision, collaboration, pedagogy and assessment. These pivotal building blocks are further articulated in an introduction to the areas of learning and experience.

Journey to Curriculum for Wales
ERW: Part 1

 Website



Principles for Excellence is an online professional learning programme designed to provide teachers with the skills to demonstrate a higher level understanding of the 12 Pedagogical Principles included in the Curriculum for Wales Guidance. Enabling professional collaboration and nurturing a deeper understanding of the underlying values and principles of pedagogy to inform classroom practice and influence teaching approaches for learners.

Principles for Excellence

 Website



The Learning for Excellence professional learning programme is designed to give good and excellent teachers a high level of understanding as to what teaching and learning can achieve in the classroom. It explores strategies that enable them to become consistently and sustainably excellent.

Learning for Excellence

Available autumn term as an online / blended professional learning programme.

School Support

Early on in the school closure period, the team created a supporting wellbeing video for schools to use with their parents and a bilingual set of guidance for parents to help with home learning in relation to literacy in Welsh and English, numeracy and digital competence. Having finalised work on the resources outlined above, the main thrust of the work this term has been directly supporting schools with their professional learning. Despite a halt to a wide programme booked to deliver the Learning for Excellence programme, the team has supported 75 teachers with another 240 waiting to access the online version. A range of twilight sessions, group learning sessions and meetings have supported schools across the region. The content of these PL opportunities has spanned a range of topics from whole-school consideration of the purposes of CfW to engagement with areas of learning and experience. In total over 2000 teachers have engaged with and benefitted from input and training from the team in the autumn term.

In addition, cluster contacts have been allocated from within the curriculum team and to meet with clusters and with LA cluster representatives to support their local developments.

All members of the curriculum team are involved in leading AoLE Professional Learning networks across the region and most support AoLE networks for leaders in partnership with secondary colleagues.

“It has inspired me to continue to always deliver excellent lessons and has also given me fresh ideas that I can implement in my teaching in the future.”

LfE Delegate

“The value of the PfE programme is immense – unlike many other PL programmes, it is designed specifically for the needs of teachers in Wales and affords invaluable opportunities to examine the pedagogical principles and implications for our new professional practice.”

Senior Challenge Adviser

“ERW’s training session was very relevant to our training needs. The visual representation of the entire curriculum was extremely helpful and the training really widened my knowledge of the planning process for this year.”

Primary practitioner

During the initial school closure period and throughout the summer term, members of the team had significant involvement in drafting national guidance to schools, including guidance on wellbeing, blended learning, curriculum and assessment, contributing to the overarching guidance and the sub-set domains.

This specifically included creating the initial national guidance document as the Curriculum team officers provided the draft ‘5 Ways to Wellbeing’ which became the overarching guidance. The full range of guidance documents are available through Hwb and continue to be utilised by schools.

At present, the Curriculum team are able to work once again within the original remit, albeit with different operational organisation and delivery methods. As such, a set of programmes has been developed to suit schools individual situations. The workshops can be used virtually, facilitated, blended and when the situation allows, face-to-face.

Schools, clusters and networks of schools are supported with bespoke advice; planning and professional learning aligned to national expectations and engage them in collaborative dialogue and supporting other schools wherever possible.

“Thank you for your presentation today. I thought it was pitched perfectly in getting the heads of department to understand what the curriculum is all about and also getting them to really consider their role in the whole reform process.” Secondary Network Lead

Local Authority Support

The team continues to work in partnership with local authorities to develop programmes of professional learning, to contribute to these programmes, to advise and to communicate national and regional updates and messages.

Our support has included advising on resources, leading digital leads’ meetings and working with curriculum strategy groups and leads. For example all challenge advisers across the region have benefitted from regular updates on CfW and the range of resources developed by the team.

“The work you and your team and undertaking is fantastic and very much appreciated. Our schools really value the excellent support that the ERW curriculum team are giving for PL” LA Challenge Adviser

“Many thanks for your time and for your positive response to our proposals for the continued development of practice in our LA’s schools. Your support is invaluable.”

Cross-Regional Support

The team works with, and contributes to, cross-regional groups to support the national programme of professional learning, including supporting programmes and platforms designed to strengthen collaboration amongst the profession across Wales. These programmes have been developed and amended to recognise the challenge of the current circumstances.

Welsh Government Support

Members of the curriculum team are actively involved in creating additional guidance for schools on specific aspects of the new curriculum and attend and lead regular workshops. These aspects include assessment, careers and work related experiences, Relationships and Sexuality Education and Black, Asian and Ethnic Minority.

External Partners

The team support, advise and work alongside a number of external agencies and networks which bring support to schools through their work. Recent initiatives have developed effective working with a number of ventures across a wide range of topics linked to the four purposes including working with the National Library and Lead Creative Schools as well as supporting the Global Futures agenda for international languages.

The team created a PowerPoint resource for schools and parents called 'Going out by Staying in' exemplifying learning experiences for children readily available online. The WJEC asked for permission to use this on their website, as did the Health Board.

“Fabulous support for schools – I’m not at all surprised you’ve had such positive feedback!” LA Officer

Support for ERW Officers

The curriculum team devotes considerable time to supporting the work of other ERW officers and teams. In September the team have prepared, supported and delivered training to:

- Schools involved in the wellbeing HAPPEN project (Equity and Well-being)
- Schools who are part of the Empathy Lab network (Equity and Well-being)
- Schools who are additionally involved in the work presented by Robin Banarjee (Equity and Well-being)
- Participants in ACES training (Equity and Well-being)
- Primary and secondary NQTs across the region – this has meant re-writing and developing suitable programmes and materials which not only exemplify Curriculum for Wales but work for participants in an online capacity
- Participants in the Middle Leaders Development Programme – again this has required developing materials to be used in a blended and online capacity of delivery and participation
- Secondary colleagues to develop joint messages to all sectors

The team has also supported the work of other officers creating professional learning on:

- Literacy for vulnerable learners
- Wellbeing
- ALN

ALN

Support for schools

Regular Network meetings have been held with Special schools and continue throughout the term. The focus of these meetings has been supporting the continuity of learning for these schools, Blended learning session, and ensuring high quality collaboration across the region and sharing of best practice.

“The meeting was very beneficial and its good to hear we are all facing the same challenges, there is lots I will take back to SLT” School Colleague

Regular Network meetings have been held with PRUs and will continue throughout the term. The focus of these meetings has been the supporting the continuity of learning for these schools and ensuring high quality collaboration across the region and sharing of best practice. A recent session focused on sharing the training resources developed by the ERW curriculum team.

“Thank you for a really useful and interesting session today on curriculum design. We will use the toolkit to support our own work in our planned Curriculum Design INSET day later this month. The links re outdoor learning were also really helpful We will pass them on to our newly appointed Outdoor Learning Leader”

Professional Learning and Research

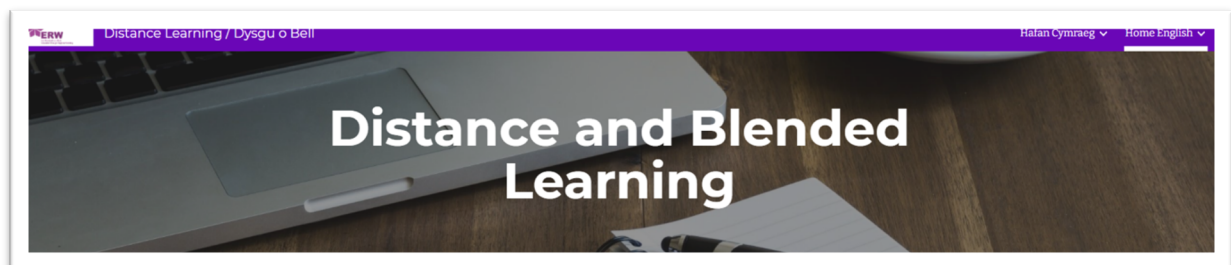
ERW will ensure that all schools and settings are supported to:

1. *engage with a national professional learning offer, appropriate to the individual's role, to enhance their skills, improve their teaching, knowledge and career progression*
2. *collaborate with higher education institutions to make effective use of high-quality research to inform their practice and contribute to research where appropriate*
3. *use the professional standards to identify areas for professional learning to improve practice and develop themselves as learning organisations*
4. *engage with professional learning that promotes inclusivity and equity*
5. *engage with national development programmes for Teaching Assistants across the region, covering all stages of the Teaching Assistant Learning Pathway.*

Blended Learning

The Blended Learning Google Site has been developed and has been widely accessed by schools across the region since March. As we have gained a clear understanding of the blended learning agenda, we have added to the site some key research documents as well as a range of blended learning models for our schools to access walkthrough sessions and follow up support for planning. We have also ensured that key messages are shared with LA partners and also include some LA initiatives on this site.

Schools continue to access the site to ensure appropriate synchronous and asynchronous opportunities for learners. This has been ever more appropriate as learners and, in some cases, whole year group have self-isolated.



Distance and Blended Learning resource

Direct link: <https://sites.google.com/hwbcymru.net/erw-distance-learning-sal/homeenglish/blended-learning>

Dolen card:

<https://porth.erwrhwyd.cymru/repository/browse?sort=&language=en&category=Distance%20Learning&tags=Distance%20Learning>

Professional Learning Networks

In order to support schools with their thinking and research around pedagogy and CfW, ERW has launched Professional Learning Networks (PLNs). The launch event for 113 schools included update sessions from Welsh Government on National Professional Enquiry Project, Schools as Learning Organisations, National Pedagogy Project and Professional Learning Journey. Lead Enquiry Schools will support new Partner Enquiry Schools with professional enquiry related to the National Enquiry Menu's key themes of: Inclusion; Pedagogy and Learning; Re-Imagining Schooling and Assessment.



Central Team staff, LA colleagues and HEI partners will work in collaboration with the schools to ensure effective research and consistent sharing of lessons learned. 124 schools are being supported with training and bespoke support in approaches to carrying out effective professional enquiry by UWTSD, Swansea and Aberystwyth Universities. These valuable sessions have been coupled with an opportunity for school staff involved in PLNs to participate in Introduction to Coaching and Mentoring sessions and 90 members of staff have completed the first phase of this training with two more sessions planned for January and March of 2021.

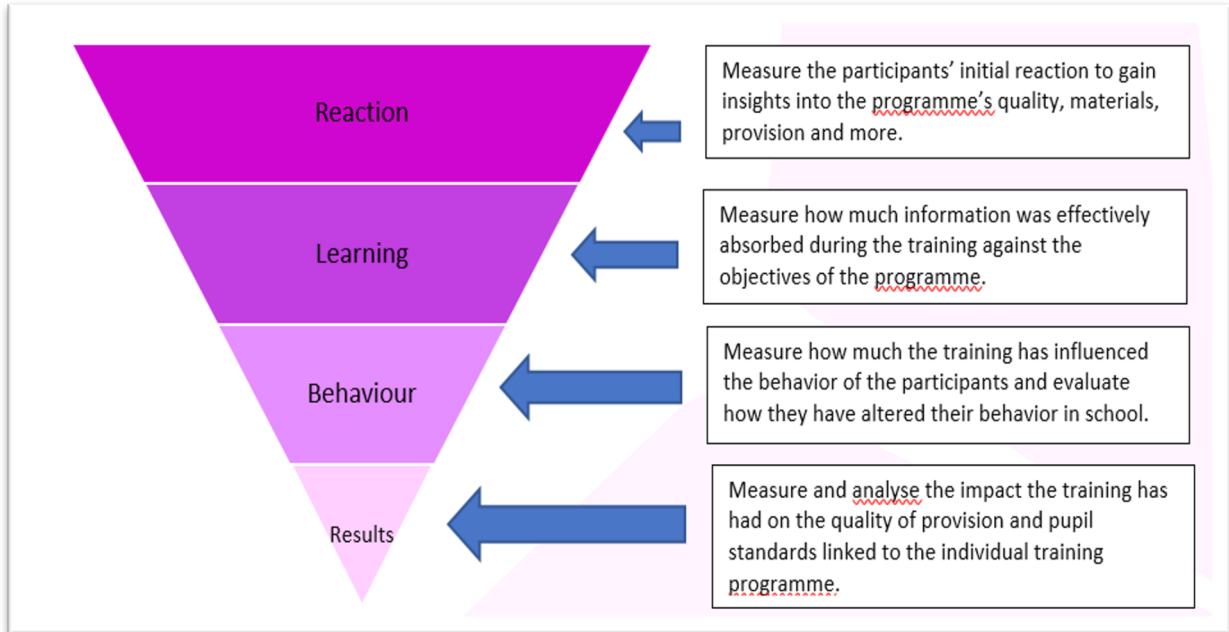
“The whole approach of the training session was relevant and I will definitely be feeding back to staff and adopting aspects of the coaching technique.”

“Very informative and will not only help me support parents and staff within my team but will be very useful in work for the LLC PLN which may involve coaching parents.”

The work of the PLNs has been set out in a clear action plan and the work is evaluated using the Kirkpatrick model.

[Kirkpatrick Evaluation Form 1 Responses to PLN Launch Event](#)

The Kirkpatrick Evaluation model



PLN Action Plan

| What to do? |
|---|
| 1. Create 'PLN Version 1' by allocating 111 schools who expressed interest to 1 of 7 networks based in stated preferences. Ensure spread of LAs, Primary/Secondary/3-18, WM and Special schools/settings in each network. Allocate LES/PES cluster collaborations. |
| 2. Share 'PLN Version 1' with ERW SLT for consultation. Adjustments to be made to PLNs following consultation creating 'PLN Version 2' including allocation of ERW central team to PLNs. ERW co-ordinator required for each PLN. |
| 3. Share 'PLN Version 2' with senior challenge advisers prior to SCA meeting for consultation. Adjustments to be made to PLNs following consultation creating 'PLN Version 3' including allocation of challenge advisers to PLNs. |
| 4. Share 'PLN Version 3' with HEI Partners. Allocate LES/PES schools to specific HEIs and inform WG. |
| 5. Share 'PLN Version 3', draft Core Brief and PLN Action Plan with ERW Central Team to begin planning for launch. ERW team members involved in PLNs to arrange meetings to appoint responsibilities to: <ul style="list-style-type: none"> • Organise meetings, record meetings and identify actions • Chair meetings • Liaise with local authority colleagues • Quality assure school outputs and meeting deadlines • Feedback progress of PLN to SAL/CM • Evaluate impact of PLN using Kirkpatrick Model |
| 6. Prepare to launch: <ul style="list-style-type: none"> • Create MS Team for PLNs with General overview and 7 channels. Files to be added to Teams general channel to include: PLN Core brief (Cym and Eng versions), PLN allocations, Cluster partnerships, HEI support • Email all schools to notify them of PLN allocation and HEI Partner, include launch event details with invitations to join Session 1 at 2-3pm (General Meeting) and Session 2 at 3-4pm (PLN specific meeting). Inform schools that all meetings will be recorded. • WG Secondees to provide 5-10 minute videos on National Professional Enquiry Project (NPEP), Professional Learning Journey Phase 2 (PLJ), Schools as Learning Organisations (SLO), National Pedagogy Project. • Lead Enquiry Schools to provide 5-10 minute presentations on NPEP Phase 1 work to be delivered in session 2. • Kirkpatrick evaluation forms to be prepared in readiness for launch |
| 7. Launch PLNs via MS Teams 2pm-4pm Session 1 for all schools to include: 2.00-2.10 Welcome schools, ERW/LA staff, HEIs, WG Officers (GM/IA) 2.10-2.20 NPEP Phase 2 overview (Dave Egan) 2.20-2.30 PLN Core brief – purpose, expectations, outcomes, reporting, grant funding arrangements, sharing practice. (SAL/CM) 2.30-2.40 SLO Update (Ann Bradshaw) 2.40-2.50 PLJ Phase 2 Update (Mark Jones) 2.50-3.00 National Pedagogy Project Update (Mark Ford) Session 2 PLNs to meet as AoLEs 3.00-3.10 Welcome to PLN members, introduce ERW/LA Colleagues and cluster schools information (ERW Chair) 3.10-3.40 LES schools to share NPEP Phase 1 reports outcomes 3.40-3.50 National Enquiry Menu for discussion/poll for interest? 3.50-4.00 Next steps – future meetings, key dates and deadlines and evaluation Form 1 to be completed. |

Building Research Capacity Schools

During the autumn term, the 45 schools who began work on this project in 2019-2020 will complete the remaining days of research enquiry training delivered by Aberystwyth, Swansea and UWTSD interrupted by Covid.

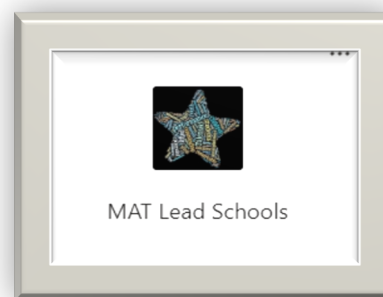
Leading Collaborative Learning Project

Eight schools from the region will receive check in and catch-up sessions online with Dr Lyn Sharratt during the autumn term to build on work undertaken to date as part of the Welsh Government funded Leading Collaborative Learning Project. There are plans to resume face to face support from Dr Sharratt in the summer of 2021.

Lead MAT Schools Professional Enquiry Project – 32 Schools

Eight Lead MAT schools will conclude the professional enquiry projects started in 2019-2020 that were interrupted by Covid 19 and share their professional learning relating to their MAT enquiries with 24 Partner MAT Schools across the region. Areas of focus include:

- Effective identification and tracking
- Coaching and mentoring for MAT learners
- Developing expert language in the classroom.



This work has been developed in conjunction with the national messages emerging from the cross-regional MAT group and the production of the national guidance for MAT learners.

Post-16 Professional Enquiry Project

Ten secondary schools working in collaboration with 3 FE colleges from within the region will carry out post-16 research enquiries with additional support for enquiry methodologies and practice from the University of Wales, Trinity Saint David.

UWTSD Co-Plan, Co-Teach Initial Teacher Education Project

Eleven ITE Lead Partnership Schools will work with UWTSD to co-construct a research question, pilot framework and evaluate the results of a co-plan, co-teach project with expert input from Colette Murphy to develop a co-teach framework.

Swansea Research into Practice Project

Twenty-seven ITE Lead Partnership Schools will receive bitesize online sessions for engaging with research enquiry, supported by Dr Rachel Lofthouse.

Aberystwyth ITE Mentoring Project

Thirty ITE partnership school schools will receive mentoring in practice training led by Aberystwyth University.

Professional Learning Journey Phase 2

Ten ERW schools will collaborate with Welsh Government to develop playlists for the Professional Learning Journey resource hosted on Hwb. The playlists are organised around the dimensions of the SLO model and are designed to support schools across the system in their readiness for Curriculum for Wales.

Research Studies – HEIs in collaboration with ITE Partnership Schools

ITE schools from across the ERW region will be involved in collaborating with Higher Education Institutions to provide answers to research questions on the following areas:

The use of distance/blended learning (University of South Wales/Aberystwyth University/Glyndwr University)

The impact of distance/blended approaches on learners including disadvantaged learners (Bangor University/Aberystwyth University/UWTSD)

The experience of Welsh-medium education (Bangor University/Aberystwyth University/UWTSD).

The implications for assessment of learners (Cardiff University and Cardiff Metropolitan University)

Parental and family engagement (Swansea University (6 schools) and Bangor University)

The health and wellbeing of learners and practitioners (Glyndwr University/Bangor University/University of South Wales)

ALN

Professional Learning Blended learning support for PRU's

Work with Challenge Advisers and Carmarthenshire PRU staff to ensure effective support for Blended Learning. A training session and a subsequent sharing of practice session have taken place. Further support to be provided later this term. 100% of attendees stated the training increased their knowledge and would recommend the training to others"

Local Authority support

ALN Transformation to support professional learning

The training plan for ALN Transformation was developed with the ALN Transformation leads from all regions. ERW is currently leading the training subgroup jointly with Ceredigion Inclusion lead, commissioning on behalf of ALN transformation resources to support schools.

Welsh Government

ERW continues to work with WG strategy group developing the Masters for ALNCo modules and core ALNCO module. Preparation is ongoing and modules will be ready for delivery in September 2021.

Work with external agencies

ERW is working with Sue Pellew – James, University of Wales Trinity St Davids to redesign and revalidate the post graduate diploma initially developed by special schools for improving the expertise of those teachers working in special schools and specialist settings. The qualification has been re-developed and is currently in the 2nd phase of re accreditation.

Equity and Well-being

ERW will ensure that all schools and settings are supported to:

1. *design and deliver the health and well-being area of the curriculum*
2. *develop an understanding of the barriers to learning that many pupils face*
3. *Identify and develop universal approaches which promote wellbeing*
4. *be aware of and contribute to the PDG and PDGLAC regional priorities*
5. *be informed and prepare for the Additional Learning Needs and Education Tribunal (Wales) Act*

Building on the key contributions to the Continuity of Learning from March 2020 and a wide range of ERW developed PL opportunities, work has continued to focus on engaging with teachers and leaders to ensure strong support for schools and settings. This has enabled professionals in schools and settings across the 5 LAs to develop their understanding of universal approaches and effective practice which, whilst benefitting all learners, will disproportionately benefit those who would be seen to be disadvantaged and vulnerable.

School Support

Understanding Anxiety in Children and Young People : Professor Neil Frude

These videos were made available on Dolen at the end of August in readiness for the return to school. Almost 200 schools have accessed the videos and feedback has been very positive and the videos have been used by leaders to support whole school training

Twilight session with Robin Banerjee ‘Back to School –relationships as the key to emotional wellbeing’

This twilight session was attended by 111 from across the 5 LAs. Primary, secondary and special school practitioners shared their initial observations on how learners were managing the return to school. Professor Banerjee shared his insights into their observations and set this within the context of the fundamental importance of positive relationships in the context of learning environments. He also introduced delegates to his sociogram tools and explored how they can support practitioners to gain a deeper understanding of the complex nature of peer relationships.

The session was recorded and is available on a Hwb Playlist though Dolen.

“I thought the video clips of teachers sharing their experiences was really useful with Professor Banerjee responding to them and drawing our attention to underlying key messages” Teacher

Wellbeing Matters webinar

A webinar was held to introduce and launch 6 bilingual videos available to all schools and settings in ERW. The videos use research and evidence from the field of positive psychology to promote personal and social awareness. Videos and accompanying resources are available on Dolen.

“First of all a huge thank you for arranging the training yesterday. It was a little Pause in the emotional mine field we are currently living in and I will certainly be sharing it with my staff.” Headteacher

Introduction to Equity and Well-being

Bespoke training session and accompanying playlist developed and piloted at a secondary school in Pembrokeshire

Trauma Informed Schools: Back to School Training

Ninety seven schools from across all 5 LAs received training delivered by Dr Coral Harper focussing on supporting schools to prepare for the return to schools. The session offered an underpinning of theory as well as practical application to enable staff to understand the impact of the crisis and move forward to a find new normal and received very positive feedback.

PL programme for LAC & Vulnerable Learner Leads

Forty four delegates from across all 5 LAs attended the sessions. Schools in attendance were very positive about the learning opportunities emerging from this training. These four sessions, delivered by Helen Worrall, are to be made available via Dolen and are accompanied by a Hwb Playlist. The PL was designed to give schools leads a strong theoretical and operational understanding of the role and the support frameworks that can be used to support children who are looked after and vulnerable learners within schools. Each session is a standalone training session but each one will build knowledge and compliment the previous session.

Supporting Adopted Learners with Adoption UK Cymru

Forty delegates from schools across the region attended this session. Most delegates requested further training to supplement initial session.

Thinking Differently for Disadvantaged Learners

Professional Learning programme for all schools across the region from Challenging Education

As part of the ERW Equity in Education Programme - 6 recorded training modules are to be released half termly. Modules focus on the topics most pertinent to disadvantaged learners and is available for all schools and settings. This innovative new professional learning programme is available free to all schools and staff across the ERW region. This programme will take an in depth look at disadvantage and vulnerability within our schools and offer solutions and opportunities to think differently.

The training modules will cover a wide range of areas pertinent to the needs of disadvantaged learners and across the six modules this will include (but not be limited to):

- What it is like to be poor in school
- The impact of the curriculum
- Adapting teaching and effectively using metacognitive strategies

- Addressing the difficulties of participation in all aspects of school life
- Teaching appropriate learning behaviours
- Thinking about career-related learning from the earliest age

Raising Achievement of Disadvantaged Youngsters

As part of the ERW Equity in Education Programme - 14 Secondary schools across the region have been funded to take part in the Raising Achievement of Disadvantaged Youngsters (RADY) programme and looking at how they put in place fundamental changes across the whole school from year 7.

Ongoing work with Pembrokeshire Challenge Advisers to roll out the RADY programme to all clusters in the LA

Local Authority Support

Powys NQTs

A one day training package was developed for NQTs in Powys on 'Creating a positive Learning Environment for All' . Developed in response to direct request for support from Powys.

“Very many thanks for this we will very much work around you for convenient dates. Look forward to these sessions and many thanks for the resources” Senior Manager, Education Services

Link meetings with LA leads for Equity and Well-being

Half termly meetings have been set up with the PDG and Wellbeing leads from LA teams. Previously 'catch up' meetings were held with individual LAs rather than as a group.

Training with Challenging Education on 'Supporting schools to tackle the barriers facing eFSM learners'

As part of the ERW Equity in Education Programme - The sessions, attended by 70 ERW Central Team and LA Challenge Advisers, had a clear message around supporting school to ensure authentic opportunities for disadvantaged learners are harnessed. Training has already resulted in positive conversations between ERW and LA based staff and their schools.

Cross Regional Support

- Regional Coordinator for PDG continues to contribute to the cross-regional PDG group
- Lead for Health and Well-being contributes to the newly formed 'Wellbeing in Leadership' group

Welsh Government Support

- Lead for Health and Well-being continues to work closely with Welsh Government and currently chairs the Relationship and Sexuality Education (RSE) group tasked with writing the RSE guidance and code.

- Regional Coordinator for PDG continues to work closely with Welsh Government Officers, Attainment Advocate and Consortia PDG Leads to develop guidance and effective practice.

Collaboration with other ERW Officers

- Secondary Team : Bloom resilience training for all secondaries (Mental Health UK) organised with Post 16 lead
- Close work with the Curriculum Development Team: HAPPEN resources, EmpathyLab, Banerjee, ACEs training, Equity in the Curriculum resource as part of the suite of resources for schools embarking on their curriculum journey.
- Work with Head of Special Schools and Alternative Settings regarding vulnerable learners literacy project introducing Headsprouts online reading to 40 plus schools to support parents continue to develop pupils reading.

Working with external partners

Head of Special Schools and Alternative Settings works closely with ALN transformation regional group to ensure updates are provided to ERW team and Challenge Advisers.

ALN

School support

Support for teachers working with ALN/vulnerable learners to improve the teaching of vulnerable/disadvantaged learners

Resources currently commissioned and available on Dolen to support differentiation – 5 x 1hour sessions provided by Mike Gershon.

Support for teachers working with ALN/vulnerable learners

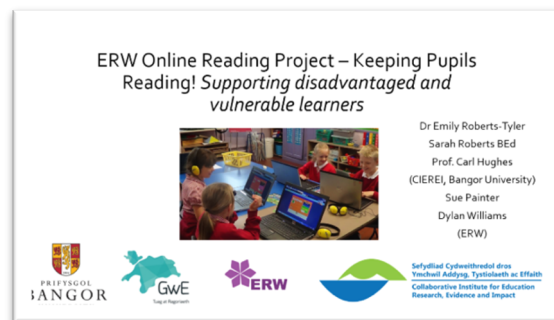
Future Pans

Five 15 minute videos providing an hour long professional learning module are currently being developed by Sam Gardner, an educational consultant specialising in special education needs and mental health on a range of support issues for schools -

- Working with parents
- Inclusivity and education
- Quality first teaching as a first wave of support for ALN students
- Using multi sensory teaching to support ALN students
- Neurodiverse and neurotypical – what do these terms mean and what does it mean, how does it affect children and what does this mean for the teacher.

These will be available later in the autumn term.

Support for vulnerable learners



Support for teachers working with ALN/vulnerable learners

The “WOW” programme has been developed to support schools in the effective use of teaching assistants. Two Hwb Playlists have been developed for launch in November. This programme is designed to support schools develop an inclusive approach to meeting the needs of those learners who find learning difficult. It will also support schools implement the requirements of the new Additional Learning Needs and Educational Tribunal Wales (ALNET) Act . It aims to increase the skills, strategies and confidence of staff - particularly teaching assistants (TAs) - to support pupils to work more independently within an inclusive classroom. Regular updates are provided to the ERW Cental Team, Challenge Advisers and schools via ERW newsletter and twitter regarding ALN Transformation.

Resources to support schools implement ALN Transformation

- awareness raising PowerPoint and playlists including Person Centred Practice have been developed and available on Dolen

<https://porth.erw-rhwyd.cymru/repository/resource/aa48491c-a257-4982-aa87-5b4a3a6fe337/en>

- ALNCO guide to support schools understand changes under new ALNET Act have been made available to schools via Dolen

<https://porth.erw-rhwyd.cymru/repository/resource/e9396c4a-ae3f-400c-bfc5-2ae0c117eff/en>

Future Planning

- Work is currently being planned with special schools and PRU settings to develop resources to enable parents to access IT to support their children’s learning
- Work is currently being planned with special schools and Proff. Corinna Grindle to introduce TEN-DD (Teaching Early Numeracy to Children with Developmental Disabilities).
- Work underway to develop ‘Disadvantage and Digital programme of activities and resources to support parents and carers with online and digital support for learners
- Comprehensive PL programme, covering a wide range of equity and wellbeing areas, currently planned for each term this academic year

Leadership

ERW will ensure that all schools and settings are supported to:

1. *access a high-quality, extensive portfolio of leadership development opportunities at every stage of the Professional Leadership Pathway.*
2. *utilise the Professional Standards in order to develop and lead effective learning organisations.*
3. *access development opportunities and accreditation for Higher Level Teaching Assistants*

All Leadership Programmes operate in full compliance with the National Cross Consortia Leadership Group. This group ensure equity in the access and delivery of all National Leadership Programmes. Many aspects of these programmes are now being delivered national basis with shared resources and personnel.

The ERW Leadership group consists of the Lead Challenge advisor from each LA. This group promote programmes within their LA and form the endorsement panel for applications for all programmes ensuring applications are appropriate and that capacity and local resources are available.

The ERW leadership Group include members of the Leadership Strategy Group who inform, guide and support delivery of the business plan.

Newly Qualified Teachers. NQT

All schools have a named and trained IM in place as they may need to employ an NQT (Including ST Supply) at short notice.



NQT Induction programme timetable of all induction modules are in place and training for Internal Mentor and External Verifiers is offered from a selection of dates throughout the autumn term.

Across ERW, 391 colleagues have been trained on the national training programme. Effective changes to induction in the light of Covid 19 have been implemented and close working with WG ,EWC, across all 4 consortia and with LAs have ensured aligned messages for individuals in schools and support for the amended process. This is a strong example of collaborative working to support schools and has been successful as the system has continued without any negative impact for NQTs or schools.

Middle Leader Development Programme.

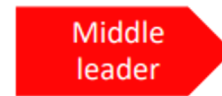
This programme will recommence after half term.

Applications for cohort 2 opened Friday 18th September.

Additional rounds of this programme are being offered to all ALNCo funded by LA Inclusion Lead Officers across the region (See ALN Section).

School based facilitators already trained will receive update training and their schools will continue to be funded for these System Leadership Roles.

NATIONAL MIDDLE LEADERS DEVELOPMENT PROGRAMME



This one year development programme is a professional learning opportunity for middle leaders across Wales. It is a national programme delivered by local consortia and is endorsed by the National Academy of Educational Leadership with opportunity for accreditation in partnership with UWTSD and Bangor universities.



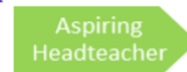
NPQH (Assessment Only)

Applications for NPQH Assessment Model closed 1pm 18/09/20
 NPQH Assessment February 2021

Aspiring Headteacher Programme

This new model for NPQH (delayed by Covid) will now start in January 2021. Previous endorsed applicants remain enrolled to start in January. Any additional applications must be received by 1pm 3/11/20. Participants who complete the programme will be eligible to apply for NPQH assessment in February 2022

NATIONAL ASPIRING HEADTEACHER DEVELOPMENT PROGRAMME – PREPARING FOR NPQH



This one-year development programme is an exciting professional learning opportunity for experienced school leaders across Wales who wish to become head teachers in the near future. Completion of this programme is an expectation for all future NPQH applicants.

This national programme is delivered by Regional Consortia and their partners, which include Local Authorities and Higher Education Institutions. It has been endorsed by the National Academy of Educational Leadership with opportunity for accreditation in partnership with UWTSD and Bangor universities.



National New Headteacher Programme

Cohort 1: 2018-20 will be invited to attend Development Day 5 of Cohort 2 in July 2021

Cohort 2: 2019-21 will resume after half term 2021

Cohort 3: 2020-22 currently supported by LA. National programme will commence after autumn half term

NATIONAL NEWLY APPOINTED HEADTEACHERS DEVELOPMENT PROGRAMME

The Newly Appointed and Acting Headteacher Programme is available to all newly appointed and acting Headteachers in Wales, it is delivered by the Regional Consortia and their partners which include Local Authorities and Higher Education Institutions. This programme has been endorsed by the National Academy of Educational Leadership.

National Experienced Headteacher Leadership Programme

The national Experienced Headteacher Development Programme remains paused and will resume as soon as restrictions allow.

It is not anticipated to open applications for the next round until this programme is evaluated.

NATIONAL EXPERIENCED HEADTEACHERS DEVELOPMENT PROGRAMME

This programme is a new professional learning opportunity for experienced headteachers and has been created to enable headteachers to reflect on their current performance and determine their next steps in ensuring effective leadership.

The programme will provide each participant with personally tailored challenges and support; time to discuss ideas, theories and leadership tools; and the opportunity to benefit from, and to help others successfully fill the role.

It is a national programme, endorsed by the National Academy of Educational Leadership, co-ordinated by regional consortia in collaboration with Local Authorities and delivery partners. There is an opportunity for accreditation in partnership with Trinity St David's (Yr Athrofa) and Bangor University for those participants wishing to undertake such a route.

Teaching Assistant Learning Pathway (TALP)



Teaching Assistant Learning Pathway TALP

- Newly Appointed Teaching Assistant Induction Programme
- National Practising Teaching Assistant Development Programme
- Aspiring HLTA Development Programme
- National HLTA Assessment Model
- Specialised Teaching Assistant Opportunities
- ERW Teaching Assistant Google Classroom

ALN

ERW's Head of Special Schools & Education in Alternative Settings is currently working with the regional transformation lead and LAs to recruit ALNCo's to attend the national Middle Leader development programme.

Funding has been secured from Welsh Government through ALN Transformation grant to support 72 places across the region, 12 per LA (support includes NPT as linked to ALN transformation agenda and funding).

Digital Skills

ERW will ensure that all schools and settings are supported to:

1. *develop leadership of Digital Learning*
2. *ensure Online Safety, across all stakeholders, is as robust as possible*
3. *develop digital competence as a cross-curricular skill, engaging with the Digital Competence Framework*
4. *setup and run Code Clubs to develop logical thinking and coding skills*
5. *share effective practice in the use of digital technology, both in the classroom and as a management and collaboration tool for staff*



Continuity of learning – Developing blended learning approaches

A series of webinars for primary, secondary and special school practitioners were run during the first half of the Autumn Term, giving schools an overview of the digital tools available through Hwb that can facilitate blended learning/online learning. The sessions included an overview of considerations for school leaders to ensure a consistent, whole school approach to blended learning. Recordings and live discussions with school leaders from around the region were also shown, to give schools an insight into plans and strategies to facilitate a variety of scenarios now faced by schools due to the impact of Covid-19 e.g. members of staff having to self-isolate, whole co-horts of learners having to self-isolate, small groups of pupils self-isolating, etc. Schools found these ideas to be particularly useful as guidance to implement and influence their own plans.

Many practitioners viewed the webinars live, however, the complete series of webinars are also available on demand through Dolen.

A comprehensive list of these resources can be found in Section 5 of this document.



Resources

A number of blended learning resources are available to schools via Dolen and the new professional learning website. The resources are based around the webinar recordings from the summer term, but also include various links and guidance documents to support schools in improving their knowledge and awareness of the Hwb tools available to facilitate blended learning. Additionally, there are examples from schools across ERW that give a variety of ideas on how practitioners can best utilise these tools to develop an engaging and effective blended learning approach.

“Your webinars have provided all staff with the skills and confidence to be able to support our pupils in a blending learning format. Can I thank you for providing guidance at a level which suits everybody - you seem to tap in to where individuals are - we have a mixed age of staff and a mixed level of confidence, but our staff, under your guidance, have sprinted along their learning continuum.” Headteacher

Updated blended Learning guidance will continue to be made available to schools to ensure that they are aware of any changes to the Hwb toolset available to them. Examples of effective practice from schools across the region will also continue to be shared via Dolen, to ensure all schools are aware of the potential of the tools and effective pedagogy regarding blended learning.

Updated Blended learning/online learning guidance:



In order to keep up with the current Covid-19 situation and the latest guidance, ERW digital learning colleagues have worked closely with Welsh Government on the latest updates to guidance documents around blended learning and live streaming, which are available on both Hwb and Dolen. There are also less formal guides available e.g. short video screencasts, that give practitioners an update on the current features that have been released as software tools continue to be developed at a rapid pace. Some of this guidance revolves around the use of live streaming platforms through MS Teams and

Google Classroom and contains key messages to safeguard both school staff and learners.

Online Safety

All practitioners, both staff and learners are spending more time than ever online as part of their school day. To help ensure all stakeholders have the skills and knowledge to remain as safe as possible whilst online, ERW continues to work in partnership with SWGfL, to provide online courses to highlight the current trends and concerns around online safety and blended learning. Any updates regarding the review of online safety through the 360 degree Safe Cymru tool are also shared with schools. ERW's close working relationship with SWGfL enables us to utilise their expertise to ensure that practitioners are aware of the current issues regarding safeguarding and blended learning.

360 DigiCymru Self Review Tools

ERW officers have worked as part of a cross-regional group to produce a digital learning self review framework. The group has now liaised with the Hwb team to create an online tool, available to schools as part of the Hwb toolset. The Beta version of the new 360 Digi Cymru digital self review tool will be assessed by school leaders through online awareness sessions. The tool will give school leaders a comprehensive view of digital learning in their school and provide clear action plans against areas for improvement, in order to develop digital learning. The main features and purpose of the tool will be outlined during the online sessions and schools will be invited to give feedback on the Beta version to inform amendments for the full release in January 2021.

Coding training

ERW will work with 12 schools across the region to create coding resources and receive coding packs. The resources created will be shared with all schools via Dolen. There will also be funding made available for schools to release staff to engage with online learning materials and to receive coding packs. The online training modules available to schools will be:



1. Introduction to Coding
2. Scratch
3. Micro;bit

Curriculum for Wales

The ERW Curriculum Team will support schools to create resources to develop cross curricular projects in line with Curriculum for Wales principles. These resources will be shared with schools via Dolen.

Virtual RDLE

A number of schools will showcase ideas and examples of how to develop digital competence across the curriculum in a virtual event run over the course of a week during the Spring Term. Practitioners will be able to choose which online workshops they would like to attend.



Cymraeg

ERW will ensure that all schools and settings are supported to:

1. *deliver current and future curriculum to support improvement in the Welsh language*
2. *develop as bilingual communities*
3. *plan effectively in order to contribute to the delivery of the 'Cymraeg 2050: Welsh Language Strategy'*
4. *develop the Welsh language proficiency of teachers and education assistants at different levels*

National and regional priorities

The overarching aims, and the long term strategy for Welsh in Education and the 'Cymraeg 2050: Welsh Language Strategy' remain the basis for all our work in the context of Welsh in Education. Some areas of work have naturally been stalled or delayed due to current circumstances and the restrictions presented upon us in our work with schools over the last 6-7 months. However, where possible the delivery of the work has been adapted to ensure the original aims are fulfilled, albeit in a different way.

Collaboration with Welsh Government officers remains strong, as does the collaboration with the other consortia and the LAs. Leads for Welsh in Education in the four regions meet regularly to discuss national priorities and collaborative projects. Regular communication between ERW and Welsh Government officers ensures that the focus is on key national priorities and addressing those priorities in a consistent manner where possible.

Resources to support the teaching and learning of Welsh in the primary and secondary sectors

Developing resources has been a key element of the work in the context of Welsh in Education over recent years. Although there has been some delay in the completion of certain projects due to Covid-19, a range of resources have been completed with other resources due to be completed before the end of the term. Feedback has been very positive on recently completed projects, and there has been an increased use, and wider than expected use of some resources, such as Secondary Welsh language thematic video clips, as they've been a way to ensure pupils in second language settings in particular are able to 'hear' more Welsh around them, something that was difficult for many when schools were closed.

Some recently funded / completed projects include:

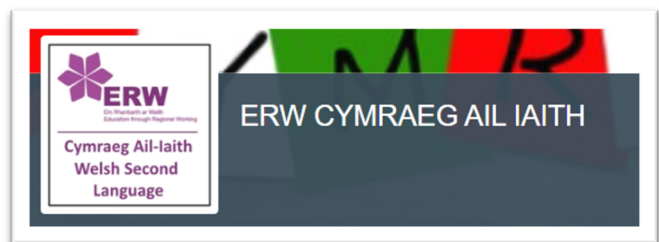
- Tric a Chlic good practice training videos
- Primary second language Welsh video clips to support teaching Welsh in the Foundation Phase and KS2
- 'Dim Dreigiau, Dim Defaid' workshops and resources to support schools to present the Welsh dimension across the curriculum.
- Ap Iaith – language skills app.

A range of new resources have been commissioned with the aim of addressing current needs and priorities in schools. These resources, include the following:

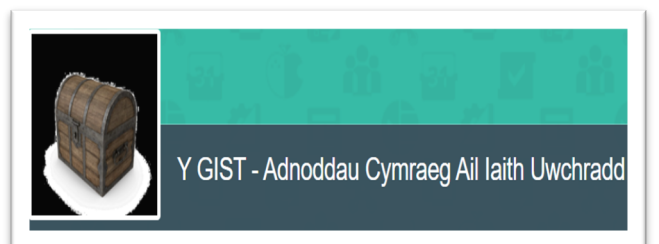
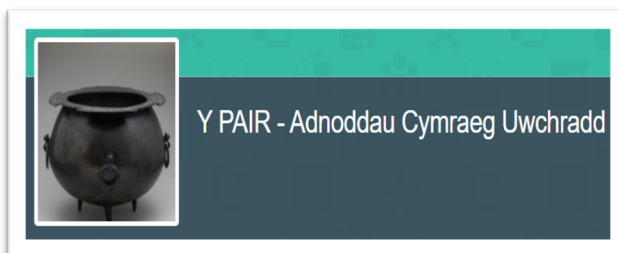
- GCSE Welsh and GCSE Second Language Welsh video clips
- A book of PISA style reading exercises (Firs Language and Second Language)
- Further development of the Ap Iaith developed last year
- Videoscribe resource on the history of the Welsh Language
- Regional and pan-Wales networks

All resources have been widely promoted through ERW communication platforms to ensure that they are available and easily accessed by all schools. There are two designated networks on HWB (ERW – Welsh and ERW – Second Language Welsh) where secondary teachers can find a wide range of resources, and in recent months two new national platforms have been created to share resources – Y Pair (Welsh Secondary Resources), and Y Gist (Welsh Secondary Second Language Resources). Both new platforms have been developed by means of collaboration between officers in the four regions, and the development of Y Gist has been led by ERW.

Rhwydweithiau ERW



Rhwydweithiau Traws-rhanbarthol



Collaboration across the regions has strengthened significantly over the last 6-7 months, and has resulted in many collaborative projects. One significant collaborative project was the creation of an interactive website and a set of resources to support GCSE Welsh pupils studying the 'Llyfr Glas Nebo' novel. The website was successfully launched in October and the feedback has been overwhelmingly positive. This was a collaborative project that was led by ERW, and having successfully completed this project the intention now is to work on further similar projects in the future.



“Ces fodd i fyw yn gwyllo'r cyflwyniad. Adnodd arbennig a hynod flaengar a defnyddiol i ddisgyblion ac athrawon. Gwych yn wir!” Estyn

“Gair byr i ddiolch ac i dy longyfarch ar y prosiect hwn ar Lyfr Glas Nebo. Mae'n mynd i fod yn gymaint o gymorth i athrawon a disgyblion wrth astudio'r nofel. Diolch yn fawr iawn. Adnodd gwych. Bydd yn cyfoethogi addysg disgyblion sydd yn astudio'r nofel.” Prif arholwraig TGAU

*“Diolch yn fawr i'r holl gyflwynwyr ac i bob aelod o'r tim datblygu am eu gwaith ar y wefan arloesol hon. Llongyfarchiadau ar waith mor wych!”
Swyddog Rhanbarthol*

“Diolch yn fawr. Bydd yn adnodd defnyddiol iawn.” Swyddog Llywodraeth Cymru



Hwb | i | Llyfr Glas Nebo

**GWEFAN RYNGWEITHIOL NEWYDD
AC ADNODDAU DYSGU
I GEFNOGI DYSGWYR I ASTUDIO A MWYNHAU
'LLYFR GLAS NEBO'**

Cyflwyniad byw i ddulliau cyfoes o astudio nofel TGAU

- Cymeriadau
- Themâu
- Digwyddiadau
- Iaith ac arddull

**DYDD MAWRTH
Hydref 13eg
9.00-10.00yb**

Mae'r adnoddau yn ffrwyth gwaith cydweithio cenedlaeth

Lansiad yr adnoddau

Recordiad o'r lansiad

13.10.2020

Atodiadau

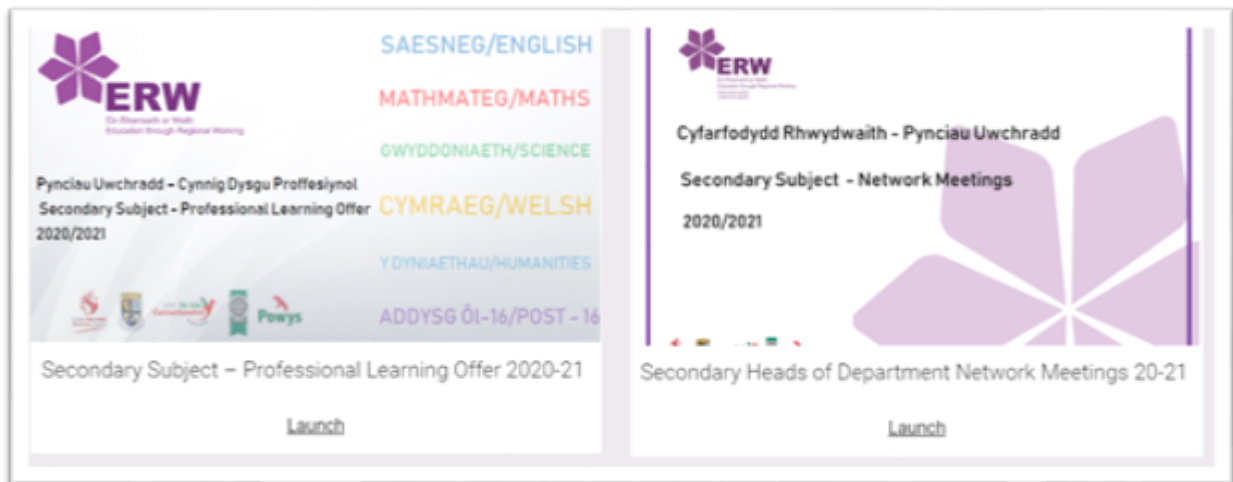
- Cyflwyniad (7 MB)
- Lansiad Adnoddau LLYFR GLAS NEBO (278 MB)

EAS ERW GŵC

Direct support to schools

Secondary Subject Specialists continue to support individual department and address identified needs, including the Blended Learning agenda and support for Welsh Medium pupils in English speaking homes through the work of the Continuity of Learning plan with Welsh Government and regional partners. A range of opportunities are available to middle leaders via MS Teams, and there's a full programme of events in place for the Autumn Term, as well a programme of meetings for the Spring and Summer Terms.

All departments have been invited to attend the Autumn Term Network Meetings and engage with the Blended Learning agenda, and attendance at Network Meetings is high, and feedback to date is very positive. The Network Meetings provide an opportunity to update heads of departments and / or colleagues on recent development, to present new resources, and share best practice etc. They also provide an important opportunity to engage with the departments, and give departments the opportunity to express any concerns and seek advice and guidance.



“Dim ond eisiau diolch yn fawr iawn i ti am yr holl adnoddau rwyt ti wedi eu danfon atom. Mae'n bendant yn hwyluso'r broses o osod gwaith ar -lein i'r plant yn ystod y cyfnod rhyfedd hwn!”

*“Mae'r adnoddau sydd ar gael yn wych, diolch o gallon i ti amdanynt”
Pennaethiaid Cymraeg*

Professional Learning

ERW continues to work with external providers including the Welsh Language Sabbatical Course providers to develop the Welsh language proficiency of teachers and education assistants at different levels. Due to the limitations of the current circumstances many language courses have been postponed this term, and discussions are ongoing regarding the possibilities for the Spring and Summer Terms.

As well as supporting and collaborating with the Sabbatical Scheme providers, ERW has decided to support courses / programmes on and LA basis in an attempt to address their current needs and priorities. These programmes are currently being discussed and planned with the aim of starting some programmes this term and others in the Spring term.

In addition to the Sabbatical Scheme, and other LA level provision, last year, ERW worked with the National Centre for Learning Welsh to develop two 10 hour ‘taster’ Welsh language courses – one tailored specifically for headteachers, and one for teachers – both of which have proved to be extremely popular in the region and beyond. Discussions are on-going with the Centre to explore additional programmes as part of the professional learning offer to English medium schools in particular, as it has been recognised that there is a need to develop the ability of teachers to teach through the medium of Welsh to support the need for increased capacity.

Siarter Iaith

ERW has continued to co-ordinate the Siarter iaith initiative in the region, working closely with the LAs and all schools across the region to ensure there are appropriate and ambitious plans in place to support increasing pupils’ informal use of the Welsh language by delivering the Siarter iaith and its associated programmes. Regional courses and meeting are held regularly to share information and provide training (when required) to LA Siarter iaith Co-ordinators. The Welsh Government have



recently held an extensive and wide scale national evaluation of the programmes of the Siarter and its associated programmes, and ERW have participated fully in the review, and in the discussions held over the Summer regarding the recommendations of the review and the proposed changes. ERW has also continued to work closely with the other consortia in responding to national changes, and in ensuring consistency where possible in the delivery of the programmes. The strong collaborative work between the four regions in this area of work has also led to the development of many resources to support, and inspire schools.

Centrally, ERW has established and maintained two strong networks on HWB which provide a platform to share resources and best practice. The ERW Siarter iaith network has 490 members, and the Cymraeg Campus network has 1645 members. Both networks have been made available to colleagues nationally, by request, due to the volume of resources contained within these networks. New resources are added to the networks on a weekly basis.

In recent months, in addition to the ongoing work of maintaining contact with schools and LA officers to ensure schools remain committed to the programmes and their targets, several new resources have been created including posters, 'Welsh heroes' Top Trumps, Siarter Iaith Calendar, a collection of sample school services with a Welsh dimension, Seren and Spark video clips etc.

This term grants have been provided to the LAs to enable them to address the bespoke needs and priorities of their schools. Each LA will draw up a development plan which will be agreed by ERW to ensure suitable use of the funds and the progress of the work will be monitored, and evaluated at the end of the year.

[Communications work / Marketing Welsh education and bilingualism as a skill](#)

ERW commissioned an external communications company to create and deliver a communication project to promote Welsh education and bilingualism as a skill. The project, or campaign, was launched in 2018 under the brand 'Clwb Ysgol', and mainly focused its work on social network platforms such as Instagram and Facebook. It included various initiatives including interactives quizzes and competitions and in March 2020, just before the lockdown it launches a new scheme 'Cymraeg mewn Mis' (Welsh in a month) with the aim of encouraging parents to learn Welsh alongside their children. Although this was launched before the lockdown, and school closure, it became apparent that this scheme could be influential and beneficial during the period of school closure to help parents learn some basic Welsh with their children. This scheme proved popular and gained interest in the media and the resources created remain to be available to all.

In addition to the programme outlined above, a sub-brand was launched – 'Clwb Cartref'. This resulted in a series of various activities which children of all ages could participate in at home during school closure – including sport and fitness videos, music /singing lessons, cooking lessons etc. These resources also remain available to all and their impact is currently being evaluated.

Section 3: ERW Stakeholder Engagement

ERW is represented on, and has a full and active role in, numerous groups and central team officers attend many stakeholder meetings.

