

DYDD IAU, 12 GORFFENNAF 2018

**PWYLLGOR AR Y CYD ERW
Y LLWYFAN, COLLEGE ROAD, CARMARTHEN
AM 10.00 AM,
DYDD LLUN, 16^{EG} GORFFENNAF, 2018**

A G E N D A DIWYGIEDIG

1. YMDDIHEURIADAU AM ABSENOLDEB
2. DATGAN BUDDIANNAU PERSONOL
3. LOFNODI FEL COFNOD CYWIR COFNODION CYFARFOD Y PWYLLGOR AR Y CYD A GYNHALWYD AR Y 21 MAWRTH 2018 3 - 12
4. MATERION SY'N CODI O'R COFNODION
5. DIWEDDARIAD Y PRIF WEITHREDWR ARWEINIOL 13 - 24
6. ADRODDIADAU O GANLYNIAD I'R CYFARFOD DIWETHAF:-
 - 6.1 YSGOLOION SY'N PERI GOFID 25 - 58
 - 6.2 CANLYNIADAU TGAU 59 - 66
 - 6.3 CYFLWYNIAD I'R GRWP CRAFFU AR ADOLYGU AC ADNEWYDDU 67 - 96
 - 6.4 GOHEBIAETH I GRWP CYNGHORWYR CRAFFU 97 - 104
 - 6.5 ADOLYGU LLETY PRESENNOL ERW 105 - 114
 - 6.6 CÔD LLYWODREATHU CORFFORAETHOL 115 - 142
 - 6.7 CYNLLUN BUSNES ERW 143 - 242



- 7. ADRODDIADAU CYLLID AC AWDIT MEWNOL:-**
- 7.1 PENNAETH AWDIT MEWNOL CONSORTIWM ERW BARN SICRWYDD FLYNYDDOL 2017-18** 243 - 248
- 7.1A - ADRODDIAD AWDIT MEWNOL ERW 2017-18 (ADRODDIAD YCHWANEGOL)**
- 7.1B - DATGANIAD LLYWODRAETHU CONSORTIWM ERW 2017-18 (ADRODDIAD YCHWANEGOL)**
- 7.2 DATGANIAD CYFRIFON 2017-18 & ADRODDIAD ISA 260 SAC** 249 - 304
- 7.3 CYNLLUN AWDIT SWYDDFA AWDIT CYMRU AM ERW 2017-18** 305 - 324
- 7.4 DIWEDDARIAD CYLLID ERW 2018-19** 325 - 366
- 8. COFRESTRE RISG** 367 - 398
- 9. ADRODDIADAU ADOLYGU AC ADNEWYDDU:-**
- 9.1 CYNNIG ADNODDAU DYNOL** 399 - 434
- 9.2 ADOLYGU TREFNIADAU CYTUNDEBAU LEFEL GWASANAETH** 435 - 456
- 9.3 AMLINELLU REMIT AR GYFER ADOLYGU AC ADNEWYDDU TREFNIADAU LLYWODRAETHU ERW** 457 - 468
- 10. ADRODDIAD AR DDIFFYG CYDYMFFURIAETH** 469 - 524
- 11. 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**

Cyd-Bwyllgor ERW
Dydd Mercher, 21ain Mawrth, 2018
Y Llwyfan, Heol y Coleg, Caerfyrddin
10.30 am - 1.20 pm

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

Y Cynghorydd Myfanwy Alexander	Cyngor Sir Powys
Y Cynghorydd Jennifer Raynor	Dinas a Sir Abertawe
Y Cynghorydd David Simpson	Cyngor Sir Penfro
Y Cynghorydd Rob Stewart	Dinas a Sir Abertawe
Mr Phil Roberts	Prif Weithredwr Arweiniol ERW a Chyngor Dinas a Sir Abertawe
Mr Gareth Morgans	Cyngor Sir Caerfyrddin
Mr Eifion Evans	Cyngor Sir Ceredigion
Mr Ian Westley	Cyngor Sir Penfro
Ms Betsan O'Connor	Rheolwr Gyfarwyddwr ERW
Mr Ian Budd	Cyngor Sir Powys – Cyfarwyddwr Arweiniol
Mr Jonathan Haswell	Cyngor Sir Penfro (Swyddog A151 ERW)
Ms Elin Prysor	Cyngor Sir Ceredigion (Swyddog Monitro)
Mr Chris Llewellyn	Cymdeithas Llywodraeth Leol Cymru
Mr Steve Vincent	Lywodraeth Cymru
Mr Kevin Thomas	Cyngor Sir Caerfyrddin (Gwasanaethau Democraidd)

1. YMDDIHEURIADAU AM ABSENOLDEB

Cafwyd ymddiheuriadau am absenoldeb gan y Cynghorydd E. Dole (Cyngor Sir Caerfyrddin), y Cynghorydd Rosemarie Harris (Cyngor Sir Powys), y Cynghorydd Rob Jones (Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot), Mr M. James (Cyngor Sir Caerfyrddin), a Mr Steven Phillips (Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot)

2. DATGAN BUDDIANNAU PERSONAL.



Ni chafwyd yr un datganiad o fuddiant personol.

3. LOFNODI FEL COFNOD CYWIR COFNODION CYFARFOD Y PWYLLGOR AR Y CYD A GYNHALWYD AR Y 1AF RHAGFYR 2017.

Cyfeiriwyd at y cywiriad a gofnodwyd yng nghofnod 3, h.y. "creu cynlluniau clir i sicrhau a chynnal dulliau cyfathrebu effeithiol â'r chwe Cyfarwyddwyr Addysg..." Mynegwyd y farn bod y cofnod yn anghywir, ac y dylid cadw'r cyfeiriad at y chwe Chyfarwyddwr Addysg.

Nodwyd hefyd na fyddai Penaethiaid yn cael eu henwebu'n aelodau o'r panel adolygu, er y byddent yn ymwneud â'r broses adolygu.

CYTUNWYD y dylid llofnodi'n gofnod cywir gofnodion y cyfarfod a gynhaliwyd ar 1 Rhagfyr 2017, a hynny'n amodol ar ddiwygio rhan gyntaf y penderfyniad ar gyfer Cofnod 3 i gyfeirio at y chwe Chyfarwyddwr Addysg:

- **"creu cynlluniau clir i sicrhau a chynnal dulliau cyfathrebu effeithiol â'r chwe Chyfarwyddwyr Addysg a Phenaeithiaid trwy gydol y broses, ynghyd â sicrhau bod y Cynllun Busnes yn cael ei roi ar waith mewn modd cyson"**

Materion sy'n Codi o'r cofnodion:

1. Cofnod 3 – Cofnodion – 21 Medi 2017

Cyfeiriwyd at y sylw clo yng Nghofnod 3 am y canlyniadau TGAU, a gofynnwyd am eglurhad ynghylch pam nad oedd yr adroddiad hwnnw wedi cael ei gynnwys ar yr agenda ar gyfer y cyfarfod y diwrnod hwnnw, fel y cytunwyd gan y Cyd-bwyllgor.

Cadarnhaodd y Rheolwr Gyfarwyddwr y gellid anfon copi o'r canlyniadau yn uniongyrchol i aelodau'r Cyd-bwyllgor, ac y byddai eitem ar hynny yn cael ei rhoi ar yr Agenda ar gyfer y cyfarfod nesaf.

Yn sgil yr uchod, awgrymodd Mr Gareth Morgans y gallai fod yn fuddiol i adroddiad gael ei gyflwyno i gyfarfod o'r Cyd-bwyllgor yn y dyfodol ar ymgynghoriad Llywodraeth Cymru ynghylch y cyfeiriad ar gyfer y dyfodol a'r broses o newid i'r safonau/mesurau atebolrwydd newydd yn seiliedig ar y naw canlyniad TGAU gorau. Mynegodd y Cadeirydd y farn y dylid cyflwyno adroddiad i'r cyfarfod nesaf ar berfformiad a thueddiadau ar lefel 2 er mwyn sicrhau eglurder o ran cyfeiriad ERW yn y dyfodol

CYTUNWYD:

1. **y dylid rhoi copi o'r canlyniadau TGAU i aelodau'r Cyd-bwyllgor, a rhoi eitem ar hynny ar yr agenda i'w hystyried yng nghyfarfod nesaf y Cyd-bwyllgor;**
2. **y dylid cyflwyno adroddiad i gyfarfod o'r Cyd-bwyllgor yn y dyfodol ar ymgynghoriadau Llywodraeth Cymru ynghylch y broses o symud i safonau/mesurau atebolrwydd newydd yn seiliedig ar y naw canlyniad TGAU gorau;**



3. y dylid cyflwyno adroddiad yng nghyfarfod nesaf y Cydbwyllgor ar berfformiad a thueddiadau ar lefel 2.

2. Cofnod 5 – Llythyr gan y Grŵp Craffu

Cyfeiriwyd at y llythyr a gafwyd gan Grŵp y Cynghorwyr Craffu, ac at gyfarfod y Grŵp a gynhaliwyd ar 9 Mawrth 2018, lle y cafodd gyflwyniad gan y Rheolwr Rhaglen. Gofynnwyd am eglurhad ynghylch sut y cafodd y cyflwyniad hwnnw ei wneud heb iddo gael ei wneud yn gyntaf i'r Cyd-bwyllgor.

Dywedodd y Rheolwr Gyfarwyddwr fod y cyflwyniad wedi cael ei wneud ar gais Grŵp y Cynghorwyr.

CYTUNWYD y byddai copïau o'r cyflwyniad i Grŵp y Cynghorwyr Craffu yn cael ei ddsbarthu i'r Cyd-bwyllgor, ac y byddai'r un cyflwyniad yn cael ei wneud i'r Pwyllgor yn ei gyfarfod nesaf.

3. Cofnod 6 – Diweddariad Ariannol ERW – Chwarter 2 2017-18

Cyfeiriwyd at benderfyniad 6.4, a gofynnwyd am eglurhad ynghylch a oedd llythyrau wedi cael eu hanfon at Mr Mark Drakeford AC a Kirsty Williams AC. Er na wyddai a oedd y llythyrau wedi cael eu hanfon, dywedodd y Swyddog A151 fod cyfarfod wedi cael ei gynnal ers hynny â'r Gweinidog, lle cadarnhawyd bod sylw'n cael ei roi i'r anawsterau blaenorol a gododd o ran y broses grantiau, ac y byddai mesurau newydd ar waith ar gyfer dyfarniadau grant 18/19.

Awgrymwyd y dylai penderfyniadau'r Cyd-bwyllgor gael eu dyrannu i swyddogion penodol i'w gweithredu, er mwyn sicrhau eu bod yn cael eu rhoi ar waith.

CYTUNWYD y dylid gofyn i'r Prif Weithredwr Arweiniol gyflwyno trefniadau i sicrhau bod penderfyniadau'r Cyd-bwyllgor yn cael eu rhoi ar waith.

4. Cofnod 11 – Gofod Swyddfa

Gofynnwyd i'r Rheolwr Gyfarwyddwr egluro pam yr oedd yr adroddiad drafft cychwynnol yn datgan y byddai'r les yn dod i ben ddiwedd mis Mai 2018, pan nad oedd yna unrhyw les yn bodoli mewn gwirionedd? Wrth ymateb i ymholiad ynghylch les ERW ar gyfer gofod swyddfa yn Y Llwyfan, cadarnhaodd y Rheolwr Gyfarwyddwr fod is-les yn bodoli mewn perthynas â meddiannaeth ERW o dair ystafell ar y llawr cyntaf, ond nad oedd unrhyw dystiolaeth o les yn bodoli mewn perthynas â'i swyddfeydd ar y llawr gwaelod, les yr oedd yn talu rhent amdani. Dywedodd fod y safle wedi bod yn weithredol ers deng mlynedd, a bod meddiannaeth y tenantiaid presennol ar fin cael ei hadolygu; roedd trafodaethau mewn perthynas â hynny yn mynd rhagddynt â'r landlord. Cadarnhawyd bod meddiannaeth ERW o'r safle yn ddiogel tra bo'r trafodaethau'n mynd rhagddynt.



Yn y cyfamser, awgrymodd y Swyddog Monitro y dylai adroddiad ar gynnydd y trafodaethau gael ei gyflwyno yn y cyfarfod nesaf, ac y dylai gael ei chynnwys yn y trafodaethau hynny.

Dywedodd y Rheolwr Gyfarwyddwr fod ERW wedi mynegi pryderon ynghylch lechyd a Diogelwch yn rhan o'r trafodaethau hynny, pryderon a oedd yn ymwneud â desgiau ac ardaloedd swyddfa eraill, a'i fod wedi comisiynu gwaith i fynd i'r afael â'r pryderon hynny yn rhan o'r trafodaethau; byddai'r canlyniad yn cael ei gyflwyno yng nghyfarfod nesaf y Cyd-bwyllgor.

CYTUNWYD:

- 1. y byddai adroddiad diweddarau yn cael ei gyflwyno yng nghyfarfod nesaf y Cyd-bwyllgor ynghylch y trafodaethau a oedd yn mynd rhagddynt am feddiannaeth ERW o ofod swyddfa yn Y Llwyfan, ac y byddai'r Swyddog Monitro yn cael ei chynnwys yn y trafodaethau hynny;**
- 2. y byddai'r adroddiad i'w gyflwyno yn y cyfarfod nesaf hefyd yn cynnwys canlyniad yr Arolwg lechyd a Diogelwch.**

4. ADRODDIAD MONITRO'R GYLLIDEB AR GYFER CH3 2017-18, GYDAG ATODIAD.

Cyflwynodd Swyddog Adran 151 ei adroddiad ynghylch Monitro Cyllideb Ch3 2017-18 i'r Cyd-bwyllgor, i'w ystyried.

Wrth gyflwyno'r adroddiad, tynnodd y Swyddog Adran 151 sylw'r Cyd-bwyllgor at ddyfarniad grant gwerth £250 mil gan Lywodraeth Cymru tuag at gost Rhaglen Adolygu a Diwygio ERW. Cyfeiriodd hefyd at y gwaith i'w wneud o dan yr adolygiad hwnnw, ac awgrymodd y dylid dileu'r ddau argymhelliad canlynol yn ei adroddiad, hyd nes y byddai ERW wedi penderfynu ar ei gyfeiriad ar gyfer y dyfodol:

- Bod y Cyd-bwyllgor yn cytuno i ERW fynd ar drywydd ei yswiriant ei hun ar gyfer y dyfodol,
- Bod y Cyd-bwyllgor yn cytuno i recriwtio Rheolwr Ariannol, ar gontract tymor penodol, i'w ariannu o gyllid Adolygu a Diwygio Llywodraeth Cymru

Wrth ymateb i gwestiwn am y grant uchod gan Lywodraeth Cymru, cadarnhaodd y Rheolwr Gyfarwyddwr mai grant ar gyfer cyfnod penodol o amser ydoedd, i'w ddyrannu dros gyfnod o 13 mis; felly, byddai'n cael ei gario drosodd i flwyddyn ariannol 18/19.

Gwnaethpwyd cyfeiriad pellach at y tîm adolygu a'r cadarnhad, y manylir arno yng nghofnod 3 uchod, y dylai gynnwys y chwe Chyfarwyddwr Addysg. Awgrymwyd y dylai'r Swyddog Adran 151, y Swyddog Monitro a'r cynrychiolydd Adnoddau Dynol hefyd fod yn bresennol yn y cyfarfodydd hynny.

Wrth ymateb i gwestiwn yn ymwneud â'r ffaith bod arian grant yn dod i law yn hwyr, rhoddwyd sicrwydd i'r Pwyllgor fod Llywodraeth Cymru yn ymwybodol o'r sefyllfa, ac yn derbyn ei bod yn creu anawsterau o ran cynllunio. Roedd Llywodraeth Cymru bellach yn bwriadu cyflwyno hysbysiad cynnar o ddyfarniadau



grant, gyda'r gobaith y byddai hynny'n sicrhau mwy o hyblygrwydd ac yn gwella'r sefyllfa bresennol.

Cyfeiriwyd at y broses o ddyrannu grantiau gan ERW i'r chwe Awdurdod Lleol, a gofynnwyd am sicrwydd eu bod yn cael eu gwneud yn unol â'r fformiwla gyllido y cytunwyd arni'n flaenorol gan y Cyd-bwyllgor (Gweler Cofnod 3 y cyfarfod a gynhaliwyd ar 11 Mawrth, 2015 ynghylch dosbarthu'r Grant Gwella Addysg). Nodwyd bod cyfarfod o'r Cyfarwyddwyr Addysg wedi cael ei drefnu ar gyfer yr wythnos honno, lle byddent yn trafod y fformiwla gyllido. Pe byddai'n briodol, gellid trefnu cyfarfod ychwanegol o'r Cyd-bwyllgor i drafod unrhyw newidiadau a awgrymid i'r fformiwla ar gyfer dyrannu grantiau 18-19. Hefyd, gallai pob Cyfarwyddwr archwilio'r dyraniadau grant i'w hawdurdod er mwyn sicrhau eu bod wedi cael eu gwneud yn unol â'r fformiwla.

Gofynnwyd i'r Swyddog Adran 151 gadarnhau nas gofynnwyd iddo gynnwys unrhyw adroddiadau eithriadol mewn perthynas â defnyddio dulliau dosbarthu cyllid amgen. Cadarnhaodd y Swyddog Adran 151 nad oedd yr un dull dosbarthu amgen, hyd y gwyddai, wedi cael ei ddefnyddio.

CYTUNWYD:

- 4.1 y dylid nodi Diweddariad Ariannol ERW – Chwarter 3 ar gyfer 2017-18;**
- 4.2 y dylid cymeradwyo'r newidiadau i Ddyraniadau Grant Cyllideb Refeniw Tîm Canolog ERW (yn amodol ar gael sicrwydd bod y dyraniadau wedi cael eu gwneud yn unol â'r fformiwla gyllido y cytunwyd arni'n flaenorol) a chronfeydd wrth gefn ERW ar gyfer 2017-18;**
- 4.3 y dylid nodi'r risgiau i'r rhanbarth o ystyried faint o arian craidd yr oedd yn ei gael a'r effaith ar gronfeydd wrth gefn y rhanbarth dros y tymor canolig, ynghyd â newidiadau a ragwelid i strwythur a gweithrediadau ERW;**
- 4.4 Y dylid dileu'r ddau argymhelliad y manylid arnynt yn yr adroddiad, yn unol â'r rhesymau a amlinellwyd uchod;**
- 4.5 y dylai'r Swyddog Adran 151, y Swyddog Monitro a'r Cynrychiolydd Adnoddau Dynol fynd i gyfarfodydd Tîm Adolygu ERW.**

5. ADRODDIAD CYLLIDEB 2018-19.

Cyflwynodd Swyddog Adran 151 ei adroddiad ynghylch Cyllideb 2018-19 i'r Cyd-bwyllgor, i'w ystyried.

Wrth gyflwyno'r adroddiad, tynnodd y Swyddog Adran 151 sylw'r Cyd-bwyllgor at lythyr a gafwyd gan Lywodraeth Cymru (a ddosbarthwyd yn y cyfarfod), a oedd yn manylu ar ddyraniad y Grant Gwella Ysgolion i ERW ar gyfer y cyfnod rhwng 1 Mawrth 2018 a 31 Mawrth 2019. Cyfanswm y grant oedd £40,971,102, ac roedd wedi cael ei ddyrannu ar sail Pum Blaenoriaeth y Genhadaeth Genedlaethol, ac wedi cael ei gynnwys yn y Cynllun Busnes yn unol â hynny. Er bod y dyfarniad hwnnw, ar y cyd â'r dyraniad gwerth £29 miliwn o'r Grant Datblygu Disgyblion, yn



creu cyfanswm o bron £64 miliwn, £63.1 miliwn oedd cyfanswm y dyraniad gwirioneddol gan Lywodraeth Cymru, ac roedd eglurhad yn cael ei geisio ynghylch yr anghysondeb hwnnw. Felly, roedd cyfanswm y dyraniad grant oddeutu £63-£64 miliwn, a oedd yn llai na'r £71 miliwn a gafwyd ar gyfer 2017-18.

O ran Cyfraniad yr Awdurdodau Lleol at gostau craidd ERW, sef £250 mil, dywedodd fod Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot wedi penderfynu peidio â pharhau â'i gyfraniad ar gyfer 2018-19, a hynny oherwydd cyfyngiadau cyllidebol; byddai angen cael eglurhad ynghylch y penderfyniad hwnnw.

Wrth gloi, cyfeiriodd y Swyddog Adran 151 at y pedwar argymhelliad y manylwyd arnynt, a gofynnodd am i'r argymhelliad i (d) penodi rheolwr cyllid yn amodol ar ganlyniad adolygiad ERW, gael ei ddileu.

Mynegwyd pryder ynghylch penderfyniad Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot i beidio â chyfrannu at gostau craidd ERW ar gyfer 2018-19, cyfraniad a oedd yn werth £69,650, ac y dylid cael eglurhad ynghylch y penderfyniad hwnnw a chanfod a oedd yr Awdurdod hwnnw yn dymuno parhau yn bartner yn ERW, o gofio gofynion y Cytundeb Cyfreithiol wrth sefydlu ERW.

Wrth ymateb i gwestiwn am gost uwch Cytundebau Lefel Gwasanaeth, cadarnhaodd y Swyddog Adran 151 fod hynny'n deillio o benderfyniad blaenorol gan ERW y dylent adlewyrchu gwir gost ERW. Awgrymwyd y dylid cyflwyno adroddiad llawn ar y CLGau yn y cyfarfod nesaf.

Cyfeiriwyd at y drafodaeth yng nghofnod 4 uchod ynghylch y fformiwla gyllido ar gyfer dyrannu grantiau Llywodraeth Cymru i'r chwe Awdurdod. Awgrymwyd y dylid cyflwyno adroddiad ar fethodoleg ei dyraniadau ar gyfer 2018-19 yn y cyfarfod nesaf.

CYTUNWYD:

- 5.1 y dylid cymeradwyo cyllideb alldro ragamcanol 2017-18, a chyllideb ddrafft 2018-19;**
- 5.2 Y dylid awdurdodi'r Swyddog Adran 151 i wneud diwygiadau i'r gyllideb, lle bo angen, yn dibynnu ar y penderfyniadau a wneid i adolygu strwythur ERW**
- 5.3 y dylai'r Awdurdodau Lleol dalu eu cyfraniadau at gostau craidd ERW;**
- 5.4 y dylid dileu argymhelliad (d) oherwydd y rheswm y manylir arno yng nghofnod 4 uchod;**
- 5.5 y dylid gofyn am eglurhad gan Gyngor Bwrdeistref Sirol Castell-nedd Port Talbot ynghylch ei gyfraniad at gostau craidd ERW ar gyfer 2018/19 a'i fwriad o ran ei aelodaeth o ERW yn y dyfodol, a hynny o gofio gofynion y Cytundeb Cyfreithiol wrth sefydlu ERW;**
- 5.6 y dylid cyflwyno adroddiad ar Gytundebau Lefel Gwasanaeth ERW yng nghyfarfod nesaf y Cyd-bwyllgor;**
- 5.7 y dylai'r Cyd-bwyllgor bennu'r modd y câi'r fethodoleg ar gyfer dosbarthu grantiau ar gyfer 2018-19 ei hystyried a'i chymeradwyo.**



6. CATEGOREIDDIO.

Cafodd y Cyd-bwyllgor adroddiad ar y broses o gategoreiddio ysgolion yn rhanbarth ERW, adroddiad a oedd yn manylu ar yr hyfforddiant a roddid i'r Ymgynghorwyr Her, y prosesau cymedroli a sicrhau ansawdd, a chanlyniadau'r broses genedlaethol o gategoreiddio ysgolion, a gynhaliwyd yn nhymor yr hydref.

Er bod y tîm canolog, yn draddodiadol, yn ymwneud â'r broses gategoreiddio ar ddiwedd y cam sicrhau ansawdd, dywedodd y Rheolwr Gyfarwyddwr fod y chwe Chyfarwyddwr Addysg yn ERW wedi cytuno y gallent fod yn rhan o'r broses ar gam cynharach. Roedd y broses gategoreiddio ddrafft wedi cael ei rhoi ar waith ym mis Gorffennaf 2017, ac wedi cael ei chwblhau ar ddiwedd mis Rhagfyr 2017. Er bod ERW yn gweithio gyda'r tri chonsortium addysg arall yng Nghymru i sicrhau cysondeb wrth gymedroli, dywedodd ei bod yn debygol y byddai newidiadau'n cael eu cyflwyno yn y dyfodol mewn perthynas â chategoreiddio a hunanwerthuso, a bod trafodaethau ynghylch hynny yn mynd rhagddynt yn genedlaethol. Fodd bynnag, roedd cynigion cadarn yn yr arfaeth mewn perthynas â hynny.

Cadarnhaodd Mr Vincent fod Llywodraeth Cymru yn gweithio gydag Estyn i ddatblygu fframwaith hunanwerthuso cenedlaethol a chyflwyno amrywiaeth newydd o ddangosyddion perfformiad; disgwyliad y byddai fframwaith drafft yn cael ei gynhyrchu erbyn mis Medi 2018, ac y byddai mesurau perfformiad dros dro yn cael eu cyflwyno yn ystod 2019. Cadarnhaodd y byddai'n barod i gyflwyno adroddiad ar yr adborth a gafwyd ar y cynigion hynny mewn cyfarfod o'r Cyd-bwyllgor yn y dyfodol.

Cyfeiriwyd at ddiben cychwynnol y broses gategoreiddio, sef nodi'r cymorth yr oedd ar ysgolion ei angen i sicrhau gwelliannau, yn hytrach na bod yn offeryn i nodi ysgolion gwael. Felly, roedd yn bwysig bod y neges yn cael ei chyfleu i rieni nad oedd yr ysgolion a gategoreiddiwyd yn rhai Coch neu Ambr yn ysgolion a oedd yn methu, ond yn hytrach yn ysgolion yr oedd arnynt angen cymorth ychwanegol i sicrhau gwelliant parhaus.

Cyfeiriwyd at y broses gategoreiddio ac at yr ysgolion hynny yn y rhanbarth a oedd wedi'u nodi'n ysgolion yr oedd arnynt angen cymorth. Mynegwyd y farn bod angen i adroddiad gael ei gyflwyno i'r Cyd-bwyllgor, a oedd yn manylu ar y broses ymyrryd a lefelau'r ymyrraeth a oedd ar gael i ERW a'r Awdurdodau Addysg.

CYTUNWYD:

- 6.1 y dylid derbyn yr adroddiad ar y broses gategoreiddio;
- 6.2 y dylid cyflwyno adroddiad yng nghyfarfod nesaf y Cyd-bwyllgor a oedd yn manylu ar y broses ymyrryd a lefelau'r ymyrraeth a oedd ar gael i ERW a'r Awdurdodau Addysg.

7. COFRESTR RISGIAU.



Rhodddwyd copi o'r Gofrestr Risgiau i'r Cyd-bwyllgor, a oedd yn tynnu sylw at y prif risgiau yn y meysydd Corfforaethol, Ariannol a Gwella Ysgolion, gan alluogi ERW i leihau'r potensial o risgiau lle bynnag y bo hynny'n bosibl.

Er na fu unrhyw newidiadau i'r gofrestr ers iddi gael ei chyflwyno'n flaenorol i'r Cyd-bwyllgor, dywedodd y Rheolwr Gyfarwyddwr y dylid bod yn ymwybodol o'r tebygolrwydd y gallai risgiau godi yn sgil Rhaglen Adolygu a Diwygio ERW, ac y byddai angen i'r risgiau hynny gael eu harchwilio a'u cynnwys yn y Gofrestr Risgiau, lle bynnag y bo hynny'n briodol. Er mai Tîm Canolog ERW a oedd yn gyfrifol am Risgiau canolog, roedd pob Awdurdod Lleol yn gyfrifol am reoli ei risgiau ei hun. Yn hynny o beth, roedd prosesau newydd wedi cael eu cyflwyno i sicrhau cysondeb o ran y modd y cofnodwyd y risgiau ledled pob awdurdod lleol. Roedd hyfforddiant hefyd yn cael ei ddarparu yn rhan o'r dull gweithredu hwnnw.

Gofynnwyd i'r Rheolwr Gyfarwyddwr gadarnhau bod y chwe Chyfarwyddwr wedi cymeradwyo'r risgiau a nodwyd yn ganolog. Cadarnhawyd nad oedd hyn wedi digwydd.

Cyfeiriwyd at fformat yr adroddiad, a mynegwyd y farn bod angen i'r gofrestr nodi'r swyddogion a oedd yn gyfrifol am reoli'r risgiau a manylu ar unrhyw gynllun gweithredu/amserlen i fynd i'r afael â'r risgiau, a'u lliniaru. Cadarnhaodd y Prif Weithredwr Arweiniol y byddai'n codi'r mater gyda'r swyddogion priodol.

PENDERFYNWYD y dylid cael a chymeradwyo'r gofrestr risgiau, ac eithrio'r elfen ganolog. Byddai hyn yn cael ei adolygu gan y chwe Chyfarwyddwr, a'i ailgyflwyno yng nghyfarfod nesaf y Cyd-bwyllgor.

8. CYNLLUN BUSNES.

Cyflwynwyd Cynllun Busnes drafft ERW ar gyfer 2018-21 i'r Cyd-bwyllgor ei ystyried. Roedd y Cynllun Busnes hwn yn cynnwys yr holl flaenoriaethau strategol a fyddai'n arwain gwaith y gwasanaeth gwella ysgolion rhanbarthol, yn ogystal â'r blaenoriaethau a nodwyd gan bob un o'r chwe Awdurdod Lleol, ac roedd yn gyson â Chenhadaeth Genedlaethol Llywodraeth Cymru.

Dywedodd y Rheolwr Gyfarwyddwr fod angen i ragor o waith gael ei wneud ar y ddogfen, gan roi ystyriaeth i'r trefniadau cyllido newydd, deilliannau, a'r gwaith o gyflawni blaenoriaethau lleol yn ogystal â Phum Blaenoriaeth Cenhadaeth Genedlaethol Llywodraeth Cymru.

Wrth ymateb i gwestiwn am y gwaith o gyd-adeiladu'r Model Cenedlaethol, cadarnhawyd mai Llywodraeth Cymru oedd yn gyfrifol am gysylltu â Phrif Weithredwyr Arweiniol a Rheolwyr Gyfarwyddwyr y pedwar consortiwm rhanbarthol, ynghyd â CLILC. Rhagwelwyd y byddai'r fersiwn ddrafft gyntaf yn cael ei chwblhau yn y dyfodol agos; byddai ymgynghoriad yn cael ei gynnal yn dilyn hynny, gan ddilyn yr un patrwm, yn fras, â'r hyn a fabwysiadwyd ar gyfer y model cenedlaethol cyfredol.

Cyfeiriwyd at y diffyg manylder yn y cynllun busnes mewn perthynas â chynlluniau cyflawni a gweithredu, ynghyd â'r angen i sicrhau bod y meysydd hynny'n cael eu



nodi mewn unrhyw fersiwn ddrafft ddiwygiedig cyn iddi gael ei chyflwyno i'r Cyd-bwyllgor.

CYTUNWYD y dylid ailysgrifennu Cynllun Busnes drafft ERW ar gyfer 2018-2021.

9. Y RHAGLEN ADOLYGU A DIWYGIO.

Atgoffodd y Prif Weithredwr y Cyd-bwyllgor am ei benderfyniad blaenorol i sefydlu tîm prosiect i fynd ati i adolygu a diwygio ERW. Yn dilyn y penderfyniad hwnnw, er bod ERW yn ymwybodol o'r adolygiad cyfredol o'r Model Cenedlaethol, a allai effeithio ar y rhaglen adolygu a diwygio, dywedodd y byddai'r Papur Gwyrdd a gyhoeddwyd yn ddiweddar gan Lywodraeth Cymru ynghylch y bwriad i leihau nifer yr Awdurdodau Lleol yng Nghymru i 10, yn golygu goblygiadau ychwanegol o ran y diwygio hwnnw. Fodd bynnag, nodwyd bod y Gweinidog, yn rhan o'r cyhoeddiad hwnnw, wedi nodi bod disgwyl i'r trefniadau cydweithredu presennol barhau.

Cyfeiriodd y Prif Weithredwr Arweiniol hefyd at lythyr, a ddosbarthwyd yn y cyfarfod, gan Kirsty Williams AC, Ysgrifennydd y Cabinet dros Addysg, a oedd yn gofyn am adroddiad cynnydd ar gynlluniau ERW ar gyfer gwella Trefniadau Llywodraethu yn y dyfodol a sicrhau bod strwythurau addas ar waith i'w alluogi i ymateb i Argymhellion Estyn, ac ar y gwaith o baratoi cynllun gweithredu. Dywedodd y byddai cyfarfod ag Ysgrifennydd y Cabinet yn cael ei gynnal ar 24 Ebrill 2018, a bod sylwadau'r Cyd-bwyllgor yn cael eu ceisio ynghylch y materion i'w codi.

Wrth roi sylw i'r mater, roedd y Cyd-bwyllgor wedi ystyried yr angen i amlygu'r cynnydd a oedd yn cael ei wneud o ran cyfeiriad ERW ar gyfer y dyfodol, gan gynnwys darparu enghreifftiau o arfer gorau a thystiolaeth o'r modd yr oedd yn bwriadu gwella sgiliau a deilliannau'r dysgwyr.

Atgoffodd y Prif Weithredwr Arweiniol y Cyd-bwyllgor ei fod wedi cytuno'n flaenorol fod angen cynnal cyfarfod i drafod y fethodoleg ar gyfer dosbarthu grantiau ar gyfer 2018-19, ac awgrymodd y dylid cyflwyno adroddiad yn y cyfarfod hwnnw, pe byddai mod, yn amlinellu'r pwyntiau arfaethedig i'w cyflwyno i'r Ysgrifennydd Cabinet ar 24 Ebrill.

CYTUNWYD y dylid derbyn y diweddariad.

CADEIRYDD

DYDDIAD



Mae'r dudalen hon yn wag yn fwriadol



CYD-BWYLLGOR ERW 16 GORFFENNAF 2018

DIWEDDARIAD Y PRIF WEITHREDWR ARWEINIOL

Pwrpas:

Mae'r eitem yma'n galluogu'r Prif Weithredwr Arweiniol i ddiweddarau'r Cyd-Bwyllgor ar gynnydd gweithredoedd o'r cyfarfod blaenorol.

Argymhellion / Penderfyniadau Angenrheidiol:

I dderbyn yr adroddiad

Rheswm:

Cadw at brosesau sy'n dilyn cyfarfodydd y Cyd-Bwyllgor

<p>Awdur:</p> <p>Phil Roberts</p>	<p>Swydd:</p> <p>Prif Weithredwr Arweiniol / Lead Chief Executive</p>	<p>Rhif Cyswllt:</p> <p>E-Bost:</p>
--	--	--



EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

16TH JULY 2018

LEAD CHIEF EXECUTIVE UPDATE

BRIEF SUMMARY OF PURPOSE OF REPORT

The update will focus on:

1. Updated Assurance Report
2. Clarification on Report Clearance Procedures

These are attached in the body of the report.

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

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

CONSULTATIONS

Details of any consultations undertaken are to be included here:

N/A

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

THERE ARE NONE



ERW JOINT COMMITTEE

16 JULY 2018

LEAD CHIEF EXECUTIVE UPDATE

Supporting / Additional information from ERW Executive Board

N/A

Supporting / Additional Information from ERW Advisory Board

N/A



ASSURANCE REPORT FOR ERW JOINT COMMITTEE

Date of JC	Action	Progress	Responsible Officer
21.3.18	<p>AGREED that the minutes of the meeting held on the 1st December, 2017 be signed as a correct record subject to the first part of the resolution to Minute 3 being amended to include reference to the six Directors of Education i.e:-</p> <p><input type="checkbox"/> “establish clear plans to secure and maintain effective communication with and engagement of the six Directors of Education, Head Teachers, throughout the process and secure consistent implementation of the Business Plan”</p>	<p>The Executive Board has met but limited agreement as to way forward.</p> <p>The Directors’ Group has met regularly since December 2017 and has met jointly with the ERW leadership team and senior managers for school improvement to consider working arrangements.</p> <p>The Executive Board has also now been reconvened and has considered progress with the review and reform programme, as well as meeting specifically to advise on papers for this meeting.</p> <p>The Directors will continue to meet to ensure that the Business Plan meets local needs and that implementation is coordinated.</p>	MD/Lead director
21.3.18	<p>AGREED:</p> <p>1. that members of the Joint Committee be provided with a copy of the G.C.S.E results and an item thereon be agendaed for consideration at the next meeting of the Joint Committee</p> <p>2. that a report be submitted to a future meeting of the Joint Committee on the Welsh Government’s consultations on moving to new accountability standards/measures based on the best nine GCSE results</p>	On agenda	<p>MD</p> <p>MD</p> <p>MD</p>

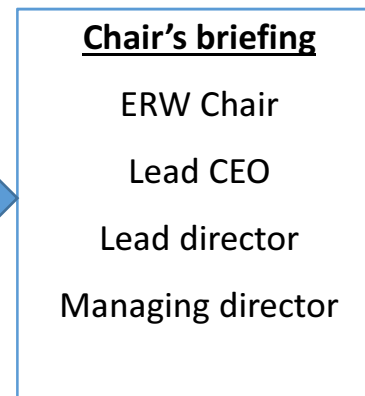
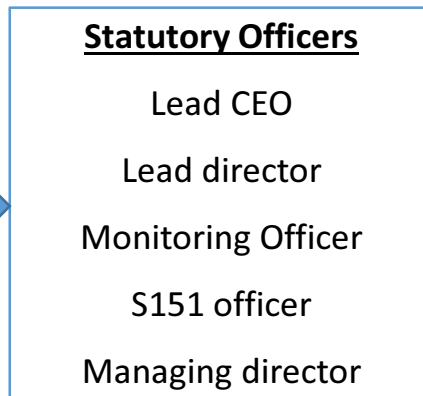
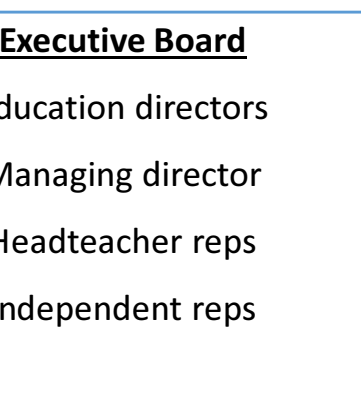
Date of JC	Action	Progress	Responsible Officer
	3. that a report be submitted to the next meeting of the Joint Committee on level 2 performance and trends		
21.3.18	AGREED that copies of the presentation to the Scrutiny Councillor Group be circulated to the Joint Committee and that the same presentation be made to the Committee at its next meeting.	On agenda	
21.3.18	AGREED that the Lead Chief Executive be requested to introduce arrangements to ensure implementation of the Joint Committee's decisions.	The JC will receive this updated assurance report at each meeting to monitor the progress of implementation of their decisions	Lead CEO
21.3.18	AGREED: 1. That an update report be presented to the next meeting of the Joint Committee on the discussions being undertaken on ERW's future occupation of Y Llwyfan and that the Monitoring Officer be involved with those discussions 2. That the report to be submitted to the next meeting also include the outcome of the Health and Safety Survey.	On agenda	MD MD
21.3.18	AGREED: 4.1 That the ERW Financial Update Quarter 3 for 2017/18 be noted, 4.2 That the changes to the ERW Central Team Revenue Budget, Grant Allocations (subject to assurance the allocations have been made in accordance with the previously agreed funding formula) and ERW reserves for 2017-18 be approved	Noted and complete Complete Noted	s151 s151 S151

Date of JC	Action	Progress	Responsible Officer
	<p>4.3 That the risks to the region given the amount of core funding it received and the effect on the region's reserves over the medium term, with anticipated changes to the ERW structure and operations be noted,</p> <p>4.4 That, for the reason outlined above, the last two recommendations detailed within the report be withdrawn</p> <p>4.5 That the Section 151 Officer, Monitoring Officer and a HR Representative attend meetings of the ERW Review Team.</p>	<p>Complete</p> <p>Awaiting outcome of national model</p>	<p>S151</p> <p>MD</p>
21.3.18	<p>AGREED:</p> <p>5.1 That the 2017-18 projected budget outturn be noted and the 2018-19 draft budget be approved,</p> <p>5.2 That the Section 151 Officer be authorised to make amendments to the budget, as necessary, dependent upon the decisions made to review ERW's structure</p> <p>5.3 That the Local Authorities pay their contribution to ERW's Core costs,</p> <p>5.4 That recommendation (d) be withdrawn for the reason detailed in minute 4 above,</p> <p>5.5 That clarification be sought from Neath Port Talbot County Borough Council on payment of its contribution towards ERW's core costs for 2018/19 and its future intentions regarding its membership of ERW, having regard to the requirements of the Legal Agreement establishing ERW,</p>	<p>Complete</p> <p>The Lead Chief Executive wrote to NPTCBC in consultation with the Chair of ERW. A reply was received from the CEO of NPTCBC and a response is being prepared. This will need to be considered by the JC at its next meeting.</p>	<p>S151</p> <p>S151</p> <p>S151</p> <p>S151</p> <p>Lead CEO / s151/ MO</p> <p>S151</p>

Date of JC	Action	Progress	Responsible Officer
	5.6 That a report on ERW's Service Level Agreements be submitted to the next meeting of the Joint Committee, 5.7 The Joint Committee determine how the methodology for distribution of grants for 2018-19 is considered and approved.	Approved by email. Further discussion on agenda.	MD
21.3.18	AGREED: 6.1 That the categorisation report be received, 6.2 That a report be submitted to the next meeting of the Joint Committee detailing the intervention process and levels of intervention available to ERW and the Education Authorities.	Noted. On agenda.	MD MD
21.3.18	AGREED that the risk register be received and approved.	Complete	S151
21.3.18	AGREED that the draft ERW Business Plan 2018-2021 be noted.	Complete	S151
21.3.18	AGREED that the update be received.	A letter was sent to the Cabinet Secretary outlining the views of the Joint Committee in advance of the meeting with her on 24 th April. This has been copied to all members of the JC. The MD and directors of education need to prepare background information on progress made, particularly focussing on schools in category.	Chair / lead CEO / MD / directors of education
21/9/17	7.1-7.3 Review & Reform: Programme Team 7.1 Programme team to be established. 7.2 Programme team to include specific	Initial meetings with Directors/ Chief Execs took place Nov/ Dec 2017. Also wider stakeholders – ChAds and HT representatives 16.11.18 Meetings held as follows:	Lead CEO/S151/MD Programme team: Lead CEO/S151/MO/MD/x6 Directors & HR rep

Mae'r dudalen hon yn wag yn fwriadol

Report Clearance Procedure



Considers all reports that are being proposed for submission to the Joint Committee and makes recommendation

Signs off all reports that are going to the Joint Committee

Ensures chair is briefed and supportive of all recommendations to the Joint Committee

Mae'r dudalen hon yn wag yn fwriadol

**CYD- BWYLLGOR ERW
16 GORFFENAFF 2018**

YSGOLOION SY’N PERI GOFID

Pwrpas:

I ddiweddarau'r Cyd-Bwyllgor, yn ôl eu cais, ar y cymorth sydd ar gael i Ysgolion sy'n Peri Gofid

Argymhellion / Penderfyniadau Angenrheidiol:

- I'r Cyd-Bwyllgor nodi'r cymorth cytunwyd ar gyfer Ysgolion sy'n Peri Gofid fel rhan o Ysgol Gymorth ERW
- I'r Cyd-Bwyllgor gymeradwyo gwaith pellach i gallu darparu:

- Rhaglen Ddysgu Broffesiynol i Ymgynghorwyr Her
- Datblygu Tîm Uwchradd Rhanbarthol
- Cytuno ar drefniadau am gymorth parhaus i ysgolion am 2018-19

- Bod y Cyd-Bwyllgor yn cymeradwyo'r trefniadau cynnydd ar gyfer Ysgolion sy'n Peri Gofid

Rheswm:

Gwybodaeth parthed cymorth i Ysgolion sy'n Peri Gofid, yn ôl cais y Cyd-Bwyllgot

Awdur:

Aneirin Thomas

Swydd:

Pennaeth Ansawdd

Rhif Cyswllt: 01267 245 635

E-
Bost: Aneirin.thomas@erw.org.uk

EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

16TH JULY 2018

SUPPORT FOR SCHOOLS CAUSING CONCERN

BRIEF SUMMARY OF PURPOSE OF REPORT

As requested by Joint Committee in the last meeting, find attached the guidance document for Challenge Advisers in relation to protocol and support that should be available to schools that cause concern. Although the region provides support to schools causing concern, the statutory responsibility for each school remains with the Local Authority. This includes the creation, delivery and monitoring of an effective action plan identifying areas for improvement and also the support required in order to bring about improvement. It remains the case that too many schools in ERW fall into the bracket of a school causing concern and that early concerns regarding the performance of a school are not identified and addressed early enough. In order to address this, we also attach a proposed schematic to highlight and clarify roles and responsibilities when identifying and escalating concerns. The aim of this document is to intensify early identification of issues, to mobilise support and to reduce the number of schools that develop significant areas for improvement and where pupils do not receive an appropriate level of education. This has been agreed by the Executive Board.

- **Background**
- **National Guidance**
- **Support Available**
- **School Improvement Boards**
- **Estyn Follow up**

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

CONSULTATIONS

N/A

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

THERE ARE NONE

Draft Pending Joint Committee Approval



**ERW JOINT COMMITTEE
16TH JULY 2018**

SUPPORT FOR SCHOOLS CAUSING CONCERN

Supporting / Additional information from ERW Executive Board

Agreed and supported at Executive Board, and that further work be agreed on:

- a) Professional Learning Programme be established for Challenge Advisers**
- b) A regional secondary team be developed**
- c) Agreed arrangements for ongoing support to schools be confirmed for 2018-19.**

Supporting / Additional Information from ERW Advisory Board

No additional comments.



Ein Rhanbarth ar Waith
Education through Regional Working



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



Schools Causing Concern 2017-18

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.

Draft Pending Joint Committee Approval

1.1.1. Schools Causing Concern

Content

2-3 Schools Causing Concern – National Definition

3-5 The ERW Ladder of Support for schools requiring intensive support and challenge,

6-10 Local Authority statutory responsibilities and the use of Improvement Panels

11-12 Working with schools being monitored by Estyn

13-14 Working with schools requiring significant improvement or placed in special measures.

15-24 Action Plan for Schools Causing Concern

Draft Pending Joint Committee Approval

School Causing Concern

For the purposes of this guidance, a “school causing concern” is a school which is:

- Meets one or more of the following grounds for intervention and is subject to a Warning Notice issued under the 2013 Act.
- Not subject to Warning Notice but meets one or more of the grounds for intervention one to six noted below.
- Deemed by Estyn to require significant improvement or require special measures
- one or more of the grounds 1-6 for intervention exist and there is a related risk to the health or safety of any person that calls for urgent intervention (no warning notice is required).

Ground 1: The standards of performance of pupils at the school are unacceptably low.

Ground 2: There has been a breakdown in the way the school is managed or governed.

Ground 3: The behaviour of pupils at the school or any action taken by those pupils or their parents is severely prejudicing, or is likely to severely prejudice, the education of any pupils at the school.

Ground 4: The safety of pupils or staff at the school is threatened (whether by a breakdown of discipline or otherwise).

Ground 5: The governing body or head teacher has failed, or is likely to fail, to comply with a duty under the Education Acts.

Ground 6: The governing body or head teacher has acted, or is proposing to act unreasonably in the exercise of any of its or his or her functions under the Education Acts.

1.2. Ladder of Support

During the Autumn Core Visit, each school in ERW will be engaged in a dialogue with the Challenge Adviser to come to an agreed judgement on capacity to improve (letter) and a support category (colour). Schools in the 4 support categories will have the following characteristics.

Red Support Category
A school in this category may receive up to 25 days of Challenge Adviser time.
The school will automatically receive a letter from the Local Authority where appropriate statutory powers may be invoked.

School support category – Red: Schools causing concern			
Level of support	Level of intervention	Support	Way forward
<p>In addition to the support provided for the other categories:</p> <p>Headteacher and Chair of Governors meet with Education Directorate / Learning Service's SMT and relevant members of the School Improvement Team to discuss performance and improvement.</p> <p>LA intervention to support improvement is confirmed.</p>	<p>Intensive:</p> <p>Two day SCC visit. Recommendations must be included in the SDP</p> <p>The Director of Education or equivalent will consider issuing a warning notice under the provisions of the School Standards and X Organisation (Wales) Act 2013. Only in exceptional circumstances will this not be actioned.</p> <p>Warning notices will include:</p> <ul style="list-style-type: none"> the grounds for intervention; 	<p>25 support days, to include:</p> <ul style="list-style-type: none"> the core entitlement; follow-up support, challenge and intervention work which is focussed on improving pupil outcomes, the quality of leadership and/or provision; regular visits, e.g. half termly to monitor action plan and collect evidence to report to the Director of Education or equivalent; and mandatory challenge adviser support days 	<p>The LA will closely monitor to ensure that sufficient progress is being made to bring about a rapid improvement in outcomes, leadership and provision. A key indicator of this will be the urgency and rigour with which the head, SLT and governing body implement actions for improvement.</p> <p>If urgent intervention is required, the local authority can action.</p>

<p>A LA action plan of co-ordinated support is drawn up, detailing the nature and level of support, timetable for action and expected outcomes. The programme will dovetail with the school's own improvement programme.</p> <p>Half-termly evaluation on progress provided to the Director of Education or equivalent.</p>	<ul style="list-style-type: none"> • the reasons why the authority is satisfied that the grounds exist; • the action which the governing body is required to take in order to deal with the grounds for intervention; • the period in which the action is to be taken by the governing body ('the compliance period'); and • the action the local authority is minded to take if the governing body does not take the required action. <p>All schools causing concern will be required to receive additional days from challenge advisers to support and accelerate improvement.</p> <p>Where it is deemed necessary further specific leadership support will be considered on a case by case basis. This is likely to include an accelerated improvement board.</p>		<p>Intervention may include:</p> <p>Requirement to secure advice or collaborate</p> <p>The appointment of additional governors</p> <p>The appointment of an IEB – a specially constituted governing body which replaces a school's existing governing body.</p> <p>The suspension of delegated authority for the governing body to manage a school's budget</p> <p>Power to give directions and take steps.</p> <p>Failure to secure improvement will result in further intervention processes being applied, including, where necessary, application to Welsh Ministers to direct the federation of a school causing concern or that a school in special measures be closed.</p>
---	--	--	---

1.2.1. The role of the 6 Local Authorities within ERW

Providing effective support and challenge plays a key role in addressing low performance, raising standards and improving the quality of education. It is important that ERW and the six local authorities, working in partnership with schools, put in place effective mechanisms for performance monitoring. Such mechanisms have a key role in providing early identification of issues that need to be addressed. ERW Challenge Advisers play a vital role in securing successful interventions and improvements in schools. The main priorities for the Challenge adviser can be summarised as:

- monitoring schools' progress systematically
- identifying at an early stage schools where there may be problems and
- acting quickly to prevent difficulties occurring or escalating by providing effective targeted support and/or intervention.

The focus should be placed on maintaining good and open relationships and collaborating with schools to create the conditions for sustainable success. Annually Erw Challenge Advisers will:

- evaluate the school's performance
- identify priorities for improvement
- plan effective change and
- broker with the school any additional support it may need from capacity within ERW, LA and further afield

Where a school requires additional assistance to improve, the six LAs in ERW are statutory responsible for ensuring that an appropriate support package for the school is developed. Usually the support package will be provided by ERW and the LA. Support brokered by ERW will be tailored to the school's particular requirements and designed to assist it in the areas specifically identified as requiring improvement. Interventions will be based on the principle that 'the level and depth of intervention is in inverse proportion to a school's success and capacity to improve'.

1.3. The use of statutory powers

The six Local Authorities in ERW have powers to intervene where a school is causing concern. The Local Authorities are responsible for managing school improvement through providing support, monitoring, challenge and intervention to the schools. There is an expectation that if intervention is required, the local authority with support from ERW will take that action.

1.3.1. Supporting Schools Causing Concern

Where a school is considered as a School Causing Concern, the local authority at this stage will inform the governing body and the headteacher of its concerns. In such circumstances ERW Challenge Advisers will, in discussion with the school's governing body and senior management team, take prompt and early action to identify areas for improvement and agree appropriate action.

ERW is responsible for working alongside and supporting governing bodies and school management teams in securing ongoing improvements in standards. Particular attention is given to supporting and where necessary, intervening in schools where performance is unacceptably low or where other issues are having an adverse impact on the operation of the school.

When we have concerns about the quality of learning, standards achieved by pupils or leadership and management, prompt action will be taken by ERW. Such concerns may be based on both quantitative and qualitative evidence including analysis of performance data and direct observation of the quality of teaching and pupils' work. As previously outlined, ERW has a clear and robust ladder of support and intervention which trigger specific actions to be undertaken.

As a pre-cursor to the statutory interventions available to the six LAs in ERW, a package of support could be provided to a school causing concern via an **Improvement Panel**.

1.3.2. What is an Improvement Panel?

An **Improvement Panel** is offered as an option to a school that is causing concern. The **Improvement Panel** approach is a non-threatening partnership approach to meeting the development needs of the school.

Following a trigger point in respect of either:

- quality of learning
- standards achieved by pupils
- leadership and management
- governance or financial management

The Local Authority will offer the Governing Body and School Management Team the opportunity to set up an **Improvement Panel**.

1.3.3. Membership of the Improvement Panel

Membership would include school leaders, governors, senior officer/s from the Local Authority/support staff from ERW (Challenge Adviser) and any others whom the governing body feel would be required to provide additional targeted support. It is usually chaired by a LA official.

1.3.4. Principles of an effective Improvement Panel

- **Collaborative relationship with schools-** the relationship with schools is the most important factor in the process. There is consensus that this relationship must be collaborative.
- **Clear roles and responsibilities-** and agreed action plan will give the school and the LA officers, who are working with them, a clear sense of their roles and responsibilities in the process. This means that the school's staff will be aware of the expectations on them, and the implications of failing to meet these expectations.
- **Contact and context-** we believe that the process is heavily dependent on regular contact with, and in-depth knowledge of, the local context.
- **Coordination and communication-** the need for good coordination and communication between the LA, ERW and the school, as well as between LA officials themselves.
- **Creating self-sufficiency, not dependency-** interventions need to be targeted and tapered. This approach means that schools get the support that they need, but will also be trained to be self-sufficient at the same time.
- **Challenging as well as supporting-** Interventions should be challenging as well as supportive. 'Supportive challenge', combined with the partnership model of intervention, will help to build trust and efficacy in the school improvement process.
- **Creating effective leaders by coaching and capacity building-** strengthening school leadership is believed to be a critical element of the process. Securing school improvement therefore often requires capacity building among school leaders and teachers, and LA officials alongside ERW will play a key role in helping school staff to acquire the skills and competencies they require for effective teaching and school management.

How will the **Improvement Panel** be organised/managed?

1. **Contact school-** the LA will notify the Chair of Governors/Headteacher that the school meets one or more of the grounds outlined and that ERW and the LA will be working more closely and intensively with the school to secure the required improvement.
2. **Meeting schedule-**The **Improvement Panel** will meet regularly, usually on a monthly basis at an agreed time accessible to all its members. It will develop and monitor an Action Plan to address the identified issues/concerns.
3. **Prepare flexible and tailored action plan to meet the school's needs-** a school causing concern will be required to have a detailed action plan that will help the school's leadership team identify and address the challenges that the school is facing. (at the end of this document) This plan will be drawn up by the school leadership team and the Chair of Governors in collaboration with ERW and the LA. All records of visits and support provided will be recorded on the ERW central logging system. An impact summary will be required once every term.
4. **Provide additional expertise-** ERW Challenge Advisers will play a key

role in brokering additional support for the school causing concern e.g. another school with specific support, specialist input from Associate School Improvement Officers, ALN support, Governors Training and Financial Support.

5. Support and strengthen school leadership- improvement secured through capacity building of existing headteacher and staff by securing attendance at targeted ERW consortium leadership training or bespoke LA sponsored leadership training

6. Work in collaboration with schools- the relationship is still viewed as a collaboration and a partnership between the LA and the school.

1.3.5. How will progress be monitored?

The **Improvement Panel** will also be responsible for monitoring progress and reporting progress to the full Governing Body, ERW and the LA. This will be done through-

- IP agenda items and reports being delivered in a standing agenda item on full Governing Body meetings
- Reports from the SMT
- Reports from LA officers and ERW Consortium officers such as Challenge Advisers
- Schools visits and progress reports from LA officers
- Annual Analysis of the school's data and National categorisation
- In some cases, a shadow Governing Body standards sub-committee will monitor the work of the Improvement panel

In addition, the LA with ERW support can conduct more formal progress review of the school as and when required

1.3.6. What happens after the Improvement Panel?

Once the work of the IP is finished and the school is functioning as a good school the responsibility for the monitoring of the plans and the school outcomes is taken over by a Governing body sub -committee responsible for pupil outcomes and standards. Most good schools will already have this arrangement in place and have 'shadowed' the work of the IP during its inception.

1.3.7. What if the Improvement Panel approach does not secure improvement?

With both the Improvement Panels and the Management Board if matters are not resolved within an agreed measurable period, the local authority will consider whether it is appropriate to serve the governing body with a 'Warning Notice' as provided under Section 15 of the School Standards and Framework Act 1998.

Local Authorities have **statutory powers** of intervention when dealing with schools causing concern. These are included in the guidance document [Schools Causing Concern - Guidance for Schools and Local Authorities 202/2016](#)

A local authority has the power to intervene in a maintained school if:

- The local authority has given a warning notice and the governing body has failed to comply with the authority's satisfaction within the compliance period.
- The school requires significant improvement.
- The school requires special measures.

A local authority can:

- appoint additional governors
- appoint an Interim Executive Board
- suspend the delegated authority of the governing body to manage a school's budget

1.3.8. Categories of Estyn Follow up Activity and Involvement of the Challenge Adviser.

Expectation of Support and Challenge to Schools in Estyn Review

1. It is expected that schools in Estyn Review will be placed in an amber support category and will **not** necessarily meet the grounds for a school causing concern. However, this might depend on the timing of the core inspection.
2. The PIAP is constructed with the Challenge Adviser at the earliest opportunity and should include the following headings as per Estyn guidance:
 1. Actions (must be clear and precise)
 2. Responsibilities
 3. Success criteria (always relating to learner outcomes)
 4. Resources (including the use of Challenge Advisers)
 5. Monitoring (how and by whom)
 6. Milestones (along the 12 to 18-month pathway)

The PIAP should become the main body of the School

Development Plan. The PIAP should be signed by the Chair of the Governing Body.

3. Schools have the clear message that the onus is on them to show that they know themselves better when re-visited. Estyn do not want to see raw evidence but evaluations based on each recommendation. When constructing the PIAP together, in partnership, consideration should be given to the main body of the inspection report and not just the written recommendations. The word

'however' in any report signals the area of improvement.

4. Schools should be made aware of what to expect during monitoring activity right from the outset in order for schools to evaluate evidence along the way. There should be a clear agreement from the outset of when the Challenge Adviser will visit the school to monitor the extent to which the school is evaluating its own progress.
5. The key to this is that schools monitor themselves and evaluate their own progress during the year. By the first Estyn monitoring activity both the Challenge Adviser and the school will have a clear report, against each recommendation, on the level of progress made. Estyn will monitor the school's progress in addressing the recommendations highlighted in the report about 12-18 months after the report's publication. In the first instance, the monitoring activity will take account of documentary evidence, for example the school's evaluation of improvements made since the core inspection and the most recent challenge advisor's report. If there is clear evidence of progress and its impact on improving pupil outcomes through the documentation, Estyn will remove the school from the list of schools requiring Estyn review and no further follow-up activity will take place. If clear progress is not evident at this stage, then, normally, inspectors will visit the school. If clear progress is not evident at this stage, then, normally, inspectors will visit the school.
6. If a monitoring visit takes place, this will be brief (one-and-a-half days in a primary school and two days in a secondary or all-age school). If the evidence provided by the school during the visit shows that clear progress has been made in addressing the recommendations from the core inspection, including early impact of improvements on pupil outcomes, normally inspectors will remove the school from the list of schools requiring Estyn monitoring. However, if inspectors judge during the visit that insufficient progress has been made, then the school will require further monitoring. As a result, the school may be judged to require significant improvement or special measures and be placed in one of these statutory categories.
7. The regional template for schools in an Estyn review needs to be used when writing the final report. The LA Chief Education Officer will quality assure the report before it is sent to Estyn.

These principles need to be consistently applied across the region.

Expectation for Support and Challenge to Schools Requiring Significant Improvement or Special Measures

1. Schools in special measures normally take 18 months to 24 months to come out of the statutory category. These schools should be challenged to make rapid improvements within 12 months by the challenge adviser and local authority.
2. Schools in need of significant improvement are expected to come out of this statutory category in 12 months, for secondary that can be longer depending on verified data
3. Schools must receive 25 days (including Challenge Adviser and Subject Specialist support) between the date of feedback and the date of re-visit.
4. Leadership and self-evaluation will be the biggest challenges for the schools in statutory categories. Taking inexperienced/ temporary staff on an improvement journey will also be a challenge. Schools in Special Measures need Estyn permission to employ Newly Qualified Teachers.
5. There is a risk that current leadership arrangements will change as a result of the school being placed in a statutory category. The response will need to be factored into the support package.
6. The Chair of Governors and Vice Chair of Governors will be key to driving success forward. Both will need to take real ownership of the school's post inspection action plan as this will immediately become their school development plan.
7. The Cabinet Secretary for Education can ask the LA for an update on progress at the school during the next academic year so clear and precise monitoring is important.
8. The Headteacher should agree to produce a post inspection action plan in draft format before the publication date of the inspection report.
9. The quality of the PIAP is key to the success of the school and this should be thoroughly evaluated by the challenge adviser. Written feedback must be recorded.
10. The Challenge Adviser will **author** the LA action plan and this must be signed off by the Head of Hub.
11. Support will only be brokered through the school's challenge adviser. This will ensure effective co-ordination and onward monitoring. It is the Challenge Adviser's responsibility to monitor all support activity in the school

12. The support plan or LA action plan will support the PIAP and must be shared with stakeholders to ensure that roles and responsibilities of all those involved are clear from the onset. There is a regional template for this (see template at the end of this document)
13. An improvement panel will be convened to meet on a monthly basis. Both Chair and vice chair should attend. Terms of reference will be agreed with the clear aim of securing improvement. The challenge adviser should attend these meetings.
14. The challenge advisers will be responsible for **monitoring progress** in all recommendations and where there is slow progress, matters must be escalated to the Chief Education Officer
15. The school must be allowed space to improve and the time invested in the PIAP/ LA action plan now should reduce over expending resources later on.
16. All stakeholders should know what their role is and have access to all key documents
17. Parents are entitled to know how the school will plan for improvement and this should be communicated in tandem with the release of the report.

Draft Pending Joint Committee Approval

2. AWDURDOD LLEOL:

Ysgol sy'n Peri Pryder - School Causing Concern

Datganiad Gweithredu a Chynllunio - Statement of Action and Planning

2016-2017

2.1.1. Ysgol/School:

Pennaeth/Headteacher:

Cadeirydd y Llywodraethwyr / Chair of Governing Body Ymgynghorydd

Her / Challenge Adviser:

Cyswllt Awdurdod Lleol/Local Authority Contact:

Cyd-destun / Context

Priority 1:

Very Good Progress	Strong Progress	Satisfactory Progress	Limited
---------------------------	------------------------	------------------------------	----------------

	Autumn 1	Autumn 2	Spring 1	Spring 2	Summer 1	Summer 2	Annual
Priority 1							

<p>Success Criteria:</p> <ul style="list-style-type: none"> •

Priority 1 -				
School Actions (SDP or PIAP)	LA / ERW Support, Monitoring and Intervention	Person Responsible	Key Dates	Outcomes & Progress Commentary
1.1	1.1			
1.2	1.2			
1.3	1.3			
1.4	1.4			

1.5	1.5			
1.6	1.6			
<u>Review and Actions agreed:</u>				<u>Actions Completed:</u>

Priority 2:



	Autumn 1	Autumn 2	Spring 1	Spring 2	Summer 1	Summer 2	Annual
Priority 2							

Success Criteria:

-

Priority 2 -				
School Actions (SDP or PIAP)	LA / ERW Support, Monitoring and Intervention	Person Responsible	Key Dates	Outcomes & Progress Commentary
2.1	2.1			
2.2	2.2			
2.3	2.3			
2.4	2.4			
2.5	2.5			
2.6	2.6			
<u>Review and Actions agreed:</u>				<u>Actions Completed:</u>

Draft Pending Joint Committee Approval

Priority 3:

Very Good Progress	Strong Progress	Satisfactory Progress	Limited
---------------------------	------------------------	------------------------------	----------------

	Autumn 1	Autumn 2	Spring 1	Spring 2	Summer 1	Summer 2	Annual
Priority 3							

2.1.2. Success Criteria:

Priority 3 -				
School Actions (SDP or PIAP)	LA / ERW Support, Monitoring and Intervention	Person Responsible	Key Dates	Outcomes & Progress Commentary
3.1	3.1			
3.2	3.2			
3.3	3.3			
3.4	3.4			
3.5	3.5			
3.6	3.6			

Review and Actions agreed:				Actions Completed:
-----------------------------------	--	--	--	---------------------------

2.2. Priority 4:

Very Good Progress	Strong Progress	Satisfactory Progress	Limited
---------------------------	------------------------	------------------------------	----------------

	Autumn 1	Autumn 2	Spring 1	Spring 2	Summer 1	Summer 2	Annual
Priority 4							

2.2.1. Success Criteria:

• Priority 4 -				
-----------------------	--	--	--	--

Draft Pending Joint Committee Approval

School Actions (SDP or PIAP)	LA / ERW Support, Monitoring and Intervention	Person Responsible	Key Dates	Outcomes & Progress Commentary
4.1	4.1			
4.2	4.2			
4.3	4.3			
4.4	4.4			
4.5	4.5			
4.6	4.6			
<u>Review and Actions agreed:</u>				<u>Actions Completed:</u>

Draft Pending Joint Committee Approval

2.3. Priority 5:

Very Good Progress	Strong Progress	Satisfactory Progress	Limited
---------------------------	------------------------	------------------------------	----------------

	Autumn 1	Autumn 2	Spring 1	Spring 2	Summer 1	Summer 2	Annual
Priority 5							

2.3.1. Success Criteria:

Priority 5 -				
School Actions (SDP or PIAP)	LA / ERW Support, Monitoring and Intervention	Person Responsible	Key Dates	Outcomes & Progress Commentary
5.1	5.1			
5.2	5.2			
5.3	5.3			
5.4	5.4			
5.5	5.5			
5.6	5.6			

Review and Actions agreed:				Actions Completed:
-----------------------------------	--	--	--	---------------------------

2.4. Priority 6:

Very Good Progress	Strong Progress	Satisfactory Progress	Limited
---------------------------	------------------------	------------------------------	----------------

	Autumn 1	Autumn 2	Spring 1	Spring 2	Summer 1	Summer 2	Annual
Priority 6							

2.4.1. Success Criteria:

-

Priority 6 -				
School Actions (SDP or PIAP)	LA / ERW Support, Monitoring and Intervention	Person Responsible	Key Dates	Outcomes & Progress Commentary

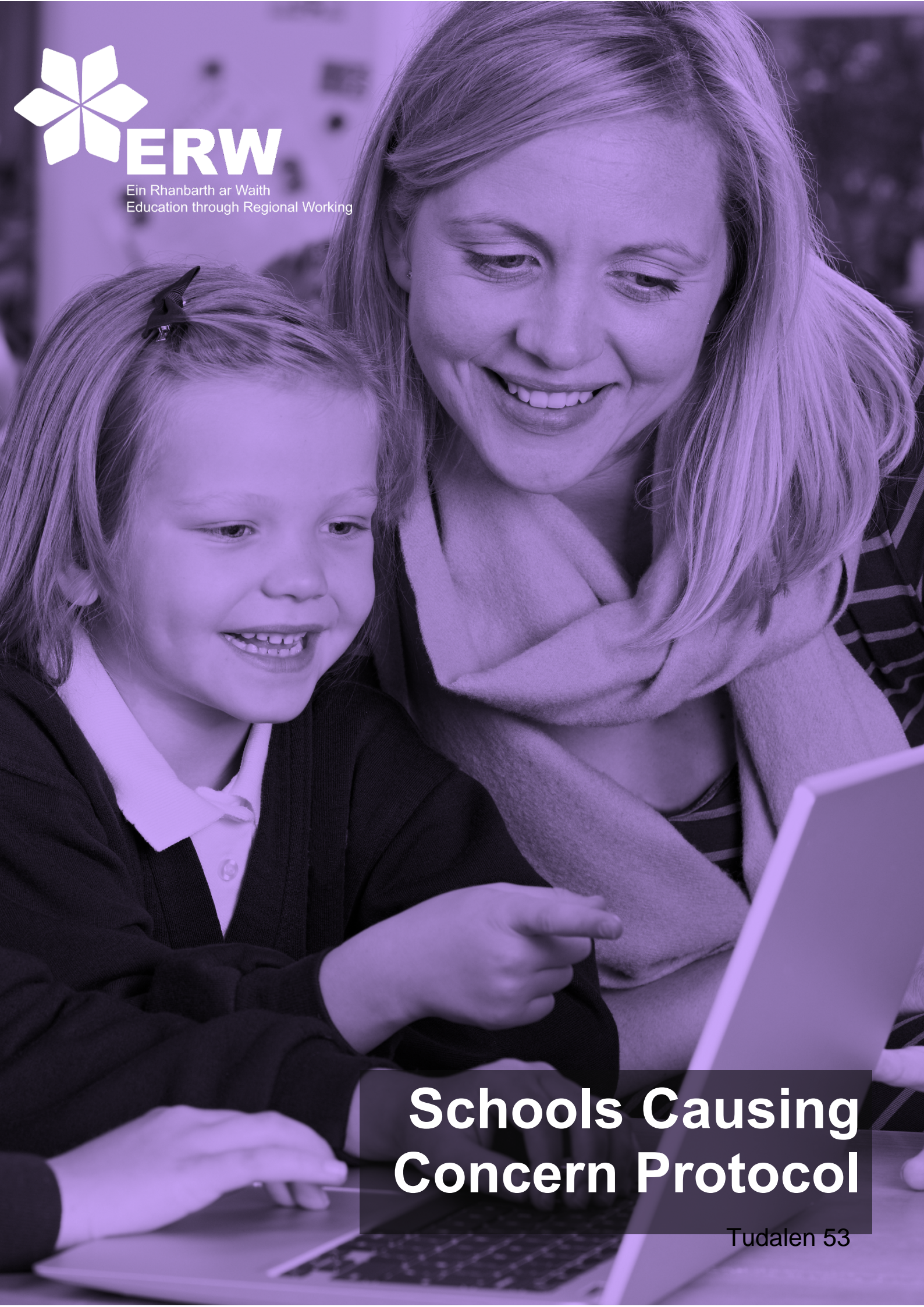
6.1	6.1			
6.2	6.2			
6.3	6.3			
6.4	6.4			
6.5	6.5			
6.6	6.6			
<u>Review and Actions agreed:</u>				<u>Actions Completed:</u>

Draft Pending Joint Committee Approval



ERW

Ein Rhanbarth ar Waith
Education through Regional Working



Schools Causing Concern Protocol

Tudalen 53

Schools Causing Concern Protocol

ERW has a clear mission of actively working together to improve teaching and learning to secure the best outcomes for all learners. We aim to ensure that none of ERW's schools become schools causing concern at that no schools in ERW require follow up by Estyn. During its monitoring visit to ERW, Estyn noted that progress against recommendation 1: - *“Ensure that school improvement services address the performance of schools causing concern, particularly in the secondary sector,”* was too slow.

Estyn noted that ERW supports improvement in primary schools better than in secondary schools. Estyn also identified that *“the central team has ensured a comprehensive programme of training to support and develop the work of both primary and secondary challenge advisors across the region.”*

However, Estyn identified that the lines of accountability for addressing issues in schools between the central team and the six local authorities was unclear

As a result, ERW proposes that the following early identification and escalation procedures form a clear line of accountability which place clear expectation on all stakeholders to work collaboratively and to take shared responsibility for all schools across the region.

The protocol highlights clear expectation that any areas for improvement in a school are identified very early, and that any initial concerns are escalated at the earliest opportunity so that support and intervention can be mobilised on a regional level. It is therefore expected that the number of schools identified as schools causing concern will be nominal.

The roles of Challenge Advisers, ERW Central Team officers, Directors and elected members are clearly identified throughout the escalation process. The support provided to schools will be bespoke and based on need and the profile of each individual school as highlighted in ERW's School Improvement Strategy.

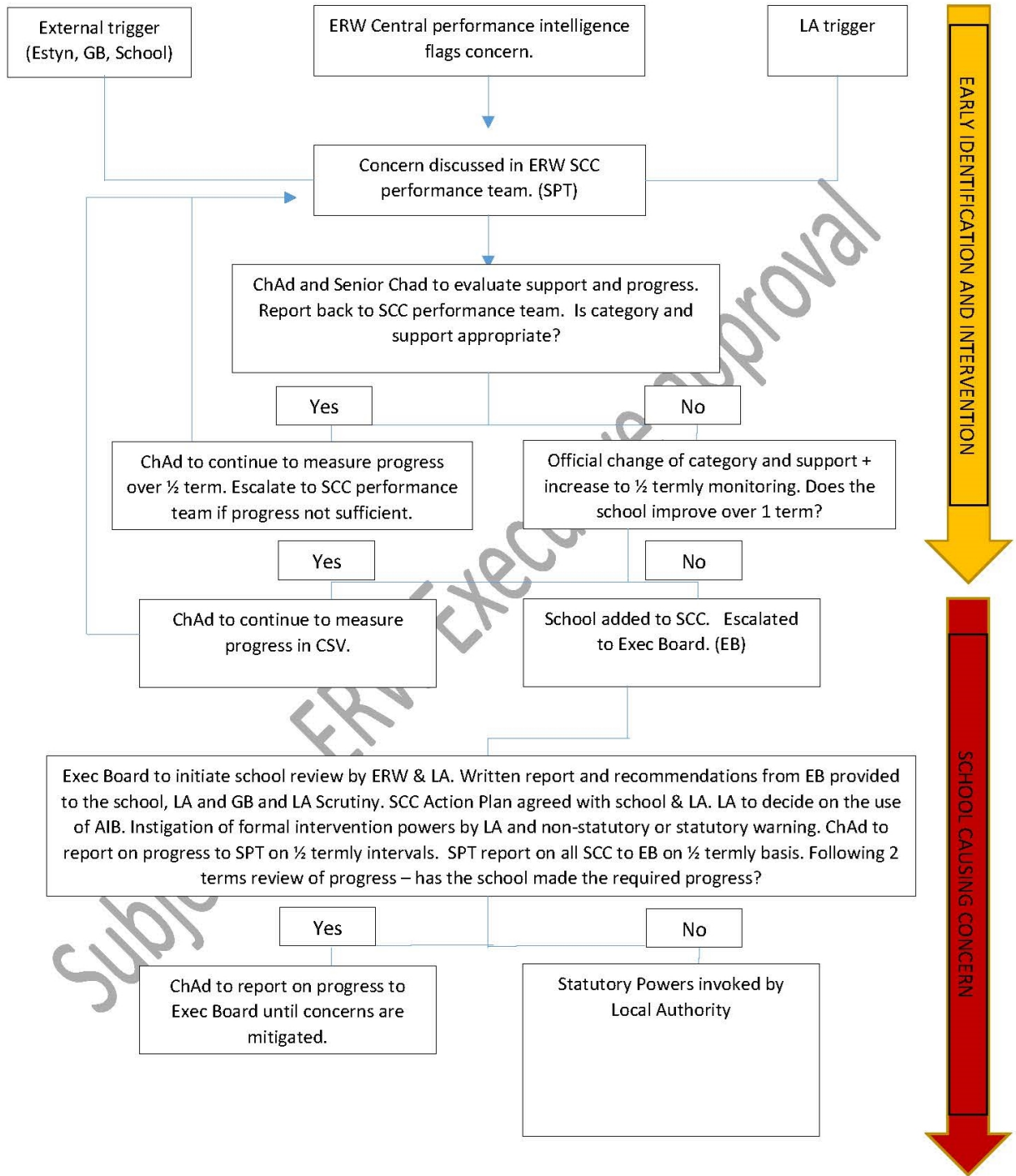
Membership and Terms of Reference (See flow chart on last page)

Group	Membership	Remit
<u>Schools Performance Team (SPT)</u>	Challenge Adviser Senior Challenge Adviser Head of Teaching and Learning Head of Support and Performance Head of Leadership	<ol style="list-style-type: none"> 1. To meet every ½ and analyse all intelligence available to identify early concerns. 2. To discuss early identification of concerns. 3. To ratify any escalation decisions. 4. To report to Partnership Board
<u>Executive Board or its equivalent.</u>	ERW Managing Director Six Local Authority Directors Chair of Headteacher Board	<ol style="list-style-type: none"> 1. To meet every ½ term to receive and deliberate on reports from SPT. 2. To work collectively towards a shared responsibility for all schools causing concern across the region.

		<ol style="list-style-type: none">3. To initiate review of schools causing concerns and to provide recommendations to Governing Bodies.4. To ensure that a robust and focused Action Plan is in place for all schools causing concern.5. To ensure that a consistent approach to statutory powers is implemented across all 6 LAs6. To provide to ERW Joint Committee with update written report on the profile of schools causing concern across the region.
--	--	--

Draft Pending Joint Committee Approval

Protocol for Identifying Concern in Schools and Escalation Procedures



Draft Pending Joint Committee Approval



Mae'r dudalen hon yn wag yn fwriadol

**CYD-BWYLLGOR ERW
16 GORFENNAFF 2018**

CANLYNIADAU TGAU

Pwrpas:

Diweddariad ar newidiadau i'r mesurau perfformiad, a darparu gwybodaeth ar berfformiad disgyblion ERW ac ar hyd Cymru.

Cyflwynwyd yr adroddiad yma'n wreiddiol i'r Cyd-Bwyllgor ar 21ain o Fedi 2017, gan ddefnyddio data dros dro (wedi ei atodi).

Gweler y papur wedi ei ddiweddarau gyda data swyddogol, er eich gwybodaeth.

Argymhellion / Penderfyniadau Angenrheidiol:

I dderbyn yr adroddiad yn ei ffurf bresennol, fel diweddariad i'r fersiwn flaenorol a gyflwynwyd ar 21ain o Fedi, 2017.

Awdur: Alan Edwards	Swydd: Pennaeth Dysgu ac Addysgu	Rhif Cyswllt: E-Bost:alan.edwards@erw.org.uk
-----------------------------------	--	--

**EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
16TH JULY 2018**

CANLYNIADAU TGAU

BRIEF SUMMARY OF PURPOSE OF REPORT

This report provides an overview of the national outcomes at GCSE. This was accepted and agreed at Executive Board.

L2i

Performance in ERW has declined in all key indicators. Performance in the Level 2 inclusive threshold has declined by 7 percentage points and is lower than performance in 2014. All 6 Local authorities have seen a decrease in the proportion of pupils achieving this measure. Neath Port Talbot had the biggest decrease of 10 percentage points and Powys has the lowest decrease of 3 percentage points.

Performance in ERW remains the highest of the four consortia. However the decrease of 8 percentage points is a concern. In addition, performance in ERW in this indicator is below the performance in 2014

Language

Performance in Welsh 1st language has remained consistent in 2017, performance in English has been variable in 2017 with 3 LAs having an increase in outcomes (Powys, Pembrokeshire and Swansea) and three LAs having a decrease in outcomes (Ceredigion, Carmarthenshire and Neath Port Talbot). It is important to note that literature did not count towards this indicator this year.

Mathematics

Performance in mathematics has declined significantly in 2017. When considering mathematics only and the best of either mathematics qualification all 6 Local Authorities have seen a decline in performance.

Level 2

Performance in the level 2 threshold has declined in all Local Authorities in 2017. This is the first year where there the 40% rule for vocational subjects has been applied.

Level 1

Performance in ERW in the Level 1 threshold has declined by 1 percentage point since 2015. Performance in this indicator has remained consistent across most Local Authorities.



IMPLICATIONS

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

1. Risk Management

It will be necessary to consider the impact of this performance in each LA and school.

CONSULTATIONS

Not applicable

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
Performance Data		



KEY STAGE 4 PERFORMANCE IN ERW (UPDATED WITH VERIFIED DATA)

Performance in ERW has declined in all Key Indicators. Below is a summary of pupil performance in the Key indicators.

The Level 2 inclusive figure (5 Level 2 qualifications including Welsh/English and maths)

L2+	2015 (%)	2016 (%)	2017 (%)	Difference from 2016 – 2017 (%)
Powys	64	65	62	-3
Ceredigion	63	70	62	-8
Pembrokeshire	54	59	55	-4
Carmarthenshire	61	65	57	-8
Swansea	64	65	58	-7
NPT	58	61	51	-10
ERW	61	64	57	-7

Performance in the Level 2 inclusive figure has been more variable across schools in ERW in 2017. Many schools have seen a decrease in this key indicator and only 11 schools have improved on performance of pupils from 2016. In addition, all 6 Local authorities have seen a decrease in the proportion of pupils achieving this measure.

Performance in ERW remains the highest of the four consortia. However the decrease of 8 percentage points is a concern. In addition, performance in ERW in this indicator is below the performance in 2014. In addition, the drop in ERW is greater than the decline in the other consortia.

Welsh

2017 is the first year where pupil attainment in Welsh Literature is not included in the Welsh performance indicator. However, when disaggregating Welsh literature it has very little impact on results.

Welsh	2015 (%)	2016 (%)	2017 (%)	Difference from 2016 – 2017 (%)
Powys	74.3	65.2	71.1	+5.9
Ceredigion	74.8	73.5	78.8	+5.3
Pembrokeshire	78.4	88.7	81.3	-7.4
Carmarthenshire	74.4	72.8	72.5	-0.3
Swansea	83.9	82.7	86.4	+3.7
NPT	71.7	68.5	72.1	+3.6
ERW	75.8	75.0	76.2	+1.2

Performance in Welsh Language has improved appropriately in 4 of the 6 Local Authorities. Performance in ERW has improved by 0.9 percentage points. However, 2 of the 6 Local Authorities has had a declined in pupils outcomes.

English

2017 is the first year where pupil attainment in English literature is not included in the English performance indicator.

English	2016		2017	Difference from 2016 -17	
	inc Lit	exc Lit	Language only	Inc Lit 2016	Exc Lit 2016
Powys	75	70	73	-2	+3
Ceredigion	77	74	69	-7	-5
Pembrokeshire	70	60	66	-4	+6
Carmarthenshire	74	70	69	-6	-1
Swansea	70	65	67	-4	+2
NPT	69	65	63	-6	-2
ERW	72	67	66	-5	-1

Performance in English is variable across ERW. When comparing figures from 2016 to 2017 for the English measure all 6 Local Authorities have seen a decline in performance. However, when English literature is excluded from 2016 figures half of the Local Authorities in ERW have improved and half have decreased. Performance in ERW has declined from 2016.

Mathematics



In 2017 pupils sat two GCSEs in mathematics. The table outlined performance in mathematics, mathematics numeracy and the best of either qualification. Due to the significant changes in the mathematics numeracy qualification, Comparisons in 2017 are only made between mathematics and the best of either qualification.

Mathematics	2016 (%)	2017 (%)			Difference from 2016 - 2017 (%)	
		Maths	Num	Best of	Maths	Best of
Powys	72	63	63	68	-9	-3
Ceredigion	75	65	66	70	-10	-6
Pembrokeshire	65	59	54	63	-2	-2
Carmarthenshire	71	61	57	64	-7	-7
Swansea	72	62	59	65	-7	-7
NPT	67	56	52	59	-8	-8
ERW	70	61	58	63	-8	-6

Performance in mathematics has declined significantly in 2017. When considering mathematics only and the best of either mathematics qualification all 6 Local Authorities have seen a decline in performance.

Pupil performance in mathematics across ERW has declined from 2016.



Level 2 Threshold

L2	2015 (%)	2016 (%)	2017 (%)	Difference from 2016 – 2017 (%)
Powys	89	87	74	-12
Ceredigion	90	91	79	-13
Pembrokeshire	83	85	66	-18
Carmarthenshire	87	89	73	-17
Swansea	89	87	70	-17
NPT	92	89	65	-24
ERW	88	88	70	-17

Performance in the level 2 threshold has declined in all Local Authorities in 2017. This is the first year where there the 40% rule for vocational subjects has been applied. This will particularly affect the outcomes of lower ability pupils, who engage with a wider range of vocational subjects. Performance in this indicator has decreased significantly in ERW.

Level 1 Threshold

L1	2015 (%)	2016 (%)	2017 (%)	Difference from 2016 – 2017 (%)
Powys	97	96	96	0
Ceredigion	97	96	96	0
Pembrokeshire	95	96	95	-1
Carmarthenshire	96	97	98	+1
Swansea	97	97	95	-2
NPT	96	95	93	-1
ERW	96	96	96	-1

Performance in ERW in the Level 1 threshold has declined by 1 percentage point since 2015. Performance in this indicator has remained consistent across most Local Authorities.