Engagement with Welsh Government

- Challenge and Review
- Weekly meeting with Welsh Government
- ALNCo Professional Learning (PL) Steering Group Meeting
- Assessment Advisory Group
- Careers and work-related experiences group
- Professional learning Leads
- Curriculum for Wales practitioner group
- Curriculum Implementation network
- Cross-Regional Professional Learning Leads
- National Strategy for Educational Research and Enquiry
- National Professional Enquiry Project meetings with WG
- Professional Learning Journey Phase 2
- Schools as Learning Organisation meetings
- National Pedagogy Project meetings
- Curriculum Team meetings
- OECD Teachers Professional Learning Study
- Post-16 Professional Enquiry Project
- EWC Recruitment and Retention Meeting
- PL & Collaboration Group
- Pedagogy, Leadership and Professional Learning Division regarding National Leadership Programmes and TALP
- RSE working group
- 360 Self Review Framework working group
- Hwb working partnership
- ADEW Digital Learning sub-group
- A Levels Task and Finish group
- Democratic Renewal 16/17 year olds working group
- Qualifications Stakeholder Group: Quals Wales
- Qualifications Stakeholder Group: WJEC
- NEIR
- National School Improvement Document working group

Engagement with Cross Regional Groups

- Consortia Managing Directors
- Estyn
- National Academy of Educational Leadership
- WJEC – subject officer meetings
- Regional ALN Transformation group
- Regional ALN Transformation Training sub group
- Cross regional network with GWE leads for special schools and PRUs
- Professional learning cross-regional group
- Curriculum for Wales cross-regional group
- Talk Pedagogy project
- BAME working party
- LLC Hwb resources group
- Global Futures
- EAS Primary Languages
- Regional support networks e.g. Empathy Lab, HAPPEN
- Regional training for NQTs, MLDP and ACEs
- Cross-Regional Professional Learning Leads
- Professional Learning and Collaboration
- Leading Collaborative Learning
- WISERD Data Lab Advisory and Strategic Boards
- National Leadership Group
- National Leadership Group sub-group
- National TALP Group
- National TALP Group sub-group
- Wellbeing of Leaders
- Disadvantaged and Vulnerable Learners Cross Regional Group
- Cross regional digital group
- Regional Leads for Welsh in Education Meetings
- Cross-Regional meetings with WG Officers (Siarter Iaith)
- Cross-regional meetings with WG Officers (Welsh in Education)
- PISA group
- A Level Steering group
- Cross-Regional Welsh First Language meetings
- Cross-Region Welsh teachers
- Post-16 team
- Post-16 Leadership Development Programme
- Skills Challenge Certificate
- Leadership programme
- Leading Collaborative Learning
- Post-16 NPEP
- Cymraeg KS3 and KS4 - Cross consortia working parties
- Wellbeing of Leadership cross regional project

ERW hosted meetings

- ERW Executive Board
- ERW Joint Committee
- ERW Councillor Scrutiny

Networks

- PRU Leaders network
- Professional Learning Networks – Pedagogy, LLC, Expressive Arts; Humanities; Science and Technology
- Arts Council Wales
- Into Film
- Welsh Books Council
- Meetings with the Sabbatical Scheme Providers
- Meetings with the National Centre for Learning Welsh
- Money and Pensions Service) and Young Money

Local Authorities

- ADEW
- LA Directors of Education
- ERW Curriculum strategy group
- LA CoL group
- Powys Cluster Heads network
- Swansea Curriculum strategy group
- Swansea and ERW Multilingualism group
- Carmarthenshire Primary languages
- Swansea MfL network
- ERW / LA Leadership group every half term
- LA leads for wellbeing and PDG
- LA Digital leads working group
- Cross-regional meetings with WG Officers (Welsh in Education)
- LA Welsh/Literacy representatives
- Seren Network
- PDG LAC Leads Half Termly Meeting
- LA PDG Leads Half Termly Meeting

HEIs

- Trinity St Davids HEI - re accreditation of Specialist ALN qualification
- Story of Wales – with National Museum of Wales, National Library of Wales, Aberystwyth University, Swansea University, Welsh Assembly Government
- Student mentoring
- Routes into Languages Cymru advisory group
- National Professional Enquiry Project
- ITE Strategic Board Meetings for Cardiff Met, Swansea, Aberystwyth, UWTSO, Open University and USCET
- ITE provision
- National Leadership Group (UWTSO & Bangor)
- Physics mentoring project' steering group
- 'Step up to Swansea' - Swansea University

- Heads of 6th form consortium – UWTSO
- Further Maths support programme - Swansea/Aberystwyth universities
- A level Welsh revision - Bangor University
- Post-16 Professional Enquiry Project
- Raising standards, GCSE and digital learning for Swansea, UWTSO

School Groups

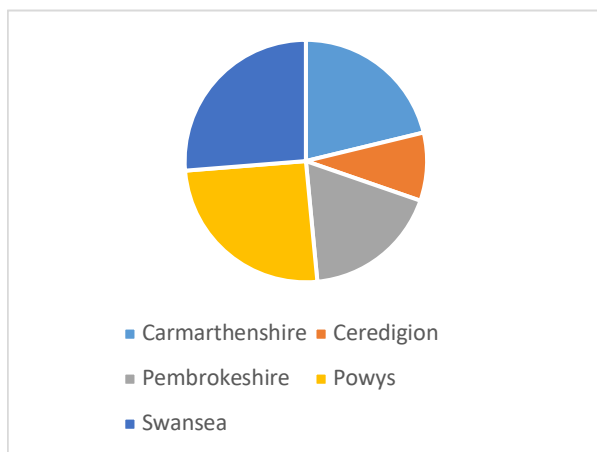
- ERW Headteacher Reference Board
- Special school HT network
- Middle Leader Networks:
 - Cymraeg
 - English
 - Mathematics
 - Science
 - Geography
 - History
 - Religious Studies
 - Humanities
 - Sixth Form Leaders

ERW Officer support - Autumn 2020
September 1st 2020 – October 23rd 2020

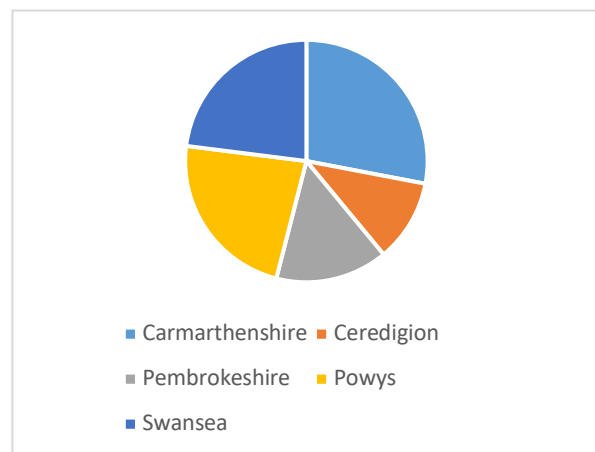
During the first half term of the current academic year, ERW officers have engaged with schools across the whole region, providing the equivalent of 512 days of support for schools. The table below shows that there is a very close correlation between the percentage of schools in each LA with the percentage of support provided to schools in those LAs.

| | Num of schools per LA | % of ERW schools per LA | Support days provided | % of support provided per LA |
|------------------------|-----------------------|-------------------------|-----------------------|------------------------------|
| <i>Carmarthenshire</i> | 112 | 28% | 107 | 21% |
| <i>Ceredigion</i> | 44 | 11% | 48 | 9% |
| <i>Pembrokeshire</i> | 62 | 15% | 94 | 18% |
| <i>Powys</i> | 92 | 23% | 128 | 25% |
| <i>Swansea</i> | 94 | 23% | 135 | 26% |
| | Total schools: 404 | | Total days: 512 | |

% of ERW Schools per LA



% of Support Days Provided per LA



ERW Officer Support 2020/2021 (source: ERW Support Log)

September 1st 2020 – October 23rd 2020

Selection of focus areas

| | |
|-------------------------------------|--|
| Curriculum for Wales | Support days delivered : 84.8 day(s) Number of schools : 85 school(s) |
| Secondary Support | Support days delivered : 170 day(s) Number of schools : 58 school(s) |
| Health and Well-being AoLE | Support days delivered : 10.5 day(s) Number of schools : 20 school(s) |
| Wellbeing and attitudes to learning | Support days delivered : 41.5 day(s) Number of schools : 42 school(s) |
| Leadership | Support days delivered : 74.9 day(s) Number of schools : 85 school(s) |
| Leadership and management | Support days delivered : 246.9 day(s) Number of schools : 189 school(s) |
| Teaching and learning experiences | Support days delivered : 333.7 day(s) Number of schools : 199 school(s) |
| Digital Learning | Support days delivered : 53 day(s) Number of schools : 80 school(s) |
| Standards | Support days delivered : 197.6 day(s) Number of schools : 148 school(s) |

Section 4: Communication

Headteacher Communications Newsletter

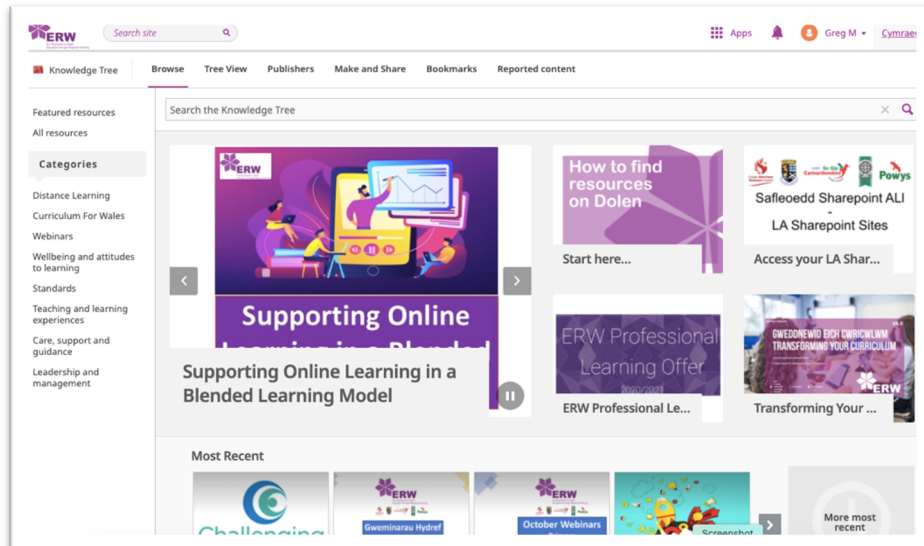
We have continued to publish our weekly Headteacher Communications newsletter on a Thursday and is currently issued to all school leaders in the region. The content has focused on WG Covid-19 guidance, the WG Continuity of Learning Plan and ERW guidance and support for Distance Learning, Blended Learning and wellbeing of staff and pupils. These overarching themes include support for Curriculum for Wales, Secondary curriculum and qualifications, Professional Learning, Digital support (including the Hwb toolset), middle and senior leadership, vulnerable learners, NQTs and HLTAs. All support is accessible via ERW's digital platform, Dolen.

ERW General Newsletter

Our General Newsletter for all school staff is issued every two weeks, currently to 677 school practitioners. The content focuses on Continuity of Learning Plan and ERW guidance and support for Distance Learning, Blended Learning and wellbeing published on ERW's digital platform, Dolen. At the end of each month, a 'What's new on Dolen' special issue is published.

Dolen

Over 227 new resources have been produced and published on Dolen since March 2020. These have been accessed by ERW schools and schools in all other regions.



Twitter

| | September | October |
|--|-----------|---|
| Tweets The number of Tweets published by @ERWCymru | 52 | 81 |
| Tweet Impressions The number of times people have seen the Tweets | 48,900 | 71,000 (63% increase from September) |
| Mentions A mention is when someone uses the @ERWCymru Twitter handle. | 381 | 432 |
| Profile visits The number of times users visited our Twitter profile page. | 821 | 1,381 |

Links

ERW Website

<https://www.erw.wales/>

Dolen

<https://porth.erw-rhwyd.cymru/repository?redirectedFrom=Hwb>

ERW Professional Learning Offer

<https://sites.google.com/hwbcymru.net/erwpl/home-english>

Section 5: Blended Learning Resources

As a direct response to the Covid-19 pandemic, ERW colleagues created a large number of bilingual, digital resources to support Distance Learning and Blended Learning. Some of these resources were produced in collaboration with colleagues from the other RECs, via the cross-regional group formed as part of the Continuity of Learning work. These resources were made available to a range of stakeholders, including, where appropriate, parents and guardians of our learners, via the Hwb platform. Other resources were created by ERW officers, with some contributions from LA and school based colleagues, and shared via Dolen.

Resources created by the cross-regional group and shared via Hwb

| Resource Category | Sub category | Title |
|-------------------------------------|---|---|
| Practitioners – How can I scenarios | Content Creation | |
| | How do I create screen recordings for pupils? | <ul style="list-style-type: none"> Recording in Powerpoint Using Screen castify through Hwb Screen recording using Flipgrid |
| | How do I create a Self-Marking quiz? | <ul style="list-style-type: none"> Google Forms – Creating and sharing a quiz MS Forms – Creating and sharing a quiz |
| | How can I create on demand videos to support teaching and learning? | <ul style="list-style-type: none"> Recording using screen castify through Hwb Sharing video content to support pupils through J2e Uploading and sharing video content with pupils through J2launch app Flipgrid – Staff set up guide |
| Practitioners – How can I scenarios | Communication and Sharing Content | |
| | How do I share online tasks with pupils? | <ul style="list-style-type: none"> Microsoft Teams – Assignments Google Classroom – Creating an assignment J2e – Uploading a file,image or video and sharing with pupils J2e – Sharing activities out to pupils – Sharing files J2launch app – Sharing activities out to pupils via the app J2 homework Google Sites: <ul style="list-style-type: none"> Creating a site |

| | | |
|-------------------------------------|--|--|
| | | <ul style="list-style-type: none"> ○ Additional features 1 ○ Additional features 2 ○ Creating pages ○ Sharing and publishing |
| | How do I set up a virtual classroom? | <ul style="list-style-type: none"> ● J2e Managing classes ● Finding Google Classroom and creating a class ● Accessing MS Teams through Hwb ● Creating a MS Team through Hwb ● Flipgrid – Staff set up guide |
| | How can I make video content available on demand? | <ul style="list-style-type: none"> ● Uploading a video to Google Sites ● Uploading a video to the Google drive app |
| | How can I enable collaboration between learners? | <ul style="list-style-type: none"> ● Sharing collaborative documents through J2e ● Google sites – Collaborating to create a website |
| Practitioners – How can I scenarios | Assessment and Feedback | |
| | How do I access pupils work and give feedback? | <ul style="list-style-type: none"> ● J2e – Learning conversation ● Flipgrid – Pupil feedback ● Google Classroom – Marking an assignment ● J2e – Learning conversation learner perspective |
| | | |
| Cross regional working group | Live streaming guidance | |
| Cross regional working group | Developing integrated approaches to support blended learning for the phased opening of schools | |
| Cross regional working group | Developing approaches to support distance learning | |

Resources created by ERW and shared via Dolen

| |
|---|
| Secondary - ERW webinar: Digital considerations for partial school closure scenarios |
| Primary Digital considerations for partial school closure scenarios |
| ERW Online Reading Project – Keeping Pupils Reading! Supporting Disadvantaged and Vulnerable Learners |
| Interactive website and learning resources for the novel 'Llyfr Glas Nebo'. |
| Developing speaking and listening skills in secondary Welsh lessons |
| ERW Webinars - Digital considerations for partial school closure scenarios |
| Models of blended learning |
| 'Unlocking' Oracy after Lockdown |
| Supporting Online Learning in a Blended Learning Model |
| Blended Learning - Developing Integrated Approaches to Blended Learning |
| English Narrative Writing Blended Learning Pack – School and Home Learning. |
| Developing Speaking and Listening Skills using Hwb tools |
| Walking, talking mock videoAggregated |
| Coding Activities |
| ERW Webinar - Connecting Learners in the Foundation Phase through J2e |
| Preparing for Transition back to school for ASD (autistic spectrum disorder) pupils |
| Distance Learning – A Guide for Parents |
| Webinar - Supporting Transition through Flipgrid |
| Humanities Flexible Distance Learning |
| Webinar - Collaborating and Connecting Learners through j2e |
| Webinar - Connecting Learners through Flipgrid |
| Webinar - Collaborating and Connecting Learners through Google for Education |
| Distance Learning |
| Parents and Reading KS3 Guide ERW |
| Distance Learning – A Guide for Parents (Primary) |
| Webinar - Collaborating and Connecting Learners through Teams |

| |
|--|
| 2eAggregated |
| ERW School Support Hwb Networks |
| Staying Connected |
| Creating a Flipgrid project |
| Distance Learning - Hwb |
| Google Sites to support Distance Learning |
| Models for the development of distance learning |
| Using Microsoft Teams to conduct school business |
| Self Marking Quiz - Google Forms and Microsoft Forms |
| Using JIT through Hwb |



Mae'r dudalen hon yn wag yn fwriadol



ERW

Ein Rhanbarth ar Waith
Education through Regional Working

ERW Business Plan

2020-2021



**ERW Business Plan
2020-21**

Contents:

Section 1: Our context and provision

Section 2: ERW On-a-Page (Team structure, Governance & funding)

**Section 3: ERW Business Plan – Tier 1
(Statements of Intent and What Success Will Look Like)**

**Section 4: ERW Business Plan – Tier 2
(Operational Plans: content delivery & budget costs)**

Section 5: ERW Business Plan – monitoring, evaluation and review (KPIs)

Section 6: Appendices

- Local Authority priorities (2020-21)

Section 1: Our context and provision

ERW is one of four regional education consortia in Wales. Its purpose is to deliver a single consistent and integrated professional school improvement service across the five local authorities.

The national model for school improvement in Wales is based on a vision of regional school improvement consortia working on behalf of local authorities to lead and coordinate the improvement in the performance of schools and education of young people.

ERW'S AIMS

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

ERW's VALUES

To achieve our vision, we have defined values to guide all we do at ERW. These include:

- Effectiveness
- Commitment
- Integrity
- Innovation
- Collaboration

ERW utilises a wide range of flexible approaches so that bespoke solutions can be used to support schools at their point of need. We support teachers through the provision and brokering of professional learning programmes to support individuals in their leadership journey whilst building expertise and capacity where and when it is needed in schools across the region.

Business Plan

The ERW business plan aligns and reflects that aspirations and enabling objectives of Our National Mission, whilst reflecting local and regional priorities. These are:

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

Our Business Plan has been developed by using the outcomes of self-evaluation, research findings, cross-consortia planning as well as identification of school, local authority, regional and national priorities. A wide range of stakeholders have contributed and been consulted on the development of the plan prior to publication.

These include:

- Headteachers
- Directors of Education
- ERW Joint Committee & Executive Board
- Staff in the ERW central team
- Headteacher Reference Board; and
- ERW Strategy Groups

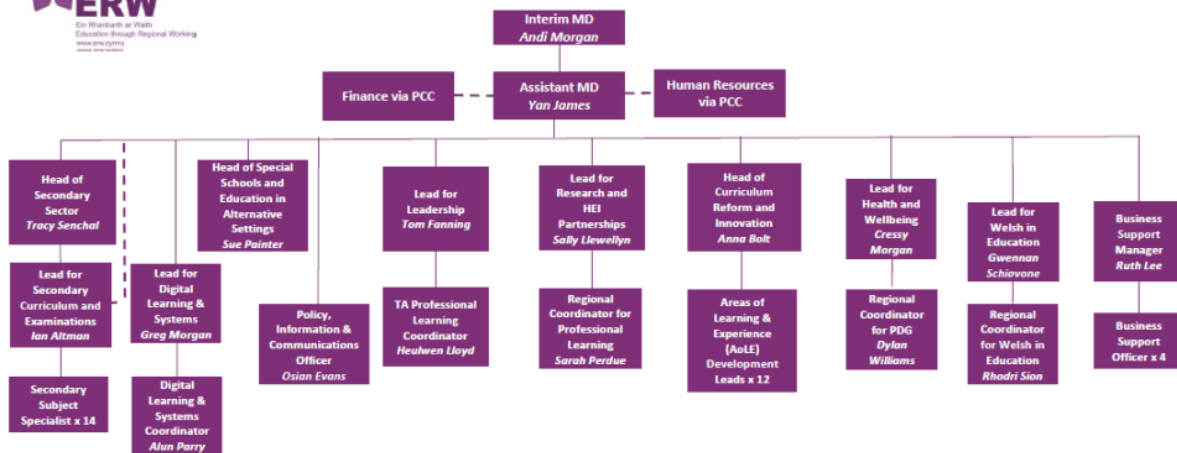
This business plan has been formally agreed by the Director of Education or Chief Education Officer of each Local Authority, the Joint Committee and the Lead Chief Executive.

The business plan is designed to meet the priorities of schools, local authorities and Welsh Government, against a backdrop of a new curriculum, new accountability frameworks, new approaches to supporting children with Additional Learning Needs, the development of schools as learning organisations, the introduction of a National Academy for Educational Leadership, the launch of a professional learning model, as well as changes to the way in which Estyn will inspect schools and local authorities.

Section 2: ERW On a Page



Current Organisation Structure



Governance

ERW is governed by a legally constituted Joint Committee whose membership is made up of the five local authority Leaders in South-West and Mid-Wales. ERW's Joint Committee is advised by the Executive Board which is made up of the five local authority Directors of Education in the region along with external school improvement experts, head teacher representatives and ERW's Managing Director.

The Executive Board is responsible for monitoring and evaluating ERW's work, in particular through the work of the ERW Strategy Groups.

The ERW Strategy Groups are a critical aspect of ERW's governance arrangements. They are the primary driver for developing ERW's work in the key areas of:

- Professional Learning and Research
- Leadership
- Curriculum
- Digital Skills
- Equity and Well-being
- Welsh

Each Strategy Group will be responsible for monitoring the progress of the aspect of Business Plan actions for which they are responsible. They will also be responsible for co-constructing content in the following year's Business Plan.

While it is accepted that the context and setting of each Local Authority in ERW is different, the purpose of collaborating on a regional level is to achieve a greater scale of economy through co-operation. Whilst changes and innovations can be incorporated to take into account local priorities or differences, there must remain a degree of regional consistency.

The Strategy Groups are a conduit for communication between the region and peers within the constituent Local Authority, and the wider profession. Group members are tasked with communicating their work externally, by using both local and regional communications channels.

Finance

ERW uses all available funding to support the priorities identified by schools, local authorities, regions and Welsh Government within the business plan. The underlying principle is that delegation to schools should be as high as possible.

Local Authority funding for Consortium working is underpinned by the National Model for Regional Working, published by the Welsh Government in 2014. The model recommended a core funding allocation of £5.4m for the Consortium.

Financial Overview

| Local Authority Contributions | Grant Funding for National Priorities | Total Funding Available |
|-------------------------------|---------------------------------------|-------------------------|
| 2019-20 - £0.3m* | £68.4m*** | £68.7m |
| 2020-21 - £0.5m** | £58.4m*** | £58.9m |

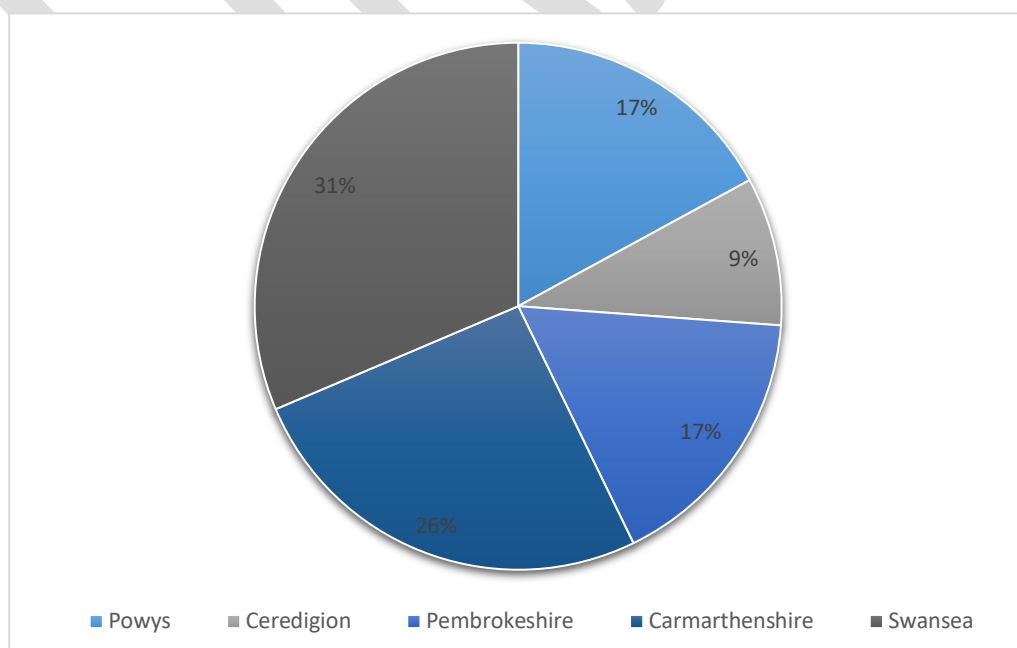
*includes NPT Contribution

**indicative and subject to change

***includes LA match funding

ERW is funded on an annual basis from the constituent local authorities to fulfil the requirement of the National Model for Regional Working as well as directly from Welsh Government to further support and develop both regional and national priorities.

Local authority contributions are calculated using the IBA (Indicator Based Assessment) published annually on the Stats Wales website. Local authority directors in conjunction with the Joint Committee then agree the percentage.



Historically there were two main grants received by ERW from Welsh Government. Pupil Development Grant (PDG) and the Education Improvement Grant (EIG). In addition, consortia used to receive additional grants for specific purposes proposed by Welsh Government, usually through the Regional School Support Grant (RSSG). With the launch of the national strategy 'Education in Wales: Our National Mission', there has been a streamlining of the grant funding process. From 2018/19, only two grants will be received by consortia:

| Regional Consortia School Improvement Grant | Pupil Development Grant |
|--|--------------------------------|
| 2019/20 - £39.9m* | 2019/20 - £24.5m |
| 2020/21 - £36.8m* | 2020/21 - £21.2m |

*includes LA match funding

Regional Consortia School Improvement Grant

The main grant received by regional consortia to support national school improvement priorities is the Regional Consortia School Improvement Grant (RCSIG). This grant now incorporates the former Education Improvement Grant (EIG) and Raising School Standards Grant.

There is an expectation that the EIG element of the grant is match funded by local authorities and is predominantly delegated to schools in line with grant terms and conditions. In 2020/21 a minimum of 85% of the EIG element of the grant will be delegated to schools.

The outline funding envelope from Welsh Government was received in mid-March 2020 however includes funding for NPT and provides indicative allocations for the financial year 2020/21. Actual funding discussions are ongoing and expected to change. Activity within the 2020/21 business plan is predominantly funded from this grant.

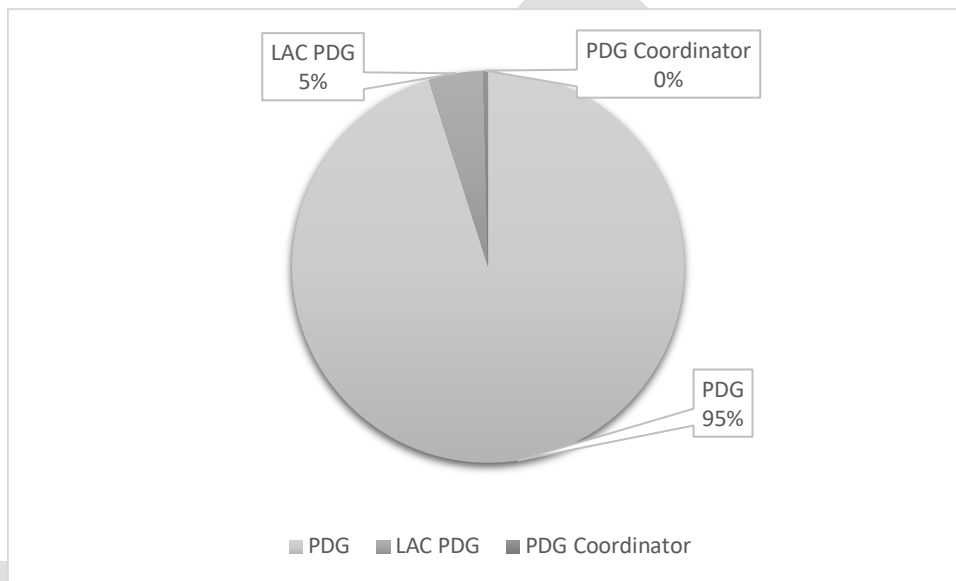
| Objective | £m |
|---|--------------|
| Curriculum and Assessment | 1.5 |
| Developing a High Quality Education profession | 31.84 |
| Inspirational Leaders working collaboratively to raise standards | 0.04 |
| Robust assessment, evaluation and accountability arrangements supporting a self improving system | 0.29 |
| Total funding | 34.09 |

Pupil Development Grant

The Pupil Development Grant was launched in 2012 and provides additional funding to schools based upon the number of pupils on their roll eligible for Free School Meals or who are Looked After Children.

The Pupil Development Grant is split into two main elements the and is allocated as follows:

- 100% of the Pupil Development Grant is passported to schools and Local Authorities;
- 10% of the Looked After Children element is retained by ERW to provide professional learning opportunities across the region to support previously looked after children with the remaining 90% delegated to schools and Local Authorities.
- A further element is received by the Consortia to fund the position of the PDG Coordinator.



Section 3: ERW Business Plan – Tier 1

Statements of Intent and What Success Will Look Like

The ERW Business Plan Tier 1 content sets out our headline 'Statements of Intent' and 'What success will look like.'

All areas of activity noted are for implementation during the forthcoming financial year 2020-21. Each element of the plan is aligned directly to our key strategy and delivery model of 'ERW Strategy Groups.'

The model is designed to ensure:

- clarity and understanding of ERW provision for all schools
- milestones for effective monitoring and evaluation
- review systems at regular intervals (undertaken by key partners)

Curriculum Strategy Group

ERW will ensure that all schools and settings are supported to:

1. develop whole school understanding of a purpose-led curriculum
2. consider how the Four Purposes drive all school priorities.
3. develop an agreed view of priorities for developing teaching and approaches to assessment set out in the Curriculum for Wales guidance.
4. remain abreast of qualification requirements and future reform.
5. design, plan and trial inclusive approaches to curriculum and pedagogy
6. collaborate within and between settings to develop and share their thinking

What Will Success Look Like?

Across the region, all schools, settings and school improvement staff will have had opportunities to develop their whole school understanding of Curriculum for Wales. Clusters of schools will collaborate to develop a shared understanding of the curriculum model and approach to assessment. Schools and settings will consider and create their co-constructed vision for curriculum design which considers every learner and reflects the unique needs of the community. Identified departments in a range of secondary schools and settings will have benefitted from a bespoke package of support to develop teaching and learning. Schools and settings will develop meaningful, evidence informed professional learning opportunities which allow practitioners to explore pedagogical approaches in order to select those which are best suited to the progress of all their learners.

Professional Learning and Research Strategy Group

ERW will ensure that all schools and settings are supported to:

1. engage with a national professional learning offer, appropriate to the individual's role, to enhance their skills, improve their teaching, knowledge and career progression
2. collaborate with higher education institutions to make effective use of high-quality research to inform their practice and contribute to research where appropriate
3. use the professional standards to identify areas for professional learning to improve practice and develop themselves as learning organisations
4. engage with professional learning that promotes inclusivity and equity
5. engage with national development programmes for Teaching Assistants across the region, covering all stages of the Teaching Assistant Learning Pathway.

What will success look like?

Across the region, all schools and settings will have the opportunity to engage in a national professional learning offer appropriate to their role. Where settings engage with this offer they will be equipped and ready for introducing Curriculum for Wales 2022 having received support in managing change, engaging all stakeholders in developing a vision for their context as well as planning a curriculum that suits them with a workforce who have been given time and space for professional learning. Pedagogy will be a strong focus in nearly all schools. Many schools will have had the opportunity to develop links with HEI partners to develop themselves as research informed, reflective practitioners. All professional learning will be in line with the professional standards for teaching and leadership and many schools will be using the results of the Schools as a Learning Organisation survey to inform their planning for improvement.

Equity and Well-being Strategy Group

ERW will ensure that all schools and settings are supported to:

1. design and deliver the health and well-being area of the curriculum
2. develop an understanding of the barriers to learning that many pupils face
3. Identify and develop universal approaches which promote wellbeing
4. be aware of and contribute to the PDG and PDGLAC regional priorities
5. be informed and prepare for the Additional Learning Needs and Education Tribunal (Wales) Act

What will success look like?

Across the region, all schools, settings will have had opportunities to develop an initial needs analysis methodology for designing the health and well-being area of learning and experience. Resources will be available on Porth to support and guide schools and settings through the process. Having received support and guidance on the factors which impinge on a 'readiness to learn' schools will be better placed to develop a curriculum which meets the needs of all learners in safe and supportive environments. Schools, settings and school improvement staff will have clear and consistent guidance on effective use of PDG and PDGLAC. All schools and settings will have been provided with relevant information and training to help them prepare for the ALN and Education Tribunal (Wales) Act.

Leadership Strategy Group:

ERW will ensure that all schools and settings are supported to:

1. access a high-quality, extensive portfolio of leadership development opportunities at every stage of the Professional Leadership Pathway.
2. utilise the Professional Standards in order to develop and lead effective learning organisations.
3. access development opportunities and accreditation for Higher Level Teaching Assistants.

What will success look like?

National Leadership programmes accredited by the NAEL will be accessible to all leaders and effectively delivered across the region. A regional system of identification, tracking and professional learning support for aspirational leaders will be implemented enabling leaders to secure timely professional learning opportunities and experiences and LA can monitor effective succession planning. An effective Aspiring HLTA programme and assessment process will be available across the region.

Digital Skills Group

ERW will ensure that all schools and settings are supported to:

1. develop leadership of Digital Learning
2. ensure Online Safety, across all stakeholders, is as robust as possible
3. develop digital competence as a cross-curricular skill, engaging with the Digital Competence Framework
4. setup and run Code Clubs to develop logical thinking and coding skills
5. share effective practice in the use of digital technology, both in the classroom and as a management and collaboration tool for staff

What will success look like?

Leaders from all settings across the region will have had opportunities to receive support in developing their strategic approach to the use of digital learning, both in the classroom and as a management and collaboration tool. This support will include the creation of a clear vision for their setting, involving, and being shared with, all relevant stakeholders. Staff will be able to access relevant and up to date information regarding Online Safety to ensure all stakeholders in their setting are as safe online, as possible. Support in engaging with the 360 degrees Safe Cymru online safety framework will have been made available to all settings that require it. Support for the development of digital competence will have been identified and brokered by Challenge Advisers. This support will have been delivered by relevant ERW or LA colleagues as well as Digital Innovation Schools via a school to school model. Settings that have not already done so, will have the opportunity to receive the necessary support to either setup and run an extra-curricular Code Club or include activities to develop logical thinking and coding skills as part of their curriculum. A Regional Digital Learning Event and a series of ERW DigiMeets will have given settings the opportunity to share examples of good practice in the development of digital competence beyond their own settings. Further examples of good practice will have been made available to all members of staff in ERW schools via Porth.

Cymraeg – Welsh Strategy Group

ERW will ensure that all schools and settings are supported to:

1. deliver current and future curriculum to support improvement in the Welsh language
2. develop as bilingual communities
3. plan effectively in order to contribute to the delivery of the 'Cymraeg 2050: Welsh Language Strategy'
4. develop the Welsh language proficiency of teachers and education assistants at different levels

What will success look like?

Centrally, the region will have a high level strategy with clearly defined priorities for the work of developing and supporting Welsh in education. Schools will be actively engaged with the aims of the Cymraeg 2050 strategy, the region's Welsh in Education Strategy and the Local Authorities' Welsh in Education Strategic Plans.

Good practice will be further developed and shared to ensure effective pedagogy and methodology for teaching and learning Welsh, and through the medium of Welsh based on research and identified best practice.

All schools will be actively engaged with their own work in developing the Welsh Language Charter Framework in line with the most recent developments in the national Welsh Language Charter Framework. All schools will be ambitious in their targets, and will monitor progress internally throughout the year and will include the targets in their School Development Plans.

The region will support a programme of professional learning to develop practitioners' Welsh skills and expertise when teaching Welsh and through the medium of Welsh, in line with the criteria / principles of the National Professional Learning Model. ERW will work with external providers, including the regional Welsh Language Sabbatical Course providers to develop the Welsh language proficiency of teachers and education assistants at different levels. ERW will support schools and LAs to identify training needs, and seek to address those needs by ensuring the profession has access to suitable high-quality professional learning opportunities to develop their Welsh language skills.

ERW effectiveness and efficiency

ERW will:

1. Review its performance management processes
2. Ensure that professional learning is appropriate and develops ERW staff's knowledge and expertise
3. Align Business Planning more closely with the self-evaluation process
4. Establish a coherent and well-understood process of self-evaluation and improvement
5. Ensure a robust process of Business Planning monitoring underpinned by high quality first-hand evidence and high quality research
6. Ensure that the self-evaluation process informs high quality impact reporting
7. Ensure accountability is evidenced against the Business Plan success criteria.
8. Ensure a high quality professional learning offer is provided for school during the summer term.

What will success look like?

Performance management cycle will be linked closely with Business Planning priorities and result in relevant, high quality professional learning opportunities for all staff. Business Planning will be clearly lined with self-evaluation and national priorities. A robust 90 day cycle of PM reviews and Business Planning monitoring, with first-hand evidence will be introduced. Business Planning monitoring will be reported by exception to JC at each JC meeting and a final evaluation report produced by the end of July each year. An annual impact report will be produced by the end of September each year. Case studies will evidence effective practice and value for money.

Schools will be provided with a professional learning offer during the summer term.

Section 4: ERW Business Plan – Tier 2

(Content delivery & budget costs)

ERW Business Plan Tier 2 – Operational Plans

| Curriculum Strategy Group: Operational Plan | | | |
|---|--|---------------------|--------|
| Plan Owner: | Curriculum Strategy Group | | |
| Strategy Group Members: | Aeron Rees, Meinir Ebsworth, Sian Rowles, Donna Caswell, Daniel Owen | | |
| ERW Supporting Officer/s | Anna Bolt / Anthony Jones | | |
| Budget | £905,000 | | |
| Statements of Intent | | | |
| <p>ERW will ensure that all schools and settings are supported to:</p> <ol style="list-style-type: none"> 1. develop whole school understanding of a purpose-led curriculum 2. consider how the Four Purposes drive all school priorities 3. develop an agreed view of priorities for developing teaching and approaches to assessment set out in the Curriculum for Wales guidance. 4. remain abreast of qualification requirements and future reform. 5. design, plan and trial inclusive approaches to curriculum and pedagogy 6. collaborate within and between settings to develop and share their thinking | | | |
| How will we achieve this? | Responsible Officer/s | Timescale | Budget |
| <p>1. ERW will ensure that all schools and settings are supported to develop whole school understanding of a purpose-led curriculum</p> <ul style="list-style-type: none"> • Curriculum events across region to ensure consistency aligned to the NM and shared expectation • Support for Challenge Advisers to develop dialogue with schools in support visits • Roll out of Transforming Your Curriculum online support tool to enable schools and settings to identify their strengths and | AB/Curriculum Team | April 20 – March 21 | |

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| <p>development/action plans and formulate professional development in relation to understanding the curriculum model</p> <ul style="list-style-type: none"> • Liaise with LA strategy groups, Challenge Advisers and cross-region strategy groups to ensure consistency of expectation • Professional development offer to include cluster and school Inset, twilight sessions, meetings with key staff and assistance with planning training/advice • Sharing practice from identified schools | | | |
| <p>2. ERW will ensure that all schools and settings are supported to consider how the Four Purposes drive all school priorities</p> <ul style="list-style-type: none"> • Curriculum events across region to support leaders and middle leaders in developing understanding of the four purposes • Train the trainer model developed to ensure consistent support within and across schools/settings • Develop four purposes workshops through the ‘Transforming Your Curriculum’ resource • Liaise with LA strategy groups, Challenge Advisers and cross-region strategy groups to ensure regional understanding of the four purposes • Partnership working with Challenge Advisers in relation to support and evaluation and identification of strengths and needs • Professional development offer to include LA conferences, cluster and school Inset, twilight sessions, meetings with key staff and assistance with planning training/advice/evaluation • Sharing practice from identified schools | AB/Curriculum team | April 20 – March 21 | |
| <p>3. ERW will ensure that all schools and settings are supported to develop an agreed view of priorities for developing teaching and approaches to assessment set out in the Curriculum for Wales guidance</p> | AB/AJ Curriculum Team Secondary Subject Specialists | April 2020 – March 2021 | |

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|--|--|----------------------------|--|
| <ul style="list-style-type: none"> • Curriculum and secondary team to develop coherent approach to delivery of support in all schools and settings in partnership with strategy groups. • Joint visits from ERW officers to ensure aligned message to schools – bespoke support with Support Form to include School will.../ERW will... sections and clear recommendations etc. | | | |
| <p>4. ERW will ensure that all schools and settings are supported to remain abreast of qualification requirements and future reform.</p> <ul style="list-style-type: none"> • Secondary Team to deliver network meetings to middle leaders. • Qualifications Wales/WJEC updates when appropriate in Network Meetings. • Support for teachers and middle leaders through bespoke support for identified departments. • Liaise with Challenge Advisers/Strategy Groups to ensure shared messages. • Support for non-specialist and new teachers through professional learning. • Menu of support developed for training/PL events | AJ Secondary Subject Specialists | April 2020 – March 2021 | |
| <p>5. ERW will ensure that all schools and settings are supported to design, plan and trial inclusive approaches to curriculum and pedagogy</p> <ul style="list-style-type: none"> • Develop supporting guidance accessed via the ‘TYC’ and national resources when available • Work in collaboration with ERW officers to develop PLO across the region • Provide bespoke support for schools and settings through training and advice • Share outcomes from Lead Enquiry project and QI schools | AB/AJ/SPa/SL Curriculum Team Secondary Subject Specialists | April 2020 – March 2021 | |

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| <ul style="list-style-type: none"> Respond to school and setting needs and LA strategy plans through partnership working | | | |
| <p>6. ERW will ensure that all schools and settings are supported to collaborate within and between settings to develop and share their thinking</p> <ul style="list-style-type: none"> Broker high quality school/setting to school/setting support to share best practice in pedagogy and assessment. Share models of proven effective practice which demonstrates positive impact through a range of platforms including Porth/Hwb. Share models of schools with emerging messages and reflections on lessons learned | <p>AJ/AB Curriculum Team Secondary Subject Specialists</p> | | |
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| Professional learning and research Strategy Group : Operational Plan | | | |
|---|--|------------------------------------|---------------|
| Plan Owner | Professional learning & research Strategy Group | | |
| Strategy Group Members: | Elin Forsyth, Lynette Lovell, Nia Thomas, Bev Phillips, Ray McGovern | | |
| ERW Supporting officer/s | Sally Llewelyn | | |
| Budget | £1,901,000 | | |
| Statements of Intent | | | |
| <p>ERW will ensure that all schools and settings are supported to:</p> <ol style="list-style-type: none"> engage with a national professional learning offer, appropriate to the individual's role, to enhance their skills, improve their teaching, knowledge and career progression collaborate with higher education institutions to make effective use of high-quality research to inform their practice and contribute to research where appropriate use the professional standards to identify areas for professional learning to improve practice and develop themselves as learning organisations engage with professional learning that promotes inclusivity and equity | | | |
| How will we achieve this? | Responsible Officer/s | Timescale | Budget |
| <ol style="list-style-type: none"> ERW will ensure that all schools and settings are supported to engage with a national professional learning offer, appropriate to the individual's role, to enhance their skills, improve their teaching, knowledge and career progression <ul style="list-style-type: none"> Deliver a national PL offer for senior leaders that covers: Managing change, vision, curriculum design, making time and space for PL, leading pedagogy Write and deliver a national PL offer for middle leaders and teachers that covers: Curriculum for Wales 2022, using the planning guidance materials, long and medium term planning, cross-curricular skills, disciplinary and interdisciplinary approaches, progression, links within and across AoLEs, pedagogic content knowledge, assessment Deliver a national PL offer for HLTAs and governors appropriate to their role | SAL/AB/TF/S Perdue | <p>July 2020</p> <p>March 2021</p> | |

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| <p>2. ERW will ensure that all schools and settings are supported to collaborate with higher education institutions to make effective use of high-quality research to inform their practice and contribute to research where appropriate</p> <ul style="list-style-type: none"> • Work with Lead Enquiry Schools on the National Professional Enquiry Project in collaboration with UWTSD. • Work with 11-18 schools across the region on the Post-16 Professional Enquiry Project. • Collaborate with ITE partnerships in Swansea, UWTSD and Aberystwyth to train lead ITE schools to support research in their schools and settings • Work with 8 Lead MAT Schools across the region conducting MAT enquiry research. <p>NB: All enquiry to be captured using national and regional pro forma and shared via Porth.</p> | SAL/SPerdue/DE/IA | July 2020 | |
| <p>3. ERW will ensure that all schools and settings are supported to use the professional standards to identify areas for professional learning to improve practice and develop themselves as learning organisations</p> <ul style="list-style-type: none"> • Track numbers, phases and categories of schools registered with the SLO survey using WG data • Continue to promote professional standards and SLO model through PL offer and ERW engagement events/challenge adviser training | SAL | SLO data updated monthly | |
| <p>4. ERW will ensure that all schools and settings are supported to engage with professional learning that promotes inclusivity and equity</p> <ul style="list-style-type: none"> • In conjunction with WG, develop a Level 7 module for ALNCos • Collaborate with UWTSD to review qualifications for special school and specialist centres to review and re-validate the post graduate diploma - Teaching pupils with severe or profound and multiple learning difficulties at L6/ L7 | SPainter/SAL | | |

| Equity and Wellbeing Strategy Group – Operational Plan | | | |
|---|--|--|--------------------------------|
| Plan Owner: | Equity and Wellbeing Strategy Group | | |
| Team Members: | Gareth Morgans, Amanda Taylor, James White, Hayley Burrows, Sarah Groves, Berian Lewis | | |
| ERW Supporting Officer/s | Cressy Morgan / Dylan Williams | | |
| Budget | £737,000 | | |
| Statements of Intent | | | |
| <p>ERW will ensure that all schools and settings are supported to:</p> <ol style="list-style-type: none"> 1. design and deliver the health and well-being area of the curriculum 2. develop an understanding of the barriers to learning that many learners face 3. Identify and develop effective universal approaches which promote wellbeing 4. be informed of and contribute to the PDG and PDGLAC regional priorities 5. be informed and prepare for the Additional Learning Needs and Education Tribunal (Wales) Act | | | |
| How will we achieve this? | Responsible Officer/s | Timescale | Budget |
| <ol style="list-style-type: none"> 1. ERW will ensure that all schools and settings are supported to design and deliver the health and well-being area of the curriculum <ul style="list-style-type: none"> • Develop networks and supporting resources to offer a methodology for carrying out the initial needs analysis to identify health and wellbeing curriculum priorities <ul style="list-style-type: none"> ○ Collaborate with Cascade, Cardiff University and Welsh Network Healthy Schools Scheme (WNHSS) to develop resources which support all secondary schools to complete a needs analysis for Health and Well-being using School Health Research Network (SHRN) data | CM / Curriculum Team | April- July (develop resources) Sep – March (supporting new | Funding for supply cover costs |

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| <ul style="list-style-type: none"> ○ Collaborate with Health and Attainment of Pupils in a Primary Network (HAPPEN), Swansea University and WNHSS to develop resources which support all primary to complete a needs analysis for Health and Well-being using HAPPEN reports. ○ Collaborate with representatives from special schools and PRUs to develop a needs analysis tool that is fit for purpose. ● Collaborate with UWTSD and Cardiff Met to develop and deliver Professional learning opportunities for wellbeing and PE leads on the principles of physical literacy ● Develop and deliver professional learning opportunities for wellbeing leads on core skills that evidence from positive psychology shows strategies can be explicitly taught which promote : happiness, kindness, compassion, resilience and optimism. ● Share and develop best practice to implement and embed the RSE framework | | schools to use resources) | |
| <p>2. ERW will ensure that all schools and settings are supported to develop an understanding of the barriers to learning that many pupils face</p> <ul style="list-style-type: none"> ● Provide a programme of professional learning and school to school working focussed on developing a firm understanding of the barriers to learning that many pupils face including: <ul style="list-style-type: none"> ○ Attachment, Trauma and ACEs in context of Curriculum for Wales ○ Guidance on reasonable adjustments ○ Strategies which support learners to calm, focus and reflect ○ Use of VR to support those learners for whom changes and transitions are a significant barrier to engagement and learning | <p>CM/ DW</p> <p>SPa</p> <p>DW/JG</p> | <p>April – July (develop)</p> <p>Sep – March (deliver)</p> | |

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| <ul style="list-style-type: none"> • Coordinate action enquiry/pilot projects which have a focus on identifying and developing pedagogical approaches which support the learning of disadvantaged learners. • Commission bespoke specialist support for secondary schools to raise achievement and attainment of pupils eFSM. | DW | | |
| <p>3. ERW will ensure that all schools and settings are supported to identify and develop universal approaches which promote wellbeing</p> <ul style="list-style-type: none"> • Provide a programme of professional learning and school to school working focussed on developing outdoor learning as a pedagogical approach • Provide a programme of professional learning and school to school working focussed on developing the creative process as a pedagogical approach. • Further develop and promote ‘Relationships First’ resources and use of sociograms • Pilot and evaluate approaches which focus on developing kindness and compassion including EmpathyLab. • Pilot and evaluate approaches which develop active and responsive listening skills for staff and learners including: <ul style="list-style-type: none"> ○ Emotion Coaching ○ DEAL (Developing Emotional Awareness and Listening) ○ Motivational Interviewing | CM/DW and curriculum team | <p>April – July (develop)</p> <p>Sep- March (deliver)</p> | |
| <p>4. ERW will ensure that all schools and settings are supported to be informed of and contribute to the PDG and PDGLAC regional priorities</p> | DW | April - March | PDG LACPDG grant |

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| <ul style="list-style-type: none"> • Develop in partnership with local authority Looked After Children’s Education (LACE) coordinators guidance and training for Designated LAC leads. • Develop in partnership with LA PDG leads guidance for Challenge Advisers and Governors • Collaborate with external organisations to identify and promote approaches which raise oracy and literacy levels | | | |
| <p>5. ERW will, in partnership with local authorities, ensure that all schools and settings are supported to be informed of, and prepare for, the Additional Learning Needs and Education Tribunal (Wales) Act</p> <ul style="list-style-type: none"> • Collaborate with regional ALN Transformation Lead and LA Inclusion Leads to update School Improvement Officers and ERW central team on ALN reform • Collaborate with LA Inclusion services to provide updates and training for schools and settings on ALN reform and inclusive practice • Deliver ALNCo middle leaders training | <p>SPa</p> <p>SPu/SPa</p> | <p>April - March</p> | |

| Leadership Strategy Group : Operational Plan | | | |
|--|---|--|---------------|
| Plan Owner: | Leadership Strategy Group | | |
| Team Members: | Nick Williams, Hayley Smith, Clive Williams, Amanda Lawrence, Rhian Evans | | |
| ERW Supporting Officer/s | Tom Fanning, Sarah Perdue, Heulwen Lloyd | | |
| Budget | £941,000 | | |
| Statements of Intent | | | |
| <p>ERW will ensure that all schools and settings are supported to:</p> <ol style="list-style-type: none"> 1. access a high-quality, extensive portfolio of leadership development opportunities at every stage of the Professional Leadership Pathway. 2. utilise the Professional Standards in order to develop and lead effective learning organisations. 3. access development opportunities and accreditation for Higher Level Teaching Assistants. | | | |
| How will we achieve this? | Responsible Officer/s | Timescale | Budget |
| <p>1. ERW will ensure that all schools and settings are supported to access a high quality, extensive portfolio of leadership development opportunities at every stage of the Professional Leadership Pathway</p> <ul style="list-style-type: none"> • Collaborate effectively with all regions and the Leadership Academy (NAEL) to establish an accredited high quality PL offer for all leaders • Deliver an extensive portfolio of leadership development opportunities for the regional education community at every stage of the Professional Leadership Pathway. <ul style="list-style-type: none"> ○ Middle Leader Development Programme ○ Senior Leader Development Programme ○ NPQ Assessment Programme. ○ New and Acting Headteacher Programme. ○ Experienced Headteacher Development Programme. | | ML DPm02/20 - 10/20 SL DP from 10/20 AHTDP 02/20- 02/21 NPQH 02/21 NHTDP (1) 2018-20 NHTDP (2) 2019-21 EHTDP 02/20-07/21 | |

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| <ul style="list-style-type: none"> • Provide Middle leader training for all ALNCOs in the region who require the training • Work with colleagues across regions to develop bespoke module Middle leader training for; <ul style="list-style-type: none"> ○ special schools, PRUs and specialist settings • Work with and across LAs to identify and encourage the development of future leaders across the region. • Work with Cross Regional Leadership Group to develop and deliver National Leadership programmes. National programmes will be accredited by NAEL. | | | |
| <p>2. ERW will ensure that all schools and settings are supported to utilise the Professional Standards in order to develop and lead effective learning organisations</p> <ul style="list-style-type: none"> • Working with Regional Leadership Group identify personnel to engage with programmes and system leadership opportunities for experienced staff. Work to identify and encourage the development of future leaders across the region. • Promote the effective use of Professional Standards in all leadership training including the use of LSR Review as an endorsement criteria for all National Leadership Programmes. | TF | | |
| <p>3 ERW will ensure that all schools and settings are supported to access development opportunities and accreditation for Higher Level Teaching Assistants</p> <ul style="list-style-type: none"> • Working with the Cross Regional TA Group provide an extensive portfolio of development opportunities for Teaching Assistants across the region. • Deliver the new Aspiring HLTA Programme. • Develop and implement a new accreditation process for Higher Level Teaching Assistants ensuring rigour and equity with the previous model. | TF & HL | 02/20 - 11/20 11/20 | |

Digital Skills Strategy Group : Operational Plan

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| Plan Owner: | Digital Skills Strategy Group |
| Team Members: | Dylan Evans, Steven Richards-Downes, Kay Morris, Eurig Towns, Tim Richards, Helen Burgum |
| ERW Supporting Officer/s | Rob Walters |
| Budget | £229,000 |

Statements of Intent

ERW will ensure that all schools and settings are supported to:

1. develop leadership of Digital Learning
2. ensure Online Safety, across all stakeholders, is as robust as possible
3. develop digital competence as a cross-curricular skill, engaging with the Digital Competence Framework
4. setup and run Code Clubs to develop logical thinking and coding skills
5. share effective practice in the use of digital technology, both in the classroom and as a management and collaboration tool for staff

| How will we achieve this? | Responsible Officer/s | Timescale | Budget |
|--|-----------------------|-----------------|---|
| <p>1. ERW will ensure that all schools and settings are supported to develop leadership of Digital Learning</p> <ul style="list-style-type: none"> • Raise awareness of the Digital Professional Learning Journey material • Support schools in the engagement with the Digital Learning Self-Evaluation Tool | GM | 4/2020 - 3/2021 | Digital Competence Professional Offer grant |
| <p>2. ERW will ensure that all schools and settings are supported to ensure Online Safety, across all stakeholders, is as robust as possible</p> <ul style="list-style-type: none"> • Engage with South West Grid for Learning to provide relevant Online Safety support to settings | GM | 1/2021 | LiDW grant |

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| <ul style="list-style-type: none"> • Signpost schools to relevant Online Safety resources for all stakeholders, via Porth | | | |
| <p>3. ERW will ensure that all schools and settings are supported to develop digital competence as a cross-curricular skill, engaging with the Digital Competence Framework</p> <ul style="list-style-type: none"> • Facilitate a Digital Innovation Schools model to provided school to school support for digital learning • Collaborate with LAs to identify local need and suitable schools to provide this support, ensuring schools have the capacity to deliver this support | GM, Curriculum Team, Challenge Advisers | 4/2020 - 3/2021 | LiDW grant |
| <p>4. ERW will ensure that all schools and settings are supported to setup and run Code Clubs to develop logical thinking and coding skills</p> <ul style="list-style-type: none"> • To facilitate the 4th and final year of the Cracking the Code Welsh Government initiative, running a series of training days and providing relevant loan kit to settings | GM, SW, AP | 9/2020 - 3/2021 | Cracking the Code grant |
| <p>5. ERW will ensure that all schools and settings are supported to share effective practice in the use of digital technology, both in the classroom and as a management and collaboration tool for staff</p> <ul style="list-style-type: none"> • To facilitate a series of ERW DigiMeets providing settings with the opportunity to share effective practice with other schools • To facilitate a Regional Digital Learning Event providing settings with the opportunity to showcase effective practice in the use of digital technology with schools across the region | GM, Curriculum Team | 10/2020 - 11/2020 3/2021 | HwbMeets funding RDLE funding |

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| <ul style="list-style-type: none">• To share examples of practice worthy of sharing online, via Porth• Share examples of good practice from Lead Creative Schools | | | |
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| Welsh Strategy Group – Operational Plan | | | | |
|---|---|---|--------------------------------|------------------|
| Plan Owner: | | Welsh Strategy Group | | |
| Team Members: | | Mary Davies, Helen Morgan-Rees, Geoff Evans, Sian Davies, Mike Davies | | |
| ERW Supporting Officer/s | | Gwennan Schiavone, | | |
| Budget | | £686,000 | | |
| Statements of Intent | | | | |
| Statements of Intent | <p>ERW will ensure that all schools and settings are supported to:</p> <ol style="list-style-type: none"> 1. deliver current and future curriculum to support improvement in the Welsh language 2. develop as bilingual communities 3. plan effectively in order to contribute to the delivery of the ‘Cymraeg 2050: Welsh Language Strategy’ 4. develop the Welsh language proficiency of teachers and education assistants at different levels | | | |
| How will we achieve this? | | Responsible Officer/s | Timescale | Budget |
| <p>1. Deliver current and future curriculum to support improvement in the Welsh language: Facilitate regional meetings for county Welsh in Education officers to develop a coordinated approach to the teaching of Welsh in both Welsh and English medium settings. Develop cross county networks to share and develop resources and practice. Secondary specialist to support the region’s secondary schools Welsh departments by facilitating networking meetings, school to school support and departmental visits. Develop resources and facilitate courses across the region on the skill of translanguaging in line with the expectation of the new curriculum. Work in partnership with ‘Talk for Writing’ to coordinate a Welsh medium approach and bank of resources for Welsh medium settings. Facilitate courses across the region to train practitioners. Work in partnership with Dr. Mererid Hopwood to develop work around ‘Geiriau Diflanedig following the success of ‘The Lost Words’ to develop literacy in English. Unify and develop county drilling schemes and resources for Welsh medium schools to secure</p> | | <p>Lead for Welsh Welsh Secondary Specialists</p> | <p>April 2020 – March 2021</p> | <p>WEG Grant</p> |