Support to schools

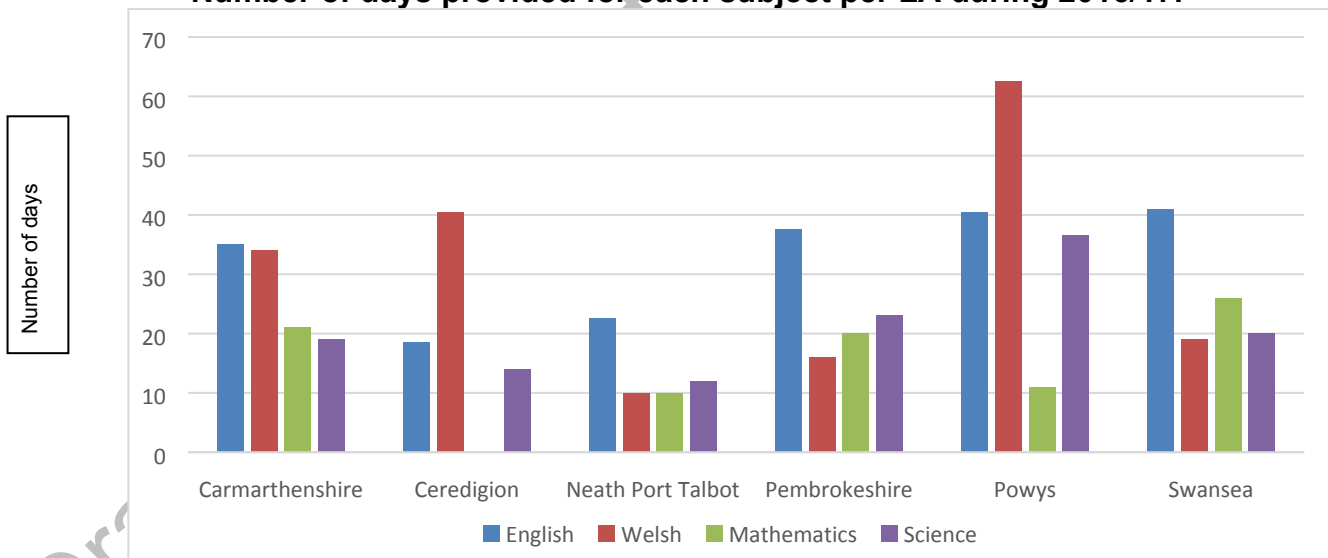
A large number of schools that were targeted for and have engaged with support since the introduction of the GCSE have either improved or sustained their performance. For Welsh first language, 13 schools have improved their performance whilst 12 had a decline in performance. For English Language, 29 schools improved their performance and 32 had a decline in performance. However, of these 32 only 17 dropped by more than the national decline in this indicator. When considering the best of for mathematics, 10 schools improved their performance and 51 had a decline in performance. However, of the 51, 23 dropped by more than the national decline in this indicator. For science, 22 schools improved their performance and 38 had a decline in performance. However, a number of schools have stopped entering pupils for BTEC this year in readiness for the new performance measures.

Leaders of Learning for core subjects have provided targeted and bespoke support to schools which has been positively received and has supported a number of schools to maintain pupil performance. Below is a summary of the number of days provided to each subject and in each LA during 2016/17.

Number of departments supported across ERW during 2016/17.

	English	Welsh	Maths	Science
Total departments supported 2016/17	61	44	48	56

Number of days provided for each subject per LA during 2016/17.



The Local Authorities that received the most support for English (Pembrokeshire, Powys and Swansea) all had improvements in English Level 2 outcomes. Those that received the most for Welsh Ceredigion and Powys demonstrated the most improvement in Level 2 Welsh outcomes. Due to capacity of the Leader of Learning team there was less support available for mathematics. However, even the LAs who received the most support had a decline in overall standards.



**CYD-BWYLLGOR ERW
16 GORFFENAF 2018**

**CYFLWYNIAD I'R GRWP CRAFFU AR ADOLYGU AC
ADNEWYDDU**

Pwrpas:

Cafwyd cais gan y Cyd-Bwyllgor i dderbyn y adroddiad ar Adolygu ac Adnweyddu cyflwynwyd i Grwp Craffu ERW.

Argymhellion / Penderfyniadau Angenrheidiol:

I'r Cyd-Bwyllgor dderbyn yr adroddiad

Rheswm:

Cydymffurfio gyda gweithredoedd cyfarfodydd y Cyd-Bwyllgor

Awdur:	Swydd:	Rhif Cyswllt:
---------------	---------------	----------------------



EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

16TH JULY 2018

SCRUTINY PRESENTATION ON REVIEW AND REFORM

BRIEF SUMMARY OF PURPOSE OF REPORT

The report is a Powerpoint presentation that outlines progress made against Joint Committee's Review and Reform recommendations at the time of the presentation being made – 9th March 2018.

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

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

CONSULTATIONS

Details of any consultations undertaken are to be included here

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

THERE ARE NONE



ERW JOINT COMMITTEE
16TH JULY 2018

Supporting / Additional information from ERW Executive Board

No additional information

Supporting / Additional Information from ERW Advisory Board

No additional information



Review and Reform Programme

PROGRESS



Case for Change

Tudalen 72



Case for Change

Internal Audit

Internal self evaluation and intelligence

Current WG expectations

Future regional responsibilities as National Model is revised

Grant conditions

Findings of Estyn follow up visit to ERW

Feedback from ERW Challenge and Review with Cabinet Secretary

Vulnerable pupils are not supported consistently

Sustainability of model

- ▶ Too many schools below regression line
- ▶ VfM and Duplication
- ▶ Inter LA variation
- ▶ Variation in support provided to schools
- ▶ Accountability
- ▶ Feedback from schools
- ▶ Quality of support to schools
- ▶ Pace of progress only adequate, other regions more rapid
- ▶ Moving along self improving system continuum
- ▶ All contributing to weakened brand

Tudalen 74 Progress against Estyn recommendations

Ensure that school improvement services address the performance of schools causing concern, particularly in the secondary sector. LIMITED

Ensure that planning for education improvement clearly integrates local and regional priorities, so that ERW and local authority plans are complementary and contain actions that are specific and measurable, with appropriate milestones for delivery. SATISFACTORY

Ensure that the work of the main boards and working groups is recorded carefully and consistently, so that concerns, decisions and actions are clear, auditable, fully costed and enable leaders to monitor progress. SATISFACTORY

Refine the framework for assessing value for money so that all relevant costs across the six authorities are taken into account fully when set against outcomes. SATISFACTORY

+ honest

+high expectations

-impact

-hurdles to further progress

-variability

-resources

Estyn December 2017

- ▶ Since the inspection of June 2016, overall progress in meeting the four recommendations has been relatively slow. ERW's central team and six local authorities have found it difficult to increase the pace of improvement under the existing governance arrangements.
- ▶ Senior leaders understand that the current organisational design constrains ERW's ability to deliver value for money. This means that joint committee members have limited insight of the extent to which the consortium delivers value for money overall

Recommendation

Tudalen 76

JC minute 21.09.2017



Request the Lead Chief Executive, Section 151 officer and Managing Director to establish a Programme Team with suitable governance structures and access to the appropriate financial and HR information to:

1. Agree and document the respective roles and accountabilities of the LAs and region in relation to all School Improvement functions and services

2. Manage the project of clarifying, scoping and shaping the accountability arrangements for the employment and deployment of school improvement

3. Including Challenge Advisers to enable the consortium to deliver a single effective school improvement service and to comply fully with WG

4. Commitments;

5. Agree financial arrangements to enable the consortium to deliver a single effective school improvement service and to comply fully with WG

6. Commitments;

7. Develop and cost an organisational delivery model to meet identified priorities, supported by a comprehensive and costed implementation plan with

8. Key roles;

9. Clarify appropriately the ERW central team with sufficient strategic and operating capacity.

10. Establish clear plans to secure and maintain effective communication with and engagement of Directors, headteachers throughout the process and

11. Ensure consistent implementation of the Business Plan;

12. Review Hub arrangements.

Progress



Preparatory stage of Programme

We've done:

- ▶ Held two workshops with Directors and Chief Execs
- ▶ Coalition day with HTs and senior school improvement staff from 6 LAs and central team
- ▶ Updated and agreed values and mission
- ▶ Agreed common principles for structure design, funding
- ▶ Agreed HR Toolkit and protocol
- ▶ Identified suitable premises
- ▶ Working towards a single EIG formula
- ▶ Agreed senior leadership structure
- ▶ Agreed governance structure

Values

Integrity and Fairness

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

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

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

We are passionate about learning and ensuring that pupils reach their potential

Collaboration

We celebrate and share success

We lead by example and inspire confidence in others

We promote and drive continuous improvement by asking how we could do this better

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

Problems and challenges are resolved promptly and success is celebrated.

Innovation

- ▶ We inspire others and continuously seek innovative solutions
- ▶ We effectively plan and anticipate change.
- ▶ We act on opportunities.
- ▶ We recognise problems and implement solutions.

Collaboration

- ▶ We listen, we reflect and we prepare well and question
- ▶ We engage and support each other by working together in developing a shared focus.
- ▶ We build effective relationships with all stakeholders and partners.
- ▶ We recognise people's contributions and achievements
- ▶ We focus on sustainable progress and growth

Integrity

- ▶ We are trustworthy and reliable
- ▶ We are able to adapt to changing priorities and seek to create a positive and healthy working environment.
- ▶ We stand by difficult decisions and openly acknowledge
- ▶ We challenge and confront poor performance

What do we do for schools and their pupils?

Enable pupils to achieve their maximum potential
Develop capacity of all schools to become self-improving, resilient organisations who continually improve
outcomes and wellbeing for pupils
Provide high quality differentiated support to schools in line with the national categorisation system
Enable useful opportunities for school to school working to develop the self-improving system

What do we do for teachers?

Provide high quality curriculum support to support the development of high quality pedagogy
Provide useful resources to reduce teacher workload, improve wellbeing and support the developments of high
impact strategies to improve pupil outcomes
Provide high quality bespoke support to develop the high quality of teaching and learning in all schools
Provide useful opportunities for professional networks to encourage the sharing of good practice and to
develop the self-improving school system.

What do we do for school leaders?

Support education professionals to fulfil current and future roles in a wide range of educational settings.
Provide, broker and quality assure a range of approved programmes for our education system. For example,
middle leaders, aspiring heads, NPQH and support for newly appointed headteachers.
We will develop current and future leadership talent for the ERW region

What do we do for our employees?

We lead with clarity and focus
We provide professional learning opportunities that build confidence and competence
We provide a good balance between autonomy and clarity
We provide opportunities for our team to develop professionally and reinvest in a self-improving system

What do we mean by a school improvement service?

School improvement services are those that work collaboratively with a range of partners to support the delivery and improvement of education for children and young people aged 3-19 by:

- ▶ providing support and challenge to schools and settings to improve learner outcomes for all their children and young people.
- ▶ Co-ordinating and facilitating the professional development of the school workforce, increasing its leadership capacity to develop a school self-improving system

Characteristics of the refined school improvement service in Mid and West Wales

Performing - Improved pupil and school performance. Effective use of data and deployment of high quality resources to ensure effective interventions and support to deliver improved pupil outcomes, improved school categorisation and more positive Estyn school inspection reports in all partner Local Authorities

Accountable - Establishment of a coherent regional school Improvement structure which promotes high performance. Clear accountabilities, streamlined and integrated services delivering monitoring, support and challenge to achieve a positive impact and provide genuine value for money.

Self Improving - Development of a culture of self improvement which is reflective, collaborative and based on positive professional relationships. Issues and challenges addressed honestly and transparently in an environment which encourages innovation, demonstrating high trust and effective communication. An agile, responsive workforce with the skills to respond as required.

Strategic - Effective management and use of data and other intelligence to provide improved knowledge of all schools, enabling the strategic deployment of high quality resources to meet current and emerging needs of schools, local authorities and the region.

Talented - Effective structures and arrangements to recruit, retain and develop high quality staff. A positive employment culture which builds capacity and expertise, motivating and valuing individuals to excel within systems which are clear, consistent and supported by effective performance management

Influential - Establishing an influential and respected consortium which is authoritative and influential in shaping Welsh Government policies. Effective in representing the views of Local Authority partners to secure arrangements which deliver National priorities in a way which reflects the unique nature of the region whilst offering consistent support to Welsh language and cultural heritage.

Governance



Design principles Governance

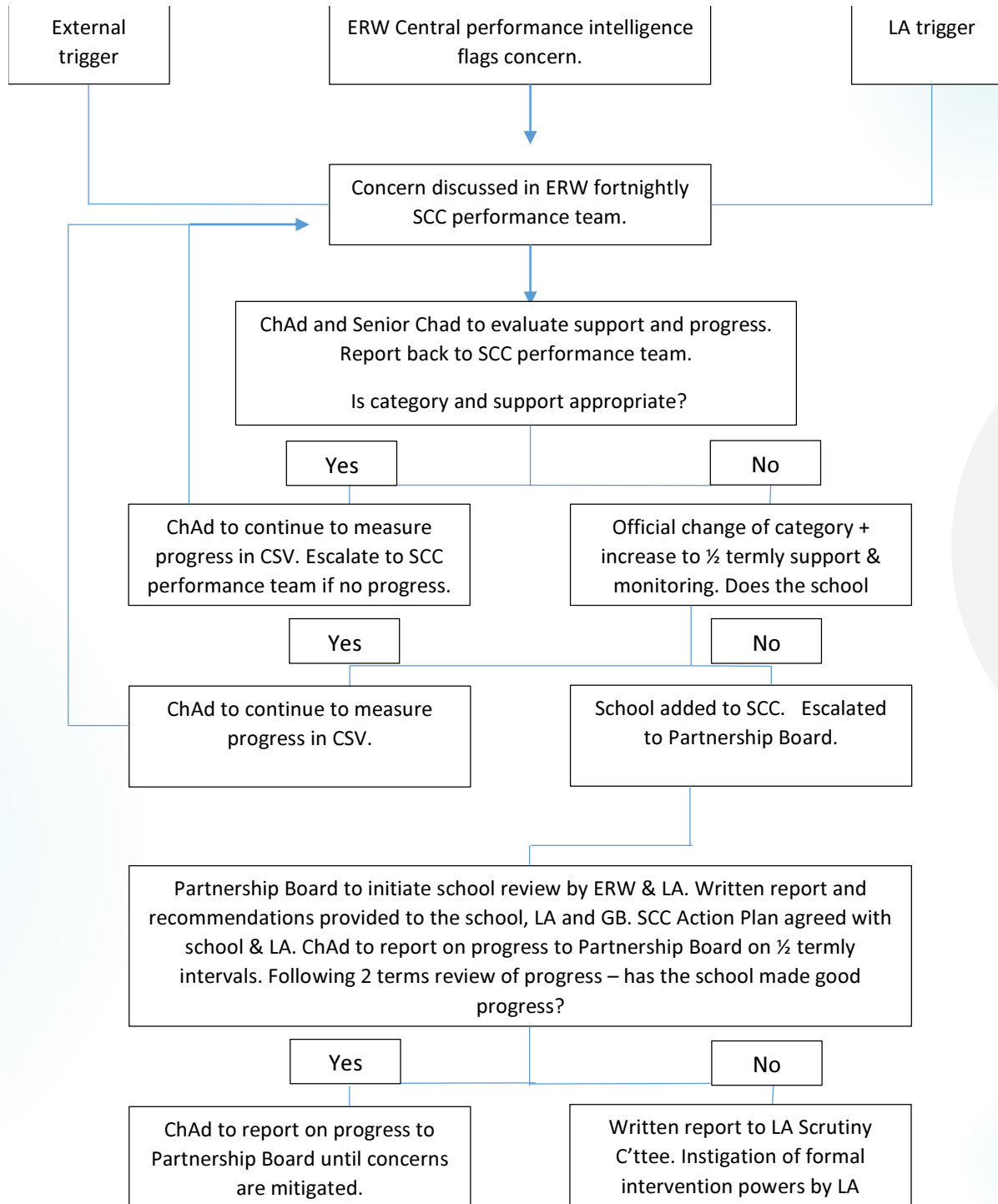
- ▶ Accountable
- ▶ Transparent
- ▶ Fair
- ▶ Responsible
- ▶ Effective performance Management
- ▶ Clear and direct lines of accountability
- ▶ Role for/ engagement of stakeholders
- ▶ Takes account of agile working/ use of technology
- ▶ Allows for pace and improvement
- ▶ Clarity on roles and responsibilities
- ▶ Clarity on accountabilities
- ▶ Democratic lines of sight
- ▶ Has right people around the table
- ▶ Joint Committee has focus on setting policy, strategy, and managing high level performance indicators
- ▶ Development sessions will be required for members to support maturing of organisation to take difficult decisions

how



Tudalennoc Design principles

- Bespoke support according to school need
- Maintain overview regionally of progress against national priorities
- Balance of Challenge and support needs attention
- Consistency of offer
- Maintain good local knowledge of schools
- Maintain recent and relevant subject expertise
- Quicken and improve impact of support to schools causing concern



Tudalen 88
structure



Design principles

Our structure will:

- enable us to operate in an agile way and at pace (leading to short lines of communication, single lines of management, flexible working, flat and empowered structure)
- proactively use quality data and insights to drive efficient decision making (leading to high quality and fast access to data and analysis)
- allow information and data to be collected once and used many times (leading to effective use of online systems to capture intelligence systematically for more than one party)
- reduce lines of communication and improve the access and transparency of information (leading to better information being available on school performance, financial arrangements)
- offer value for money (leading to effective collaboration, efficient work, eliminating duplication, improving quality with less resources)
- allow us to implement innovative practice (leading to freedom to take informed risks, make the best use of technology to work remotely and digitally);
- enable all school improvement staff to be directly employed, led and managed by ERW centrally;
- include an accountable, stable, substantive core team providing robust leadership (this will mean LA's changing their role;
- support the socio economic and geographic context of the region – including post-industrial, rural, urban, coastal.

Teaching, Learning and Curriculum Development

- Leaders of learning
- New curriculum arrangements
- Literacy/ Numeracy
- Found Phase
- Welsh Language
- A Levels

Strategic Leadership and Management of Regional School Improvement Service

Business Plan

Support Services

- Finance, Audit
- Business Planning
- Elected members and democratic accountability
- HR
- SLAs
- Accommodation

Leadership and Partnership Development

- Professional learning
- Links to HEIs
- Capacity Building Governor Support
- Improving leadership & Development programmes
- Research

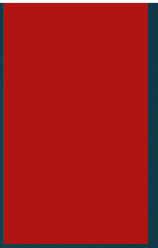
Wellbeing and pupil support

- Health and wellbeing
- ALN reform
- Rurality
- Poverty
- MEAS

School Improvement and LA links

- Challenge Advisers
- LA links
- Systems
- School to school work
- Brokering Menu of support

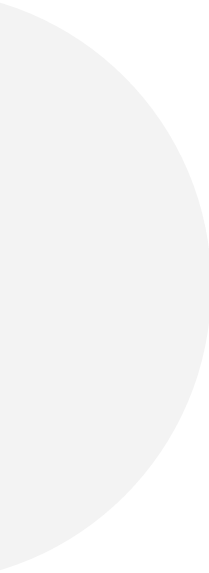
finance



Design principles funding decisions

- ▶ Increasing delegation to schools
- ▶ Supporting system wide improvement through use of secondments, recent and relevant experience from sector
- ▶ Open and transparent
- ▶ Promoting school led improvement
- ▶ Agile working and use of technology, e learning and system development to use intelligence well and many times
- ▶ Within existing funding envelope
- ▶ Impact measurable and gives value for money

Elements



Core Funding:
school improvement
monitoring, challenge
and business imp
functions

Additional WG grants:
Additional support
need or targeted
based on national
priority

School
Improvement
Service
funding

EIG:
Delegated to schools
80% +
Additional support

PDG:
Direct to schools
based on need

A balancing act?

• **Simple** (efficient to calculate, easy to understand with maximum scope for delegated budget setting) vs **sophisticated** (reflecting the variations between schools and their unavoidable circumstances and providing a framework for regional strategic decisions)

• **Protecting** past decisions and roles vs Encouraging **growth, collaboration and school led improvement**

• Prioritising **early** education or the **final** stage

• Effective **targeting** of resource for those pupils who need more vs the risk of underfunding **core** provision

Risks



- Timescales and unnecessary delays
- Employment liabilities if process is not followed
- Timely appointment of SLT
- Uncertainties for staff
- Secondments/FTCs
- Loss of experienced staff
- Inability to respond quickly to change
- Insufficient capacity to deliver on Business Plan
- National priorities are not delivered
- Continued inconsistencies/inefficiencies
- Ineffective use of resources, as decisions, specifically funding decisions are delayed
- External intervention by WG



CYD-BWYLLGOR ERW 16 GORFFENNAF 2018

GOHEBIAETH I GRWP CYNGHORWYR CRAFFU

Pwrpas:

Mae'r Grwp Craffu wedi danfon llythyr sydd yn amlinellu cwestiynau sydd ganddynt ar gyfer y Cyd-Bwyllgor.

Cafwyd ymateb ei ddrafftio ar gyfer cymeradwyaeth y Cyd-Bwyllgor, ac yn ystod y drafodaeth, gofynwn i'r Cyd-Bwyllgor ystyried y drafft

Argymhellion / Penderfyniadau Angenrheidiol:

I'r Cyd-Bwyllgor gytuno ymateb ar ffurf llythyr.

Rheswm:

Cynnal trefniadau Craffu. Arfer dda.

Awdur:	Swydd:	Rhif Cyswllt:
Cyng. Ellen ap Gwynn	Cadeirydd y Cyd-Bwyllgor	E-Bost



**EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
16TH JULY 2018**

CORRESPONDENCE TO SCRUTINY COUNCILLOR GROUP

BRIEF SUMMARY OF PURPOSE OF REPORT

The Joint Scrutiny Councillor Group have outlined 3 main lines of inquiry in their letter to the Joint Committee that warrant a response:

1. Inform us as a matter of urgency about the timeframe for making the decision to move forward with the ERW Reform Programme?
2. Timescales for progression of the implementation of those changes?
3. What work is planned over the coming year to increase the numbers of teaching applications in the areas of Mathematics and those who can teach in Welsh across the whole curriculum?

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

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

CONSULTATIONS

N/A

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

THERE ARE NONE





To: **Cllr. Ellen ap Gwynn**
Chair of the ERW Joint Committee

Please ask for: Scrutiny

Scrutiny Office Line: 01792 637256

e-mail: scrutiny@swansea.gov.uk

Date: 09 April 2018

Dear Councillor ap Gwynn,

1. ERW SCRUTINY COUNCILLOR GROUP – 9 MARCH 2018

The Chairs and Vice Chairs of all six local authorities' Education Scrutiny Committees came together in Carmarthen for their bi-annual Scrutiny Councillor Group. I am writing to you with their views, conclusions and recommendations from this meeting on the 9 March 2018.

Review and Reform Programme

We are extremely concerned that progress with the reform programme has stalled and that this has resulted in a lack of movement in terms of improvements that are necessary for ERW to progress effectively. We urge members of the Joint Committee to put aside their differences and work together to reach an agreement which will best serve all pupils across our region.

We heard that currently there is not consensus across all the local authorities within ERW and within the Joint Committee on the way forward. We understand that one local authority has concerns about the moving of direct responsibility for the education improvement aspects to a central pool, which they feel will result in a reduction of accountability and responsiveness to local needs.

The majority view of the ERW Scrutiny Councillor Group is supportive of the way forward, as set out in the Review and Reform Programme, including the centralisation of the education improvement services to ERW (which will be accountable to each local authority through the Managing Director of ERW and the Joint Committee). One Local Authority Scrutiny representative did not agree with this way forward at this time. This objection was based on concerns that the proposed centralisation would put at risk the relationship of trust and knowledge between advisors and schools, make the service less responsive to local needs, and divorce management responsibility from the bodies with statutory responsibility for school standards.

It was felt by the majority that the Reform Programme as outlined to the Group is the best way forward for ERW. This was agreed after hearing about the 'case for change' for ERW and the need to move forward and address current and future challenges. We



believe that the evidence for progressing down this route was clear and much of this can be seen within how the other three Consortiums in Wales are working. We also would like to reiterate the importance of ensuring that Challenge Advisors have the knowledge, experience and training to be able to give a consistent level of support across all schools in the region.

The Cabinet Secretary Kirsty Williams attended our meeting and gave her views on regional working in education and the way forward in Wales. Her view was that ERW is not where it needs to be, and is in danger of letting down the children of the region unless improvements start to be made. We heard that it is possible for the consortium to improve quickly and she gave the example of the GwE Consortium, which has improved at a fast pace from an originally low threshold, once a clear plan to move forward was agreed. She stated that no one wants to see this region left behind. The Cabinet Secretary stated that she had discussed this matter with you, including the results of the Estyn report and the ERW self-evaluation, and was given assurances by you that action will take place. She expressed her concern that she had not been informed of any action arising as yet.

What we would like to see happen now?

We would like to see a decision made by the Joint Committee urgently and a way forward clearly established. We would like you to let us know the time frame for making a decision and also the plan then moving forward, as soon as possible.

Although the Review and Reform Programme dominated the meeting we did also look at Poverty in Rural Wales and the most recent educational outcomes across the region. From these discussions the issues of recruitment and retention of teachers, in particular Mathematics and those who teach in Welsh across the whole curriculum were highlighted. We heard that some work had taken place over recent years with Trinity St David's to increase the numbers but felt that more work is needed with local colleges and schools to increase the numbers of people who are applying for these positions.

We would welcome your views on any aspect of this letter, but would particularly ask that you respond in writing to the following matters, responding to points 1 and 2 by as soon as possible.

1. Inform us as a matter of urgency about the timeframe for making the decision to move forward with the ERW Reform Programme?
2. Timescales for progression of the implementation of those changes?
3. What work is planned over the coming year to increase the numbers of teaching applications in the areas of Mathematics and those who can teach in Welsh across the whole curriculum?

Yours sincerely,

CLLR DARREN PRICE

Chair ERW Scrutiny Councillor Group

DaPrice@carmarthenshire.gov.uk

ERW Scrutiny Councillor Group Scrutiny Support provided by Swansea Council

Contact: Scrutiny Team, Gloucester Room, Guildhall, Swansea SA1 4PE

☎ 01792 637256

✉ michelle.roberts@swansea.gov.uk



Cyng. Darren Price
Cadeirydd Grŵp Cynghorwyr Craffu ERW

Annwyl Gynghorydd,

Hoffwn i, a'r Cyd-bwyllgor, ddiolch i chi am eich gohebiaeth, yn ogystal â chydabod gwaith gwerthfawr Grŵp Cynghorwyr Craffu ERW wrth gyfrannu at atebolrwydd democrataidd ERW. Cyn mynd i'r afael â'r cwestiynau a godwyd yn eich llythyr ar gyfer y Cyd-bwyllgor, hoffwn yn gyntaf fynd i'r afael ag amseriad yr ymateb hwn. Yn anffodus, roedd y cyfnod byr rhwng cyfarfodydd y Cyd-bwyllgor a Grŵp Cynghorwyr Craffu ERW ym mis Mawrth yn golygu nad oedd yn bosibl i'r papurau gael eu paratoi mewn da bryd ar gyfer eitem swyddogol ar agenda'r Cyd-bwyllgor. Fodd bynnag, rydym wedi achub ar y cyfle cyntaf posibl i gyflwyno'r eitem hon i'w thrafod, ac i lunio ymateb.

1. Amserlen Rhaglen Adolygu a Diwygio ERW

Pan ddaeth gohebiaeth gan y Grŵp Cynghorwyr Craffu i law Cyd-bwyllgor ERW, nid oedd yr un papur ffurfiol wedi cael ei gyflwyno mewn cyfarfod o'r Cyd-bwyllgor mewn perthynas â Rhaglen Adolygu a Diwygio ERW. Nid oedd Tîm y Rhaglen, sy'n cynnwys Cyfarwyddwyr Addysg ERW, eto wedi dod i gytundeb ar gynnwys eu papurau yr oedd angen i'r Cyd-bwyllgor ei gymeradwyo. Felly, penderfynwyd na allai'r tîm gyflwyno darn o waith i'r Cyd-bwyllgor nas cytunwyd arno'n llwyr.

2. Cynnydd ac Amserlen Rhaglen Adolygu a Diwygio ERW

Mae'r mater hwn yn hanfodol gysylltiedig â'r pwynt uchod – bydd y cynnydd a'r amserlen ar gyfer gweithredu unrhyw gam/dasg yn cael eu nodi yn dilyn cytundeb digonol ar lefel swyddogion, ac yn dilyn y gymeradwyaeth angenrheidiol gan yr Aelodau Etholedig. Fodd bynnag, mae cynnydd y Rhaglen Adolygu a Diwygio wedi'i gysylltu'n agos â'r gwaith o ddiweddarau'r Model Cenedlaethol Newydd, ac mae'r Cyd-bwyllgor yn betrusgar o ran ymrwymo i unrhyw newidiadau ar raddfa fawr na fyddant, o bosibl, yn cydymffurfio â'r model newydd ar gyfer gweithio'n rhanbarthol.

3. Mae Tîm Canolog ERW yn gweithio gyda'r tri rhanbarth arall ar yr ymgyrch #DarganfodAddysgu, a gynlluniwyd i recriwtio a chadw athrawon.

To Cllr Darren Price
Chair ERW Scrutiny Councillor Group

Dear Councillor,

The Joint Committee and I thank you for your correspondence, as we all recognize the valuable work of the ERW Scrutiny Councillor Group in contributing to the democratic accountability of ERW. Before addressing the questions raised in your letter to the Joint Committee, I would firstly like to address the timing of this response. The unfortunate short turnaround between meetings of the Joint Committee and Scrutiny Councillor Group in March meant that papers could not be prepared in sufficient time for an official Joint Committee agenda item. We have however taken the earliest possible opportunity to table this item for discussion and to formulate a response.

1. ERW Review and Reform Programme Timeframe

At the point the ERW Joint Committee received correspondence from the Scrutiny Councillor Group, no formal papers regarding the ERW Review and Reform Programme had been presented at a Joint Committee meeting. The Programme Team, which includes the ERW Directors of Education had yet to reach an agreement on the content of their papers that required Joint Committee approval, therefore it was decided they could not submit a piece of work to the Joint Committee that was not wholly agreed upon.

2. ERW Review and Reform Progression and Timescales

This matter is inherently linked to the above point – the progression and timescales for implementation of any action/task will be set following sufficient agreement at officer level, and following the necessary approval by Elected Members. However, progression of the Review and Reform is heavily linked to the updating of the New National Model, and the Joint Committee is hesitant to commit to any large scale changes that risk non-conformity to the new model for regional working.

3. The ERW Central Team are working with the other three regions on the #DiscoverTeaching campaign which is designed to recruit and retain teachers.



ERW JOINT COMMITTEE 16TH JULY 2018

Supporting / Additional information from ERW Executive Board

Chair of Joint Committee authorised the draft after Executive Board meeting, therefore Executive Board did not have an opportunity to consider.

Supporting / Additional Information from ERW Advisory Board

Propose expanding on point 3 of the letter -

“We have also undertaken a programme of promotional activity nationally, and there is a comprehensive programme plan for the project.”



CYD-BWYLLGOR ERW
16 GORFFENAF 2018

ADOLYGU LLETY PRESENNOL ERW

Pwrpas:

Cyflwyno diweddariad i'r Cyd-Bwyllgor ar drefniadau llety presennol ERW, nodi problemau lechyd a Diogelwch cyfredol, a gofyn am ganiatâd i chwilio am lety gwahanol.

Argymhellion / Penderfyniadau Angenrheidiol:

1. Nodi'r sefyllfa parthed llety
2. Nodi'r sefyllfa bresennol parthed yr adroddiad lechyd a Diogelwch
3. Nodi'r effeithlonrwydd ariannol, a'r gwerth uwch am ein harian o ganlyniad i newid llety
4. Rhoi caniatâd i chwilio am lety gwahanol

Rheswm:

Darparu gwybodaeth i'r Cyd-Bwyllgor a gofyn caniatâd ar gyfer yr argymhellion

Awdur:

Angela Procter

Swydd:

Rheolwr Rhaglen

Rhif Cyswllt: 01267 245635

E-Bost
angela.procter@erw.org.uk



EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

16 JULY 2018

REVIEWING THE CURRENT ERW ACCOMMODATION IN Y LLWYFAN, CARMARTHEN

BRIEF SUMMARY OF PURPOSE OF REPORT

To provide the Joint Committee with an update on current accommodation and details on rationale for seeking future accommodation

- **Background**

This section outlines establishes the accommodation arrangements at present, and offer context for the remainder of the report.

- **Rationale**

This section outlines the underlying information that informs the report's Recommendation to the Joint Committee

- **Financial implications**

This section explains the potential financial efficiencies that the proposal can offer

- **Health and Safety Report**

Annex 1 – The findings of a Health and Safety Report carried out by an officer from Pembrokeshire County Council on the 20th March 2018

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 The current arrangements do not provide an efficient use of public funds which is detailed within the report</p>				
<p>2. Risk Management It has been identified that the current accommodation does not comply with Health and Safety requirements as the facilities do not provide sufficient space for the numbers employed by ERW. This is detailed in item no 7.2 and captured within the risk register item no 6 - risk no.7</p>				
<p>3. Staffing Implications The accommodation has a real impact on the staff's ability to work effectively and is detailed within the report</p>				

CONSULTATIONS

Details of any consultations undertaken are to be included here
N/A

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



Reviewing the Current ERW Accommodation in Y Llwyfan, Carmarthen

Background

ERW has occupied office space within Y Llwyfan since early 2011 when it was called SWAMWAC. It has subsequently extended the amount of space by sub-letting three offices from Theatr Genedlaethol in order to accommodate a larger workforce.

The total number of offices currently occupied within Y Llwyfan is six. Three of these are located on the ground floor and provide accommodation for Finance, HR and Administration together with a hot-desking room for seven agile workers. There is also a small meeting room and storeroom for sole use of ERW. The landlord for these spaces is the University of Wales, Trinity St David.

The other three offices are located on the second floor and provide accommodation for the Managing Director, Senior Leadership team and supporting staff. It is these offices that are currently sub-leased from Theatr Genedlaethol. This also provides an area that is used as a staff room where the coffee/tea- making facilities and refrigeration are housed.

There is a conference room located on the first floor for which ERW has 9 number of days per year.

There is a requirement by the Landlord for the Finance Office to move from the ground floor to the first floor in September 2018. The new office is located directly above the current Finance Office and is identical in all aspects which means the small meeting room will also have moved as the two rooms are linked. Having ERW staff spread across the three floors is likely to impact on the efficiency of working practice as the distances between offices will be greater.

Both leases have now expired, with the one for Trinity St David having expired in 2009 when all other tenants of Y Llwyfan experienced the same oversight by the landlord. The existing terms of this lease have remained the same throughout. The lease for the second floor accommodation expired at the end of March 2018 but again the terms remain the same.

A new licence with the landlord has been agreed for a three month period which will bridge the gap between now and 1 September 2018 when the new leases for the building will have to be negotiated. Theatr Genedlaethol will not be renewing its lease for the offices on the second floor which means that any future lease for this space will be with the University of Wales, Trinity St David.

It has been made clear that the terms of the lease will change and telephony/Broadband will no longer be supported. All tenants will be responsible for their own Business Rates. Currently, these are included in the rent/service charge. It is anticipated that any lease would be for a 5 year term with a 6 month notice period applied to both sides. The current rent is charged at £9 per sq ft and the service charge is £5.50 per sq ft which equates to £18,922 per annum. The amount paid to Theatr Genedlaethol each year is £12,655. This brings the current total payable for rent and service charge to £31,577 per annum.

Discussions have taken place in respect of extending the amount of accommodation provided by Y Llwyfan but the availability of additional accommodation is unlikely as it is anticipated that current tenants will renew their leases. An independent review was conducted of existing office space which was found to be unsuitable for the number of people using it. This was due, in part, to the size and layout of each room as the offices did not meet the required Health & Safety standards.

The hot-desking office was deemed to only service seven agile workers at any one time yet there is often the requirement to accommodate significantly more than this number, particularly on days where they are required to attend specific training/meetings.

Continuous access to the network is reliant on staff being able to port their IT equipment to the main network via the LAN. If this activity is not routinely undertaken then access to the network is no longer possible as the IT equipment is not recognised which not only causes disruption to work but also prevents necessary security patches being automatically loaded onto the device. On one particularly day, the Managing Director's office had to be used for this purpose as all of the other office accommodation was full. More and more training/meetings are held away from the main ERW offices due to the numbers now attending. This reduces the opportunities to connect to the network via the LAN which, in turn, increases inefficiencies as staff are forced to make deliberate journeys for this purpose, for which there is a financial cost to ERW.

Rationale

ERW's office requirements have changed over the years, and all evidence, including an external report by PCC suggests that the current premises do not address ERW's current needs. The working space available at Y Llwyfan is too small to accommodate all members of staff centrally employed by ERW, and the nature and layout of the offices do not provide staff with suitable workspaces for the requirements of a professional organization and to meet health and safety requirements.

With the current lease due to be reviewed, it's timely to consider other options with the aim of ensuring that:

- (i) the central office is suitable to the size of the organization and the nature of its work:
- (ii) the running costs provide the best value for money.
- (iii) value for money for events / conference / meetings

The current situation and other available options have been carefully considered, and based on the evidence gathered there is a strong argument that moving to new premises would offer financial gains and increased efficiency.

The rationale for change can be summarized as follows:

- (i) In order to provide value for money and cost efficiency, ERW's office should be accommodated in a building where all its internal meetings, as well as its conferences and events can be held within the building thus significantly reducing costs, and reducing administrative work in liaising with external companies.
- (ii) Ensuring a suitable professional working environment where all members of staff have appropriate workspaces and the ability to carry out their day to day work in a professional manner where confidentiality is also of key importance is vital to ensure the effectiveness of ERW's work.
- (iii) There are urgent health and safety issues that have been highlighted in the HSE report (Annex 1) affecting staff currently working at Y Llwyfan. Not acting on such compelling evidence would be irresponsible.

Financial information

(i) Cost of current accommodation

The cost of the current accommodation for 2017/18 was £31,578 for the year, with the additional cost of in excess of £101,066 for the use of external meeting and training facilities. This is an increase from the previous year when the total cost of the external facilities used in 2016/17 amounted to £70,499 due to the increase in training offered across the region. Over the coming years, with the expectation to deliver The National Model for School Improvement and the National Mission for Wales, the cost of leasing external facilities for the purpose of regional events and meetings is likely to increase significantly.

To conclude, the total anticipated cost for current accommodation and the additional hiring of training facilities for 2017/18 is £132,644. If ERW renews the lease at Y Llwyfan, the estimated cost of continuing with the current arrangements is likely to reach in excess of £163,211 if the same increase in costs from 16/17 to 17/18 is applied to this year's costs. However, it should be noted that the new lease for Y Llwyfan would differ from the previous lease, and costs such as business rates, broadband, telephone, energy bills etc. would no longer be inclusive. The actual cost of remaining in the current premises would therefore be significantly higher than the figures quoted. The need to hold a higher number of events and training days throughout the year would also lead to significantly higher cost for renting external accommodation.

(iv) Cost of proposed accommodation

In view of the growing concern regarding the suitability of the current premises, several accommodation options have been carefully considered. Securing a suitable building that provides sufficient office space, meeting rooms and training facilities will allow ERW to work in a more cohesive and consistent way. This will support ERW to provide a more efficient and effective school improvement service.

Having considered different premises such as offices in UWTSD, offices in Carmarthenshire Council and new builds in Carmarthen, one option is currently being favoured due to the size and nature of the space available, the rental costs and the additional value for money offered by the proposed lease. Suitable open-plan offices have been located at the Welsh Government Office in Picton Terrace, Carmarthen. In addition to offering suitable office space, the proposal to lease part of the Welsh Governments' office in Carmarthen offers the additional advantages as it would offer meeting room facilities and the option to hold regional small and larger scale events on site. The proposed new accommodation will also allow ERW to maximise on the technical ability available through greater use of Video Conferencing and other visual means of communicating which would facilitate agile working and reduce travel time for staff and schools. The other WG offices across the region would also be available for use thus providing effective satellite basis to facilitate effective agile working which would reduce the amount of mileage and travel time for staff, achieving an efficiency saving.

The total anticipated costs for the proposed new office, including the meeting room facilities and space for larger events and meetings would be approximately £150,000 per annum suggesting an initial saving of at least £13,211. It should also be noted that a valuer's report (Carmarthenshire County Council) has been undertaken and recommends an efficiency saving on the advertised cost.

Required actions

1. ERW's Joint Committee are asked to consider the current situation and form opinion on the suitability of the current accommodation and the appropriateness and value of money in renewing the current lease in view of the other options available.
2. Based on the evidence presented and the rationale for the move to new premises, Erw's Joint Committee are asked to come to an urgent decision regarding the proposed new premises to ensure that the offices identified and the terms of the new lease offered remain available to ERW. A prompt decision would enable ERW to secure the contract and schedule the move to the new premises in a way that would ensure minimal impact to the day to day work of the establishment.

Draft Pending Joint Committee Approval

Annex 1 HSE Report

Office space inspection

ERW
Y Llwyfan
College Road
Carmarthen
SA31 3EQ
20th March 2018

Ground floor

Meeting room

No issues

Finance office Ground floor

The finance office measured 3.7m x 5.35m x 2.5m high. Total cubic meterage of 50 cubic meters. This would allow 4 members of staff to work in this area (11 cubic meters per person) While there were only 4 staff in the room it was cramped due to the large furniture and did not provide staff with the minimum legal requirement of 750mm to egress the office in the event of an emergency. I would recommend to reduce the size of desk and reconfigure the desking arrangement in this room. Due to the size of the room you may end up with a desk arrangement that is not conducive to team working i.e desks facing the walls.

HD room Ground floor

The HD room measured 5m x 6.6m x 2.36m high. Total cubic meterage of 73 cubic meters. This would allow 7 members of staff to work in this area (11 cubic meters per person). The room was laid out with meeting room chairs and tables which are generally not acceptable for office working as there is no adjustment for different staff requirements. The lay out did not allow for any escape routes or minimum personal space. If the room was to be continued to be used as an agile area a permanent desk arrangement should be introduced to allow for free movement through the room and ample width on walkways to allow for egress in the event of an emergency. If there was a permanent agile desk arrangement laid out with no other furniture it could possibly increase the number of agile desks to 10 (smaller desks) while still retaining correct widths of walkways. This is because staff would relay in and out. A desk arrangement would have to be draw up to confirm this. These desks would also require fixed adjustable screens and office chairs not the meeting room chairs which are used at present.