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| <p>a regional approach. Develop educational resources to support the teaching and learning of Welsh in English medium settings in response to needs identified by teachers. Collect case studies of good practice in using ERW's resources to develop Welsh across the curriculum in English medium settings.</p> | | | |
| <p>2. Develop as bilingual communities: Facilitate the delivery of the Siarter Iaith across the region and plan the strategic use of the Siarter Iaith Grant. ERW's Siarter Iaith Coordinator to promote and support the delivery of the language charter in primary and secondary schools across the region. Continue to facilitate termly Siarter Iaith meetings with county Welsh in Education officers to share good practice and develop a regional approach to the development of the language charter. Facilitate a series a roadshow across the region to promote the new language charter framework. Facilitate termly 'Siarter Iaith Meets' to provide settings with the opportunity to share effective practice with other schools.</p> | Lead for Welsh | April 2020 – March 2021 | Language Charter Grant |
| <p>3. Plan effectively in order to contribute to the delivery of the 'Cymraeg 2050: Welsh Language Strategy' Facilitate regional meetings to discuss the development and implementation of the new Welsh in Education Strategic Plans. Facilitate networking opportunities for Welsh Language Centre practitioners to develop a coordinated approach to the teaching of latecomers</p> | Lead for Welsh | April 2020 – March 2021 | WEG grant |
| <p>4. Develop the Welsh language proficiency of teachers and education assistants at different levels Work with the sabbatical scheme providers in the region and collaborate on future provision. Further develop a mentoring programme for those who have completed the sabbatical scheme. Promote the use of the Learn Welsh online taster courses for leaders for practitioners to develop their Welsh language skills. Work with all counties to develop a cluster approach to bespoke Welsh language training based on the WG's language proficiency framework for all schools and education settings</p> | Lead for Welsh | April 2020 – March 2021 | WEG Grant |

ERW Effectiveness and Efficiency – Operational Plan

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|--------------------------|--|
| Plan Owner: | Yan James, ERW SLT |
| Team Members: | Anna Bolt, Sue Painter, Greg Morgan, Tom Fanning, Cressy Morgan, Sally Llewellyn, Gwennan Schiavone, Ian Altman, Helen Lewis, Ruth Lee, Natalie Chambers |
| ERW Supporting Officer/s | |

Statements of Intent

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| Statements of Intent | <p>ERW will ensure that all schools and settings are supported to:</p> <ol style="list-style-type: none"> 1. Review its performance management processes 2. Ensure that professional learning is appropriate and develops ERW staff’s knowledge and expertise 3. Establish a coherent and well-understood process of self-evaluation and improvement 4. Ensure a robust process of Business Planning monitoring underpinned by high quality first-hand evidence and high quality research 5. Ensure that the self-evaluation process informs high quality impact reporting 6. Ensure accountability is evidenced against the Business Plan success criteria. 7. Ensure a high quality professional learning offer is provided for school during the summer term. |
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| How will we achieve this? | Responsible Officer/s | Timescale | Budget |
|--|-----------------------|-------------------------|--------|
| <p>1. Review its performance management processes</p> <ul style="list-style-type: none"> • Performance management cycle will be linked closely with Business Planning priorities, as well as identify individuals’ professional learning needs. • The performance Management cycle will align with the Business Plan cycle – 1.4.20 – 31.3.21. • The PM cycle will include a cycle of 90 day 1:1 meetings. | GM/IA | April 2020 – March 2021 | |

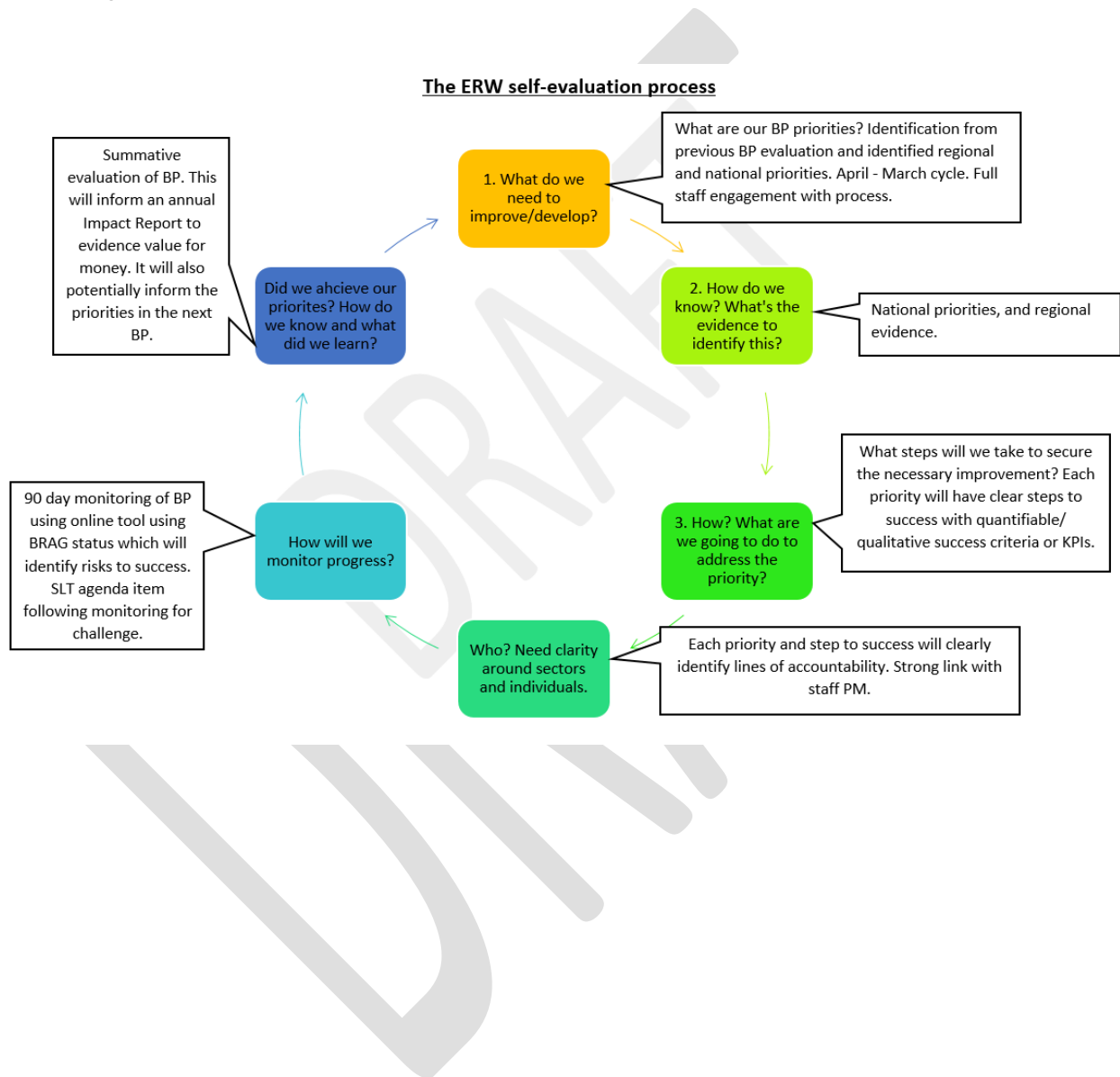
| | | | |
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| <p>2. Ensure that professional learning is appropriate and develops ERW staff's knowledge and expertise</p> <ul style="list-style-type: none"> • Every member of ERW central team staff will be allocated a mentor/coach and receive a termly coaching session to discuss professional learning. Coaches will be trained to facilitate discussions with staff. This will provide opportunities for regular reflection, with feedback to support improvement. Staff will be encouraged to provide regular feedback on their own professional learning opportunities through a blend of questionnaires and face to face interviews. • Allocation within the annual budget will be made to staff to develop their professional learning based on a clear and equitable rationale to meet the PL needs of all staff. • ERW's vision will be reviewed annually and include the voices of all stakeholders across the organisation. | GM/IA | April 2020 – March 2021 | |
| <p>3. Establish a coherent and well-understood process of self-evaluation and improvement A cycle of self-evaluation will align with the 90 Business Plan monitoring and PM. Business Planning will be clearly aligned with self-evaluation and national priorities.</p> | GM/IA | April 2020 – March 2021 | |
| <p>4. Ensure a robust process of Business Planning monitoring underpinned by high quality first-hand evidence and high quality research A robust 90 day cycle of Business Planning monitoring, with first-hand evidence will be introduced.</p> | GM/IA | April 2020 – March 2021 | |
| <p>5. Ensure that the self-evaluation process informs high quality impact reporting An annual impact report will be produced by the end of September each year. Case studies will evidence effective practice and value for money.</p> | IA/GM | April 2020 – March 2021 | |
| <p>6. Ensure accountability is evidenced against the Business Plan success criteria. Business Planning monitoring will be reported by exception to JC at each JC meeting and a final evaluation report produced by the end of July each year.</p> | IA/GM | April 2020 – March 2021 | |

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| <p>7. Ensure a high quality professional learning offer is provided for school during the summer term. Schools will be provided with a professional learning offer in 2020-21</p> | ERW Central Team | April 2020 – March 2021 | |
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DRAFT

Section 5: ERW Business Plan – monitoring, evaluation and review

The progress of the ERW Business Plan will be monitored and challenged robustly on a 90 cycle. The monitoring outcomes will be reported to all levels of the ERW governance structure.



Guidance

Timetable of reviews

Quarter 1 - end of June

Quarter 2 - end of September

Quarter 3 - end of December

Quarter 4 - end of March

RAG Status Codes

Red: r

Amber: a

Green: g

Blue: b

Clear: c

N.B. the Summary tab is locked to prevent accidental editing. All F automatically be pulled through from the relevant tabs on to the :

Evaluation Section to be completed quarterly if appropriate but w end of year Evaluation/Impact Report.

RAG ratings will
Summary sheet.

will feed into detailed

CYD-BWYLLGOR ERW TACHWEDD 13EG, 2020

AMRYWIAD DROS DRO O GYTUNDEB CYFREITHIOL ERW YN AMODOL AR GAEL CYMERADWYAETH GAN BOB UN O AWDURDODAU LLEOL ERW

Y PWRPAS: Hwyluso'r broses o roi gwasanaethau y cytunwyd arnynt i ysgolion Castell-Nedd Port Talbot yn ystod 2020/21.

YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

Y Cydbwyllgor i gytuno:

1. y newidiadau arfaethedig i'r Cytundeb ar y Cyd i alluogi ERW i ddarparu mynediad i ysgolion Castell-Nedd Port Talbot at wasanaethau y cytunwyd arnynt fel y nodir yn yr adroddiad amrywio, yn amodol ar sicrwydd na fydd unrhyw gostau'n disgyn ar ERW (ac eithrio costau cyfreithiol a ysgwyddir wrth ddiwygio'r Cytundeb Cyfreithiol).
2. I baratoi cytundeb cyfreithiol ar wahân rhwng ERW ac NPT

Y RHESYMAU:

- Hwyluso'r gwaith o ddyrannu cyllid Llywodraeth Cymru i ERW
- I gefnogi ysgolion Castell-Nedd Port Talbot.
- I sicrhau bod trefniadau llywodraethu digonol ar waith.

| | | |
|--|--|--|
| <p>Awdur yr Adroddiad: Phil Roberts Gareth Morgans</p> <p>ar ran y Cyfarwyddwyr Addysg/Prif Swyddogion Addysg</p> | <p>Swydd: Prif Weithredwr Arweiniol ERW Cyfarwyddwr Arweiniol ERW</p> | <p>phil.roberts@swansea.gov.uk</p> <p>EDGMorgans@cararthenshire.gov.uk</p> |
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EXECUTIVE SUMMARY ERW JOINT COMMITTEE NOVEMBER 13th, 2020

TEMPORARY VARIATION OF THE ERW LEGAL AGREEMENT SUBJECT TO APPROVAL BEING OBTAINED FROM EACH OF ERW'S LOCAL AUTHORITIES

In July the Joint Committee considered a report on the provision of agreed services to Neath Port Talbot schools during 2020/21 and a request to temporarily revise ERW's Legal Agreement to effect the changes. The Lead Director outlined to the Committee, the discussions undertaken with Welsh Government and Neath Port Talbot, on the provision and access to national programmes by ERW to that authority for 2020/21 following its decision to leave ERW.

Officers advised that should the Committee agree to providing those services, it would need to revise its legal agreement between its constituent authorities accordingly. The Committee was advised that if it were to agree to that revision in principle, it would then need to be referred to each of the authorities for their individual endorsement/approval.

It was confirmed that if ERW were to agree to providing those services, there would be an administration charge involved and that would be met via a reduction in funds to Neath Port Talbot and the costs would not fall upon ERW

The Chief Executive of Ceredigion County Council advised that whilst that authority would be responsible for amending the legal agreement, the costs incurred in connection therewith would be on a rechargeable basis. Estimated time incurred to date is 8 hours @ est.£60ph.

It was resolved that-

12.1 ERW provides agreed services and funding to Neath Port Talbot Schools during 2020/21, as detailed within the report, subject to the assurance of no costs falling on ERW (save for legal costs incurred in amending the Legal Agreement).

12.2 The ERW's core aims and objectives (as set out in the Legal Agreement) be temporarily extended to include the provision of services and funding to Neath Port Talbot schools during 2020/21

12.3 In consultation with the Executive Board, it be approved in principle that the ERW Legal Agreement be revised/varied temporarily to reflect the above changes, subject to approval being obtained from each of its local authorities.

(NOTE: THESE MINUTES ARE SUBJECT TO CONFIRMATION BY THE COMMITTEE AT THE NOVEMBER MEETING)

Current position

1. Attached is a 'Variation' to the Legal Agreement for consideration.
2. A separate direct agreement between ERW and NPT is considered necessary to:
 - document the award of funding and services to NPT;
 - oblige NPT to repay the grant if necessary;
 - to ensure NPT comply with the terms and conditions imposed by WG;
 - to indemnify ERW;
 - to agree to meet ERW's administration costs for providing services and distributing grant funding.

Joint Committee approval is sought for the preparation of a document between ERW and NPT. Estimated future legal work in relation to this issue is 20 hours @ est.£60ph. This additional legal work will carry an additional cost implication to ERW.

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

| | | | | |
|---|-------------------------|---------------------------|---|---|
| Policy, Crime & Disorder and Equalities NONE | Legal YES | Finance YES | Risk Management Issues NONE | Staffing Implications YES |
| <p>1. Legal</p> <p>Each partner will need to consider the Variation to the Legal Agreement and advise ERW if they are supportive of the proposals. A separate Agreement is required between ERW and NPT.</p> | | | | |
| <p>2. Finance</p> <p>Developing this 'Variation' was a requirement as part of the financial agreement with Welsh Government officers. The additional costs to be met by ERW's budget.</p> | | | | |
| <p>3. Staffing Implications</p> <p>It is understood that school staff from Neath Port Talbot schools would not be able to access national development and professional development programmes (as listed in the report) if this Variation was not implemented.</p> | | | | |

CONSULTATIONS

Each Local Authority's Executive Boards/Cabinets will need to consider and agree the Variation to the Legal Agreement

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 |
|-------------------|--------------|---|
| None | | |



Mae'r dudalen hon yn wag yn fwriadol

DATED

**DEED OF VARIATION OF AGREEMENT DATED 16 JULY 2014
TO CONSTITUTE A JOINT COMMITTEE TO DELIVER EDUCATIONAL IMPROVEMENTS IN SCHOOLS
IN CENTRAL AND SOUTH-WEST WALES**

between

- (1) CARMARTHENSHIRE COUNTY COUNCIL
AND
(2) CEREDIGION COUNTY COUNCIL
AND
(3) CITY AND COUNCIL OF SWANSEA
AND
(4) PEMBROKESHIRE COUNTY COUNCIL
AND
(5) POWYS COUNTY COUNCIL**

This deed is dated [DATE]

Parties

(1) CARMARTHENSHIRE COUNTY COUNCIL of County Hall, Castle Hill, Carmarthen SA31 1 JP ("Carmarthenshire")

(2) CYNGOR SIR CEREDIGION COUNTY COUNCIL of Neuadd Cyngor Ceredigion, Penmorfa, Aberaeron, Ceredigion, SA46 0PA ("Ceredigion")

(3) CITY AND COUNCIL OF SWANSEA of Civic Centre, Oystermouth Road, Swansea SA 1 3SN ("Swansea")

(4) PEMBROKESHIRE COUNTY COUNCIL of County Hall, Haverfordwest, Pembrokeshire SA61 1 TP ("Pembrokeshire")

(5) POWYS COUNTY COUNCIL of County Hall, Llandrindod Wells, Powys LD1 5LG ("Powys")

together referred to as the Parties or individually, the Party, howsoever the context requires.

BACKGROUND

- (A) The Parties together with NEATH PORT TALBOT COUNTY BOROUGH COUNCIL of Civic Centre, Port Talbot SA 13 1 PJ ("Neath Port Talbot") are party to an agreement to constitute a Joint Committee to deliver educational improvements in schools in central and south-west Wales dated 16 July 2014 (**Agreement**)[, a copy of which is attached as **Error! Bookmark not defined.Error! Reference source not found.** to this deed].
- (B) Neath Port Talbot, in accordance with clause 15.1 of the Agreement, gave notice in writing to the Parties to withdraw from the Agreement which took effect on 31 March 2020. The Joint Committee were asked by Welsh Government to consider including schools within the geographical area of Neath Port Talbot in some of the programmes managed regionally by Education through Regional Working ("ERW") in order that Neath Port Talbot schools would have access to key national initiatives. Consequently, the parties wish to amend the Agreement as set out in this deed with effect from [[DATE] **OR** the date of this deed] (**Variation Date**).

Agreed terms

Terms defined in the Agreement

In this deed, expressions defined in the Agreement and used in this deed have the meaning set out in the Agreement. The rules of interpretation set out in the Agreement apply to this deed.

1. Variation

1.1 With effect from the Variation Date the Parties agree the following amendments to the Agreement:

1.1.2 The Parties agree that the Consortium under the direction of the Joint Committee and the Executive Board can provide the following services to Neath Port Talbot for the period from 1 April 2020 to 31 March 2021: -

- Innovation & QI Schools Quality Improvement
- Engaging Non Pioneers
- Professional Learning- Pioneer Schools
- Initial Teacher Education Partnership Pilots
- Initial Teacher Education Part time & work based
- Non-pioneer Cluster funding
- Higher Education Institutions Accreditation Manager funding
- Higher Level Teaching Assistants
- National Professional Qualification for Headship programme
- Newly Qualified Teachers programme
- Emerging Leader Programmes e.g. Middle Leaders



1.1.3 The Parties agree for the Consortium to receive grant funding from the Welsh Government in respect of Neath Port Talbot's allocation of funding in relation to the Regional Consortia School Improvement Grant ("RCSIG") for the specific services listed above and Education Workforce Council for the Newly Qualified Teachers programme. Where appropriate, the Consortium will distribute the funding to Neath Port Talbot and the schools within their geographical area subject to a deduction in respect of administration charges associated with the provision of the services accessed and distribution of the grant funding.

The Parties agree that any funding distributed to Neath Port Talbot from the Consortium will be subject to Terms and Conditions as set out in the grant award letters from Welsh Government to ensure value for money and assess outcomes. Any monies unspent or incomplete work for the purpose of which it has been distributed would need to be repaid to the Consortium by Neath Port Talbot.

1.1.4 The Parties agree for the Consortium to invoice Neath Port Talbot in respect of the administration charges associated with the provision of the services and distribution of the grant funding.

1.1.5 The Parties wish to record that as Neath Port Talbot have withdrawn from the Agreement, reference to Authority or Authorities and Consortium within the Agreement shall not include a reference to Neath Port Talbot save that Neath Port Talbot shall remain liable for the obligations, costs and indemnities referred to in the Agreement and accrued at the date of Neath Port Talbot's withdrawal from the Agreement.

1.2 Except as set out herein, the Agreement shall continue in full force and effect.

2. Governing law

This deed and any dispute or claim (including non-contractual disputes or claims) arising out of or in connection with it or its subject matter or formation shall be governed by and construed in accordance with the law of England and Wales.

3. Jurisdiction

3.1 Each Party irrevocably agrees that the courts of England and Wales shall have exclusive jurisdiction to settle any dispute or claim (including non-contractual disputes or claims) arising out of or in connection with this deed or its subject matter or formation.

This document has been executed as a deed and is delivered and takes effect on the date stated at the beginning of it.



The COMMON SEAL of CYNGOR SIR)
CEREDIGION COUNTY COUNCIL)
was hereunto affixed in the presence of:
Corporate Lead Officer
Legal & Governance Services

Executed as a Deed by affixing)
the COMMON SEAL of)
CARMARTHENSHIRE COUNTY COUNCIL)
In the presence of

Executed as a Deed by affixing)
the COMMON SEAL of)
PEMBROKESHIRE COUNTY COUNCIL)
In the presence of

Executed as a Deed by affixing)
the COMMON SEAL of)
POWYS COUNTY COUNCIL)
In the presence of

Executed as a Deed by affixing)
the COMMON SEAL of)
CITY AND COUNCIL OF SWANSEA)
In the presence of



CYDBWYLLGOR ERW TACHWEDD 13eg, 2020

CYTUNDEB AR Y CYD ERW

Y PWRPAS: Gwneud newidiadau i'r Cytundeb Cyfreithiol ar y Cyd yn unol â Chymal 25

YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

1. Mae'r Cydbwyllgor (ar ôl ymgynghori â'r Bwrdd Gweithredol), yn argymhell i bob awdurdod, yn unol â chymal amrywio (cymal 25) o Gytundeb cyfreithiol ar y cyd ERW (2014) ("cytundeb cyfreithiol), y dylid gwneud newidiadau i'r cytundeb cyfreithiol ar y cyd, er mwyn:
 - i. hwyluso diddymu/terfynu Consortiwm ERW,
 - ii. mynd i'r afael ag unrhyw rwymedigaethau/indemniadau dilynol o'r holl Awdurdodau presennol (a blaenorol).
 - iii. hwyluso llai o rybudd o'r cyfnod tynnu allan i 4 mis.
2. Rhoddir hysbysiad ysgrifenedig i bob awdurdod o argymhelliad 1 (uchod).

Y RHESYMAU:

1. Galluogi Awdurdodau nad ydynt eto wedi rhoi rhybudd i dynnu'n ôl i wneud hynny erbyn 1/12/20, sy'n effeithiol o 31/3/21.
2. Nid yw'r Cytundeb Cyfreithiol yn cynnig eglurder ynghylch sut y gellir diddymu'r consortiwm.
3. Hwyluso diddymu/terfynu Consortiwm ERW, ac,
4. Darparu eglurder mewn perthynas ag unrhyw rwymedigaethau/indemniadau dilynol o'r holl Awdurdodau presennol (a blaenorol).

| | | |
|---|---|---|
| <p>Awdur yr Adroddiad: Phil Roberts Gareth Morgans ar ran y Cyfarwyddwyr Addysg/Prif Swyddogion Addysg</p> | <p>Swydd: Prif Weithredwr Arweiniol Cyfarwyddwr Arweiniol</p> | <p>phil.roberts@swansea.gov.uk EDGMorgans@carmarthenshire.gov.uk</p> |
|---|---|---|



EXECUTIVE SUMMARY ERW JOINT COMMITTEE 13TH NOVEMBER 2020

ERW JOINT AGREEMENT

In the Joint Committee meeting held on the 21st of July a document in regard to the future of ERW was tabled. The decision of the Joint Committee (*from Draft Minutes*) was as follows-

Minutes:

The Joint Committee received the above report outlining a range of options and proposals in pursuit of an agreed future footprint for ERW. It was reported that given the depth and detail of this issue the work would be progressed via a series of specific 'footprint meetings' within a schedule of 'milestones' to ensure successful completion... The Committee was advised that the Chair had requested the Lead Chief Executive and Lead Director to develop a project timeline for the work and that the Directors would be meeting over the summer to progress the work.

Work has progressed. However there are issues in relation to the dissolution of ERW and liabilities which need to be addressed. As it stands, there is no reference in the Legal Agreement in how the consortium can be dissolved/terminated, save for:

2. TERM

2.1 This Agreement shall come into effect on the Commencement Date and shall continue in force until terminated by the Authorities in accordance with this Agreement."

Neath Port Talbot withdrew from the Consortium on 31/3/20. Carmarthenshire, Ceredigion and Swansea have all issued withdrawal notices of intention to withdraw, effective from 31st March 2021. Powys and Pembrokeshire CC's have not given notice to withdraw.

As the current Legal Agreement stands, this could result in ERW only having two members i.e. Pembrokeshire and Powys as from April 1st, 2021.

The Joint Legal Agreement states-

15 WITHDRAWAL AND INDEMNITY FOR CONSEQUENCES OF WITHDRAWAL

15.1 Any Authority may withdraw from this Agreement by giving notice in writing to each of the other Authorities to expire 12 months from the end of the Financial Year in which the notice is given

15.2 Each Authority agrees that, in the event that it gives notice of withdrawal to the other Authorities, and that proposed withdrawal is voluntary and not arising out of an action of or decision by Welsh Government, it will indemnify the other Authorities against any Loss to the other Authorities arising directly out of the consequences of its withdrawal from this Agreement



15.3 Where any Authority withdraws from this Agreement the Executive Board shall continue to subsist provided at least two Authorities remain as members and, if only one Authority remains, the Agreement shall continue in force in respect of:

15.3.1 any financial liability which has arisen, or which may arise out of the performance of the Agreement

15.3.2 the cost of any redundancies consequent upon withdrawal

15.3.3 any liability of each Authority to indemnify the other Authorities under this Clause: and

15.3.4 any matter referable to the Dispute Resolution procedure under Clause 14 above arising out of the performance of or withdrawal by any Authority under this Agreement

15.4 If this Agreement continues, notwithstanding the withdrawal of one or more Authorities from the Consortium, the Authorities so withdrawing shall remain liable for their Contribution calculated to the date upon which its notice expires provided that the withdrawing Authority or Authorities shall also remain liable for the costs of any redundancy directly attributable to the withdrawal of that Authority as follows:

| A redundancy in respect of which notice has been given within: | % of cost |
|---|------------------|
| 1st year after withdrawal | 100 |
| 2nd year after withdrawal | 100 |
| 3rd year after withdrawal | 80 |
| 4th year after withdrawal | 60 |
| 5th year after withdrawal | 40 |
| Thereafter | nil |

15.5 Subject to the liability of a withdrawing Authority under Clause 15.4, the remaining Authorities shall be liable for the costs of any redundancy according to the Contribution of each after deducting the Contribution of the withdrawing Authority.”

As neither Pembrokeshire nor Powys have issued notice to withdraw, under the current Legal Agreement they will remain members of ERW and the Consortium will continue to exist until either or both issue withdrawal notices.

If only one Authority remains the Legal Agreement will continue in force in respect of any financial liability, cost of any redundancies etc. as set out in clause 15.3.

The earliest possible date for Pembrokeshire and Powys to withdraw from ERW is March 31st, 2022. In the event that Powys and Pembrokeshire CC’s now wish to give notice of withdrawal, effective from 31/3/21, a change can be made to the withdrawal clause in order to shorten the notice period required.

In addition, the issue of liabilities/indemnities needs to be clarified, in relation to the authority which has withdrawn (NPT) and the future liability/indemnities of the withdrawing Authorities (Carmarthenshire, Ceredigion and Swansea) and also the liabilities/ indemnities of Powys and Pembrokeshire should they serve notices of withdrawal.

"Loss" means any loss or liability arising out of this Agreement in contract, tort or otherwise directly suffered by an Authority together with any damage, expense, liability or costs reasonably incurred in contesting or quantifying such loss or liability.”



10.2 If the Lead Authority for Finance is in receipt of Funding on behalf of all the Authorities, and subsequently disburses some or all of it to the other Authorities, the other Authorities shall each, in the event that the Funding subsequently becomes repayable because of breach of the conditions of the Funding, **or because the Agreement is terminated**, or for any other reason, forthwith repay to the Lead Authority for Finance the Funding advanced to them and now repayable; and each agrees to indemnify and keep indemnified the Lead Authority for Finance against all Loss in respect of the same.

“Clause 25: Variation

Executive Board in consultation with the Joint Committee may, at any time recommend changes to this Agreement by giving notice in writing to each Authority.

Each authority shall, on receipt of a notice, use all reasonable endeavours to consider, within 6 weeks of such receipt, whether to accept the recommendation.

If all the Authorities agree to the recommended changes a memorandum of variation shall be prepared by the Executive Board for execution on behalf of each authority and appended to the legal agreement.

The Executive Board in consultation with the Joint Committee recommends, in accordance with clause 25, that changes are made to the Legal Agreement as set out above, and that written notice is given to each Authority accordingly.

It is noted that:

1. Legal opinion from respective Heads of Legal of respective Authorities will need to be sought following receipt of written notices recommending variation of the Legal Agreement.
2. Ceredigion CC legal costs in executing the above changes will be charged to ERW.
3. Legal advice will be required in establishing any new Consortium to which withdrawing authorities may wish to be affiliated.

| | |
|----------------------------------|----|
| DETAILED REPORT ATTACHED? | NO |
|----------------------------------|----|



IMPLICATIONS

| | | | | |
|---|------------|------------|---------------------------|-----------------------|
| Policy, Crime & Disorder and Equalities | Legal | Finance | Risk Management Issues | Staffing Implications |
| NONE | YES | YES | YES | YES |
| <p>Legal There are legal issues to be resolved in how the current Consortium can be dissolved, and also to allow (some remaining and former) partners to develop alternative working arrangements to address school improvement challenges and deliver educational improvements in our schools. The current Legal Agreement needs to be reviewed to incorporate how this can be achieved by March 31st, 2021.</p> | | | | |
| <p>Finance Funding has been secured to provide an additional resource to manage the change process and associated HR processes and any additional legal advice required.</p> | | | | |
| <p>Risk The lack of clarity in regard to the dissolution of ERW and the liabilities poses a risk.</p> | | | | |
| <p>Staff There are risks to the current staffing complement which need to be considered.</p> | | | | |

CONSULTATIONS

| |
|--|
| <p>Relevant stakeholders will be consulted on the preferred partnership approaches/solutions on the dissolution of ERW. These will include-</p> <ul style="list-style-type: none"> • Staff Side Representatives and other Organisations • ERW Scrutiny Committee • Headteacher Board • Each LAs Headteachers • Welsh Government |
|--|

| Section 100D Local Government Act, 1972 – Access to Information | | |
|--|--------------|---|
| List of Background Papers used in the preparation of this report: | | |
| Title of Document | File Ref No. | Locations that the papers are available for public inspection |
| Legal Agreement signed 16th July 2014 | 1 | Available in each LA |



Mae'r dudalen hon yn wag yn fwriadol



CYDBWYLLGOR ERW TACHWEDD 13EG, 2020

Y PWNC: Y Wybodaeth ddiweddaraf ar ddatblygu'r Consortiwm

Y Pwrpas: Rhoi'r wybodaeth ddiweddaraf i'r Cydbwyllgor ynghylch sut y mae'r camau y cytunwyd arnynt yng nghyfarfod 21ain o Orffennaf yn cael eu datblygu.

YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

1. Ystyried a chytuno ar y camau gweithredu arfaethedig:

MATER 1: Diddymu ERW

Amlinellir y camau gweithredu gofynnol mewn papur ar wahân o'r enw 'Gwneud newidiadau i'r Cytundeb Cyfreithiol ar y Cyd yn unol â Chymal 25'.

MATER 2: Cymorth Ychwanegol

1. Er mwyn sicrhau capasiti Adnoddau Dynol ychwanegol i gefnogi'r broses newid, cynghorir bod angen swyddog llawn amser ychwanegol, ar lefel uwch. Dywedwyd wrthym fod swyddog profiadol o sir Benfro ar gael ac y gellid delio 'a'r costau cysylltiedig o fewn y gyllideb bresennol oherwydd swyddi gwag. (Cafwyd cytundeb gan bob Arweinydd ar 7 Hydref 2020 mewn perthynas â'r cynnig hwn- mae angen cadarnhau hyn yng nghyfarfod y Cydbwyllgor). Efallai y bydd angen cyngor cyfreithiol cyflogaeth allanol hefyd.
2. Yr Uwch Swyddog Adnoddau Dynol i sefydlu Gweithgor gyda chynrychiolwyr Adnoddau Dynol o bob Cyngor Sir i gyflawni'r newidiadau y cytunwyd arnynt.
3. Yr Uwch Swyddog Adnoddau Dynol i roi cyngor ar gynnwys contractau presennol y gweithwyr mewn perthynas â dileu swyddi a chyfrifo'r gost diswyddo posibl er mwyn i'r Cydbwyllgor allu gwneud penderfyniadau gwybodus. (Adroddiad Drafft a gynhwysir yn Atodiad 1)
4. Yng ngoleuni cymhlethdod yr holl brosesau Adnoddau Dynol ac Ariannol sy'n gysylltiedig â symud i fodel newydd, ac effaith COVID ar allu swyddogion allweddol i ddatblygu'r gwaith, cynigir bod dyddiad gweithredu Medi 1af 2021 yn llawer mwy cyraeddadwy nag Ebrill 1af 2021. Byddai hyn yn ei gwneud yn ofynnol i bob partner sydd wedi cyhoeddi hysbysiad o dynnu'n ôl gytuno i ohirio'r cam gweithredu hwn tan ddiwedd mis Awst 2021. Efallai na fydd y cytundeb hwn ar gael.
5. Gall ERW fodoli y tu hwnt i 31/3/20 gyda dim ond dau Awdurdod, ond gellir lleihau'r cyfnod rhybudd i dynnu'n ôl i 4 mis neu lai (sy'n dod i ben ar 31/3/21) os yw pob awdurdod yn cydsynio i ddiwygiadau priodol i'r Cytundeb Cyfreithiol.
6. Trefnu cynghorwyr cyfreithiol allanol mewn perthynas ag unrhyw drefniadau partneriaeth/consortia newydd rhwng partneriaid sy'n weddill a chyn- bartneriaid.



MATER 3: Rôl y Cydbwyllgor wrth symud ymlaen

1. Bydd angen i bartneriaid sy'n bwriadu cydweithio mewn partneriaeth/trefniant newydd ddatblygu a chytuno ar strwythur partneriaeth/trefniadau newydd a'r swyddi sydd eu hangen i gyflawni'r swyddogaethau. Bydd angen i'r holl bartneriaid presennol weithio yn unol â'r un amserlen a chysoni cynlluniau i leihau rhwymedigaethau a diswyddiadau.
2. Bydd angen i gonsortiw/partneriaeth newydd sicrhau cyngor priodol e.e. cyfreithiol
3. Bydd angen i gydbwyllgor cysgodol reoli consortiw/partneriaeth newydd tan adeg pan fydd y corff newydd ar waith.
4. Bydd angen penodi swyddogion statudol i unrhyw gonsortiw/partneriaeth Newydd

2) Cadarnhau penderfyniad a wnaed y tu allan i strwythur cyfarfod ffurfiol- Secondiad Ceri Davies i ERW i ddarparu capasiti ychwanegol i ymdrin â chau ERW a sefydlu trefniadau partneriaeth newydd. (Cytunwyd drwy ymateb e-bost i gais y Cadeirydd a anfonwyd ar Hydref 7fed, 2020).

Y RHESYMAU: Sicrhau bod cynnydd pellach yn cael ei wneud o ran darparu gweithgareddau gwella ysgolion yn y rhanbarth yn y dyfodol.

| | | |
|--|--|--|
| Awdur yr Adroddiad: Phil Roberts Gareth Morgans ar ran y Cyfarwyddwyr Addysg/Prif Swyddogion Addysg | Swydd: Prif Weithredwr Arweiniol ERW Cyfarwyddwr Arweiniol ERW | phil.roberts@swansea.gov.uk EDGMorgans@carmarthenshire.gov.uk |
|--|--|--|



EXECUTIVE SUMMARY ERW JOINT COMMITTEE November 13th, 2020

Consortium Development Update

In the Joint Committee meeting held on the 21st of July a document in regard to the future of ERW was tabled. The decision of the Joint Committee (*from Draft Minutes*) was as follows-

Minutes:

The Joint Committee received the above report outlining a range of options and proposals in pursuit of an agreed future footprint for ERW. It was reported that given the depth and detail of this issue the work would be progressed via a series of specific 'footprint meetings' within a schedule of 'milestones' to ensure successful completion.

It was reported that Pembrokeshire County Council had now indicated a preference for the Swansea City Deal Footprint and working in the main with Carmarthenshire, Swansea and Neath Port Talbot.

The Committee was advised that the Chair had requested the Lead Chief Executive and Lead Director to develop a project timeline for the work and that the Directors would be meeting over the summer to progress the work.

Update

Due to COVID-19 it has been a challenge to progress this work nonetheless, draft values, principles and functions of possible new consortia arrangements have been developed for consideration of the partners.

It is clear that moving from the current arrangements to new partnership arrangements will be a complex process and will require dedicated resources at a time when key officers are supporting schools and services in response to COVID-19. In light of the work entailed a delay to the implementation date should be considered.

There are a number of specific issues which need to be resolved and agreed at this meeting to enable the Lead Chief Executive and Lead Director in partnership with all Directors, to progress the work.

These are explained in the attached paper.

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

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

Legal

There are legal issues to be resolved:

- 1) To clarify how the current Consortium can be dissolved. The current Legal Agreement needs to be reviewed to incorporate the necessary provisions, and how this can be achieved by March 31st, 2021.

This will require Legal input between respective Heads of Legal. This is addressed in a separate paper.

- 2) to allow (some remaining and former) partners to develop alternative working arrangements to address school improvement challenges and deliver educational improvements in our schools. This will require additional external legal input. This is addressed in a separate paper.

Finance

Funding has been secured to provide an additional resource to manage the change process and associated HR procedures. Funding has been identified to secure any additional legal advice required.

Risk

The lack of clarity in regard to the dissolution of ERW and the liabilities poses a risk.

Staff

There are risks to the current staffing complement which need to be considered.

CONSULTATIONS

Relevant stakeholders will be consulted on the preferred partnership approaches/solutions on the dissolution of ERW.

These will include-

- Staff Side Representatives and other Organisations
- ERW Scrutiny Committee
- Headteacher Board
- Each LAs Headteachers
- Welsh Government

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 |
|--|--------------|---|
| Legal Agreement signed 16th July, 2014 | 1 | Available in each LA |



Report to Joint Committee November 13th, 2020

ISSUE 1: Dissolution of ERW

The Legal Agreement between the current partners, signed on the 16th July 2014 set up the consortium to 'deliver educational improvements in schools in central and south-west Wales'. The Joint Agreement does not include clauses in regard to the dissolution of ERW however here are references to withdrawal and liabilities. (*Joint Agreement 15.1- 15.5*)

To date, Neath Port Talbot County Borough Council has withdrawn from ERW but still has certain liabilities in relation to finance/redundancies. In addition, Carmarthenshire, Ceredigion and Swansea have given notice in writing to each of the other Authorities that they intend withdrawing from ERW at the end of the 2020/21 financial year i.e. March 31st, 2021.

This could result in ERW only having two members i.e. Pembrokeshire and Powys as from April 1st, 2021.

The Joint Agreement states-

15.3 Where any Authority withdraws from this Agreement the Executive Board shall continue to subsist provided at least two Authorities remain as members...

It seems therefore as neither Pembrokeshire nor Powys have issued notice to withdraw, under the current Joint Agreement they will remain members of ERW and the consortium will continue to exist until either or both issue withdrawal notices. The earliest possible date for Pembrokeshire and Powys to withdraw from ERW is March 31st, 2022.

(15.1 Any Authority may withdraw from this Agreement by giving notice in writing to each of the other Authorities to expire 12 months from the end of the Financial Year in which the notice is given).

We would need Legal advice on how the Joint Committee could move to dissolve ERW at the end of the 2020/21 financial year as planned (*or alternative agreed date*). It is noted that as Ceredigion are due to leave ERW on 31/3/21, that as Ceredigion hold the ERW Legal and Monitoring Officer functions, that this resource will also end on 31/3/21.

ACTIONS- The actions required are outlined in a separate paper entitled 'To make changes to the Joint Legal Agreement in accordance with Clause 25'.

ISSUE 2: Additional Support

The dissolution of the consortium will involve numerous processes-

- **Human Resources processes-** consultation, confirm in post, redeployment, redundancy.
- **Financial processes-** working with Welsh Government on agreeing budgets for new partnerships.
- **Legal processes**
- **Logistical issues**



Although the proposed functions of possible new partnerships/arrangements are similar to the current consortium it is unclear, as yet the quantum of staff required to deliver those functions and the associated costs. In addition, there will be a greater focus on school to school support and developing a self-sufficient school improvement system. However, current staff will have certain rights to posts within new partnerships/arrangements should there be any and will need to be supported.

In light of the complexity of employment law and the transitioning to new arrangements it is clear that a high level of HR support will be required to ensure that the Joint Committee is compliant. In addition, in light of the recent experience of Neath Port Talbot's withdrawal from ERW, resolution in regard to budget allocations have been complex and have taken considerable time. There will also be substantial legal and logistical issues to deal with as well e.g. office accommodation issues, contracts.

ACTIONS

| | |
|---|---|
| 1 | To secure additional HR capacity to support the change process, it is advised that an additional full time officer, at a senior level, is required. We were notified that an experienced officer from Pembrokeshire was available and that the associated costs could be managed from within current budget due to vacancies. (<i>Agreement from each Leader received on the 7th of October 2020 in regard to this proposal- this needs to be confirmed at the Joint Committee meeting</i>). External employment legal advice may also be required. |
| 2 | The Senior HR Officer to set up a Working Party with HR representatives from each County Council to deliver the agreed changes. |
| 3 | The Senior HR Officer to provide advice on the contents of the current employees' contracts in respect to redundancy and calculate the potential cost in order that the Joint Committee can make informed decisions. (<i>Draft Actions/Timeline included in Appendix 1</i>) |
| 4 | In light of the complexity of all the HR and Financial processes involved in moving to a new model, and the impact of COVID on the capacity of key officers to progress the work, it is proposed that a September 1st 2021, implementation date is far more achievable than April 1st 2021. This would require all partners who have issued notice of withdrawal to agree to defer this action until the end of August 2021. This agreement may not be forthcoming. |
| 5 | ERW can subsist beyond 31/3/20 with only two Authorities however the notice period to withdraw can be reduced to 4 months or less (expiring on 31/3/21) if all authorities consent to appropriate amendments to the Legal Agreement. |
| 6 | To instruct external legal advisors in relation to any new partnership/consortia arrangements between (some remaining and former) partners |

ISSUE 3: Role of Joint Committee going forward

The 6 Directors (including NPT) have met to develop proposals and discuss possible future partnerships/working arrangements however it is clear that there will be different solutions for different partners.



As noted in the Joint Committee's July meeting, Pembrokeshire indicated a preference for the Swansea City Deal Footprint and working in the main with Carmarthenshire, Swansea and Neath Port Talbot. However none of these Councils have committed to this arrangement. Ceredigion and Powys are considering their own solutions.

The current Joint Committee's remit, as clarified in the Joint Agreement, is in relation to the current consortium and its functions. The Joint Committee should therefore be focussing on how ERW as an entity is managed as a further three members withdraw.

It is clear that the current Service Level Agreements are between ERW and the constituent authorities, and any new partnership arrangements will need to be managed by the potential partners and legal, HR and financial advice sought to support the delivery of the new entity e.g. Ceredigion Legal Services deliver for ERW but will not have to responsibility for providing advice to a new consortia/partnership.

ACTIONS

| | |
|---|--|
| 1 | Partners who are proposing to work together in a new partnership/arrangement will need to develop and agree the structure of new partnership/arrangements and the posts required to deliver the functions. All current partners will need to work to the same timeline and align plans to minimise liabilities and redundancies. |
| 2 | A new consortium/partnership will need to secure appropriate advice e.g. legal |
| 3 | A new consortium/partnership will need to be managed by a Shadow Joint Committee until a time when the new body is in place. |
| 4 | Statutory officers will need to be appointed to any new consortium/partnership |



Appendix 1- Interim report on draft organisational change process

| | |
|--------------------------------|--|
| PURPOSE: | <ul style="list-style-type: none"> To provide members with an overview of the process and timescales involved in undertaking the change process required within the organisation. The intention is to produce a full and detailed Project Plan by 18th December 2020 in order to outline the key issues and challenges to be addressed in order to achieve the desired outcomes. |
| KEY DECISIONS REQUIRED: | <ul style="list-style-type: none"> That members note the detail in this report and agree to a further piece of work to be undertaken in order to produce a detailed Project Plan as outlined above. That members further agree to the report author initiating discussions with the relevant officers in order to address the three issues outlined in the NOTES section below. |
| REASONS: | <ul style="list-style-type: none"> In order to achieve the dissolution of ERW together with the setting up of a new organisation whilst complying with all statutory requirements under current employment law with dates and partners to be confirmed. |

The purpose of this report is to provide members with an overview of key dates and actions required in order to achieve the desired organisational change relating to the dissolution of ERW and the creation of a new organisation. The following detail gives an initial indication of the timelines and actions required in order to achieve the desired outcome:

| DATE | ACTION- to dissolve ERW |
|---------------------------|--|
| 13th Nov 2020 | <ul style="list-style-type: none"> Joint Committee approval in principle of agreed actions |
| 27th Nov | <ul style="list-style-type: none"> Initial Trade Union (“TU”) consultation and consideration of feedback (NOTE: Pembrokeshire County Council Change Management Protocol to be followed) |
| 18th Dec | <ul style="list-style-type: none"> Finalise Project Plan (NOTE: project management process to be utilised) |
| 2021 | |
| 31st Jan | <ul style="list-style-type: none"> Agreement of functions, structure and budget. |
| 31st Jan | <ul style="list-style-type: none"> TU consultation on structure and possible redundancy selection criteria. Consider feedback (up to 14th Feb –as 2 weeks required). |
| 15th Feb | <ul style="list-style-type: none"> Commence consultation with staff (and TU’s) - minimum statutory period of 30 days required. This will include any redundancy consultation if applicable. In parallel, invite voluntary redundancy expressions of interest - 2 week application required. (There is no requirement on the employer to agree to any expressions of interest unless they are within the interest of the business). |
| 15th March | <ul style="list-style-type: none"> Requirement to consider all feedback received (2 weeks required). |
| 5th April | <ul style="list-style-type: none"> Internal recruitment to structure including compulsory redundancy selection process if applicable. Options will be - Slot & Match/Ring fenced selection/ open recruitment. An Appeals Process for redundant staff will also be required (approx. 2 weeks). |
| Week comm 24th May | <ul style="list-style-type: none"> Statutory deadline for issuing redundancy notices. External recruitment to posts to be undertaken, if applicable. |
| 1st June | <ul style="list-style-type: none"> Work with LA’s on redeployment opportunities for redundant staff if applicable. Issue new employment paperwork to all staff for the new organisation. Deal with any outstanding staff/TU issues. Develop Induction Programme for new organisation. |
| 1st September | <ul style="list-style-type: none"> Induction of staff into new organisation and deal with residual issues. |



NOTES

In addition to the above timeline, Members are asked to note the following issues that have not yet been included in the above process, but will be included in the final Plan:

- Legal advice has not been factored into the process as yet. It is understood that Ceredigion will work with the report author in order to advise on the steps required to achieve the dissolution of ERW, in conjunction with respective Heads of Legal of constituent Authorities. This will not include employment law advice. Also that Swansea Legal department will advise on the process involved for setting up the new organisation.
- There is no reference in the above timeline to the recruitment of the Managing Director/Chief Officer, or the most senior officer in the new organisation. Given that the successful candidate for such a role may be a serving Headteacher or Deputy, in order to comply with notice requirements for Headteachers, it will be necessary for the successful candidate to resign from their current post as of 30th April 2021 in order to take up post in the new organisation with effect from 1st Sept 2021. With that in mind, recruitment will need to commence no later than the beginning of March.
- There will also be the requirement to develop the branding/marketing and communications relating to the new organisation prior to its inception which will require specialist advice and support.

| Legal YES | Finance YES | Risk Management Issues YES | Staffing Implications YES |
|--|----------------|-------------------------------|------------------------------|
| <p>Legal</p> <p>Given the sensitivity of the detail contained within the final Plan it is considered that confidentiality is maintained and that parts of the report will be considered as exempt information.</p> | | | |
| <p>Finance</p> <p>It is not yet known what the financial implications will be as a result of this change process. However, as outlined above, budget issues will need to be addressed at an early stage in the process.</p> | | | |
| <p>Risk Management</p> <p>It is imperative that the process is undertaken within the context of statutory regulations as laid down in current employment law.</p> | | | |
| <p>Staffing Implications</p> <p>It is not yet known what the exact staffing implications will be as a result of this organisational change. However, as stated above, it is essential that there is compliance with all legal requirements involved in such a change process.</p> | | | |



Mae'r dudalen hon yn wag yn fwriadol



CYD-BWYLLGOR ERW TACHWEDD 13EG 2020

DIWEDDARIAD ARIANNOL ERW 2020-21

Y Pwrpas: Rhoi'r wybodaeth ddiweddaraf i Gyd-bwyllgor ERW am sefyllfa ariannol ERW ar gyfer 2020-21.

YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

- Bod y Cyd-bwyllgor yn nodi sefyllfa ariannol ddiweddaraf ERW ar ddiwedd 30 Medi 2020.
- Bod y Cyd-bwyllgor yn cymeradwyo'r addasiadau i gyllideb y Tîm Canolog ar gyfer 2020-21 oherwydd y cynnydd yng nghostau'r CLG a'r gost o secondio'r Pennaeth Adnoddau Dynol/Arweinydd Adnoddau Dynol i ERW.
- Bod y Cyd-bwyllgor yn cymeradwyo'r broses o ddyrannu'r Grant Datblygu Disgyblion ar gyfer 2020-21.
- Bod y Cyd-bwyllgor yn cymeradwyo'r broses o ddyrannu Grant Gwella Ysgolion y Consortia Rhanbarthol a'r Grant Gwella Addysg ar gyfer 2020-21.

Y RHESYMAU:

Cydymffurfedd â Rheoliadau Ariannol

| | | |
|---|--|---|
| Awdur yr Adroddiad: Jon Haswell | Swydd: Swyddog Adran 151 ERW | Rhif Ffon E: bost: haswellj@pembrokeshire.gov.uk |
|---|--|---|

EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

13 NOVEMBER 2020

ERW FINANCIAL UPDATE 2020-21

BRIEF SUMMARY OF PURPOSE OF REPORT

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

- Central Team Budget
- Service Level Agreements
- Grant Allocations
- Regional Consortia School Improvement Grant (RCSIG)
- Business Plan Priorities
- Risks
- Reserves
- Recommendations

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

| Policy, Crime & Disorder and Equalities | Legal | Finance | Risk Management Issues | Staffing Implications |
|--|-------------|------------|------------------------|-----------------------|
| NONE | NONE | YES | YES | YES |
| 1. Finance The Financial Update will assist the Joint Committee in making decisions relating to 2020-21. | | | | |
| 2. Risk Management The key financial risks are the limited level of reserves and the increased core costs. | | | | |
| 3. Staffing Implications The financial implications of the increased costs of HR Lead. | | | | |

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

ERW Financial Update 2020-21

13 November 2020

ERW S151 Officer



1. Introduction

This report presents the Joint Committee with a financial update at 30 September 2020.

2. 2020-21 Central Team Budget

The 2020-21 Central Team budget was approved by the Joint Committee on 21 July 2020.

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

Service Level Agreements (SLA's)

The SLA budget for 2020-21 was £125,000 but no Local Authority has been forthcoming to provide these services at reduced cost or no cost to ERW. Therefore, the SLA's for 2020-21 will cost £139,000 and are 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 |
| Total Budgeted SLA's | £139,000 |

Local Authority Contributions

The agreed Local Authority Contributions for 2020-21 are as follows:

| Local Authority | 2020-21 Contribution £ |
|-----------------|------------------------|
| Powys | 81,934 |
| Ceredigion | 43,741 |
| Pembrokeshire | 79,898 |
| Carmarthenshire | 123,998 |
| Swansea | 150,785 |
| Total | 480,356 |

| Core Budgeted Expenditure | 2020-21 Approved Budget £000's | 2020-21 Projected Outturn at Sep 2020 £000's | Core Funded £000's | Grant Funded £'000s | Actual Income / Expenditure Sep 2020 £000's |
|---|---|--|--------------------------|---------------------------|---|
| Staffing Costs | | | | | |
| Salaries, Secondments, Specialists | 845 | 905 | 579 | 326 | 368 |
| Travel, Subsistence, Training and Development | 3 | 3 | 3 | - | - |
| IT Hardware & Mobiles | - | - | - | - | - |
| | 848 | 908 | 582 | 326 | 368 |
| Development and Running Costs | | | | | |
| Rent and Accommodation | 59 | 59 | 59 | - | 23 |
| General Office Expenses | 2 | 2 | 2 | - | 1 |
| Stationary, Telephone, Photocopying | 8 | 3 | 3 | - | 2 |
| Translation | 2 | 7 | 7 | - | 2 |
| Software, Marketing, R&E, | 33 | 33 | 33 | - | 1 |
| Service Level Agreements | 125 | 139 | 78 | 61 | 139 |
| External Audit | 14 | 14 | 14 | - | - |
| Contingency unallocated | - | - | - | - | - |
| | 243 | 257 | 196 | 61 | 168 |
| | | | | | |
| Total Estimated Expenditure | 1,091 | 1,165 | 778 | 387 | 536 |
| Core Budgeted Income | | | | | |
| Local Authority Contributions | 480 | 480 | 480 | - | - |
| Grant Funding | 313 | 387 | - | 387 | - |
| 2019-20 Funding Utilised | 298 | 298 | 298 | - | 298 |
| | | | | | |
| Total Estimated Income | 1,091 | 1,165 | 778 | 387 | 298 |
| Core Net Expenditure / (Income) | 0 | 0 | 0 | 0 | 0 |
| Appropriation to Reserve | 0 | 0 | 0 | 0 | 0 |

- All office costs charged to the Central Team are recharged to grants where appropriate.
- Grant flexibility of £500,000 has been provided by Welsh Government and will be used to fund £387,000 of the Central Team costs.
- The SLA's are shown at £139,000 as outlined above.
- The salaries, secondments and specialists includes the cost of the Head of Human Resources/HR Lead seconded to ERW as agreed via email ahead of the Joint Committee to ensure timeliness.
- The Joint Committee approved Local Authority contributions of £480,356 are based on PLASC 19 pupil numbers for the five Local Authorities.

3. 2020-21 Grant Allocations

| | Original Grant Income Estimate 2020-21 £000's |
|------------------------------------|--|
| RCSIG | |
| Curriculum and Assessment | 1,495 |
| Developing the Profession | 31,846 |
| Leadership | 453 |
| Supporting Self Improving System | 298 |
| RCSIG Total | 34,092 |
| PDG | |
| PDG | 20,135 |
| LAC PDG | 913 |
| PDG Coordinator | 78 |
| Consortia Led Funding | 157 |
| PDG Total | 21,283 |
| Others | |
| EWC | 418 |
| Other Total | 418 |
| Total Grant Income Expected | 55,793 |

3.1 PDG Grant Allocation 2020-21

The PDG grant invitation letter was received from Welsh Government on 29 July 2020 with the grant offer letter received on 26 August 2020. Please refer to Table 3 for the breakdown. The PDG will be distributed quarterly based on percentage allocations contained within the grant offer letter. The first payment of £4,784,289 was received on 28 August 2020. The second payment of £4,261,012 was received on 5 October 2020.