Admin office Ground Floor

The Admin office measured 5m x 4.4m x 2.4m high. Total Cubic meterage of 53 cubic meters. This would allow a maximum of 5 staff to work in this area. The present desk arrangement did not allow for the minimum egress routes of 750mm in all cases and some walkways were blocked by staff seated at their desks. There were only 5 desks in this room but to comply with legal requirements a new desking arrangement should be looked into and possibly the reduction in the size of desks.

First Floor

Senior Management team office

The SMT office measured 7.2m x 4.2m x 2.7 High. Total cubic meterage of 81 cubic meters. This would allow for 7 staff to work in this area. Although there were only 7 desks in this office not all the walkways complied with legal requirements. A new desk layout should be looked into to provide sufficient walkways through the office.

MD Office

Not Measured

Admin I.T

The Admin, I.T office measured 6m x 4.3m x 2.7m high. Total Cubic meterage of 70 cubic meters. This would allow for 6 staff in this office. At present there are 4 desks and 5 staff but the configuration did not allow for the minimum legal requirement for safe access and egress of 750mm. a new desk configuration should be looked at to allow for correct access and egress.

Conclusion

Facilities

As seen on the plans between the lower ground floor and ground floor, there are toilet facilities enough for 175 ladies.

As seen on the plans between the lower ground and first floor there are toilet facilities enough for 200 men.

I am unable to make a judgment as to if this is enough or not as I am not familiar with the workings of the building and the total occupancy.

Offices

The main areas of concern are that some of the offices are being over used and others have unsuitable desk arrangements. Issues like these could have an impact on staff with a result of welfare issues, Repetitive strain injuries (RSI) and Muscular skeletal disorders (MSD) due to cramped working conditions and slips, trips and falls due to narrow walkways. Even if new layouts were put in place to create the correct walkways it may not be possible to have the maximum number of desks using the present furniture. The office was almost fully occupied today on my visit but on talking to staff there are another 40 staff who hot desk weekly in the HD room and can turn up on mass and another 50 out in the schools that could attend. I feel this is unhealthy in a room which only has the capacity to hold 7 fixed desks. Also I saw no evidence of any air supply or extraction in the offices. This can have an impact on the maximum number of staff because of the lack of air flow which is also impacted by there only being one window in the rooms on the ground floor for ventilation.

2nd floor

There only appears to be one escape route from the 2nd floor offices and they have to walk through a lobby which is now a tea area. I am unable to make a judgment on this but I believe there should be no source of ignition in this area due to there only being one direction of travel. I view from the local fire officer should be ask for on this.

ERW JOINT COMMITTEE

16TH JULY 2018

REVIEWING THE CURRENT ERW ACCOMMODATION IN Y LLWYFAN, CARMARTHEN

Supporting / Additional information from ERW Executive Board

Executive Board supported the proposal to relocate the ERW Central Team to suitable, safe accommodation. One member suggested that Welsh Government may not be perceived as a suitable landlord.

Supporting / Additional Information from ERW Advisory Board

To merge two previous reports into this final format.



**CYD-BWYLLGOR ERW
16 GORFFENNAF 2018**

CÔD LLYWODREATHU CORFFORAETHOL

Pwrpas:

Gweithio fel fframwaith sydd yn galluogi sywddogion i benderfynu ar lefelau sicrwydd ar gyfer Awdit Mewnol yn y dyfodol.

Argymhellion / Penderfyniadau Angenrheidiol:

I'r Cyd-Bwyllgor gymeradwyo'r Côt Llywodraethu Corfforaethol newydd.

Rheswm:

Prosesau Awdit Mewnol, a dilyn arfer orau

<p>Awdur:</p> <p>Betsan O'Connor</p>	<p>Swydd:</p> <p>Cyfarwyddwr Reolwr / Managing Director</p>	<p>Rhif Cyswllt: 01267 24 5640</p> <p>E-Bost betsan.oconnor@erw.org.uk</p>
---	--	--



EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

16TH JULY 2018

CODE OF CORPORATE GOVERNANCE

BRIEF SUMMARY OF PURPOSE OF REPORT

ERW's current Code of Corporate Governance was agreed by Joint Committee in May 2015. Following changes in regulations in 2017, and advice from Pembrokeshire County Council's Head of Internal Audit, a revised code was drafted for ERW.

The Code of Corporate Governance is a document that details the systems of compliance that ERW-employed staff must work within. The Joint Committee should note that it is only applicable to centrally employed staff, and that Local Authority employees will follow their own Local Codes of Corporate Governance. This amendment was made following the Joint Committee recommendation on 1.12.17.

The Code of Corporate Governance forms the basis of the Annual Governance Statement from Internal Audit, as officers and Members are asked to provide assurance levels against the different aspects of the Code of Corporate Governance. Due to the time delay between meetings the code has not been formally approved following the changes i.e. to add hyperlinks from each LA to cover locally employed staff.

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

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

1. Risk Management

Internal Audit's Assurance level indicates governance risks within ERW

CONSULTATIONS

Details of any consultations undertaken are to be included here
N/A

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

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

THERE ARE NONE



Code of Corporate Governance

ERW Central Team



Draft Pending

Committee Approval

October 2017

ERW's Code of Corporate Governance has been developed in accordance with 'Delivering Good Governance in Local Government: Framework (CIPFA/Solace, 2016) ('the Framework').

The overall aim is to ensure that resources are directed in accordance with agreed policy and according to priorities, that there is sound and inclusive decision-making and that there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities. The Framework positions the attainment of sustainable economic, societal, and environmental outcomes as a key focus of governance processes and structures, which is in line with the requirements of the Well-being of Future Generations (Wales) Act 2015.

Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved. To deliver good governance in the public sector entities must try to achieve their entity's objectives while 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 service users and other stakeholders.

Core Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.

As an organisation, we are accountable not only for how much we spend, but also for how we use resources. This includes accountability for outputs, both positive and negative, and for the outcomes achieved as a result. In addition, we have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, we can demonstrate the appropriateness of all our actions across all activities and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

Sub Principle: Behaving with Integrity		
Requirement	Local Guidance	Sources of Assurance
Ensuring Officers and members behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of ERW.	<ul style="list-style-type: none"> • Induction for ERW staff and members of Joint Committee and Joint Scrutiny • Monitoring Officer and Section 151 Officer Guidance • Equal Opportunities Policy • ERW Values and Aims 	<ul style="list-style-type: none"> • Performance appraisals • Declarations at meetings • Publication of Delegated Decisions • Minutes of the Executive Board and Joint Committee meetings • Minutes of meetings • Declarations of interest • Conduct of meetings • Monitoring Officer • Section 151 Officer • Other Statutory Officer • Register of gifts and hospitality
Ensuring Officers take the lead in establishing values for ERW and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles).	<ul style="list-style-type: none"> • Legal Agreement • Code of Corporate Governance • ERW Values and Aims • Code of Conduct • Equal Opportunities Policy 	
Demonstrating, communicating and embedding the values through appropriate policies and processes, which are reviewed on a regular basis to ensure that they are operating effectively.	<ul style="list-style-type: none"> • HR Policies • Legal Agreement • Code of Corporate Governance • ERW Values and Aims • Code of Conduct • Equal Opportunities Policy 	

Sub Principle: Demonstrating strong commitment to ethical values		
Requirement	Local Guidance	Sources of Assurance
Seeking to establish, monitor and maintain ERW's ethical standards and performance.	<ul style="list-style-type: none"> • Complaints Policy • Code of Conduct • Equal Opportunities Policy 	<ul style="list-style-type: none"> • Scrutiny work plan and minutes • Scrutiny function • Monitoring Officer Role • Complaints & Compliments • Performance Appraisals for Central Team • Internal and External Assurance Provider Reviews • Partnership Agreements / SLAs • Self-Evaluation
Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of ERW's culture and operation.	<ul style="list-style-type: none"> • Job descriptions • Induction Arrangements • Independent Statutory Officers • Equal Opportunities Policy 	
Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.	<ul style="list-style-type: none"> • Monitoring Officer Advice and Guidance • Equal Opportunities Policy • Welsh Language Policy 	
Ensuring that external providers of services on behalf of ERW are required to act with integrity and in compliance with ethical standards expected by ERW.	<ul style="list-style-type: none"> • Contracts • Procurement and Tendering Specification and Evaluation. Authorisation Forms for Decision Required • SLAs • Training and development, guidance and feedback to LA employed staff working for ERW. 	

Sub Principle: Respecting the rule of law		
Requirement	Local Guidance	Sources of Assurance
Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations.	<ul style="list-style-type: none"> • Statutory Provisions • Monitoring Officer advice and guidance • Code of Conduct • Equal Opportunities Policy 	<ul style="list-style-type: none"> • Statutory guidance is followed • Monitoring & Appraisals • Feedback • Internal and External Audit Reports
Creating the conditions to ensure that the statutory officers, other key post holders, and members, are able to fulfil their responsibilities in accordance with legislative and regulatory requirements.	<ul style="list-style-type: none"> • Job descriptions • Joint Committee support 	
Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders. Ensuring corruption and misuse of power are dealt with effectively.	<ul style="list-style-type: none"> • Advice and guidance from Legal Services • Monitoring Officer 	

Core Principle B: Ensuring openness and comprehensive stakeholder engagement.

ERW is run for the public good and should ensure openness in our activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual's citizens and service users, as well as institutional stakeholders.

Sub Principle: Engaging comprehensively with institutional stakeholders		
Requirement	Local Guidance	Sources of Assurance
Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably.	<ul style="list-style-type: none"> Local/National Guidance Joint Plan for Regional Working (ERW, GWE, EAS, CSC) Grant conditions LA Annex 	<ul style="list-style-type: none"> Scrutiny Work Plan Legal Agreement Joint Plan Grant Conditions EIG Outcomes Framework
Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively. Ensuring that partnerships are based on: <ul style="list-style-type: none"> Trust A shared commitment to change A culture that promotes and accepts challenge among partners and that the added value of partnerships working is explicit. 	<ul style="list-style-type: none"> Local/National Guidance Joint Plan for Regional Working Grant conditions 	

Sub Principle: Openness		
Requirement	Local Guidance	Sources of Assurance

<p>Ensuring an open culture through demonstrating, documenting and communicating ERW's commitment to openness.</p>	<ul style="list-style-type: none"> • Joint Committee Meetings • Executive Board Meetings 	<ul style="list-style-type: none"> • Website • Public Notices • Scheme of Delegation • Decision Log from Executive Board / Directors • Publication of Joint Committee and Executive Board Reports • Annual calendar of events and meetings • Annual financial calendar of deadlines and guidance on compliance • Annual Headteacher Survey
<p>Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided. Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear.</p>	<p>Monitoring Officer Advice</p> <ul style="list-style-type: none"> • Committee Services Report Templates for ERW Joint Committee and Executive Board • Monitoring Officer Advice • Risk Register 	
<p>Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action.</p>	<ul style="list-style-type: none"> • Complaints Policy • Feedback from Headteacher Board • Executive Board Function • Self-Evaluation • Role of Research and Evaluation Officer 	

Core Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits.

The long-term nature and impact of ERW's responsibilities mean that we should define and plan outcomes and that these are sustainable. Decisions should further ERW's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.

Sub Principle: Defining outcomes		
Requirement	Local Guidance	Sources of Assurance
Having a clear vision which is an agreed formal statement of ERW's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for ERW's overall strategy, planning and other decisions.	<ul style="list-style-type: none"> • Values and Aims • Annual Business Plan • ERW Strategy • Legal Agreement 	<ul style="list-style-type: none"> • Annual Improvement Cycle • Risk Registers and arrangements
Specifying the intended impact on or changes for stakeholders including citizens and service users. It could be immediately or over the course of a year or longer.	<ul style="list-style-type: none"> • Communication Strategy 	
Identifying and managing risks to the achievement of outcomes.	<ul style="list-style-type: none"> • Risk Register 	
Delivering defined outcomes on a sustainable basis within the resources that will be available. Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available.	<ul style="list-style-type: none"> • Financial Plan 	

Sub Principle: Sustainable economic, social and environmental benefits		
Requirement	Local Guidance	Sources of Assurance
Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision.	<ul style="list-style-type: none"> • Legislative requirements • National Model for Regional Working • Grant Conditions 	<ul style="list-style-type: none"> • Record of decision making and supporting materials • Complaints and Compliments • Service Feedback • Risk Register • ERW Strategy and Business Plan
Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the ERW's intended outcomes and short-term factors such as the political cycle or financial constraints.	<ul style="list-style-type: none"> • Business Plan • ERW Strategy • Grant Conditions • Legal Agreement 	
Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs.	<ul style="list-style-type: none"> • HT survey and feedback • On-going engagement with ERW HT Board • Hub QA 	
Ensuring fair access to services.	<ul style="list-style-type: none"> • Equal Opportunities Policy • Welsh Language Policy • Staff Induction 	

Core Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes.

At ERW we achieve intended outcomes by providing a mixture of legal, regulatory and practical interventions (courses of action). Determining the right mix of these courses of action is a critically important strategic choice that ERW has to ensure intended outcomes are achieved.

Robust decision-making mechanisms are in place to ensure that the defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed frequently to ensure that achievement of outcomes is optimised.

Sub Principle: Determining interventions		
Requirement	Local Guidance	Sources of Assurance
Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore, ensuring best value is achieved however services are provided.	<ul style="list-style-type: none"> Decision making protocols Forward work plans 	<ul style="list-style-type: none"> Agenda reports and minutes of meetings Data capture of support to schools (Rhwyd) Support log analysis Decision log from Executive Board
Considering feedback from service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills and bearing in mind future impacts.	<ul style="list-style-type: none"> HT Conferences Annual Headteacher Survey Newsletter feedback and information from survey and questionnaires after events 	

Sub Principle: Planning interventions		
Requirement	Local Guidance	Sources of Assurance
Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets.	<ul style="list-style-type: none"> • Joint Scrutiny meeting schedule • Risk Register • Business Plan 	<ul style="list-style-type: none"> • Minutes of meetings • Joint Committee and Executive Board meetings • Improvement Planning Schedule • Service/Project Plans • Reports to Committees • Partnership Agreements • Risk Register • Business Plan • Planning protocols • Service Improvement Plans • Quarterly performance report • Scrutiny Committee Reports • Budget Monitoring • Cost Reduction/Efficiency Monitoring • Corporate and Service Improvement Plans
Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered.	<ul style="list-style-type: none"> • Internal Audit Work Programme 	
Considering and monitoring risks facing each partner when working collaboratively, including shared risks.	<ul style="list-style-type: none"> • Risk Register 	
Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances.	<ul style="list-style-type: none"> • Service Improvement Plans 	
Establishing appropriate key performance indicators (KPI's) as part of the planning process in order to identify how the performance of services and projects is to be measured.	<ul style="list-style-type: none"> • Service Improvement Plans • Project Plans 	
Ensuring capacity exists to generate the information required to review service quality regularly.	<ul style="list-style-type: none"> • Service Improvement Plans and Performance Monitoring • Operational Meetings 	
Preparing budgets in accordance with objectives, strategies and the medium term financial plan.	<ul style="list-style-type: none"> • Financial Regulations 	
Informing medium and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed to developing a sustainable funding strategy.	<ul style="list-style-type: none"> • Financial Regulations 	

Sub Principle: Optimising achievement of intended outcomes		
Requirement	Local Guidance	Sources of Assurance
Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints.	<ul style="list-style-type: none"> • Service Planning Process 	<ul style="list-style-type: none"> • Ongoing review of the Medium Term Financial Plan • Annual Budget Setting Process • Annual Budget Report • Committee Minutes • Quarterly Integrated Reports
Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term.	<ul style="list-style-type: none"> • Service Planning Process 	
Ensuring the medium term financial strategy sets the context of ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage.	<ul style="list-style-type: none"> • Financial Regulations 	
Ensuring the achievement of 'social value' through service planning and commissioning.	Compliance with the 10 Principles of Welsh Public Procurement Policy as detailed in the Welsh Government's Wales Procurement Policy Statement.	

Draft Pending Joint Committee Approval

Core Principle E: Developing ERW’s capacity including the capability of its leadership and the individuals within it.

At ERW we need appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve intended outcomes within the specified periods. At ERW we must ensure that we have both the capacity to fulfil our own mandate and to make certain that there are policies in place to guarantee that management has the operational capacity for ERW as a whole. Because both individuals and the environment in which ERW operates will change over time, there will be a continuous need to develop our capacity as well as the skills and experience of individual staff members. Leadership is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.

Sub Principle: Developing the entity’s capacity		
Requirement	Local Guidance	Sources of Assurance
Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness.	<ul style="list-style-type: none"> • Performance Management • Appraisal Process 	<ul style="list-style-type: none"> • Scrutiny Committees • Appraisals • Utilisation of research and benchmarking exercises
Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently.	<ul style="list-style-type: none"> • Scrutiny Committee 	
Recognising the benefits of partnership and collaborative working where added value can be achieved.	<ul style="list-style-type: none"> • Joint Plan for Regional Working 	

Sub Principle: Developing the capability of ERW's leadership and other individuals		
Requirement	Local Guidance	Sources of Assurance
Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained.	<ul style="list-style-type: none"> • Legal Agreement • ERW Values and Aims • Induction of Members of Joint Committee and Joint Scrutiny 	Job descriptions <ul style="list-style-type: none"> • Register of delegated decisions • Minutes of Meetings (Executive Board & Joint Committee) • Induction and ongoing training and development programme • Arrangements for succession planning. • Communication strategy • Manager Performance Reviews • Employee Performance Reviews • Training and development plans • HR policies • Challenge and Review Records • Estyn Reports
Publishing a statement that specifies the types of decision that are delegated and those reserved for the collative decision making of the governing body.	<ul style="list-style-type: none"> • Legal Agreement • Scheme of Delegation • Financial Regulations 	
Ensuring the Chair of Joint Committee and Lead Chief Executive/Managing Director have clearly defined and distinctive leadership roles within a structure whereby the Chief Executive leads in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority.	<ul style="list-style-type: none"> • Legal Agreement • ERW Values and Aims 	

Draft Pending Joint Committee Approval

<p>Developing the capabilities of members and senior management to achieve effective leadership and to enable ERW to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:</p> <ul style="list-style-type: none"> ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged. ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis. Ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external. 	<ul style="list-style-type: none"> Induction Learning & Development Programme Job Descriptions & Recruitment Best Practice Guidance 	
<p>Taking steps to consider the leaderships own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections.</p>	<ul style="list-style-type: none"> Performance Management Estyn Inspection Link HMI visits Challenge and Review 	
<p>Holding staff to account through regular performance reviews, which take account of training and development needs.</p>	<ul style="list-style-type: none"> Performance Appraisals 	
<p>Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing.</p>	<ul style="list-style-type: none"> HR Policies and Procedures 	

Core Principle F: Managing risks and performance through robust internal control and strong public financial management.

At ERW we need to ensure that the organisations and governance structures that we oversee have implemented and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services.

Risk management and internal control are important and integral parts of performance management system and are crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.

A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability.

It is also essential that a culture and structure for scrutiny are in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful service delivery.

Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

Sub Principle: Managing risk		
Requirement	Local Guidance	Sources of Assurance
Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making.	<ul style="list-style-type: none"> Risk Register 	<ul style="list-style-type: none"> Risk Registers Business Plans
Implementing robust and integrated risk management arrangements and ensuring that they are working effectively.	<ul style="list-style-type: none"> Risk Register Business Plan 	
Ensuring that responsibilities for managing individual risks are clearly allocated.	<ul style="list-style-type: none"> Risk Register Business Plan 	

Sub Principle: Managing performance		
Requirement	Local Guidance	Sources of Assurance
Monitoring service delivery effectively including planning, specification, execution and independent post implementation review.	<ul style="list-style-type: none"> • Service Improvement Plans • Performance Management 	<ul style="list-style-type: none"> • Audit Plans • Publication of Joint Committee and Executive Board documentation of meetings • Agreement on the information that will be needed and timescales • Discussion between members and officers on the information needs of members to support decision-making. • Scrutiny Committee's Terms of Reference • Agenda and minutes of Scrutiny meetings • Evidence as a result of scrutiny • Training for members • Committee reports • Budget Reports
Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in ERW's financial, social and environmental position and outlook.	<ul style="list-style-type: none"> • Report Templates for Committees • Forward Work Plans 	
Ensuring an effective scrutiny or oversight function is in place, which provides constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing ERW's performance and that of any organisation for which it is responsible.	<ul style="list-style-type: none"> • Joint Scrutiny Committee 	
Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.	<ul style="list-style-type: none"> • Joint Scrutiny Committee 	
Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements).	<ul style="list-style-type: none"> • Financial Regulations 	

Sub Principle: Robust internal control		
Requirement	Local Guidance	Sources of Assurance
Aligning the risk management strategy and policies on internal control with achieving objectives.	<ul style="list-style-type: none"> • Risk Register 	<ul style="list-style-type: none"> • Risk registers • Audit plan • Audit reports • Reports to Scrutiny Committee • Annual Governance Statement 2015-16 • Head of Internal Audit Annual Assurance Statement
Evaluating and monitoring risk management and internal control on a regular basis.	<ul style="list-style-type: none"> • Risk Register 	
Ensuring effective counter fraud and anti-corruption arrangements are in place.	<ul style="list-style-type: none"> • Whistleblowing Policy 	
Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor.	<ul style="list-style-type: none"> • Business Plan • Internal Audit Reports 	

Sub Principle: Managing data		
Requirement	Local Guidance	Sources of Assurance
Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.	<ul style="list-style-type: none"> • Data Protection Policy • Freedom of Information Policy 	<ul style="list-style-type: none"> • Data Protection Policy and Procedures • Data sharing agreement • Data sharing register • Data processing agreements • Data quality procedures and reports • Internal Audit Reports
Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies.	<ul style="list-style-type: none"> • IT Security and Internet Policy 	
Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.	<ul style="list-style-type: none"> • IT Security and Internet Policy 	

Sub Principle: Strong public financial management		
Requirement	Local Guidance	Sources of Assurance
Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance.	<ul style="list-style-type: none"> Financial Regulations 	<ul style="list-style-type: none"> Annual Outturn Report Budget monitoring reports
Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.	<ul style="list-style-type: none"> Financial Regulations 	

Draft Pending Joint Committee Approval

Core Principle G: Implementing good practices in transparency, reporting and audit to deliver effective accountability.

Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as ERW plans and carries out its activities in a transparent manner.

Both external and internal audit contribute to effective accountability.

Sub Principle: Implementing good practice in transparency		
Requirement	Local Guidance	Sources of Assurance
Writing and communicating reports for the public and other stakeholders in a fair, balanced and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate.	<ul style="list-style-type: none"> • Joint Committee Meetings • Executive Board Meetings • Headteacher Board • Discussions with Headteacher Associations • Trade Union Stakeholder Meetings 	<ul style="list-style-type: none"> • Website • Joint Committee and Executive Board Meetings • Joint Scrutiny Meetings • Communication Plan • Headteacher Board • Discussions with Headteacher Associations • Trade Union Stakeholder meetings
Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand.	<ul style="list-style-type: none"> • Joint Committee Meetings • Joint Scrutiny 	

Sub Principle: Implementing good practice in reporting		
Requirement	Local Guidance	Sources of Assurance
Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way.	<ul style="list-style-type: none"> • Legal Agreement • ISO260 	<ul style="list-style-type: none"> • Annual Statement of Accounts • Annual Governance Statement • Internal Audit Review • Annual Governance Statement • Partnership Agreements
Ensuring members and senior management own the results reported.	<ul style="list-style-type: none"> • Legal Agreement 	
Ensuring robust arrangements for assessing the extent to which the principles contained in this Framework have been applied and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance.		
Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate.	<ul style="list-style-type: none"> • Joint Regional Plan 	
Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations.	<ul style="list-style-type: none"> • Financial Regulations 	

Sub Principle: Assurance and effective accountability		
Requirement	Local Guidance	Sources of Assurance
Ensuring that recommendations for corrective action made by external audit are acted upon.	<ul style="list-style-type: none"> Internal Audit Reports 	<ul style="list-style-type: none"> Scrutiny Committees Head of Internal Audit Annual Assurance Statement Annual Governance Statements Risk Registers
Ensuring an effective internal audit service with direct access to members is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon.	<ul style="list-style-type: none"> Internal Audit Reports 	
Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.	<ul style="list-style-type: none"> Internal Audit Reports 	
Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement.	<ul style="list-style-type: none"> Risk Register 	
Ensuring that when working in partnership, arrangements for accountability have been recognised and met.	<ul style="list-style-type: none"> Joint Working Plan 	

Draft Pending Joint Committee Approval

Application & Monitoring

In order to demonstrate the spirit and ethos of good governance, the shared values of ERW must be reflected in the behaviour of Officers and Members, as well as Policy, in order to integrate into the Culture.

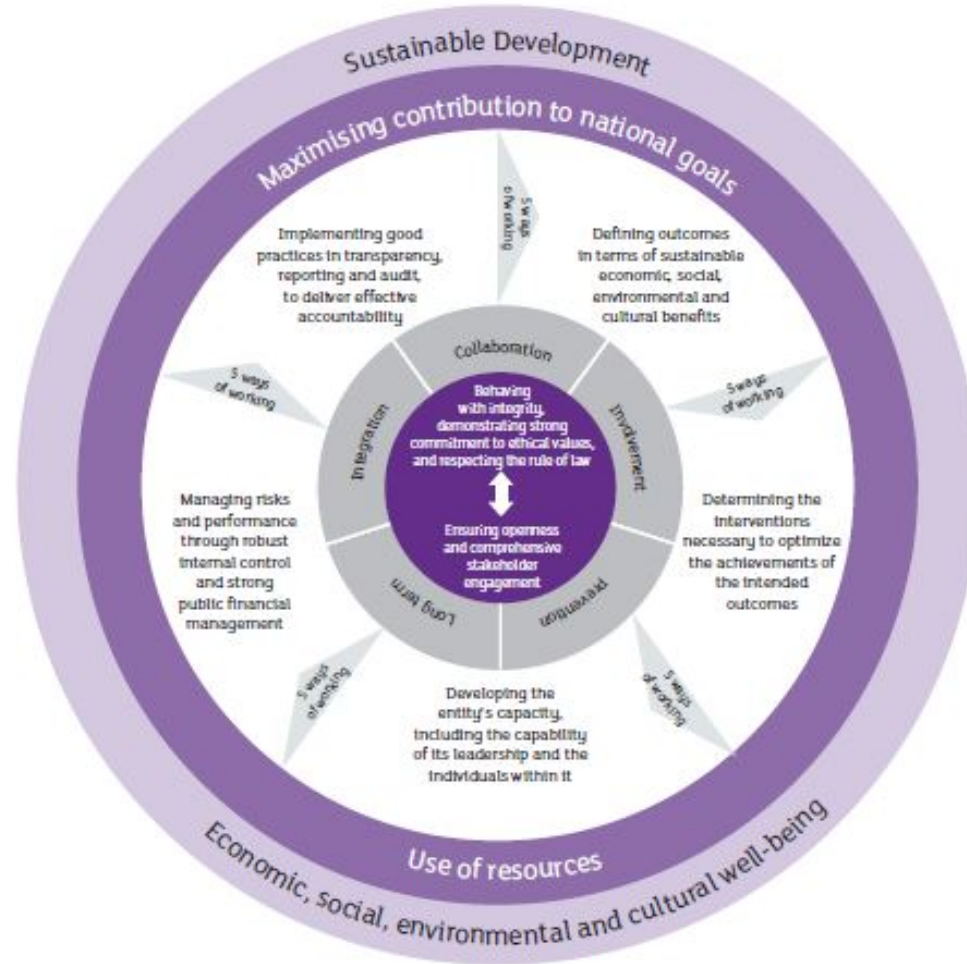
As part of the review of the Annual Governance Process, an independent assessment of Compliance with this Regional Code of Corporate Governance will be undertaken by the Internal Audit Service. This will also rely on work undertaken in year by both Internal Audit, Wales Audit Office and other Regulatory Bodies.

Directors and Statutory Officers will be required to complete a self-assessment of the application of the Regional Code of Corporate Governance within their area of responsibility.

The outcome of these assessments, along with the Head of Internal Audit Annual Assurance Statement will inform the Annual Governance Statement. Any areas that require further improvement will be considered for inclusion as a Significant Governance Issue or a Priority for Improvement.

The Regional Code of Corporate Governance will be subject to annual review and update to reflect changes to working practices and policies.

Well-being of Future Generations (Wales) Act 2015 and the International Framework



Draft

Hyperlinks to Local Authority Codes of Corporate Governance (which apply to LA employed staff)

Carmarthenshire

<http://democracy.carmarthenshire.gov.wales/documents/s17560/APPENDIX%202.pdf>

Ceredigion

<https://www.ceredigion.gov.uk/media/3807/4-appendix-3-2017-18-local-code-of-corporate-governance-final.pdf>

Neath Port Talbot

<https://www.npt.gov.uk/media/9194/npt-council-statement-of-accounts-1718-draft.pdf>

Pembrokeshire

<https://www.pembrokeshirecoast.wales/default.asp?PID=437>

Powys

<http://www.powys.gov.uk/en/democracy/find-out-about-the-council-constitution-and-corporate-governance/>

Swansea

<https://democracy.swansea.gov.uk/documents/s36814/Code%20of%20Corporate%20Governance%20Council%2024.08.17%20FINALv2.pdf?LLL=0>

**ERW JOINT COMMITTEE
AGENDA ITEM NO 6.6
16.7.18**

Supporting / Additional information from ERW Executive Board

Supporting documents from all Authorities were amended following request.

Supporting / Additional Information from ERW Advisory Board

The supporting documents from Local Authorities were changed to hyperlinks.



CYD-BWYLLGOR ERW 16 GORFFENNAF 2018

CYNLLUN BUSNES ERW

Pwrpas:

Cyflwyno Cynllun Busnes ERW 2018-19, er mwyn cael cymeradwyaeth gan y Cyd-Bwyllgor

Argymhellion / Penderfyniadau Angenrheidiol:

1. I ddod yn gyfarwydd â chynnwys Cynllun Busnes ERW fel prif ddogfen strategol y flwyddyn ariannol 2018-19.
2. Nodi fod ERW wedi cydlynu ein gwaith gyda'r Genhadaeth Genedlaethol
3. I gymeradwyo'r Cynllun Busnes er mwyn sicrhau fod ERW'n cydymffurfio gyda un o delerau Grant Gwella Ysgolion Consortia Rhanbarthol

Rheswm:

Mae angen sicrhau cymeradwyaeth gan y Cyd-Bwyllgor er mwyn cyraedd anghenion Llywodraeth Cymru

Awdur: Aneirin Thomas	Swydd: Pennaeth Ansawdd	Rhif Cyswllt: 01267 24 5640 E-Bost Aneirin.thomas@erw.org.uk
-------------------------------------	---------------------------------------	--



EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

16 JULY 2018

ERW BUSINESS PLAN

BRIEF SUMMARY OF PURPOSE OF REPORT

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

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

The ERW business plan also identifies how specific areas for improvement will be funded in line with the new Welsh Government Regional Consortia School Improvement Grant. The outcomes framework (page 7 of Business Plan) notes the means by which Welsh Government will hold all regions to account against key outcome measures.

This Business Plan has been approved by the Executive Board following minor amendment.

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

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

Finance

The ERW business plan is aligned with WG grant funding streams.

CONSULTATIONS

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

THERE ARE NONE



**ERW JOINT COMMITTEE
16TH JULY 2018**

ERW BUSINESS PLAN

Supporting / Additional information from ERW Executive Board

Agreed - Minor Amendments made and agreed to clarify focus

Agreed - format a precis report for a different audience

Supporting / Additional Information from ERW Advisory Board





ERW

Ein Rhanbarth ar Waith
Education through Regional Working

**ERW Business Plan
2018-2019**

Contents

'Improving Learning Together' – page 3

Aims and Values – page 4

Delivering Local, Regional and National Priorities – page 6

Education in Wales Outcomes Framework - page 7

Wellbeing of Future Generations (Wales) Act 2015 – page 9

National Mission for Wales – page 12

Approach to School Improvement – page 14

The Welsh Language – page 18

Value for Money Framework – page 20

Level 1 Plan Objectives (1-5) – page 23

Level 2 Plan - page 26

Aligning Local Authority Priorities to the Region's Business Plan – page 29

Business Planning Strands and Matrix Planning – page 37

Level 3 Delivery Plans – page 39

Annex 1 (Funding Streams) - page 88

Annex 2 Cross region working



‘Improving Learning Together’

Mission Statement

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

Aims and values

Equity and Fairness

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

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

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

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

Supportive

We celebrate and share success.

We lead by example and inspire confidence in others.

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

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

Barriers and challenges are resolved promptly and success is celebrated.

Innovation

We inspire others and continuously seek innovative solutions.

We effectively plan and anticipate change.

We act on opportunities.

We recognise problems and implement solutions

Collaboration

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

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

We build effective relationships with all stakeholders and partners.

We recognise people's contributions and achievements

We focus on sustainable progress and growth

Integrity

We are trustworthy and reliable

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

We stand by difficult decisions and openly acknowledge errors.

We challenge and confront poor performance

Delivering Local, Regional and National Priorities

Delivering Local, Regional and National Priorities

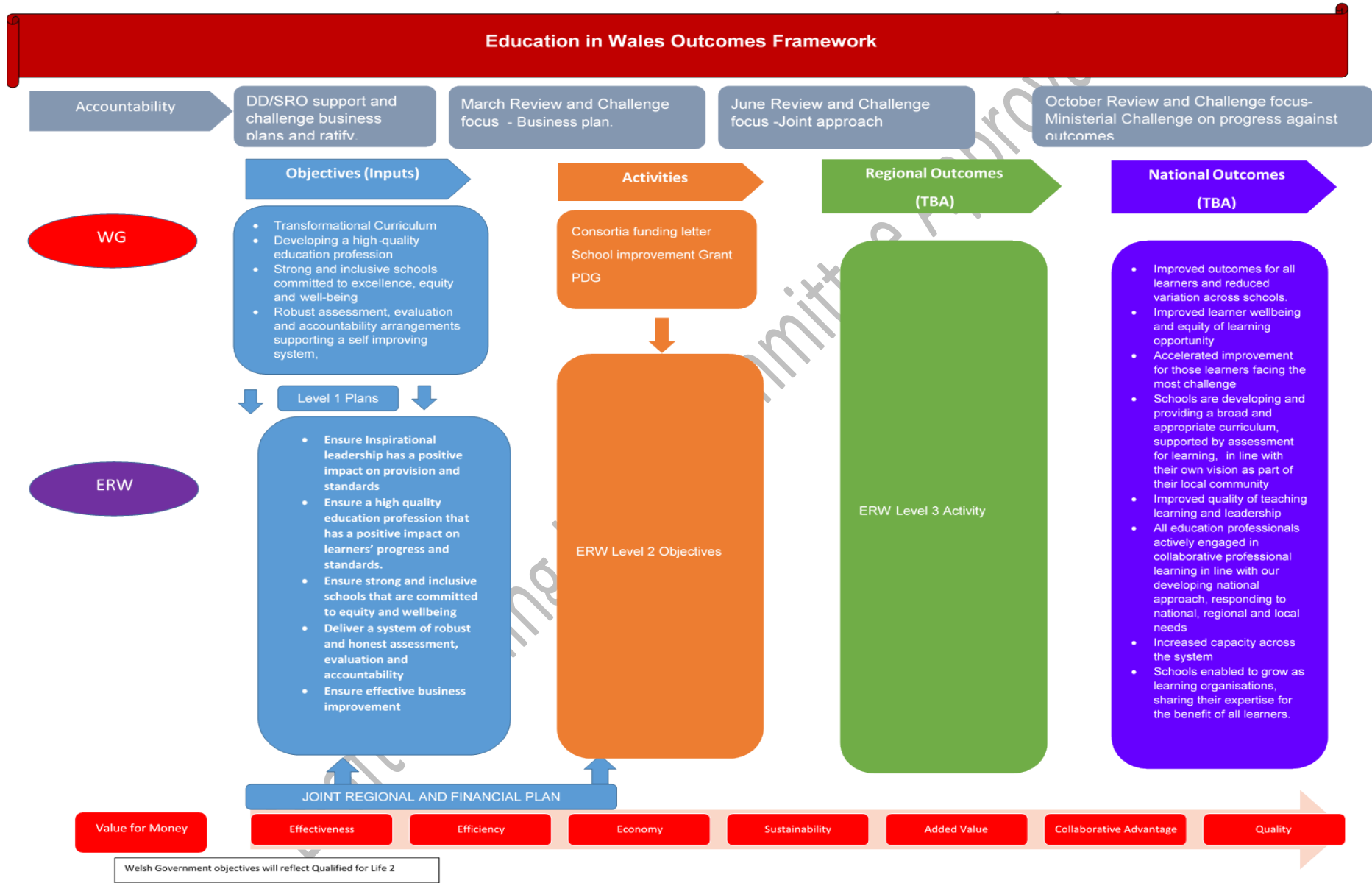
All Local Authorities within the region contribute to the regional planning process. Key objectives from local Business Plans are used to inform the regional priorities at the 1st level of regional planning. Local Authority objectives are referenced in the LA Annex and Level 1 plan on pages 23-25

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

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

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

Education in Wales Outcomes Framework



Wellbeing of Future Generations (Wales) Act 2015

Wellbeing of Future Generations (Wales) Act 2015

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

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

A prosperous Wales

A resilient Wales

A healthier Wales

A more equal Wales

A Wales of cohesive communities

A Wales of vibrant culture and thriving Welsh Language

A globally responsible Wales

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

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

National Mission for Wales



National Mission for Wales

“Our national mission is to raise standards, reduce the attainment gap and deliver an education system that is a source of national pride and confidence.”

Kirsty Williams, Cabinet Secretary for Education

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

The region is:

- clear about key roles of leaders as effective planning and providers of intelligence into the system to enable all our schools to play their part in improving learner outcomes and well-being.
- knowledgeable about educational inequities within and between partnerships/alliances and able to address them by moving knowledge and expertise; the region is key to facilitating cross-sectoral and multi-agency collaboration to support those in greatest need
- working collaboratively across the whole of Wales to mobilise expertise and minimise duplication of effort and cost – to do this, and will continue to operate at a regional scale to build capacity and enable services to target resources and activity effectively towards schools working together

well led by education professionals who have the intellectual, practical and shared understanding of education leadership within our system – leaders are driven by the curriculum’s four purposes, provide good-quality vision and build strong evolving partnerships.

Approach to School Improvement

Approach to School Improvement

‘Regional consortia now provide school improvement services on behalf of local authorities. These consortia increasingly provide ‘support’ for schools, although their emphasis is still too much on accountability and on ‘challenging’ schools.’

*The Annual Report of Her Majesty's Chief Inspector of Education and Training in Wales
2016–2017*

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

(OECD, 2014 p.77.)

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

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

‘This is what is meant by a ‘self-improving system’ – one that builds capacity, helps to increase ownership of school improvement at school level, and moves expertise and best practice around the system.’

*The Annual Report of Her Majesty's Chief Inspector of Education and Training in Wales
2016–2017*

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

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

‘greater collaboration and trust among stakeholders are essential for realising the country's objective of a self-improving school system’.

(OECD, 2017, p.49)

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

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

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

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

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



The Welsh Language

The Welsh Language

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

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

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

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

(Welsh in education: action plan 2017-21)

Value for Money Framework

Value for Money Framework

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

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

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

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

Economy – minimising the resources used

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

Effectiveness – relationship between outcomes and impact

Sustainability – including succession planning and professional development and capacity building

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

Added value - Gaining more than the optimum expectation.

Quality -Securing better quality and a focus on improvement.

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

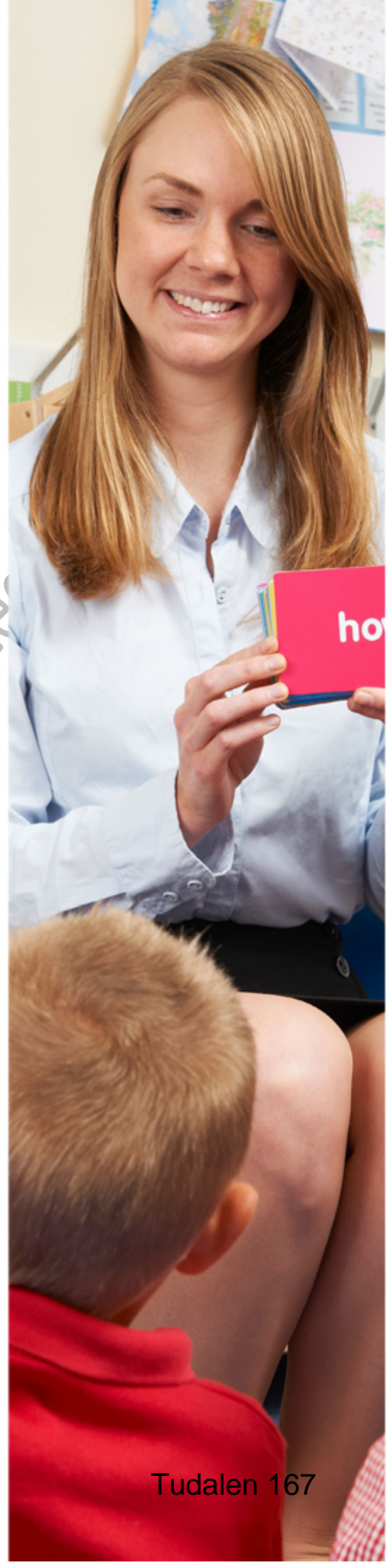
Three Tier Planning and Strategic Targets

ERW's business plan is based on a three tier planning model.

Level 1 objectives set out our strategic targets which are closely aligned with national priorities set by Welsh Government.

Level 2 planning includes our outcomes measures within each of the 5 level 1 strategic objectives. Level 2 planning also incorporates key strategic areas for improvement from each Local Authority

Level 3 planning includes work streams and detailed delivery actions in order to meet our level 2 outcome measures.



Level 1 Plan Objectives (1-5)

Level 1 Plan Objectives (1-5)

1. **Ensure Inspirational leadership has a positive impact on provision and standards**

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

2. **Ensure a high quality education profession that has a positive impact on learners' progress and standards.**

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

3. **Ensure strong and inclusive schools that are committed to equity and wellbeing**

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

4. **Deliver a system of robust and honest assessment, evaluation and accountability**
Through the use of evidence-based approaches and co-construction, we will deliver a coherent assessment and evaluation framework that will ensure effective accountabilities so that schools, LAs and The region play full part in delivering the best for our learners and their teachers. We will encourage and acknowledge schools that are collaborative and supportive of each other and will ensure that smaller and rural schools are better supported to play their full part in a collaborative self-improving school system.
5. **Ensure effective business improvement**
To ensure an effective and efficient governance, leadership and business support that provides excellent value for money.