The PDG Grant has been allocated as follows:

| | Local Authority £'000's | ERW Retained £'000's | Total £'000's |
|-----------------------|--|---------------------------------|----------------------|
| PDG | 20,135 | - | 20,135 |
| PDG LAC | 822 | 91 | 913 |
| PDG Co-ordinator | - | 78 | 78 |
| Consortia Led Funding | - | 157 | 157 |
| Total | 20,957 | 326 | 21,283 |

3.2 Regional Consortia School Improvement Grant (RCSIG) 2020-21

The RCSIG will be distributed on a quarterly basis. The 2020-21 grant offer letter was received from Welsh Government on 29 July 2020 and will be presented to the Joint Committee on 13 November 2020 for formal review and acceptance. The first payment of £8,509,208 was received on 10 August 2020. The second payment of £8,207,641 was received on 5 October 2020.

3.2.1 Regional Consortia School Improvement Grant (RCSIG) – EIG Grant Allocation 2020-21

The RCSIG EIG Grant allocation was as follows:

| | Total Grant Funding £'000's | Match Funding £'000's | Total Funding £'000's |
|-----------------|--|----------------------------------|----------------------------------|
| ERW | 911 | - | 911 |
| Powys | 4,648 | 540 | 5,188 |
| Ceredigion | 2,584 | 290 | 2,874 |
| Pembrokeshire | 4,411 | 496 | 4,907 |
| Carmarthenshire | 7,110 | 669 | 7,779 |
| Swansea | 9,017 | 714 | 9,731 |
| Totals | 28,681 | 2,709 | 31,390 |

4. 2020-21 Grants

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

4.2 RCSIG

The RCSIG is allocated according to the National Ministerial Priorities. Grants received are allocated according to the ERW Business Plan 2020-21 priorities in line with the strategy groups created in 2019-20:

- Curriculum (4.3)
- Digital (4.4)
- Welsh (4.5)
- Leadership (4.6)
- Professional Learning (4.7)
- Equity & Wellbeing (4.8)

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.

This report and the financial information contained within it should be considered alongside the ERW Business Plan 2020-21.

4.3 Curriculum

| Budgeted Income | 2020-21 Projected Income £000's | Actual Income at Sept 2020 £000's | |
|---|---|---|---------------------|
| RCSIG School Improvement 2020-21 | 1,096 | 453 | |
| RCSIG 3% Savings | (191) | | |
| Total Estimated Income | 905 | | |
| School Improvement Budgeted Expenditure | 2020-21 Projected Expenditure £000's | Actual Expenditure September 2020 £000's | Committed £000's |
| Staffing Costs | | | |
| Salaries, Secondments, Specialists | 505 | 308 | 197 |
| Core Central Staff | 12 | 8 | 4 |
| Travel, Subsistence, Training and Development | 5 | - | 5 |
| IT Hardware & Mobiles | 1 | - | 1 |
| | 523 | 316 | 207 |
| Development and Running Costs | | | - |
| Accommodation & Venue Hire | - | - | - |
| Stationary, Telephone, Photocopying | - | - | - |
| Translation | 16 | 9 | 7 |
| Software, Marketing, R&E, | - | - | - |
| | 16 | 9 | 7 |
| Delegated to Schools | | | - |
| Passported on WG Instruction | - | - | - |
| Regional Support & Development Work | 366 | - | 366 |
| Delegated to Local Authorities | | | - |
| Total Estimated Expenditure | 905 | 325 | 580 |

4.4 Digital

| Budgeted Income | 2020-21 Projected Income £000's | Actual Income at September 2020 £000's | |
|---|---|---|---------------------|
| RCSIG School Improvement 2020-21 | 287 | 115 | |
| RCSIG 3% Savings | (58) | | |
| Total Estimated Income | 229 | | |
| School Improvement Budgeted Expenditure | 2020-21 Projected Expenditure £000's | Actual Expenditure September 2020 £000's | Committed £000's |
| Staffing Costs | | | |
| Salaries, Secondments, Specialists | 174 | 93 | 81 |
| Travel, Subsistence, Training and Development | 2 | - | 2 |
| IT Hardware & Mobiles | 1 | - | 1 |
| | 177 | 93 | 84 |
| Development and Running Costs | | | |
| Accommodation & Venue Hire | - | - | - |
| Stationary, Telephone, Photocopying | - | - | - |
| Translation | - | - | - |
| Software, Marketing, R&E, | - | - | - |
| | - | - | - |
| Regional Support & Development Work | 52 | - | 52 |
| Delegated to Schools | | | |
| Passported on WG Instruction | - | - | - |
| Delegated to Local Authorities | | | |
| | - | - | - |
| Unallocated Funds | | | |
| | - | - | - |
| Total Estimated Expenditure | 229 | 93 | 136 |

4.5 Welsh

| Budgeted Income | 2020-21 Projected Income £000's | Actual Income at September 2020 £000's | |
|---|---|---|---------------------|
| RCSIG School Improvement 2020-21 | 858 | 343 | |
| RCSIG 3% Savings | (172) | | |
| Total Estimated Income | 686 | | |
| School Improvement Budgeted Expenditure | 2020-21 Projected Expenditure £000's | Actual Expenditure September 2020 £000's | Committed £000's |
| Staffing Costs | | | |
| Salaries, Secondments, Specialists | 246 | 110 | 136 |
| Core Central Staff | 2 | 1 | 1 |
| Travel, Subsistence, Training and Development | 2 | 1 | 1 |
| IT Hardware & Mobiles | 1 | - | 1 |
| | 251 | 112 | 139 |
| Development and Running Costs | | | |
| Accommodation & Venue Hire | - | - | - |
| Stationary, Telephone, Photocopying | - | - | - |
| Translation | - | - | - |
| Software, Marketing, R&E, | - | - | - |
| | - | - | - |
| Regional Support & Development Work | 435 | - | 435 |
| Delegated to Schools | | | |
| Passported on WG Instruction | - | - | - |
| Delegated to Local Authorities | | | |
| | - | - | - |
| Total Estimated Expenditure | 686 | 112 | 574 |

4.6 Leadership

| Budgeted Income | 2020-21 Projected Income £000's | Actual Income at September 2020 £000's | |
|--|---|---|-----------------------------|
| RCSIG School Improvement 2020-21 | 654 | 327 | |
| RCSIG 3% Savings | (131) | | |
| EWC 2020-21 | 418 | 100 | |
| Total Estimated Income | 941 | 427 | |
| School Improvement Budgeted Expenditure | 2020-21 Projected Expenditure £000's | Actual Expenditure September 2020 £000's | Committed £000's |
| Staffing Costs | | | |
| Salaries, Secondments, Specialists | 193 | 120 | 73 |
| Core Central Staff | 5 | 2 | 3 |
| External Verifiers NQT | 68 | 28 | 40 |
| Travel, Subsistence, Training and Development | 3 | - | 3 |
| IT Hardware & Mobiles | 1 | - | 1 |
| | 270 | 150 | 120 |
| Development and Running Costs | | | |
| Accommodation & Venue Hire | - | - | - |
| Stationary, Telephone, Photocopying | - | - | - |
| Translation | 6 | 4 | 2 |
| Software, Marketing, R&E, | - | - | - |
| | 6 | 4 | 2 |
| Regional Support & Development Work | 665 | - | 665 |
| Delegated to Schools | | | |
| Passported on WG Instruction | - | - | - |
| Delegated to Local Authorities | | | |
| Total Estimated Expenditure | 941 | 154 | 787 |

4.7 Professional Learning

| Budgeted Income | 2020-21 Projected Income £000's | Actual Income at September 2020 £000's | |
|---|---|---|---------------------|
| RCSIG School Improvement 2020-21 | 2,360 | 951 | |
| RCSIG 3% Savings | (459) | | |
| Total Estimated Income | 1,901 | | |
| School Improvement Budgeted Expenditure | 2020-21 Projected Expenditure £000's | Actual Expenditure September 2020 £000's | Committed £000's |
| Staffing Costs | | | |
| Salaries, Secondments, Specialists | 639 | 248 | 391 |
| Core Central Staff | 3 | 1 | 2 |
| Travel, Subsistence, Training and Development | 3 | - | 3 |
| IT Hardware & Mobiles | 1 | - | 1 |
| | 646 | 249 | 397 |
| Development and Running Costs | | | |
| Accommodation & Venue Hire | - | - | - |
| Stationary, Telephone, Photocopying | - | - | - |
| Translation | 3 | 1 | 2 |
| Software, Marketing, R&E, | - | - | - |
| | 3 | 1 | 2 |
| Regional Support & Development Work | 322 | - | 322 |
| Delegated to Schools | 930 | 300 | 630 |
| Passported on WG Instruction | - | - | - |
| Delegated to Local Authorities | - | - | - |
| Total Estimated Expenditure | 1,901 | 550 | 1,351 |

4.8 Equity and Wellbeing

| Budgeted Income | 2020-21 Projected Income £000's | Actual Income at September 2020 £000's | |
|---|---|---|---------------------|
| RCSIG School Improvement 2020-21 (EIG) | 28,837 | 14,341 | |
| RCSIG 3% Savings | - | | |
| PDG 2020-21 | 21,283 | 9,471 | |
| Total Estimated Income | 50,120 | 23,812 | |
| School Improvement Budgeted Expenditure | 2020-21 Projected Expenditure £000's | Actual Expenditure September 2020 £000's | Committed £000's |
| Staffing Costs | | | |
| Salaries, Secondments, Specialists | 395 | 214 | 181 |
| Core Central Staff | 4 | 2 | 2 |
| Travel, Subsistence, Training and Development | 3 | 1 | 2 |
| IT Hardware & Mobiles | 1 | - | 1 |
| Grant Flexibility RCSIG 2020-21 | 500 | - | 500 |
| | 903 | 217 | 686 |
| Development and Running Costs | | | |
| Accommodation & Venue Hire | - | - | - |
| Stationary, Telephone, Photocopying | - | - | - |
| Translation | 5 | 2 | 3 |
| SLA's | 61 | 61 | - |
| Software, Marketing, R&E, | 20 | - | 20 |
| | 86 | 63 | 23 |
| Regional Support & Development Work | 248 | 47 | 201 |
| Delegated to Schools | - | - | - |
| Passported on WG Instruction | 47,905 | - | 47,905 |
| Delegated to Local Authorities | 978 | - | 978 |
| Total Estimated Expenditure | 50,120 | 327 | 49,793 |

5. Risks

This report, in a similar vein to previous Budget and Financial Update reports, highlights risks for ERW.

Three Local Authorities have given notice to leave ERW at the end of 2020-21, when it is planned that ERW will be disbanded and recreated at a sub-regional level. The financial implications of this will need to be clearly thought through and discussed with the S151 Officer and the Monitoring Officer to ensure no Local Authority suffers any financial detriment as a result of ERW being disbanded and recreated.

The ERW Reserves are diminishing as outlined below, with total reserves of only £45k at the end of 2019-20.

Continued reliance upon grant funding remains a risk.

6. Reserves

The table below shows the projected implications on ERW Reserves from 2019-20 to 2020-21.

The projected annual contribution to the cost of the Central Team for 2020-21 is nil.

| 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) | 106 |
| 2019-20 To Revenue | 30 | | (91) | (61) |
| Balance 31 March 2020 | 352 | 100 | (407) | 45 |
| 2020-21 To Revenue | - | - | - | - |
| Balance 31 March 2021 | 352 | 100 | (407) | 45 |

7. Recommendations

- The Joint Committee notes the updated ERW financial position at the end of 30 September 2020.
- The Joint Committee approves the amendments to the Central Team budget for 2020-21 due to the increase in SLA costs and the costs of the secondment of the Head of Human Resources/HR Lead to ERW.
- The Joint Committee approves the allocation of the PDG Grant for 2020-21.
- The Joint Committee approves the allocation of the RCSIG EIG Grant for 2020-21.

| Breakdown of Funding for the ERW Staffing Structure | | | | | | | |
|--|-------------|--------------|----------------|-----------------|----------------|-----------------|-------------------|
| | | | | | | | |
| CENTRAL TEAM | | | C&A | Dev Prof | Lead | Self Imp | Strong Inc |
| | Core | Grant | % Total | % total | % total | % total | % total |
| Chief Officer | | | | | | | |
| Chief Officer | 100% | 0% | | | | | |
| Chief Officer | 100% | 0% | | | | | |
| Areas of Specialism (Tier 2) | | | | | | | |
| Head of Secondary Sector - (vacant post) | 20% | 80% | | 40% | | 40% | |
| Head of Special Schools and Education in Alternative Settings (0.6 appointme | 20% | 80% | | 40% | | 40% | |
| Head Curriculum Reform and Innovation (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 | 0% | 100% | | 100% | | | |
| Lead for Digital Learning and Systems | 0% | 100% | | 100% | | | |
| Lead for Health and Wellbeing | 0% | 100% | | 100% | | | |
| STRATEGIC TEAM | | | | | | | |
| Secondary Curriculum Leads (Tier 3) | | | | | | | |
| Science Lead | 0% | 100% | | 100% | | | |
| Science Lead | 0% | 100% | | 100% | | | |
| Maths Lead | 0% | 100% | | 100% | | | |
| Maths Lead | 0% | 100% | | 100% | | | |
| English Lead (Vacant Post) | 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% | | | | |
| AoLEs Secondary / AoLEs Primary (Tier 3) | | | | | | | |
| 12 AoLEs | 0% | 100% | 100% | | | | |
| 12 AoLEs | 0% | 100% | 100% | | | | |
| 12 AoLEs | 0% | 100% | | 100% | | | |
| 12 AoLEs | 0% | 100% | | 100% | | | |
| 12 AoLEs | 0% | 100% | | 100% | | | |
| 12 AoLEs | 0% | 100% | | 100% | | | |
| 12 AoLEs | 0% | 100% | | 100% | | | |
| 12 AoLEs | 0% | 100% | | 100% | | | |
| 12 AoLEs (Vacant Post) | 0% | 100% | | 100% | | | |
| 12 AoLEs | 0% | 100% | | | | 100% | |
| 12 AoLEs | 0% | 100% | | | | 100% | |
| Service Area Coordinators | | | | | | | |
| Induction & Alternative Routes Coordinator (Including NQT) (Fixed term) | 0% | 100% | | 100% | | | |
| Starter Iaith Coordinator | 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% | | | |
| Office Organisation | | | | | | | |
| 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 (vacant post) | 90% | 10% | | | 10% | | |
| Business Support to Professional lead (vacant post) | 90% | 10% | | | | 10% | |
| HR Lead | 100% | 0% | | | | | |
| HR Manager | 90% | 10% | | 10% | | | |
| Policy, Information & Communications Officer (vacant post) | 90% | 10% | | 10% | | | |
| Principal Accountant & Deputy S151 Officer | 90% | 10% | | 10% | | | |
| Senior Accountant (vacant post) | 90% | 10% | 10% | | | | |
| Accounting Technician (vacant post) | 90% | 10% | | | 10% | | |

Mae'r dudalen hon yn wag yn fwriadol



CYD-BWYLLGOR ERW TACHWEDD 13EG 2020

ADRODDIAD ERW 2020-21 AR GYLLID A DYRANIADAU GRANTIAU

Y PWRPAS: Rhoi'r wybodaeth ddiweddaraf i Gydbwyllgor ERW am y grantiau a ddaeth i law ar gyfer 2020-21 a'r modd y'u dyrannwyd.

YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

- Bod Cydbwyllgor ERW yn derbyn y Grant Gwella Ysgolion Rhanbarthol (RCSIG) a ddyfarnwyd ar gyfer 2020-21
- Bod Cydbwyllgor ERW yn cymeradwyo Dyraniadau'r Grant Gwella Addysg yn ffurfiol ar gyfer 2020-21.
- Bod Cydbwyllgor ERW yn cymeradwyo Dyraniadau'r RRRS-ALP ar gyfer 2020-21.
- Bod Cydbwyllgor ERW yn cymeradwyo Dyraniadau Dosbarthu Siarter Cymru ar gyfer 2020-21.
- Bod Cydbwyllgor ERW yn cymeradwyo Dyraniadau'r Grant Dysgu Proffesiynol ar gyfer 2020-21.
- Bod Cydbwyllgor ERW yn derbyn y Grant Datblygu Disgyblion a ddyfarnwyd ar gyfer 2020-21.

Y RHESYMAU: Cydymffurfio â'r Fframwaith Llywodraethu

| | | |
|--|---|--|
| Awdur yr Adroddiad: Natalie Chambers | Swydd: Prif Gyfrifydd ERW | Rhif Ffon: 07407 852368 E: bost: natalie.chambers@erw.cymru |
|--|---|--|

EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

13 NOVEMBER 2020

ERW GRANT FUNDING AND ALLOCATION REPORT 2020-21

BRIEF SUMMARY OF PURPOSE OF REPORT

To provide the ERW Joint Committee with detail of the grants received and proposed allocations for 2020-21 for formal acceptance and approval:

- Regional Consortia School Improvement Grant (RCSIG);
- EIG Element of the RCSIG;
- Recruit, Recover, Raise Standards: Accelerating Learning Programme (RRRS-ALP) Element of RCSIG;
- Welsh Charter Element of RCSIG;
- Professional Learning Grant Element of RCSIG;
- Pupil Development Grant;

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

IMPLICATIONS

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

1. Finance

Formal acceptance by the Joint Committee of the grants awarded to ERW for 2020-21.
Approval of distribution and allocation of key grant elements for 2020-21.

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

ERW JOINT COMMITTEE

Report of: Natalie Chambers, Principal Accountant

Date: 13 November 2020

ERW Grant Allocations 2020-21

Regional Consortia School Improvement Grant 2020-21

ERW were awarded funding of £33,910,861 for the Regional Consortia School Improvement Grant (RCSIG) on 29 July 2020. The grant was accepted and signed by the Interim Managing Director and Section 151 Officer on 31 July 2020. Please see a copy of the Grant Offer Letter at Annex A.

EIG Element of the RCSIG

Allocation for the EIG element of the RCSIG was agreed via email by each Lead Executive to ensure that these could be communicated timely to schools.

A lot of work was undertaken last year to improve the allocation of the EIG. Directors suggest that we retain the improvements that were worked on last year due to the conversations around the future footprint and in wanting to get the allocations out to our schools.

1. **Minimum foundation phase at £800/£400.** In the same context as last year these would be minimum allocations, each LA is free to pay more for foundation phase with the remaining funding.
2. **Minimum funding for non-maintained settings deducted first.**
3. **For the ERW retained element, in 2019-20 we retained £970k. For 2020-21 we are suggesting £911k.**
 - £411k would be to fund salaries for some of the curriculum and leadership team respectively, as last year.
 - £500k accounts for the grant flexibility we have been awarded by WG to assist in financing the administrative functions and support school improvement as an organisation.
 - ERW have absorbed the 3% savings required by WG and protected the EIG and PDG elements of the grant, retaining this element of the EIG would be helpful based on the 3% savings required. The 3% saving equates to £1.06m.

4. The remaining distribution (i.e. the EIG - Specialist Advisory Element – ERW retained element = remaining portion) was split last year on 20% teachers and 80% pupil basis.
5. Admin allowance at ERW and LA level last year was 0.75%.
6. If all the above factors remain the same we would need a minimum delegation rate within the LA 82.5%, as last year, to comply with the delegation rate in the T&Cs.

In line with the above considerations, the EIG allocations for 2020-21 are as follows:

| | Specialist Advisory £ | Teacher # £ | Pupil # £ | Total Grant Funding £ | Match Funding £ | Total Funding £ |
|-----------------|--------------------------------------|------------------------|----------------------|--------------------------------------|--------------------------------|--------------------------------|
| ERW | 0 | 0 | 0 | 911,000 | 0 | 911,000 |
| Powys | 179,311 | 982,377 | 3,477,040 | 4,638,727 | 540,391 | 5,179,118 |
| Ceredigion | 75,310 | 547,968 | 1,958,738 | 2,582,016 | 290,326 | 2,872,342 |
| Pembrokeshire | 64,552 | 831,866 | 3,531,432 | 4,427,850 | 496,300 | 4,924,150 |
| Carmarthenshire | 111,173 | 1,396,958 | 5,601,196 | 7,109,326 | 668,892 | 7,778,218 |
| Swansea | 0 | 1,708,795 | 7,303,454 | 9,012,249 | 714,418 | 9,726,667 |
| Totals | 430,345 | 5,467,965 | 21,871,859 | 28,681,169 | 2,710,327 | 31,391,496 |

| | Total Funding £ | Admin 0.75% £ | Delegation to schools 82.5% £ | Minimum Foundation Phase £ |
|-----------------|--------------------------------|------------------------------|--|---|
| ERW | 911,000 | 6,833 | 0 | 0 |
| Powys | 5,179,118 | 38,843 | 4,272,773 | 2,366,000 |
| Ceredigion | 2,872,342 | 21,543 | 2,369,682 | 1,526,000 |
| Pembrokeshire | 4,924,150 | 36,931 | 4,062,424 | 3,124,000 |
| Carmarthenshire | 7,778,218 | 58,337 | 6,417,030 | 4,706,000 |
| Swansea | 9,726,667 | 72,950 | 8,024,500 | 6,626,000 |
| Totals | 31,391,496 | 235,436 | 25,146,409 | 18,348,000 |

Recruit, Recover, Raise Standards: Accelerating Learning Programme (RRRS-ALP) Element of RCSIG 2020-21

ERW were awarded funding of £156,875 as part of a variation letter to the Regional Consortia School Improvement Grant (RCSIG) on 7 September 2020. The grant was accepted and signed by the Interim Chief Officer and Section 151 Officer on 11 September 2020. Please see a copy of the Grant Offer Letter at Annex B.

Allocation for the RRRS-ALP element of the RCSIG was agreed via email by each Director of Education to ensure that this could be communicated timely with Senior Challenge Advisors to allow prompt response to Welsh Government on the spending plan per the terms and conditions of the grant. The spending plan was discussed between the Chief Officers of ERW, the Senior Challenge Advisors and the Directors of Education prior to submission to Welsh Government. The allocation of funding is as follows:

| Local Authority | School Numbers | School £ | Allocations |
|-----------------|----------------|-------------------|-------------|
| Powys | 95 | 36,527.27 | 23.28% |
| Ceredigion | 44 | 16,917.89 | 10.78% |
| Pembrokeshire | 62 | 23,838.85 | 15.20% |
| Carmarthenshire | 113 | 43,448.22 | 27.70% |
| Swansea | 94 | 36,142.77 | 23.04% |
| Total | 408 | 156,875.00 | 100% |

Welsh Charter Element of RCSIG 2020-21

It is proposed by the ERW Chief Officers, the Lead for Welsh in Education and the Lead Director of Education to delegate £120,000 of Welsh Charter funding among the 5 Local Authorities within ERW to allow each Local Authority to use the funding in line with local priorities.

While the grant is intended for pupil development, the objectives will need to be delivered by the schools. As such, it is proposed that the allocation is split 50% based on school numbers and 50% based on pupil numbers. The proposed allocation is as follows:

| Local Authority | School Numbers | School £ | Pupil Numbers | Pupil £ | Total | Allocations |
|-----------------|----------------|------------------|----------------|------------------|-------------------|-------------|
| Powys | 95 | 13,970.59 | 17,068 | 9,538.39 | 23,508.98 | 19.59% |
| Ceredigion | 44 | 6,470.59 | 9,615 | 5,373.31 | 11,843.90 | 9.87% |
| Pembrokeshire | 62 | 9,117.65 | 17,335 | 9,687.60 | 18,805.25 | 15.67% |
| Carmarthenshire | 113 | 16,617.65 | 27,495 | 15,365.49 | 31,983.13 | 26.65% |
| Swansea | 94 | 13,823.53 | 35,851 | 20,035.21 | 33,858.74 | 28.22% |
| Total | 408 | 60,000.00 | 107,364 | 60,000.00 | 120,000.00 | 100% |

Professional Learning Grant Element of RCSIG 2020-21

ERW was awarded £1.6m for the Professional Learning Grant 2020-21. This grant alternates between the Local Authorities and the Regional Consortia on an annual basis. The Terms and Conditions of the grant stipulate that 100% of this funding is passported to schools. The allocation of funding has been based on the Welsh Government calculation of teacher numbers with the PRU teacher numbers added to ensure equity. The allocation agreed is as follows:

| Local Authority | Total |
|-----------------|------------------|
| Powys | 277,483 |
| Ceredigion | 153,039 |
| Pembrokeshire | 248,109 |
| Carmarthenshire | 417,848 |
| Swansea | 504,590 |
| ERW | 1,601,069 |

The additional £1,069 will be funded from the Professional Learning Strategy group.

Pupil Development Grant 2020-21

ERW were awarded funding of £21,283,060 for the Pupil Development Grant (PDG) on 28 August 2020. The grant was accepted and signed by the Interim Managing Director and Section 151 Officer on 28 August 2020. Please see a copy of the Grant Offer Letter at Annex C.

RECOMMENDATIONS

- The ERW Joint Committee accept the Regional School Improvement Grant (RCSIG) awarded for 2020-21
- The ERW Joint Committee formally approve the EIG Allocations for 2020-21.
- The ERW Joint Committee approve the RRRS-ALP Allocations for 2020-21.
- The ERW Joint Committee approve the Welsh Charter Distribution Allocations for 2020-21.
- The ERW Joint Committee approve the Professional Learning Grant Allocations for 2020-21.
- The ERW Joint Committee accept the Pupil Development Grant awarded for 2020-21.



Llywodraeth Cymru
Welsh Government

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

29 July 2020

Dear Mr Haswell

Award of Funding in relation to Regional Consortia School Improvement Grant 2020 -2021 – ERW 01/20 -21

1. Award of Funding

- (a) We are pleased to inform you that your Application has been successful and funding of up to £33,910,861 (Thirty Three Million, Nine Hundred and Ten Thousand, Eight Hundred and Sixty One pounds) is awarded to you for the Purposes (as defined in Condition 4(a)).
- (b) The Funding relates to the period 1 April 2020 to 31 March 2021 and must be claimed in full by 31 March 2021 otherwise any unclaimed part of the Funding will cease to be available to you
- (c) If you have any queries in relation to this award of Funding or the Conditions please contact the Welsh Government Official who will be happy to assist you.

2. Statutory authority and State Aid

- (a) This award of Funding is made on and subject to the Conditions and under the authority of the Minister for Education, one of the Welsh Ministers, acting pursuant to functions transferred under section 58A of the Government of Wales Act 2006 and sections 14-17 of the Education Act 2002.
- (b) You must comply with the European Commission's State Aid Rules. Further details of the specific State Aid Rules applicable to the Purposes and the identification numbers of any relevant State Aid

approvals are contained in Schedule 5. You are responsible for ensuring that the Purposes are delivered in line with the State Aid criteria upon which the Funding is awarded.

3. Interpreting the Conditions

Any reference in the Conditions to:

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

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

'Welsh Government Official' is to
Melanie Godfrey
Deputy Director, Education Business & Governance Education
Directorate
Welsh Government
Cathays Park
Cardiff CF10 3NQ
Tel: 0300 025 1678
Email: Melanie.Godfrey@gov.wales;

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

'Project Manager' is to
Yan James
ERW
Y Llwyfan
College Road
Carmarthen
SA31 3EQ
E-mail: yan.james@erw.org;

'Application' is to your consortium business plan dated April 2020'.

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

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

'Notification Event' is to any of the events listed in Schedule 3;

'Indicative Payment Profile' is to the indicative payment profile set out in Schedule 4;

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

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

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

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

4. Use of the Funding

- (a) You must use the Funding solely for the purposes set out in Schedule 1 (the **"Purposes"**).
- (b) You must achieve the targets and outcomes set out in Schedule 2 (the **"Targets"**).
- (c) Any change to the Purposes or Targets will require our written consent which must be obtained from us in advance of implementing any change. Please note that we are not obliged to give our consent but we will consider all reasonable written requests.
- (d) You must not use any part of the Funding for: (1) party political purposes; (2) the promotion of particular secular, religious or political views; (3) gambling; (4) pornography; (5) offering sexual services; (6) purchasing capital equipment (other than as specified in the Purposes); (7) your legal fees in relation to this letter; (8) Costs Incurred or costs incurred and defrayed by you in the delivery of the Purposes prior to the period referred to in Condition 1 (b); (9) any kind of illegal activities; or (10) any other kind of activity which in our opinion could bring us into disrepute.

5. Funding pre-conditions

- (a) We will not pay any of the Funding to you until you have provided us with the following information and documentation:
- (i) this letter signed by you;
 - (ii) confirmation that you have in place a current and valid collaboration agreement between the parties in the consortium;
 - (iii) confirmation that you as lead/banker authority have details in relation to non-lead authorities in your area of their proposed control environment, in particular their monitoring arrangements and evidence of spend;
 - (iv) confirmation that your consortium business plan covering the funding period has been or will be agreed through your regional governance arrangements outlined in the National Model for Regional Working before the 1 July 2020;
 - (v) confirmation that you have put in place all staff and other resources as required to commence and complete the Purposes; and
 - (vi) confirmation that your distribution formula supports schools and settings to deliver the Foundation Phase.
- (b) Where you are required to provide information and documentation to us as evidence that you have satisfied a particular pre-condition, Condition or in support of a claim, the information and documentation must be in all respects acceptable to us. We reserve the right to reject any information and documentation which is for any reason not acceptable to us.

6. How to claim the Funding

- (a) You may claim the Funding quarterly in arrears, based on Costs Incurred by you in the delivery of the Purposes, as detailed in the Payment Profile (Schedule 4).
- (b) You must claim the Funding in accordance with the dates set out in the Indicative Payment Profile. You must claim the Funding promptly. We reserve the right to withdraw any part of the Funding that you do not claim promptly.
- (c) You must submit your claims for payment of Funding to the Welsh Government Official.
- (d) You must use our claim pro-forma (which is available from the Welsh Government Official) and attach the following information and documentation to each claim, the information and documentation specified in the Indicative Payment Profile together with:

- i) confirmation that you are operating in all respects in accordance with your constitution; and
 - ii) confirmation that you have appropriate financial, risk and control systems in place before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties;
- (e) We will aim to pay all valid claims as soon as possible and typically within 28 days.

7. Your general obligations to us

You must:

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

8. Declarations

You declare that:

- (a) you have the power to enter into and to perform the obligations set out in the Conditions and you have taken all necessary action to authorise the entry into and performance of the obligations under the Conditions;
- (b) no litigation or arbitration is current or pending or, so far as you are aware, threatened, which has or could have an adverse effect on your ability to perform and comply with any of the Conditions;
- (c) the information contained in your Application is complete, true and accurate;
- (d) you have disclosed to us all material facts or circumstances which need to be disclosed to enable us to obtain a true and correct view of your business and affairs (both current and prospective) or which ought to be provided to any person who is considering providing funding to you;
- (e) you have discussed and agreed the Targets with us and you are confident that they are realistic and achievable;
- (f) there are no conflicts of interest whether actual, potential or perceived;
- (g) acceptance of this award of Funding will not result in duplicate funding in respect of any part of the Purposes;

9. Notification Events and their consequences

- (a) You must notify us immediately if a Notification Event has occurred or is likely to occur but we also reserve the right to notify you where we believe a Notification Event has occurred or is likely to occur.
- (b) We will either (i) notify you that we consider the Notification Event is not capable of remedy or (ii) if we consider the Notification Event is capable of being remedied seek to discuss the Notification Event with you with a view to agreeing a course of action to be taken to address the Notification Event.
- (c) We will be entitled to take any of the actions listed in Condition 9(d) if:

- (i) despite our reasonable efforts we have been unable to discuss the Notification Event with you; or
 - (ii) we notify you that the Notification Event is not capable of remedy; or
 - (iii) a course of action to address the Notification Event is not agreed with you; or
 - (iv) a course of action to address the Notification Event is agreed with you but you fail to follow it, or any conditions attached to it are not met (including without limitation the timescale for such course of action); or
 - (v) the course of action fails to remedy the Notification Event to our satisfaction.
- (d) If any of the circumstances set out in Condition 9(c) occurs we may by notice to you:
- (i) withdraw the award of Funding; and/or
 - (ii) require you to repay all or part of the Funding; and/or
 - (iii) suspend or cease all further payment of Funding; and/or
 - (iv) make all further payments of Funding subject to such conditions as we may specify; and/or
 - (v) deduct all amounts owed to us under the Conditions from any other funding that we have awarded or may award to you; and/or
 - (vi) exercise any other rights against you which we may have in respect of the Funding.
- (e) All repayments of Funding must be made to us within 28 days of the date of our demand. If applicable, you must pay interest on any overdue repayments (on a compound basis) in accordance with the State Aid Rules.

10. Monitoring requirements

You must:

- (a) provide us with such documents, information and reports which we may reasonably require from time to time in order for us to monitor your compliance with the Conditions including:
 - i) a copy of your consortium business plan and completed outcomes framework.
 - ii) participation in termly review and challenge sessions and submit a short report against the outcomes framework ahead of each termly review and challenge meeting (dates to be notified) to the Project Manager, which will outline evidence of spend, value for

- money, and progress to date against each *Our national mission* objective;
 - iii) access to papers for discussion at your Joint Committee or Company Board and Advisory Board meetings as appropriate through your nominated Welsh Government representative, including self-evaluation reports and regular progress updates against your business plan;
 - iv) updated reports to the Delivery Board as appropriate; and
 - v) such other information as reasonably needed to understand impact, value for money and progress against delivery of the Purposes of the Funding including as and when required by the Minister for Education and the Wales Audit Office.
 - (b) meet with the Welsh Government Official and such other of our representatives as we may from time to time reasonably require; and provide information to support
 - (c) those meetings as reasonably required including without limit:
 - i) Regular meetings between consortia Managing Directors and Welsh Government Director of Education and Deputy Directors, with frequency of meetings to be agreed;
 - ii) Any meeting the Director of Education may require you to attend;
 - iii) Attendance at and to support termly Review and Challenge Sessions;
 - iv) Support opportunities for Welsh Government officers to meet with consortia operational leads;
 - v) Other reasonable access as required for monitoring progress against delivery of the Purposes.
 - (d) ensure that the Project Manager (or such other person as we may agree) together with any other person we may require attends all meetings with the Welsh Government Official.

11. Audit Requirements

- (a) You must:
 - (i) maintain complete, accurate and valid accounting records identifying all income and expenditure in relation to the Purposes;
 - (ii) without charge, permit any officer or officers of the Welsh Government, Wales Audit Office or European Commission at any reasonable time and on reasonable notice (in exceptional circumstances, such as the prevention or detection of fraud, it may not be practicable to provide you with reasonable notice) being given to you to visit your premises and/or to inspect any of your activities and/or to examine and take copies of your books of account and such

other documents or records howsoever stored as in such officer's reasonable view may relate in any way to your use of the Funding. This undertaking is without prejudice and subject to any other statutory rights and powers exercisable by the Welsh Government, Wales Audit Office or the European Commission or any officer, servant or agent of any of the above;

- (iii) retain this letter and all original documents relating to the Funding until we inform you in writing that it is safe to destroy them;
 - (iv) submit a completed audit certificate by 30 September 2020 (Schedule 5)
- (b) Under paragraph 17 of Schedule 5 to the Government of Wales Act 2006 the Auditor General for Wales has extensive rights of access to documents and information relating to monies provided by the Welsh Government. They and their officials have the power to require relevant persons who control or hold documents to give any assistance, information and explanation that they may require; and to require those persons to attend before them for such a purpose. The Auditor General and their staff may exercise this right at all reasonable times.

12. Third party obligations

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

13. Intellectual property rights and publicity

- (a) Nothing in the Conditions transfers to us any rights in any intellectual property created by you as a result of the Purposes.
- (b) You must acknowledge our support in relation to the Purposes. Such acknowledgement(s) must be in a form approved by us and must comply with the Welsh Government's branding guidelines.
- (c) You must provide the Welsh Government Official with details of all the acknowledgement(s) referred to in Condition 13(b) for our approval before any such acknowledgements are used and you may not use such acknowledgments without our prior written

approval. We will endeavour to respond to all written requests for approval within 14 working days.

- (d) You agree that from the date of this letter until 5 years from the date of the final payment of Funding we may include details about your organisation and business, the Funding and the Purposes in Welsh Government promotional materials and you further agree to cooperate with our reasonable requests to achieve the production of such materials.

14. Information

- (a) You acknowledge that we are subject to the requirements of the Freedom of Information Act 2000 (the "FOIA"), the Environmental Information Regulations 2004 (the "EIR"), the Data Protection Act 2018 (the "DPA") and the General Data Protection Regulation (Regulation (EU) 2016/679) (the "GDPR").
- (b) You acknowledge that we are responsible for determining in our absolute discretion whether:
 - (i) to disclose any information which we have obtained under or in connection with the Funding to the extent that we are required to disclose such information to a person making a disclosure request under the FOIA or the EIR; and/or
 - (ii) any information is exempt from disclosure under the FOIA or the EIR.
- (c) You acknowledge that we may share any data you provide to us with fraud prevention agencies and third parties for the purposes of preventing and detecting fraud. Any personal data we collect will be managed in accordance with our Privacy Notice which is available to view here <http://beta.gov.wales/privacy-notice-welsh-government-grants>
- (d) Please refer to Schedule 6 which provides details of your obligations in respect of the GDPR.

15. Buying goods and services

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

16. Giving notice

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

“Notice in relation to the Regional Consortia School Improvement Grant 2020 -2021- ERW – 01/2020’

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

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

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

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

Prepaid first class post: on the second working day after the date of posting.

By hand: upon delivery to the address or the next working day if after 4pm or on a weekend or public holiday.

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

17. Equal opportunities

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

18. Welsh language

- (a) Where the Purposes include or relate to the provision of services in Wales they must be provided in Welsh and English unless it would be unreasonable or disproportionate to do so. Where they are provided in both Welsh and English they must be provided in such a way as to not treat the Welsh language less favourably than English, in accordance with the Welsh Language (Wales) Measure 2011.

- (b) For advice on providing services bilingually and in accordance with the Conditions please contact the Welsh Language Commissioner's Hybu team:
<http://www.comisiynyddygydraeg.cymru/hybu/en/home/Pages/home.aspx>

19. Sustainable development

Your use of the Funding must contribute to the achievement of the Welsh Government's well-being objectives contained in the Welsh Government's Programme for Government. You must work in a sustainable way (sustainable development principle) in delivering the Purposes so as to ensure you are working in a preventative, integrated, long-term and collaborative way that involves people that reflect the diversity of Wales. Please refer to Schedule 1 for further information.

20. Welsh Ministers' functions

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

21. General

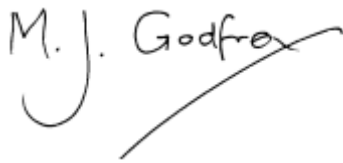
- (a) If at any time any of the Conditions are deemed to be or become invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions will not in any way be affected or impaired.
- (b) No failure or delay on our part to exercise any power, right or remedy under the Conditions will operate as a waiver of any such power, right or remedy or preclude its further exercise or the exercise of any other power, right or remedy. The powers, rights or remedies hereby provided are cumulative and not exclusive of any powers, rights or remedies provided by law.
- (c) Any amendment or variation to the Conditions must be in writing and signed by us and you in the same manner as this letter.
- (d) You may not assign or otherwise dispose of in any way your rights, benefits, obligations or duties under the Conditions.

- (e) Conditions 7, 9, 11, 13, 14, and 21(e) and such other Conditions which by implication need to continue in force beyond the final payment of Funding will so continue in full force and effect.
- (f) The award of the Funding is to you alone and no one else is entitled to make any claim in respect of the Funding or seek to rely on or enforce any of the Conditions.
- (g) In circumstances where you comprise two or more persons or bodies, the liabilities of such persons or bodies shall be joint and several and the default of one of such persons or bodies shall be deemed to be the default of all.
- (h) The Conditions are to be governed by and construed in accordance with the laws of Wales and England as applied in Wales and the parties hereto submit to the exclusive jurisdiction of the courts of Wales and England.

22. How to accept this award of Funding

- (a) To accept this award of Funding you must sign and return a copy of this letter to the Welsh Government Official. None of the Funding will be paid to you until we have received your signed letter [and the completed Assurance Statement].
- (b) We must receive your signed letter within 28 days of the date of this letter, or this award of Funding will automatically be withdrawn.

Yours faithfully

A handwritten signature in black ink that reads "M. J. Godfrey". The signature is written in a cursive style with a long, sweeping underline that extends to the right.

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

SCHEDULE 1

The Purposes, Governance and Monitoring

Schedule 1a Governance and Monitoring

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

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

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

The Funding Letter outlines our overarching national priorities for 2020-21 and how these should be delivered in the context of *Our national mission*. The Funding must support delivery against our national priorities for education, at the centre of which is a transformational curriculum.

This transformational curriculum is supported by four key enabling objectives which your action will also support:

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

Where applicable, the outcomes will be supported by a range of measures and key performance indicators, as outlined in the Application.

In line with the approach the Minister for Education agreed in 2019-20, up to £500,000 of this grant can be used to support the current leadership structure of ERW, on the understanding that ERW's central team will play a key role in the delivery of the priorities set out in this Schedule. This flexibility should also

be used to ensure that the region remains able to adequately support schools and local authorities in the region that are causing concern.

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

Policy requirements and expectations

These are set out in schedule one and in your Annex B of the funding letter. We will continue to discuss and review the expectations for each policy area through our joint regular meetings and we will review this on a regular cycle thereafter on a mutually agreed reporting format with frequency of the cycle to be agreed.

Sustainability and citizen-focused

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

National Model for Regional Working

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

Joint consortia working

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

Supporting a self-improving system and extending the depth of collaborative working

Where appropriate, the consortia will facilitate schools', Foundation Phase providers' and PRUs' consideration and use of cluster models, and other forms of collaborative working, to deliver the funding purposes. This may include providing advice on federation where appropriate.

The consortia should work with providers to develop the support they offer in a spirit of co-construction. They should also collaborate across the four consortia regions if this represents the most effective use of the Funding to support the delivery of improved outcomes for learners. The consortia will continue to develop all schools as learning organisations to successfully realise the new curriculum.

Equity of approach

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

Challenge Advisers and School Development Plans

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

Monitoring and reporting

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

Profile of expenditure

The Funding letter confirms how we have determined your regional allocation. In accepting this award of Funding you agree to allocate funds in line with your responses to the grant invitation letter.

You will submit to Welsh Government Officials, in writing, any requests for virement of funding between budget lines and *Our national mission* objectives identified within the Funding Letter.

All variances will be reflected in your financial report updates. Payments, however, will be made in accordance with Schedule 3.

Value for Money and additionality

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

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

Maximising funding to schools

In planning activity and setting the Application and profile of expenditure, evidence of a clear and demonstrable commitment to passporting the majority of funding to schools is required. Assurances of this as part of the Application and quarterly updates will need to be provided to the Welsh Government. For the EIG element a minimum 80% delegation must be maintained.

Minimising administration and management costs

The grant arrangements support efforts to reduce the administration costs of managing the Funding. You will demonstrate and evidence a commitment to maintaining a low level of spend in managing and administering the Funding. The Funding may be used to support the management and administrative costs of delivering the Pupil Development Grant.

Specific conditions of Funding

EIG - Local Authority Match funding for the consortium

Local Authorities provide match funding to the Education Improvement Grant for Schools element of the Funding. The 2020-21 level is set at the match funding level to the Education Improvement Grant for Schools for 2017-18. EIG grant includes foundation phase funding.

Schedule 1b Purposes

Foundation Phase

You and the consortium must be able to confirm your distribution formula for the Funding to support schools in accordance with the recommended ratios and non-maintained settings to deliver high quality Foundation Phase.

Maintained settings

The Funding allocation must be used to support the Foundation Phase staff to learner ratios and can be used to facilitate COVID-19 social distancing requirements. As part of the delivery of a high quality and effective Foundation Phase curriculum (including payment for supply cover for absences other than for training purposes) settings must be working towards or to achieving the Foundation Phase ratios of 1:8 for Nursery and Reception and 1:15 for Year 1 and Year 2.

Non-maintained settings

The Funding must also be used to support Foundation Phase practitioners in non-maintained settings to deliver high quality education provision.

14-19 Learning Pathways (*This will only apply if and when the disapplication of the requirement to the minimum number of choices made in the Learning and Skills Wales 2009 Measure is withdrawn*)

You must ensure schools in your consortia meet the requirements of the Learning and Skills (Wales) Measure 2009 that they offer students a minimum of 25 courses, 3 of which are vocational at KS4 and at post 16 schools must offer a minimum of 30 choices of which 5 must be vocational. The vocational courses for post 16 must fall across the 3 domains, one of which must be mathematics, science and technology domain.

You must ensure that all schools have a local curriculum offer that meets the requirements of the Learning and Skills Wales Measure by 30 April and have updated Careers Wales Online with their Local Curriculum offer and confirm this in writing to Welsh Government no later than 31 May.

You must ensure that schools have regard to guidance issued by the Welsh Ministers for meeting the requirements of the Learning and Skills (Wales) Measure 2009.

Support for Welsh in Education Strategic Plans

The EIG Funding must be used to support the delivery of local authority Welsh in Education Strategic Plans in working towards the aims of Cymraeg 2050, supported by the Welsh in education and Siarter Iaith funding outlined below.

Siarter Iaith

The funding must be used to support increasing pupils' informal use of the Welsh language by delivering the Siarter Iaith and its associated programmes. Your detailed plans for how the funding will be utilised and allocated should be included as a discrete section in your wider plans for the support of Welsh in education. During the coming months, the Welsh Government will publish an independent review of the Siarter and its associated programmes and we will expect to collaborate with you to examine its findings, and to implement its recommendations where relevant.

Digital Competence Framework

As part of this funding we expect support for digital competence to be provided based on your regional needs. The aim is to further embed the DCF across the curriculum. This funding is also for ongoing work to develop support and resources for schools to improve digital planning and implementation at a whole school level.

Modern Foreign Languages - Global Futures

Funding for lead school/s (secondary) in each education consortium to work with partner schools (including curriculum innovation and professional learning pioneer schools) to improve the teaching of MFL and to support planning for International Languages provision.

Support for lead schools to work with Language Institutes, HEIs (including the Open University) to provide opportunities and support for the teaching and learning of languages. The support provided should align to the strategic aims and actions outlined in the Global Futures Action Plan 2020-22

Modern Foreign Languages- Building Capacity in the Primary Sector

Provision to build capacity to teach international languages in primary schools in preparation for the new curriculum. This is to include the amount to be allocated to the Open University's '*TEachers Learning to Teach languages (TELT)*'.

Literacy and Numeracy

Funding to continue to provide direct support for literacy and numeracy towards further improvements in 2020-21 as part of a self improving system. This is in addition to the funding provided via the EIG.

A Level provision

Funding must be used to provide support to improve teaching and learning of A Levels and the post-16 Welsh Baccalaureate. Welsh Government will

discuss and agree priorities for the additional funding that has been allocated in 2020-21 with consortia in light of the work of the secondee.

Support for all schools in the process of designing their curriculum and preparing to implement it from 2022 onwards.

Funding must be used to develop understanding of the new curriculum and to support curriculum design and planning in preparation for the new curriculum. This will be supported by the revised Curriculum for Wales shared expectations document when it is published: co-constructed with the regions and Estyn. The document will set out consistent expectations for schools in the process of designing their curriculum and preparing to implement it.

By 30 November 2020, as a condition of this element of the funding, each consortium should outline their approach to delivering this agenda. This includes in particular the percentage of schools within the region to benefit from additional direct investment in preparation for the new curriculum

Support for Design and Development of the new curriculum

The Funding supports a number of practitioners to work directly with Welsh Government to co-construct additional guidance for the new curriculum. It also maintains a network of innovation schools to provide real time and direct feedback on enacting the new curriculum and the establishment of national networks.

This funding will also continue to support the further development of the regional Curriculum for Wales PL programme to equip all schools to realise the new curriculum. The regions will continue to work with schools to ensure all practitioners receive the relevant knowledge and skills to effectively realise the new curriculum.

This funding, must be used to allow practitioners to contribute nationally to development the development of WG projects on the new curriculum and to test developing solutions within the school.

This funding should also continue to support the ongoing roll-out of the regional Curriculum for Wales professional learning programme to ensure all practitioners receive the relevant knowledge and skills to effectively to realise the new curriculum.

National PL Money for schools

Your regional allocation of the additional National Professional Learning money must be passed 100% to schools and PRUs as per any agreed distribution formula. The region should utilise their challenge advisers to provide support to schools to ensure their plans for PL appropriately reflect their school's journey and local priorities and adhere to national guidance on the use of the funding.

PL Pioneer School Funding

This funding supports work strands led by identified lead enquiry schools (formerly PL pioneers). Lead enquiry schools should continue to support:

- National Professional Enquiry Project - working with regions and HEI partners to complete Phase 1 enquiry cycles exploring the PL implications of the new curriculum and supporting the transition to Phase 2 of this project, working with an extended network of partner schools. (see NPEP Core Brief for further details).
- Regional PL Delivery & Cluster Working – some schools will continue to support the development and delivery of the regional PL offer and will also lead specific cluster networks.

In moving towards Phase 2 of the NPEP project from October, this funding should support opportunities for lead enquiry schools to become system enquiry leads engaging in new enquiry strands focused on the continuity of learning plan, working with partner schools to scale up the NPEP project and broadening the enquiry evidence base. Cluster funding associated with the NPEP work strand should support extended work with partner schools.

Schools as Learning Organisations (SLOs)

This funding will continue to support the transition to national implementation of the Schools as Learning Organisations (SLOs) approach. This will include supporting schools who have not yet engaged with the SLO survey, providing follow-up support to schools post completion of the survey and extended support to early SLO adopters who are now in a position to repeat the survey. This funding will also support the ongoing development of regional consortia as middle tier learning organisations as part of the wider transition towards a learning education system.

Welsh in education

The Funding supports the implementation of the *Welsh in Education: action plan*. In particular, Funding should be prioritised for the preparation of the workforce to deliver a transformational approach to the learning, teaching and assessment of the Welsh language and to support schools to improve teaching through the medium of Welsh. You will agree the requirements of the Funding for Welsh in education policy expectations within 6 weeks of the award of Funding. You will agree with our policy lead how you will evidence value for money and demonstrate evidence of local need and local delivery based on regional strategic planning.

Learning in a Digital Wales (LiDW) CPD

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

Teacher/Workforce Supply (ITET) and ITE Partnership Pilots

The funding must be used as follows:

- Regions must work collaboratively in making a total of £200,000 available across Wales - £33,000 per university (Caban from GWE region, Aber, Trinity and Swansea from ERW, Cardiff Met from Central South and USW from EAS)
- The relevant section of the grant award letter will be copied to USCET and the Heads of ICT in the Universities
- £25,000 is to be retained by the region to enable it to deliver capacity for engagement with the ITE networks.

(Additional information on this funding will be issued to you individually by policy leads).

Leading Collaborative Learning Project

This will explore new approaches to teaching, learning and leadership implied by schools' commitment to the National Mission, particularly at secondary level and particularly in relation to the changes being brought about by the new curriculum. The project will engage Dr Lyn Sharratt, whose book 'CLARITY: What Matters MOST in Learning, Teaching, and Leading' will form the basis of the professional learning in the project. The project will be evaluated by Swansea University and regions and schools involved will be expected to work with Swansea University on a regular basis.

Facilitate the Evaluation of Professional Standards

An independent evaluation of the impact of professional standards for teachers, leaders and support staff will run from October 2019 to July 2022. As part of the work, researchers will engage with stakeholders including governors, mentors, challenge advisors, ITE tutors and appropriate bodies for induction. The Welsh Government will make funding available to consortia in recognition of the additional work involved in working with the researcher to identify individuals willing to take part in the evaluation.

National Professional Qualification for Headship (NPQH)

To deliver the national aspiring heads programme as well as assessment against the requirements of the NPQH award to support the new Professional Standards for Teaching and Leadership and Our National Mission. Both are key aspects of the action plan to equip Wales with inspirational leaders who can work collaboratively and are committed to raising standards and reducing the attainment gap. It is therefore vitally important that the next generation of head teachers are developed and supported to ensure that they are equipped to face the challenges of headship and to embed the role of head teachers as leaders of change in our system.

Funding per annum comprises of £4,500 per candidate, limited to 160 candidates across Wales. The cost for candidates above the maximum

number outlined will be met by Consortia from their own budgets. Funding will be allocated based on the number recruited per region which will ensure that each region can recruit all suitable candidates. Any underspend is subject to claw-back and redistribution.

As part of this funding you will be expected to:

- maintain the quality threshold so that candidates are only accepted onto the programme that have a high likelihood of successfully completing and progressing to a headship position (assuming one is available) within 2 years;
- take into account any pressure points and areas of need (such as the need for Welsh Medium heads) when considering candidates and prioritise appropriately; and,
- ensure consistency of delivery across the regions and they are in line with the Professional standards for Leadership.

Higher Level Teaching Assistants (HLTA)

To deliver the national Teaching Assistants Learning Pathway Programmes including Induction, Practising, the new Aspiring HLTA programme and the Assessment of the HLTA award that are linked to the new Professional Standards for Teaching Assistant and Our National Mission. Both are key aspects of ensuring that we have suitably qualified workforce.

The funding must be used to:-

- Support the development of Teaching Assistants across the national Teaching Assistants Learning Pathway
- Selection and recruitment of suitable candidates at all levels.
- Deliver and train facilitators and Assessors to deliver the new Programmes to nationally agreed standards.
- Facilitation, coordination and delivery of the programme
- HLTA Assessment for all suitable candidates who have completed and engaged with the New Aspiring Programme.

Future Leaders Programme

To offer and deliver a range of suitable programmes across the different levels of leadership in Wales. Programmes will have either received or are working towards receiving endorsement from the National Academy for Educational Leadership.

Provision should be progressive and support the vision of collaborative leadership linked to the Professional Standards of Teaching and Leadership. Provision should equip participants to become inspirational leaders who can work collaboratively and are committed to raising standards and reducing the attainment gap.

Learning opportunities should support leaders at all levels and should be clearly linked to Leadership Pathway.

New and Acting Head Teachers Programme

The funding will support the delivery of the Newly Appointed and Acting Headteacher Programme endorsed by the National Academy for Educational Leadership and should be available to all newly appointed and acting Headteachers in Wales. The programme is to be delivered by the Regional Consortia and their partners including Local Authorities and Higher Education Institutions.

- a. It subscribes in its design to the Regional Professional Learning Model.
- b. The content is based on the Professional Standards for Teaching and Leadership, Developing Schools in Wales as Learning Organisations and Education in Wales: Our National Mission.
- c. The duration of the programme and sequencing of learning activities is consistent across Wales
- d. There are common expectations about the progress that will be made by participants and how this will impact on their leadership practice.

The programme supports New Headteachers to obtain the information they need to work effectively on a local basis along with providing individual development focusing on the knowledge and skills required to become a successful Headteacher.

Part time and Work Based ITE

This funding must be used to ensure the clearly defined responsibilities are provided as outlined in the “Responsibilities of the RC in Supporting Part Time and Work Based ITE” section. Working alongside the Open University to develop and implement the new alternative ITE routes. These new routes require the Consortia working in partnership with the Open University, the other Consortia and schools, to ensure that; they meet the accreditation requirements, high quality candidates are recruited and a robust implementation of the new routes to meet the shared vision of a pan-Wales provision. Each consortia are required to complete a quarterly pro forma which is included in the “Regional Consortia quarterly return - supporting Part Time and Work Based ITE” section and return this to the ITE branch in WG for review during the year by the following dates: July 10th 2020 (1st Quarter), October 9th 2020 (2nd Quarter), January 8th 2021 (3rd Quarter) and April 9th 2021 (Final Quarter).

Assessment to support learner progression

This funding must be used to support practitioners:

- In developing their understanding of assessment for the purpose of supporting individual learner progression
- To embed ongoing, day to day assessment within learning and teaching (in terms of planning and practice)

The intended outcome is to support practitioners to move towards the new assessment arrangements as outlined in the Curriculum for Wales guidance and support individual learners' progression journey. You will agree with our policy lead to report information on activities supported by the funding and any evidence of impact.

SCHEDULE 2

The Targets

(Targets indicated in Schedule 1)

Any change to the Purposes or Targets will require our written consent which must be obtained from us in advance of implementing any change. Please note that we are not obliged to give our consent but we will consider all reasonable written requests.

Where additional targets are agreed between Welsh Government and you following the award of this Funding, this will be set out and agreed by both parties in writing.

SCHEDULE 3

Notification Events

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

1. repayment of any part of the Funding is required under European Law (whether under State Aid Rules or otherwise);
2. you fail to comply with any of the Conditions;
3. the Funding, in full or in part, is not being used for the Purposes;
4. you fail to achieve any or all of the Targets;
5. there is unsatisfactory progress towards completing the Purposes, including meeting the Targets;
6. you fail to provide information about the Purposes requested by us, the European Commission or the European Court of Auditors, or any of their auditors, agents or representatives;
7. we have reason to believe that you and/or any of your Personnel are involved in fraudulent activity or have been involved in fraudulent activity [whilst the Purposes are/were being carried out];
8. we have made an overpayment of Funding to you;
9. any declaration made in Condition 8 is incorrect in any respect or, if repeated at any time with reference to the facts and circumstances then existing, would be incorrect;
10. there has been a modification (qualification, adverse or disclaimer) to the auditor's opinion on your financial statements;
11. any petition is presented or resolution passed or other action taken for your bankruptcy or winding-up or a petition is presented for an administration order against you;
12. a receiver or an administrative receiver is appointed in respect of you or in respect of all or any part of your assets;
13. a moratorium in respect of all or any of your debts or a composition or an agreement with your creditors is agreed, applied for, ordered or declared;

14. you are unable, or admit in writing your inability, to pay your debts as they fall due;
15. any distress, execution, attachment or other process affects any of your assets;
16. a statutory demand is issued against you;
17. you cease, or threaten to cease, to carry on all or a substantial part of your business;
18. there is a change in your constitution, status, control or ownership and/or your external auditors resign;
19. there is a change in your shareholders, directors, trustees or partners;
20. any event occurs or circumstances arise which in our opinion gives reasonable grounds for believing that you may not, or may be unable, to perform or comply with any of your obligations under these Conditions.

SCHEDULE 4
Indicative Payment Profile
(refer to Conditions 5(b), 6(a) and (b))

Payment will be made to you quarterly in accordance with the dates set out in the profile below.

| Period | Payment Date | Amounts to be paid £ |
|-------------------------|------------------------------|---|
| April – June 2020 | 14 th August 2020 | £8,509,208 |
| July – September 2020 | 5 October 2020 | £8,207,641 |
| October – December 2020 | 6 January 2021 | £8,509,208 |
| January – March 2021 | 2 March 2021 | £10,017,046 – £ 1,006,047 (3% saving for COVID-19) – £326, 196 (NPT portion) |

SCHEDULE 5
Regional Consortia Allocation Certificate

End of Year income / expenditure report

a) Total grant received for 2020 -21 £

b) Actual Expenditure £

| Funding Description | ERW Allocation | ERW Expenditure |
|--|---------------------------|----------------------------|
| | £ | £ |
| Professionals to Support Curriculum Realisation (Innovation & QI Schools) | | |
| Supporting Curriculum Realisation in Schools (Engaging Non Pioneers) | | |
| Core Consortia Support for Design & Development of the new Curriculum | | |
| Assessment for Learning (AfL) | | |
| Welsh Language Use Framework incl. Welsh Language Charter (Welsh-medium Schools) | | |
| Education Improvement Grant for Schools (EIG) | | |
| Modern Foreign Languages (Global Futures) | | |
| National Numeracy Test Support | | |
| Literacy & Numeracy Grant | | |
| Professional Learning - Pioneer Schools | | |
| Learning in a Digital Wales (LiDW) - Phase II CPD | | |
| Coding & Digital Skills | | |
| Primary LNF Oracy Scheme for Wales | | |
| Higher Level Teaching Assistants (HLTA) | | |
| Professional Teaching Standards | | |
| National Network for Excellence in Science & Technology (NNEST) | | |

| | | |
|---|--|--|
| Foundation Phase Network (FPEN) | | |
| Welsh - Professional Development - Consortia Funding (some lines combined) | | |
| Digital Competence - Professional Learning Offer (PLO) | | |
| A Level Improvement | | |
| Teacher/Workforce Supply (ITET) incl. ITE partnership pilots | | |
| Part time and Work Based ITE | | |
| Modern Foreign Languages – building capacity for MFL in the primary sector | | |
| Digital Competence Framework | | |
| All Age Schools - Support for Research and Collaborative Projects | | |
| Professional Teaching Awards Cymru (PTAC) | | |
| PL Pioneer Cluster Funding - Non Pioneers | | |
| PL Pioneer Cluster Funding | | |
| Leading Learning Collaborative Project | | |
| Facilitate the Evaluation of Professional Standards | | |
| External policy advice/support for the 16-19 PCET Policy team | | |
| HEI Accreditation Manager | | |
| Professional Learning | | |
| Future Leadership (Aspiring, middle leaders including Coaching & Mentoring support) | | |
| New & Acting Heads (Pre MNSH) | | |
| National Professional Qualification for Headship (NPQH) | | |
| National Professional Qualification for Headship (NPQH) | | |
| Pupil Development Grant (PDG) exc PDG Access | | |

| | | |
|--|--|--|
| Extend the impact and depth of collaborative working, including through federation | | |
| Develop schools as learning organisations - Criteria 3 Funding | | |

Grant to be reclaimed by the Welsh Ministers (a-b) £

I confirm that the agreed aims and objectives have been met.

Certificate of the Chief Finance Officer

I certify to the best of my knowledge and belief that:

- the Information given above is correct and that all expenditure correctly records actual amounts incurred by the authority in relation to the Purposes and costs approved by the Welsh Government as being eligible under the grant;
- Activity was carried out against the agreed aims and objectives in accordance with the Award letter and associated Terms and Conditions of the grant;
- Systems and Controls were in place to ensure that the grant was used solely for the Purposes for which it was given, whether spent directly or passed to other organisations;
- No claims have been made for other funding from the Welsh Government or any other body in respect of the expenditure shown on this statement; and
- Monitoring arrangements were in place to ensure that implementation progressed as recorded on any agreed Delivery plan.

I have attached a qualification report outlining why I am unable to certify the above.

Signature:

Date:

Position: Chief Finance Officer / Director of Finance(please delete as appropriat

SCHEDULE 6

Requirements of the GDPR

Part 1

Carrying out the Purposes will require the processing of personal data on our behalf. We will be the Data Controller and the table below provides details of the permitted processing to be undertaken in carrying out the Purposes.

You must comply with any further written instructions from us in respect of processing on our behalf. Any such further instructions shall be incorporated into the table:

| Description | Detail |
|---|---|
| Legal Basis for Processing | GDPR Article 6(e) Processing is necessary for the performance of a task carried out in the public interest |
| Subject Matter Of The Processing | In accordance to Schedule 1 of this Grant Offer Letter, the purpose listed for National Professional Qualification for Headship (NPQH) will require the regions to provide personal data to WG. The personal data collected and process will be of individuals who qualify for the programme and in order for WG to issue certification to them. |
| Duration of the Processing | The duration of the process will be for the time necessary for the production and awarding of the certification for length of time this grant offer letters covers |
| Location of Processing | The data must be processed within the UK |
| Nature of the Processing | National Professional Qualification for Headship (NPQH) The nature of the processing is to enable WG as the 'Awarding Body' to moderate, produce and issue certificates to eligible individuals who participate on the NPGH Programme. |

| | |
|---|--|
| <p>Purposes of the Processing</p> | <p>National Professional Qualification for Headship (NPQH)</p> <p>The purpose of the processing will support WG in their commitment to the new Professional Standards for Teaching and Leadership and Our National Mission</p> <p>This is achieved in their administrative role as the ‘Awarding Body’, to monitor, produce and issue certificates to eligible individuals who participate on the NPGH Programme.</p> |
| <p>Type of Personal Data to be Processed</p> | <p>Personal Data of individual who participated on the NPQH Programme, being collected and processed to include:</p> <ul style="list-style-type: none"> ▪ Full Name, ▪ email address – personal and school ▪ Teacher Reference Number ▪ Current Job title ▪ Assessment Language, Local Authority , Consortia ▪ School Name and Address ▪ Sector |
| <p>Categories of Data Subjects</p> | <p>Personal Data of Teachers / Head teachers</p> |
| <p>Plan for the return and/or destruction of the data once the processing is complete UNLESS requirement under union or member state law to preserve that type of data</p> | <p>WG will retain the personal data required for the certification on National Professional Qualification for Headship (NPQH) programme for 3 years, after which time the data will be destroyed.</p> |

Part 2

1. The definitions set out below for the following terms shall be used in this Schedule 6:

| | |
|-----------------------------------|--|
| Data Loss Event | means any event that results or may result in unauthorised access to Personal Data held by you under the Award of Funding , and/or actual or potential loss and/or destruction of Personal Data in breach of this Award of Funding including any Personal Data Breach (as defined in the GDPR); |
| Data Protection Impact Assessment | means an assessment by the Controller of the impact of the envisaged Processing on the protection of Personal Data; |
| Data Protection Legislation | the GDPR, the DPA, the LED and any applicable national implementing Legislation as amended from time to time, the DPA 2018 to the extent that it relates to Processing of Personal Data and privacy and all applicable laws and regulations relating to Processing of Personal Data and privacy, including where applicable the guidance and codes of practice issued by the Information Commissioner; |
| Data Subject Access Request | means a request made by or on behalf of a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation to access their Personal Data; |
| DPA 2018 | means the Data Protection Act 2018; |
| GDPR | means the General Data Protection Regulation (Regulation (EU) 2016/679); |
| LED | means the Law Enforcement Directive (directive (EU) 2016/679); |
| Law | means: <ul style="list-style-type: none"> (a) any applicable statute or proclamation or any delegated or subordinate legislation; (b) any enforceable community right within the meaning of section 2(1) European Communities Act 1972; (c) any applicable guidance, code of practice, direction or determination with which we and/or you are |

| | |
|---------------------|---|
| | <p>bound to comply to the extent that the same are published and publicly available or the existence or contents of them have been notified to you by us ; and</p> <p>(d) any applicable judgment or order of a relevant court of law which is a binding precedent in England and Wales,</p> <p>in each case in force or applicable in both England and Wales, or in Wales only;</p> |
| Party | means us or you, together ‘the Parties’; |
| Protective Measures | means appropriate technical and organisational measures which may include pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident and regularly assessing and evaluating the effectiveness of the measures adopted by it; |
| Sub-Processor | means any third party appointed to Process Personal Data on your behalf relation to the Award of Funding; |
| Working Days | means a day other than a Saturday, a Sunday, Christmas Day, Good Friday or a bank holiday in Wales under the Banking and Financial Dealings Act 1971. |

2. PROTECTION OF PERSONAL DATA

2.1 In this Schedule 6 the following terms shall have the meaning given to them in the GDPR: Controller, Processor, Data Subject, Personal Data, Process, Personal Data Breach, Data Protection Officer.

2.2 The Parties acknowledge that for the purposes of the Data Protection Legislation we are the Controller and you are the Processor.

2.3 The only Processing of Personal Data you are authorised to do is described in this Schedule 8 or is the subject of prior written approval by us and may not be determined by you.

2.4 You must notify us immediately if you consider that any of our instructions infringe the Data Protection Legislation.

2.5 You must provide all reasonable assistance to us in any on-going Data Protection Impact Assessment prior to and after commencing any Processing. Such assistance may, at our discretion, include:

2.5.1 a systematic description of the envisaged Processing operations and the purpose of the Processing;

2.5.2 an assessment of the necessity and proportionality of the Processing operations in relation to the Purposes;

2.5.3 an assessment of the risks to the rights and freedoms of Data Subjects; and

2.5.4 the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.

2.6 You must in relation to any Personal Data Processed in connection with your obligations under the Award of Funding:

2.6.1 process that Personal Data only in accordance with Condition 2.3 of this Schedule 8, unless you are required to do otherwise by Law. If you are so required you must promptly notify us before Processing the Personal Data unless prohibited by Law;

2.6.2 ensure that you have in place Protective Measures, which have been reviewed and approved by us as appropriate, to protect against a Data Loss Event having taken account of the:

- (i) nature of the data to be protected;
- (ii) harm that might result from a Data Loss Event;
- (iii) state of technological development; and
- (iv) cost of implementing any measures;

2.6.3 you must, where you are required to notify Data Subjects of the purpose and detail of the Processing to be undertaken, cooperate with us to agree an appropriate notice which complies with the Data Protection Legislation. The notice must have our prior written approval.

2.6.4 ensure that your Personnel do not Process Personal Data except in accordance with the Award of Funding;

2.6.5 ensure that you take all reasonable steps to ensure the reliability and integrity of any of your Personnel who have access to the Personal Data and ensure that they:

- (i) are aware of and comply with your obligations under the Conditions;
- (ii) are subject to appropriate confidentiality undertakings with you or any Sub-Processor;
- (iii) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by us or as otherwise permitted by the Award of Funding; and
- (iv) have undergone adequate training in the use, care, protection and handling of Personal Data;

2.6.6 not transfer Personal Data outside of the EU unless our prior written consent has been obtained and the following conditions are fulfilled:

- (i) we or you have provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or LED Article 37) as determined by us;
- (ii) the Data Subject has enforceable rights and effective legal remedies;
- (iii) you comply with your obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if you are not so bound, you must assist us in meeting our obligations); and
- (iv) you comply with any reasonable instructions notified to you in advance by us with respect to the Processing of the Personal Data;

2.6.7 At our written direction, delete or return Personal Data (and any copies of it) to us on expiry of the Award of Funding unless you are required by Law to retain the Personal Data.

2.7 Subject to Condition 2.8, you must notify us immediately if in connection with the Award of Funding you:

2.7.1 receive a Data Subject Access Request (or purported Data Subject Access Request);

2.7.2 receive a request to rectify, block processing or erase any Personal Data;

2.7.3 receive any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;

2.7.4 receive any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data Processed under the Award of Funding;

2.7.5 receive a request from any third party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or

2.7.6 become aware of a Data Loss Event.

2.8 Your obligation to notify under Condition 2.7 of this Schedule 8 includes the provision of further information to us in phases, as details become available.

2.9 Taking into account the nature of the Processing, you must provide us with full assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under Condition 2.7 of this Schedule 8 (and insofar as possible within the timescales reasonably required by us) including by promptly providing us with:

2.9.1 full details and copies of the complaint, communication or request;

2.9.2 such assistance as we may reasonably request to enable us to comply with a Data Subject Access Request within the relevant timescales set out in the Data Protection Legislation;

2.9.3 at our request, any Personal Data you hold in relation to a Data Subject;

2.9.4 assistance as we may reasonably request following any Data Loss Event;

2.9.5 assistance as we may reasonably request with respect to any request from the Information Commissioner's Office or any consultation by us with the Information Commissioner's Office.

2.10 You must maintain complete and accurate records and information to demonstrate your compliance with this Condition 2 of this Schedule 8. This requirement does not apply where you employ fewer than 250 staff unless:

2.10.1 we determine that the Processing is not occasional; or

2.10.2 we determine the Processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Articles 10 of the GDPR; or

2.10.3 we determine that the Processing is likely to result in a risk to the rights and freedoms of Data Subjects.

2.11 You must allow for audits of your Data Processing activity by us or our designated auditor.

2.12 You must designate a data protection officer if required by the Data Protection legislation.

2.13 Before allowing any Sub-Processor to Process any Personal Data related to the Award of Funding you must:

2.13.1 notify us in writing of the intended Sub-Processor and Processing;

2.13.2 obtain our prior written consent;

2.13.2 enter into a written agreement with the Sub-Processor which gives effect to the terms set out in this Condition 2 of this Schedule 8 such that they apply to the Sub-Processor; and

2.13.3 provide us with such information regarding the Sub-Processor as we may reasonably require.

2.14 You shall remain fully liable for all acts or omissions of any Sub-Processor.

2.15 We may at any time on not less than 30 Working Days notice revise this Condition 2 of this Schedule 8 by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to the Award of Funding).

2.16 The Parties agree to take account of any guidance issued by the Information Commissioner's Office. We may on not less than 30 Working Days' notice to you amend the Award of Funding to ensure that it complies with any guidance issued by the Information Commissioner's Office.

2.17 For the avoidance of doubt, nothing in the Award of Funding shall relieve you of your own direct responsibilities and liabilities under the Data Protection Legislation.

2.18 You agree to indemnify and keep us indemnified against all claims and proceedings and all liability, loss, costs and expenses incurred in connection therewith by us as a result of any claim made or brought by any individual or other legal person in respect of any loss, damage or distress caused to that individual or other legal person as a result of your unauthorised processing, unlawful processing, destruction of and/or damage to any Personal Data process by you , your employees or agents in your performance of the Award of Funding or as otherwise agreed between the Parties.

2.19 The provisions of this Condition 2 of this Schedule 6 shall apply during the continuance of the Award of Funding and indefinitely after its expiry].

TWO SIGNATORIES ARE REQUIRED

GRANT ACCEPTANCE:

We declare we are duly authorised to accept the award of Funding in relation to Regional Consortia School improvement Grant 2020-2021 and the Conditions relating to the Funding. (Issued 29th July2020)

_____ Signature

An authorised signatory of Pembrokeshire County Council

_____ Name

_____ Job Title

_____ Date

_____ Signature

An authorised signatory of Pembrokeshire County Council

_____ Name

_____ Job Title

_____ Date

_____ Signature

An authorised signatory of the ERW Consortium

_____ Name

_____ Job Title

_____ Date

Mae'r dudalen hon yn wag yn fwriadol



Llywodraeth Cymru
Welsh Government

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

07 September 2020

Dear Mr Jonathan Haswell

**Variation to: Award letter dated 29th July 2020
Award of Funding in relation to Regional Consortia School Improvement Grant 2020 -
2021 – ERW 02/20 -21**

I can confirm that we are content to increase the Funding awarded to Pembrokeshire County Council in delivering the above grant award by a further £181,875 20/21. The increased funding is to support:

- i) Accelerating Learning Programme - £ 156,875
- ii) Collaborative Project to Support Newly Qualified Teachers - £25,000

With effect from 29 July 2020 unless otherwise stated, the Funding Agreement shall be varied as follows:

The appended Schedule 1 wording, shall be added to the existing Schedule 1 wording of Award of Funding letter dated 29 July 2020.

The appended Schedule 5 wording, shall be added to the existing Schedule 5 of Award of Funding letter dated 29 July 2020.

In Condition 7 (Your general obligations to us) insert the following:

(i) notify us of any funding received by you from any source in relation to the effects of the spread of the Coronavirus (COVID-19) including but not limited to your insurance provider (cancellation/business disruption insurance), the UK Government's Coronavirus Job Retention Scheme and/or any Welsh Government fund/scheme.

Rydym yn croesawu derbyn gohebiaeth yn Gymraeg. Byddwn yn ateb gohebiaeth a dderbynnir yn Gymraeg yn Gymraeg ac ni fydd gohebu yn Gymraeg yn arwain at oedi.

We welcome receiving correspondence in Welsh. Any correspondence received in Welsh will be answered in Welsh and corresponding in Welsh will not lead to a delay in responding.



Parc Cathays • Cathays Park
Caerdydd • Cardiff
CF10 3NQ

Ffôn • Tel 0300 025 5294
Natasha.burton@wales.gsi.gov.uk
Gwefan • website: www.llyw.cymru
www.gov.wales

Tudalen 207

In Condition 8 (Declarations) replace with:

(g) Acceptance of this award of Funding will not result in duplicate funding in respect of any part of the Purposes. This includes but is not limited to any payments received by you in relation to the effects of the spread of the Coronavirus (COVID-19) from your insurance provider (cancellation/business disruption insurance), the UK Government's Coronavirus Job Retention Scheme and/or any Welsh Government fund/scheme.

In Schedule 3 (Notification Events) insert the following:

21. there is a duplication of funding in respect of any part of the Purposes This includes but is not limited to any payments received by you in relation to the effects of the spread of the Coronavirus (COVID-19) from your insurance provider (cancellation/business disruption insurance), the UK Government's Coronavirus Job Retention Scheme and/or any Welsh Government fund/scheme;

This brings the total amount allocated for Local Authority Education Grant 2020-21 to £34,092,736 for 2020/21.

Except as expressly varied in this letter, the Award of Funding shall continue in full force and effect.

None of the additional funding will be paid to you until we have received your signed letter. We must receive your signed letter within 14 working days or the additional funding will automatically be withdrawn.

Please return the signed copy of this letter to us by email to natasha.burton@gov.wales

A scanned PDF of the signed letter is preferred, but it must be returned from the email address of the project manager named in the original grant award letter dated 29 July 2020.

Yours sincerely



Mel Godfrey

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

Rydym yn croesawu derbyn gohebiaeth yn Gymraeg. Byddwn yn ateb gohebiaeth a dderbynnir yn Gymraeg yn Gymraeg ac ni fydd gohebu yn Gymraeg yn arwain at oedi.

We welcome receiving correspondence in Welsh. Any correspondence received in Welsh will be answered in Welsh and corresponding in Welsh will not lead to a delay in responding.

Schedule 1
*(additional to Schedule 1 of the original
grant agreement letter dated 29 July 2020)*
The Purpose

Accelerating Learning Programme

The expectation of the funding is to help schools meet the demands of the **Recruit, Recover, Raise Standards: Accelerating Learning Programme** as announced by the Minister for Education on 8 July 2020.

During the crisis, it has become clear that many learners have not progressed as much as they might in terms of their progress in learning, some learners having been impacted more seriously than others have. The funding allocated to schools via local authorities enables investment in schools to allow them to recruit and deploy additional human capacity to support learners in addressing their needs following the initial COVID-19 crisis and period of school closure.

All pupils are eligible for additional help when they return to school in September, although the scope of the help needed will vary significantly depending on individual circumstances. Given that resources are limited, we will prioritise in the following way when planning the allocation of resources:

In addition to the funding allocated to schools, funding has also been made available for the middle tier, via the regional consortia to support schools to deliver the accelerated learning programme.

What the funding should be used to provide:

The main purpose of the grant is to support enhancement of capacity in relevant organisations to ensure coherence across the region in the delivery of the accelerated learning programme.

The grant is designed to fund new and distinctive work specifically in relation to the principles of the accelerated learning programme. This work should involve the region, LAs, HEIs and the voluntary sector. The grant can fund additional capacity in any or all of these, as agreed by you and your LAs.

The grant is also designed to support you in any additional work you have to do to support and sign off schools' plans for use of the accelerated learning programme grant at school and cluster level. These plans should reflect how schools will deliver accelerated learning

Rydym yn croesawu derbyn gohebiaeth yn Gymraeg. Byddwn yn ateb gohebiaeth a dderbynnir yn Gymraeg yn Gymraeg ac ni fydd gohebu yn Gymraeg yn arwain at oedi.

We welcome receiving correspondence in Welsh. Any correspondence received in Welsh will be answered in Welsh and corresponding in Welsh will not lead to a delay in responding.

programme and strengthen their learning resilience planning to prepare for future disruption.

You and your LAs may wish to use some of the grant to support enhanced professional learning for schools needing additional help with preparing for delivering a blended solution as a response to future disruption.

The funding is **not eligible to be used** for the purchase of equipment, including ICT devices, or any form of consumables and is **only to be used** to deploy additional human resources in support of the programme.

There is an expectation that you will maximise the efficacy of the funding appropriately across the region, LAs, HEIs and the voluntary sector to maximise the impact of funding.

Monitoring requirements

The provision of such a large amount of additional funding to deliver the accelerated learning programme dictates we all ensure that the resources are deployed well and have the required impact. However, we all wish to minimise bureaucracy.

In keeping with these principles, you are required to:

- provide a plan outlining your region's response to the grant detailing how you will use the resource to achieve the above objectives by end of September;
- provide termly monitoring reports on the progress against delivery of the plan;
- sign off school level accelerated learning programme and learning resilience planning by end of September.

COLLABORATIVE PROJECT TO SUPPORT NEWLY QUALIFIED TEACHERS STARTING INDUCTION FROM SEPTEMBER 2020 TO JULY 2021

Context

Funding has been made available for ITE providers and regional consortium induction leads to develop collaborative projects to support newly qualified teachers (NQTs) starting statutory induction in September 2020.

Aims

The aims of this project are for ERW to work collaboratively with the University of Wales Trinity St Davids to:

- provide high quality resources for NQTs to aid transition from ITE to induction

Rydym yn croesawu derbyn gohebiaeth yn Gymraeg. Byddwn yn ateb gohebiaeth a dderbynnir yn Gymraeg yn Gymraeg ac ni fydd gohebu yn Gymraeg yn arwain at oedi.

We welcome receiving correspondence in Welsh. Any correspondence received in Welsh will be answered in Welsh and corresponding in Welsh will not lead to a delay in responding.

- support NQTs to develop their practice in general terms and in the context of the COVID-19 pandemic
- facilitate collaboration between ITE providers, regional consortia and schools.

Monitoring requirements

The provision of funding requires evidence of the effective deployment of resources and evidence that resources have the required impact. We are mindful of the need to avoid unnecessary bureaucracy and this is reflected in the reporting requirements below.

Timescale

| | |
|-------------------------|-------------------------------------|
| September 2020 | delivery of the project commences |
| End of autumn term 2020 | progress report to Welsh Government |
| End of spring term 2021 | progress report to Welsh Government |
| End of summer term 2021 | final report to Welsh Government |

Total amount of funding

£25,000

Please note that the funding relates to the 2020-21 financial year but to reflect the timing of the work, the final report is not due until July 2021.

Rydym yn croesawu derbyn gohebiaeth yn Gymraeg. Byddwn yn ateb gohebiaeth a dderbynnir yn Gymraeg yn Gymraeg ac ni fydd gohebu yn Gymraeg yn arwain at oedi.

We welcome receiving correspondence in Welsh. Any correspondence received in Welsh will be answered in Welsh and corresponding in Welsh will not lead to a delay in responding.

TWO SIGNATORIES ARE REQUIRED

We hereby accept this additional award of Funding in relation to Regional Consortia School Improvement Grant 2020 -2021- ERW – 02/2020

Signature
An authorised signatory of Pembrokeshire County Council

Name

Job Title

Date

Signature
An authorised signatory of Pembrokeshire County Council

Name

Job Title

Date

An authorised signatory of ERW Consortium

Name

Job Title

Date

Rydym yn croesawu derbyn gohebiaeth yn Gymraeg. Byddwn yn ateb gohebiaeth a dderbynnir yn Gymraeg yn Gymraeg ac ni fydd gohebu yn Gymraeg yn arwain at oedi.

We welcome receiving correspondence in Welsh. Any correspondence received in Welsh will be answered in Welsh and corresponding in Welsh will not lead to a delay in responding.



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Gwefan • website: www.llyw.cymru
www.gov.wales



Llywodraeth Cymru
Welsh Government

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

26 August 2020

Dear Mr Haswell,

Award of Funding in relation to the Pupil Development Grant 2020/21

1. Award of Funding

- (a) We are pleased to inform you that your Application has been successful and funding of up to £21,283,060 (“the Funding”) is awarded to you for the Purposes (as defined in Condition 4(a)).
- (b) The Funding relates to the period 1 April 2020 to 31 March 2021 and must be claimed in full by 31 March 2021 otherwise any unclaimed part of the Funding will cease to be available to you.
- (c) If you have any queries in relation to this award of Funding or the Conditions please contact the Welsh Government Official who will be happy to assist you. We will follow up additional queries on the submitted support plans with the Pupil Development Grant Strategic Adviser.

Allocations

Your Consortium’s allocation is based on PLASC data for 2019 using year groups. For 2020-21 your allocation will be:

| | Number of eligible learners | Allocation £ |
|---|------------------------------------|---------------------|
| Learners eligible for free school meals (e-FSM) | 14,389 | 16,547,350 |
| Learners in early years settings (EYPDG) | 2,941 | 3,382,150 |
| Learners eligible for FSM in PRUs and EOTAS | 162 | 186,300 |

| | Number of eligible schools | Allocation £ |
|--------------------------------|-----------------------------------|---------------------|
| Schools with no e-FSM learners | 17 | 19,550 |

Your allocation for looked after children is based on numbers taken from the Children Receiving Care and Support Census (2019). For 2020-2021 your allocation to support these learners will be:

| | Number of eligible learners | Allocation £ |
|---------------------------------|------------------------------------|---------------------|
| Looked after children aged 3-15 | 794 | 913,100 |

| Additional Funding | Allocation £ |
|---------------------------|---------------------|
| Consortia led Funding | 156,929 |
| PDG Strategic Advisor | £77,681 |

2. Statutory authority and State Aid

- (a) This award of Funding is made on and subject to the Conditions and under the authority of the Minister for Education, one of the Welsh Ministers, acting pursuant to functions transferred under section 58A of the Government of Wales Act 2006 and sections 14-17 of the Education Act 2002.
- (b) You must comply with the European Commission's State Aid Rules.

3. Interpreting the Conditions

Any reference in the Conditions to:

'you', 'your' is

Section 151 Officer
Pembrokeshire County Council
Haverfordwest
Pembrokeshire
SA61 1TP

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

'Welsh Government Official' is to

Tania Nicholson
Support for Learners Division
Welsh Government
Cathays Park
Cardiff
CF10 3NQ

Tel: 03000 256985

Email: Tania.nicholson@gov.wales

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

'Project Manager' is to the PDG Strategic Adviser and PDG-LAC Lead Coordinator

Dylan Williams
PDG Strategic Adviser
Education through Regional Working
Y Llwyfan
College Road
Carmarthen
SA31 3EQ

'Application' is to your PDG Support Plan submitted on 8 August 2020.

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

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

'Notification Event' is to any of the events listed in Schedule 3;

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

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

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

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

4. Use of the Funding

- (a) You must use the Funding solely for the purposes set out in Schedule 1 (the **"Purposes"**).
 - (b) You must achieve the targets and outcomes set out in Schedule 2 (the **"Targets"**).
 - (c) You must achieve the targets and outcomes set out in your Pupil Development Grant Support Plan.
 - (d) Any change to the Purposes or Targets will require our written consent which must be obtained from us in advance of implementing any change. Please note that we are not obliged to give our consent but we will consider all reasonable written requests.
 - (e) You must not use any part of the Funding for: (1) party political purposes; (2) the promotion of particular secular, religious or political views; (3) gambling; (4) pornography; (5) offering sexual services; (6) purchasing capital equipment (other than as specified in the Purposes); (7) your legal fees in relation to this letter; (8) Costs Incurred or costs incurred and defrayed by you in the delivery of the Purposes prior to the period referred to in Condition 1 (b); (9) any kind of illegal activities; or (10) any other kind of activity which in our opinion could bring us into disrepute.
- (a) **Funding pre-conditions** We will not pay any of the Funding to you until you have provided us with the following information and documentation:
- (i) this letter signed by you; confirmation that you have in place a current and valid collaboration agreement between the parties in the consortium;

- (ii) confirmation that you as lead/banker authority have details in relation to non-lead authorities in your area of their proposed control environment, in particular their monitoring arrangements and evidence of spend;
 - (iii) documentary evidence that you have put in place all staff and other resources detailed in the Application as required to commence and complete the Purposes;
- (b) Where you are required to provide information and documentation to us as evidence that you have satisfied a particular pre-condition, Condition or in support of a claim, the information and documentation must be in all respects acceptable to us. We reserve the right to reject any information and documentation which is for any reason not acceptable to us.
- (c) Agreement that the Pupil Development Grant will be delegated to schools and early years maintained settings in its entirety, with the exception of the looked after children (LAC) element and the EOTAS element to be paid to the regional consortia to manage and optimise effectiveness across the region; and the Early Years non maintained settings which is delegated to the local authority. You are expected to ensure:
- i) funding (as it is allocated based on the number of pupils who are eligible for free school meals) will be used to improve outcomes for pupils eligible for free school meals and reduce the difference in attainment between those eligible for free school meals and those who are not;
 - ii) funding (as it is allocated based on the number of learners who are LAC) will be used to improve outcomes for pupils who are LAC, or adopted from care, and reduce the difference in attainment between this cohort and their peers;
 - iii) that the element of the grant allocated for LAC learners will be retained and managed centrally by the consortium;
 - iv) that the element of the grant allocated for EOTAS and PRU learners will be retained and managed centrally by the consortium; and
 - v) that all schools publish their PDG Plan on their website.

6. How to claim the Funding

- (a) You may claim the Funding quarterly in arrears, based on Costs Incurred by you in the delivery of the Purposes, as detailed in the Payment Profile (Schedule 4).
- (b) You must claim the Funding in accordance with the dates set out in the schedule. You must claim the Funding promptly. We reserve the

right to withdraw any part of the Funding that you do not claim promptly.

- (c) You must submit your claims for payment of Funding to the Welsh Government Official.
- (d) You must use our claim pro-forma (which is available from the Welsh Government Official) and attach the following information and documentation to each claim, the information and documentation specified in the Schedule together with:
 - i) confirmation that you are operating in all respects in accordance with your constitution; and
 - ii) confirmation that you have appropriate financial, risk and control systems in place before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties;
- (e) We will aim to pay all valid claims as soon as possible and typically within 28 days.

7. Your general obligations to us

You must:

- (a) safeguard the Funding against fraud generally and, in particular, fraud on the part of your Personnel and notify us immediately if you have reason to suspect that any fraud within your organisation has occurred or is occurring or is likely to occur whether or not it relates to the Funding. You must also participate in such fraud prevention initiatives as we may require from time to time;
- (b) maintain appropriate procedures for dealing with any conflicts of interest whether actual, potential or perceived;
- (c) comply with all applicable domestic, EU or international laws or regulations or official directives;
- (d) maintain adequate insurances to cover against the risks which may arise in connection with any property or any activity undertaken in delivery of the Purposes. We reserve the right to require you to provide proof of your insurance;
- (e) maintain appropriate financial, risk and control systems before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties;

- (f) co-operate fully with the Welsh Government Official and with any other employee of the Welsh Government or consultant appointed by us to monitor your use of the Funding and your compliance with the Conditions;
- (g) inform us immediately if any of the declarations made in Condition 8 is incorrect in any respect or, if repeated at any time with reference to the facts and circumstances then existing, would be incorrect;
- (h) notify us of any funding received by you from any source in relation to the effects of the spread of the Coronavirus (COVID-19) including but not limited to your insurance provider (cancellation/business disruption insurance), the UK Government's Coronavirus Job Retention Scheme and/or any Welsh Government fund/scheme.

8. Declarations

You declare that:

- (a) you have the power to enter into and to perform the obligations set out in the Conditions and you have taken all necessary action to authorise the entry into and performance of the obligations under the Conditions;
- (b) no litigation or arbitration is current or pending or, so far as you are aware, threatened, which has or could have an adverse effect on your ability to perform and comply with any of the Conditions;
- (c) the information contained in your Application is complete, true and accurate;
- (d) you have disclosed to us all material facts or circumstances which need to be disclosed to enable us to obtain a true and correct view of your business and affairs (both current and prospective) or which ought to be provided to any person who is considering providing funding to you;
- (e) you have discussed and agreed the Targets with us and you are confident that they are realistic and achievable;
- (f) there are no conflicts of interest whether actual, potential or perceived;
- (g) acceptance of this award of Funding will not result in duplicate funding in respect of any part of the Purposes. This includes but is not limited to any payments received by you in relation to the effects of the spread of the Coronavirus (COVID-19) from your insurance provider (cancellation/business disruption insurance), the UK

Government's Coronavirus Job Retention Scheme and/or any Welsh Government fund/scheme.

9. Notification Events and their consequences

- (a) You must notify us immediately if a Notification Event has occurred or is likely to occur but we also reserve the right to notify you where we believe a Notification Event has occurred or is likely to occur.
- (b) We will either (i) notify you that we consider the Notification Event is not capable of remedy or (ii) if we consider the Notification Event is capable of being remedied seek to discuss the Notification Event with you with a view to agreeing a course of action to be taken to address the Notification Event.
- (c) We will be entitled to take any of the actions listed in Condition 9(d) if:
 - (i) despite our reasonable efforts we have been unable to discuss the Notification Event with you; or
 - (ii) we notify you that the Notification Event is not capable of remedy; or
 - (iii) a course of action to address the Notification Event is not agreed with you; or
 - (iv) a course of action to address the Notification Event is agreed with you but you fail to follow it, or any conditions attached to it are not met (including without limitation the timescale for such course of action); or
 - (v) the course of action fails to remedy the Notification Event to our satisfaction.
- (d) If any of the circumstances set out in Condition 9(c) occurs we may by notice to you:
 - (i) withdraw the award of Funding; and/or
 - (ii) require you to repay all or part of the Funding; and/or
 - (iii) suspend or cease all further payment of Funding; and/or
 - (iv) make all further payments of Funding subject to such conditions as we may specify; and/or
 - (v) deduct all amounts owed to us under the Conditions from any other funding that we have awarded or may award to you; and/or
 - (vi) exercise any other rights against you which we may have in respect of the Funding.
- (e) All repayments of Funding must be made to us within 28 days of the date of our demand. If applicable, you must pay interest on any

overdue repayments (on a compound basis) in accordance with the State Aid Rules.

10. Monitoring requirements

You must:

- (a) provide us with such documents, information and reports which we may reasonably require from time to time in order for us to monitor your compliance with the Conditions including :
 - i) a completed Lead Authority Allocation Certificate by 30 September 2020 and
 - ii) ensuring progress on this grant is reported to the Welsh Government via the Challenge and Review reporting mechanism. This will be an exception report on progress to date aligned to Education in Wales: Our national mission and include:
 - setting challenging targets; and
 - monitoring and evaluating the impact of the funding, risks and issues.
 - iii) Meet with the Welsh Government Official and such other of our representatives as we may from time to time reasonably require. Specifically, half termly joint meetings with consortia PDG strategic advisers and LAC co-ordinators, along with the Raising Attainment Advocate, to discuss how you work with schools to ensure effective use is made of the PDG to improve outcomes for learners who are eligible for free school meals or looked after children.
 - iv) In particular we want to know how you will ensure schools:
 - adopt a more equitable approach to funding to ensure that greater investment is made at KS3;
 - continue to work with both maintained and non-maintained early years providers to ensure they are making effective use of the grant, whilst strengthening your links with the non-maintained settings;
 - manage and optimise the effectiveness for EOTAS learners across the region; and
 - manage and optimise the effectiveness for looked after children across the region.
- (b) Meet with the Welsh Government Official and such other of our representatives as we may from time to time reasonably require;

- (c) Ensure that the Project Manager (or such other person as we may agree) together with any other person we may require attends all meetings with the Welsh Government Official.

11. Audit Requirements

- (a) You must:
 - (i) maintain complete, accurate and valid accounting records identifying all income and expenditure in relation to the Purposes;
 - (ii) without charge, permit any officer or officers of the Welsh Government, Wales Audit Office or European Commission at any reasonable time and on reasonable notice (in exceptional circumstances, such as the prevention or detection of fraud, it may not be practicable to provide you with reasonable notice) being given to you to visit your premises and/or to inspect any of your activities and/or to examine and take copies of your books of account and such other documents or records howsoever stored as in such officer's reasonable view may relate in any way to your use of the Funding. This undertaking is without prejudice and subject to any other statutory rights and powers exercisable by the Welsh Government, Wales Audit Office or the European Commission or any officer, servant or agent of any of the above;
 - (iii) retain this letter and all original documents relating to the Funding until we inform you in writing that it is safe to destroy them;
- (b) Under paragraph 17 of Schedule 8 to the Government of Wales Act 2006 the Auditor General for Wales has extensive rights of access to documents and information relating to monies provided by the Welsh Government. They and their officials have the power to require relevant persons who control or hold documents to give any assistance, information and explanation that they may require; and to require those persons to attend before them for such a purpose. The Auditor General and their staff may exercise this right at all reasonable times.

12. Third party obligations

- (a) Nothing in the Conditions imposes any liability on us in respect of any liability incurred by you to any third party (including, without limit, employees and contractors).

- (b) You must indemnify us against any liabilities, claims, proceedings, demands, losses, costs and expenses suffered or incurred by us directly or indirectly arising as a result of or in connection with any failure by you to perform fully or in part any obligation you may have to a third party.

13. Intellectual property rights and publicity

- (a) Nothing in the Conditions transfers to us any rights in any intellectual property created by you as a result of the Purposes.
- (b) You must acknowledge our support in relation to the Purposes. Such acknowledgement(s) must be in a form approved by us and must comply with the Welsh Government's branding guidelines.
- (c) You must provide the Welsh Government Official with details of all the acknowledgement(s) referred to in Condition 13(b) for our approval before any such acknowledgements are used and you may not use such acknowledgments without our prior written approval. We will endeavour to respond to all written requests for approval within 10 working days.
- (d) You agree that from the date of this letter until 5 years from the date of the final payment of Funding we may include details about your organisation and business, the Funding and the Purposes in Welsh Government promotional materials and you further agree to cooperate with our reasonable requests to achieve the production of such materials.

14. Information

- (a) You acknowledge that we are subject to the requirements of the Freedom of Information Act 2000 (the "FOIA"), the Environmental Information Regulations 2004 (the "EIR"), the Data Protection Act 2018 (the "DPA") and the General Data Protection Regulation (Regulation (EU) 2016/679) (the "GDPR").
- (b) You acknowledge that we are responsible for determining in our absolute discretion whether:
 - (i) to disclose any information which we have obtained under or in connection with the Funding to the extent that we are required to disclose such information to a person making a disclosure request under the FOIA or the EIR; and/or
 - (ii) any information is exempt from disclosure under the FOIA or the EIR.

- (c) You acknowledge that we may share any data you provide to us with fraud prevention agencies and third parties for the purposes of preventing and detecting fraud. Any personal data we collect will be managed in accordance with our Privacy Notice which is available to view here <http://beta.gov.wales/privacy-notice-welsh-government-grants>

15. Buying goods and services

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

16. Giving notice

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

“Notice in relation to the Pupil Development Grant 2020/21

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

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

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

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

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

17. Equal opportunities

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

18. Welsh language

- (a) Where the Purposes include or relate to the provision of services in Wales they must be provided in Welsh and English unless it would be unreasonable or disproportionate to do so. Where they are provided in both Welsh and English they must be provided in such a way as to not treat the Welsh language less favourably than English, in accordance with the Welsh Language (Wales) Measure 2011.
- (b) For advice on providing services bilingually and in accordance with the Conditions please contact the Welsh Language Commissioner's Hybu team:
<http://www.comisiynyddygybraeg.cymru/hybu/en/home/Pages/home.aspx>

19. Sustainable development

Your use of the Funding must contribute to the achievement of the Welsh Government's well-being objectives contained in the Welsh Government's Programme for Government. You must work in a sustainable way (sustainable development principle) in delivering the Purposes so as to ensure you are working in a preventative, integrated, long-term and collaborative way that involves people that reflect the diversity of Wales. Please refer to Schedule 1 for further information.

20. Welsh Ministers' functions

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

21. General

- (a) If at any time any of the Conditions are deemed to be or become invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions will not in any way be affected or impaired.
- (b) No failure or delay on our part to exercise any power, right or remedy under the Conditions will operate as a waiver of any such power, right or remedy or preclude its further exercise or the exercise of any other power, right or remedy. The powers, rights or remedies hereby provided are cumulative and not exclusive of any powers, rights or remedies provided by law.
- (c) Any amendment or variation to the Conditions must be in writing and signed by us and you in the same manner as this letter.
- (d) You may not assign or otherwise dispose of in any way your rights, benefits, obligations or duties under the Conditions.
- (e) Conditions 7, 9, 11, 13, 14, and 21(e) and such other Conditions which by implication need to continue in force beyond the final payment of Funding will so continue in full force and effect.
- (f) The award of the Funding is to you alone and no one else is entitled to make any claim in respect of the Funding or seek to rely on or enforce any of the Conditions.
- (g) In circumstances where you comprise two or more persons or bodies, the liabilities of such persons or bodies shall be joint and several and the default of one of such persons or bodies shall be deemed to be the default of all.
- (h) The Conditions are to be governed by and construed in accordance with the laws of Wales and England as applied in Wales and the parties hereto submit to the exclusive jurisdiction of the courts of Wales and England.

22. How to accept this award of Funding

- (a) To accept this award of Funding you must sign and return a copy of this letter to the Welsh Government Official. None of the Funding will be paid to you until we have received your signed letter and the completed Assurance Statement.
- (b) We must receive your signed letter within 28 days of the date of this letter, or this award of Funding will automatically be withdrawn.

Yours faithfully

A handwritten signature in cursive script, appearing to read 'Tania Nicholson', written in black ink.

Signed by Tania Nicholson
under authority of the Minister for Education, one of the Welsh Ministers

SCHEDULE 1

The Purposes

The Purpose of the Funding is to

From April 2020, the PDG will be allocated to support:

- learners who are eligible for free school meals and who are educated in maintained schools
- eligible learners who are singly-registered in pupil referral units (PRUs) and education other than at school (EOTAS)
- eligible learners in early years settings where the Foundation Phase is delivered
- looked after children (LAC), and former LAC who have been adopted from care or who are subject to a special guardianship or residence order aged 3-15

The PDG Funding should be used to:

- develop staff, both teaching and support, in the use of practice such as growth mind-set and quality feedback, that are currently viewed to be the most effective for learners from deprived backgrounds.
- intervene early to address weakness, particularly in literacy and numeracy. This applies to early years but is also relevant at the start of secondary school and at any point that a weakness is observed.
- ensure that increased resources are targeted at Key Stage 3, both in the classroom and in enrichment activities and raising aspirations, while recognising the importance of Year 11 for all learners. In support of the principles of early intervention and prevention, the Minister for Education expects secondary schools to deliver an aspiration of 60% of PDG invested in Key Stage 3 learners.
- identify where and when support is required using appropriate diagnostic and tracking systems and what this looks like.

We are asking you to set out how you will work with schools to ensure that effective use is made of the PDG to improve outcomes for learners who are eligible for free school meals (eFSM) in maintained schools. In particular, we want to know how you will ensure schools:

- monitor and evaluate the impact of the funding;
- adopt a more equitable approach to funding to ensure that greater investment is made at Key Stage 3;
- receive the necessary support to enable Head teachers to identify, use and evaluate chosen approaches to ensure continued effective

improvement.

We ask that you continue to work with maintained and non-maintained early years providers to ensure they are making effective use of the grant, whilst strengthening your links with the non-maintained settings.

We ask you consider cluster models when determining the most effective use of funding to support the delivery of improved outcomes for disadvantaged learners.

The Welsh Government acknowledges new schools will come on stream after the data collection period. We would expect you to continue to manage funding of schools that are closing; amalgamating or new in a strategic and planned manner as you have done previously.

We also ask that you manage your Consortia led funding allocation as per the terms set out in the Grant Invitation Letter.

The looked after children element of the PDG, which supports the educational attainment of looked after children and other related groups who have similar needs, will continue to be managed regionally by the consortia. This will allow for continued strategic use of the grant, and you should consider how you will plan, set targets and support learners who are looked after, adopted and subject to care orders through effective use of the grant.

In line with the Welsh Government's looked after children education plan (Raising the ambitions and educational attainment of children who are looked after in Wales) the PDG should be used to meet the costs of identifying a lead coordinator who will retain strategic focus on looked after children in education and ensure the delivery of an agreed, strategic programme of work.

The lead coordinators in each consortium should work with local authorities and schools to identify and share good practice via the National Delivery Group for looked after children.

In addition to the PDG allocation for schools and settings an allocation is provided to retain the services of a strategic adviser. This role is supplementary to the role of the looked after children lead coordinator and as such needs to be reflected in the structure of the posts and any administrative support. This will cover costs associated with the role, including travel and subsistence (in recognition of the geographical spread and the need to work with schools right across the region and the need to meet each half-term with the Welsh Government and Raising Attainment Advocate (although these meetings are expected to take place virtually in the short term at least)), and administrative support (to enable the lead to operate effectively at a strategic level).

Where the PDG strategic adviser and PDG-LAC lead coordinator roles are combined, evidence is expected to be provided to satisfy us that the Funding provided for the two distinct roles is being used solely and fully for the Purposes outlined. Where the two roles are combined and being performed by one member of staff, wider consortia resources and support will need to be put in place to facilitate the effective delivery of both roles.

PDG strategic advisers and PDG-LAC coordinators should provide robust, constructive challenge and high quality support to enable head teachers and governing bodies to improve the attainment of disadvantaged learners. This equitable approach will strengthen regional leadership arrangements and ensure greater national consistency in supporting disadvantaged learners across Wales.

PDG strategic advisers and PDG-LAC coordinators should facilitate a partnership approach to PDG and raising the attainment of disadvantaged learners across the region and collaboration and consistency at a national level.

PDG strategic advisers and PDG-LAC coordinators will work with the Welsh Government and our Raising Attainment Advocate, Sir Alasdair Macdonald, to strengthen collaboration across Wales and ensure that good practice is shared and built upon. They will be expected to have a strong knowledge of all settings (including non-maintained settings) in the region, including understanding the associated data, to allow them to identify schools that need support to improve and identify best practice so that this is shared regionally and nationally.

Building networks through identification of key leads within every school and establishing a regional 'network of leaders' to support and drive progress will be critical.

Strategic advisers and coordinators will be the point of contact for all schools and settings on effective and evidence based interventions. They will be expected to provide extra support and guidance advising on:

- appropriate interventions based on the latest evidence;
- using whole school approaches;
- the benefits of tracking;
- supporting evaluation of current practices; and
- facilitating regional support networks.

SCHEDULE 3

Notification Events

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

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

15. any distress, execution, attachment or other process affects any of your assets;
16. a statutory demand is issued against you;
17. you cease, or threaten to cease, to carry on all or a substantial part of your business;
18. there is a change in your constitution, status, control or ownership and/or your external auditors resign;
19. there is a change in your shareholders, directors, trustees or partners;
20. any event occurs or circumstances arise which in our opinion gives reasonable grounds for believing that you may not, or may be unable, to perform or comply with any of your obligations under these Conditions.

SCHEDULE 4
Indicative Payment Profile
(refer to Conditions 5(b), 6(a) and (b))

Payment will be made to you quarterly in accordance with the dates set out in the profile below.

| Period | Payment Date | Amounts to be paid % | Accompanying Documentation |
|-------------------------|----------------|----------------------|---|
| April – June 2020 | 31 July 2020 | 22.5 | <p>Each quarter:</p> <ol style="list-style-type: none"> 1. Progress of the PDG will be evaluated at Challenge and Review meetings in advance of which you will be required to provide a short report on progress to date aligned to Our national mission. 2. The Project Manager will meet with Welsh Government officials each half term. The meetings will be held jointly with all consortia leads and the WG Raising Attainment Advocate. These meetings and supporting documents will focus on successes, challenges and case studies; and also provide opportunities for learning and development and to ensure national consistency. |
| July – September 2020 | 5 October 2020 | 20 | |
| October – December 2020 | 6 January 2021 | 22.5 | |

| | | | |
|----------------------|--------------|----|---|
| January – March 2021 | 2 March 2021 | 35 | End of year report and meet with WG Officials |
|----------------------|--------------|----|---|

*This grant will be paid in arrears based on the percentages above.

2. PROTECTION OF PERSONAL DATA

2.1 In this Schedule 6 the following terms shall have the meaning given to them in the GDPR: Controller, Processor, Data Subject, Personal Data, Process, Personal Data Breach, Data Protection Officer.

2.2 The Parties acknowledge that for the purposes of the Data Protection Legislation we are the Controller and you are the Processor.

2.3 The only Processing of Personal Data you are authorised to do is described in this Schedule 8 or is the subject of prior written approval by us and may not be determined by you.

2.4 You must notify us immediately if you consider that any of our instructions infringe the Data Protection Legislation.

2.5 You must provide all reasonable assistance to us in any on-going Data Protection Impact Assessment prior to and after commencing any Processing. Such assistance may, at our discretion, include:

2.5.1 a systematic description of the envisaged Processing operations and the purpose of the Processing;

2.5.2 an assessment of the necessity and proportionality of the Processing operations in relation to the Purposes;

2.5.3 an assessment of the risks to the rights and freedoms of Data Subjects; and

2.5.4 the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.

2.6 You must in relation to any Personal Data Processed in connection with your obligations under the Award of Funding:

2.6.1 process that Personal Data only in accordance with Condition 2.3 of this Schedule 8, unless you are required to do otherwise by Law. If you are so required you must promptly notify us before Processing the Personal Data unless prohibited by Law;

2.6.2 ensure that you have in place Protective Measures, which have been reviewed and approved by us as

appropriate, to protect against a Data Loss Event having taken account of the:

- (i) nature of the data to be protected;
- (ii) harm that might result from a Data Loss Event;
- (iii) state of technological development; and
- (iv) cost of implementing any measures;

2.6.3 you must, where you are required to notify Data Subjects of the purpose and detail of the Processing to be undertaken, cooperate with us to agree an appropriate notice which complies with the Data Protection Legislation. The notice must have our prior written approval.

2.6.4 ensure that your Personnel do not Process Personal Data except in accordance with the Award of Funding;

2.6.5 ensure that you take all reasonable steps to ensure the reliability and integrity of any of your Personnel who have access to the Personal Data and ensure that they:

- (i) are aware of and comply with your obligations under the Conditions;
- (ii) are subject to appropriate confidentiality undertakings with you or any Sub-Processor;
- (iii) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by us or as otherwise permitted by the Award of Funding; and
- (iv) have undergone adequate training in the use, care, protection and handling of Personal Data;

2.6.6 not transfer Personal Data outside of the EU unless our prior written consent has been obtained and the following conditions are fulfilled:

- (i) we or you have provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or LED Article 37) as determined by us;
- (ii) the Data Subject has enforceable rights and effective legal remedies;
- (iii) you comply with your obligations under the Data Protection Legislation by providing an adequate level of

protection to any Personal Data that is transferred (or, if you are not so bound, you must assist us in meeting our obligations); and
(iv) you comply with any reasonable instructions notified to you in advance by us with respect to the Processing of the Personal Data;

2.6.7 At our written direction, delete or return Personal Data (and any copies of it) to us on expiry of the Award of Funding unless you are required by Law to retain the Personal Data.

2.7 Subject to Condition 2.8, you must notify us immediately if in connection with the Award of Funding you:

2.7.1 receive a Data Subject Access Request (or purported Data Subject Access Request);

2.7.2 receive a request to rectify, block processing or erase any Personal Data;

2.7.3 receive any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;

2.7.4 receive any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data Processed under the Award of Funding;

2.7.5 receive a request from any third party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or

2.7.6 become aware of a Data Loss Event.

2.8 Your obligation to notify under Condition 2.7 of this Schedule 8 includes the provision of further information to us in phases, as details become available.

2.9 Taking into account the nature of the Processing, you must provide us with full assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under Condition 2.7 of this Schedule 8 (and insofar as possible within the timescales reasonably required by us) including by promptly providing us with:

2.9.1 full details and copies of the complaint, communication or request;

2.9.2 such assistance as we may reasonably request to enable us to comply with a Data Subject Access Request within the relevant timescales set out in the Data Protection Legislation;

2.9.3 at our request, any Personal Data you hold in relation to a Data Subject;

2.9.4 assistance as we may reasonably request following any Data Loss Event;

2.9.5 assistance as we may reasonably request with respect to any request from the Information Commissioner's Office or any consultation by us with the Information Commissioner's Office.