Draft Pending Joint Committee Approval

Level 2 Plan and Outcome Measures

Level 2 Plan and Outcome Measures

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

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

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

Draft Pending Joint Committee Approval

Local Authority Priorities to the Region's Business Plan

Local Authority Priorities to the Region's Business Plan

ERW's business plan describes our core business which has been agreed with the six authorities. Central to this business plan are the Authority (LA) Annexes which set out the support or dedicated work required in each LA. The priorities for each LA are aligned with the National Mission and highlighted in the following tables. In ERW 98% of the Education Improvement Grant (EIG) is delegated to LAs. As a result, LAs are responsible for the deployment of Challenge Advisers and subject specialist within their own school improvement teams.

Local Authority Priorities	1. Ensure Inspirational leadership has a positive impact on provision and standards	2. Ensure a high quality education profession that has a positive impact on pupil progress and standards.	3. Ensure strong and inclusive schools that are committed to equity and wellbeing	4. Deliver a system of robust assessment, evaluation and accountability
Carmarthenshire	<ul style="list-style-type: none"> • Continue to support the needs of the small & rural schools' leadership agenda. • Further develop training provision and learning opportunities for governors in support of enhanced school leadership • Continue to support and promote effective leadership, recruitment and professional standards at all levels of the whole school community with a specific focus on: <ol style="list-style-type: none"> a) Teaching Assistants 	<ul style="list-style-type: none"> • Further improve outcomes at the end of the Foundation Phase (with a focus on LCE) • Continue to support improvement in Key Stage 4 with a focus on attainment in the Capped 9 / L2i • Continue to enhance opportunities and pupil outcomes for Welsh language provision in line with the WESP • Continue to support implementation of the DCF with a focus on its impact on high quality 	<ul style="list-style-type: none"> • Continue to enhance provision and outcomes for vulnerable learners with an emphasis on achievement and attainment of eFSM and LAC pupils • Establishment a framework for alternative curriculum provision in line with WG requirements 	<ul style="list-style-type: none"> • Continue to support schools embed evolving curriculum, assessment and examination developments (utilising the LoLs in an effective manner) • Continue to support consistency of assessment practice through collaborative Cluster working • Continue to support effective SER systems across all schools through ongoing collaborative school-to-school networking

	<ul style="list-style-type: none"> b) Middle leaders c) Aspiring senior leaders 	<p>provision and improved outcomes</p> <ul style="list-style-type: none"> • Further develop provision for MAT learners including a focus on 'blended / e-learning' projects and Seren Hub. 		<ul style="list-style-type: none"> • Continue to monitor and review the impact of effective accountability systems within schools via ERW Core Support Visits
Ceredigion	<p>Improve leadership quality and resilience in Ceredigion schools by:</p> <ul style="list-style-type: none"> • developing leadership at all levels; • continuing to reduce the number of interim heads; • improving conditions for leadership, particularly in smaller schools; and • providing support for curriculum planning and school resource management in the light of increasingly challenging budgets • reduce in-school and inter-school variation 	<p>Maintain high performance throughout the Key Stages, particularly current and proposed headline indicators at Key Stage 4 by strongly supporting teaching and learning, including:</p> <ul style="list-style-type: none"> • continued support for the new GCSE specifications; • continued support to improve the provision of literacy and numeracy; • Improve the ICT skill baseline of all teaching and support staff to support schools in the continued roll-out of the Digital Competency Framework • Continue to develop the use mechanism of evaluating the 	<p>Continued support for vulnerable groups of pupils, including those in PRUs</p>	<p>Generic support for education reform according to 'Education in Wales: Our National Mission</p>

		effectiveness of post-16 provision in schools, including the use of ALPS.		
Pembrokeshire	<p>Enhance the skills and accountability of Middle leaders in secondary schools</p> <p>Further develop Senior Leadership skills, impact and capacity at all levels across our schools</p> <p>Develop governors understanding of self-improving schools</p> <p>Further develop the effective use of performance data analyses and performance management systems with Governing Bodies.</p> <p>Develop an effective and sustainable programme to support the future recruitment needs of Pembrokeshire schools.</p>	<p>Further improve standards at Key Stage 4 (with a focus on attainment at the L2i and capped 9)</p> <p>Digital Competency Framework in support of raised standards and enhanced teaching and learning provision and develop self-improving and sustaining schools.</p> <p>Further develop the Foundation Phase so that outcomes improve to above average, link with LA strategy and self-improving schools</p>	<p>Further improve performance of eFSM learners with a specific focus on an improved performance in Key Stage 4 in targeted individual schools</p> <p>Improve outcomes in the Foundation Phase.</p>	<p>Ensure the effective implementation of the content of the ERW Secondary Schools Focused Plan 2017-18 through regular monitoring, evaluation and review processes, including Hub QA, monthly reporting to the Pembrokeshire Director and individual PM programme reporting arrangements.</p> <p>Develop further self-improving school systems by strengthening cluster working</p>
Powys	Increase number of schools with permanent leadership	Improve teaching and learning particularly in key stage 3.	Improve standards at key stage 3 especially for Welsh efsm and boys (low numbers).	Develop further self-improving school systems by strengthening cluster working

	<p>Increase number of leaders gaining leadership qualifications. (eg, NPQH, Middle leaders, HLTA, etc.)</p> <p>Increase the number of schools where the quality of leadership is good or better.</p>	<p>Ensure the literacy and numeracy frameworks and the DCF are embedded.</p> <p>Encourage innovation in pioneer schools and others as they develop the areas of learning.</p> <p>Develop school to school working and share good practice more effectively.</p> <p>Improve standards at key stage 3 especially for Welsh efsm and boys (low numbers).</p> <p>Improve performance in the Welsh bacc at ks 4.</p> <p>Improve outcomes for pupils at the higher grades in key stage 5.</p> <p>Improve standards in ks4 in ICT.</p> <p>We will provide equality of provision for Welsh medium learners through the implementation of the Welsh in Education Strategic Plan</p>	<p>Improve standards in level 1 performance for efsm learners.</p> <p>Improve standards in science at KS4 for efsm learners.</p>	
Neath Port Talbot	Develop a leadership programme that meets local	Ensure that the current rate of improvement in the		

	<p>needs within NPT to improve the quality of middle leadership in secondary schools and improve the quality of leadership within the primary sector.</p>	<p>performance of e-fsm pupils is accelerated, particularly at key stage 4.</p> <p>Improve the performance of boys at all key stages, but particularly in English/ Welsh at key stage 4.</p> <p>Broker support to further develop Welsh medium curriculum provision at all key stages in order that pupils become confident and proficient users.</p> <p>Improve pupils' basic and social skills at nursery and reception education in order to improve transition into statutory education.</p>		
Swansea	<p>Continue to ensure that value for money is achieved by having no schools or provisions in a statutory category and increase the proportion of schools that best fit A and B type characteristics for leadership and quality of</p>	<p>Improve outcomes for new qualifications in key stage 4.</p> <p>Continue to improve performance at Foundation Phase, particularly mathematical development and literacy.</p>	<p>Evaluate the quality of teaching and learning and the effectiveness of provision by further developing data analysis, tracking and monitoring of pupils with additional learning needs. Support, develop and fund further programmes to support</p>	<p>Deliver high quality and bespoke support, challenge and intervention to schools.</p> <p>Further enhance the quality of governance in Swansea schools.</p>

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

Business Planning Strands and Matrix Planning

Aligning Level 3 Work Streams with Level 2 Outcome Measures.

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

Level 3 Delivery Plans

Level 3 Delivery Plans

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

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

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

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

TEMPLED CYNLLUN LEFEL 3 – 2018-19
LEVEL 3 PLAN TEMPLATE – 2018-19

Maes Area	Improving Leadership
Perchennog Plan Owner	Aneirin Thomas
Aelodau'r Tim: Team Members:	JB / YJ / MF / DB / TF / AT / AE / SLP / CM / SPT

Cynllun Gweithredu 2018-19
Operational Plan 2018-19

Gweithred Cynllun Busnes Lefel 1:

Level 1 Business Plan Objective:

1. Ensure Inspirational leadership has a positive impact on provision and standards
2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.
3. Ensure strong and inclusive schools that are committed to equity and wellbeing
4. Deliver a system of robust assessment, evaluation and accountability
5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)
6. Improve communication (mandatory)
7. Using digital systems to facilitate the delivery of the work stream (mandatory)

Level 2 outcomes to be achieved in your plan

- 1.2 All schools are well led and as a result, the proportion of schools in any statutory category decreases and judged to be A or B increases
- 1.6 Shortcomings in leadership are quickly identified and rapid intervention is provided through a regional strategic programme
- 1.7 The region collaborates effectively with all regions and the leadership academy to establish a high quality professional learning offer for all leaders
- 1.8 The region collaborates effectively with all regions and the leadership academy to establish a high quality professional learning offer for all leaders
- 2.3 Shortcomings in teaching are quickly identified and rapid intervention is provided through a regional strategic programme
- 3.6 All schools make effective use of PDG which has a positive impact on progress and standards for vulnerable pupils.
- 4.1 All schools are provided with high quality support and challenge which a positive impact on improving the quality of standards, leadership and provision. As a result, the proportion of schools in any statutory category decreases and judged to be A or B increases
- 4.2 All schools have accurate and effective self-evaluation and improvement planning processes which result in improving the quality of standards, provisional and leadership.

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

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

20.	SPT to prioritise appropriate support for middle leaders from schools in statutory category, including bespoke school to school support and attendance at middle leadership course.	SPT/ SLP	April 2018	April 2019	SIL
21.	Support schools to develop high quality and effective tracking systems to secure progress for learners.	IA, AE, AT	April 2018	April 2019	SIL
<p>Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes? How do you plan to provide value for money in your area?</p> <p>Economy – minimising the resources used</p> <ul style="list-style-type: none"> • Avoid duplication of work in schools and the region • Ensure Leadership support is effective and bespoke • Ensure school to school work is monitored effectively and streamlined appropriately • Schools will work together to provide better value for money and enhanced support <p>Efficiency – relationship between output from services and the resources used to produce them</p> <ul style="list-style-type: none"> • Resources will be developed collaboratively to avoid duplication • All resources will be shared via electronic platforms • Sustainable methods will be employed to ensure staff are not a required resource to develop resources but that schools can change and implement themselves <p>Effectiveness – relationship between outcomes and impact</p> <ul style="list-style-type: none"> • All work will have clear success criteria and impact monitoring will take place on a quarterly basis • Leadership support provided by regional officer and schools will be monitored closely to ensure effective impact <p>Sustainability – including succession planning and professional development and capacity building</p>					

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

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

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

Added value - Gaining more than the optimum expectation.

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

Quality -Securing better quality and a focus on improvement

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

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
Maes Area	Future Leaders
Perchennog Plan Owner	Aneirin Thomas
Aelodau'r Tim: Team Members:	TF / SLP
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
Gweithred Cynllun Busnes Lefel 1: Level 1 Business Plan Objective: <ol style="list-style-type: none"> 1. Ensure Inspirational leadership has a positive impact on provision and standards 2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards. 3. Ensure strong and inclusive schools that are committed to equity and wellbeing 4. Deliver a system of robust assessment, evaluation and accountability 5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory) 6. Improve communication (mandatory) 7. Using digital systems to facilitate the delivery of the work stream (mandatory) 	
Level 2 outcomes to be achieved in your plan <p>1.3 All schools are well led and as a result, the proportion of schools in any statutory category reduces and judged to be A or B increases.</p> <p>1.3 Shortcomings in leadership are quickly identified and rapid intervention is provided through a regional strategic programme</p> <p>1.5 The region collaborates effectively with all regions and the leadership academy to establish a high quality professional learning offer for all leaders</p> <p>3.1 All schools provide high quality care, support and guidance for their pupils which has positive impact on wellbeing and progress. As a result, the proportion of schools being judged to be good or better in these areas increases.</p> <p>3.5 All schools are aware of the impact of Adverse Childhood Experiences and the school processes and systems as well as teaching and learning strategies that enable pupils to overcome resulting barriers to learning</p> <p>3.6 All schools make effective use of PDG which has a positive impact on progress and standards for vulnerable pupils.</p> <p>3.7 All schools have effective transition processes which support all pupils to progress through their education.</p>	

4.2 All schools have accurate and effective self-evaluation and improvement planning processes which result in improving the quality of standards, provisional and leadership.

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

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

Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code
1.	Ensure the region is well represented at national level and by Associate H/T Members in the Leadership Academy. Ensure that key information is effectively disseminated in a timely manner. ERW work effectively with other regions	AT/ Leadership team	April 2018	March 2019	SIL
2.	Make effective use of the Headteacher Representative Board to disseminate current, relevant and accurate information to support effective school leadership; school to school support contributes to strong and effective leadership	ATJ	April 2018	March 2019	SIL
3.	Challenge Adviser support visits to ensure early identification and targeted support to develop effective future leaders.	AT/SLP/MF/TF	April 2018	March 2019	SIL
4.	Ensure that all prospective future leaders are provided with beneficial opportunities to develop their future leadership skills at all levels.	AT/SLP/TF	April 2018	March 2019	SIL
5.	Ensure all perspective leaders are targeted and tracked throughout their profession to ensure future headteachers are developed rapidly and effectively	AT/SLP//TF	April 2018	March 2019	SIL
6.	Offer a menu of training opportunities for leaders, teachers and support staff on creating settings and systems which are inclusive and promote the wellbeing of all	CM	April 2018	March 2019	SIL

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

- Effectiveness – relationship between outcomes and impact
 - All work will have clear success criteria and impact monitoring will take place
 - Leadership support provided by regional officer and schools will be monitored closely to ensure effective impact

- Sustainability – including succession planning and professional development and capacity building
 - All work is about building capacity for the future so less finance and support is required
 - All programs are carefully developed to meet current and future needs
 - All programs address the professional standards
 - Individuals will be tracked through the leadership programs to assess impact and build capacity in delivery

- Collaborative advantage – making the most effective use of each other’s combined capacity
 - Collaborative working opportunities will be highlighted and facilitated through all levels of provision
 - Tracking of individuals throughout the leadership program offer will increase improvement capacity
 - Professional learning programs will further develop cluster, cross cluster and school to school working
 - Effective collaboration with other regions

- Added value - Gaining more than the optimum expectation.
 - Professional learning programs will facilitate further school driven support
 - Improved knowledge and skills will be secured in all staff participating in programs, this will support the region to develop leaders for the future
 - Professional learning programs will improve communication by ensuring that every school receives the same messages
 - Future leaders will be identified and supported to fast track. As a result, less schools will have vulnerable leadership.

- Quality -Securing better quality and a focus on improvement
 - Effective QA processes have been developed and will continue to be implemented to monitor the quality of all support to schools

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
Maes Area	Improving Teaching and Learning
Perchennog Plan Owner	Ian Altman
Aelodau'r Tim: Team Members:	Greg Morgan, Dave Barry, Mark Ford, Diane Evans, GCSE Project Leads, Leaders of Learning, Network Leaders of Learning, Stuart Jacob
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
Gweithred Cynllun Busnes Lefel 1: Level 1 Business Plan Objective: <ol style="list-style-type: none"> 1. Ensure Inspirational leadership has a positive impact on provision and standards 2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards. 3. Ensure strong and inclusive schools that are committed to equity and wellbeing 4. Deliver a system of robust assessment, evaluation and accountability 5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory) 6. Improve communication (mandatory) 7. Using digital systems to facilitate the delivery of the work stream (mandatory) 	
Level 2 outcomes to be achieved in your plan 2.1 All teachers use the professional standards. All schools have high quality teaching and as a result, the proportion of schools being judged to have good or better for teaching increases. Within school variation in the quality of teaching will reduce. 2.3 Shortcomings in teaching are quickly identified and rapid intervention is provided through a regional strategic programme. 2.7 The region collaborates effectively with all regions to establish a high quality professional learning offer for all leaders 4.1 All schools are provided with high quality support and challenge which a positive impact on improving the quality of standards, leadership and provision. As a result, the proportion of schools in any statutory category decreases and judged to be A or B increases. 4.3 All schools have effective and accurate tracking and target setting procedures which secure improved progress for all pupils 4.5 All schools have effective and accurate assessment processes which identify all pupils' strengths and next steps in learning.	

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

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

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

Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?

How do you plan to provide value for money in your area?

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

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

Draft Pending Joint Committee Approval

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
Maes Area	Professional learning for teachers and support staff
Perchennog Plan Owner	Ian Altman
Aelodau'r Tim: Team Members:	DA / IA / GM / LOLs / MDF / AE / TF
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
<p>Gweithred Cynllun Busnes Lefel 1: Level 1 Business Plan Objective:</p> <ol style="list-style-type: none"> 1. Ensure Inspirational leadership has a positive impact on provision and standards 2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards. 3. Ensure strong and inclusive schools that are committed to equity and wellbeing 4. Deliver a system of robust assessment, evaluation and accountability 5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory) 6. Improve communication (mandatory) 7. Using digital systems to facilitate the delivery of the work stream (mandatory) 	
<p>Level 2 outcomes to be achieved in your plan</p> <p>2.1 All teachers use the professional standards. All schools have high quality teaching and as a result, the proportion of schools being judged to have good or better for teaching increases. Within school variation in the quality of teaching will reduce</p> <p>2.2 All teachers will engage in professional research which impacts positively on the provision for pupils.</p> <p>2.5 All teachers at all stages of their professional development will have access to high quality professional learning and support to improve their practice.</p> <p>2.7 The region collaborates effectively with all regions to establish a high quality professional learning offer for all teachers</p> <p>3.1 All schools provide high quality care, support and guidance for their pupils which has positive impact on wellbeing and progress. As a result, the proportion of schools being judged to be good or better in these areas increases</p> <p>3.2 All school adhere to the regulations and guidance outlined in the ALN bill.</p>	

3.5 All schools are aware of the impact of Adverse Childhood Experiences and the school processes and systems as well as teaching and learning strategies that enable pupils to overcome resulting barriers to learning					
3.7 All schools have effective transition processes which support all pupils to progress through their education.					
3.8 All support staff development will have access to high quality professional learning and support to improve their practice.					
4.3 All schools have effective and accurate tracking and target setting procedures which secure improved progress for all pupils					
4.5 All schools have effective and accurate assessment processes which identify all pupils' strengths and next steps in learning.					
Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code
1.	Provide effective support for all teachers to engage with the Professional Teaching Standards and the Digital Professional Learning Framework to identify development opportunities	DB, IA, GM all LoLs	April 2018	April 2019	HQP
2.	Develop and implement a tool to support engagement with PTS and to effectively identify development opportunities	DB, all LoLs	April 2018	April 2019	HQP
3.	Network and secondary Leaders of Learning to provide effective support for teachers to develop and improve their practice	DB, IA all LoLs	April 2018	April 2019	HQP
4.	Network leaders of learning to develop opportunities for teachers to engage in research and use this well to inform and develop practice	DB, IA, All LoLs	April 2018	April 2019	HQP
5.	Provide collaborative school to school based professional learning opportunities, for example, informally through school use of DOLEN and formally through professional learning school studies (ie. MA&T, Post16, Rural deprivation).	MDF	April 2018	April 2019	HQP SIS
6.	Provide suitable support for all teachers to engage with the PLP to record and document their progress	DB, all LoLs	April 2018	October 2019	HQP
7.	Ensure all development opportunities follow are well informed and developed using the representative Boards	AE	April 2018	April 2019	HQP
8.	Engage as four regions and WG to develop an effective professional learning offer for all teachers and leaders across their career.	AE	April 2018	April 2019	HQP
9.	Audit school engagement with ITEs and identify effective practices	TF	September 2018	October 2018	HQP

10.	Leaders of Learning to develop links with ITE to provide support to students in readiness for new curriculum	IA, all LoLs	April 2018	April 2019	HQP
11.	Engage with and support the national developments with ITE and GTP	TF	April 2018	April 2019	HQP
12.	Deliver a common support and professional learning package for all NQTs in the region	TF	September 2018	April 2019	HQP
13.	Implement the mentor programme in clusters to ensure NQTs are effectively supported to develop their practice	TF	September 2018	April 2019	SIL
14.	Ensure all NQT programme follow the national agreed guidance and delivery a consistent approach across all 4 regions. Prepare for change	TF	April 2018	April 2019	SIL
15.	Ensure effective opportunities for all teacher to develop teaching to support the development of the new curriculum are provided regularly across the region.	DB, all LoLs, IA	April 2018	April 2019	C&A

Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?

How do you plan to provide value for money in your area?

Economy – minimising the resources used

- Avoid duplication of work in schools and the region
- Ensure Leaders of Learning provide effective and bespoke support to schools
- Schools will work together to provide better value for money and enhanced support

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

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

Effectiveness – relationship between outcomes and impact

- All work will have clear success criteria and impact monitoring will take place on a quarterly basis

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

Sustainability – including succession planning and professional development and capacity building

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

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

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

Added value - Gaining more than the optimum expectation.

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

TEMPLED CYNLLUN LEFEL 3 – 2018-19
LEVEL 3 PLAN TEMPLATE – 2018-19

Maes Area	A Curriculum for Wales, a Curriculum for Life
Perchennog Plan Owner	Dave Barry
Aelodau'r Tim: Team Members:	Alan Edwards, AOLE, Network LOLs

Cynllun Gweithredu 2018-19
Operational Plan 2018-19

Gweithred Cynllun Busnes Lefel 1:

Level 1 Business Plan Objective:

1. Ensure Inspirational leadership has a positive impact on provision and standards
2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.
3. Ensure strong and inclusive schools that are committed to equity and wellbeing
4. Deliver a system of robust assessment, evaluation and accountability
5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)
6. Improve communication (mandatory)
7. Using digital systems to facilitate the delivery of the work stream (mandatory)

Level 2 outcomes to be achieved in your plan

- 1.6 All leaders will be well supported and prepared for the implementation of 'A Curriculum for Wales, a curriculum for life'
- 2.1 All teachers will be well supported and prepared for the implementation of 'A Curriculum for Wales, a curriculum for life'
- 2.2 The region collaborates effectively with all regions to establish a high quality professional learning offer for all leaders
- 2.3 The region collaborates well with ITEs to ensure all teachers enter the profession well prepared and supported.
- 3.5 All schools are aware of the impact of Adverse Childhood Experiences and the school processes and systems as well as teaching and learning strategies that enable pupils to overcome resulting barriers to learning

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

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

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

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

Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?

How do you plan to provide value for money in your area?

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

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

Draft Pending Joint Committee Approval

TEMPLED CYNLLUN LEFEL 3 – 2018-19
LEVEL 3 PLAN TEMPLATE – 2018-19

Maes Area	Inclusive Education
Perchennog Plan Owner	Cressy Morgan
Aelodau'r Tim: Team Members:	Cressy Morgan, Sara Walters, SPT, DW

Cynllun Gweithredu 2018-19
Operational Plan 2018-19

Gweithred Cynllun Busnes Lefel 1:

Level 1 Business Plan Objective:

1. Ensure Inspirational leadership has a positive impact on provision and standards
2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.
3. Ensure strong and inclusive schools that are committed to equity and wellbeing
4. Deliver a system of robust assessment, evaluation and accountability
5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)
6. Improve communication (mandatory)
7. Using digital systems to facilitate the delivery of the work stream (mandatory)

Level 2 outcomes to be achieved in your plan

- 2.5 All teachers at all stages of their professional development will have access to high quality professional learning and support to improve their practice.
- 3.1 All schools provide high quality care, support and guidance for their pupils which has positive impact on wellbeing and progress. As a result, the proportion of schools being judged to be good or better in these areas increases
- 3.2 All schools adhere to the regulations and guidance outlined in the ALN bill in order to ensure best outcomes for pupils with ALN during this period of transition.
- 3.3 Shortcomings in provision for wellbeing and support are quickly identified and rapid intervention is provided through a regional strategic programme.
- 3.5 All schools are aware of the impact of Adverse Childhood Experiences and the school processes and systems as well as teaching and learning strategies that enable pupils to overcome resulting barriers to learning.
- 3.6 All schools make effective use of PDG which has a positive impact on progress and standards for vulnerable pupils.
- 3.7 All schools have effective transition processes which support all pupils to progress through their education.

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

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

Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?

How do you plan to provide value for money in your area?

Economy – minimising the resources used

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

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

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

Effectiveness – relationship between outcomes and impact

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

Sustainability – including succession planning and professional development and capacity building

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

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

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

Added value - Gaining more than the optimum expectation.

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

Quality -Securing better quality and a focus on improvement

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

Draft Pending Joint Committee Approval

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19				
Maes Area	Schools Causing Concern			
Perchennog Plan Owner	Aneirin Thomas			
Aelodau'r Tim: Team Members:	SLT, IA, SP, MF CHAdS			
Cynllun Gweithredu 2018-19 Operational Plan 2018-19				
Gweithred Cynllun Busnes Lefel 1: Level 1 Business Plan Objective:				
<ol style="list-style-type: none"> 1. Ensure Inspirational leadership has a positive impact on provision and standards 2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards. 3. Ensure strong and inclusive schools that are committed to equity and wellbeing 4. Deliver a system of robust assessment, evaluation and accountability 5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory) 6. Improve communication (mandatory) 7. Using digital systems to facilitate the delivery of the work stream (mandatory) 				
Level 2 outcomes to be achieved in your plan				
<p>1.1 All schools are well led and as a result, the proportion of schools in any statutory category reduces and judged A or B increases</p> <p>1.2 Shortcomings in leadership are quickly identified and rapid intervention is provided through a regional strategic programme.</p> <p>2.3 Shortcomings in teaching are quickly identified and rapid intervention is provided through a regional strategic programme</p> <p>3.3 Shortcomings in provision for wellbeing and support are quickly identified and rapid intervention is provided through a regional strategic programme.</p> <p>4.1 All schools are provided with high quality support and challenge which a positive impact on improving the quality of standards, leadership and provision. As a result, the proportion of schools in any statutory category reduces and A or B increases</p>				
Camau Gweithredu Actions	Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code

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

11.	Effective school leaders (senior and middle level) are identified through ChAd visits, school outcomes and LA feedback to develop a ' <i>regional lead school</i> ' matrix to contribute to school to school support programme.	MF	April 2018	April 2018	SIL
-----	---	----	------------	------------	-----

Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?

How do you plan to provide value for money in your area?

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

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19					
Maes Area		Resource management			
Perchennog Plan Owner		Katie Morgan			
Aelodau'r Tim: Team Members:		Finance Team, 151, BOC			
Cynllun Gweithredu 2018-19 Operational Plan 2018-19					
Gweithred Cynllun Busnes Lefel 1: Level 1 Business Plan Objective:					
<ol style="list-style-type: none"> 1. Deliver a system of robust assessment, evaluation and accountability 2. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory) 3. Improve communication (mandatory) 4. Using digital systems to facilitate the delivery of the work stream (mandatory) 					
Level 2 outcomes to be achieved in your plan					
Camau Gweithredu Actions		Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code
1.	Secure full compliance with Regional Consortia School Improvement Grant – quarterly reporting dates	KM / JH / BOC	April 2018	March 2019	Core
2.	Secure full compliance with Pupil Deprivation Grant.	KM / JH / BOC	April 2018	March 2019	EEW
3.	Evaluate all grant allocations to schools as part of VFM review – June 2018	Project Manager	June 2018	March 2019	EEW
4.	Internal audit performance and financial compliance review undertaken – Jan – March 2019	BOC / KM	Jan 2019	March 2019	Core

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

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

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

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

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19				
Maes Area	Research and Evaluation			
Perchennog Plan Owner	Mark Ford			
Aelodau'r Tim: Team Members:	DB / SLP / IA / SJ			
Cynllun Gweithredu 2018-19 Operational Plan 2018-19				
Gweithred Cynllun Busnes Lefel 1: Level 1 Business Plan Objective:				
<ol style="list-style-type: none"> 1. Ensure Inspirational leadership has a positive impact on provision and standards 2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards. 3. Ensure strong and inclusive schools that are committed to equity and wellbeing 4. Deliver a system of robust assessment, evaluation and accountability 5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory) 6. Improve communication (mandatory) 7. Using digital systems to facilitate the delivery of the work stream (mandatory) 				
Level 2 outcomes to be achieved in your plan				
1.1 All leaders utilise the Professional Leadership Standards to lead effective learning organisations and as a result are well led. Consequently, the proportion of schools in any statutory category reduces and judged to be a or increases				
1.2 Future leaders are identified. Targeted professional learning results in expressed routes to leadership at all levels.				
2.2 All schools develop as learning organisations enabling their staff to use research effectively to improve students' outcomes				
4.2 The system has accurate and robust self-evaluation and improvement planning processes, which promotes an effective learning organisation at all levels. This will result in improving the quality of standards, provisional and leadership.				
Camau Gweithredu Actions	Swyddog Cyfrifol	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code

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

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

Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?

How do you plan to provide value for money in your area?

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

TEMPLED CYNLLUN LEFEL 3 – 2018-19 LEVEL 3 PLAN TEMPLATE – 2018-19	
Maes Area	Support and Challenge
Perchennog Plan Owner	Yan James
Aelodau'r Tim: Team Members:	SPT / Challenge Advisers
Cynllun Gweithredu 2018-19 Operational Plan 2018-19	
Gweithred Cynllun Busnes Lefel 1: Level 1 Business Plan Objective: <ol style="list-style-type: none"> 1. Ensure Inspirational leadership has a positive impact on provision and standards 2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards. 3. Ensure strong and inclusive schools that are committed to equity and wellbeing 4. Deliver a system of robust assessment, evaluation and accountability 5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory) 6. Improve communication (mandatory) 7. Using digital systems to facilitate the delivery of the work stream (mandatory) 	
Level 2 outcomes to be achieved in your plan <ol style="list-style-type: none"> 1.1 All schools are well led and as a result, the proportion of schools in any statutory category reduces and judged to be A or B increases 1.2 Future leaders are identified and targeted professional learning results in expressed routes to leadership at all levels. 1.3 Shortcomings in leadership are quickly identified and rapid intervention is provided through a regional strategic programme. 1.7 All schools provide value for money for their pupils. 1.8 Local Authorities, the region and schools work collaboratively support the 21st century schools' agenda. 2.3 Shortcomings in teaching are quickly identified and rapid intervention is provided through a regional strategic programme. 3.1 All schools provide high quality care, support and guidance for their pupils which has positive impact on wellbeing and progress. As a result, the proportion of schools being judged to be good or better in these areas decreases 3.2 All school adhere to the regulations and guidance outlined in the ALN bill. 3.5 All schools are aware of effective practices to support all pupils to be ready to learn (ACE aware, attachment aware, attendance) and track the progress of all individuals successfully to secure positive progress. 	

3.7 All schools have effective transition processes which support all pupils to progress through their education.
 4.1 All schools are provided with high quality support and challenge which a positive impact on improving the quality of standards, leadership and provision. As a result, the proportion of schools in any statutory category reduces and judged to be A or B increases
 4.2 All schools have accurate and effective self-evaluation and improvement planning processes which result in improving the quality of standards, provisional and leadership.
 4.3 All schools have effective and accurate tracking and target setting procedures which secure improved progress for all pupils
 4.5 All schools have effective and accurate assessment processes which identify all pupils' strengths and next steps in learning.

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

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

Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?

How do you plan to provide value for money in your area?

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

TEMPLED CYNLLUN LEFEL 3 – 2018-19
LEVEL 3 PLAN TEMPLATE – 2018-19

Maes Area	LA Request Plan
Perchennog Plan Owner	Betsan O'Connor
Aelodau'r Tim: Team Members:	ERW MD, LA Directors of Education

Cynllun Gweithredu 2018-19
Operational Plan 2018-19

Gweithred Cynllun Busnes Lefel 1:

Level 1 Business Plan Objective:

1. Ensure Inspirational leadership has a positive impact on provision and standards
2. Ensure a high-quality education profession that has a positive impact on pupil progress and standards.
3. Ensure strong and inclusive schools that are committed to equity and wellbeing
4. Deliver a system of robust assessment, evaluation and accountability
5. Ensure implementation of the ERW Welsh Strategy and deliver a fully bilingual school improvement service across the region (Mandatory)
6. Improve communication (mandatory)
7. Using digital systems to facilitate the delivery of the work stream (mandatory)

Level 2 outcomes to be achieved in your plan

- 1.7 All schools provide value for money for their pupils.
1.8 Local Authorities, the region and schools work collaboratively support the 21st century schools' agenda.
3.2 All school adhere to the regulations and guidance outlined in the ALN bill.
3.6 All schools make effective use of PDG which has a positive impact on progress and standards for vulnerable pupils.
3.7 All schools have effective transition processes which support all pupils to progress through their education.

Camau Gweithredu Actions	Swyddog Cyfrifol Responsible Officer	Cychwyn Start	Cwblhau Completion	Côd cyllid Finance Code
------------------------------------	---	-------------------------	------------------------------	--------------------------------------

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

Sut ydych yn cynllunio i ddarparu gwerth am arian yn eich maes?

How do you plan to provide value for money in your area?

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

Annex 1

Core Budgeted Income	Original Budget	Projected Budget 18-19 £000's
Local Authority Contributions	250	250
Other Income	4	4
Grant Funding Administration	378	387
Total estimated Income	632	641
Core Budgeted Expenditure	Original Budget	Projected Budget 18-19 £000's
Staffing Costs		
Salaries, secondments, specialists	74	58
Core central staff	378	387
Travel, subsistence, training and development	5	6
IT Hardware & Mobiles	0	1
Development and Running Costs		
Rent and Accommodation	45	32
Stationary, telephone, photocopying	11	1
Translation	21	10
Software, marketing, R&E,	45	32
Service Level Agreements	135	179
Professional learning	-	-
External Audit	-	14
Delegated to Schools		
Passported on WG instruction		
Regional support, support work, task		
Delegated to Local Authorities		
Total Estimated Expenditure	714	720
Transfer from Reserves	82	79

2018-19 Grant Allocations

	Grant Offer £000's	Spent 17-18	Budget 18-19
RCSIG			
Curriculum and Assessment	919	0	919
Developing a high quality education	38,083	0	38,083
Leadership	329	0	329
Self-Improving System	568	0	568
Strong and inclusive schools	0	0	0
Total RCSIG Grant	39,899	0	39,899
RCSIDG Academic 17-18	822	-185	637
Review and Reform 17-18 (separated for transparency)	250	-63	187
Total of RCSIG Offer Letter 18-19	40,971	-248	40,723
PDG 18-19 Grant			24,011
17-18 Academic Grants residual balances			
Starter laith 17-18			190
NPQH			113
NQHT			585
A level			37
			925
Total 18-19 Grants			65,659

2018-19 Grants

For budgeting and business planning purposes, the new RCSIG is allocated according to the National Ministerial Priorities Grants received are allocated according to the ERW Business Plan priorities:

- Curriculum and Assessment (C&A)
- Developing the Profession (HQP)
- Leadership (SIL)
- School Improvement (SIS)
- Strong and Inclusive Schools (EEW)

The ERW Business Plan has adopted the National Mission Priority Areas and has developed the ERW Business Plan, with annex and budget around these themes.

The terms and conditions of the grant is carefully adhered to, and wherever possible

clear links are made between grants to enable greater value for money when planning expenditure.

Draft Pending Joint Committee Approval

A. Curriculum and Assessment

Curriculum and Assessment Budgeted Income	Projected Budget 18-19 £000's
RCSIG Curriculum & Assessment 18-19	919
Starter Iaith 17-18 Academic	190
Total estimated Income	1,109
Curriculum and Assessment Budgeted Expenditure	Projected Budget 18-19 £000's
Staffing Costs	
Salaries, secondments, specialists	176
Core central staff	48
Travel, subsistence, training and development	7
IT Hardware & Mobiles	3
Development and Running Costs	
Accommodation & Venue Hire	13
Stationary, telephone, photocopying	
Translation	8
Software, marketing, R&E, Professional learning	
Delegated to Schools	
Passported on WG instruction	120
Regional support, support work, task	734
Delegated to Local Authorities	
Unallocated Funds	0
Total Estimated Expenditure	1,109

B. Developing a high-quality education profession

Developing the Profession Budgeted Income	Projected Budget 18-19 £000's
RCSIG Developing the profession 18-19	38,083
RCSIDG Developing the profession (Academic)	637
Alevel 17-18	37
Total estimated Income	38,757
Developing the profession Budgeted Expenditure	Projected Budget 18-19 £000's
Staffing Costs	
Salaries, secondments, specialists	1,252
Core central staff	148
Travel, subsistence, training and development	144
IT Hardware & Mobiles	24
Development and Running Costs	
Accommodation & Venue Hire	26
Stationary, telephone, photocopying	3
Translation	51
Software, marketing, R&E,	80
Professional learning	480
Delegated to Schools	
Pass ported on WG instruction	1,410
Regional support, support work, task	2,504
Delegated to Local Authorities	32,635
Unallocated Funds	0
Total Estimated Expenditure	38,757

C. Leadership

Leadership Budgeted Income	Projected Budget 18-19 £000's
RCSIG Leadership 18-19	329
NPQH 17-18 Academic	113
Ext men 17-18 Academic	585
Total estimated Income	1,027
Leadership Budgeted Expenditure	Projected Budget 18-19 £000's
Staffing Costs	
Salaries, secondments, specialists	240
Core central staff	75
Travel, subsistence, training and development	8
IT Hardware & Mobiles	1
Development and Running Costs	
Accommodation & Venue Hire	52
Stationary, telephone, photocopying	
Translation	3
Software, marketing, R&E, Professional learning	12
Delegated to Schools	
Passported on WG instruction	
Regional support, support work, task	636
Delegated to Local Authorities	
Unallocated Funds	0
Total Estimated Expenditure	1,027

D. School Improvement

School Improvement Budgeted Income	Projected Budget 18-19 £000's
RCSIG School Improvement 18-19	568
Total estimated Income	568
School Improvement Budgeted Expenditure	Projected Budget 18-19 £000's
Staffing Costs	
Salaries, secondments, specialists	191
Core central staff	87
Travel, subsistence, training and development	4
IT Hardware & Mobiles	7
Development and Running Costs	
Accommodation & Venue Hire	26
Stationary, telephone, photocopying	
Translation	5
Software, marketing, R&E,	80
Professional learning	168
Delegated to Schools	
Passported on WG instruction	
Regional support, support work, task	
Delegated to Local Authorities	
Unallocated Funds	0
Total Estimated Expenditure	568

E. Strong and Inclusive Schools

Strong and Inclusive Schools Budgeted Income	Projected Budget 18-19 £000's
PDG	24,011
Total estimated Income	24,011
Strong and Inclusive Schools Budgeted Expenditure	Projected Budget 18-19 £000's
Staffing Costs	
Salaries, secondments, specialists	114
Core central staff	0
Travel, subsistence, training and development	6
IT Hardware & Mobiles	3
Development and Running Costs	
Accommodation & Venue Hire	13
Stationary, telephone, photocopying	
Translation	1
Software, marketing, R&E, Professional learning	38
Delegated to Schools	
Passported on WG instruction	
Regional support, support work, task	
Delegated to Local Authorities	23,836
Unallocated Funds	0
Total Estimated Expenditure	24,011

Annex 2 – Working with other regions



Draft Pending



CYD-BWYLLGOR ERW 16 GORFFENNAF 2018

PENNAETH AWDIT MEWNOL CONSORTIWM ERW BARN SICRWYDD FLYNYDDOL 2017-18

Pwrpas:

Cyflwyno barn flynyddol Pennaeth Awdit Mewnol ar effeithiolrwydd trefniadau llywodraethu, rheolaeth fewnol, rheolaeth risg a rheolaeth ariannol ERW i'r Cyd-Bwyllgor.

Argymhellion / Penderfyniadau Angenrheidiol:

Nodi Barn Sicrwydd Flynyddol Pennaeth Awdit Mewnol 2017-18

Rheswm:

Cynorthwyo ERW i hysbysu'r Datganiad Llywodraethu Blynyddol

Awdur: Jo Hendy	Swydd: Pennaeth Awdit Mewnol	Rhif Cyswllt: 01437 776213 E-Bost Joanne.hendy@pembrokeshire.gov.uk
---------------------------	--	---



**EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
16TH JULY 2018**

**ERW CONSORTIUM HEAD OF INTERNAL AUDIT ANNUAL
ASSURANCE OPINION 2017-18**

BRIEF SUMMARY OF PURPOSE OF REPORT

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 NONE	Legal YES	Finance YES	Risk Management Issues NONE	Staffing Implications NONE
<p>1. Legal</p> <p>Section 4 within the report highlights delays on reaching a consensus between the Local Authorities within ERW have delayed the Review & Reform Programme from progressing. This has also delayed the update of the Legal Agreement. These should be considered as Significant Governance Issues within the Annual Governance Statement. Section 4 within the report highlights that the Regional Code for Corporate Governance has not been adopted. This should be considered a Priority for Improvement in the Annual Governance Statement.</p>				
<p>2. Finance</p> <p>Section 4 within the report highlights the need for Local Authority contributions and ERW reserves to be reviewed. This should be considered a Priority for Improvement in the Annual Governance Statement.</p>				

CONSULTATIONS

Details of any consultations undertaken are to be included here
N/A

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

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

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
National Categorisation of Schools	Xyz1	County Hall, Carmarthen



**EDUCATION THROUGH REGIONAL WORKING (ERW)
Head of Internal Audit Annual Assurance Opinion 2017-18**

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 Joint Committee’s own assessment of the effectiveness of the system of internal control. 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 2017-18

- 2.1 The Internal Audit Plan for 2017-18 was a fully risk-based audit plan, which was agreed with the Managing Director and the Section 151 Officer and approved by the Joint Committee on the 1 December 2017.
- 2.2 The Internal Audit Plan for 2017-18 consisted of the following:
- Governance (follow up of previous audit recommendations and Annual Governance Statement 2016-17 Priorities for Improvement)
 - Financial Management
 - Business Plan Implementation & Value for Money
 - Preparation for the Introduction of the General Data Protection Regulations

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 2017-18, 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 Internal Audit Service has recently been subject to an External Assessment. 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 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. Delays on reaching a consensus between the Local Authorities within ERW have delayed the Review & Reform Programme progressing and resulted in Welsh Government withholding grant funding for 2018-19. This has also delayed the update of the Legal Agreement, in which weaknesses have been exposed during 2017-18. The Review & Reform Programme and the Legal Agreement should be considered as Significant Governance Issues for inclusion within the Annual Governance Statement 2017-18.
- Other areas identified within the Internal Audit review should be considered as Priority's for Improvement for inclusion within the Annual Governance Statement:

- Approval of the Regional Code of Corporate Governance;
- Review of Local Authority contributions and ERW reserves;
- School Support;
- Data Protection Legislation Compliance.