2.10 You must maintain complete and accurate records and information to demonstrate your compliance with this Condition 2 of this Schedule 8. This requirement does not apply where you employ fewer than 250 staff unless:

2.10.1 we determine that the Processing is not occasional; or

2.10.2 we determine the Processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Articles 10 of the GDPR; or

2.10.3 we determine that the Processing is likely to result in a risk to the rights and freedoms of Data Subjects.

2.11 You must allow for audits of your Data Processing activity by us or our designated auditor.

2.12 You must designate a data protection officer if required by the Data Protection legislation.

2.13 Before allowing any Sub-Processor to Process any Personal Data related to the Award of Funding you must:

2.13.1 notify us in writing of the intended Sub-Processor and Processing;

2.13.2 obtain our prior written consent;

2.13.2 enter into a written agreement with the Sub-Processor which gives effect to the terms set out in this Condition 2 of this Schedule 8 such that they apply to the Sub-Processor; and

2.13.3 provide us with such information regarding the Sub-Processor as we may reasonably require.

2.14 You shall remain fully liable for all acts or omissions of any Sub-Processor.

2.15 We may at any time on not less than 30 Working Days notice revise this Condition 2 of this Schedule 8 by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to the Award of Funding).

2.16 The Parties agree to take account of any guidance issued by the Information Commissioner's Office. We may on not less than 30 Working Days' notice to you amend the Award of Funding to ensure that it complies with any guidance issued by the Information Commissioner's Office.

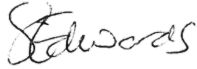
2.17 For the avoidance of doubt, nothing in the Award of Funding shall relieve you of your own direct responsibilities and liabilities under the Data Protection Legislation.

2.18 You agree to indemnify and keep us indemnified against all claims and proceedings and all liability, loss, costs and expenses incurred in connection therewith by us as a result of any claim made or brought by any individual or other legal person in respect of any loss, damage or distress caused to that individual or other legal person as a result of your unauthorised processing, unlawful processing, destruction of and/or damage to any Personal Data process by you, your employees or agents in your performance of the Award of Funding or as otherwise agreed between the Parties.

2.19 The provisions of this Condition 2 of this Schedule 6 shall apply during the continuance of the Award of Funding and indefinitely after its expiry.

TWO SIGNATORIES ARE REQUIRED

We declare we are duly authorised to accept the award of Funding in relation to Pupil Development Grant 2020-2021 and the Conditions relating to the Funding.



Signature
An authorised signatory of Pembrokeshire County Borough Council

Sarah Edwards Name

Deputy Chief Finance Officer Job Title

26/08/20 Date

Signature
An authorised signatory of Pembrokeshire County Borough Council

Yan James Name

Interim Managing Director Job Title

26/08/2020 Date



Signature
An authorised signatory of Education through Regional Working

Mae'r dudalen hon yn wag yn fwriadol



CYD-BWYLLGOR ERW TACHWEDD 13EG 2020

CYNLLUN ARCHWILIO 2019-20 ARCHWILIO CYMRU AR GYFER ERW

Y PWRPAS: Rhoi'r wybodaeth ddiweddaraf i Gyd-bwyllgor ERW am y gwaith sydd i'w wneud gan Archwilio Cymru wrth gyflawni ei ddyletswyddau Statudol.

YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

- Cymeradwyo cynllun archwilio Swyddfa Archwilio Cymru
- Cymeradwyo'r ffi Archwilio o £13,000
- Cytuno ar yr amserlen
- Cytuno ar gyfrifoldebau priodol

Y RHESYMAU:

Cael cymeradwyaeth Cyd-bwyllgor ERW.

| | | |
|--|---|--|
| <p>Awdur yr Adroddiad:</p> <p>Jeremy Saunders</p> | <p>Swydd:</p> <p>Rheolwr Archwilio Archwilio Cymru</p> | <p>Rhif Ffon:</p> <p>07810832434</p> <p>E: bost:</p> <p>Jeremy.saunders@audit.wales</p> |
|--|---|--|

EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

13TH NOVEMBER 2020

ERW AUDIT WALES OFFICE AUDIT PLAN FOR 2019-20

BRIEF SUMMARY OF PURPOSE OF REPORT

To provide The ERW Joint Committee with a plan outlining the following:

1. The Auditors Statutory Duty.
2. To provide assurance that the accounts are:
 - Free from material misstatement as a result of Fraud or error.
 - Comply with statutory and other applicable requirements
 - Comply with all relevant requirement for accounting presentation and disclosure.
3. To set out:
 - Respective roles and responsibilities
 - Audit approach
 - Fees
 - The audit team and timetable
 - Outline of value for money work and other future developments work.

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

IMPLICATIONS

| Policy, Crime & Disorder and Equalities | Legal | Finance | Risk Management Issues | Staffing Implications |
|---|-------|---------|------------------------|-----------------------|
| NONE | YES | YES | YES | NONE |
| 1. Legal As detailed in the report. | | | | |
| 2. Finance As detailed in the report. | | | | |
| 3. Risk Management As detailed in the report. | | | | |

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

Audit Plan – Education through Regional Working Joint Committee

Audit year: 2020

Date issued: May 2020

Document reference: 1850A2020-21

This document has been prepared for the internal use of the Education through Regional Working Joint Committee as part of work performed/to be performed in accordance with statutory functions.

No responsibility is taken by the Auditor General, the staff of Audit Wales or, where applicable, the appointed auditor in relation to any member, director, officer or other employee in their individual capacity, or to any third party.

In the event of receiving a request for information to which this document may be relevant, attention is drawn to the Code of Practice issued under section 45 of the Freedom of Information Act 2000. The section 45 Code sets out the practice in the handling of requests that is expected of public authorities, including consultation with relevant third parties. In relation to this document, the Auditor General for Wales, Audit Wales and, where applicable, the appointed auditor are relevant third parties. Any enquiries regarding disclosure or re-use of this document should be sent to Audit Wales at infoofficer@audit.wales.

We welcome correspondence and telephone calls in Welsh and English. Corresponding in Welsh will not lead to delay. Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg. Ni fydd gohebu yn Gymraeg yn arwain at oedi.

This document was produced by Anthony Veale and Jeremy Saunders.

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Audit Plan 2019-20

Our Duties

- 1 We complete work each year to meet the following duties.

Audit of financial statements

- 2 Each year we audit the Joint Committee's financial statements to make sure that public money is being properly accounted for.

Value for money

- 3 The Joint Committee has to put in place arrangements to get value for money for the resources it uses, and we have to be satisfied that it has done this.

Impact of COVID-19

- 4 The COVID-19 national emergency has had an unprecedented impact on the UK and will significantly impact on local authorities' preparation of the 2019-20 accounts and our audit work, both financial audit and performance audit.
- 5 Due to the UK Government's restrictions on movement and anticipated sickness absence levels, we understand that many local authorities will not be able to prepare accounts in line with the timetable set out in the Accounts and Audit (Wales) Regulations 2014. As well as the delivery of the Auditor General's statutory responsibilities, our priority is to ensure the health, safety and well-being of Audit Wales staff, their families and those of our partners elsewhere in the public service at this incredibly challenging time.
- 6 In response to the government advice and subsequent restrictions, we have ceased on all on-site work at audited bodies and our own offices. Audit Wales staff are working from home and we will continue to make whatever progress we can whilst working and engaging with you remotely.
- 7 Consequently, this audit plan does not include any details in relation to completion of our audit work. We will discuss a timetable with the Joint Committee once the current national emergency situation is over and the Joint Committee is in a position to prepare its accounts.
- 8 We commit to ensuring that our audit work will not have a detrimental impact on you at a time when public bodies are stretched and focused on more important matters.

Audit of financial statements

My responsibilities

- 9 It is my responsibility to issue a certificate and report on the financial statements which includes an opinion on their 'truth and fairness':
- we plan to give an opinion on the Joint Committee's financial statements in accordance with a timetable to be agreed.
 - assess whether the Joint Committee's Annual Governance Statement and Narrative Report were prepared in line with the CIPFA Code and relevant guidance. We also review whether they are consistent with the financial statements prepared by the Joint Committee's and with our knowledge of the Joint Committee.
- 10 In addition to our responsibilities for auditing the Joint Committee's financial statements, we also have responsibility for responding to questions and objections about the accounts from local electors (additional fees will be charged for this work, if necessary).
- 11 There have been no limitations imposed on me in planning the scope of this audit.
- 12 Further information about our work is provided in our Statement of Responsibilities, which is available on our website (www.audit.wales).

Financial statement audit risks

- 13 The following table sets out the significant risks I have identified for the audit of the Joint Committee.

Exhibit 1: Financial statement audit risks

This table summarises the key financial statement audit risks identified at the planning stage of the audit

| Audit risk | Proposed audit response |
|--|---|
| Significant risks | |
| <p>Management Override The risk of management override of controls is present in all entities. Due to the unpredictable way in which such override could occur, it is viewed as a significant risk [ISA 240.31-33].</p> | <p>My audit team will:</p> <ul style="list-style-type: none"> • test the appropriateness of journal entries and other adjustments made in preparing the financial statements; • review accounting estimates for biases; and • evaluate the rationale for any significant transactions outside the normal course of business. |
| <p>Future direction of the Joint Committee. Neath Port Talbot County Borough Council has withdrawn from the Joint Committee as at 31 March 2020 with further bodies potentially withdrawing during 2020-21. We would expect appropriate disclosures to be made in the financial statements bringing these matters to the attention of the reader.</p> | <p>My audit team will ensure that appropriate disclosures are included in the financial statements which reference the future challenges of the joint committee.</p> |
| Other areas of audit attention | |
| <p>Impact of COVID-19 – general risks The COVID-19 national emergency is likely to have a significant impact on the Joint Committee and its accounts production process. Potential risks include:</p> <ul style="list-style-type: none"> • Subsequent events. The Joint Committee is, at present, unlikely to prepare its accounts in | <p>My audit team will undertake the following steps to ensure the risks arising from COVID-19 are adequately addressed:</p> <ul style="list-style-type: none"> • we will extend the period of review of subsequent events in order to identify any material subsequent events related to COVID-19, and whether these have been |

| Audit risk | Proposed audit response |
|---|---|
| <p>accordance with the timetable laid down by the Accounts and Audit (Wales) Regulations 2014. The shifting reporting deadlines increases the period (and therefore the related risks) for events occurring between the date of the financial statements and the date of the auditor's report. The consequences of the virus post 31 March 2020 will generally be non-adjusting post balance sheet events, but some form of disclosure may be needed.</p> <ul style="list-style-type: none"> • Use of estimates. The uncertainties and delays caused by the UK-wide lockdown may result in actual data being unavailable and greater use of estimates in preparing the accounts. | <p>appropriately addressed or disclosed in the financial statements in accordance with the financial reporting framework;</p> <ul style="list-style-type: none"> • we will consider if there are areas that may require management to provide further evidence due to the fast-changing nature of this issue; • we will discuss with you the key assumptions and evidence bases underlying estimates and will do this at an early stage; and • we will adopt a greater focus on the following areas: <ul style="list-style-type: none"> – the financial statement closing process (in particular journal entries and other adjustments made); and – the auditor's evaluation of the overall presentation of the financial statements, including consideration of whether adequate disclosures have been made. |
| <p>Senior officer disclosures. There have been changes to senior staff during 2019-20 which may impact on disclosures in the accounts.</p> | <p>My audit team will review senior officer disclosures within the financial statements to ensure they are accurate and complete with regard to the materiality level set for such disclosures.</p> |
| <p>Related party disclosures. My audit of the 2018-19 financial statements found that a number of Joint Committee members had not completed and submitted their annual related party returns, as they were required to do. There is a risk that related party returns are not received from all members for 2019-20, which could lead to material misstatement of the related party</p> | <p>My audit team will review the actions taken to ensure full compliance with the Joint Committees related-party return process. My team will also review all of the returns submitted, and the audit implications of any that are outstanding.</p> |

| Audit risk | Proposed audit response |
|---|-------------------------|
| disclosures in the financial statements (particularly around their completeness). | |

- 14 You will be aware that the CIPFA/LASAAC Code Board recently considered a proposed Code Update 2019-20 that would have disapplied large parts of the 2019-20 Code. After discussion, the CIPFA/LASAAC Code Board decided not to adopt the proposed Code Update. Therefore, the 2019-20 Code (the Code) will apply in full for this year.

Fee, audit team and timetable

- 15 My fees and planned timescales for completion of the audit are based on the following assumptions:
- the financial statements are provided in accordance with a timescale to be agreed following the end of the COVID-19 national emergency, to the quality expected and have been subject to a robust quality assurance review;
 - information provided to support the financial statements is in accordance with the agreed audit deliverables document;
 - appropriate accommodation and facilities are provided to enable my audit team to deliver the audit in an efficient manner;
 - all appropriate officers will be available during the audit;
 - you have all the necessary controls and checks in place to enable the Responsible Financial Officer to provide all the assurances that I require in the Letter of Representation addressed to me;
 - Internal Audit's planned programme of work is complete and management has responded to issues that may have affected the financial statements; and
 - set out the extent to which you intend to rely on Internal Audit's work and where reliance is to be placed on the work of other auditors, specialists, etc.
- 16 If I do receive questions or objections, I will discuss potential audit fees at the time.

Fee

- 17 Your estimated fee for 2020 is set out in £13,000. This is consistent with your 2019 audit fee.
- 18 Planning will be ongoing, and changes to my programme of audit work and therefore my fee, may be required if any key new risks emerge. I shall make no changes without first discussing them with the Joint Committee.

19 Further information on my fee scales and fee setting can be found on our website.

Audit team

20 The main members of my team, together with their contact details, are summarised in **Exhibit 2**.

Exhibit 2: my audit team

This table lists the members of the local audit team and their contact details

| Name | Role | Contact number | Email address |
|-----------------|-----------------|----------------|-----------------------------|
| Anthony Veale | Engagement Lead | 07896 271873 | anthony.veale@audit.wales |
| Jeremy Saunders | Audit Manager | 029 20829329 | jeremy.saunders@audit.wales |
| Julie Owens | Senior Auditor | 07581 499092 | julie.owens@audit.wales |

Timetable

- 21 We will continue to undertake as much remote work as is possible during the COVID-19 national emergency. However, as set out above, we will not be in a position to agree a timetable with you until the COVID-19 national emergency has passed.
- 22 We will need to discuss any amendments to the timetables for the production and audit of accounts with you but will continue to work as flexibly as we can and are supportive of 'extending' the accounts window where required. It will be vital that this close engagement continues over the next few months, against what will doubtless be a fast-changing backdrop.
- 23 Therefore, we will report on a timetable for our audit work in due course.
- 24 I can confirm that my team members are all independent of the Joint Committee and your officers. In addition, I am not aware of any potential conflicts of interest that I need to bring to your attention.

Accounts and Audit (Wales) Regulations 2014

- 25 In respect of our accounts work, we are aware that there may be difficulties in meeting the accounts preparation and publication dates set by the Accounts and Audit (Wales) Regulations 2014. Welsh Government have indicated that the Regulations will not be amended as they already provide sufficient flexibility to deal with any delays resulting from COVID-19.
- 26 The Regulations require the publication of a notice where the Joint Committee does not expect to achieve the dates specified by the Regulations. I have included further detail in **Appendix A** and example notices in **Appendix B** that the Joint Committee may wish to consider using.
- 27 The requirements for the exercise of electors' rights under the Public Audit (Wales) Act 2004 continue to apply. This presents some practical difficulties while lockdown restrictions still apply, eg public access to the Joint Committee's accounting records.
- 28 Therefore, my audit team will discuss with you an appropriate timetable for public inspection when we have a clear idea of the date on which the accounts will be available and when lockdown restrictions have been sufficiently relaxed.
- 29 The audit team will issue an audit notice in due course setting out the appointed date.
- 30 This may mean that there is a delay before we can issue our audit opinion.

Appendix A: Requirements of the Accounts and Audit (Wales) Regulations 2014

You may be aware that in England, the Local Government Secretary Robert Jenrick MP announced that the deadline for preparation of local government accounts will be extended to 31 August 2020 and publication of audited accounts to 30 November.

Audit Wales discussed this development with Welsh Government officials to establish if a similar announcement will be made for Wales. The Welsh Government position (as communicated to local government bodies) is currently as set out below.

Statutory requirements

The statutory position for local government bodies in Wales is set out in the Accounts and Audit (Wales) Regulations 2014 (as amended).

Welsh Government interpretation

Regulation 10 sets out the expected timetable for the preparation, approval and audit of the annual accounts. Due to the impact of COVID-19, Welsh Government recognises that it may not be possible for all local government bodies to meet this timetable. Regulation 10(4) provides local government bodies with sufficient flexibility to deal with delays caused by COVID-19. Its guidance on the Regulations, notes that:

“Where, extraordinarily, certification cannot happen before [31 May/15 June], action needs to be taken to publish a statement that clearly sets out the reasons why this has not happened before that date and agree a course of action to ensure this is done as soon as is practicable after [31 May/15 June].”

The guidance also notes that the accounts should be published by 31 July/15 September even if the accounts have not been approved.

On the basis that sufficient flexibility is built into the current Regulations, Welsh Government does not consider it necessary to amend the Regulations.

Audit Wales view and impact on the audit process

Audit Wales concurs with the Welsh Government assessment that sufficient flexibility already exists in the Regulations.

In the event that the accounts are not prepared by the statutory timetable, audited bodies should notify their audit team and publish a notice setting out there is a delay and the reason for the delay. Example wording is provided in **Appendix B**.

Appendix B: Accounts and Audit (Wales) Regulations 2014 – suggested notice

Audit notice where RFO unable to certify the accounts either due to illness or because the accounts have not been prepared

Regulation 10(1) of the Accounts and Audit (Wales) Regulations 2014 (as amended) requires that Responsible Financial Officer of Education through Regional Working Joint Committee sign and date the statement of accounts, and certify that it presents a true and fair view of the financial position of the body at the end of the year to which it relates and of that body's income and expenditure for that year. The Regulations required that this be completed by 15 June 2020.

The Responsible Financial Officer has not signed and certified the accounts for the year ended 31 March 2020. Due to the COVID-19 outbreak, the Joint Committee has diverted resources to other services and the statement of accounts has not yet been prepared. The statement of accounts will be prepared and the Responsible Financial Officer will sign and certify the statement of accounts when the immediate pressures of the COVID-19 outbreak have subsided.

Audit notice where RFO has certified the accounts but the audited body is not meeting and therefore unable to approve the accounts

Regulation 10(1) of the Accounts and Audit (Wales) Regulations 2014 (as amended) requires that Responsible Financial Officer of Education through Regional Working Joint Committee sign and date the statement of accounts, and certify that it presents a true and fair view of the financial position of the body at the end of the year to which it relates and of that body's income and expenditure for that year. The Regulations required that this be completed by 15 June 2020.

The Responsible Financial Officer signed and certified the accounts on [date].

Regulation 10(2) of the Accounts and Audit (Wales) Regulations 2014 (as amended) requires that following the certification by the Responsible Financial Officer referred to above, Education through Regional Working Joint Committee approve and publish the audited statement of accounts. The Regulations required that this be completed by 15 September 2020

Due to the COVID-19 outbreak, the statement of accounts has not yet been prepared.

OR

Due to the COVID-19 outbreak, Education through Regional Working Joint Committee has not met to approve the statement of accounts.

OR

Due to the COVID-19 outbreak, the audit of the 2019-20 statement of accounts has not yet been completed and no audit opinion has been provided. The statement of accounts that is published is the unaudited statement of accounts.



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E-mail: info@audit.wales

Website: www.audit.wales

We welcome correspondence and telephone calls in Welsh and English.
Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg.



CYD-BWYLLGOR ERW TACHWEDD 13EG 2020

BARN FLYNYDDOL PENNAETH ARCHWILIO MEWNOL CONSORTIWM ERW

Y PWRPAS: Rhoi barn flynyddol y Pennaeth Archwilio Mewnol i'r Cyd-bwyllgor ar effeithiolrwydd trefniadau ERW o ran llywodraethu, rheoli mewnol, rheoli risg a rheoli ariannol.

YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

Nodi Barn Sicrwydd Flynyddol y Pennaeth Archwilio Mewnol ar gyfer 2019-20.

Y RHESYMAU:

Cynorthwyo'r Cyd-bwyllgor i lywio Datganiad Llywodraethu Blynyddol ERW ar gyfer 2019-20.

| | | |
|---|---|---|
| <p>Awdur yr Adroddiad:</p> <p>Jo Hendy</p> | <p>Swydd:</p> <p>Pennaeth Archwilio Mewnol</p> | <p>Rhif Ffon:</p> <p>01437 776213</p> <p>E: bost:</p> <p>Joanne.hendy@pembrokeshire.gov.uk</p> |
|---|---|---|

EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

13 NOVEMBER 2020

| | |
|--|------------|
| ERW CONSORTIUM HEAD OF INTERNAL AUDIT ANNUAL OPINION | |
| To provide the Joint Committee with the opinion of the Head of Internal Audit on the effectiveness of ERW's governance, internal control, risk management and financial management arrangements, in order to inform ERW's Annual Governance Statement. | |
| DETAILED REPORT ATTACHED? | YES |

IMPLICATIONS

| Policy, Crime & Disorder and Equalities | Legal | Finance | Risk Management Issues | Staffing Implications |
|---|------------|------------|------------------------|-----------------------|
| NONE | YES | YES | YES | NONE |
| 1. Legal Details included within the Internal Audit Report. | | | | |
| 2. Finance Details included within the Internal Audit Report. | | | | |
| 3. Risk Management Details included within the Internal Audit Report. | | | | |

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 |



EDUCATION THROUGH REGIONAL WORKING (ERW)

Head of Internal Audit Annual Assurance Opinion 2019-20

1.0 Introduction

- 1.1 The Public Sector Internal Audit Standards came into effect on the 1st April 2013 and require the Head of Internal Audit to “deliver an annual internal audit opinion and report that can be used by the organisation to inform its governance statement”.
- 1.2 The purpose of the annual internal audit opinion is to contribute to the assurances available to the Section 151 Officer and the Joint Committee which underpin the assessment of the effectiveness of the system of internal control for ERW. The audit work undertaken has been based on a risk assessment and the Joint Committee will need to integrate these results with other sources of assurance when making a rounded assessment of control for the purposes of the Annual Governance Statement.

2.0 Internal Audit Work 2019-20

- 2.1 The Internal Audit Plan for 2019-20 was a risk-based audit plan, which was agreed with the Lead Chief Executive, Interim Managing Director and the Section 151 Officer and approved by the Joint Committee on the 9 December 2019.
- 2.2 The Internal Audit Plan for 2019-20 consisted of the following:
- Follow-up of Previous Internal Audit Recommendations
 - Follow-up of the Annual Governance Statement 2018-19 Action Plan
 - Financial Management
 - ERW Business Plan
 - Grant Schedules & Returns from Authorities

3.0 Head of Internal Audit Opinion

- 3.1 In order to form an opinion on each audit review, the Internal Audit Service have to obtain sufficient evidence on which to base their opinion, and by necessity this results in testing on a sample or selected basis and having to place reliance on assurances provided by management. Due to this, Internal Audit are unable to provide absolute assurance that all the governance, internal control, risk management and financial management arrangements in place in the areas audited are fully adequate and effective.
- 3.2 Based on the work undertaken by the Internal Audit Service during 2019-20, it is my opinion that overall, subject to variation between areas audited, that limited assurance is given on the effectiveness of governance, internal control, risk management and financial management arrangements in place. Management have

agreed to implement the recommendations made following the Internal Audit review. The implementation of these recommendations in an effective and timely manner will assist in strengthening the governance, internal control, risk management and financial management arrangements in place.

- 3.3 In accordance with the Public Sector Internal Audit Standards, the Head of Internal Audit undertook a self-assessment of compliance with the Public Sector Internal Audit Standards. The Assessment concluded that the Internal Audit Service conforms to the Code of Ethics and the Public Sector Internal Audit Standards.

4.0 Delivery of the Audit Plan

- 4.1 The internal audit plan has been delivered in accordance with the schedule agreed by the Lead Chief Executive, Interim Managing Director, Section 151 Officer and the Joint Committee.
- 4.2 The Internal Audit quality assurance and improvement programme has confirmed compliance with the mandatory requirements of the Public Sector Internal Audit Standards.
- 4.3 Overall, limited assurance was given on the adequacy and effectiveness of arrangements in place. The uncertainty of the future of ERW has diverted an element of strategic focus away from undertaking core work and resulted in previous recommendations not being implemented.

There are a number of recommendations made within the Internal Audit review 2019-20 and previous years that have been incorporated into the Annual Governance Statement 2019-20 and should be used to inform arrangements for the future consortia.



CYD-BWYLLGOR ERW TACHWEDD 13EG 2020

DATGANIAD O GYFRIFON ERW AR GYFER 2019-20

Y PWRPAS: Cymeradwyo a llofnodi Datganiad o Gyfrifon ERW ar gyfer 2019-20.

YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

- Bod y Cyd-bwyllgor yn cymeradwyo Datganiad o Gyfrifon ERW ar gyfer 2019-20.
- Bod y Cyfarwyddwr Adnoddau (Swyddog A151 ERW) a Chadeirydd Cyd-bwyllgor ERW yn llofnodi Datganiad o Gyfrifon ERW ar gyfer 2019-20.

Y RHESYMAU:

Cael cymeradwyaeth Cyd-bwyllgor ERW

| | | |
|----------------------------|--|---|
| Awdur yr Adroddiad: | Swydd: | Rhif Ffon: |
| Jon Haswell | Cyfarwyddwr Adnoddau/Swyddog A151 ERW | 01437 775826 |
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EXECUTIVE SUMMARY ERW JOINT COMMITTEE 13TH NOVEMBER 2020

ERW STATEMENT OF ACCOUNTS FOR 2019-20

BRIEF SUMMARY OF PURPOSE OF REPORT

- The ERW Joint Committee review the ERW Statement of Accounts for 2019-20 and consider the Audit Wales Audit of Financial Statements Report and Audit Opinion (ISA260).
- The ERW Statement of Accounts for 2019-20 be approved and signed by the Director of Resources (ERW S151 Officer) and the Chair of the ERW Joint Committee.

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

| Policy, Crime & Disorder and Equalities | Legal | Finance | Risk Management Issues | Staffing Implications |
|--|------------|------------|------------------------|-----------------------|
| NONE | YES | YES | YES | NONE |
| <p>1. Legal</p> <p>As detailed in the report – The deadline required by the Accounts and Audit (Wales) (Amendment) Regulations 2018 to have the ERW Statement of Accounts audited and approved was 15 September 2020. Due to the Covid-19 outbreak, we were unable to comply, but in accordance with Regulation 10 (4) we published a statement on our website setting out the reasons for non-compliance and the actions to be taken to ensure compliance as soon as possible.</p> | | | | |
| <p>2. Finance</p> <p>As detailed in the report.</p> | | | | |
| <p>3. Risk Management</p> <p>As detailed in the report.</p> | | | | |

CONSULTATIONS

The ERW Statement of Accounts for 2019-20 were available for public inspection for 20 working days.

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 JOINT COMMITTEE

Report of: Director of Resources (ERW S151 Officer)

Date: 13 November 2020

ERW STATEMENT OF ACCOUNTS for 2019-20

1. ERW published its draft Statement of Accounts for 2019-20 (see Appendix A) on 24 July 2020 and aims to have them audited and approved by 13 November 2020. The deadlines required by the Accounts and Audit (Wales) (Amendment) Regulations 2018 were 15 June 2020 and 15 September 2020 respectively. Due to the Covid-19 outbreak, we were unable to comply, but in accordance with Regulation 10 (4) we published a statement on the ERW website setting out the reasons for non-compliance and the actions to be taken to ensure compliance as soon as possible.
2. The projected Outturn for 2019-20 was considered by the ERW Joint Committee on 21 July 2020 as part of the Financial Update report. The draft ERW Statement of Accounts for 2019-20 are subject to audit by ERW's external auditors, Audit Wales. Audit Wales have completed their audit and have issued their Audit of Accounts Report and Audit Opinion (ISA 260), see Appendix B. The ERW Joint Committee need to review and formally approve the ERW Statement of Accounts for 2019-20.
3. ERW's Statement of Accounts must comply with Cipfa's Code of Practice on Local Authority Accounting (the Code), which is based on International Financial Reporting Standards (IFRS), and also the requirements of accounting and financing regulations of government. IFRS provides a comprehensive framework of mandatory requirements for the production of financial statements in the public and private sector and this framework is continually being refined.
4. The overall financial position of ERW is recognised in a number of core financial statements within the Statement of Accounts, namely the Comprehensive Income & Expenditure Statement (CIES), the Movement in Reserves Statement, the Balance Sheet and the Cash Flow Statement. These are prepared using International Financial Reporting Standards (IFRS).

Further details on these and other statements within the Statement of Accounts for 2019-20 are outlined below:

- **Narrative Report** (The Explanatory Foreword until 2016-17) - This was in a new format for 2017-18 and aims to communicate ERW's purpose, how it has performed in accordance with its overall strategy and against performance indicators over the year, and how it has allocated its resources in line with intended outcomes. It demonstrates collective performance over the year and how well ERW is equipped to deal with the challenges ahead and to continue delivering Education through Regional Working. It tells the story of ERW by providing a holistic, clear and well-structured view of its strategy, performance and future outlook.
- **Expenditure and Funding Analysis** (Categorised as a core financial statement for 2016-17 only) - This shows the reconciliation between how annual expenditure is used and funded from resources (cash basis) by ERW in comparison with those resources consumed or earned by ERW in accordance with generally accepted accounting practices (IFRS basis).
- **Comprehensive Income and Expenditure Statement (CIES)** - This shows the accounting cost in the year of providing services measured on an IFRS basis as opposed to the cost actually funded from taxation. The reconciliation to the taxation position, as represented by the actual funds available to ERW, is shown in the Expenditure and Funding Analysis.
- **Movement in Reserves Statement** - This shows the movement on the different reserves held by ERW analysed between usable reserves and unusable reserves held for financial accounting purposes.
- **Balance Sheet** - This sets out the financial position on 31 March in terms of the value of assets and liabilities recognised by ERW and the reserves held by ERW.
- **Cash Flow Statement** - This summarises the inflows and outflows of cash and cash equivalents with third parties arising from revenue and capital transactions.

5. **Uncorrected Misstatement**

There is an understatement of £124,000 on the net pension fund liability in the Balance Sheet and Note 15.4, due to an incorrect re-measurement adjustment in 2018-19. This means the net pension fund liability is understated at 31 March 2019 and 31 March 2020 by £124,000. This understatement has not been corrected for the following reasons:

- The understatement was identified near to the end of the audit of the Statement of Accounts, after all other amendments had substantially been completed.
- The value of the understatement is below the materiality threshold of £1.3m.

6. The ERW Joint Committee review of the Statement of Accounts for 2019-20 should be focused on the following issues:

(a) Financial Reporting Standards

The International Financial Reporting and Other Standards that have been issued have been applied as required by the Code. The Statement of Accounts have been prepared in compliance with the Code for 2019-20.

The Code requires that ERW discloses information relating to the impact of an accounting change that will be required by a new standard that has been issued but not yet adopted by the Code for the relevant financial year.

Last year it was highlighted that IFRS 16 Leases would replace the current IAS 17 Leases standard for 2019-20. However, the CIPFA/LASAAC Local Authority Accounting Code Board has agreed to defer the implementation of IFRS 16 Leases for one year in-line with the Government's Financial Reporting Advisory Board's proposals for Central Government Departments. This will mean the effective date for implementation is now 01 April 2021. Further details are shown on page 16 of the Statement of Accounts.

Amendments to IAS19 Employee Benefits will be applicable for the 2020-21 financial year.

The Accounts and Audit (Wales) (Amendment) Regulations 2018 require the signing, approval and publication of the Statement of Accounts by 31 July for years ending 31 March 2021 onwards.

The impact of the above changes are not considered to be material.

(b) Accounting Concepts

The pervasive accounting concepts of "accruals basis" and "going concern" have been used in the preparation of the Core Accounting Statements and the qualitative characteristics of useful financial information continue to be employed, as shown on page 16 of the Statement of Accounts.

(c) Critical Judgments in Applying Accounting Policies and Estimation Risk

In applying the accounting policies set out in the Statement of Accounts for 2019-20, ERW has made judgments about the complex transactions and those involving uncertainty in future years and these are shown on page 17 of the Statement of Accounts.

The main risk areas appertaining to items in the current set of accounts and potentially impacting accounts in the future are shown on pages 17 and 18 of the Statement of Accounts.

(d) Accounting Policies

The accounting policies used to prepare the Core Financial Statements, the Supporting Notes and the Supplementary Financial Statements have been reviewed using the Code for 2019-20.

(e) Internal Control Issues

The ERW Head of Internal Audit Annual Assurance Opinion for 2019-20, to be considered by the ERW Joint Committee on 13 November 2020, confirms that there are no significant internal control issues which would impact upon the Statement of Accounts for 2019-20. However, her opinion concluded that overall, limited assurance is placed on the adequacy and effectiveness of governance, internal control, financial management and risk management arrangements in place.

All the audit reviews of the main financial systems received an assurance rating of “substantial”.

(f) Audit Wales

Audit Wales have completed their audit of the Statement of Accounts for 2019-20 and have issued their Audit of Accounts Report and Audit Opinion (ISA 260), see Appendix B.

7. The Director of Resources (ERW S151 Officer) and ERW Principal Accountant will support the ERW Joint Committee at the meeting in reviewing the ERW Statement of Accounts for 2019-20 and the specific matters highlighted above.

RECOMMENDATIONS

- The ERW Joint Committee review the ERW Statement of Accounts for 2019-20 and consider the Audit Wales Audit of Accounts Report and Audit Opinion (ISA 260).
- The ERW Statement of Accounts for 2019-20 be approved and signed.

Glossary of Terms:

Audit Wales - Formerly known as Wales Audit Office (WAO)

ISA 260 - WAO Audit of Financial Statements Report and Audit Opinion

CIPFA - The Chartered Institute of Public Finance Accountancy

The Code - CIPFA’s Code of Practice on Local Authority Accounting

IFRS - International Financial Reporting Standards

IAS - International Accounting Standards

CIES - Comprehensive Income & Expenditure Statement

SeRCOP - CIPFA Service Reporting Code of Practice



Ein Rhanbarth ar Waith
Education through Regional Working

Education through Regional Working

South West and Mid Wales Consortium

Statement of Accounts 2019-20

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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1.0 Narrative Report

1.1 Introduction

ERW's Statement of Accounts for 2019-20 provides a record of the financial position for the year. This section of the report aims to communicate ERW's purpose, how it has performed in accordance with its overall strategy and against performance indicators over the year, and how it has allocated its resources in line with intended outcomes. It demonstrates collective performance over the year and how well ERW is equipped to deal with the challenges ahead and to continue delivering Education Through Regional Working. It tells the story of ERW by providing a holistic, clear and well-structured view of its strategy, governance, performance and future outlook.

2.0 Organisational Overview

2.1 Key Facts about ERW

ERW was an alliance of six local authorities – Carmarthenshire County Council, Pembrokeshire County Council, Ceredigion County Council, Powys County Council, Neath Port Talbot County Borough Council and the City and County of Swansea Council until 31 March 2020. Neath Port Talbot County Borough Council left ERW on 31 March 2020 so for 2020-21, it will become an alliance of five local authorities. Carmarthenshire County Council, Ceredigion County Council and the City and County of Swansea Council have given notice to leave ERW at the end of 2020-21. Discussions are ongoing between the six local authorities and Welsh Government in terms of the future footprint for education through regional working. ERW is governed by a legally constituted Joint Committee and provides a single integrated regional professional school effectiveness service driving school improvement and learner achievement across the combined area in the South West and Mid Wales region.

2.2 Joint Committee

The Joint Committee is made up of the Leader of each local authority, supported by the Chief Executive of each local authority, and is advised by the Executive Board, Managing Director, Statutory Officers, external school improvement experts and Headteacher representatives. Welsh Government, Estyn and the WLGA attend the Joint Committee meetings. Internal Audit and Audit Wales report independently to the Joint Committee. The Joint Committee is chaired by Councillor Emlyn Dole, Leader of Carmarthenshire County Council, who took over from Councillor Ellen ap Gwynn, Leader of Ceredigion County Council, during 2019-20.

2.3 Executive Board

The Executive Board is made up of the Directors of Education of each of the local authorities, the Managing Director, the Section 151 Officer/Deputy Section 151 Officer (where applicable) and external members (where applicable).

2.4 Management Structure

During 2019-20, the Managing Director and Lead Education Director roles changed:

- **Lead Chief Executive** – Phil Roberts (Chief Executive, Swansea)
- **Lead Education Director** – Gareth Morgans (Director of Education, Carmarthenshire) took over from Kate Evan-Hughes (Director of Children & Schools, Pembrokeshire) in January 2020. Kate took over from Ian Budd (Director of Education, Powys) in April 2019.
- **Managing Director** – Andi Morgan (Interim Managing Director) took over from Geraint Rees (Interim Managing Director) in September 2019.
- **S151 Officer** – Jon Haswell (Director of Resources, Pembrokeshire)
- **Monitoring Officer** – Elin Prysor (Monitoring Officer, Ceredigion)

2.5 ERW's Values

ERW is one of four regional education consortia in Wales. Its purpose is to deliver a single consistent and integrated professional school improvement service across the allied local authorities.

The national model for school improvement in Wales is based on a vision of regional school improvement consortia working on behalf of local authorities to lead and coordinate the improvement in the performance of schools and education of young people.

To achieve the ERW vision, ERW have defined values to guide all that ERW does. These include effectiveness; commitment; integrity; innovation and collaboration.

ERW utilises a wide range of flexible approaches so that bespoke solutions can be used to support schools at their point of need. ERW support teachers through the provision and brokering of professional learning programmes to support individuals in their leadership journey whilst building expertise and capacity where and when it is needed in schools across the region

2.6 ERW's Aims

ERW has five aims:

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

2.7 Funding Sources

ERW receives its funding from two main sources – Annual contribution from each of the Local Authorities and grant from Welsh Government.

3.0 Governance

3.1 Code of Corporate Governance

The ERW Code of Corporate Governance was approved by the Joint Committee on 16 July 2018.

3.2 Annual Governance Statement

The Annual Governance Statement for 2019-20 covers the following areas:

- Review of Governance Arrangements
 - What is Governance?
 - Review of Effectiveness
- ERW Governance Framework
 - Joint Committee
 - Executive Board
 - Scrutiny
 - Statutory/Lead Officers
 - ERW Team
 - Consultation and Engagement
 - Internal Audit
 - External Audit and Regulators
 - Business Risk Management
- Review of ERW's Governance Arrangements for 2019-20
 - Assurance Required On
 - Sources of Assurance
 - Assurance Received
 - Area for Improvement

- Annual Governance Statement Action Plan
 - Significant Governance Issues (including any outstanding actions from 2018-19)
 - Priorities for Improvement (Including any outstanding actions from 2018-19)

The Annual Governance Statement for 2019-20 will be considered and approved by the Joint Committee, alongside the ERW Statement of Accounts.

4.0 Operational Model

4.1 ERW Business Plan

The ERW Business Plan 2019-20 was approved by the Joint Committee on 3 April 2019. The Business Plan identified five improvement priorities that match the enabling objectives of the National Mission:

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

In addition, the Business Plan 2019-20 outlines ERW's approach to:

- Delivering Local, Regional & National Priorities;
- Approach to Schools Improvement;
- The Welsh Language;
- The Business Planning Process.

The Business Plan 2019-20 did not detail the value for money framework in which it will operate. This has been acknowledged and will be developed for 2020-21.

4.2 Performance Management Framework

As the employing Local Authority for ERW, Pembrokeshire County Council's Performance Management Framework, dated July 2019, is used. It enables all staff working for ERW to identify how their work contributes to achieving the organisations overall objectives. This is achieved by compiling and publishing a hierarchy of aligned plans. The highest level plans describe ERW's objectives, set the strategic direction and take a long term view. By contrast, individual officer performance review plans are reviewed annually, and in many cases, twice a year. The link between these plans is often referred to as the "Golden Thread".

5.0 Risks and Opportunities

5.1 Business Risk Management

Members and Officers are responsible for ensuring that risk is considered in the decisions they take and suitable arrangements are put in place to manage risk. The Joint Committee has responsibility for overseeing ERW's Business Risk Management arrangements.

The ERW risk register identifies the risks (threats) to the achievement of the ERW aims. As a live document, it is revised and updated on an ongoing basis and was last formally reviewed by the Joint Committee on 20 February 2020. The residual risk scores at February 2020 are shown below:

| Risk | Residual Risk Scores |
|--|----------------------|
| Failure to Comply with Estyn Action Plan | 12 |
| Cuts to School Budgets | 12 |
| ERW Governance | 12 |
| Data Protection | 12 |
| Timeliness of Welsh Government Funding | 9 |
| ERW found not to provide Value for Money | 8 |
| LA failure to comply with Grant Regulations | 8 |
| Pembrokeshire Estyn Monitoring result in follow-up | 8 |

| Risk | Residual Risk Scores |
|---|----------------------|
| Carmarthenshire Estyn Monitoring results in follow-up | 8 |
| Powys Estyn Monitoring results in continued follow-up | 8 |
| WG Grant Compliance | 8 |
| Delivery of National Mission | 6 |
| Failure to Deliver Business Plan | 6 |
| Swansea Estyn Monitoring results in follow-up | 4 |
| Neath Port Talbot Estyn Monitoring results in follow-up | 4 |
| Ceredigion Estyn Monitoring results in follow-up | 4 |

5.2 Key Financial Risks for 2020-21 and Beyond

Some of the key risks considered by ERW when setting the budget for 2020-21 are outlined below:

- Producing a budget when the requirements and assumptions are changing on an ongoing basis is extremely challenging.
- In order to ensure a balanced budget for 2020-21, and to mitigate the financial pressure caused by the loss of Neath Port Talbot County Borough Council, it will be financed by increased contributions from the five remaining local authorities, to a value of £480k, and an increased contribution from the unused Education Workforce Council (EWC) funding carried forward.
- The total ERW reserves are diminishing with only £45k remaining at the end of 2019-20 (Earmarked Joint Committee Reserve £352k, General Working Reserve £100k and Pensions Reserve (£407k)), however, there are no reserves required to support the Central Team budget for 2020-21. The key risk to the reserves is any future pressure on the Pensions Reserve in 2020-21 and beyond and any costs associated with the changes to ERW and its footprint. There is a carried forward balance on the EWC unused funding of £465k at the end of 2019-20.
- Grant Offer letters for the Regional Consortia School Improvement Grant (RCSIG) and Pupil Development Grant (PDG) have been delayed, pending agreement between Welsh Government and ERW in supporting Neath Port Talbot County Borough Council in 2020-21.
- It is not known whether Welsh Government will grant £500k transitional flexibility in the RCSIG, as in 2019-20.
- Due to the anticipated changes to ERW and its footprint, work in respect of the longer term financial and funding model for ERW has been paused.

6.0 Strategy and Resource Allocation

6.1 Grant Allocations

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
- Developing the Profession
- Leadership
- Strong and Inclusive Schools
- School Improvement.

The terms and conditions of the grant are carefully adhered to, and whenever possible clear links are made between grants to enable greater value for money when planning expenditure. An update is included in the Finance Report provided to the Joint Committee at each meeting.

6.2 Welsh Government Grant Funding

The various Welsh Government grants received in 2019-20 are outlined in Note 13.

7.0 Performance

7.1 Performance Reporting

Regional performance in terms of examination results and progress implementing the Business Plan is reported to the Joint Committee.

7.2 Financial Reporting

The Joint Committee are generally provided with a Finance Update Report from the S151 Officer at each of their meetings.

7.3 Summarised Financial Performance for 2019-20

The summarised financial performance provides a high level overview of the financial position of the Consortium as at 31 March 2020. Set out in the following paragraphs is the final outturn position for 2019-20 compared to the original estimate agreed by the ERW Joint Committee on 3 April 2019 and consideration of the Central Team budget and funding position for 2020-21 approved by the Joint Committee on 21 July 2020.

7.4 Revenue Expenditure

| Central Team | 2019-20 | | 2019-20 | 2019-20 | 2018-19 |
|---|---------------------------|----------------------------|----------------------------|----------------------------|----------------------------|
| | Central Team | | Grants | Total | Total |
| | Original Estimate £000 | Actual Expenditure £000 | Actual Expenditure £000 | Actual Expenditure £000 | Actual Expenditure £000 |
| Gross Expenditure | | | | | |
| Employees | 683 | 797 | 3,176 | 3,973 | 5,294 |
| Premises | 34 | 76 | - | 76 | 40 |
| Transport | - | 7 | 57 | 64 | 126 |
| Translation | 15 | 4 | 32 | 36 | 51 |
| Supplies & Services | 131 | 68 | 95 | 163 | 202 |
| Consultancy | 14 | 27 | 668 | 695 | 705 |
| Support Services | 88 | 68 | 71 | 139 | 115 |
| Payments to Schools via LA's for specific work | - | - | 2,407 | 2,407 | 1,771 |
| Facilitation | 75 | 7 | 112 | 119 | 170 |
| Grants Passported to LA's | - | - | 57,194 | 57,194 | 61,439 |
| Bad debt provision | - | (20) | - | (20) | 20 |
| Total Gross Expenditure | 1,040 | 1,034 | 63,812 | 64,846 | 69,933 |
| Income | | | | | |
| Contributions from Member Authorities | (250) | (250) | - | (250) | (250) |
| Welsh Government Grant | (500) | (500) | (63,404) | (63,904) | (69,278) |
| Other Grant Income | - | - | (398) | (398) | (341) |
| Use of unused EWC Funding | - | (231) | - | (231) | - |
| Miscellaneous Income | (290) | (83) | (10) | (93) | (4) |
| Total Income | (1,040) | (1,064) | (63,812) | (64,876) | (69,873) |
| Net Expenditure | - | (30) | - | (30) | 60 |
| Appropriation from Reserve | - | - | - | - | (60) |
| Appropriation to Reserve | - | 30 | - | 30 | - |

Commentary on the 2019-20 Revenue Performance

The ERW Consortium gross expenditure for 2019-20 totalled £64.85m which included £57.1m of grants being passported directly to the six constituent Local Authorities.

The ERW Joint Committee and Executive Board received regular budget monitoring reports and financial updates throughout the year and were updated on additional grant resources as they became available. All Joint Committee reports can be found on the ERW website www.erw.wales.

The Central Team and their capacity to support the region was maintained in 2019-20. During 2019-20, the Review and Reform Programme resulted in a restructure of ERW and a move from seconded employees for the Cluster Leaders of Learning to a more streamlined and specialism focussed permanent workforce, resulting in significant cost savings during the year.

Local Authorities were invoiced for their contributions for 2019-20 in the sum of £250k. Unlike other consortia, ERW does not directly employ School Improvement Challenge Advisors. They are employed by each Local Authority and work collaboratively across the region as a whole as and when necessary to deliver an effective service. ERW therefore only directly employs a small administrative Central Team which supports the Managing Director.

Contributions towards the costs of the Central Team were split between the six Local Authorities on the basis of pupil numbers for 2019-20:

| Local Authority | % of Pupils in Region | Contribution |
|-----------------|-----------------------|-----------------|
| Powys | 13.4% | £33,535 |
| Ceredigion | 7.5% | £18,692 |
| Pembrokeshire | 13.5% | £33,895 |
| Carmarthenshire | 21.3% | £53,167 |
| Swansea | 28.0% | £69,998 |
| NPT | 16.3% | £40,713 |
| Total | 100% | £250,000 |

These percentages were also used for apportioning reserves across the six Local Authorities.

£500k of the costs of the Central Team have been funded by various Welsh Government grants.

7.4.1 Budget and Funding Position 2020-21

| Central Team | 2020-21 Total Estimated Expenditure £000 |
|---------------------------------------|---|
| Gross Expenditure | |
| Employees | 848 |
| Premises | 59 |
| Supplies & Services | 183 |
| Total Gross Expenditure | 1,090 |
| Income | |
| Contributions from Member Authorities | (480) |
| Welsh Government Grant | (312) |
| Miscellaneous Income | (298) |
| Total Income | (1,090) |
| Net Expenditure | 0 |
| Appropriation from Reserve | - |

7.4.2 Implications and Risks

It is not anticipated that there are any unbudgeted commitments or liabilities arising from 2019-20 that the Consortium cannot meet. Risks in respect of the future of ERW and the future footprint for education through regional working are outlined in 2.1 and 5.2.

Risk areas are also noted within the Contingent Liabilities note 15.3.

7.4.3 Capital Investment

There was no capital expenditure in 2019-20. Capital grants from Welsh Government are issued direct to the relevant Local Authority.

7.4.4 Assets and Liabilities

Current Assets and Current Liabilities

Total ERW debtors were valued at £158k, for grant funding due from Welsh Government and payment of secondment invoices which have both been paid during 2020-21. No issues have been identified in relation to the impairment of any other current assets.

No issues have been identified regarding the settlement of current liabilities.

Pensions Liability

ERW participates in two pension schemes - the Dyfed Pension Fund and the Teachers' Pension Fund.

Dyfed Superannuation Scheme, which is administered by Carmarthenshire County Council, is a funded defined scheme to which both employees and the ERW Joint Committee as employers pay contributions. The scheme operates under the legislation appertaining to Local Government Pensions.

A composite employer's contribution rate used in 2019-20 was calculated by the Fund's actuary based on the valuation as at 31 March 2019 for all employees of ERW who are members of the scheme.

The Fund was valued as at 31 March 2019. The results of this valuation are reflected in the 2019-20 accounts.

The Dyfed Fund has seen an overall increase in its net deficit. A pension liability of £251.2m as recorded at 31 March 2020 (compared to £168.4m at 31 March 2019) for Pembrokeshire County Council. The share of the pension liability relating to ERW has increased to £0.407m at 31 March 2020 (compared to £0.316m at 31 March 2019), with the remainder relating to Pembrokeshire County Council. It is not anticipated that there is any cause for concern at this stage, as the actuarial assumptions used to calculate the balance sheet position are complex, meaning that the actual payments could differ to this. The position will be recovered in the longer term with the Fund able to meet its commitments

Implications and Risks

Auto-enrolment of staff in the Scheme was introduced during 2017.

The new all Wales Pensions Investment Pool was created as a result of a National UK agreement with the Treasury Department to increase the size of the investment funds and reduce administration costs. The all Wales fund is administered by Carmarthenshire County Council and took effect from April 2018. The new fund will be responsible for investing the funds of the current 8 Local Government pension funds. Each existing pension fund within the all Wales pooled investment fund will continue to be able to set its own investment criteria and strategies.

The major risks facing the ERW Joint Committee relate to:

- The overall number of contributors to the fund relative to the number of pensioners falling significantly resulting in higher employer contribution rates.
- Any consequential increase in employer contribution rates arising from the ongoing reforms outlined above or poor economic performance of the Dyfed Fund investments.

Given the small number of employees employed by ERW its exposure to these risks is small.

Teachers Pension Scheme

The scheme is administered by the Department for Education in England and Wales. This is an unfunded scheme, meaning that there are no investment assets accumulated to meet pension costs before they arise, and therefore no fund assets or liabilities appearing in the ERW Joint Committee's Balance Sheet.

Pembrokeshire County Council is responsible for the costs of any additional benefits awarded upon early retirement outside of the terms of the teachers scheme.

Implications and Risks

The Government introduced reforms to Teachers pensions from April 2015. Future pensions will be based around career average pension as opposed to final salary pensions.

The major risk facing the ERW Joint Committee relates to the consequential increase in employer contribution rates arising from the falling contributor to pensioner ratios and from the reforms outlined above.

7.4.5 Usable Reserves and Balances

General Working Reserve

This reserve constitutes ERW's working balance and is maintained to meet day to day operational eventualities. It was created in 2016-17 in order to provide an adequate level of funding to deal with any unexpected expenditure. This reserve had a balance of £100k at the end of 2019-20.

Earmarked Reserves

These constitute balances held at the year-end for specific purposes and will be used in accordance with those specific requirements. These reserves had a balance of £352k at the end of 2019-20.

Education Workforce Council (EWC) Unused Funding

The EWC provides ERW with grant funding on an annual basis to fund training. When the cost of providing the training has been less than the annual grant, the EWC have advised that they do not require the grant to be returned and a balance has accrued. There was a balance of £465k at the end of 2019-20.

7.4.6 Significant Interests

Members of the ERW Joint Committee, Lead Officers and Officers of the Executive Board are required to declare potential conflicts of interest arising from employment and other arrangements. There are no conflicts of interests to report.

7.4.7 Payments to Auditors

It is estimated that £13k will be paid to the Audit Wales for its work auditing the 2019-20 financial statements. All grant certification will be subject to Internal Audit as required by Welsh Government.

7.4.8 Post Balance Sheet Events

Despite the onset of the Covid-19 pandemic at the end of the 2019-20 financial year, resulting in an unprecedented response from the ERW constituent Authorities, there are no events judged as material to ERW's financial position at 31 March 2020.

Any events taking place between 24 July 2020 and 13 November 2020, the date the audited Statement of Accounts being authorised for issue by the ERW S151 Officer, will be reported and approved by the ERW Joint Committee. There are no events to be reported.

8.0 Outlook

The future outlook for ERW has been outlined in this Narrative Report and is dependent on ongoing discussions between Carmarthenshire County Council, Pembrokeshire County Council, Ceredigion County Council, Powys County Council, Neath Port Talbot County Borough Council, the City and County of Swansea Council and Welsh Government in respect of the future regional footprint for Education through Regional Working.

9.0 Basis of Preparation and Presentation

Any matters which may affect ERW's ability to deliver its Business Plan over the short, medium and long term have been identified in the body of this Narrative Report.

If you need any more information about the ERW Statement of Accounts, please contact the Director of Resources, Pembrokeshire County Council, County Hall, Haverfordwest, SA61 1TP. The ERW Statement of Accounts will also be available on ERW's internet site.



**Jonathan Haswell FCCA
Director of Resources and ERW S151 Officer
13 November 2020**

The Independent Auditor's Report of the Auditor General for Wales to the Members of the Education Through Regional Working Joint Committee

Report on the audit of the financial statements

Opinion

I have audited the financial statements of Education through Regional Working Joint Committee for the year ended 31 March 2020 under the Public Audit (Wales) Act 2004.

ERW's financial statements comprise the Movement in Reserves Statement, the Comprehensive Income and Expenditure Statement, the Balance Sheet, the Cash Flow Statement, and the related notes, including a summary of significant accounting policies.

The financial reporting framework that has been applied in their preparation is applicable law and the Code of Practice on Local Authority Accounting in the United Kingdom 2019-20 based on International Financial Reporting Standards (IFRSs).

In my opinion the financial statements:

- give a true and fair view of the financial position of ERW as at 31 March 2020 and of its income and of its income and expenditure for the year then ended; and
- have been properly prepared in accordance with legislative requirements and the Code of Practice on Local Authority Accounting in the United Kingdom 2019-20.

Basis for opinion

I conducted my audit in accordance with applicable law and International Standards on Auditing in the UK (ISAs (UK)). My responsibilities under those standards are further described in the auditor's responsibilities for the audit of the financial statements section of my report. I am independent of the Joint Committee in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK including the Financial Reporting Council's Ethical Standard, and I have fulfilled my other ethical responsibilities in accordance with these requirements. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Conclusions relating to going concern

I have nothing to report in respect of the following matters in relation to which the ISAs (UK) require me to report to you where:

- the use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the responsible financial officer has not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the Joint Committee's ability to continue to adopt the going concern basis of accounting for a period of at least 12 months from the date when the financial statements are authorised for issue.

Other information

The responsible financial officer is responsible for the other information in the annual report and accounts. The other information comprises the information included in the annual report other than the financial statements and my auditor's report thereon. My opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated later in my report, I do not express any form of assurance conclusion thereon.

In connection with my audit of the financial statements, my responsibility is to read the other information to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by me in the course of performing the audit. If I become aware of any apparent material misstatements or inconsistencies, I consider the implications for my report.

Report on other requirements

Opinion on other matters

In my opinion, based on the work undertaken in the course of my audit:

- the information contained in the Narrative Report for the financial year for which the financial statements are prepared is consistent with the financial statements and the Narrative Report has been prepared in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom 2019-20; and
- The information given in the Governance Statement for the financial year for which the financial statements are prepared is consistent with the financial statements and the Governance Statement has been prepared in accordance with guidance.

Matters on which I report by exception

In the light of the knowledge and understanding of the Joint Committee and its environment obtained in the course of the audit, I have not identified material misstatements in the Narrative Report or the Governance Statement.

I have nothing to report in respect of the following matters, which I report to you, if, in my opinion:

- proper accounting records have not been kept;
- the financial statements are not in agreement with the accounting records and returns; or
- I have not received all the information and explanations I require for my audit.

Certificate of completion of audit

I certify that I have completed the audit of the accounts of the Education through Regional Working Joint Committee in accordance with the requirements of the Public Audit (Wales) Act 2004 and the Auditor General for Wales' Code of Audit Practice.

Responsibilities

Responsibilities of the responsible financial officer for the financial statements

As explained more fully in the Statement of Responsibilities for the Statement of Accounts set out on page 14-15, the responsible financial officer is responsible for the preparation of the statement of accounts, which give a true and fair view, and for such internal control as the responsible financial officer determines is necessary to enable the preparation of statements of accounts that are free from material misstatement, whether due to fraud or error.

In preparing the statement of accounts, the responsible financial officer is responsible for assessing the Joint Committee's ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless deemed inappropriate.

Auditor's responsibilities for the audit of the financial statements

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of the auditor's responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website www.frc.org.uk/auditorsresponsibilities. This description forms part of my auditor's report.

Adrian Crompton
Auditor General for Wales
17 November 2020

24 Cathedral Road
Cardiff
CF11 9LJ

STATEMENT OF ACCOUNTS

ERW JOINT COMMITTEE

STATEMENT OF RESPONSIBILITIES FOR THE STATEMENT

The ERW Joint Committee's Responsibilities

The ERW Joint Committee is required:

- To make arrangements for the proper administration of its financial affairs and to ensure that one of its officers has the responsibility for the administration of those affairs. In this ERW Joint Committee, that officer is the Director of Resources of Pembrokeshire County Council.
- To manage its affairs to secure the economic, efficient and effective use of resources and safeguard its assets.
- To approve the Statement of Accounts.

The Director of Resources Responsibilities

The Director of Resources is responsible for the preparation of the Joint Committee Statement of Accounts in accordance with proper practices as set out in the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom (the Code).

In preparing this Statement of Accounts, the Director of Resources has:

- Selected suitable accounting policies and then applied them consistently;
- Made judgments and estimates that were reasonable and prudent;
- Complied with the Code.

The Director of Resources has also:

- Kept proper accounting records which were up to date;
- Taken reasonable steps for the prevention and detection of fraud and other irregularities.

CERTIFICATE OF DIRECTOR OF RESOURCES

The Statement of Accounts of the ERW Joint Committee for the year ended 31 March 2020 is contained on Sections 10 to 15, and is produced in accordance with the requirements of the Local Government Accounts and Audit (Wales) Regulations 2014, (as amended). The Regulations prescribe the contents of the Statement of Accounts and it is upon the contents only that the Audit opinion is expressed.

I certify the accounts present a true and fair view of the financial position of the ERW Joint Committee as at 31 March 2020 and its income and expenditure for the year ended 31 March 2020 and append my signature to the Statement in accordance with Regulation 10(1).



J HASWELL FCCA

Director of Resources & ERW S151 Officer

Date: 13 November 2020

REPORTING AND APPROVAL

These accounts, initially published on 24 July 2020 will be reported to the ERW Joint Committee for approval following the conclusion of the Annual Audit on 13 November 2020. The audit certificate is shown on pages 12-13.

Councillor Emlyn Dole
Chair of ERW Joint Committee

Offices Address: Y Llwyfan,
College Road,
Carmarthen,
SA31 3EQ

Date: 13 November 2020

10 Core Financial Statements – Underlying Principles

The application of accounting standards, concepts, critical judgements and inherent risks, and accounting policies used in preparing the core financial statements are set out in the following pages.

10.1 Financial Reporting Standards

The International Financial Reporting and Other Standards that have been issued have been applied as required by the Code of Practice on Local Authority Accounting.

The Code of Practice requires that the Joint Committee discloses information relating to the impact of an accounting change that will be required by a new standard that has been issued but not yet adopted by the Code for the relevant financial year. There is one key change to accounting standards that will impact on the Joint Committee over the next three years.

- The CIPFA/LASAAC Local Authority Accounting Code Board (CIPFA/LASAAC) has agreed to defer the implementation of IFRS 16 Leases for one year in-line with the government's Financial Reporting Advisory Board's proposals for central government departments. This will mean the effective date for implementation is now 1 April 2021. This standard replaces the current guidance in IAS 17 on leases. The key change is that it largely removes the distinction between operating and finance leases for lessees by introducing a single lessee accounting model that requires a lessee to recognise assets and liabilities for all leases with a term of more than 12 months, unless the underlying asset is of low value. It will lead to all leases being recognised on the balance sheet as an asset based on a 'right of use' principle with a corresponding liability for future rentals.
- Amendments to IAS 19 Employee Benefits: plan amendment, curtailment of settlement have been adopted in the 2020-21 Code and will be applicable for the 2020-21 financial year.
- The Accounts and Audit (Wales) Regulations 2014 amended by SI 2018 No 91 requires Welsh Local Authorities to bring forward the accounts closure and publication timetable. The regulations require signing, approval and publication to take place by 31 July from 2021. Although the Authority has been producing its Statement of Accounts earlier than current regulations require for several years, the Covid-19 pandemic has resulted in the delay in publication of the 2019-20 Statement of Accounts to 8 October 2020.

The impact of the above changes are not considered to be material.

The Statement of Accounts set out in sections 11 to 15 have been prepared in compliance with the 2019-20 Code of Practice on Local Authority Accounting.

10.2 Accounting Concepts

The following pervasive accounting concepts have been used in the preparation of the Core Accounting Statements:

- Accruals basis
- Going concern

The qualitative characteristics of financial information continue to be employed:

- Relevance
- Comparability
- Verifiability
- Timeliness
- Understandability
- Materiality
- Faithful Representation
- Completeness, Neutrality, Free from Error
- Primacy of legislative requirements

10.3 Critical judgements in Applying Accounting Policies and Estimating Risk

In applying the accounting policies set below in section 10.4 the ERW Joint Committee has made judgements about the complex transactions and those involving uncertainty in future years.

There continues to be a high degree of uncertainty about the future level of funding for local government. Therefore whilst some grants may be reduced, given the relatively small number of employees directly employed by ERW, there is insufficient evidence to conclude that the Joint Committee activities will be severely impaired or reduced in future years.

Welsh Government consolidated many of the Regional Grants into one main grant for 2018-19, the Regional Consortia School Improvement Grant (RCSIG), with quarterly payment schedules. Grant Offer letters for RCSIG and PDG for 2020-21 have been delayed, pending agreement between Welsh Government and ERW in supporting Neath Port Talbot County Borough Council in 2020-21.

ERW was an alliance of six local authorities for 2019-20, but reduced to an alliance of five local authorities for 2020-21, with three of the remaining local authorities giving notice to leave ERW at the end of 2020-21. Discussions are ongoing between the six local authorities and Welsh Government in terms of the future footprint for education through regional working.

In certain instances it has been necessary to estimate the changes made in the accounts using historical experience, current trends etc. Actual results may be different from the assumptions made and consequently may affect the charges made in future years' accounts.

The main risk areas are set out in the following table:

| Issues appertaining to items in the current set of accounts: | | |
|--|--|--|
| Item | Risk | Potential Affect |
| Contractual Obligations | Incorrect quantifications and legal challenge | Additional charge to the Joint Committee and its Partner Authorities |
| Grant Funding | Claimed ineligible expenditure | Loss of grant with expenditure to be funded from core or grant clawback |
| Pension Liability | Actuarial assumptions incorrect | Increased Employer Contributions at future date |
| Confirmation of regional position as delivery mechanism for School improvement | Funding from WG and subsequent expectations | Inability to respond to increasing expectations of regional working. |
| Delay in receiving grant funding | Committed expenditure not being eligible. Poor planning. | Loss of grant with expenditure to be funded from core or grant clawback. Adverse cashflow. |
| Governance Review and Reform Programme | Decisions not made in timely manner | Delay in improvements Grant clawback or loss of grant funding |
| Core LA funding not being received | Break-up of the Consortium | Loss of Welsh Government grant Cessation of regional working |

| Issues potentially impacting the accounts in the future | | |
|--|--|--|
| Item | Risk | Potential Affect |
| Changes in Political Priorities | Reduced funding | Reduction in service, or cessation of regional working |
| Educational Outcomes | Pupils attainment does not improve at the necessary pace | Loss of future grant funding/ Local Authorities having to change support levels to ERW |
| Grant Funding | Claimed ineligible expenditure | Loss of grant with expenditure to be funded from core or grant clawback |

| Item | Risk | Potential Affect |
|---|--|--|
| Demographic Change | Assumptions Incorrect | Increased service & contractual costs |
| Grant Funding / Brexit | Loss of grant from Welsh Government & Europe | Reduction in service provision |
| Covid-19 | Economic instability and uncertainty. | Increased costs of service provision |
| | Reduced Welsh Government funding. | Reduction in service provision |
| Transformation/ Alternative Service Delivery | Changed ways of working do not deliver assumed financial savings | Budget over/under spend Separate accounting arrangements |
| Welsh Language Standard | Assumption incorrect | Increased service & contractual costs |
| Wellbeing of Future Generations Act | Act not considered in decision making | Cost of corrective action |
| Grant funding withheld by Welsh Government | ERW not adhering to regional nature of grant conditions | Schools do not access the support required. |
| ERW – Future provision of education through regional working. | Regional service does not continue | Insufficient support provided to schools to implement new curriculum and action the Estyn recommendations ERW constituent Authorities have to finance any cessation of ERW. |

10.4 Accounting Policies

The accounting policies used to prepare the Core Accounting Statements and the following Supporting Notes and Supplementary Financial Statements have been reviewed using the 2019-20 Code of Practice on Local Authority Accounting.

10.4.1 General Principles

The objective of the accounting policies adopted shall be to ensure that the Statement of Accounts provides a “true and fair” view of the financial position of the ERW Joint Committee.

The accounts shall be prepared in accordance with the latest Code of Practice on Local Authority Accounting, issued by the Chartered Institute of Public Finance and Accountancy (CIPFA) (the Code) and adhere to the relevant Financial Reporting Standards and Practices, unless otherwise stated.

Figures shall be included in the Financial Statements using the cost convention specified by the appropriate accounting standard.

The accounting policies shall be revised as required from those of the previous year to reflect changes in reporting requirement with any such changes being disclosed.

10.4.2 Going Concern, Exceptional, Extraordinary Items, Prior Year Adjustments & Events After the Reporting Period

The Financial Statements shall be prepared on a going concern basis unless there is an intention by government that the services will no longer be provided.

Extraordinary items - No items of income or expense will be treated as extraordinary. All items will therefore be accommodated within one of the specified lines of the Surplus or Deficit on the Provision of Services or the Other Comprehensive Income and Expenditure.

Exceptional items – When items of income and expense are material, their nature and amount will be disclosed separately, either on the face of the Comprehensive Income and Expenditure Account or in the notes to the accounts.

Unless otherwise sanctioned by the Code, material prior period adjustments shall result in a restatement of prior year figures and disclosure of the effect.

Material events occurring after the end of the reporting period shall, if applicable at the Balance Sheet date, amend the Statement of Accounts. Other events will be disclosed with an estimate of the likely financial effect. If amended after being issued prior to the conclusion of audit the responsible financial officer shall re-certify the revised Statement of Accounts as replacing that previously issued.

10.4.3 Leases and Lease-Type Arrangements

Recognition and Classification

Operating leases shall be defined as all other lease type arrangements not deemed to be finance leases. In considering property leases, land and buildings shall be considered separately for classification purposes, with land with an infinite life generally being recognised as an operating lease.

Operating Leases - the whole of the rental payable under operating leases shall be charged to the revenue account on a straight line basis over the term of the lease.

10.4.4 ERW Joint Committee Reserves (Working Balances)

Classification

Reserves shall be classified as usable, being available to support future expenditure or unusable being those required for financial accounting purposes.

Usable Reserves

The ERW Joint Committee shall govern the management and use of all reserves.

The expenditure financed from reserves shall be shown, when it is incurred, in the appropriate service section of the Comprehensive Income and Expenditure Statement.

The following circumstances shall allow amounts to be reserved from revenue:

- i. Material commitments exist for goods and services not received or paid for by 31 March
- ii. Facilitation of rolling over of funding to future years to ensure the cost effective use of resources and allow for variation in service demand from year to year
- iii. To set aside resources for future developments or contingencies

Unusable Reserves

The following financial reserves shall be maintained:

- i. Pension Reserve – to reflect the position of the Scheme's Fund.

Reporting

Appropriations to and from reserves shall be reported in the Movement in Reserves Statement.

10.4.5 Income & Expenditure

Employee Costs & Benefits

Salaries and wages shall be charged against the periods to which they relate and if necessary estimated accruals made using previous pay periods as a basis. An adjustment shall be made in the Comprehensive Income & Expenditure Account to take account of accrued leave entitlement.

Pension costs – see policy 10.4.7 below.

Supplies and Services Etc

The ERW Joint Committee operates a system of accruals and converted payments. Creditors will be accrued by the end of a predetermined period of the following year and by the inclusion of estimates for significant items remaining outstanding at this time based on quotations or past costs. An exception to this principle relates to electricity and similar periodic payments which are charged at the date of meter reading rather than being apportioned between financial years. This policy shall be consistently applied each year and therefore does not have a material effect on any year's accounts.

Support Services

All support services provided within and to the ERW Joint Committee will be charged as appropriate through Grant, within the scope of the Terms and Conditions, and Local Authority contributions. Support services are provided by an administration team within ERW and from Local Authorities through Service Level Agreements (SLAs).

Income

All income due to the ERW Joint Committee shall be accounted for at the due date and recognised at fair value.

10.4.6 Government Grants and Other Contributions

General

Government grants and other contributions shall be accounted for on an accruals basis and when the conditions for their receipt have been complied with and there is reasonable assurance that the grant or contribution will be received.

Revenue Grants and Contributions

Where a revenue grant or contribution has been received, and conditions remain outstanding at the Balance Sheet date, the grant or contribution shall be recognised as a receipt in advance. When the grant conditions are met it shall be recognised in Comprehensive Income and Expenditure Statement as income and be matched in the service revenue accounts with the expenditure to which it relates.

Repayment

In the event of repayment this shall first be applied to any receipt or contribution received in advance. To the extent that the repayment exceeds any such receipt in advance, or where no receipt in advance exists, the repayment shall be recognised within the Comprehensive Income and Expenditure Statement as an expense.

10.4.7 Employee Costs & Benefits

Benefits during Employment

Normal remuneration costs shall be charged as an expense in the period to which they relate.

A year end accrual shall be made in the Comprehensive Income and Expenditure Statement of any material costs arising from holiday entitlement not taken. However, not being a charge for taxation purposes shall be reversed out in the Movement in Reserves Statement.

Termination Benefits

Termination benefits shall be charged in the Comprehensive Income and Expenditure Statement when the ERW Joint Committee is demonstrably committed to the termination of employment.

Pension Costs

The pension contributions paid by the ERW Joint Committee shall be charged on an accruals basis to the appropriate service revenue account and, together with the contributions made by employees, shall be paid over to the respective fund.

Dyfed Pension Fund – The accounting policies applying to the Fund shall be determined by the administering Authority, Carmarthenshire County Council, who keep the accounts of the Fund and arrange for actuarial information to be provided to participating Bodies.

Pembrokeshire County Council, as an employing Authority for the ERW Joint Committee shall include the current service costs of pensions as calculated by the Fund's actuary in the cost of services in accordance with the requirements of IAS19 as this is accounted for as a defined benefit scheme.

These charges shall be reversed out in the Movement in Reserves Statement and the actual contributions paid to the Fund included to ensure that the correct cost is charged to the ERW Joint Committee.

Assets and liabilities pertaining to the ERW Joint Committee shall be disclosed on the Balance Sheet.

Teachers Pension Scheme - In the case of teachers, pensions are "unfunded" and are met from annual contributions, therefore no liability for future benefits shall be recognised in the Balance Sheet. The scheme is accounted for as a defined contribution scheme and the contributions payable are charged to the Consolidated Income and Expenditure Statement.

10.4.8 Debtors, Bad Debt Impairment & Creditors

General Debtors shall be recognised in the Balance Sheet and measured at fair value of the amount receivable when revenue has been recognised. In the majority of cases fair value will equate to the cash value but in the case of long term debtors the value shall be discounted by the appropriate rate to reflect fair value. The adjustment shall be made in the Comprehensive Income and Expenditure Statement but not being a proper charge to the ERW Joint Committee shall be reversed in the Movement in Reserves Statement to the Financial Instrument Adjustment Account.

Where revenue has been recognised but cash has not been received, a debtor for the relevant amount is recorded in the Balance Sheet. Where debts may not be settled, the balance of debtors is written down and a charge made to revenue for the income that might not be collected.

General Creditors shall be recognised in the Balance Sheet and measured at fair value of the amount payable when goods have been delivered or services rendered. In the majority of cases fair value will equate to the cash value but in the case of long term creditors the value shall be discounted by the appropriate rate to reflect fair value. The adjustment shall be made in the Comprehensive Income and Expenditure Statement but not being a proper charge to the ERW Joint Committee fund shall be reversed in the Movement in Reserves Statement to the Financial Instrument Adjustment Account.

10.4.9 Cash and Cash Equivalents

Represented by funds that are held to meet short-term cash commitments, rather than invested for other purposes, and that are readily convertible to known amounts of cash. The amount of cash and cash equivalents so defined shall be determined by reference to the daily cash flow forecasts.

10.4.10 VAT

Transactions shall be shown net of VAT to the extent that it is recoverable/payable.

10.4.11 Related Parties

The following disclosures shall be made in respect of material transactions with related parties not disclosed elsewhere in the Statement of Accounts:

- i. Nature of the relationship and influence exerted either by or on the ERW Joint Committee
- ii. The aggregate of transactions in the year separately showing payable and receivable amounts
- iii. Outstanding balances as at 31 March.

10.4.12 Contingent Liabilities and Assets

Contingent Liabilities

A contingent liability arises where an event has taken place that gives ERW a possible obligation whose existence will only be confirmed by the occurrence or otherwise of uncertain future events not wholly within the control of ERW. Contingent liabilities also arise in circumstances where a provision would otherwise be made but either it is not probable that an outflow of resources will be required or the amount of the obligation cannot be measured reliably.

Contingent liabilities are not recognised in the Balance Sheet but disclosed in a note to the accounts.

Contingent Assets

A contingent asset arises where an event has taken place that gives ERW a possible asset whose existence will only be confirmed by the occurrence or otherwise of uncertain future events not wholly within the control of ERW.

Contingent assets are not recognised in the Balance Sheet but disclosed in a note to the accounts where it is probable that there will be an inflow of economic benefits or service potential.

11.0 Core Financial Statements – Components and Detail

The core financial statements, prepared using International Financial Reporting Standards, (IFRS) comprise of:

- The Comprehensive Income and Expenditure Statement - showing the accounting cost in the year of providing services measured on an IFRS basis as opposed to the cost actually funded from taxation. The reconciliation to the taxation position, as represented by the actual funds available to the ERW Joint Committee, is shown in the Expenditure and Funding Analysis (note 11.1)
- The Movement in Reserves Statement – showing the movement on the different reserves held by the ERW Joint Committee analysed between usable reserves and unusable reserves held for financial accounting purposes.
- The Balance Sheet - which sets out the financial position on 31 March in terms of the value of assets and liabilities recognised by the ERW Joint Committee and the reserves held by the ERW Joint Committee
- The Cash Flow Statement - which summarises the inflows and outflows of cash and cash equivalents with third parties arising from revenue and capital transactions.

Supporting Notes and Supplementary Financial Statements

These comprise of:

- The Expenditure and Funding Analysis.
- Notes to the core financial statements.

11.1 Expenditure and Funding Analysis

This statement shows the reconciliation between how annual expenditure is used and funded from resources (government grants and contributions) by ERW as reported to management in comparison with those resources consumed or earned by ERW in accordance with generally accepted accounting practices (IFRS basis). It also shows how this expenditure is allocated for decision making purposes between ERW's services. Income and expenditure accounted for under generally accepted accounting practices is presented more fully in the Comprehensive Income and Expenditure Statement.

| 2018-19 | | | | 2019-20 | | |
|----------------------|---|--|--|----------------------|---|--|
| Net Expenditure £000 | Adjustments between the Funding and Accounting Basis £000 | Net Expenditure in the Comprehensive Income and Expenditure Statement £000 | | Net Expenditure £000 | Adjustments between the Funding and Accounting Basis £000 | Net Expenditure in the Comprehensive Income and Expenditure Statement £000 |
| | | | Expenditure | | | |
| 5,294 | 111 | 5,405 | Employees | 3,973 | 71 | 4,044 |
| 40 | | 40 | Premises | 76 | | 76 |
| 126 | | 126 | Transport / Mileage | 64 | | 64 |
| 51 | | 51 | Translation | 36 | | 36 |
| 202 | | 202 | Supplies & Services | 163 | | 163 |
| 705 | | 705 | Consultancy | 695 | | 695 |
| 115 | | 115 | Support Services | 139 | | 139 |
| | | | Payments to Schools via LA's for ERW defined projects | 2,407 | | 2,407 |
| 1,771 | | 1,771 | Training / Conferences | 119 | | 119 |
| 170 | | 170 | Grants passported to LA's | 57,194 | | 57,194 |
| 61,439 | | 61,439 | Bad debt provision | (20) | | (20) |
| 20 | | 20 | Total Expenditure | 64,846 | 71 | 64,917 |
| 69,933 | 111 | 70,044 | Income | | | |
| | | | Contributions from Member Authorities | (250) | | (250) |
| (250) | | (250) | Welsh Government Grant | (63,904) | | (63,904) |
| (69,278) | | (69,278) | Other Grant Income | (398) | | (398) |
| (341) | | (341) | Miscellaneous Income | (93) | | (93) |
| (4) | | (4) | Use of funding b/fwd | (231) | | (231) |
| (69,873) | | (69,873) | Total Income | (64,876) | | (64,876) |
| | | | WG Grant Passported to Member Authorities | | | |
| | | | (Surplus) / Deficit on Continuing Operations | (30) | 71 | 41 |
| | | | Financing & Investment Income and Expenditure | | | |
| | | | Net Pensions Interest | - | 20 | 20 |
| | | | Remeasurement of Pension Liabilities and Assets | - | - | - |
| | | | (Surplus) or Deficit on Provision of Services (See note 12.0) | (30) | 91 | 61 |
| 60 | 24 | 84 | TOTAL COMPREHENSIVE INCOME & EXPENDITURE | (30) | 91 | 61 |

| | 2018-19 Fund Balance £000 | 2019-20 Fund Balance £000 |
|--|---------------------------------|---------------------------------|
| Opening General Fund, Usable Earmarked Reserves | (382) | (322) |
| Surplus)/Deficit on General Fund | 60 | (30) |
| Closing General Fund, Usable Earmarked Reserves | (322) | (352) |

11.2 Comprehensive Income and Expenditure Statement

This statement shows the economic cost in the year of providing services in accordance with generally accepted accounting practice.

The Comprehensive Income and Expenditure Statement can be summarised as follows:

- **Surplus/Deficit on Continuing Operations** – analyses by subjective groupings, the day to day income and expenditure on such items as employee remuneration, running costs of services, service specific grants, fees and charges.

In accordance with the Code requirements, the operating income and expenditure of services include the following “notional” costs that are “reversed out” in the Movement in Reserves Statement:

- Current service pension costs.
- **Other Comprehensive Income & Expenditure** – shows the surplus or deficit arising from the re-measurement of pension assets and liabilities.

| COMPREHENSIVE INCOME AND EXPENDITURE STATEMENT | Note | 2018-19 | | | 2019-20 | | |
|--|-------------|---------------------|-----------------|---------------------|---------------------|-----------------|---------------------|
| | | Gross | Income | Net | Gross | Income | Net |
| | NO. | Expenditure £000 | £000 | Expenditure £000 | Expenditure £000 | £000 | Expenditure £000 |
| Expenditure | | | | | | | |
| Employees | | 5,405 | - | 5,405 | 4,044 | - | 4,044 |
| Premises | | 40 | - | 40 | 76 | - | 76 |
| Transport / Mileage | | 126 | - | 126 | 64 | - | 64 |
| Translation | | 51 | - | 51 | 36 | - | 36 |
| Supplies & Services | | 202 | - | 202 | 163 | - | 163 |
| Consultancy | | 705 | - | 705 | 695 | - | 695 |
| Support Services | | 115 | - | 115 | 139 | - | 139 |
| Payments to Schools via LA's for ERW defined projects | | 1,771 | - | 1,771 | 2,407 | - | 2,407 |
| Training / Conferences | | 170 | - | 170 | 119 | - | 119 |
| Bad debt provision | | 20 | - | 20 | (20) | - | (20) |
| Total Expenditure | | 8,605 | - | 8,605 | 7,723 | - | 7,723 |
| Income | | | | | | | |
| Contributions from Member Authorities | | - | (250) | (250) | - | (250) | (250) |
| Welsh Government Grant | | - | (7,839) | (7,839) | - | (6,710) | (6,710) |
| Other Grant Income | | - | (341) | (341) | - | (398) | (398) |
| Miscellaneous Income | | - | (4) | (4) | - | (93) | (93) |
| Use of funding b/fwd | | - | - | - | - | (231) | (231) |
| Total Income | | - | (8,434) | (8,434) | - | (7,682) | (7,682) |
| WG Grant Passported to Member Authorities | 13.1 | | | | | | |
| Carmarthenshire | | 13,069 | (13,069) | - | 12,122 | (12,122) | - |
| Ceredigion | | 4,105 | (4,105) | - | 3,780 | (3,780) | - |
| Neath Port-Talbot | | 11,186 | (11,186) | - | 10,635 | (10,635) | - |
| Pembrokeshire | | 7,979 | (7,979) | - | 7,353 | (7,353) | - |
| Powys | | 7,708 | (7,708) | - | 6,874 | (6,874) | - |
| City and County of Swansea | | 17,392 | (17,392) | - | 16,430 | (16,430) | - |
| | | 61,439 | (61,439) | - | 57,194 | (57,194) | - |
| (Surplus) / Deficit on Continuing Operations | | 70,044 | (69,873) | 171 | 64,917 | (64,876) | 41 |
| Financing & Investment Income and Expenditure | | | | | | | |
| Net Pensions Interest | 13.2 | | | 37 | | | 20 |
| Remeasurement of Pension Liabilities and Assets | | | | (124) | | | - |
| (Surplus) or Deficit on Provision of Services | | | | 84 | | | 61 |
| TOTAL COMPREHENSIVE INCOME & EXPENDITURE | | | | 84 | | | 61 |

11.3 Movement in Reserves Statement

This Statement shows the movement in the year on the different reserves held by the ERW Joint Committee, analysed between usable (those that can be applied to fund expenditure) and other unusable reserves. The unusable reserves include reserves that hold unrealised gains and losses that are only realised when assets are sold and reserves that hold accounting differences needed to reconcile the differences between reporting on the IFRS accounting basis and the statutory funding basis.

The (Surplus)/Deficit on the provision of services reflects the economic cost of providing the ERW Joint Committee's services, more details of which are provided in the Comprehensive Income and Expenditure Statement on the following page.

| Actuals 2019-20 | ERW Usable Earmarked Reserves £000 | ERW General Working Reserve £000 | ERW Unusable Reserves £000 | Total ERW Reserves £000 |
|---|------------------------------------|----------------------------------|----------------------------|-------------------------|
| Balance 1st April 2019 | (322) | (100) | 316 | (106) |
| (Surplus) / Deficit On Provision of Services | 61 | - | - | 61 |
| Total Comprehensive Income & Expenditure (see page 24) | 61 | - | - | 61 |
| Adjustments Between Accounting Basis and Funding Basis Under Regulation (See note 14.0) | (91) | - | 91 | - |
| (Increase) / Decrease In Year | (30) | - | 91 | 61 |
| Balance 31st March 2020 | (352) | (100) | 407 | (45) |

| Actuals 2018-19 | ERW Usable Earmarked Reserves £000 | ERW General Working Reserve £000 | ERW Unusable Reserves £000 | Total ERW Reserves £000 |
|---|------------------------------------|----------------------------------|----------------------------|-------------------------|
| Balance 1st April 2018 | (382) | (100) | 292 | (190) |
| (Surplus) / Deficit On Provision of Services | 84 | - | - | 84 |
| Total Comprehensive Income & Expenditure (see page 24) | 84 | - | - | 84 |
| Adjustments Between Accounting Basis and Funding Basis Under Regulation (see note 14.0) | (24) | - | 24 | - |
| (Increase) / Decrease In Year | 60 | - | 24 | 84 |
| Balance 31st March 2019 | (322) | (100) | 316 | (106) |

11.4 Balance Sheet

This Statement shows the value at the Balance Sheet date of the assets and liabilities recognised by the ERW Joint Committee. The net assets (assets less liabilities) are matched by:

- Usable reserves comprising of the General Working Reserve and Earmarked Reserves.
- Unusable reserves comprising of reserves facilitating the adjustments required between accounting basis used to prepare the Statement of Accounts and the statutory funding basis under regulation.

| BALANCE SHEET AS AT 31st MARCH | Note No. | 2018-19 | | 2019-20 | |
|--|----------|---------|----------------|---------|----------------|
| | | £000 | £000 | £000 | £000 |
| CURRENT ASSETS: | | | | | |
| Short-term Debtors and Prepayments | 15.1.1 | 21 | | 158 | |
| Cash & Cash Equivalents | 15.2 | 1,845 | | 2,725 | |
| Total Current Assets | | | 1,866 | | 2,883 |
| TOTAL ASSETS | | | | | |
| CURRENT LIABILITIES | | | | | |
| Short-term Creditors | 15.1.2 | (655) | | (1,966) | |
| Receipt in Advance | 15.1.2 | (789) | | (465) | |
| Overdraft | 15.2 | - | | - | |
| Total Current Liabilities | | | (1,444) | | (2,431) |
| TOTAL ASSETS LESS CURRENT LIABILITIES | | | 422 | | 452 |
| Net Pension Fund Liability | 15.4 | (316) | | (407) | |
| TOTAL LONG TERM LIABILITIES | | | (316) | | (407) |
| NET ASSETS | | | 106 | | 45 |
| Usable Reserves | | | | | |
| - Earmarked Joint Committee Reserves | 14.2 | | (322) | | (352) |
| - General Working Reserve | 14.2 | | (100) | | (100) |
| Unusable Reserves | | | | | |
| - Pensions Reserve | 14.3 | | 316 | | 407 |
| TOTAL RESERVES | | | (106) | | (45) |

11.5 Cash Flow Statement

The Cash Flow Statement shows the changes in cash and cash equivalents during the reporting period, showing how the ERW Joint Committee generates and uses cash and cash equivalents by classifying cash flows into operating, investing and financing activities.

The amount of net cash flows arising from net operating activities is a key indicator of the extent to which operations are funded by way of grant income or from the recipients of services provided by the ERW Joint Committee.

All cash transactions are administered by Pembrokeshire County Council as ERW Joint Committee does not operate its own bank account.

| CASH FLOW STATEMENT | 2018-19 | | 2019-20 | |
|--|---------|----------------|---------|--------------|
| | £000 | £000 | £000 | £000 |
| Reconciliation of Comprehensive Income and Expenditure Statement to Net Revenue Cashflow | | | | |
| Net (Surplus)/Deficit on the provision of services | - | 84 | - | 61 |
| Adjustments to net surplus or deficit on the provision of services for non-cash movements | | | | |
| Pension fund adjustments | (24) | | (91) | |
| Movements in revenue debtors, creditors, stocks etc. | (2,501) | (2,525) | (850) | (941) |
| Net cash Flow from Operating Activities | | (2,441) | | (880) |
| NET INCREASE/(DECREASE) IN CASH & CASH EQUIVALENTS | | | | |
| Cash & Cash equivalents at the beginning of reporting period | (596) | | 1,845 | |
| Cash & Cash equivalents at the end of reporting period | 1,845 | | 2,725 | |
| INCREASE/(DECREASE) IN CASH & CASH EQUIVALENTS | | 2,441 | | 880 |

See note 15.1 for a breakdown of debtors and creditors and note 15.2 for cash at the end of the year.

12.0 Notes to the Expenditure and Funding Analysis

| | 2018-19 | | |
|--|---|-------------------|-------------------|
| | Net change for the Pensions Adjustments | Other Differences | Total Adjustments |
| | £000 | £000 | £000 |
| (Surplus) / Deficit on Continuing Operations | 111 | | 111 |
| Other Operating Expenditure | | | |
| Financing & Investment Income & expenditure | (87) | | (87) |
| Taxation and non-specific grant income | | | |
| Difference between General Fund surplus or deficit and Comprehensive Income and Expenditure Statement Surplus or Deficit on the Provision of Services | 24 | - | 24 |

| | 2019-20 | | |
|--|---|-------------------|-------------------|
| | Net change for the Pensions Adjustments | Other Differences | Total Adjustments |
| | £000 | £000 | £000 |
| (Surplus) / Deficit on Continuing Operations | 71 | | 71 |
| Other Operating Expenditure | | | |
| Financing & Investment Income & expenditure | 20 | | 20 |
| Taxation and non-specific grant income | | | |
| Difference between General Fund surplus or deficit and Comprehensive Income and Expenditure Statement Surplus or Deficit on the Provision of Services | 91 | - | 91 |

12.1 Net Change for the Pensions Adjustments

Net change for the removal of pension contributions and the addition of IAS 19 Employee Benefits pension related expenditure and income:

- For services this represents the removal of the employer pension contributions made by ERW as allowed by statute and the replacement with current service costs and past service costs.
- For financing and investment income and expenditure — the net interest on the defined benefit liability is charged to the CIES.

13.0 Notes to the Comprehensive Income & Expenditure Statement

13.1 Revenue Grants

The table below sets out specific grant income from Welsh Government and Other Grant Awarding Bodies. The Grants held centrally are further analysed on the next page.

| Revenue Grants | 2018-19 | Grants Allocated Direct to Authority | Grants Held Centrally | 2019-20 | Grants Allocated Direct to Authority | Grants Held Centrally |
|---|-----------------|--------------------------------------|-----------------------|-----------------|--------------------------------------|-----------------------|
| | £000 | £000 | £000 | £000 | £000 | £000 |
| Pupil Development Grant | (24,492) | (24,214) | (278) | (24,425) | (24,282) | (143) |
| National Qualification for Headteachers | (113) | - | (113) | - | - | - |
| EWC NQT Moderation | (341) | - | (341) | (398) | - | (398) |
| British Council Grant | (14) | - | (14) | - | - | - |
| Informal Use Welsh | (191) | - | (191) | - | - | - |
| National Tests | (5) | (5) | - | - | - | - |
| Raising Standards | (37) | - | (37) | - | - | - |
| Regional Consortia School Improvement Grant | (44,414) | (37,220) | (7,194) | (39,335) | (32,912) | (6,423) |
| Regional Consortia School Improvement Grant b/fwd | - | - | - | (144) | - | (144) |
| Others | (12) | - | (12) | - | - | - |
| Total Revenue Grants | (69,619) | (61,439) | (8,180) | (64,302) | (57,194) | (7,108) |
| Total All Grants Offered to ERW | (69,619) | (61,439) | (8,180) | (64,302) | (57,194) | (7,108) |

The above revenue grants have been accounted as follows during the year:

| Revenue Grants | 2018-19 | Grants Allocated Direct to Authority | Grants Held Centrally | 2019-20 | Grants Allocated Direct to Authority | Grants Held Centrally |
|--|-----------------|--------------------------------------|-----------------------|-----------------|--------------------------------------|-----------------------|
| | £000 | £000 | £000 | £000 | £000 | £000 |
| Welsh Government Grants | | | | | | |
| Received | (69,252) | (61,439) | (7,813) | (63,904) | (57,194) | (6,710) |
| EWC | (341) | - | (341) | (398) | - | (398) |
| Others | (12) | - | (12) | - | - | - |
| British Council | (14) | - | (14) | - | - | - |
| Grants Credited As Income in Year | (69,619) | (61,439) | (8,180) | (64,302) | (57,194) | (7,108) |

Further analysis of the Grants held centrally:

| Revenue Grants | 2018-19 | Grants Held Centrally | 2019-20 | Grants Held Centrally |
|---|---------|-----------------------|---------|-----------------------|
| | | £000 | | £000 |
| Payments to schools via LA's for specific work | | | | |
| Powys | 265 | | 471 | |
| Ceredigion | 122 | | 263 | |
| Pembrokeshire | 279 | | 250 | |
| Carmarthenshire | 394 | | 347 | |
| City and County of Swansea | 423 | | 641 | |
| Neath Port-Talbot | 237 | | 378 | |
| General | 51 | | 47 | |
| | | 1,771 | | 2,397 |
| Other expenditure | | | | |
| Employees | 4,964 | | 3,176 | |
| Grants covering central team | 275 | | 500 | |
| Transport / Mileage | 123 | | 57 | |
| Translation | 39 | | 32 | |
| Supplies & Services | 849 | | 763 | |
| Facilitation | 159 | | 183 | |
| | | 6,409 | | 4,711 |
| Total expenditure | | 8,180 | | 7,108 |

13.2 Pension Costs

The ERW Joint Committee participates in two pension schemes:

13.2.1 The Dyfed Superannuation Scheme, which is administered by Carmarthenshire County Council, is a funded defined benefit scheme to which both employees and the ERW Joint Committee, through Pembrokeshire County Council as employers, pay contributions. The scheme operates under the legislation appertaining to Local Government Pensions.

A composite employer's contribution rate used in 2019-20 was calculated by the Fund's actuary based on the valuation as at 31 March 2019 for all employees of the County Council who are members of the scheme.

The Fund was valued as at 31 March 2019 & the results of this valuation are reflected in the 2019-20 accounts.

The disclosures set out below are required by International Accounting Standard 19 (IAS 19), which employs slightly different assumptions than those used in the actuarial valuation, are also produced by the Fund's Actuary at each financial year end.

IAS 19 requires most assets to be valued at "realisable values" i.e.: bid values, as opposed to "fair values" (in effect, mid-market values).

Interest on Assets

This is the interest on assets held at the start of the period and cash flows occurring during the period, calculated using the discount rate at the start of the year.

The Net Interest Cost is calculated as interest on pension liabilities less the interest on assets.

Recognition of Actuarial Gains and Losses

All actuarial gains and losses are recognised in the year of occurrence via Other Comprehensive Income and Expenditure.

Actuarial gains and losses on liabilities due to changes in actuarial assumptions are split between the effect of changes in financial assumptions and changes in demographic assumptions.

Expenses

Administration expenses are recognised as a separate item within the pension cost. Investment expenses are treated as a loss on asset and so recognised via Other Comprehensive Income and Expenditure.

13.2.2 Teachers Pension Scheme

The scheme is administered by the Department for Education in England and Wales. This is an unfunded scheme, meaning that there are no investment assets accumulated to meet pension costs before they arise, and therefore no fund assets or liabilities appearing in the ERW Joint Committee's Balance Sheet. Pembrokeshire County Council is responsible for the costs of any additional benefits awarded upon early retirement outside of the terms of the teachers scheme.

13.2.3 McCloud Legal Judgement – Age Discrimination in Pension Funds

The December 2018 McCloud legal judgement about age discrimination in pension funds could result in more pension scheme members having increased levels of transitional protection following the change from final salary to career average schemes. The Government has sought leave to appeal against this judgement, however, the supreme Court has denied the Governments application.

The net pension liability reported in the accounts includes a potential liability related to the McCloud judgement. In July 2020, the UK Government published proposals for consultation on a remedy to address the McCloud issue. The pension fund actuary has based the estimate on the major provisions of the remedy, however there remains some uncertainty over the final outcome. This could affect the Joint Committee's current financial planning, but any adjustment for ERW is likely to be below trivial.

Revenue Transactions

| Comprehensive Income And Expenditure Statement Entries included in Net Operating Expenditure | 2018-19 | | 2019-20 | |
|--|---------|-------------|---------|-------------|
| | £000 | £000 | £000 | £000 |
| Interest on Pension Liabilities | 201 | | 91 | |
| Interest on Plan Assets | (164) | | (71) | |
| | | 37 | | 20 |
| Current Service Cost | | 253 | | 136 |
| Remeasurement of Pension Liabilities and Assets | | (124) | | - |
| | | 166 | | 156 |
| Statement of Movement on the Council Fund Balance Entries | | | | |
| Reversal IAS 19 Entries Above: | | (166) | | (156) |
| Actual Charges Paid in Year | | | | |
| Actual Amount Charged for Period | 142 | | 65 | |
| | | 142 | | 65 |
| Net Adjustment Required | | (24) | | (91) |

The overall liability has had a significant increase primarily due to a revaluation of assets downwards in March 2020 by over £62m (Covid Impact). The pensions fund investment assets will move in line with the value of securities quoted on world equity markets which could increase or decrease. As the Pension Fund time horizon is long term and the true value of investments is only realised when investments are sold, no adjustments are made for any changes in the fair value of investments between 31 March 2020 and the date that the accounting statements are authorised for issue.

13.3 Exceptional Costs

There were no exceptional costs incurred in the period.

13.4 Remuneration Details

13.4.1 The following tables set out the disclosure of remuneration for ERW Joint Committee Senior Staff as follows:

- Managing Director and Other Senior Staff including pension contributions or equivalent payments. The total contribution rate for employer pension contributions was 16.9% for 2018-19 and 17.0% for 2019-20.
- Other Employees receiving remuneration of £60,000 or more (not including employer pension contributions) in bands of £5,000.

| Senior Officers | Year | Gross Salary, Fees & Other Emoluments | Employer Pension Contributions to Local Government Pension Scheme | Benefits in Kind |
|--------------------------------------|---------|--|--|---------------------|
| Managing Director | 2018-19 | £56,280 | £8,435 | - |
| Interim Managing Director (Seconded) | 2018-19 | £59,924 | - | - |
| Interim Managing Director* | 2019-20 | £63,555 | - | - |
| Second Interim Managing Director** | 2019-20 | £73,404 | - | - |

| Other Employees | Number of Other Employees | |
|-------------------|---------------------------|---------|
| | 2018-19 | 2019-20 |
| Remuneration Band | | |
| £60,000 - £64,999 | 3 | - |
| £65,000 - £69,999 | - | - |
| £70,000 - £74,999 | - | 2 |
| £75,000 - £79,999 | - | - |
| £80,000 - £84,999 | - | - |
| £85,000 - £89,999 | - | 1 |
| £90,000 - £94,999 | - | 1 |
| £130,000-£134,999 | - | 1 |

* The Interim Managing Director was seconded from Cardiff City Council for the period April 2019 to August 2019.

** The Interim Managing Director was seconded from Carmarthenshire County Council for the period September 2019 to March 2020.

The former Managing Director remained seconded and recharged to Welsh Government for the period April 2019 to March 2020. The total reimbursement from Welsh Government was £115k (£73k via the RCSIG and the remainder via invoice to WG).

There are other senior officer roles within the ERW Joint Committee who are not employed by the Consortium and they do not receive any remuneration through the additional roles that they carry out on behalf of the region. They include:

| | |
|------------------------------------|-------------------------------|
| Lead Chief Executive | Swansea |
| Lead Director of Education | Pembrokeshire/Carmarthenshire |
| Director of Resources/S151 Officer | Pembrokeshire |
| Monitoring Officer | Ceredigion |

Also on the Executive Board are the other five Directors of Education from Neath Port Talbot, Carmarthenshire, Ceredigion, Pembrokeshire and Swansea.

For information on the remuneration of the above individuals and seconded staff members, users should refer to the respective Local Authority Statement of Accounts.

13.4.2 Termination Benefits

| Redundancy & Other Termination Costs (Current Year) | 2018-19 | | | | 2019-20 | | | |
|---|------------|-------|-------|------|------------|----------|----------|------------|
| | No's | | | £000 | No's | | | £000 |
| | Compulsory | Other | Total | | Compulsory | Other | Total | |
| £0 - £20,000 | - | - | - | - | - | - | - | - |
| £20,001 - £40,000 | - | - | - | - | - | 1 | 1 | 37 |
| £40,001 - £60,000 | - | - | - | - | - | 1 | 1 | 78 |
| Total | - | - | - | - | - | 2 | 2 | 115 |

The termination payments are in respect of the former Managing Director (part payment in 2019-20 with the remainder in 2020-21) and the Lead for Secondary Support.

13.5 Audit Fees

The following amounts are estimated as payable to the Wales Audit Office for the year:

| | 2018-19 £000 | 2019-20 £000 |
|---|-----------------|-----------------|
| Fees payable to Wales Audit Office with regard to external audit services carried out by the Appointed Auditor for the year | 13 | 13 |
| Total | 13 | 13 |

13.6 Related Parties

Related parties refers to bodies or individuals that have the potential to control or influence the ERW Joint Committee or to be influenced or controlled by the ERW Joint Committee thereby possibly constraining the ability of the ERW Joint Committee or the other party to operate independently.

There are other instances where Executive Board Members, lead officers and Members of the ERW Joint Committee may attend meetings of the third party bodies but do not have the direct ability to exercise control, however, the opinions they express may influence decisions and policy.

During 2019-20, the former Managing Director was seconded to Welsh Government, who provide ERW with the majority of its funding.

13.6.1 Material Relationships

The following material relationships have been identified where material influence exists.

Welsh Government

The Welsh Government has the responsibility for the statutory framework and provide the majority of the ERW Joint Committees funding, much of which is subject to specific terms and conditions. The bodies can, therefore, exert effective control over the operations of the ERW Joint Committee. Details of grants received are set out in note 13.1. Grant receipts outstanding at 31 March 2020 are set out in note 15.1.3.

The following table shows the total transactions and year end balances with the 6 Local Authorities:

| Transactions with Local Authorities | Balance owed at the year end £000 | Total transactions in the year £000 |
|-------------------------------------|-----------------------------------|-------------------------------------|
| Carmarthenshire County Council | 186 | 12,961 |
| Pembrokeshire County Council | 102 | 7,971 |
| Neath Port Talbot County Council | 97 | 11,297 |
| Swansea County Council | 29 | 17,438 |
| Powys County Council | 226 | 7,661 |
| Ceredigion County Council | 79 | 4,228 |
| Total | 719 | 61,556 |

14.0 Notes To The Movement In Reserves

14.1 Adjustments Between Accounting Basis & the Regulatory Funding Basis

| Actuals | 2018-19 | | 2019-20 | |
|---|-----------------------------|-------------------------------|-----------------------------|-------------------------------|
| | ERW Usable Reserves £000 | ERW Unusable Reserves £000 | ERW Usable Reserves £000 | ERW Unusable Reserves £000 |
| Amounts included in Total Comprehensive Income and Expenditure required by regulation to be excluded to arrive at the funding position | | | | |
| Pension Cost Adjustment | (290) | 290 | (156) | 156 |
| Remeasurement of Pension Liabilities and Assets | 124 | (124) | - | - |
| Amounts excluded in Total Comprehensive Income and Expenditure required by regulation to be included to arrive at the funding position | | | | |
| Employers Contribution to Pension Scheme | 142 | (142) | 65 | (65) |
| Net Adjustment Required | (24) | 24 | (91) | 91 |

14.2 Usable Reserves

| Usable Reserves | Balance 1st April 2019 £000 | Contribution from Revenue Accounts £000 | Contribution to Revenue Accounts £000 | Balance 31st March 2020 £000 |
|-------------------------------|--------------------------------|--|--|---------------------------------|
| Earmarked Reserves | (322) | (30) | - | (352) |
| General Working Reserve | (100) | - | - | (100) |
| Total Useable Reserves | (422) | (30) | - | (452) |

General Working Reserve

This reserve constitutes ERW's working balance and is maintained to meet day to day operational eventualities. It was created in 2016-17 in order to provide an adequate level of funding to deal with any unexpected expenditure.

Earmarked Reserves

These constitute balances held at the year-end for specific purposes and will be used in accordance with those specific requirements.

Both reserves are reviewed annually during the budget process.

14.3 Unusable Reserves

The transactions in the unusable reserve accounts summarised below can be found in more detail in note 15.4.

| Unusable Reserves | Balance 1st April 2019 £000 | Movement in Year £000 | Balance 31st March 2020 £000 |
|--------------------------------|--------------------------------|--------------------------|---------------------------------|
| Pensions Reserve | 316 | 91 | 407 |
| Total Unusable Reserves | 316 | 91 | 407 |

15.0 Notes To The Balance Sheet

15.1 Debtors and Creditors

15.1.1 Debtors and Prepayments

All amounts included as assets are shown at market (fair) value.

| | Net 1st April 2018 £000 | Gross 31st March 2019 £000 | Impairment Allowance £000 | Net 31st March 2019 £000 |
|---|-------------------------------|----------------------------------|---------------------------------|--------------------------------|
| Amounts falling due in one year: | | | | |
| Welsh Government | 10,193 | - | - | - |
| Local Authorities & Schools | - | 40 | (20) | 20 |
| Other Debtors | 4 | 1 | - | 1 |
| Total Debtors | 10,197 | 41 | (20) | 21 |

| | Net 1st April 2019 £000 | Gross 31st March 2020 £000 | Impairment Allowance £000 | Net 31st March 2020 £000 |
|---|-------------------------------|----------------------------------|---------------------------------|--------------------------------|
| Amounts falling due in one year: | | | | |
| Welsh Government | - | 158 | - | 158 |
| Local Authorities & Schools | 20 | - | - | - |
| Other Debtors | 1 | - | - | - |
| Total Debtors | 21 | 158 | 0 | 158 |

15.1.2 Creditors

| | Balance 1st April 2019 | | | |
|---|---------------------------------|---|--|----------------------------|
| | Short Term Creditors £000 | Revenue Grants Receipts in Advance £000 | Capital Grants Receipts in Advance £000 | Total Creditors £000 |
| Amounts falling due in one year: | | | | |
| Welsh Government | - | (193) | - | (193) |
| Local Authorities & Schools | (513) | - | - | (513) |
| Other Creditors | (142) | (596) | - | (738) |
| Total Creditors | (655) | (789) | - | (1,444) |

| | Balance 31st March 2020 | | | |
|---|---------------------------------|---|--|----------------------------|
| | Short Term Creditors £000 | Revenue Grants Receipts in Advance £000 | Capital Grants Receipts in Advance £000 | Total Creditors £000 |
| Amounts falling due in one year: | | | | |
| Welsh Government | (832) | - | - | (832) |
| Local Authorities & Schools | (719) | - | - | (719) |
| Other Creditors | (415) | (465) | - | (880) |
| Total Creditors | (1,966) | (465) | - | (2,431) |

| Revenue Grants Receipts in Advance | 2018-19 £000 | 2019-20 £000 |
|---|-----------------|-----------------|
| Welsh Government | (193) | - |
| NQT | (96) | (119) |
| Funding for core costs | (500) | (346) |
| Total Current Liabilities Revenue Grants Receipts in Advance | (789) | (465) |

15.1.3 Further Breakdown of Short-Term Creditor Analysis

| Breakdown of Short-Term Creditors | 2018-19 £000 | 2019-20 £000 |
|---|-----------------|-----------------|
| Pupil Development Grant | 28 | 85 |
| Regional Consortia School Improvement | 594 | 1,636 |
| Total Current Liabilities Revenue Grants | 622 | 1,721 |
| Central Team | 33 | 245 |
| Total Creditors Owed 31st March | 655 | 1,966 |

15.2 Cash and Cash Equivalents

| | Balance 31st March 2019 £000 | Balance 31st March 2020 £000 |
|--|------------------------------------|------------------------------------|
| Cash at Bank / in Hand | 1,845 | 2,725 |
| Cash Overdrawn | - | - |
| Total Cash and Cash Equivalents | 1,845 | 2,725 |

15.3 Contingent Liabilities

ERW Future Model

Following the receipt of notice to withdraw from ERW by three of the five local authorities that form ERW for 2020-21, there is the potential for severance/redundancy payments during 2020-21. All severance/redundancy payments for senior management should be approved by the Joint Committee prior to any payments being made. No provision for any liability has been made in these financial statements as it is anticipated that existing ERW staff would be redeployed within the regional model which replaces ERW.

The impact of Brexit on ERW is unknown until the exit arrangements are confirmed.

The impact of Covid-19 may result in a future increase in Pension liability. As a 3 year agreement has just been entered into it is hoped that the impact of the drop in markets will have recovered before the date of the next agreement which will limit this liability.

15.4 Pensions (Reserve)/Liability

The Pensions (Reserve)/Liability relates to the Dyfed Pension Scheme (see note 13.2.1) and absorbs the timing differences arising from the different arrangements for accounting for post employment benefits and for funding benefits in accordance with statutory provisions.

The debit balance on the Pensions Reserve reflects the shortfall at a point in time between the benefits earned by past and current employees and the resources in terms of pension fund assets required to meet them. The statutory arrangements for managing the Fund should ensure that funding will have been set aside by the time the benefits come to be paid.

| | 2018-19 £000 | 2019-20 £000 |
|--|-----------------|-----------------|
| Balance 1st April | 292 | 316 |
| Remeasurement of Pension Liabilities and Assets | (124) | - |
| Reversal of items chargeable to the surplus/deficit on the provision of services in the Comprehensive Income and Expenditure Statement | 290 | 156 |
| Employers pension contributions and other direct payments in the year | (142) | (65) |
| Balance 31st March | 316 | 407 |

Audit of Accounts Report - Education through Regional Working Joint Committee

Audit year: 2019-20

Date issued: October 2020

Document reference: 2040A2020-21

This document has been prepared as part of work performed in accordance with statutory functions.

In the event of receiving a request for information to which this document may be relevant, attention is drawn to the Code of Practice issued under section 45 of the Freedom of Information Act 2000. The section 45 code sets out the practice in the handling of requests that is expected of public authorities, including consultation with relevant third parties. In relation to this document, the Auditor General for Wales and the Wales Audit Office are relevant third parties. Any enquiries regarding disclosure or re-use of this document should be sent to Audit Wales at infoofficer@audit.wales.

We welcome correspondence and telephone calls in Welsh and English. Corresponding in Welsh will not lead to delay. Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg. Ni fydd gohebu yn Gymraeg yn arwain at oedi.

Contents

We intend to issue an unqualified audit report on your Accounts. There are some issues to report to you prior to their approval.