Mae'r dudalen hon yn wag yn fwriadol



CYD-BWYLLGOR ERW 16 GORFFENNAF 2018

DATGANIAD CYFRIFON 2017-18

Pwrpas:

Cymeradwyo ac arwyddo Cyfrifon ERW am 2017-18

Argymhellion / Penderfyniadau Angenrheidiol:

I'r Cyd-Bwyllgor gymeradwyo Datganiad Cyfrifon ERW am 2017-18

I Ddatganiad Cyfrifon ERW 2017-18 gael ei arwyddo gan y Cyfarwyddwr Cyllid, a Chadeirydd y Cyd-Bwyllgor

Rheswm:

I dderbyn cymerawdyaeth gan y Cyd-Bwyllgor

Awdur:

Jon Haswell

Swydd:

Cyfarwyddwr Cyllid
Swyddog S151 ERW

Rhif Cyswllt:

01437 775836

E-Bost
haswellj@pembrokeshire.gov.uk



**EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
16TH JULY 2018**

ERW STATEMENT OF ACCOUNTS 2017-18

BRIEF SUMMARY OF PURPOSE OF REPORT

- a) The ERW Joint Committee review the ERW Statement of Accounts for 2017-18 and consider the WAO Audit of Financial Statements Report and Audit Opinion (ISA 260).
- b) The ERW Statement of Accounts for 2017-18 be approved and signed by the Director of Finance (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	NONE	NONE
1. Legal As detailed in the report – Statutory requirement to approve the ERW Statement of Accounts for 2017-18 by 30 September 2018.				
2. Finance As detailed in report.				
3. Risk Management As detailed in report.				
4. Staffing Implications As detailed in report.				

CONSULTATIONS

ERW Statement of Accounts for 2017-18 was available for public inspection for 20 working days ending on 26 June 2018.

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

THERE ARE NONE



Mae'r dudalen hon yn wag yn fwriadol

ERW JOINT COMMITTEE

Report of: Director of Finance (ERW S151 Officer)

Date: 16 July 2018

ERW STATEMENT OF ACCOUNTS for 2017-18

1. ERW published its draft Statement of Accounts for 2017-18 on 30 May 2018 and aims to have them audited and approved by 16 July 2018. The deadlines required by the Accounts and Audit (Wales) Regulations 2014 were 30 June 2018 and 30 September 2018 respectively. The Accounts and Audit (Wales) (Amendment) Regulations 2018 will move these dates to 15 June 2019 and 15 September 2019 for the Statement of Accounts for 2018-19.
2. The Projected Budget Outturn for 2017-18 was considered by the ERW Joint Committee on 21 March 2018. The draft ERW Statement of Accounts for 2017-18 are subject to audit by ERW's external auditors, the Wales Audit Office (WAO). The WAO have commenced their audit and should be in a position to issue their Audit of Financial Statements Report and Audit Opinion (ISA 260) by the time of the ERW Joint Committee meeting on 16 July 2018.
3. The ERW Joint Committee need to review and formally approve the ERW Statement of Accounts for 2017-18, see Appendix A.
4. 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.
5. 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 2017-18 are outlined below:

- **Narrative Report** (The Explanatory Foreword until 2016-17) – This is 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.

6. The ERW Joint Committee review of the Statement of Accounts for 2017-18 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 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. There are three key changes to accounting standards that will impact on ERW over the next three years.

- IFRS9 Financial Instruments, effective 2018-19, will replace IAS39 and includes a new principles-based approach for the classification and measurement of financial assets. It also introduces a new impairment methodology for financial assets based on expected losses rather than incurred losses. This will result in earlier and more timely recognition of expected credit losses. The accounting requirements for financial liabilities are almost all carried forward unchanged from IAS39.
- IFRS 15 revenue from contracts with customers, effective 2018-19, introduces a principles-based five-step model for recognising revenue arising from contracts with customers. It is based on a core principle requiring revenue recognition to depict the transfer of promised goods or services to the customer in an amount that reflects the consideration the body expects to be entitled to, in exchange for those goods or services. It will also require more extensive disclosures than are currently required.
- IFRS 16 leases, effective 2019-20, will replace the current leases standard IAS 17. 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. This is a significant change in lessee accounting.

The impact of the above changes are not considered to be material.

The ERW Statement of Accounts have been prepared in compliance with the Code for 2017-18.

(b) **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 useful financial information continue to be employed:

- Relevance
- Comparability
- Verifiability

- Timeliness
- Understandability
- Materiality
- Faithful Representation
 - Completeness
 - Neutrality
 - Free from error
- Primacy of legislative requirements

(c) **Critical Judgments in Applying Accounting Policies and Estimation Risk**

In applying the accounting policies set out in the ERW Statement of Accounts for 2017-18, the ERW Joint Committee has made judgments about the complex transactions and those involving uncertainty in future years.

- There is a high degree of uncertainty about the future level of funding for local government. Therefore, whilst some grants may be reduced, given the small number of employees directly employed by ERW, there is insufficient evidence to conclude that the ERW Joint Committee activities will be severely impaired or reduced in future years.
- Welsh Government has consolidated many of the Regional Grants into one main grant for 2018-19, the Regional Consortia School Improvement Grant (RCSIG), with bimonthly payment schedules.
- 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

Issues potentially impacting the accounts in the future:		
Item	Risk	Potential Affect
Confirmation of regional position as delivery mechanism for School improvement	Increased funding from WG and subsequent expectations	Inability to respond to increasing expectations of regional working.
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
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.
Demographic Change	Assumptions Incorrect	Increased service & contractual costs
Grant Funding / Brexit	Loss of grant from Welsh Government & Europe	Reduction in service provision
Governance Review and Reform Programme	Decisions not made in timely manner	Delay in improvements Grant clawback or loss of grant funding
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

Issues potentially impacting the accounts in the future continued:		
Item	Risk	Potential Affect
Grant funding withheld by WG	ERW not adhering to regional nature of grant conditions	Schools do not access the support required.
Core LA funding not being received	Break-up of the Consortium	Loss of Welsh Government Grant Cessation of Regional working

(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 2017-18.

(e) **Internal Control Issues**

The ERW Head of Internal Audit Annual Assurance Opinion for 2017-18, to be considered by the ERW Joint Committee on 16 July 2018, confirms that there are no significant internal control issues which would impact upon the Statement of Accounts for 2017-18. 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 (Pembrokeshire County Council) received an assurance rating of “full” or “substantial”.

(f) **Wales Audit Office**

The WAO have commenced their audit of the ERW Statement of Accounts for 2017-18 and should be in a position to issue their Audit of Financial Statements Report and Audit Opinion (ISA 260) by the time of the ERW Joint Committee meeting on 16 July 2018.

7. The Director of Finance (ERW S151 Officer) and Head of Finance & Business Services (ERW Deputy S151 Officer) will support the ERW Joint Committee at the meeting in reviewing the ERW Statement of Accounts for 2017-18 and the specific matters highlighted above.

8. **RECOMMENDATIONS**

- The ERW Joint Committee review the ERW Statement of Accounts for 2017-18 and consider the WAO Audit of Financial Statements Report and Audit Opinion (ISA 260).
- The ERW Statement of Accounts for 2017-18 be approved and signed.

Glossary of Terms:

WAO - Wales Audit Office

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

CIES - Comprehensive Income & Expenditure Statement

SeRCOP - CIPFA Service Reporting Code of Practice

Mae'r dudalen hon yn wag yn fwriadol



Ein Rhanbarth ar Waith
Education through Regional Working

Ein Rhanbarth Ar Waith

Consortiwm De-orllewin a Chanolbarth Cymru

Datganiad o Gyfrifon 2017/18

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.



CYNNWYS	TUDALEN
1-9 ADRODDIAD – PERFFORMIAD ARIANNOL CRYNO	3-14
TYSTYSGRIF YR ARCHWILYDD	15
DATGANIAD O GYFRIFON	
Datganiad o Gyfrifoldebau ar gyfer y Datganiad o Gyfrifon	16 - 17
10. Datganiadau Ariannol CrEIDDIOL – Egwyddorion Sylfaenol	
10.1 Safonau Cyflwyno Adroddiadau Ariannol	18
10.2 Cysyniadau Cyfrifyddu	18
10.3 Dyfarniadau Beirniadol wrth Gymhwyso Polisiâu Cyfrifyddu a Risg Amcanu	19-20
10.4 Datganiad o Bolisiâu Cyfrifyddu	20-24
11. Datganiadau Ariannol Creiddiol– Cydrannau a Manylion	
11.1 Dadansoddiad Gwariant a Chyllid	25
11.2 Datganiad Incwm a Gwariant Cynhwysfawr	26
11.3 Datganiad Symudiad Cronfeydd	27
11.4 Mantolen	28
11.5 Datganiad Llif Arian	29
12. Nodiadau i'r Dadansoddiad Gwariant a Chyllid	
12.1 Nodiadau i'r Dadansoddiad Gwariant a Chyllid	30
13. Nodiadau ar y Cyfrif Incwm a Gwariant Cynhwysfawr	
13.1 Grantiau Cyllid	31-32
13.2 Costau Pensiynau	33-34
13.3 Costau eithriadol	34
13.4 Manylion Taliadau	34
13.5 Ffioedd archwilio	34
13.6 Partïon Perthynol	35
13.7 Dyrannu Adnoddau	35-36
14. Nodiadau i'r Datganiad Symudiad Cronfeydd	
14.1 Addasiad rhwng Sail Gyfrifyddu a'r Sail Gyllido Reoleiddiol	37
14.2 Cronfeydd Wrth Gefn Defnyddiadwy	37
14.3 Cronfeydd Wrth Gefn Andefnyddiadwy	37
15. Nodiadau i'r Fantolen	
15.1 Dyledwyr a Chredydwyr	38-39
15.2 Arian a chywerthoedd Arian	39
15.3 Rhwymedigaeth Amodol	40
15.4 Cronfa Bensiynau	40

1.0 Adroddiad

1.1 Cyflwyniad

Mae datganiad Cyfrifon ERW ar gyfer 2017-18 yn gofnod o'r sefyllfa ariannol am y flwyddyn. Mae adran hon yr adroddiad ar ffurf newydd a'i bwriad yw cyfleu diben ERW, sut wnaeth o ran ei strategaeth gyflawn ac ar gyfer dangosyddion perfformiad yn ystod y flwyddyn a sut mae wedi dyrannu ei adnoddau'n unol â'r canlyniadau a fwriadwyd. Mae'n dangos perfformiad cyfunol yn ystod y flwyddyn a pha mor dda fydd ERW'n gallu delio â'r heriau a ddaw a dal i gyflenwi Addysg trwy weithio'n rhanbarthol. Mae'n dweud hanes ERW trwy roi barn gyfannol, glir ac wedi'i strwythuro'n dda o'i strategaeth, llywodraethu, perfformiad a rhagolwg.

2.0 Trosolwg Trefnyddol ac Amgylchedd Allanol

2.1 Ffeithiau Allweddol ynghylch ERW

Cynghrair o chwe awdurdod lleol yw ERW – Cyngor Sir Gâr, Cyngor Sir Penfro, Cyngor Sir Ceredigion, Cyngor Sir Powys, Cyngor Bwrdeistref Sirol Castell-nedd Port Talbot a Chyngor Dinas a Sir Abertawe. Caiff ei lywodraethu gan gydbwyllgor cyfansoddiadol cyfreithiol. Mae ERW'n darparu un gwasanaeth effeithiolrwydd ysgolion proffesiynol rhanbarthol integredig sy'n hybu gwella ysgolion a chyrhaeddiad dysgwyr ledled tiriogaethau cyfun chwe awdurdod lleol yn rhanbarth De-orllewin a Chanolbarth Cymru o gwmpas tri chanolbwynt:

- Sir Gâr a Sir Benfro
- Ceredigion a Phowys
- Castell-nedd Port Talbot ac Abertawe

2.2 Cydbwyllgor

Ffurfiwyd y Cydbwyllgor o Arweinwyr y chwe Awdurdod Lleol gyda chymorth y chwe Prif Weithredwyr. Caiff ei gynghori gan y Bwrdd Gweithredol, Swyddogion Statudol, arbenigwyr gwella ysgolion allanol a chynrychiolwyr Penaethiaid. Bydd Archwiliad Mewnol a Swyddfa Archwilio Cymru'n cyflwyno adroddiadau'n annibynnol i'r Cydbwyllgor. Y Cynghorydd Ellen ap Gwynn, Arweinydd Cyngor Sir Ceredigion, sy'n cadeirio'r Cydbwyllgor.

2.3 Bwrdd Gweithredol

Ffurfiwyd y Bwrdd Gweithredol o Gyfarwyddwyr Addysg y chwe awdurdod lleol, y Rheolwr Gyfarwyddwr, y Swyddog Adran 151 / Dirprwy Swyddog Adran 151 (pan fo'n berthnasol) ac aelodau allanol.

2.4 Strwythur Rheoli

Yn ystod 2017-18, newidiodd swyddi'r Prif Weithredwr Arweiniol a'r Cyfarwyddwr Addysg Arweiniol:

- **Prif Weithredwr Arweiniol** – cymrodd Phil Roberts (Prif Weithredwr Abertawe) yr awenau oddi ar Mark James (Prif Weithredwr Sir Gâr).
- **Cyfarwyddwr Addysg Arweiniol** – cymrodd Ian Budd (Cyfarwyddwr Addysg Powys) yr awenau oddi ar Aled Evans (Cyfarwyddwr Addysg Castell-nedd Port Talbot)

Yn ystod 2017-18, y **Swyddog Adran 151** oedd Jon Haswell (Cyfarwyddwr Cyllid Sir Benfro), y **Swyddog Arolygu** oedd Elin Prysor (Swyddog Arolygu Ceredigion) a'r **Rheolwr Gyfarwyddwr** roedd Betsan O'Connor.

2.5 Gweledigaeth ERW

Gweledigaeth ERW yw "Rhwydwaith ysgolion sy'n gwneud yn dda iawn yn gyson ledled y rhanbarth gyda phob ysgol yn cynnig safonau addysgu uchel dan arweinyddiaeth dda fel bod holl ddysgwyr yn cyrraedd eu llawn allu".

2.6 **Cenadwri ERW**

Cenadwri ERW yw “Meithrin gallu ysgolion trwy gymorth, her ac ymyriad i ddod yn sefydliadau hunanwelliannol, cydnerth sydd o hyd yn gwella canlyniadau i ddysgwyr”.

2.7 **Ffynonellau Arian**

Daw cymorth ariannol ERW o ddwy brif ffynhonnell – cyfraniad blynyddol y chwe awdurdod lleol a grant Llywodraeth Cymru. Dywed un o'r chwe awdurdod lleol nad yw wedi cyllidebu ei gyfraniad ar gyfer 2018-19 ac nad yw'n bwriadu ei dalu.

3.0 **Llywodraethu**

3.1 **Cod Rhanbarthol o Lywodraethu Corfforaethol**

Cymeradwywyd y Cod Llywodraethu Rhanbarthol diwygiedig (gan gynnwys y Fframwaith Moesegol) gan y Cydbwyllgor ar 21 Medi 2017.

3.2 **Datganiad Llywodraethu Blynyddol**

Cymeradwywyd y Datganiad Llywodraethu Blynyddol ar gyfer 2016-17 gan y Cydbwyllgor ar 21 Medi 2017. Nid oedd yn cynnwys unrhyw Faterion Llywodraethu Arwyddocaol ond roedd yn cynnwys pump o Flaenoriaethau er gwella, i gyd yn nodi camau penodol i'w cymryd yn ystod 2017-18:

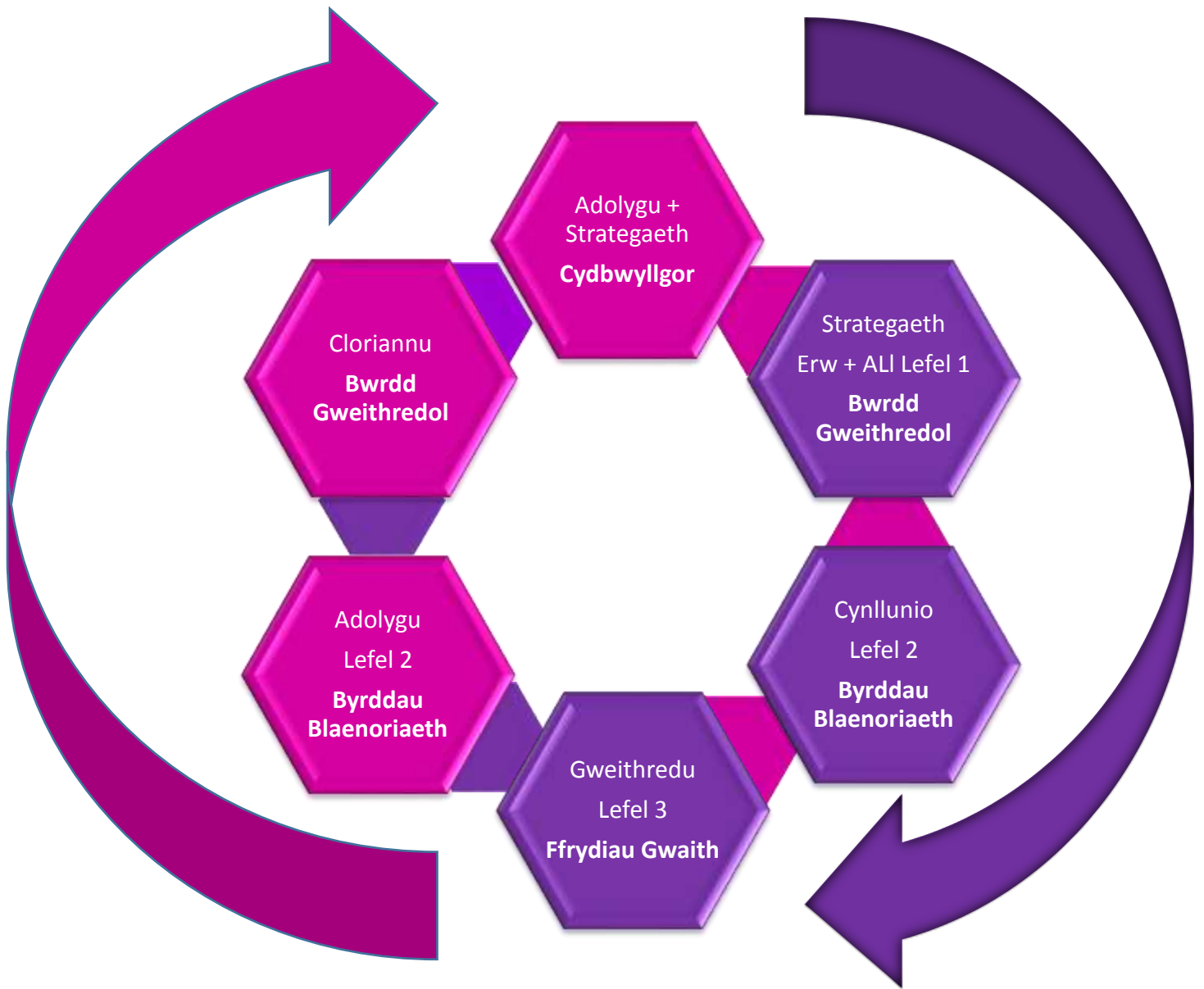
- Mae angen ail ysgrifennu'r Cod Lleol o Lywodraethu Corfforaethol ar gyfer ERW yn unol â gofynion Fframwaith Cyflawni Llywodraethu Da mewn Llywodraeth Leol 2016 CIPFA.
- Mae angen adolygu a diweddarau Cytundeb Cyfreithiol ERW, a fyddai'n cynnwys manylion y Cytundebau Lefel Gwasanaethu rhwng ERW ac awdurdodau priodol, ar ôl ymgynghori â'r Swyddog Arolygu, y Swyddog Adran 151 a'r Cyfarwyddwr Arweiniol.
- Mae ERW yn dibynnu ar gymorth grant Llywodraeth Cymru. Arweiniodd oediadau cyn talu grant dyledus o 2016-17 at bwysau ariannol ar y Banciwr Arweiniol. Hefyd mae Llywodraeth Cymru'n oedi cyn cadarnhau cymorth ariannol ar gyfer 2017-18, sy'n rhoi pwysau ar gynllunio'r cynllun busnes a pha mor gyraeddadwy yw. Mae unrhyw swyddi sy'n ddibynol ar gymorth grant hefyd yn cynrychioli perygl ariannol i ERW pe bai'r cymorth ariannol yn dod i ben.
- Dylai cynllun busnes ERW gyd-fynd â phatrwm ariannol y Consortiwm i alluogi cynllunio effeithiol o fewn yr adnoddau sydd ar gael.
- Mae angen cymhwysu cymorth Cynghorwyr Herio i ysgolion yn gyson yn unol ag angen dynodedig a'i gofnodi, fel bod modd mesur effaith cymorth yn effeithiol.

Bydd y Cydbwyllgor yn ystyried y Datganiad Llywodraethu Blynyddol ar gyfer 2017-18 a chymryd y camau dywededig ar 16 Gorffennaf 2018.

3.3 **Proses Llywodraethu ac Atebolrwydd**

Mae Proses Llywodraethu ac Atebolrwydd i'w gweld isod.

Proses Llywodraethu ac Atebolrwydd



3.4 **Craffu**

Y Cydbwyllgor sy'n arwain holl ffrydiau gwaith a gweithgaredd yn lleol ac yn rhanbarthol fel ei gilydd ac mae'n atebol yn lleol. Bydd Cadeiryddion ac Is-gadeiryddion Pwyllgorau Craffu Addysg y chwe Awdurdod Lleol yn cyfarfod ddwywaith y flwyddyn fel Grŵp Craffu i ystyried cynlluniau gwaith craffu a gwneud ceisiadau'n uniongyrchol i'r Cydbwyllgor.

3.5 **Bwrdd Cynrychiolwyr Penaethiaid**

Ffurfiwyd y Bwrdd Cynrychioli Penaethiaid o Gadeirydd neu Gynrychiolydd pob cymdeithas Benaethiaid yn y chwe awdurdod lleol. Ei nod yw gweithredu fel cyfeirbwynt i ERW o ran ei ryngwyneb gydag arweinwyr ysgolion.

4.0 **Patrwm Gweithredol**

4.1 **Cynllun Busnes ERW**

Mae Cynllun Busnes tair blynedd yn bodoli i gefnogi blaenoriaethau a chymau gweithredu cyfunol Consortiwm ERW. Caiff y Cynllun Busnes ei adolygu a'i ddiweddarau bob blwyddyn, gydag adroddiad rheolaidd ar gynnydd i'r Cydbwyllgor. Mae Cynllun Busnes 2016-19 yn egluro sut fydd ERW yn gwella a datblygu Patrwm Cenedlaethol Gwella Ysgolion ac yn cyflawni blaenoriaethau'r Gweinidog yn 'Cymwys am Oes'.

Ystyriodd y Cydbwyllgor ddrafft cyntaf Cynllun Busnes 2018-21 ar 21 Mawrth 2018. Mae'r Cynllun Busnes yn cynnwys holl flaenoriaethau strategol fydd yn arwain gwaith y gwasanaeth rhanbarthol gwella ysgolion. Mae'n cyd-fynd â Chenhadaeth Genedlaethol Llywodraeth Cymru ac mae'n ymgorffori blaenoriaethau a nodwyd gan bob un o'r chwe awdurdod lleol.

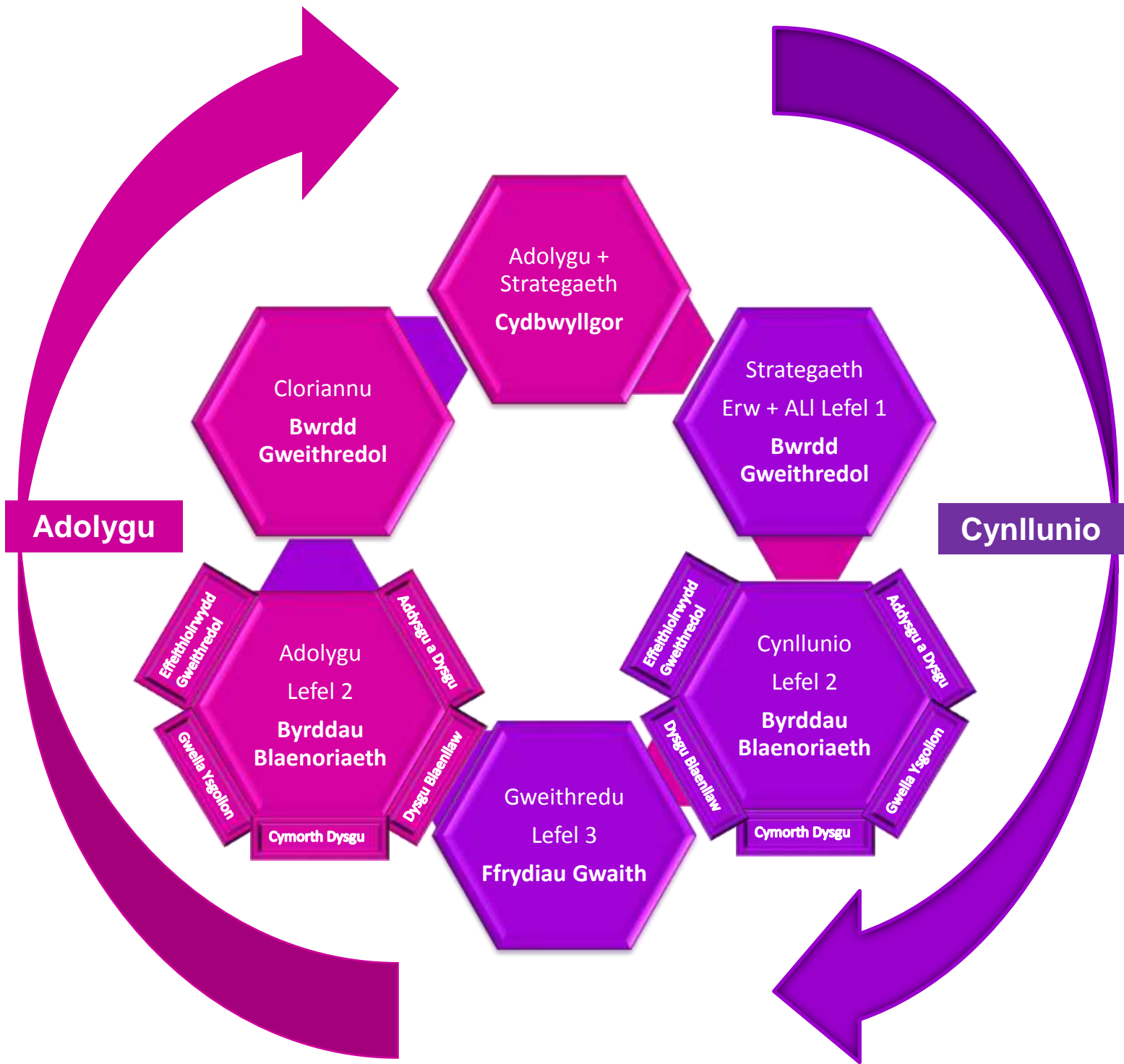
4.2 **Fframwaith Rheoli Perfformiad**

Fel Awdurdod Lleol cyflogi ar gyfer ERW, caiff Fframwaith Rheoli Perfformiad Cyngor Sir Penfro, dyddiedig Rhagfyr 2017, ei ddefnyddio. Trwyddo fe all holl staff sy'n gweithio i ERW nodi sut mae eu gwaith yn cyfrannu at gyflawni amcanion cyflawn y sefydliad. Caiff hyn ei wneud trwy lunio a chyhoeddi hierarchaeth o gynlluniau ymochrol, gyda'r cynlluniau haen uchaf yn disgrifio amcanion ERW, yn pennu'r cyfeiriad strategol ac yn cymryd safbwynt hirdymor. Mewn cyferbyniad, caiff cynlluniau adolygu perfformiad swyddogion unigol eu hadolygu bob blwyddyn ac, mewn llawer achos, ddwywaith y flwyddyn. Caiff y cyswllt rhwng y cynlluniau hyn ei gyfeirio ato'n aml fel y "Llinyn Aur".

4.3 **Cylch Cynllunio a Chlориannu Busnes**

Mae'r Cylch Cynllunio a Chlориannu Busnes i'w weld isod.

Cylch Cynllunio a Gwerthuso



5.0 Peryglon a Chyfleoedd

5.1 Rheoli Peryglon Busnes

Mae cofrestr peryglon ERW yn dal y peryglon cyfundrefnol o fewn ERW ac fe'i rhannwyd yn amrywiol gofrestri peryglon unigol. Caiff peryglon eu sgorio mewn matrices effaith / tebygolrwydd. Caiff y cofrestri Peryglon Canolog ac Ariannol eu cwblhau gan Reolwr Gyfarwyddwr ERW a chaiff cofrestri peryglon gwella ysgolion yr Awdurdod Lleol eu cwblhau gan swyddogion ymhob Awdurdod Lleol priodol.

5.2 Cofrestr Peryglon ERW (Bygythion) yn 2017-18

Fe nododd cofrestr peryglon ERW y peryglon hynny i gyflawni amcanion Cynllun Busnes ERW. Fel dogfen fyw, caiff ei diwygio a'i diweddarau'n barhaol ac fe'i hadolygwyd yn ffurfiol ddiwethaf gan y Cydbwyllgor ar 21 Mawrth 2018. Caiff y Peryglon Canolog ac Ariannol a'u sgôr perygl gweiddilliol a'u sgorau CMG (coch, melyn a gwyrdd) ar ddiwedd y flwyddyn eu dangos isod:

- Canolog - ymweliadau Estyn yn peri gosod yr ALI mewn mesurau dilynol / arbennig neu angen rhagor o sylw (Melyn 9).
- Canolog - Arolwg o'r Rhanbarth neu unrhyw ALI unigol yn gweld bod safonau, darpariaeth neu arweinyddiaeth yn llai na digonol (Melyn 6).
- Canolog - Gallu annigonol y Tîm Canolog a'r Tîm Cynghorwyr Herio i gyflawni'r Cynllun Busnes i safon uchel (Melyn 9).
- Canolog - Estyn / SAC / LIC / Hunangloriannu'n gweld bod Llywodraethu a sylfaen Gyfreithiol ERW darganfu yn aneffeithiol o ran sicrhau gwella cyson ar draws holl ALI (Gwyrdd 4).
- Canolog - Cymorth ac ymyriad ynghyd â chynlluniau a strategaethau lleol heb fod yn arwain at wella CSP (Melyn 9).
- Canolog - Peidio â rhoi sylw i neu weithredu meysydd allweddol Cynllun Busnes ERW (Coch 12).
- Ariannol - Cymorth ariannol LIC heb fod yn brydlon gan beri tanwario ar ddiwedd y flwyddyn ariannol (Melyn 6).
- Ariannol - Effaith a fesurwyd heb fod yn adlewyrchu gwerth am yr arian ar ganlyniadau gwaith ERW (Gwyrdd 1).
- Ariannol - ALI unigol heb gydymffurfio â Rheoliadau Grant ac ALI eraill yn rhoi sicrwydd cyfyngedig i CSP (Gwyrdd 4).
- Ariannol - Llywodraeth Cymru heb ei ariannu'r rhanbarth yn deg o ran nifer yr ysgolion, disgyblion ac athrawon (Gwyrdd 1).
- Ariannol - Pwysau ariannol ar bob ALI yn arwain at doriadau'n effeithio ar wasanaethau ysgol (Coch 12).
- Ariannol - Y rhanbarth wedi derbyn dau lythyr oddi wrth Lywodraeth Cymru'n amlinellu'r pryderon nad yw ERW yn defnyddio ei "Grantiau Rhanbarthol" o fewn ysbryd y telerau ac amodau. Perygl y gall cymorth ariannol gael ei dynnu'n ôl (Coch 12).

Ar 21 Mawrth 2018, derbyniodd a chymeradwyodd y Cydbwyllgor gofrestr peryglon ERW ac eithrio'r elfen Ganolog. Mynnwyd iddi gael ei hadolygu gan y chwe Chyfarwyddwr a'i hailgyflwyno i gyfarfod nesaf y Cydbwyllgor.

5.3 **Peryglon Ariannol Allweddol ar gyfer Pennu Cyllideb 2018-19**

Isod mae rhai o'r peryglon allweddol a ystyriodd ERW wrth amcangyfrif yr alldro ar gyfer 2017-18 a phennu cyllideb 2018-19:

- Nododd y Cydbwyllgor y peryglon i'r rhanbarth o dderbyn faint o gyllid creiddiol a gaiff a'r effaith ar gronfeydd y rhanbarth yn y tymor canolig, gyda newidiadau sydd i'w disgwyl i strwythur a gweithrediadau ERW.
- Bydd canlyniad Rhaglen Adolygu a Diwygio ERW yn penderfynu natur a maint peryglon ariannol at y dyfodol. Beth bynnag yw strwythur y dyfodol, rhaid i ni sicrhau cael gwerth am yr arian o bob agwedd ar ERW.

5.4 **Cyfleoedd**

Rhoddodd Rhaglen Adolygu a Diwygio ERW, a ddechreuodd yn hydref 2017, gyfle i ERW adolygu a diwygio ei weithrediadau, ond mae'r rhaglen hon ar hyn o bryd yn aros am Batrwm Cenedlaethol Gwella Ysgolion ar ei newydd wedd gan Lywodraeth Cymru. Tra'r oedd hwn yn gyfle i ERW, mae perygl y gall y grant o £250k a ddyfarnwyd gan Lywodraeth Cymru ar gyfer Rhaglen Adolygu a Diwygio ERW gael ei dynnu'n ôl os na fydd cynnydd.

6.0 **Strategaeth a Dyrannu Adnoddau**

6.1 **Dyraniadau Grant**

At ddibenion cyllidebu a chynllunio busnes, caiff y grantiau a dderbynnir eu dyrannu yn ôl blaenoriaethau Cynllun Busnes ERW:

- Arwain Dysgu
- Dysgu ac Addysgu
- Cefnogi Dysgu
- Gwella Ysgolion
- Effeithiolrwydd Gweithredol (yn rhan o'r 4 blaenoriaeth arall)

Fe all rhai grantiau gael eu dyrannu i fwy nag un maes blaenoriaethol.

Mae diweddariad yn yr Adroddiad Cyllid a gaiff y Cydbwyllgor ymhob cyfarfod.

6.2 **Cymorth Grant Llywodraeth Cymru**

Caiff amrywiol grantiau Llywodraeth Cymru a dderbyniwyd yn 2017-18 eu hamlinellu yn Nodyn 4.1. Ar gyfer 2018-19, newid allweddol yw cyflwyno Grant Gwella Ysgolion y Consortia Rhanbarthol, fydd yn disodli llawer o'r grantiau rhanbarthol fel un prif grant.

7.0 **Perfformiad**

7.1 **Hysbysu Perfformiad**

Caiff perfformiad rhanbarthol o ran canlyniad arholiadau a chynnydd wrth weithredu'r Cynllun Busnes ei hysbysu'n rheolaidd i'r Cydbwyllgor.

7.2 **Cyflwyno Adroddiadau Ariannol**

Bydd y Swyddog Adran 151 yn rhoi Adroddiad Cyllid i'r Cydbwyllgor ymhob un o'i gyfarfodydd.

7.3 Perfformiad Ariannol Cryno ar gyfer 2017-18

Mae'r perfformiad ariannol cryno'n rhoi trosolwg bras o sefyllfa ariannol y Consortiwm fel yr oedd pethau ar 31 Mawrth 2018. Yn y paragraffau canlynol, mae'r sefyllfa ariannol derfynol ar gyfer 2017-18 mewn cymhariaeth â'r amcangyfrif gwreiddiol a gytunwyd gan Gydbwyllgor ERW ar 20 Chwefror 2017 ac ystyriaeth o gyllideb ddrafft a sefyllfa ariannol y Tîm Canolog ar gyfer 2017-18 a gymeradwywyd gan y Cydbwyllgor ar 21 Mawrth 2018.

7.3.1 GWARIANT REFENIW

Y Tîm Canolog	2017-18		2017-18	2017-18	2016-17
	Y Tîm Canolog		Grantiau	Cyfanswm	Cyfanswm
	Amcangyfrif Gwreiddiol £000	Gwariant Gwirioneddol £000	Gwariant Gwirioneddol £000	Gwariant Gwirioneddol £000	Gwariant Gwirioneddol £000
Gwariant Gros					
Cyflogeion	439	450	2,540	2,990	1,492
Eiddo	33	32	-	32	32
Cludiant	5	1	61	62	35
Cyfieithu	35	11	70	81	91
Cyflenwadau a Gwasanaethau	94	146	1,106	1,252	1,384
Taliadau i ysgolion trwy'r Awdurdodau Lleol am waith penodol	-	-	3,115	3,115	1,608
Hwyluso	-	14	198	212	174
Grantiau a Drosglwyddwyd i ALL	-	-	62,712	62,712	63,527
Cyfanswm y Gwariant Gros	606	654	69,802	70,456	68,343
Incwm					
Cyfraniadau Aelod-Awdurdodau	(250)	(250)	0	(250)	(250)
Grant Llywodraeth Cymru	(150)	(340)	(69,538)	(69,878)	(67,802)
Cyfraniadau gan Gonsortia Eraill	-	-	-	-	- 33.00
Incwm Grant Arall	-	-	- 264	- 264	- 307
Incwm Amrywiol	- 12	- 4	-	- 4	- 21
Cyfanswm yr Incwm	(412)	(594)	(69,802)	(70,396)	(68,413)
Gwariant Clir	194	60	0	60	(70)
Arian a Neilltuwyd o'r Gronfa	- 194	- 60	-	- 60	-
Arian a Neilltuwyd i'r Gronfa	-	-	-	-	70

7.3.2 Y GYLLIDEB A'R SEFYLLFA GYLLIDO, 2018/19

Y Tîm Canolog	2018-19
	Amcangyfrif o Gwariant £000
Gwariant Gros	
Cyflogeion	452
Eiddo	45
Cludiant	5
Cyfieithu	21
Cyflenwadau a Gwasanaethau	191
Cyfanswm Gwariant Crynswth	714
Incwm	
Cyfraniadau gan Aelod-Awdurdodau *	(250)
Grant Llywodraeth Cymru	(378)
Incwm Amrywiol	(4)
Cyfanswm yr Incwm	(632)
Gwariant Clir	82
Arian a Neilltuwyd o'r Gronfa	(82)

*Mae Cyngor Sir Castell-nedd Port Talbot wedi dweud na fydd yn cyfrannu yn 2018-19

Sylwadau ar Berfformiad Refeniw 2017/18

Daeth gwariant crynswth Consortiwm ERW yn 2017-18 i £70.45 miliwn, oedd yn cynnwys £62.7 miliwn o grantiau a drosglwyddwyd yn uniongyrchol i'r chwe awdurdod lleol cyfansoddol.

Derbyniodd Cydbwyllgor a Bwrdd Gweithredol ERW adroddiadau rheolaidd ar y gyllideb drwy gydol y flwyddyn a diweddariad ar adnoddau grant ychwanegol wrth iddynt ddod ar gael. Mae holl adroddiadau'r Cydbwyllgor i'w gael ar wefan ERW www.erw.cymru.

Cynyddodd y Tîm Canolog a'i allu i gefnogi'r rhanbarth yn ystod 2017-18, trwy gymorth gweithwyr proffesiynol arbenigol a secondiwyd o'r 6 Awdurdod Lleol yn ystod y flwyddyn am £1.927m, ac a gyllidwyd o amrywiol ffrydiau cymorth grant. Gwnaed adnoddau ychwanegol sylweddol ar gael i'r rhanbarth yn ystod y flwyddyn ar fyr rybudd, nad oedd yn cynorthwyo cynllunio cydlynol. Fodd bynnag, mae hyn wedi caniatáu talu cyflogau proffesiynol o grantiau, a chynorthwyo lleihau'r costau cyffredinol craidd. Caniatodd hyn i'r rhanbarth achub ar bob cyfle i feithrin ei allu i arwain newid, arloesi a chynorthwyo ysgolion ddod yn sefydliadau hunanwelliannol cydnerth. O ganlyniad, gwnaed mwy o daliadau i ysgolion i wella eu gallu. Aeth Cyflenwadau a Gwasanaethau uwchlaw'r gyllideb yn ystod 2017-18, a rhoddwyd adroddiadau arolygu i'r Cydbwyllgor i'w wneud yn ymwybodol o'r costau ychwanegol yn ystod y flwyddyn. Mae costau ychwanegol yn cynnwys cost systemau ar ddylunio graffig, argraffu a phapurach ar gyfer arolwg ERW ac amrywiaeth o ddeunyddiau hyfforddi eraill nad oedd modd eu dosrannu i gymorth grant oherwydd cyfyngiadau ar gostau gweinyddol, yn ogystal â'r angen i ffurfioli amryw CLG gydag Awdurdodau partner, na chyllidebwyd yn llawn ar ei gyfer ar ddechrau'r flwyddyn.

Casglwyd cyfraniadau'r awdurdod lleol o £250k ar gyfer 2017-18 gan y chwe phartner. Yn wahanol i gonsortia eraill, nid yw ERW yn cyflogi Cynghorwyr Herio Gwella Ysgolion yn uniongyrchol. Cânt eu cyflogi gan bob Awdurdod Lleol a gweithiant yn gydweithredol yn y tri chanolbwynt ardal a'r rhanbarth cyfan yn ôl yr angen i gyflenwi gwasanaeth effeithiol. Felly, nid yw ERW yn cyflogi'n uniongyrchol ond Tîm Canolog gweinyddol bach, cynyddol, i gynorthwyo'r Rheolwr Gyfarwyddwr.

Rhannwyd y cyfraniadau at gostau'r Tîm Canolog rhwng y chwe Awdurdod Lleol yn ôl niferoedd y disgyblion ar gyfer 2017/18:

Awdurdod Lleol	% y Disgyblion yn y Rhanbarth	Cyfraniad
Sir Gaerfyrddin	21.0%	£52,500
Ceredigion	7.4%	£18,500
Castell-nedd Port Talbot	16.1%	£40,250
Sir Benfro	13.7%	£34,250
Powys	14.0%	£35,000
Dinas a Sir Abertawe	27.8%	£69,500
Cyfanswm	100.0%	£250,000

Defnyddiwyd y canrannau hyn hefyd i ddsrannu cronfeydd ar draws y chwe awdurdod lleol.