Audit of accounts report

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Audit of accounts report

Introduction

- 1 We summarise the main findings from our audit of your 2019-20 statement of accounts in this report.
- 2 We have already discussed these issues with the Director of Resources and his team.
- 3 Auditors can never give complete assurance that accounts are correctly stated. Instead, we work to a level of 'materiality'. This level of materiality is set to try to identify and correct misstatements that might otherwise cause a user of the accounts into being misled.
- 4 We set this level at £1.3 million for this year's audit.
- 5 There are some areas of the accounts that may be of more importance to the reader and we have set a lower materiality level for these, as follows:
 - Senior officers' remuneration - £1,000
 - Related party transactions and balances - £10,000.
- 6 We have now substantially completed this year's audit.
- 7 In our professional view, we have complied with the ethical standards that apply to our work; remain independent of yourselves; and, our objectivity has not been compromised in any way. There are no relationships between ourselves and yourselves that we believe could undermine our objectivity and independence.

Impact of COVID-19 on this year's audit

- 8 The COVID-19 pandemic has had a significant impact on all aspects of our society and continues to do so. You are required by law to prepare accounts and it is of considerable testament to the commitment of your accounts team that you have succeeded in doing so this year in the face of the challenges posed by this pandemic. We are extremely grateful to the professionalism of the team in supporting us to complete our audit in such difficult circumstances.
- 9 The pandemic has unsurprisingly affected our audit and we summarise in **Exhibit 1** the main impacts. Other than where we specifically make recommendations, the detail in **Exhibit 1** is provided for information purposes only to help you understand the impact of the COVID-19 pandemic on this year's audit process.

Exhibit 1 – impact of COVID-19 on this year’s audit

| | |
|-------------------------------------|--|
| <p>Timetable</p> | <p>The deadline for councils and this joint committee to complete their draft statement of accounts remained at 15 June 2020. Your S151 officer took a decision early on that this deadline would not be achievable because of other more pressing priorities.</p> <p>We agreed a local timetable for a draft statement of accounts to be provided by 24 July and we received the draft accounts shortly afterwards on 27 July.</p> <p>The Joint Committee is due to consider and approve the audited statement of accounts at this meeting on 13 November 2020.</p> <p>We expect your audit report to be signed on 17 November 2020.</p> |
| <p>Electronic signatures</p> | <p>If still necessary at the time of approval and signing, we will accept electronic signatures and electronic transfer of files. We anticipate that your audit report will be signed electronically.</p> |
| <p>Audit evidence</p> | <p>As in previous years, we received most of the audit evidence in electronic format. We have used various techniques to ensure its validity. Where we have been unable to obtain access to paper documents because of COVID-19 restrictions, we have devised alternative audit methodologies to obtain sufficient audit evidence. Specifically:</p> <ul style="list-style-type: none"> • ERW officers provided electronic working papers in accordance with our agreed Audit Deliverables Report; • ERW officers provided audit evidence to the audit team through remote access to Pembrokeshire Council’s shared server; and • Audit Wales also secured remote read-only access to Pembrokeshire Council’s ledger which enabled the audit team to query the ledger and hence reduce the burden on officers to provide this information. <p>Because of the practical implications of lockdown and the additional workload pressures on your staff in responding to the pandemic, we did encounter some minor delays in receiving audit evidence and timely responses to audit queries, although this has not resulted in a significant delay in concluding the audit.</p> |
| <p>Other</p> | <p>Officers were available by video conferencing for discussions which enabled the audit team to correspond effectively with officers throughout the audit.</p> |

- 10 We will be reviewing what we have learnt for our audit processes from the COVID-19 pandemic and whether there are innovative practices that we might adopt in the future to enhance those processes.

Proposed audit opinion

- 11 We require you to provide us with a Letter of Representation based on that set out in **Appendix 1**. The letter contains certain confirmations we are required to obtain from you under auditing standards along with confirmation of other specific information you have provided to us during our audit.
- 12 Once you have provided us with your Letter of Representation, we intend to issue an unqualified audit opinion on the 2019-20 statement of accounts. Our proposed audit report is set out in **Appendix 2**. We issue a 'qualified' audit opinion where we have material concerns about some aspects of your accounts; otherwise we issue an unqualified opinion.

Significant issues arising from the audit

Uncorrected misstatements

- 13 There is one misstatement identified with the accounts, which remains uncorrected. We set out below details of this misstatement which has been discussed with management. We request that this is corrected. If you decide not to correct this misstatement, we ask that you provide us with the reason in writing for not correcting it.
- Understatement of £124,000 on pension fund liability in the Balance Sheet and Note 15.4 for incorrect remeasurement adjustment in 2018-19 which means the pension fund liability is understated at 31 March 2019 and 31 March 2020 by the same amount.

Corrected misstatements

- 14 There were initially misstatements and disclosure errors in the draft statement of accounts. These have now been corrected by management and have no impact on the Joint Committee's reported net expenditure. However, we believe that these should be drawn to your attention and they are set out with explanations in **Appendix 3**.

Other significant Issues arising from the audit

- 15 In the course of the audit, we consider a number of matters relating to the accounts and report any significant issues arising to you. There was one issue arising in these areas this year as shown in **Exhibit 2**:

Exhibit 2 – significant issue arising from the audit

| Significant issue arising from the audit | | |
|--|--|---|
| Manual adjustments not posted to the ledger | During the closedown process, manual adjustments were made to prepare the Statement of Accounts. These changes were not processed in the ledger or a clear working paper provided reconciling the accounts to the ledger at the start of the audit. This caused complications in audit sample selection and ensuring the integrity of the statement of accounts. | Any manual amendments relating to classification or other issues identified during the closedown process should be processed into the ledger. A clear working paper showing how the trial balance has been mapped to prepare the primary statements should be available prior to the commencement of the audit work. |

Recommendations

- 16 Following the audit certification by the Auditor General, we will continue to work with the Committee's finance team to improve the accounts production process for 2020-21.

Appendix 1

Final Letter of Representation

Education through Regional Working Joint Committee letterhead

Auditor General for Wales

Audit Wales

24 Cathedral Road

Cardiff

CF11 9LJ

13 November 2020

Representations regarding the 2019-20 financial statements

This letter is provided in connection with your audit of the financial statements of the ERW Joint Committee for the year ended 31 March 2020 for the purpose of expressing an opinion on their truth and fairness and their proper preparation.

We confirm that to the best of our knowledge and belief, having made enquiries as we consider sufficient, we can make the following representations to you.

Management representations

Responsibilities

We have fulfilled our responsibility for:

- the preparation of the financial statements in accordance with legislative requirements and the CIPFA Code of Practice on Local Authority Accounting in the UK 2019-20; in particular the financial statements give a true and fair view in accordance therewith; and
- the design, implementation, maintenance and review of internal control to prevent and detect fraud and error.

Information provided

We have provided you with:

- Full access to:
 - all information of which we are aware that is relevant to the preparation of the financial statements such as books of account and supporting documentation, minutes of meetings and other matters;
 - additional information that you have requested from us for the purpose of the audit; and

- unrestricted access to staff from whom you determined it necessary to obtain audit evidence.
- The results of our assessment of the risk that the financial statements may be materially misstated as a result of fraud.
- Our knowledge of fraud or suspected fraud that we are aware of and that affects the ERW Joint Committee and involves:
 - management;
 - employees who have significant roles in internal control; or
 - others where the fraud could have a material effect on the financial statements.
- Our knowledge of any allegations of fraud, or suspected fraud, affecting the financial statements communicated by employees, former employees, regulators or others.
- Our knowledge of all known instances of non-compliance or suspected non-compliance with laws and regulations whose effects should be considered when preparing the financial statements.
- The identity of all related parties and all the related party relationships and transactions of which we are aware.

Financial statement representations

All transactions, assets and liabilities have been recorded in the accounting records and are reflected in the financial statements.

Significant assumptions used in making accounting estimates, including those measured at fair value, are reasonable.

Related party relationships and transactions have been appropriately accounted for and disclosed.

All events occurring subsequent to the reporting date which require adjustment or disclosure have been adjusted for or disclosed.

All known actual or possible litigation and claims whose effects should be considered when preparing the financial statements have been disclosed to the auditor and accounted for and disclosed in accordance with the applicable financial reporting framework.

The financial statements are free of material misstatements, including omissions. The effects of uncorrected misstatements identified during the audit are immaterial, both individually and in the aggregate, to the financial statements taken as a whole. A description of these items is set out below:

Understatement of £124,000 on pension fund liability in the Balance Sheet and Note 15.4 for incorrect remeasurement adjustment in 2018-19 which means the pension fund liability is understated at 31 March 2019 and 31 March 2020 by the same amount.

Representations by the Joint Committee

We acknowledge that the representations made by management, above, have been discussed with us.

We acknowledge our responsibility for the preparation of true and fair financial statements in accordance with the applicable financial reporting framework. The financial statements were approved by the Joint Committee on 13 November 2020.

We confirm that we have taken all the steps that we ought to have taken in order to make ourselves aware of any relevant audit information and to establish that it has been communicated to you. We confirm that, as far as we are aware, there is no relevant audit information of which you are unaware.

Signed by:

Lead Chief Executive:

Date: 13 November 2020

Signed by:

Chair of the Joint Committee

Date: 13 November 2020

Appendix 2

Proposed audit report

The independent auditor's report of the Auditor General for Wales to the members of the Education through Regional Working Joint Committee

Report on the audit of the financial statements

Opinion

I have audited the financial statements of the Education through Regional Working Joint Committee (ERW) for the year ended 31 March 2020 under the Public Audit (Wales) Act 2004.

ERW's financial statements comprise the Movement in Reserves Statement, the Comprehensive Income and Expenditure Statement, the Balance Sheet, the Cash Flow Statement, and the related notes, including a summary of significant accounting policies.

The financial reporting framework that has been applied in their preparation is applicable law and the Code of Practice on Local Authority Accounting in the United Kingdom 2019-20 based on International Financial Reporting Standards (IFRSs).

In my opinion the financial statements:

- give a true and fair view of the financial position of ERW as at 31 March 2020 and of its income and expenditure for the year then ended; and
- have been properly prepared in accordance with legislative requirements and the Code of Practice on Local Authority Accounting in the United Kingdom 2019-20.

Basis for opinion

I conducted my audit in accordance with applicable law and International Standards on Auditing in the UK (ISAs (UK)). My responsibilities under those standards are further described in the auditor's responsibilities for the audit of the financial statements section of my report. I am independent of the Joint Committee in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK including the Financial Reporting Council's Ethical Standard, and I have fulfilled my other ethical responsibilities in accordance with these requirements. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Conclusions relating to going concern

I have nothing to report in respect of the following matters in relation to which the ISAs (UK) require me to report to you where:

- the use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the responsible financial officer has not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the Joint Committee's ability to continue to adopt the going concern basis of accounting for a period of at least 12 months from the date when the financial statements are authorised for issue.

Other information

The responsible financial officer is responsible for the other information in the annual report and accounts. The other information comprises the information included in the annual report other than the financial statements and my auditor's report thereon. My opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated later in my report, I do not express any form of assurance conclusion thereon.

In connection with my audit of the financial statements, my responsibility is to read the other information to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by me in the course of performing the audit. If I become aware of any apparent material misstatements or inconsistencies, I consider the implications for my report.

Report on other requirements

Opinion on other matters

In my opinion, based on the work undertaken in the course of my audit:

- the information contained in the Narrative Report for the financial year for which the financial statements are prepared is consistent with the financial statements and the Narrative Report has been prepared in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom 2019-20; and
- the information given in the Governance Statement for the financial year for which the financial statements are prepared is consistent with the financial statements and the Governance Statement has been prepared in accordance with guidance.

Matters on which I report by exception

In the light of the knowledge and understanding of the Joint Committee and its environment obtained in the course of the audit, I have not identified material misstatements in the Narrative Report or the Governance Statement.

I have nothing to report in respect of the following matters, which I report to you, if, in my opinion:

- proper accounting records have not been kept;
- the financial statements are not in agreement with the accounting records and returns; or
- I have not received all the information and explanations I require for my audit.

Certificate of completion of audit

I certify that I have completed the audit of the accounts of the Education through Regional Working Joint Committee in accordance with the requirements of the Public Audit (Wales) Act 2004 and the Auditor General for Wales' Code of Audit Practice.

Responsibilities

Responsibilities of the responsible financial officer for the financial statements

As explained more fully in the Statement of Responsibilities for the Statement of Accounts set out on page 14, the responsible financial officer is responsible for the preparation of the statement of accounts, which give a true and fair view, and for such internal control as the responsible financial officer determines is necessary to enable the preparation of statements of accounts that are free from material misstatement, whether due to fraud or error.

In preparing the statement of accounts, the responsible financial officer is responsible for assessing the Joint Committee's ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless deemed inappropriate.

Auditor's responsibilities for the audit of the financial statements

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of the auditor's responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website www.frc.org.uk/auditorsresponsibilities. This description forms part of my auditor's report.

Adrian Crompton
Auditor General for Wales
17 November 2020

24 Cathedral Road
Cardiff
CF11 9LJ

Appendix 3

Summary of corrections made

During our audit we identified the following misstatements that have been corrected by management, but which we consider should be drawn to your attention due to their relevance to your responsibilities over the financial reporting process.

Exhibit 3: summary of corrections made

| Value of correction | Nature of correction | Reason for correction |
|---------------------|--|---|
| £134,000 | One employee was excluded from the remuneration banding disclosure in note 13.4.1 as a termination benefit had not been included, so one employee was added to the banding £130,000 to £135,000. | Correct disclosure of remuneration bandings |
| £2,521 | The remuneration disclosed for both interim managing directors were misstated by £1,023 and £1,498 respectively. | Senior officer remuneration is material by nature and needs to be disclosed accurately. |
| £30,000 | The disclosure of termination benefits in note 13.4.2 was overstated by £30,000 and should read £115,000. | Correct disclosure of termination benefits |
| £480,000 | Note 15.3 Contingent liabilities included reference to future local authority contributions of £480,000. This is not a contingent liability and the note should be disclosed in the narrative report. | To correctly state contingent liabilities |
| Various | A number of other minor amendments were required to statements, narrative notes and comparative figures. | To comply with disclosure requirements |



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We welcome correspondence and telephone calls in Welsh and English.
Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg.

CYD-BWYLLGOR ERW TACHWEDD 13EG 2020

DATGANIAD LLYWODRAETHU BLYNYDDOL CONSORTIWM ERW AR GYFER 2019-20

Y PWRPAS: Darparu, ar gyfer y Cyd-bwyllgor, ganfyddiadau'r adolygiad blynyddol o'r trefniadau Llywodraethu ar gyfer Consortiwm ERW ar gyfer 2019-20.

YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

Adolygu a chymeradwyo Datganiad Llywodraethu Blynyddol 2019-20.

Y RHESYMAU:

Gofyniad statudol.

| | | |
|---|---|---|
| <p>Awdur yr Adroddiad:</p> <p>Jo Hendy</p> | <p>Swydd:</p> <p>Pennaeth Archwilio Mewnol</p> | <p>Rhif Ffon:</p> <p>01437 776213</p> <p>E: bost:</p> <p>joanne.hendy@pembrokeshire.gov.uk</p> |
|---|---|---|

**EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
13TH NOVEMBER 2020**

**ERW CONSORTIUM ANNUAL GOVERNANCE STATEMENT
2019-20**

To provide the Joint Committee with the findings from the annual review of Governance arrangements 2019-20 for the ERW Consortium and to agree actions to address the Significant Governance Issues and Priorities for Improvement.

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

| | | | | |
|--|---------------------|-----------------------|--------------------------------------|-------------------------------------|
| Policy, Crime & Disorder and Equalities NONE | Legal YES | Finance YES | Risk Management Issues YES | Staffing Implications YES |
| <p>1. Legal New Legal Agreements required to support the new consortia, which should include reference to revised Governance Structures and Codes of Governance which should be aligned to best practice.</p> | | | | |
| <p>2. Finance The future consortia will need to be supported by Medium Term Financial Plans and revised funding agreements.</p> | | | | |
| <p>3. Risk Management Risk management arrangements will need to be put in place to manage milestones required to wind up the existing consortium and establish governance arrangements for the future consortia to ensure a smooth and time managed transition.</p> | | | | |
| <p>4. Staffing Implications Core Team and staffing costs for the consortia will need to be determined for consideration and approval by the Joint Committee. Revised funding agreements will need to ensure that core funded posts are sustainable and continue to deliver value for money.</p> | | | | |

CONSULTATIONS

| |
|-----|
| N/A |
|-----|

| | | |
|--|--------------|---|
| <p>Section 100D Local Government Act, 1972 – Access to Information List of Background Papers used in the preparation of this report: THESE ARE DETAILED BELOW</p> | | |
| 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

Annual Governance Statement 2019-20



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

ERW Consortium

ERW was formally established as a Joint Education Improvement Service with the first formal meeting of the Joint Committee held on 25 July 2014. From 2014 to March 2020, the consortium consisted of six Local Authorities:

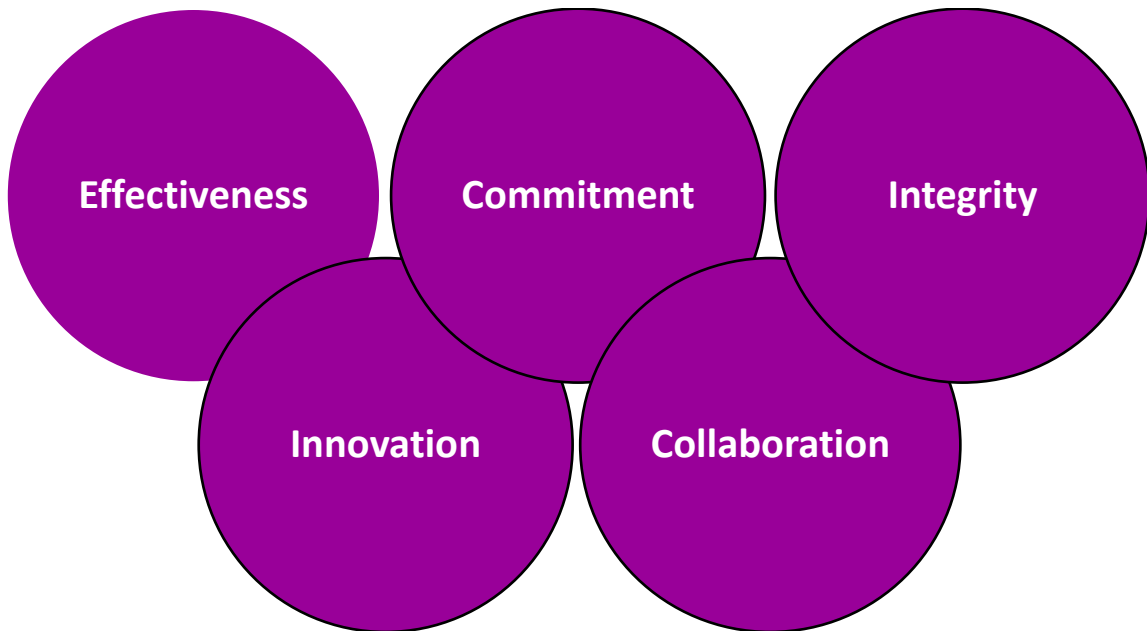
- City and County of Swansea Council
- Neath and Port Talbot County and Borough Council
- Powys County Council
- Ceredigion County Council
- Pembrokeshire County Council
- Carmarthenshire County Council

Neath Port Talbot County and Borough Council withdrew from the consortium on 31 March 2020. City and County of Swansea Council, Carmarthenshire County Council and Ceredigion County Council have given notice to withdraw from the consortium on 31 March 2021.

A report to the Joint Committee in February 2020 regarding the [future footprint](#) of ERW highlighted that ERW has struggled to function effectively and identified a number of challenges faced.

Leaders and Chief Executives have met with the Minister for Local Government for an initial discussion regarding potential future arrangements, at which there was a stated preference for two new consortia to be based on the footprints for the two growth deals; Swansea Bay City Deal and Growing Mid Wales. This preference was confirmed at the Joint Committee meeting on 21 July 2020.

ERW'S VALUES



ERW'S AIMS

- 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 bespoke support**, challenge and intervention to schools;
- **Communicate** effectively with all stakeholders.

Review of Governance Arrangements

What is Governance?

ERW is responsible for ensuring that its business is conducted in accordance with laws, regulations and its ethical standards. The governance framework is the process, culture, values and systems by which this is achieved.

To deliver good governance in local government, both ERW and its Officers must try to achieve ERW's priorities whilst acting in the public interest at all times. Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for learners and other stakeholders.

Review of Effectiveness

ERW has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness for 2019-20 was informed by a self-assessment of compliance with the Delivering Good Governance in Local Government Framework 2016. Additional assurance was provided by the Head of Internal Audit Assurance Opinion based on the work undertaken by Internal Audit in 2019-20, along with the minutes from the ERW Joint Committee. The diagram on the next page outlines what assurances were available under the current Governance Structure, the sources of assurance provided and the areas for improvement identified.

The review is focused on the effectiveness of arrangements during the financial year 2019-20. ERW has been impacted by the COVID-19 pandemic from March 2020, the review will identify areas that have been affected and the alternative arrangements that have been put in place to mitigate the impact on the Governance Framework.

ERW Governance Framework

The [ERW Code of Corporate Governance](#) was approved by the Joint Committee on 16 July 2018.

The [ERW Business Plan 2019-20](#) was approved by the Joint Committee on 3 April 2019. The Business Plan identified five improvement priorities that match the enabling objective of The National Mission:

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

In addition, the Business Plan 2019-20 outlines ERW's approach to:

- Delivering Local, Regional & National Priorities;
- Approach to Schools Improvement;
- The Welsh Language;
- The Business Planning Process.

The Business Plan 2019-20 did not detail the value for money framework in which it will operate, nor were milestones, key performance metrics or success criteria included by which outcomes could be measured. This has been acknowledged and will be developed for 2020-21.

Joint Committee

During 2019-20 the [Joint Committee](#) comprised of the six Local Authority Leaders supported by the six Chief Executives and is advised by Lead/Statutory Officers, the Executive Board and external school improvement experts. Internal Audit and Audit Wales report independently to the Joint Committee. Neath Port Talbot County Borough Council withdrew from the consortium on 31 March 2020.

During the COVID-19 response, formal meetings were temporarily suspended due to lockdown and legislative restrictions. Following publication of The Local Authorities (Coronavirus) (Meetings) (Wales) Regulations 2020, the first remote meeting of the Joint Committee was held on 21 July 2020. Consequently the Joint Committee will not have met for seven months, which will have impacted on decision making.

Executive Board

The [Executive Board](#) is made up of the Directors of Education from each of the Local Authorities, the (Interim) Managing Director, the Section 151 Officer (or deputy), Headteacher representatives and external members.

The Executive Board has not met regularly and minutes of meetings have not been published since June 2017.

Scrutiny Councillor Group

All work streams and activity both locally and regionally are led by the Joint Committee and are accountable locally. The Chairs and Vice Chairs of the six local authorities' Education Scrutiny Committee's met three times during 2019-20 as a [Scrutiny Councillor Group](#) to consider scrutiny work plans and make requests directly to the Joint Committee.

Statutory/Lead Officers

The following Lead and Statutory roles have been held by the same officers for a number of years, affording consistency and stability:

- Lead Chief Executive – Phil Roberts (Chief Executive, Swansea)
- Section 151 Officer – Jon Haswell (Director of Resources, Pembrokeshire)
- Monitoring Officer – Elin Prysor (Monitoring Officer, Ceredigion)

However, there have been several changes to the following roles during 2019-20:

- Lead Education Director:
 - Gareth Morgans (Director of Education, Carmarthenshire) Interim Lead Director February 2020 to 21 July 2020 when the role was confirmed by the Joint Committee;
 - Kate Evan-Hughes (Director of Children & Schools, Pembrokeshire) April 2019- January 2020.
- Managing Director:
 - Interim Managing Director – Yan James June 2020 to date;
 - Interim Managing Director – Andi Morgan September 2019 – May 2020;
 - Interim Managing Director – Geraint Rees September 2018 to July 2019.

ERW Team

In February 2019, the Joint Committee approved a new central staffing structure. The structure for ERW is made up of the following:

- [Senior Leadership Team](#)
- [Curriculum Team](#)
- [Secondary Specialists Team](#)
- [Central Team](#)
- [Business Support](#)

Revised Governance Structure

A revised [Governance Structure](#) was presented to the Joint Committee in November 2019 for consideration. A formal decision by the Joint Committee was deferred pending publication of the Local Government & Elections Bill. Joint Committee approved the Strategic groups at their meeting on 9 December 2019, a decision on the remainder of the Governance Structure remains deferred.

Consultation, Communication & Engagement

During the Autumn Term 2019, senior ERW officers implemented a series of 'ERW Roadshows' across the region. These events were designed to provide all school communities across the region with an update and insight into the revised ERW structure, content and direction of the Business Plan and of greatest importance, an open opportunity and platform to consult and raise matters in support of enhanced provision for their schools. The events were very well received and led naturally and supportively into a further series of 'Curriculum Engagement Events.' The events (focusing on the evolving revised curriculum for Wales) were held right across the region to ensure greater levels of engagement and reinforce ERW's vision and mission to be working alongside practitioners in their own local authorities.

Based on the highly positive levels of feedback and comment, this approach was repeated by providing a second series of Curriculum Events during the Spring Term 2020. ERW tailored the content wholly in line with the outcomes of schools' requests from the Autumn Term events, thus reinforcing our strategic intention and ability to support specific levels of need in a practical manner.

COVID-19 impacted upon the continuation of this work in a face-to-face manner. However, ERW have continued to implement a similar open and embracing approach to the delivery of services via a series of 'webinars.'

The Interim Managing Director's [update report](#) presented to the Joint Committee on 21 July 2020 outlines further communication and engagement activities undertaken since December 2019 both within the region and nationally.

Internal Audit

Pembrokeshire County Council, as the Lead Authority for Finance, provides the Internal Audit Service to ERW. The role of Internal Audit is to provide independent assurance on the effectiveness of governance, internal control, financial management and risk management arrangements in place. To ensure that the Internal Audit plan is appropriately risk-based, it is agreed on academic year and undertaken in the latter quarters of the financial year. In accordance with the Public Sector Internal Audit Standards, a risk-based work plan was agreed with the Section 151 Officer and Interim Managing Director and was approved by the Joint Committee in December 2019. The Head of Internal Audit's Annual Assurance Opinion concluded that overall, limited assurance is placed on the adequacy and

effectiveness of governance, internal control, financial management and risk management arrangements in place. Management have agreed to implement the recommendations made following the internal audit review. The implementation of recommendations in an effective and timely manner will assist in strengthening the governance, internal control, risk management and financial management arrangements in place.

In accordance with the Public Sector Internal Audit Standards, the Head of Internal Audit undertook a self-assessment of compliance with the Public Sector Internal Audit Standards. The assessment concluded that the Internal Audit Service conforms to the Code of Ethics and the Public Sector Internal Audit Standards.

External Audit & Regulators

Audit Wales are the appointed external auditor for ERW. Estyn provide an independent inspection and advice service on quality and standards in education and training in Wales.

Following inspections during 2019-20, Estyn determined that two Local Authorities within the ERW consortium are causing significant concern and require follow-up activity. Whilst not directly attributable to ERW it does bring into question its effectiveness in contributing to raising overall education standards.

Business Risk Management

Members and Officers are responsible for ensuring that risk is considered in the decisions they take and suitable arrangements are put in place to manage risk. The Joint Committee has responsibility for overseeing ERW's Business Risk Management arrangements. The table below is a summary of movement of risks in ERW's risk register for 2019-20:

| Risk | Residual Rating February 2020 | Residual Rating December 2019 | Residual Rating July 2019 |
|---|-------------------------------|-------------------------------|---------------------------|
| Failure to Comply with Estyn Action Plan | 12 | 8 | 12 |
| Cuts to School Budgets | 12 | 12 | 12 |
| ERW Governance | 12 | 8 | 8 |
| Data Protection | 12 | 12 | 8 |
| Timeliness of Welsh Government Funding | 9 | 6 | 6 |
| ERW found not to provide Value for Money | 8 | 8 | 8 |
| LA failure to comply with Grant Regulations | 8 | 8 | 8 |
| Pembrokeshire Estyn Monitoring result in follow-up | 8 | 8 | 8 |
| Powys Estyn Monitoring results in continued follow-up | 8 | 8 | 8 |
| WG Grant Compliance | 8 | 8 | 8 |
| Delivery of National Mission | 6 | 6 | 8 |
| Carmarthenshire Estyn Monitoring results in follow-up | 4 | 8 | 8 |
| Failure to Deliver Business Plan | 6 | 3 | 6 |
| Swansea Estyn Monitoring results in follow-up | 4 | 4 | 4 |
| Neath Port Talbot Estyn Monitoring results in follow-up | 4 | 4 | 4 |
| Ceredigion Estyn Monitoring results in follow-up | 4 | 4 | 4 |

Review of ERW's Governance Arrangements for 2019-20



Annual Governance Statement 2019-20 Action Plan

| Significant Governance Issue | | | |
|---|--|--|--|
| Current Position | Planned Actions/Key Milestones | Owner | Key Milestone Completion Dates |
| <p>Future Footprint of ERW The intended withdrawal of Partner Authorities by the end of March 2021 will lead to the end of ERW in its current form. A meeting has been held with Leaders, Chief Executives and the Minister for Local Government to discuss options for a revised future footprint. The decision to progress on the basis of the Swansea Bay City Deal and Growing Mid Wales respective footprints will need to be formally approved as a matter of urgency to provide certainty for all Partner Authorities. Preparations are required to establish staffing and financial implications, and to allow for new arrangements to be developed to provide a robust governance framework for the new consortia.</p> | <ul style="list-style-type: none"> • Determine the milestones required to wind up the existing consortium, including Legal, Human Resource and Financial decisions which will be required. • Formal decisions on the future Footprint of ERW in the form of two new consortia to be taken as soon as possible and determine milestones for the delivery of the future footprint, including; • Agree funding arrangements for the provision of services by partner Local Authorities (e.g. in kind or service level agreement); • Invite invitations to tender/undertake roles against the defined Lead and Statutory roles; • Evaluate responses and present to the Joint Committee for consideration and approval; • Define Core Team and Staffing Costs for consideration and approval by the Joint Committee; • Determine Core Funding requirements based on the outcome of decisions. | <p>Interim Chief Officer</p> <p>Joint Committee/Future Consortia Partner Authorities</p> <p>Joint Committee</p> <p>Interim Chief Officer Interim Chief Officer Interim Chief Officer Section 151 Officer</p> | <p>September 2020</p> <p>September 2020</p> <p>September 2020</p> <p>October 2020</p> <p>November 2020</p> <p>November 2020</p> <p>January 2021</p> |

| Priorities for Improvement | | | |
|---|--|---|--|
| Current Position | Planned Actions/Key Milestones | Owner | Key Milestone Completion Dates |
| <p>Lessons Learned Review Consideration should be given to undertaking a Lessons Learned review to establish the failings of ERW to ensure sustainability of the future consortia.</p> | <ul style="list-style-type: none"> • Joint Committee to consider and if agreed assign responsibility for undertaking a Lessons Learned review; • Draft scope and approach to be agreed by the Joint Committee; • Undertake an evidenced based review for consideration by the Joint Committee; • Incorporate recommendations into the future consortia arrangements. | <p>Joint Committee</p> <p>TBA</p> <p>TBA</p> <p>All</p> | <p>September 2020</p> <p>November 2020</p> <p>November 2020</p> <p>31 March 2021</p> |
| <p>Legal Agreements with Revised Governance Structures New Legal Agreements will need to be in place to support the two new consortia when they come into effect, which is anticipated to be 1 April 2021. This should include reference to a revised Governance Structures and Codes of Governance, aligned to best practice, which must be adhered to.</p> | <ul style="list-style-type: none"> • Even distribution of Lead and Statutory Roles to be agreed as soon as possible so that responsibility for drafting the revised Legal Agreements and Governance Structures can be assigned in readiness for the new consortia; • Draft Legal Agreements incorporating any proposed changes to the Governance Structures for approval by the Joint Committee of the new consortia; • Draft Governance Structure, including terms of reference for each group, clear roles, responsibilities and outcomes, for approval by the Joint Committee; • Review the Codes of Governance for the new consortia for consideration and approval by the Joint Committee of the new consortia. | <p>Joint Committee</p> <p>TBA</p> <p>Interim Chief Officer</p> <p>Interim Chief Officer</p> | <p>November 2020</p> <p>31 March 2021</p> <p>31 March 2021</p> <p>31 March 2021</p> |
| <p>Business Plan The Business Plan should include clear milestones, outcomes, supported by performance measures so that delivery and effectiveness can be monitored throughout the year. The Business Plan needs to be fully costed to ensure that it is deliverable within available resources and ensure for Value for Money.</p> | <ul style="list-style-type: none"> • SMART outcomes identified within the Business Plan, with clear milestones to facilitate monitoring and evidencing of delivery and effectiveness; • Business Plan aligned to the budget to ensure affordable and deliverable. Focus on value for money included within the Business Plan; • Regular, evidenced based progress reporting to the Joint Committee against the SMART outcomes. | <p>All: Interim Chief Officer</p> | <p>September 2020</p> |

| Priorities for Improvement | | | |
|--|---|---|--|
| Current Position | Planned Actions/Key Milestones | Owner | Key Milestone Completion Dates |
| <p>Accountability, Performance Management & Value for Money</p> <p>The Governance Structure & Central Team should have clear roles and responsibilities with defined outcomes linked to the delivery of the National Mission. In order to ensure accountability and value for money can be evidenced, forward work plans for Committee's and Working Groups should be in place which include a structure for measuring performance and delivery across the consortia. There should be clear reporting lines and mechanism's to enhance accountability while avoiding unnecessary bureaucracy.</p> | <ul style="list-style-type: none"> • Standardised approach to Committee and Working Group establishment as part of the revised Governance Structure, to ensure that all have a unique purpose that is contributing to the delivery of the National Mission and ERW's Aims & Objectives; • Review and define the role and responsibilities of the Central Team to support the sustainability and delivery of ERW's Aims & Objectives whilst delivering value for money and accountability; • Develop a formal, evidence based reporting structure to demonstrate accountability and value for money from the Central Team & Governance Structure. | All: Interim Chief Officer | 31 March 2021 |
| <p>Core Funding Agreement & Medium Term Financial Plan</p> <p>The future consortia will need to be supported by a Medium Term Financial Plan to enable longer-term Business Planning.</p> <p>The revised Core Funding Agreement will need to ensure that core funded posts are sustainable and continue to deliver value for money.</p> | <ul style="list-style-type: none"> • Based on decisions of the Joint Committee on the structure of the future consortia, identify core contributions required from Partner Authorities; • Based on indications of Welsh Government future funding and contributions from Partner Authorities, develop Medium Term Financial Plans aligned to the revised structure and future objectives of the new consortia. | All: Section 151 Officers of the Consortia | <p>January 2021</p> <p>31 March 2021</p> |

We are committed to implementing the improvements outlined above to enhance the achievement of our intended outcomes. We are satisfied that these steps will address areas of improvement identified.

Signed by Interim Chief Officers

Date:

Signed by Lead Chief Executive

Date:

Signed by Chair of the Joint Committee

Date:



CYD-BWYLLGOR ERW TACHWEDD 13EG 2020

COFRESTR RISGIAU

Y PWRPAS: Rhoi gwybod i'r Cyd-bwyllgor am y proffil risg rhanbarthol diweddaraf

YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

Bod y Cyd-bwyllgor yn nodi'r newidiadau o ran y proffil risg, ac yn derbyn yr adroddiad.

Y RHESYMAU:

Trefniadau Llywodraethu, Rheoli Risgiau

| | | |
|--|--|--|
| <p>Awdur yr Adroddiad:</p> <p>Gareth Morgans / Greg Morgan / Ian Altman</p> | <p>Swydd:</p> <p>Cyfarwyddwr Arweiniol a Phrif Swyddogion ERW</p> | <p>Rhif Ffon</p> <p>E: bost: EDGMorgans@carmarthenshire.gov.uk greg.morgan@erw.cymru ian.altman@erw.cymru</p> |
|--|--|--|

**EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
13TH NOVEMBER 2020**

RISK REGISTER

BRIEF SUMMARY OF PURPOSE OF REPORT

The report outlines the overall risk profile of the regions. The heat map indicates the following risks as High Scoring:

Very High Probability + High Impact

Cuts to School Budgets

High Probability + Very High Impact

ERW Governance

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

| | | | | |
|---|----------------------|-----------------------|--------------------------------------|--------------------------------------|
| Policy, Crime & Disorder and Equalities NONE | Legal NONE | Finance YES | Risk Management Issues YES | Staffing Implications NONE |
| <p>1. Finance There is a section on the register dedicated to Financial Risks</p> | | | | |
| <p>2. Risk Management The Risk Register is the primary risk analysis mechanism in ERW's governance system.</p> | | | | |

CONSULTATIONS

| |
|-----|
| N/A |
|-----|

| | | |
|--|--------------|---|
| <p>Section 100D Local Government Act, 1972 – Access to Information List of Background Papers used in the preparation of this report: THESE ARE DETAILED BELOW</p> | | |
| 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
www.erw.cymru
www.erw.wales

Corporate Risk Register (Threats)

2020-2021

For Joint Committee November 2020

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

< = 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 <ul style="list-style-type: none">• Cuts to School Budgets | |
| High Probability | | 12 <ul style="list-style-type: none">• ERW Governance |
| | High Impact | Very High Impact |

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 | 2 | 4 | 8 | ↔ | 13 |
| 1.2 | Ceredigion Estyn Monitoring result in follow up | 1 | 4 | 4 | ↔ | 14 |
| 1.3 | Pembrokeshire Estyn Monitoring result in follow up | 2 | 4 | 8 | ↔ | 15 |
| 1.4 | Carmarthenshire Estyn Monitoring result in follow up | 1 | 4 | 4 | ↔ | 16 |
| 1.5 | Swansea Estyn Monitoring result in follow up | 1 | 4 | 4 | ↔ | 17 |
| 2 | Failure to comply with Estyn Action Plan | 2 | 4 | 8 | ↓ | 18 |
| 3 | Failure to deliver Business Plan | 2 | 2 | 4 | ↓ | 19 |
| 4 | ERW Governance | 3 | 4 | 12 | ↔ | 20 |
| 5 | Data Protection | 3 | 2 | 6 | ↓ | 21 |
| 6 | ERW found not to provide Value for Money | 2 | 3 | 6 | ↓ | 22 |
| 7 | LA Failure to comply with Grant Regulations | 2 | 3 | 6 | ↓ | 23 |
| 8 | Failure to respond to qualifications 2021 | 2 | 3 | 6 | ↑ | 24 |

Financial

| No. | Risk | Probability | Impact | Residual Risk | Movement | Page |
|-----|---|-------------|--------|---------------|----------|------|
| 1 | Timeliness of Welsh Government Funding | 2 | 3 | 6 | ↔ | 25 |
| 2 | Cuts to School Budgets | 4 | 3 | 12 | ↔ | 26 |
| 3 | Delivery of National Mission | 2 | 3 | 6 | ↔ | 27 |
| 4 | Cost Savings Required by Welsh Government | 1 | 4 | 4 | | 28 |

Review and Reform

| No. | Risk | Probability | Impact | Residual Risk | Movement | Page |
|-----|------------------------------|-------------|--------|---------------|----------|------|
| 1. | Lack of Clarity on functions | 2 | 2 | 4 | ↓ | 29 |
| 2. | Lack of Communication | 2 | 2 | 4 | ↓ | 30 |
| 3. | Transparency of Governance | 2 | 3 | 6 | ↓ | 31 |

Impact of Covid-19

| No. | Risk | Probability | Impact | Residual Risk | Movement | Page |
|-----|--|-------------|--------|---------------|----------|------|
| 1. | Failure to respond to impact of Covid-19 | 2 | 3 | 6 | ↑ | 32 |

Contextualisation

ERW (Education through Regional Working) is one of 4 regional education consortia in Wales. It is an alliance of five local authorities - Carmarthenshire, Ceredigion, Pembrokeshire and Powys 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**

ERW's VALUES:

To achieve our vision, we have defined values to guide all we do at ERW. These include:

- *Effectiveness*
- *Commitment*
- *Integrity*
- *Innovation*
- *Collaboration*

ERW utilises a wide range of flexible approaches so that bespoke solutions can be used to support schools at their point of need. We support teachers through the provision and brokering of professional learning programmes to support individuals in their leadership journey whilst building expertise and capacity where and when it is needed in schools across the region.

3.0 ERW Governance, Scrutiny and Accountability:

ERW is governed by a legally constituted Joint Committee whose membership is made up of the local authority Leaders in South-West and Mid-Wales.

ERW's Joint Committee is advised by the Executive Board which is made up of the five local authority Directors of Education in the region along with external school improvement experts, head teacher representatives and ERW's Managing Director.

The Executive Board is responsible for monitoring and evaluating ERW's work, in particular through the work of the ERW Strategy Groups.

The ERW Strategy Groups are a critical aspect of ERW's governance arrangements. They are the primary driver for developing ERW's work in the key areas of:

- *Professional Learning and Research*
- *Leadership*
- *Curriculum*
- *Digital, Literacy and Numeracy Skills*
- *Equity and Wellbeing*
- *Welsh*

Each Strategy Group will be responsible for monitoring the progress of the aspect of Business Plan actions for which they are responsible. They will also be responsible for co-constructing content in the following year's Business Plan.

While it is accepted that the context and setting of each Local Authority in ERW is different, the purpose of collaborating on a regional level is to achieve a greater scale of economy through co-operation. Whilst changes and innovations can be incorporated to take into account local priorities or differences, there must remain a degree of regional consistency.

The ERW Strategy Groups are a conduit for communication between the region and peers within the constituent Local Authority, and the wider profession. Group members are tasked with communicating their work externally, by using both local and regional communications channels.

The ERW Scrutiny Councillor Group meets with ERW officers on a quarterly basis and provides written feedback on its findings to the Joint-Committee. ERW officers attend local authority scrutiny sessions on a regular basis, providing updates and reports on the progress of the ERW Business Plan.

Central Risks

1.1 Estyn Monitoring activity results in continued follow up for Powys later than November 2021.(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 has updated its improvement plans to show how it is going to address the recommendations. Estyn have reviewed the authority's progress through a post-inspection improvement conference and progress conferences on Nov 28th. Estyn were reassured that all 4 progress criteria were being met sufficiently.

As Powys has developed 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

Local Mitigation – PIAP agreed, WG Improvement and Assurance Board, Scrutiny arrangements. Monthly meeting with all Political party leaders in the authority. Transformation Board established. Transformation Delivery Board established. Regular updates for Cabinet to ensure sufficient progress.

Risk Scores:

| Risk Stage | Probability | Impact | Risk Score | Movement |
|------------------|-------------|------------|------------------|----------|
| | (a) | (b) | (a) X (b) | ↑↓↔ |
| Inherent | 4 | 4 | 16 | ↔ |
| Residual | 2 | 4 | 8 | ↔ |
| 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 lasting longer than July 2022.

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 2nd of December.

Pembrokeshire's inspection report was published on the 12th of February. Following publication, Pembrokeshire local government education services have been deemed as causing significant concern, and requiring follow up activity. Pembrokeshire

Objectives at Risk : All

Risk Control Measures

The Local Authority will update its improvement plan, to show how it is going to address the 4 recommendations made. The Local Authority will have a Post Inspection Action Plan Improvement Conference, and progress conferences. Monitoring visit will take place July 2022.

Local Mitigation – PIAP agreed, WG Improvement and Assurance Board, Scrutiny arrangements. Monthly meeting with all Political party leaders in the authority. Transformation Board established. Transformation Delivery Board established. Regular updates for Cabinet to ensure sufficient progress.

Risk Scores

| Risk Stage | Probability | Impact | Risk Score | Movement |
|------------------|-------------|--------|------------|----------|
| | (a) | (b) | (a) X (b) | ↑↓↔ |
| Inherent | 4 | 4 | 16 | ↔ |
| Residual | 2 | 4 | 8 | ↔ |
| Tolerance | | | 4 | |

Risk Owner

Steven Richards Downes (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

- Ensure that there is clarity in terms of vision and staff role and remit in their work towards achieving this vision.
- Effective appointments and support and training provided to provide a high quality, skilled team of Senior Managers and officers.
- 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, 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.
- Effective Performance Management and performance reporting in place throughout the directorate.

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

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)

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 to include a regional resource for secondary leadership, there was sufficient cause to de-escalate the probability of this risk.

However, as of the 2020-21 Academic Year the future of a regionally deployed support resource for Secondary school leadership is uncertain. Should this capacity be removed from the system, this risk will require re-evaluation.

Objectives at Risk : All

Risk Control Measures

- 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
- Renewed capacity within the ERW Secondary Subject Specialist Team
- ERW officers to support LA staff in targeted schools/departments

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

Interim Chief Officers, 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

Monitoring systems and exception reporting were in place for the 2019-20 Business Plan. All Strategic Groups have supported the formation of 2020-21 Business Plan in an effective manner.

Indicative funding has been received for 2020-21 and budget setting exercises have been implemented working towards a costed Business Plan.

Objectives at Risk : All

Risk Control Measures

- Ongoing dialogue with Welsh Government and other monitoring bodies
- BP aligned to National Mission document
- Established Strategy Groups will continue to support and monitor progress of the 2020-21 Business Plan

Risk Scores

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

Risk Owner

Interim Chief Officers, 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, or to not be fit for organisational purpose. 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. Paper submitted to Autumn, 2019 Joint Committee surrounding revised Governance of ERW to support the new structure. Paper deferred, and requires clarification of financial delegation arrangements at all levels of the structure.

Notable factor: The Executive Board did not meet regularly in the 19-20 Academic Year. This can present significant risks with the Board containing several key stakeholders including – WG, Estyn, and Headteacher Board representatives.

Several Internal Audit Recommendations around changes to ERW's Governance, and updating of the Legal Agreement, remain outstanding and have been highlighted within the most recent audit report.

Objectives at Risk: All

Risk Control Measures

- Ian Altman and Greg Morgan appointed as joint Interim Chief Officers, September 2020
- Revised Governance document is a current agenda item for Executive Board and Joint Committee

Risk Scores

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

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

5.Data Protection (Governance and Compliance)

Description of Risk

ERW fails to comply with the Data Protection Act 2018, resulting in action from the ICO.

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.

This responsibility has been transferred to the Interim Chief Officers.

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

Risk Owner

Interim Chief Officers, Lead Chief Executive, Lead Director

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

Description of Risk

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 revised ERW model is now in place, however efficiencies and full increase of funding to frontline services were not implemented 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 revised ERW Model.

Risk Scores

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

Risk Owner

Interim Chief Officers, Section 151 Officer, Principal Accountant, Lead 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 LAs.
- 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 | 3 | 6 | ↓ |
| Tolerance | | | 6 | |

Risk Owner

LA Section 151 Officers, Head of Internal Audit

8. Failure to respond to changes in process of awarding qualifications in summer 2021

Description of Risk

That the changes to arrangements for awarding qualifications in summer 2021 will not be responded to effectively by ERW officers in the Secondary Team.

Background

Due to Covid-19 and the external examinations were not sat in summer 2020 and centres were asked to develop Centre Assessed Grades (CAGs) as well as complete a rank order for all WJEC qualifications. ERW central team had dialogue with a limited number of middle leaders regarding the range of appropriate evidence to complete this process. They did not, however, advise on any individual learner or take part in the process itself.

A standardisation process was developed by WJEC based on a range of criteria. However, eventually all learners in Wales were awarded their CAG or standardised grade, whichever was the higher.

Adaptations have already been adopted across qualifications to reflect the loss in learning time in 2019/20 and a range of stakeholder groups are currently discussing additional options for learners in 2021 and the minister will make a further statement at the end of October. Should examinations not take place, ERW Secondary team will support schools in developing appropriate evidence in line with specific courses/qualifications as required.

Impact of Risk:

- Negative impact on learner outcomes across the region
- Lack of consistency in approach across the LAs
- Challenges regarding subjects with no secondary officer employed centrally

Risk Control Measures

- Network meetings and additional training to support most recent adaptations
- Agendas developed to ensure consistent approach across the LAs
- Improved communication between WJEC and Headteacher groups
- Challenge Adviser training
- Lead schools developed in key subject areas

Risk Scores:

| Risk Stage | Probability | Impact | Risk Score | Movement |
|------------------|-------------|------------|------------------|----------|
| | (a) | (b) | (a) X (b) | ↑↓↔ |
| Inherent | 4 | 4 | 16 | ↑ |
| Residual | 2 | 3 | 6 | ↑ |
| Tolerance | | | 4 | |

Risk Owner

Interim Chief Officers, Directors of Education

Financial Risks

1. Timeliness of WG Funding (Financial Risk)

Description of Risk

WG Funding may not be timely, resulting in underspend, lateness of planning, 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. WG have also moved to a quarterly payment profile of the PDG.

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. Conversation around the future footprint of ERW, or any replacement, will mean it is unlikely that indicative funding will be received prior to the financial year 2021-22.

In-year variation funding from WG does occasionally materialise, sometimes as late as February (as happened in 18-19). In 2019-20 a variation letter was received in April resulting in ERW not being able to utilise this funding. This late arrival of funding is a contributing factor to this risk.

Objectives at Risk: All

Risk Control Measures

- A 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 | 3 | 3 | 9 | ↔ |
| Tolerance | | | 6 | |

Risk Owner

Section 151 Officer, Lead Banker Authority and Principal Accountant

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. Local Government 2020-2021 settlement reported to be higher than initial expectations.

Professional Learning grant has been reduced for 2020-21 due to WG savings as part of their response to the Covid-19 pandemic.

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

Interim Chief Officers, Lead Director, LA Directors, Section 151 Officer, Principal Accountant, 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. However, further changes to model may lead to a rescoring.

Changes made to the model in 2019-20 and the decision not to recruit for a number of posts in 2020-21 has the potential to increase the risk in this area where resource and capacity becomes an issue.

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

LA Directors, Joint Committee, Interim Chief Officers

4. Cost Savings Required by Welsh Government (Financial Risk)

Description of Risk

WG have imposed a 3% savings target on the Consortia based on the total value of the RCSIG which equates to £1.06m in order to assist with funding the WG response to the Covid-19 pandemic. As the climate remains uncertain with the pandemic, it may be that the consortia is asked to make further savings if, for example schools are closed again.

Background

£1.06m of savings have been made in 2020-21 from the budgets of the strategy groups. Salaries and funding to schools was protected. The PDG was also protected. The EIG has been allocated and budgets communicated with ERW Officers for the year. Any further savings required due to the pandemic would hinder the organisations ability to deliver on the business plan and the national mission.

Although WG stated in April 2020 that they do not expect any further savings to be required by the consortia for 2020-21, we are dealing with uncertainty in this area as the pandemic continues. The 3% was based on schools being closed for the Summer Term however ERW continued to provide remote/digital support. Plans for the remainder of the year are based on a blended support plan of face to face where required and able, and through digital platforms. As such, any further cuts to the budgets would be difficult to deliver. Failure to meet the existing 3% savings target from WG or any in-year savings targets will result in clawback from Local Authorities leading to an impact on school budgets.

Objectives at Risk: All

Risk Control Measures

- Ongoing dialogue with Welsh Government
- Monthly budget meetings to ensure any over/under spends are addressed timely.

Risk Scores

| Risk Stage | Probability | Impact | Risk Score | Movement |
|------------------|-------------|------------|------------------|----------|
| | (a) | (b) | (a) X (b) | ↑↓↔ |
| Inherent | 1 | 4 | 4 | ↑ |
| Residual | 1 | 4 | 4 | ↑ |
| Tolerance | | | 6 | |

Risk Owner

Lead Director, Interim Chief Officers, Lead Chief Executive, Section 151 Officer and Principal Accountant

Review and Reform

1. Lack of clarity on ERW's functions

Description of Risk

That the revised ERW structure does not bring sufficient clarity on the function of ERW and its central team. Ongoing discussions with regard to the future ERW Footprint impact on the ability to clarify functions and services.

Background

Despite thorough stakeholder engagement during the creation of the revised ERW structure (2018-2019 academic year) and work undertaken during the Autumn Term, 2019 to communicate and clarify the ERW's function to all stakeholders, recent developments with regard to the future ERW footprint could cause a 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 revised structure along with loss of trust within the profession

Risk Control Measures

- Ongoing and effective communications provided by the ERW Team on a weekly basis
- Communications Strategy group established centrally with membership linked to all areas of the BP.
- Consistent and ongoing 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 | 2 | 3 | 6 | ↔ |
| Residual | 2 | 2 | 4 | ↓ |
| Tolerance | | | 4 | |

Risk Owner

Joint Committee, Lead Director, Interim Chief Officers

2. 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

Addition curriculum support or other roles according to their need and priority areas may need to be employed e.g. with less than 2fte staff members for Secondary English support across the region, a LA may wish to 'top up' locally. The linguistic needs and nature of each LA are different. The current ERW specialist capacity is unable to 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 5 constituent LAs
- Brokerage pathway protocol has been agreed at Director Level

Risk Scores:

| Risk Stage | Probability | Impact | Risk Score | Movement |
|------------------|-------------|--------|------------|----------|
| | (a) | (b) | (a) X (b) | ↑↓↔ |
| Inherent | 3 | 3 | 9 | ↔ |
| Residual | 2 | 2 | 4 | ↓ |
| Tolerance | | | 4 | |

Risk Owner

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

3. 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 enhanced strategic meetings which 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 strategic meetings fail to improve transparency, there will be significant adverse effects.

The revised Governance Structure document was deferred by the Joint Committee. Strategy Groups were signed off by the Joint Committee in December 2019 Joint Committee. Further elements of the structure are now impacted upon by the ERW Footprint agenda.

The Executive Board has not met regularly during the 19-20 Academic Year with stakeholders including WG, Estyn and Headteacher Board representatives.

All budget holders meet regularly with Principal Accountant and have an allocated budget to discuss in conjunction with the strategy groups. These groups will be reconvened in autumn 2020 and monitor the BP using the monitoring and evaluation spreadsheet.

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 decisions on ERW website.
- Directors receive monthly updates of ERW funding to schools

Risk Scores:

| Risk Stage | Probability | Impact | Risk Score | Movement |
|------------------|-------------|--------|------------|----------|
| | (a) | (b) | (a) X (b) | ↑↓↔ |
| Inherent | 4 | 4 | 16 | ↑ |
| Residual | 2 | 3 | 6 | ↓ |
| Tolerance | | | 4 | |

Risk Owner

Lead Chief Executive, Interim Chief Officers, Directors of Education, Principal Accountant

Impact of Covid-19

1. Failure to respond to the impact of Covid-19

Description of Risk

That ERW will not respond in an agile and appropriate manner to the impact of Covid-19 on the organisation and school support.

Background

Covid-19 has impacted on the way the organisation has worked since March 2020. Initially, there was a focus on supporting the national Continuity of Learning plan and developing a response linked to distance and then blended learning.

Schools and settings reopened fully from Sept 14th onwards. However, the impact of Covid-19 meant that there were partial closures as well as staff and pupils self-isolating in the autumn term.

Impact of Risk:

- Failure to deliver all aspects of the Business Plan
- Lack of effective support for distance and blended learning in schools
- Loss of trust with the teaching profession and constituent LAs

Risk Control Measures:

- Teams repurposed to ensure focus on key areas at risk
- Agile response when planning and delivering support for schools e.g. amending PL offer to ensure high quality delivery online
- Engage with all stakeholders to align key messages and share strong practice

Risk Scores:

| Risk Stage | Probability | Impact | Risk Score | Movement |
|------------------|-------------|--------|------------|----------|
| | (a) | (b) | (a) X (b) | ↑↓↔ |
| Inherent | 4 | 4 | 16 | ↑ |
| Residual | 2 | 3 | 6 | ↑ |
| Tolerance | | | 4 | |

Risk Owner

Interim Chief Officers, SLT, Central Team

Mae'r dudalen hon yn wag yn fwriadol