Talwyd £340k o gostau'r Tîm Canolog gan amrywiol grantiau Llywodraeth Cymru.

7.3.3 Goblygiadau a Risgiau

Nid oes disgwyl bod unrhyw ymrwymiadau neu ddyledion heb gyllideb ar eu cyfer yn deillio o 2017-18 na all y Consortiwm eu talu. Fodd bynnag, mae cwmpas amrywiol ffrydiau cymorth grant yn dal i gynyddu, ac mae ffurf a statws y sefydliad yn y dyfodol yn dibynnu'n rhannol ar ganlyniad ystyriaethau Llywodraeth Cymru o gydweithredu a gweithio ar y cyd yn y dyfodol, a Rhaglen Adolygu a Diwygio ERW ei hun.

Caiff meysydd peryglon eu nodi hefyd yn nodyn y Rhwymedigaethau Amodol 6.3.

7.3.4 BUDDSODDIAD CYFALAF

Nid oedd unrhyw wariant cyfalaf yn 2017-18. Caiff grantiau cyfalaf Llywodraeth Cymru eu rhoi'n uniongyrchol i'r awdurdod lleol perthnasol.

7.3.5 ASEDAU A RHWYMEDIGAETHAU

Asedau Cyfredol a Rhwymedigaethau Cyfredol

Cyfanswm gwerth dyledwyr ERW oedd £10.197m, sef incwm grant dyledus o Lywodraeth Cymru'n bennaf. Ni nodwyd unrhyw faterion mewn cysylltiad ag amharu ar y rhain neu unrhyw asedau cyfredol eraill.

Ni nodwyd unrhyw faterion o ran setlo rhwymedigaethau cyfredol, yn amodol ar y Grant Adolygu a Diwygio a grybwyllwyd yn nodyn 15.3.

Atebolrwydd Pensiynau

Mae ERW yn cyfranogi mewn dau gynllun pensiwn - Cronfa Bensiynau Dyfed a Chronfa Bensiynau Athrawon.

Cynllun Pensiynau Dyfed: cynllun buddiant diffiniedig gyda chronfa sy'n cael ei weinyddu gan Gyngor Sir Gâr, y mae cyflogeion a Chydbwyllgor ERW fel cyflogwr yn talu cyfraniadau iddo. O fis Ebrill 2014 ymlaen, caiff pensiynau eu seilio ar gyfartaledd gyrfu yn hytrach na chyflog terfynol (ar gyfer yr elfen ar ôl Ebrill 2014 yn unig).

Gwelodd Cronfa Dyfed ostyngiad yn ei diffyg clir at ei gilydd. Cofnodwyd rhwymedigaeth pensiynau o £137.1m ar 31 Mawrth 2018 (mewn cymhariaeth â £155.5m ar 31 Mawrth 2017) i Gyngor Sir Penfro. Cynyddodd cyfran y rhwymedigaeth pensiynau cysylltiedig ag ERW i £0.292m ar 31 Mawrth 2018 (mewn cymhariaeth â £0.136m ar 31 Mawrth 2017), gyda'r gweddill yn gysylltiedig â Chyngor Sir Penfro. Nid yw'n ymddangos bod unrhyw achos pryder ar yr adeg hon, oherwydd bod y tybiaethau actiwaraid sy'n cael eu defnyddio i gyfrifo sefyllfa'r fantolen yn gymhleth, sy'n golygu y gallai'r union daliadau fod yn wahanol i hyn. Bydd y sefyllfa'n cael ei hadfer yn y tymor hwy gyda'r Cronfa'n gallu talu'i ffordd.

Mae'r cynllun yn amodol ar brisiadau teirblwydd statudol yr actiwari er mwyn sicrhau bod y gronfa'n ddigonol ar gyfer rhwymedigaethau'r dyfodol, gyda'r prisiad diwethaf wedi'i wneud yn 2016.

Goblygiadau a Pheryglon

Dan y Compact rhwng Llywodraeth Leol Cymru a Llywodraeth Cymru, roedd un o'r adolygiadau polisi arfaethedig yn golygu ystyried nifer a strwythur cyfundrefnol cronfeydd pensiwn yng Nghymru.

Cyflwynwyd cofrestru staff yn ddiodyn yn y Cynllun yn ystod 2017.

Mae'r prif beryglon sy'n wynebu Cydbwyllgor ERW yn berthnasol i'r canlynol:

Nifer llawn y cyfranwyr i'r gronfa o'i gymharu â nifer y pensiwnwyr yn lleihau'n sylweddol gan beri cyfraddau cyfraniadau'r cyflogwr uwch.

Unrhyw gynnydd canlyniadol yng nghyfraddau cyfraniadau'r cyflogwr yn deillio o'r diwygiadau a amlinellwyd uchod neu fod perfformiad economaidd buddsoddiadau Cronfa Dyfed yn wael.

Mae Cronfa Fuddsoddi Pensiynau Cymru gyfan newydd i gael ei chreu o ganlyniad i gytundeb Cenedlaethol y DU gydag Adran y Trysorlys i gynyddu maint y cronfeydd buddsoddi a lleihau costau gweinyddol. Bydd cronfa Cymru gyfan yn cael ei gweinyddu gan Gyngor Sir Gâr a bydd yn dod i rym ym mis Ebrill 2018. Bydd y gronfa newydd yn gyfrifol am fuddsoddi cronfeydd yr 8 cronfa bensiynau Llywodraeth Leol bresennol.

Bydd pob cronfa bensiynau bresennol yng nghronfa fuddsoddi gronedig Cymru gyfan yn dal i allu pennu ei meini prawf buddsoddi a strategaethau ei hun.

O dderbyn nifer bach cyflogeion ERW, mae ei amlygiad i'r peryglon hyn yn fach.

Cynllun Pensiwn Athrawon

Yr Adran dros Addysg sy'n gweinyddu'r cynllun. Mae hwn yn gynllun heb gronfa, sy'n golygu nad oes unrhyw asedau buddsoddi wedi cronni i dalu costau pensiwn cyn iddynt ddigwydd ac, felly, nid oes unrhyw asedau neu rwymedigaethau cronfa'n ymddangos ym Mantolen Cydbwyllgor ERW.

Goblygiadau a Pheryglon

Cyflwynodd y Llywodraeth ddiwygiadau i bensiynau Athrawon ym mis Ebrill 2015. Bydd pensiynau'r dyfodol ar sail cyfartaledd gyrfu yn hytrach na chyflog terfynol.

Mae'r prif berygl sy'n wynebu Cydbwyllgor ERW yn berthnasol i'r canlynol:

Y cynnydd canlyniadol yng nghyfraddau cyfraniadau'r cyflogwr yn deillio o gymarebau cyfrannwr i bensiwnwr yn disgyn a'r diwygiadau a amlinellwyd uchod.

7.3.6 Cronfeydd a gweddillion Defnyddadwy

Cronfa Waith Gyffredinol

Y gronfa hon sy'n ffurfio gweddill gweithredol ERW a chaiff ei chynnal ar gyfer digwyddiadau gweithredol cyffredin. Crëwyd yn 2016-17 er mwyn darparu cyllid digonol i ddelio ag unrhyw wariant annisgwyl.

Cronfeydd a Glustnodwyd

Y rhain yw gweddillion mewn llaw ar ddiwedd y flwyddyn at ddibenion penodol a chânt eu defnyddio'n unol â'r gofynion penodol hynny.

7.3.7 BUDDIANNAU ARWYDDOCAOL

Mae gofyn i Aelodau Cydbwyllgor ERW, Swyddogion Arweiniol a Swyddogion y Bwrdd Gweithredol ddatgan lle gall gwrthdaro buddiannau ddeillio o gyflogaeth a threfniadau eraill. Nid oes unrhyw wrthdaro buddiannau i'w hysbysu.

7.3.8 TALIADAU I'R ARCHWILWYR

Amcangyfrifir y bydd £14k yn cael ei dalu i Swyddfa Archwilio Cymru am y gwaith o archwilio datganiadau ariannol 2017/18. Bydd yr holl waith o ardystio grantiau yn destun Archwiliad Mewnol, fel sy'n ofynnol gan Lywodraeth Cymru.

7.3.9 DIGWYDDIADAU AR ÔL Y FANTOLEN

Ni farnwyd y bu unrhyw ddigwyddiadau perthnasol i sefyllfa ariannol ERW ar 31 Mawrth 2018 ar ôl diwedd y flwyddyn ariannol ond cyn y dyddiad hysbysu dechreuol o 30ain Mai 2018.

Bydd unrhyw beth sy'n digwydd rhwng 30ain Mai 2018 ac 16eg Gorffennaf 2018, sef dyddiad awdurdodi cyhoeddi'r Datganiad Cyfrifon archwiliedig gan y Swyddog Adran 151, yn cael ei hysbysu a'i gymeradwyo gan Gydbwyllgor ERW. Nid oes unrhyw ddigwyddiadau i'w hysbysu.

8.0 Rhagolwg

Mae'r rhagolygon ERW yn dibynnu ar Batrwm Cenedlaethol Gwella Ysgolion Llywodraeth Cymru a'r penderfyniadau a wnaed gan y Cydbwyllgor o ran y Rhaglen Adolygu a Diwygio.

9.0 Sail Paratoi a Chyflwyno

Nodwyd unrhyw faterion all effeithio ar allu ERW i gyflawni ei Gynllun Busnes yn y tymor byr, canolig a hir yng nghorff yr Adroddiad hwn.

Os bydd arnoch angen rhagor o wybodaeth ynghylch Datganiad Cyfrifon ERW, cysylltwch â'r Cyfarwyddwr Cyllid, Cyngor Sir Penfro, Neuadd y Sir, Hwlfordd, SA61 1TP. Bydd Datganiad Cyfrifon ERW i'w gael hefyd ar wefan ERW.



**Jonathan Haswell FCCA
Cyfarwyddwr Cyllid**

**ADRODDIAD YR ARCHWILYDD ANNIBYNNOL AR YR ARCHWILYDD
CYFFREDINOL CYMRU I AELODAU CYDBWYLLGOR EIN RHANBARTH AR
WAITH.**

Mae Archwilydd Cyffredinol Cymru wedi ardystio ac adrodd ar y cyfrifon hyn yn y ffurf y cawsant eu drafftio'n wreiddiol. Cyfieithiad o'r fersiwn Saesneg gwreiddiol yw'r fersiwn hwn. Cyngor Sir Penfro sydd yn gyfrifol am gywirdeb y cyfieithiad, nid yr Archwilydd Cyffredinol.

DATGANIAD CYFRIFON

CYDBWYLLGOR ERW

DATGANIAD O GYFRIFOLDEBAU DROS Y DATGANIAD

Cyfrifoldebau Cydbwyllgor ERW

Mae gofyn i Gydbwyllgor ERW wneud y canlynol:

- Trefnu ar gyfer gweinyddu ei faterion ariannol yn briodol a sicrhau bod cyfrifoldeb ar un o'i swyddogion dros weinyddu'r materion hynny. Yng Nghydbwyllgor ERW, y cyfryw swyddog yw Cyfarwyddwr Cyllid Cyngor Sir Penfro.
- Rheoli ei faterion i sicrhau defnyddio adnoddau'n ddarbodus, effeithlon ac effeithiol a gwarchod ei asedau.
- Cymeradwyo'r Datganiad Cyfrifon.

Cyfrifoldebau'r Cyfarwyddwr Cyllid

Y Cyfarwyddwr Cyllid sy'n gyfrifol am baratoi Datganiad Cyfrifon y Cydbwyllgor yn unol ag arferion priodol ar sail Cod Ymarfer CIPFA/LASAAC ar gyfer Cadw Cyfrifon Awdurdodau Lleol yn y Deyrnas Unedig (y Cod).

Wrth baratoi'r Datganiad Cyfrifon hwn, mae'r Cyfarwyddwr Cyllid wedi gwneud y canlynol:

- Dewis polisïau cyfrifyddu addas ac yna'u cymhwyso'n gyson;
- Barnu a gwneud amcangyfrifon oedd yn rhesymol a gochelgar;
- Cydymffurfio â'r Cod.

Mae'r Cyfarwyddwr Cyllid hefyd wedi gwneud y canlynol:

- Cadw cyfrifon priodol oedd yn gyfoes;
- Cymryd camau rhesymol er mwyn atal a datgelu twyll ac anghysondebau eraill.

TYSTYSGRIF Y CYFARWYDDWR CYLLID

Mae Datganiad Cyfrifon Cydbwyllgor ERW am y flwyddyn hyd at 31 Mawrth 2018 yn Adrannau 10 i 15, a chânt eu cynhyrchu yn unol â gofynion Rheoliadau Cyfrifon ac Archwilio Llywodraeth Leol (Cymru) 2014, (fel y newidiwyd). Mae'r Rheoliadau'n pennu cynnwys y Datganiad Cyfrifon ac ar y cynnwys yn unig y caiff barn yr Archwiliad ei mynegi.

Tystiaf fod y cyfrifon yn cyflwyno darlun cywir a theg o sefyllfa ariannol Cydbwyllgor ERW fel yr oedd pethau ar 31 Mawrth 2018 a'i incwm a gwariant am y flwyddyn hyd at 31 Mawrth 2018 ac atodaf fy llofnod i'r datganiad yn unol â Rheoliad 10(1).



J HASWELL FCCA

Cyfarwyddwr cyllid

Dyddiad: 30 Mai 2018

CYFLWYNO ADRODDIADAU A CHYMERADWYO

Bydd y cyfrifon hyn, a gyhoeddwyd yn wreiddiol ar 30 Mai 2018, yn cael eu cyflwyno i Gydbwyllgor ERW i'w cymeradwyo ar ôl cwblhau'r Archwiliad Blynyddol ar 16 Gorffennaf 2018. Mae tystysgrif yr archwiliad ar dudalennau 16 - 17.

Cadeirydd Cydbwyllgor ERW

Enw: Y Cynghorydd Ellen Ap Gwynn

Cyfeiriad y Swyddfeydd: Y Llwyfan
Ffordd y Coleg
Caerfyrddin
SA31 3EQ

Dyddiad: 16 Gorffennaf 2018

10 DATGANIADAU ARIANNOL CRAIDD – EGWYDDORION SYLFAENOL

Caiff cymhwyso safonau cyfrifyddu, cysyniadau, barnau beirniadol a pheryglon cynhenid, a pholisïau cyfrifyddu a ddefnyddiwyd wrth baratoi'r datganiadau ariannol craidd eu cyflwyno yn y tudalennau canlynol.

10.1 SAFONAU ADRODD ARIANNOL

Cymhwyswyd y Safonau Adroddiadau Ariannol ac Eraill Rhyngwladol a gyhoeddwyd yn ôl gofynion y Cod Ymarfer ar gyfer Cadw Cyfrifon Awdurdodau Lleol.

Mae'r Cod Ymarfer yn gofyn bod ERW yn datgelu gwybodaeth berthnasol i effaith newid cyfrifyddol fydd yn ofynnol oherwydd safon newydd a gyhoeddwyd ond na fabwysiadwyd eto gan y Cod ar gyfer y flwyddyn ariannol berthnasol. Bydd tri newid allweddol i safonau cyfrifyddu'n effeithio ar ERW yn ystod y tair blynedd nesaf.

- Bydd Offerynnau Ariannol IFRS9, a ddaw i rym yn 2018-19, yn disodli IAS39 ac mae'n cynnwys agwedd newydd ar sail egwyddorion at ddsbarthu a mesur asedau ariannol. Mae hefyd yn cyflwyno methodoleg amhariad newydd ar gyfer asedau ariannol ar sail colledion disgwylidig yn hytrach na cholledion a gafwyd. Bydd hyn yn peri cydnabod colledion credyd disgwylidig yn gynharach a mwy amserol. Caiff bron y cyfan o ofynion cyfrifyddu rhwymedigaethau ariannol eu dwyn ymlaen o IAS39 heb eu newid.
- Mae IFRS15, a ddaw i rym yn 2018-19, yn cyflwyno patrwm pum cam ar sail egwyddorion ar gyfer cydnabod derbyniadau sy'n deillio o gcontractau gyda chwsmeriaid. Mae'n seiliedig ar egwyddor graidd sy'n gofyn bod cydnabod derbyniadau'n disgrifio trosglwyddo nwyddau neu wasanaethau a addawyd i'r cwsmer am swm sy'n adlewyrchu'r gydnabyddiaeth y mae'r corff yn disgwyl bod â hawl iddi, yn gyfnewid am y nwyddau neu wasanaethau hynny. Bydd hefyd yn gofyn datgeliadau helaethach nag ar hyn o bryd.
- Bydd IFRS16, a ddaw i rym yn 2019-20, yn disodli'r safon prydlesi cyfredol IAS17. Y newid allweddol yw ei fod i raddau mawr yn dileu'r gwahaniaeth rhwng prydlesi gweithredol a chyllidol i brydleseion trwy gyflwyno un patrwm cyfrifyddu prydleseion sy'n gofyn bod prydlesai'n cydnabod asedau a rhwymedigaethau holl brydlesi gyda thymor o fwy na 12 mis, oni bai fod yr ased sylfaenol yn isel ei werth. Bydd yn arwain at gydnabod holl brydlesi ar y fantolen fel ased ar sail egwyddor 'hawl i ddefnyddio' gyda rhwymedigaeth gyfatebol o ran llogi yn y dyfodol. Mae hwn yn newid arwyddocaol i gyfrifyddu prydleseion.

Nid yw effaith y newidiadau uchod yn cael eu hystyried yn sylweddol.

Paratowyd y Datganiad Cyfrifon yn adrannau 11 i 15 i gydymffurfio â Chod Ymarfer ar gyfer Cadw Cyfrifon Awdurdodau Lleol 2017-18.

10.2 CYSYNIADAU CYFRIFYDDU

Defnyddiwyd y cysyniadau cyfrifyddu treiddiol canlynol wrth baratoi'r Datganiadau Cyfrifyddu Craidd:

- Sail groniadau
- Busnes hyfyw

Deil nodweddion ansoddol gwybodaeth ariannol i gael eu defnyddio:

- Perthnasedd
- Cymaroldeb
- Gwiriadwyedd
- Amseroldeb
- Eglurder
- Materoliaeth
- Cynrychiolaeth Ffyddlon
- Cyflawnder, Amhleidioldeb, Rhydd o Wallau
- Uchafiaeth gofynion deddfwriaethol

10.3 Barnau Beirniadol wrth Gymhwyso Polisiâu Cyfrifyddu ac Amcangyfrif Perygl

Wrth gymhwyso'r polisiâu cyfrifyddu isod yn adran 10.4 mae Cydbwyllgor ERW wedi barnu ynghylch y trafodion cymhleth a'r rhai'n golygu ansicrwydd yn y blynyddoedd a ddaw.

Mae llawer o ansicrwydd ynghylch faint o gymorth ariannol a gaiff llywodraeth leol yn y dyfodol. Felly, tra gall rhai grantiau leihau, o dderbyn nifer bach y cyflogaeth sydd yng nghyflogaeth uniongyrchol ERW, nid oes digon o dystiolaeth i ddod i gasgliad y bydd gweithgareddau'r Cydbwyllgor yn cael eu hamharu neu leihau'n ddifrifol yn y blynyddoedd a ddaw.

Ar gyfer 2018-19, mae Llywodraeth Cymru wedi cyfuno llawer o'r Grantiau Rhanbarthol yn un prif grant, sef Grant Gwella Ysgolion y Consortia Rhanbarthol (RCSIG), i'w dalu bob deufis.

Dan rai amgylchiadau bu angen amcangyfrif y newidiadau i'r cyfrifon trwy ddefnyddio profiad hanesyddol, tueddiadau presennol ac ati. Fe all yr union ganlyniadau fod yn wahanol i'r hyn a dybiwyd ac, o ganlyniad, gall effeithio ar y taliadau i'w gwneud yng nghyfrifon blynyddoedd a ddaw.

Mae'r prif feysydd perygl i'w gweld yn y tabl canlynol:

Materion perthnasol i eitemau yn y casgliad cyfrifon presennol:		
Eitem	Risg	Effaith Bosibl
Ymrwymadau Cytundebol	Meintoliadau anghywir a sialens gyfreithiol	Tâl ychwanegol i'r Cydbwyllgor a'i Awdurdodau Partner
Cymorth Grant	Hawlio gwariant anghymwys	Colli grant gyda gwariant i'w gyllido o'r craidd neu adfarchu grant
Rhwymedigaeth Bensiynau	Tybiaethau actiwaraid anghywir	Cyfraniadau'r Cyflogwr yn fwy yn y dyfodol

Materion a allai effeithio ar y cyfrifon yn y dyfodol		
Eitem	Risg	Effaith Bosibl
Cadarnhau sefyllfa ranbarthol fel dull cyflawni gwella ysgolion	Cynyddu cyllid gan Lywodraeth Cymru a disgwyliadau dilynol	Anallu i ymateb i ddisgwyliadau cynyddol o ran gweithio rhanbarthol
Newidiadau mewn Blaenoriaethau Gwleidyddol	Llai o gymorth ariannol	Cwtogi'r gwasanaeth, neu ddarfod Gweithio Rhanbarthol
Canlyniadau Addysgol	Nid yw Cyrhaeddiad disgyblion yn gwella'n ddigon cyflym	Colli cymorth grant yn y dyfodol / Awdurdodau Lleol yn gorfod newid eu cyfraniad ERW
Cymorth Grant	Hawlio gwariant anghymwys	Colli grant gyda gwariant i'w gyllido o'r craidd neu adfachu grant
Oedi cyn derbyn cymorth grant	Gwariant a ymrwymwyd yn anghymwys; cynllunio gwael	Colli grant gyda gwariant i'w gyllido o'r craidd neu adfachu grant
Newid Demograffig	Tybiaethau anghywir	Costau gwasanaeth a chytundebol mwy
Cymorth Grant / Prallan	Colli grant Llywodraeth Cymru ac Ewrop	Darparu llai o wasanaeth

Llywodraethu Rhaglen Adolygu a Diwygio	Penderfyniadau heb eu gwneud yn brydlon	Oedi gwelliannau Adfachu grant neu golli cymorth grant
Trawsffurfio / Cyflenwi Gwasanaeth Gwahanol yn ei Le	Ffyrdd gwahanol o weithio heb ddod â'r arbediadau ariannol a dybiwyd	Gorwario / tanwario'r gyllideb Trefniadau cyfrifyddu ar wahân
Safonau'r Gymraeg	Tybiaeth anghywir	Costau gwasanaeth a cytundebol uwch
Deddf Llesiant Cenedlaethau'r Dyfodol	Heb ystyried y Ddeddf wrth wneud penderfyniadau	Cost camau unioni
Llywodraeth Cymru'n atal cymorth grant	ERW heb gadw at natur ranbarthol amodau'r grant	Ysgolion heb gyrchu'r cymorth gofynnol
Cyllid craidd ALI heb ei dderbyn	Chwalu'r consortiwm	Colli grant Llywodraeth Cymru. Darfod Gweithio Rhanbarthol

10.4 POLISIÂU CYFRIFYDDU

Adolygwyd y polisiâu cyfrifyddu a ddefnyddiwyd i baratoi'r Datganiadau Cyfrifyddu Craidd a'r Nodiadau Esboniadol a Datganiadau Ariannol Atodol dilynol trwy ddefnyddio Cod Ymarfer ar gyfer Cadw Cyfrifon Awdurdodau Lleol 2017-18.

10.4.1 Egwyddorion Cyffredinol

Amcan y polisiâu cyfrifyddu a fabwysiadwyd yw sicrhau bod y Datganiad Cyfrifon yn rhoi darlun "cywir a theg" o sefyllfa ariannol Cydbwyllgor ERW.

Bydd y cyfrifon yn cael eu paratoi'n unol â'r Cod Ymarfer ar gyfer Cadw Cyfrifon Awdurdodau Lleol diweddaraf, a gyhoeddwyd gan y Sefydliad Siartredig Cyllid Cyhoeddus a Chyfrifyddiaeth (CIPFA) (y Cod) a chadw at y Safonau ac Arferion Cyflwyno Adroddiadau Ariannol perthnasol, os na fydd yn dweud yn wahanol.

Bydd ffigurau'n cael eu cynnwys yn y Datganiadau Ariannol gan ddefnyddio'r confensiwn costau a bennwyd gan y safon gyfrifyddu briodol.

Bydd y polisiâu cyfrifyddu'n cael eu newid o rai'r flwyddyn flaenorol fel bo angen i adlewyrchu newidiadau yng ngofyniad cyflwyno adroddiadau gydag unrhyw newidiadau o'r fath yn cael eu datgelu.

10.4.2 Busnes Hyfyw, Eitemau Eithriadol ac Anghyffredin, Addasiadau'r Flwyddyn Cynt a Digwyddiadau ar ôl Cyfnod yr Adroddiad

Bydd y Datganiadau Ariannol yn cael eu paratoi ar sail busnes hyfyw oni bai fod y llywodraeth yn bwriadu na fydd y gwasanaethau'n cael eu darparu mwyach.

Eitemau anghyffredin – Ni fydd eitemau o incwm neu draul yn cael eu trin fel anghyffredin. Felly, bydd holl eitemau'n cael lle ar un o linellau penodedig y Gwarged neu Ddiffyg wrth Ddarparu Gwasanaethau neu'r Incwm a Gwariant Cynhwysfawr Arall.

Eitemau eithriadol – Pan fo eitemau o incwm a thraul yn berthnasol, bydd eu natur a'u maint yn cael ei ddatgelu ar wahân, naill ai ar wyneb y Cyfrif Incwm a Gwariant Cynhwysfawr neu yn y nodiadau ar y cyfrifon.

Oni bai y cymeradwywyd fel arall yn y Cod, bydd addasiadau cyfnod blaenorol perthnasol yn peri ailddatgan ffigurau'r flwyddyn cynt a datgelu'r effaith.

Os yw'n berthnasol ar ddyddiad y Fantolen, bydd digwyddiadau perthnasol ar ôl diwedd cyfnod yr adroddiad yn newid y Datganiad Cyfrifon. Bydd digwyddiadau eraill yn cael eu datgelu gydag amcangyfrif o'r effaith ariannol debygol. O'i newid ar ôl ei gyhoeddi cyn cwblhau archwiliad, bydd y swyddog ariannol cyfrifol yn ailardystio bod y Datganiad Cyfrifon diwygiedig yn disodli'r un a gyhoeddwyd eisoes. Bydd materoliaeth yn cael ei ddiffinio fel y swm a amcangyfrifwyd gan Swyddfa Archwilio Cymru yn unrhyw flwyddyn.

10.4.3 Prydlesi a Trefniadau Tebyg i Brydlesi

Cydnabod a Dosbarthu

Bydd prydlesi a threfniadau ariannol tebyg yn cael eu dosbarthu naill ai fel prydlesi cyllidol neu brydlesi gweithredol. Diffiniwyd prydlesi cyllidol fel trefniadau lle bydd holl beryglon a gwobrwyon atodol at berchenogaeth yn trosglwyddo'n sylweddol i'r prydlesai ond y gall teitl drosglwyddo neu beidio maes o law. Bydd prydlesi gweithredol yn cael eu diffinio fel holl drefniadau eraill tebyg i brydles.

Wrth ystyried prydlesi eiddo, bydd tir ac adeiladau'n cael eu hystyried ar wahân at ddibenion dosbarthu, gyda thir sydd â bywyd bythol yn cael ei gydnabod yn gyffredinol fel prydles weithredol.

Bydd Prydlesi Cyllidol yn cael eu cofnodi ar y Fantolen fel asedau a dyledion cyfartal yn y dosbarth priodol yn ôl gwerth teg yr eiddo neu, os yw'n llai, gwerth presennol lleiafswm y taliadau prydles – y gyfradd ddisgowntio i'w defnyddio yw'r un ymhlwg yn y brydles. Ar ôl hynny, mae asedau'n agored i adbriso a dibrisio.

Bydd y taliad cyllid yn cael ei godi ar y cyfrif cyllid ar sail gyson dros gyfnod y brydles.

O ran Prydlesi Gweithredol, bydd cyfan y rhent taladwy dan brydlesi gweithredol yn cael eu codi ar y cyfrif cyllid ar sail linol dros gyfnod y brydles.

10.4.4 Cronfeydd Wrth Gefn (Balansau Gweithio) Cyd-bwyllgor ERW

Dosbarthiad

Bydd cronfeydd yn cael eu dosbarthu fel defnyddiadwy, trwy fod ar gael i gynnal gwariant yn y dyfodol, neu andefnyddiadwy fel y rhai sydd eu hangen at ddibenion cyfrifyddu ariannol.

Cronfeydd Defnyddiadwy

Bydd Cydbwyllgor ERW yn llywodraethu rheoli a defnyddio holl gronfeydd.

Bydd y gwariant a gyllidwyd o gronfeydd yn cael ei ddangos, pan fydd yn cael ei wario, yn adran wasanaeth briodol y Datganiad Incwm a Gwariant Cynhwysfawr.

Bydd yr amgylchiadau canlynol yn caniatáu neilltuo symiau o refeniw:

- i. Ymrwymadau perthnasol yn bodoli am nwyddau a gwasanaethau heb eu derbyn ac na thalwyd amdanynt erbyn 31 Mawrth
- ii. Hwyluso treiglo cyllid i flynyddoedd a ddaw er mwyn sicrhau defnyddio adnoddau'n gost-effeithiol a darparu ar gyfer amrywiad yn y galw am wasanaeth o flwyddyn i flwyddyn
- iii. Neilltuo adnoddau ar gyfer datblygiadau'r dyfodol neu hapddigwyddiadau

Cronfeydd Andefnyddiadwy

Bydd y cronfeydd ariannol canlynol yn cael eu cynnal:

- i. Cronfa Bensynau – i adlewyrchu sefyllfa Cronfa'r Cynllun.
- ii. Cyfrif Absenoldebau Cronedig – i adlewyrchu cost hawl i absenoldeb taladwy na fanteisiwyd arno ar 31 Mawrth.

Hysbysu

Bydd neilltuadau arian i gronfeydd ac allan ohonynt yn cael eu hysbysu yn y Datganiad Symudiad Cronfeydd.

10.4.5 Incwm a Gwariant

Costau a Buddiannau Cyflogeion

Bydd cyflogau'n cael eu codi am y cyfnodau y maent yn berthnasol iddynt ac, os bydd angen, bydd cronïadau a amcangyfrifwyd yn cael eu gwneud trwy ddefnyddio cyfnodau cyflog blaenorol fel sail. Bydd addasiad yn cael ei wneud yn y Cyfrif Incwm a Gwariant Cynhwysfawr i gyfrif am hawl absenoldeb cronedig.

Cost pensiynau – gwelwch bolisi 10.4.7 isod.

Cyflenwadau a Gwasanaethau ac ati

Mae Cydbwyllgor ERW yn gweithredu trefn o gronïadau a thaliadau cyfnewidiedig. Bydd credydwy'r yn cael eu cronni erbyn diwedd cyfnod penodedig o'r flwyddyn ddilynol a thrwy gynnwys amcangyfrifon o eitemau arwyddocaol sy'n aros heb eu talu bryd hynny ar sail dyfynbrisiau neu gostau'r gorffennol. Mae eithriad i'r egwyddor hon yn berthnasol i drydan a thaliadau cyfnodol tebyg sy'n cael eu codi ar ddyddiad darllen y mesurydd yn hytrach na chael eu dyrannu rhwng blynyddoedd ariannol. Bydd y polisi hwn yn cael ei gymhwyso'n gyson bob flwyddyn ac, felly, nid yw'n cael effaith sylweddol ar gyfrifon unrhyw flwyddyn.

Incwm

Rhaid cyfrif am holl incwm dyledus i Gydbwyllgor ERW ar y dyddiad dyledus a'i gydnabod yn ôl gwerth teg.

10.4.6 Grantiau'r Llywodraeth a Chyfraniadau Eraill

Cyffredinol

Bydd grantiau'r llywodraeth a chyfraniadau eraill yn cael eu cyfrif ar sail gronïadau a phan gydymffurfiwyd ag amodau eu derbyn a bod sicrwydd rhesymol y bydd y grant neu gyfraniad yn cael ei dderbyn.

Grantiau a Chyfraniadau Cyllid

Lle derbyniwyd grant neu gyfraniad cyllid, ac amodau'n dal i'w cyflawni ar ddyddiad y Fantolen, bydd y grant neu gyfraniad yn cael ei gydnabod fel derbyniad o flaen llaw. Wedi cyflawni amodau'r grant bydd yn cael ei gydnabod yn y Datganiad Incwm a Gwariant Cynhwysfawr fel incwm a'i gyfateb yn y cyfrifon cyllid gwasanaethau gyda'r gwariant y mae'n berthnasol iddo.

Ad-daliad

Os digwydd ad-daliad, bydd yn cael ei gymhwyso'n gyntaf i unrhyw dderbyniad neu gyfraniad a gafwyd o flaen llaw. I'r graddau bod yr ad-daliad yn fwy nag unrhyw dderbyniad o'r fath o flaen llaw, neu os nad oes derbyniad o flaen llaw'n bodoli, bydd yr ad-daliad yn cael ei gydnabod yn y Datganiad Incwm a Gwariant Cynhwysfawr fel traul.

10.4.7 Costau a Buddiannau Cyflogeion

Buddiannau yn Ystod Cyflogaeth

Bydd costau cydnabyddiaeth arferol yn cael eu codi fel traul yn y cyfnod y maent yn berthnasol iddo.

Bydd cronïad diwedd y flwyddyn yn cael ei wneud yn y Datganiad Incwm a Gwariant Cynhwysfawr o unrhyw gostau perthnasol sy'n deillio o hawl i wyliau heb eu cymryd. Fodd bynnag, heb fod yn daliad at ddibenion trethu, bydd yn cael ei wydroi allan yn y Datganiad Symudiad Cronfeydd.

Budd-daliadau Terfynu

Bydd budd-daliadau terfynu'n cael eu codi yn y Datganiad Incwm a Gwariant Cynhwysfawr pan fo Cydbwyllgor ERW yn amlwg wedi ymrwymo i derfynu cyflogaeth.

Cost Pensiynau

Bydd y cyfraniadau pensiwn a dalwyd gan Gydbwyllgor ERW yn cael eu codi ar sail gronïadau ar gyfrif cyllid y gwasanaeth priodol a byddant, ynghyd â'r cyfraniadau a wnaed gan gyflogeion, yn cael eu talu i'r gronfa briodol.

Cronfa Bensiynau Dyfed – Bydd y polisiâu cyfrifyddu perthnasol i'r Gronfa'n cael eu penderfynu gan Gyngor Sir Gâr, yr awdurdod gweinyddu, sy'n cadw cyfrifon y Gronfa ac yn trefnu rhoi gwybodaeth actiwaraid i'r Cyrff cyfrannog.

Fel awdurdod cyflogi ar ran Cydbwyllgor ERW, bydd Cyngor Sir Penfro'n cynnwys costau cyfredol pensiynau i wasanaethau fel y cyfrifwyd gan actiwari'r Gronfa yng nghost gwasanaethau yn unol â gofynion IAS19 oherwydd bod hwn yn cael ei gyfrif fel cynllun buddiant diffiniedig.

Bydd y taliadau hyn yn cael eu gwyrddroi yn y Datganiad Symudiad Cronfeydd a'r gwir gyfraniadau a dalwyd i'r Gronfa'n cael eu cynnwys er mwyn sicrhau codi'r gost gywir ar Gydbwyllgor ERW.

Bydd asedau a rhwymedigaethau'n ymwneud â Chydbwyllgor ERW yn cael eu datgelu ar y Fantolen.

Cynllun Pensiwn Athrawon - Yn achos athrawon, mae pensiynau "heb gronfa" a chânt eu talu o gyfraniadau blynyddol ac, felly, ni fydd dim atebolrwydd am fuddiannau'r dyfodol yn cael ei gydnabod ar y Fantolen. Caiff y cynllun ei gyfrif fel cynllun cyfraniadau diffiniedig a chaiff y gyfraniadau taladwy eu codi ar y Datganiad Incwm a Gwariant Cyfunol.

10.4.8 Stoc a Gwaith ar y Gweill

Bydd stoc sy'n cael ei ddal gan Gydbwyllgor ERW yn cael ei brisio ar yr isaf o gost a gwerth gwiredadwy clir.

10.4.9 Dyledwyr, Amhariad Drwgddyledion a Chredydwyr

Bydd Dyledwyr Cyffredinol yn cael eu cydnabod ar y Fantolen a'u mesur yn ôl gwerth teg y swm derbyniadwy ar ôl cydnabod y derbyniadau. Ym mwyafrif yr achosion, bydd gwerth teg yr un faint â'r gwerth ariannol ond, yn achos dyledwyr hirdymor, bydd y gwerth yn cael ei ostwng ar y gyfradd briodol i adlewyrchu gwerth teg. Bydd yr addasiad yn cael ei wneud yn y Datganiad Incwm a Gwariant Cynhwysfawr ond, oherwydd nad yw'n gost briodol ar Gydbwyllgor ERW, bydd yn cael ei wyrddroi yn y Datganiad Symudiad Cronfeydd i'r Cyfrif Addasu Offerynnau Ariannol.

Os cydnabuwyd derbyniadau ond na dderbyniwyd arian parod, caiff dyledwr ar gyfer y swm perthnasol ei gofnodi ar y Fantolen. Os nad yw dyledion yn debygol o gael eu talu, caiff gweddill dyledwyr ei ddibrisio a chodi ar dderbyniadau am yr incwm nad yw'n debygol o gael ei gasglu.

Bydd Credydwyr Cyffredinol yn cael eu cydnabod ar y Fantolen a'u mesur yn ôl gwerth teg yr hyn sydd i'w dalu ar ôl cyflenwi nwyddau neu ddarparu gwasanaethau. Ym mwyafrif yr achosion, bydd gwerth teg yr un faint â'r gwerth ariannol ond, yn achos credydwyr hirdymor, bydd y gwerth yn cael ei ostwng ar y gyfradd briodol i adlewyrchu gwerth teg. Bydd yr addasiad yn cael ei wneud yn y Datganiad Incwm a Gwariant Cynhwysfawr ond, oherwydd nad yw'n gost briodol ar gronfa Cydbwyllgor ERW, bydd yn cael ei wyrddroi yn y Datganiad Symudiad Cronfeydd i'r Cyfrif Addasu Offerynnau Ariannol.

10.4.10 TAW

Bydd trafodion yn cael eu dangos heb gynnwys TAW i'r graddau y mae'n adenilladwy / daladwy.

10.4.11 Partïon Cysylltiedig

Bydd y datgeliadau canlynol yn cael eu gwneud o ran trafodion busnes perthnasol gyda phartïon perthynol na ddatgelwyd yn unman arall yn y Datganiad Cyfrifon:

- i. Natur y berthynas a'r dylanwad naill ai gan Gydbwyllgor ERW neu arno
- ii. Croniad y trafodion yn y flwyddyn gan ddangos symiau taladwy a derbyniadwy ar wahân

10.4.12 ASEDAU A RHWYMEDIGAETHAU AMODOL

Rhwymedigaethau Amodol

Mae rhwymedigaeth amodol yn codi pan fu digwyddiad sy'n rhoi posibilrwydd rhwymedigaeth ar ERW y bydd ei bodolaeth yn cael ei chadarnhau'n unig os bydd digwyddiadau ansicr y dyfodol nad ydynt yn gyfan gwbl o fewn rheolaeth ERW yn digwydd neu beidio. Mae rhwymedigaethau amodol yn codi hefyd dan amgylchiadau pan fyddai darpariaeth yn cael ei gwneud fel arall ond naill ai nad yw'n debygol y bydd angen defnyddio adnoddau neu nad oes modd mesur maint y rhwymedigaeth yn ddibynadwy. Ni chaiff rhwymedigaethau amodol eu cydnabod ar y Fantolen ond cânt eu datgelu mewn nodyn ar y cyfrifon.

Asedau Amodol

Mae ased amodol yn codi pan fu digwyddiad sy'n rhoi posibilrwydd ased i'r ERW y bydd ei fodolaeth yn cael ei gadarnhau'n unig os bydd digwyddiadau ansicr y dyfodol nad ydynt yn gyfan gwbl o fewn rheolaeth ERW yn digwydd neu beidio. Ni chaiff asedau amodol eu cydnabod ar y Fantolen ond cânt eu datgelu mewn nodyn ar y cyfrifon pan fo'n debygol y daw buddiannau economaidd neu bosibilrwydd gwasanaeth i'r Rhanbarth.

11.0 DATGANIADAU ARIANNOL CREIDDIOL – CYDRANNAU A MANYLION

Y datganiadau ariannol craidd, a baratowyd gan ddefnyddio Safonau Rhyngwladol Cyflwyno Adroddiadau Ariannol, (IFRS) yw:

- Y Datganiad Incwm a Gwariant Cynhwysfawr – sy'n dangos y gost gyfrifyddol yn y flwyddyn o ddarparu gwasanaethau wedi'i mesur ar sail IFRS yn hytrach na'r gost a gyllidwyd o drethiant mewn gwirionedd. Caiff y cysoniad â'r sefyllfa drethiant, fel y cynrychiolwyd gan y cyllid ar gael i Gydbwyllgor ERW mewn gwirionedd, ei ddangos yn y Dadansoddiad Gwariant a Chyllid (nodyn 11.3)
- Y Datganiad Symudiad Cronfeydd – sy'n dangos y symudiad yn y gwahanol gronfeydd sydd gan ERW, wedi'u dadansoddi rhwng cronfeydd defnyddiadwy a chronfeydd anefnyddiadwy sy'n cael eu dal at ddibenion cyfrifyddu ariannol.
- Y Fantolen – sy'n dangos y sefyllfa ariannol ar 31 Mawrth o ran gwerth asedau a rhwymedigaethau a gaiff eu cydnabod gan Gydbwyllgor ERW a'r cronfeydd sy'n cael eu dal gan Gydbwyllgor ERW.
- Y Datganiad Llif Arian – sy'n crynhoi mewnlifoedd ac all-lifoedd arian ac arian parod cyfatebol gydag eraill yn deillio o drafodion cyllid a chyfalaf.

Nodiadau Esboniadol a Datganiadau Ariannol Atodol

Y rhain yw:

- Y Dadansoddiad Gwariant a Chyllid.
- Nodiadau ar y datganiadau ariannol craidd.

11.2 DATGANIAD INCWM A GWARIANT CYNHWYSFAWR

Dengys y datganiad hwn y gost economaidd yn y flwyddyn o ddarparu gwasanaethau yn unol ag arfer cyfrifyddu sy'n gyffredinol dderbyniol.

Mae modd crynhoi'r Datganiad Incwm a Gwariant Cynhwysfawr fel a ganlyn:

- **Gwarged / Diffyg ar Weithrediadau Parhaol** – dadansoddiadau yn ôl dosbarthiadau goddrychol, yr incwm a gwariant arferol ar eitemau fel talu cyflogeion; costau cynnal gwasanaethau; grantiau, ffioedd a thaliadau penodol i wasanaethau.

Yn unol â gofynion y Cod, mae incwm a gwariant gweithredu gwasanaethau'n cynnwys y costau "tybiannol" canlynol sy'n cael eu "gwydroi" yn y Datganiad Symudiad Cronfeydd:

- Costau pensiynau gwasanaeth presennol.
- **Incwm a Gwariant Cynhwysfawr Arall** – yn dangos y gwarged neu ddiffyg sy'n deillio o ailfesur asedau a rhwymedigaethau pensiynau.

DATGANIAD INCWM A GWARIANT CYNHWYSFAWR	Nodyn	2016-17			2017-18		
		Gwariant Crynswrth £000	Incwm £000	Gwariant Clir £000	Gwariant Crynswrth £000	Incwm £000	Gwariant Clir £000
Gwariant							
Cyflogeion		1517	-	1517	3,109	-	3,109
Eiddo		32	-	32	32	-	32
Cludiant/Teithio		35	-	35	62	-	62
Cyfieithu		91	-	91	81	-	81
Cyflenwadau a Gwasanaethau		1192	-	1192	349	-	349
Ymgynghoriaeth		162	-	162	809	-	809
Gwasanaethau Cefnogi		30	-	30	94	-	94
Taliadau I Ysgolion trwy ALL ar gyfer gwaith penodol		1608	-	1608	3,115	-	3,115
Hyfforddiant/Cynadleddau		174	-	174	212	-	212
Cyfanswm Gwariant		4,841	-	4,841	7,863	-	7,863
Incwm							
Cyfraniadau gan Aelod- Awdurdodau		-	(250)	(250)	250	(250)	(250)
Grant Llywodraeth Cymru		-	(4,275)	(4,275)	7,166	(7,166)	(7,166)
Cyfraniadau gan gonsortia eraill		-	33.00	33.00	-	-	-
Incwm Grant Arall		-	(307)	(307)	264	(264)	(264)
Incwm Grant Amrywiol		-	(21)	(21)	4	(4)	(4)
Cyfanswm yr Incwm		-	(4,886)	(4,886)	-	(7,684)	(7,684)
Grant LIC a Drosglwyddwyd i Aelod-Awdurdodau	13.1						
Sir Gâr		13,265	(13,265)	-	13,024	(13,024)	-
Ceredigion		4,477	(4,477)	-	4,410	(4,410)	-
Castell-nedd Port Talbot		11,107	(11,107)	-	11,163	(11,163)	-
Sir Benfro		8,585	(8,585)	-	8,381	(8,381)	-
Powys		8,158	(8,158)	-	8,063	(8,063)	-
Dinas a Sir Abertawe		17,935	(17,935)	-	17,671	(17,671)	-
		63,527	(63,527)	-	62,712	(62,712)	-
(Gwarged)/Diffyg ar Weithrediadau Parhaol		68,368	(68,413)	(45)	70,575	(70,396)	179
Incwm a Gwariant Cyllido a Buddsoddi							
Llog Pensiynau Clir	13.2			18			37
(Gwarged) neu Ddiffyg ar Ddarparu Gwasanaethau				(27)			216
CYFANSWM YR INCWM A GWARIANT CYNHWYSFAWR				(27)			216

11.3 DATGANIAD SYMUDIADAU CRONFEYDD

Dengys y Datganiad hwn symudiad gwahanol gronfeydd Cydbwyllgor ERW yn ystod y flwyddyn, wedi'i ddadansoddi rhwng cronfeydd defnyddiadwy (y rhai y mae modd eu cymhwyso i gyllido gwariant) a chronfeydd annefyddiadwy eraill. Mae'r cronfeydd annefyddiadwy'n cynnwys cronfeydd sy'n dal enillion a cholledion heb eu sylwedd, sydd ond yn cael eu sylwedd pan gaiff asedau eu gwerthu, a chronfeydd sy'n dal gwahaniaethau cyfrifyddu sydd eu hangen i gysoni'r gwahaniaethau rhwng hysbysu ar sail gyfrifyddu'r IFRS a'r sail gyllido statudol.

Mae'r (Gwarged) / Diffyg ar ddarparu gwasanaethau'n adlewyrchu cost economaidd darparu gwasanaethau Cydbwyllgor ERW, gyda rhagor o fanylion amdanynt yn y Datganiad Incwm a Gwariant Cynhwysfawr ar y dudalen ganlynol.

Gwir 2016-17	Cronfeydd Defnyddiadwy ERW a Glustnodwyd £000	Cronfa Waith Gyffredinol ERW £000	Cronfeydd Annefyddiadwy ERW £000	Cyfanswm Cronfeydd £000
Gweddill ar 1af Ebrill 2016	(472)	-	93	(379)
(Gwarged)/Diffyg ar Ddarparu Gwasanaethau	(27)	-	-	(27)
Cyfanswm yr Incwm a Gwariant Cynhwysfawr (Gwelir tudalen 27)	(27)	-	-	(27)
Trosglwyddo i Falans Gweithio Cyffredinol ERW	100	(100)		-
Addasiadau rhwng y Sail Gyfrifyddu a'r Sail Gyllido Reoleiddiol (Gwelir nodyn 12)	(43)	0	43	-
(Cynnydd)/Lleihau yn y Flwyddyn	30	(100)	43	(27)
Gweddill 31ain Mawrth 2017	(442)	(100)	136	(406)

Gwir 2017-18	Cronfeydd Defnyddiadwy ERW a Glustnodwyd £000	Cronfa Waith Gyffredinol ERW £000	Cronfeydd Annefyddiadwy ERW £000	Cyfanswm Cronfeydd £000
Gweddill ar 1af Ebrill 2017	(442)	-	100	(406)
(Gwarged)/Diffyg ar Ddarparu Gwasanaethau	216	-	-	216
Cyfanswm yr Incwm a Gwariant Cynhwysfawr (Gwelir tudalen 27)	216	-	-	216
Addasiadau rhwng y Sail Gyfrifyddu a'r Sail Gyllido Reoleiddiol	(156)	0	156	-
(Cynnydd)/Lleihau yn y Flwyddyn	60	0	156	216
Gweddill 31ain Mawrth 2018	(382)	(100)	292	(190)

11.4 MANTOLEN

Dengys y Datganiad hwn werth yr asedau a rhwymedigaethau sy'n cael eu cydnabod gan Gydbwyllgor ERW ar ddyddiad y Fantolen. Yn cyfateb i'r asedau clir (asedau llai rhwymedigaethau) mae:

- Cronfeydd defnyddiadwy sy'n cynnwys y Gronfa Waith Gyffredinol a Chronfeydd a Glustnodwyd.
- Cronfeydd andefnyddiadwy sy'n cynnwys cronfeydd yn hwyluso'r addasiadau gofynnol rhwng sail gyfrifyddu a ddefnyddiwyd i baratoi'r Datganiad Cyfrifon a'r sail gyllido statudol dan reoliad.

MANTOLEN FEL YR OEDD AR 31AIN MAWRTH	Nodi Rhif	2016-17		2017-18	
		£000	£000	£000	£000
ASEDAU CYFREDOL:					
Dyledwyr Byrdymor a Rhagdaliadau	15.1.1	10,152		10,197	
Arian a chywerthoedd Arian	15.2	-			
Cyfanswm Asedau Cyfredol			10,152		10,197
CYFANSWM ASEDAU					
RHWYMEDIGAETHAU CYFREDOL					
Credydwyr Byrdymor	15.1.2	(8,390)		(8,396)	
Taliad o flaen llaw	15.1.2	(378)		(723)	
Gorddrafft	15.2			(596)	
Cyfanswm Rhwymedigaethau Cyfredol			(9,610)		(9,715)
CYFANSWM ASEDAU LLAI DYLEDION					
CYFREDOL					
Bensiynau	15.4	(136)		(292)	
CYFANSWM Y RHWYMEDIGAETHAU			(136)		(292)
HIRDYMOR					
ASEDAU CLIR					
Cronfeydd Defnyddiadwy					
– Cronfeydd y Cydbwyllgor a					
Glustnodwyd	14.2		(442)		382
– Cronfa waith Gyffredinol	14.2				(100)
Cronfeydd Andefnyddiadwy					
– Cronfa Bensiynau	14.3		136		292
CYFANSWM CRONFEYDD			(406)		(190)

11.5 DATGANIAD LLIF ARIAN

Dengys y Datganiad Llif Arian y newidiadau mewn arian parod ac arian parod cyfatebol yn ystod cyfnod yr adroddiad, yn dangos sut mae Cydbwyllgor ERW yn cynhyrchu ac yn defnyddio arian parod ac arian parod cyfatebol trwy ddsbarthu llifau arian yn weithgareddau gweithredu, buddsoddi a chyllido.

Mae faint o lifau arian clir sy'n deillio o weithgareddau gweithredu clir yn ddangosydd allweddol o'r graddau y caiff gweithrediadau eu cyllido trwy incwm grant neu gan dderbynwyr gwasanaethau a ddarparwyd gan Gydbwyllgor ERW.

Cyngor Sir Penfro sy'n gweinyddu holl drafodion arian parod oherwydd nad yw Cydbwyllgor ERW yn gweithredu ei gyfrif banc ei hun.

DATGANIAD LLIF ARIAN	2016-17		2017-18	
	£000	£000	£000	£000
Cysoni Datganiad Incwm a Gwariant Cynhwysfawr a'r Llif Arian Cyllid Clir (Gwarged)/Diffyg Clir ar ddarparu gwasanaethau Addasiadau i'r gwarged neu ddiffyg clir ar ddarparu gwasanaethau o ran symudiadau heblaw arian		(27)		216
Addasiadau i'r gronfa bensiw	(43)		(156)	
Symudiadau mewn dyledwyr cyllid, credydwyr, stociau ac ati.	968	925	(306)	(462)
Llif Arian Clir o Weithgareddau Gweithredol		898		(246)
(CYNNYDD)/LLEIHAD CLIR MEWN ARIAN PAROD ACHYWERTHOEDD ARIAN PAROD		898		0
Arian Parod a chywerthoedd Arian Parod ar ddechrau'r cyfnod hysbysu	56		(842)	
Arian Parod a chywerthoedd Arian Parod ar ddiwedd y cyfnod hysbysu	(842)		(596)	
(CYNNYDD)/LLEIHAD MEWN ARIAN PAROD A CHYWERTHOEDD ARIAN PAROD		898		(246)

12.0 NODIADAU I'R DADANSODDIAD O WARIANT A CHYLLID

	2016-17		
	Newid Clir ar gyfer yr Addasiadau Pensiynau	Gwahaniaethau eraill	Cyfanswm yr Addasiadau
(Gwarged)/Diffyg ar Weithrediadau Parhaol	25	-	25
Gwariant Gweithredu Arall			
Incwm a Gwariant Cyllido a Buddsoddi	18		18
Trethiant ac incwm grant amhenodol			
Gwahaniaeth rhwng gwarged neu ddiffyg y Gronfa Gyffredinol a Gwarged neu Ddiffyg y Datganiad Incwm a Gwariant Cynhwysfawr ar Ddarparu Gwasanaethau	43	-	43

	2017-18		
	Newid clir ar gyfer yr Addasiadau Pensiynau	Gwahaniaethau Eraill	Cyfanswm yr Addasiadau
(Gwarged)/Diffyg ar Weithrediadau Parhaol	119		119
Gwariant Gweithredu Arall			
Incwm a Gwariant Cyllido a Buddsoddi	37		37
Trethiant ac incwm grant amhenodol			
Gwahaniaeth rhwng gwarged neu ddiffyg y Gronfa Gyffredinol a Gwarged neu Ddiffyg y Datganiad Incwm a Gwariant Cynhwysfawr ar Ddarparu Gwasanaethau	156	-	156

12.1 Newid Clir ar gyfer yr Addasiadau Pensiynau

Newid clir ar gyfer dileu cyfraniadau pensiwn ac ychwanegu IAS19 Buddiannau Cyflogaion gwariant ac incwm cysylltiedig â phensiwn:

- O ran gwasanaethau, mae hyn yn cynrychioli dileu cyfraniadau pensiwn y cyflogwr a wnaed gan ERW fel y caniatwyd trwy statud a'u cyfnewid am gostau cyfredol gwasanaethau a chostau gwasanaethu'r gorffennol.
- O ran cyllido ac incwm a gwariant buddsoddi, caiff y llog clir ar y rhwymedigaeth budd diffiniedig ei godi ar y CIES.

13.0 NODIADAU AR Y DATGANIAD INCWM A GWARIANT CYNHWYSFAWR

13.1 GRANTIAU CYLLID

Dengys y tabl isod incwm grant penodol gan Lywodraeth Cymru a Chyrff Dyfarnu Grantiau Eraill sy'n cael ei drosglwyddo wedyn i'r Aelod-Awdurdodau. Ar y dudalen nesaf mae dadansoddiad pellach o'r Grantiau sy'n cael eu dal yn ganolog.

Grantiau Refeniw	2016-17	Grantiau a Clustnodwyd yn Uniongyrchol i Awdurdod	Grantiau a Ddaliwyd yn Ganolog	2017-18	Grantiau a Clustnodwyd yn Uniongyrchol i Awdurdod	Grantiau a Ddaliwyd yn Ganolog
	£000	£000	£000	£000	£000	£000
Grant Amddifadedd Disgyblion	(22,768)	(22,683)	(85)	(23,961)	(23,867)	(94)
Cymhwyster Cenedlaethol i Benaethiaid	(169)	-	(169)	(143)	-	(143)
DPP Dysgu mewn Digidol	(142)	-	(142)	(142)	-	(142)
Llythrennedd a Rhifedd ar gyfer Ysgolion Arbennig	(25)	-	(25)	0	-	0
TGAU	(1,015)	0	(1,015)	- 766.00	-	- 766.00
Cymorth i Benaethiaid	(21)	0	21.00	0	-	0
Bagloriaeth Cymru	(28)	-	(28)	(22)	-	(22)
Grant Gwella Addysg	(38,938)	(37,277)	(1,661)	(37,759)	(36,669)	(1,090)
Sicrhau Asesiad Athrawon	(14)	-	(14)	0	-	0
Ysgol Ragoriaeth ITM	(119)	57.00	(62)	(120)	0	(120)
Y Fargen Newydd	- 857.00	-	- 857.00	0	-	0
Her Ysgolion Cymru – Gyfran 2	(780)	- 754.00	(26)	0	0	0
Profion Rhifedd Cenedlaethol Bl 6	0	-	0	-	-	0
Ysgolion Arloesi Digidol	(1,575)	(1,412)	(163)	(2,419)	- 1,708.00	(711)
Cymedroli Athrawon Newydd Gymhwyso	(62)	-	(62)	(264)	-	(264)
Grant Y Cyngor Prydeinig	- 4.00	-	- 4.00	(6)	-	(6)
Her Ysgolion Cymru – Cyfran 3	(1,100)	- 924.00	(176)	(21)	0	(21)
Defnydd Anffurfiol o'r Gymraeg	- 196.00	- 194.00	- 2.00	(65)	-	(65)
ADY	- 296.00	- 226.00	- 70.00	(360)	(300)	(60)
Cynllun Rhagbrofi'r Gymraeg				(150)		
Asesu ar gyfer Dysgu				(129)		
Hyfforddiant a Deunyddiau'r Cyfnod Sylfaen				(5)		
Llythrennedd a Rhifedd				(125)		
Ysgolion sy'n Peri Pryder				(313)		
Safonau Addysgu Proffesiynol ac Ôl-16				(23)		
Profion Cenedlaethol				(5)		
Codi Safonau				(3,096)		
Adolygu a Diwygio				(63)		
Mwy abl a Thalentog				(100)		
Cyberthynas a rhywioldeb				(50)		
Ffyniant				(35)		
Cyfanswm y Grantiau Cyllid	(68,109)	(63,527)	(4,582)	(70,142)	(62,712)	(7,430)
Cyfanswm Holl Grantiau a Gynigiwyd i ERW	(68,109)	(63,527)	(4,582)	(70,142)	(62,712)	(7,430)

Rhodddwyd cyfrif am y grantiau cyllid uchod fel a ganlyn yn ystod y flwyddyn:

Grantiau Cyllid	2016-17	Grantiau a Clustnodwyd yn Uniongyrchol i Awdurdod	Grantiau Cyllid	2017-18	Grantiau a Clustnodwyd yn Uniongyrchol i Awdurdod	Grantiau a Ddelir yn Ganolog
	£0	£0	£0		£0	£0
Grantiau Llywodraeth Cymru a Dderbyniwyd	(67,802)	(63,527)	(4,275)	(69,872)	(62,712)	(7,160)
Cymwysterau Cymru	(28)	-	(28)	0	-	0
Gwasanaeth Cyflawni Addysg	(13)	-	(13)	0	-	0
Cyngor y Gweithlu Addysg	(62)	-	(62)	(264)	-	(264)
Cymdeithas Llywodraeth Leol Cymru	(200)	-	(200)	0	-	0
Y Cyngor Prydeinig	(4)	-	(4)	(6)	-	(6)
Grantiau a Gredydwyd fel Incwm yn y Flwyddyn	(65,914)	(62,883)	(3,031)	(68,142)	(60,125)	(8,017)

Caiff dadansoddiad pellach o'r Grantiau ei ddal yn ganolog:

Grantiau Cyllid		Grantiau a Ddaliwyd yn Ganolog
		£000
Taliadau i ysgolion drwy ALL am waith penodol		
Sir Gar	793	
Ceredigion	379	
Castell-nedd Port Talbot	486	
Sir Benfro	305	
Powys	464	
Dinas a Sir Abertawe	648	
Cyffredinol	40	
		3,115
Gwariant Arall		
Cyflogeion	2,540	
Grantiau'n cwmpasu'r tîm canolog	340	
Cludiant / Teithio	61	
Cyfieithu	70	
Cyflenwadau a Gwasanaethau	1,106	
Hwyluso	198	
		4,315
Cyfanswm gwariant		7,430

13.2 COSTAU PENSIYNAU

Mae Cydbwyllgor ERW yn cyfranogi mewn dau gynllun pensiwn:

13.2.1. Mae **Cynllun Pensiwn Dyfed**, sy'n cael ei weinyddu gan Gyngor Sir Gâr, yn gynllun buddiant diffiniedig gyda chronfa y mae cyflogeion a Chydbwyllgor ERW fel ei gilydd, trwy Gyngor Sir Penfro fel cyflogwyr, yn talu cyfraniadau iddo. Mae'r cynllun yn gweithredu dan y ddeddfwriaeth berthnasol i Bensiynau Llywodraeth Leol.

Cyfrifwyd cyfradd gyfansawdd cyfraniad y cyflogwr a ddefnyddiwyd yn 2017/18 gan actiwari'r Gronfa ar sail y prisiad fel yr oedd pethau ar 31 Mawrth 2016 ar gyfer holl gyflogeion Cydbwyllgor ERW sy'n aelodau o'r cynllun.

Prisiwyd y Gronfa fel yr oedd pethau ar 31 Mawrth 2016 ac mae canlyniadau'r prisiad hwn yn cael eu hadlewyrchu yng nghyfrifon 2017/18.

Mae'r datgeliadau isod yn ofynnol gan Safon Gyfrifyddu Ryngwladol 19 (IAS19), sy'n defnyddio tybiaethau ychydig yn wahanol i'r rhai a ddefnyddiwyd ym mhrisiad yr actiwari, a chânt eu cynhyrchu hefyd gan actiwari'r Gronfa ar ddiwedd pob blwyddyn ariannol.

Mae IAS19 yn gofyn prisio'r rhan fwyaf o asedau ar "werthoedd sylweddoladwy", h.y. gwerthoedd cynnig, yn hytrach na "gwerthoedd teg" (gwerthoedd canolog y farchnad i bob diben).

Llog ar Asedau

Dyma'r llog ar asedau a ddaliwyd ar ddechrau'r cyfnod a llifau arian yn ystod y cyfnod, wedi'i gyfrifo trwy ddefnyddio'r gyfradd ddisgowntio ar ddechrau'r flwyddyn. Caiff Cost Glir Llogau eu cyfrifo fel llog ar rwymedigaethau pensiynau llai'r llog ar asedau.

Cydnabod Enillion a Cholledion Actiwaraid

Caiff holl enillion a cholledion actiwaraid eu cydnabod ym mlwyddyn eu digwydd trwy Incwm a Gwariant Cynhwysfawr Arall. Caiff enillion a cholledion actiwaraid ar rwymedigaethau oherwydd newidiadau mewn tybiaethau actiwaraid eu rhannu rhwng effaith newidiadau mewn tybiaethau ariannol a newidiadau mewn tybiaethau demograffig.

Treuliau

Caiff costau gweinyddol eu cydnabod fel eitem ar wahân o fewn cost pensiynau. Caiff treuliau buddsoddi eu trin fel colled ar ased a'u cydnabod felly trwy Incwm a Gwariant Cynhwysfawr Arall.

13.2.2 Y Cynllun Pensiwn Athrawon

Yr Adran dros Addysg sy'n gweinyddu'r cynllun. Mae hwn yn gynllun heb gronfa, sy'n golygu nad oes unrhyw asedau buddsoddi wedi cronni i dalu costau pensiwn cyn iddynt ddigwydd ac, felly, nid oes unrhyw asedau neu rwymedigaethau cronfa yn ymddangos ym Mantolen Cydbwyllgor ERW.

Trafodion Cyllidol

Cofnodion y Datganiad Incwm a Gwariant Cynhwysfawr sydd yn y Gwariant Gweithredu Clir	2016-17		2017-18	
	£000	£000	£000	£000
Llog ar Rwymedigaethau Pensiynau	98		170	
Llog ar Asedau'r Cynlluniau	(80)	18	(133)	37
Cost Gwasanaeth Presennol		77		228
		95		265
Datganiad Symudiad ar Gofnodion Gweddill Cronfa'r Cyngor				
Gwrthdroi Cofnodion IAS 19 Uchod:		(95)		(265)
Gwir Daliadau a Wnaed yn y Flwyddyn				
Gwir Swm a Godwyd yn y Cyfnod	52	53	109	109
Addasiad Clir Gofynnol		(43)		(156)

13.3 COSTAU EITHRIADOL

Ni chafwyd unrhyw gostau eithriadol yn y cyfnod.

13.4 MANYLION TALIADAU CYDNABYDDIAETH

13.4.1 Dengys y tablau canlynol ddatgeliad o gydnabyddiaeth i Staff Uwch Cydbwyllgor ERW:

- Rheolwr Gyfarwyddwr a Staff Uwch Eraill gan gynnwys cyfraniadau pensiwn neu daliadau cyfatebol. Cyfanswm y gyfradd gyfraniadau o ran cyfraniadau pensiwn y cyflogwr oedd 15.5% ar gyfer 2016/17 a 15.8% ar gyfer 2017/18.
- Cyflogeion Eraill yn derbyn cydnabyddiaeth o £60,000 neu fwy (heb gynnwys cyfraniadau pensiwn y cyflogwr) mewn haenau o £5,000.

Uwch-swyddogion	Bl.	Cyflog Crynswth, Ffioedd ac Thaliadau Eraill	Cyfraniadau Pensiwn y Cyflogwr i Gynllun Pensiwn Llywodraeth Leol	Buddiannau mewn da
Rheolwr Gyfarwyddwr	2016/17	£81,614	£12,650	-
Rheolwr Gyfarwyddwr	2017/18	* £90106	£14,093	-

Cyflogeion Eraill	Nifer y Cyflogeion	
Hen Gydnabyddiaeth	2016/17	2017/18
£60,000 - £64,999	-	2

* Yn cynnwys dau bwynt SPA ychwanegol (soulbury) wedi'i ôl-ddyddio i 1 Mai 2015 a thrydydd SPA o 1 Mai 2017, oll a ddyfarnwyd ym mis Ionawr 2018.

Mae swyddogaethau uwch-swyddog eraill o fewn Cydbwyllgor ERW nad ydynt yng nghyflogaeth y Consortiwm ac nad ydynt yn derbyn unrhyw gydnabyddiaeth drwy'r swyddogaethau ychwanegol a wnânt ar ran y rhanbarth. Maent yn cynnwys:

Prif Weithredwr Arweiniol - Abertawe (Sir Gâr am ran o 2017-18)
 Cyfarwyddwr Addysg Arweiniol - Powys (Castell-nedd Port Talbot am ran o 2017-18)
 Adran 151 / Cyfarwyddwr Cyllid - Sir Benfro
 Swyddog Arolygu - Ceredigion

Hefyd ar y Bwrdd Gweithredol mae'r pum Cyfarwyddwr Addysg arall o Gastell-nedd Port Talbot, Sir Gâr, Ceredigion, Sir Benfro ac Abertawe.

I gael gwybodaeth am gydnabyddiaeth yr unigolion uchod ac aelodau'r staff a secondiwyd, dylai defnyddwyr gyfeirio at ddatganiad cyfrifon yr Awdurdod Lleol priodol.

13.4.2 Buddion Terfynu

Nid oedd unrhyw derfyniadau yn ystod 2016-17 na 2017-18.

13.5 FFIODED ARCHWILIO

Yr amcangyfrif yw y bydd y symiau canlynol yn daladwy i Swyddfa Archwilio Cymru am y flwyddyn:

	2016/17 £000	2017/18 £000
Ffioedd sy'n daladwy i Swyddfa Archwilio Cymru mewn perthynas â gwasanaethau archwilio allanol a ddarparwyd gan yr Archwilydd Penodedig ar gyfer y flwyddyn	13	14
Cyfanswm	13	14

13.6 PARTIÖN PERTHYNOL

Mae partiön perthynol yn cyfeirio at gyrff neu unigolion a allai reoli neu ddylanwadu ar Cydbwyllgor ERW neu fod dan ddylanwad neu reolaeth Cydbwyllgor ERW gan gyfyngu felly ar allu Cydbwyllgor ERW neu'r ochr arall i weithredu'n annibynnol.

Yn ogystal, talwyd £ 3,060 i Goleg Sir Benfro, Mae'r Cyfarwyddwr Cyllid yn Aelod o Fwrdd Coleg Sir Benfro.

Mae enghreifftiau eraill lle gall Aelodau'r Bwrdd Gweithredol, swyddogion arweiniol ac Aelodau Cydbwyllgor ERW fynychu cyfarfodydd y cyrff trydydd-parti ond heb fod â'r gallu uniongyrchol i reoli. Fodd bynnag, fe all y barnau a fynegant ddylanwadu ar benderfyniadau a pholisi.

13.6.1 Cysylltiadau Perthnasol

Nodwyd y cysylltiadau perthnasol canlynol lle mae dylanwad perthnasol yn bodoli.

Llywodraeth Cymru

Llywodraeth Cymru sydd â chyfrifoldeb dros y fframwaith statudol ac oddi yno y daw mwyafrif cyllid Cydbwyllgor ERW, llawer ohono dan delerau ac amodau penodol. Fe all y cyrff, felly, arfer rheolaeth effeithiol dros weithrediadau Cydbwyllgor ERW. Mae manylion grantiau a dderbyniwyd i'w gweld yn nodyn 13.1. Caiff derbyniadau grant sy'n disgwyl sylw ar 31 Mawrth 2018 eu cyflwyno yn nodyn 15.1.3.

mae'r tabl canlynol yn dangos cyfanswm y trafodion a'r balansau diwedd blwyddyn gyda'r chwech Awdurdod Lleol in y Rhanbarth.

	Cydbwysedd sy'n ddyledu ar ddiwedd y flwyddyn £000's	Cyfanswm y trafodion yn ystod y flwyddyn £000's
Trafodion gyda Awdurdodau Lleol.		
Sir Caerfyrddin	1,967	14,474
Sir Benfro	1,331	8,952
Castell-nedd Port Talbot	1,520	11,828
Dinas a Sir Abertawe	2,159	18,783
Powys	709	8,859
Ceredigion	418	4,865
Cyfanswm	8,104	67,761

13.7 SYMIAU A HYSBYSWYD AR GYFER PENDERFYNIADAU DYRANNU ADNODDAU

Caiff y Datganiad Incwm a Gwariant Cynhwysfawr ei baratoi trwy ddefnyddio'r polisïau cyfrifyddu sydd i'w gweld yn nodyn 10.4 i ateb gofynion y Cod Ymarfer ar gyfer Cadw Cyfrifon Awdurdodau Lleol.

Caiff penderfyniadau ar ddyrannu adnoddau eu gwneud gan y Cydbwyllgor ar sail adroddiadau ar y gyllideb a baratowyd ar wahanol sail trwy ddefnyddio'r grwpiau gwasanaethau yn y Cod Ymarfer ar Adroddiadau Gwasanaethau (SERCOP).

Yn arbennig:

- Seiliwyd cost budd-daliadau ymddeol ar lifau arian (talu cyfraniadau pensiynau'r cyflogwr) yn hytrach na chost gyfredol buddiannau a gronnwyd yn y flwyddyn i'r gwasanaeth.

13.7.1 Cost Clir Gwasanaethau wedi'u Dadansoddi yn ôl y Math o Incwm a Gwariant

Dengys y cysoni hwn sut mae'r ffigurau yn y Crynodeb Refeniw Clir yn cysylltu â'r symiau sydd yn y Datganiad Incwm a Gwariant Cynhwysfawr (nodyn 11.2).

Gwariant Gwirioneddol 2017-18	Gwariant Tîm Canolog ERW £000	Gwariant Grantiau Penodol ERW £000	Cyfanswm y Gwariant £000
Cyfraniadau Awdurdodau Lleol	(250)	-	(250)
Grantiau'r Llywodraeth	(340)	(69,538)	(69,878)
Incwm Grant Arall	(4)	(264)	(268)
Cyfraniadau gan Consortias Eraill			
Cyfanswm Incwm	(594)	(69,802)	(70,396)
Costau Cyflogeion	450	2,540	2,990
Costau Gweithredu Eraill	110	1,435	1,545
Gwasanaethau Cymorth	94	-	94
Taliadau i ysgolion Trwy Awdurdodau Lleol ar gyfer gwaith penodol	-	3,115	3,115
Grantiau a Drosglwyddwyd i ALI	-	62,712	62,712
Cyfanswm y Costau	654	69,802	70,456
Cost Clir Gwasanaethau	60	-	60
Cysoniad â Chostau Clir Gwasanaethau yn y Datganiad Incwm a Gwariant Cynhwysfawr			
Cost Clir Gwasanaethau			60
Ychwanegu Addasiadau Ariannol heb fod yn yr Incwm a Gwariant Cynhwysfawr			156
Dileu symiau heb fod yn yr Incwm a Gwariant Cynhwysfawr			-
Cost Clir Gwasanaethau Datganiad Incwm a Gwariant Cynhwysfawr			216

Gwariant Gwirioneddol 2016-17	Gwariant Tîm Canolog ERW £000	Gwariant Grantiau Penodol ERW £000	Cyfanswm y Gwariant £000
Cyfraniadau Awdurdodau Lleol	(250)	-	(250)
Grantiau'r Llywodraeth	(310)	(67,492)	(67,802)
Incwm Grant Arall	(21)	(307)	(328)
Cyfraniadau gan Consortias Eraill			
Cyfanswm Incwm	(581)	(67,832)	(68,413)
Costau Cyflogeion	376	1,116	1,492
Costau Gweithredu Eraill	105	1,581	1,686
Gwasanaethau Cymorth	30	-	30
Taliadau i ysgolion Trwy Awdurdodau Lleol ar gyfer gwaith penodol	-	1,608	1,608
Grantiau a Drosglwyddwyd i ALI	-	63,527	63,527
Cyfanswm y Costau	511	67,832	68,343
Cost Net Gwasanaethau	(70)	-	(70)
Cysoniad â Chostau Clir Gwasanaethau yn y Datganiad Incwm a Gwariant Cynhwysfawr			
Cost Net Gwasanaethau			(70)
Ychwanegu Addasiadau Ariannol heb fod yn yr Incwm a Gwariant Cynhwysfawr			43
Dileu symiau heb fod yn yr Incwm a Gwariant Cynhwysfawr			-
Cost Clir Gwasanaethau Datganiad Incwm a Gwariant Cynhwysfawr			(27)

14.0 NODIADAU AR Y SYMUDIAD MEWN CRONFEYDD

14.1 ADDASIADAU RHWNG Y SAIL GYFRIFYDDU A'R SAIL GYLLIDO REOLEIDDIOL

Pethau Gwirioneddol	2016-17		2017-18	
	Cronfeydd Defnyddiad wy ERW £000	Cronfeydd Annefnyddiadwy ERW £000	Cronfeydd Defnyddiad wy ERW £000	Cronfeydd Annefnyddiadwy ERW £000
Symiau yn y Cyfanswm Incwm a Gwariant Cynhwysfawr sy'n ofynnol eu heithrio trwy reoliad i gyrraedd y sefyllfa ariannol Addasiad Cost Pensiynau	95	-95	265	(265)
Symiau a eithriwyd o'r Cyfanswm Incwm a Gwariant Cynhwysfawr sy'n ofynnol eu heithrio trwy reoliad i gyrraedd y sefyllfa ariannol Cyfraniad y Cyflogwr at y Cynllun Pensiwn	(52)	52	(109)	109
Addasiad Clir Gofynnol	43	(43)	156	(156)

14.2 CRONFEYDD DEFNYDDIADWY

Cronfeydd Defnyddiadwy	Gweddill ar 1af Ebrill 2017 £000	Cyfraniad o Gyfrifon Cyllid £000	Cyfraniad at Gyfrifon Cyllid £000	Gweddill ar 31ain Mawrth 2018 £000
Cronfeydd a Glustnodwyd	- 442.00	-	60	(382)
Cronfa Waith Gyffredinol	(100)	-		(100)
Cyfanswm Adnoddau Defnyddiadwy	(542)	0	60	(482)

14.3 CRONFEYDD ANNEFNYDDIADWY

Mae'r trafodion yng nghyfrifon y gronfa annefnyddiadwy a grynhoir isod i'w cael yn fanylach yn nodyn 6.3.

Cronfeydd Annefnyddiadwy	Gweddill ar 1af Ebrill 2017 £000	Symudiad yn y Flwyddyn £000	Gweddill ar 31ain Mawrth 2018 £000
Cronfa Bensiynau	136	156	292
Cyfanswm Cronfeydd Annefnyddiadwy	136	156	292

15.0 NODIADAU I'R FANTOLEN

15.1 DYLEDWYR A CHREDYDWYR

15.1.1 Dyledwyr a Rhagdaliadau

Caiff holl symiau a gynhwyswyd fel asedau eu dangos ar werth y farchnad (teg).

	Clir 1af Ebrill 2017 £000	Crynswth 31ain Mawrth 2017 £000	Lwfans amhariad £000	Clir 31ain Mawrth 2018 £000
Symiau sy'n daladwy mewn blwyddyn:				
Llywodraeth Cymru			-	
Awdurdodau Lleol ac Ysgolion	-	-	-	-
Dyledwyr Eraill	-	4.00	-	4.00
Cyfanswm y Dyledwyr	10,152	10,197	-	10,197

15.1.2 Credydwyr

	Gweddill 31ain Mawrth 2018			
	Credydwyr Byrdymor £000	Derbyniadau Grantiau Cyllid o Flaen Llaw £000	Derbyniadau Grantiau Cyfalaf o Flaen Llaw £000	Cyfanswm Credydwyr £000
Symiau sy'n daladwy mewn blwyddyn:				
Llywodraeth Cymru	-	723.00	-	723.00
Awdurdodau Lleol ac Ysgolion	(8,382)	-	-	(8,382)
Credydwyr Eraill	0	-	-	0
Cyfanswm y Credydwyr	(8,396)	(723)	-	(9,119)

	Gweddill 31ain Mawrth 2018			
	Credydwyr Byrdymor £000	Derbyniadau Grantiau Cyllid o Flaen Llaw £000	Derbyniadau Grantiau Cyfalaf o Flaen Llaw £000	Cyfanswm Credydwyr £000
Symiau sy'n daladwy mewn blwyddyn:				
Llywodraeth Cymru	-	378.00	-	378.00
Awdurdodau Lleol ac Ysgolion	(8,390)	0	-	(8,390)
Credydwyr Eraill	-	-	-	-
Cyfanswm y Credydwyr	(8,390)	-	-	(8,768)

15.1.3 Dadansoddiad Pellach o Ddadansoddiad Credydwyr Byrdymor

Dadansoddiad o Gredydwyr Byrdymor	2016-17 £000	2017-18 £000
Y Grant Amddifadedd Disgyblion	6,729	7,212
Cymhwyster Cenedlaethol i Benaethiaid	46	10
Rhaglen DPP Dysgu mewn Digidol	27	-
TGAU	95	64
Llythrennedd Corfforol	5	-
Bagloriaeth Cymru	5	6
Grant Gwella Addysg	593	146
Ysgol Ragorol ITM	10	8
Y Fargen Newydd	114	-
Ysgolion Arloesi Digidol	316	37
Cymedroli Athrawon Newydd Gymhwysu	15	-
Grant y Cyngor Prydeinig	1	4
Her Ysgolion Cymru – Cyfran 3	331	70
Cymraeg Anffurfiol	4	-
Anghenion Dysgu Ychwanegol	63	212
Codi Safonau		506
Ysgolion sy'n Peri Pryder		14
Asesu ar gyfer Dysgu		11
Hyfforddiant Cyfnod Sylfaen		2
Llythrennedd a Rhifedd		34
Ffyniant		35
Cyfanswm Rhwymedigaethau Cyfredol Grantiau Cyllid	8,354	8,371
Y Tîm Canolog	26	25
Tanwariant Abertawe i'w ddychwelyd i Lywodraeth Cymru	10	-
Cyfanswm Credydwyr Dyledus 31ain Mawrth	8,390	8,396

15.2. ARIAN A CHYWERTHOED ARIAN

	Gweddill 31ain Mawrth 2017 £000	Gweddill 31ain Mawrth 2018 £000
Arian yn y Banc/Mewn Llaw	0	-
Cyfrifon Banc ar Alw	-	-
Arian Parod Dyledus	(842)	(596)
Cyfanswm Arian a Chydweithoedd Arian	(842)	(596)

15.3 RHWYMEDIGAETH AMODOL

Trethi Busnes (NNDR)

Yn ddiweddar cafodd ERW fil am £27k gan y landlord (Prifysgol y Drindod Dewi Sant) o ran NNDR ar swyddfeidd 'Y Llwyfan', am y cyfnod 2010 – 2017. Heriwyd y swm hwn oherwydd ei bod yn ymddangos bod Prydles ERW yn cynnwys NNDR.

Grant Adolygu a Diwygio

Dyfarnwyd grant o £250k i ERW gan Lywodraeth Cymru i gynnal Adolygiad a Diwygiad o'i strwythur llywodraethu a staffio a fyddai'n cynnwys ei batrwm gweithredu. Paratowyd cyfrifon 2017-18 ar y sail bod £63k wedi'i gyllido o'r grant hwn. Fodd bynnag, mae'r awdurdodau lleol wedi methu cytuno ar batrwm gweithredu newydd ar gyfer ERW a gohiriwyd y broses. Felly, mae perygl na fydd Llywodraeth Cymru'n talu'r grant hwn i ERW.

Cyfraniadau Awdurdodau Lleol

Paratowyd Cyllideb 2018-19 ar sail bod yr awdurdodau lleol partner yn cyfrannu cyfraniadau craidd o £250k yn gymesur â nifer y disgyblion sy'n mynychu ysgolion pob awdurdod lleol. Hysbyswyd y Cydbwyllgor y paratowyd cyllideb Cyngor Sir Castell-nedd Port Talbot heb ddarpariaeth gyllidebol ar gyfer ei gyfraniad craidd i ERW. Ni chafodd y mater hwn ei ddatrys.

15.4 CRONFA BENSIYNAU

Mae'r Gronfa Bensiynau'n berthnasol i Gynllun Pensiwn Dyfed (gwelwch nodyn 13.2.1) ac mae'n llyncu'r gwahaniaethau amseriad sy'n deillio o'r trefniadau gwahanol ar gyfer cyfrif am fuddiannau ar ôl cyflogaeth ac am fuddiannau cyllido'n unol â darpariaethau statudol.

Mae'r gweddill dyledus ar y Gronfa Bensiynau'n adlewyrchu'r diffyg ar adeg rhwng y buddiannau a enillwyd gan gyflogeion blaenorol a phresennol a'r adnoddau o ran asedau cronfa pensiwn sy'n ofynnol eu talu. Dylai'r trefniadau statudol ar gyfer rheoli'r Gronfa sicrhau y neilltuwyd cyllid erbyn y bydd angen talu'r buddiannau.

	2016-17 £000	2017-18 £000
Gweddill 1ain Ebrill	93	136
Ailfesur Rhwymedigaethau ac Asedau Pensiwn	-	-
Gwrthdroi eitemau taladwy i'r gwarged/diffyg ar ddarparu gwasanaethau yn y Datganiad Incwm a Gwariant Cynhwysfawr	95	265
Cyfraniadau pensiwn y cyflogwr a thaliadau uniongyrchol eraill yn y flwyddyn	(52)	(109)
Gwedill 31ain Mawrth	136	292

CYD-BWYLLGOR ERW 16 GORFFENNAF 2018

ADRODDIAD ISA 260 SAC

Pwrpas:

Cyflwyno adroddiad ISA 260 Swyddfa Awdit Cymru am gyfrifon ERW a, 2017-18 i'r Cyd-Bwyllgor

Argymhellion / Penderfyniadau Angenrheidiol:

I'r Cyd-Bwyllgor dderbyn yr adroddiad

Rheswm:

Cydymffurfio gydag Awdit.

Awdur:	Swydd: :	Tel No.
Jonathan Haswell	Swyddog Adran 151 / Section 151 Officer	E. Mail:



**EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
16TH JULY 2018**

WAO ISA 260 REPORT

BRIEF SUMMARY OF PURPOSE OF REPORT

Due to the timescales involved, the WAO ISA 260 Report will be submitted on the day of the Joint Committee meeting – 16/7/2018.

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

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

1. Finance

The ISA 260 report will evaluate the financial operations of ERW

CONSULTATIONS

Details of any consultations undertaken are to be included here
N/A

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

THERE ARE NONE



Mae'r dudalen hon yn wag yn fwriadol

CYD-BWYLLGOR ERW 16 GORFFENNAF 2018

CYNLLUN AWDIT SWYDDFA AWDIT CYMRU AM ERW 2017-18

Pwrpas:

Cyflwyno diweddriad i'r Cyd-Bwyllgor ar waith Swyddfa Awdit Cymru tra'n gweithredu eu dyletswyddau statudol.

Argymhellion / Penderfyniadau Angenrheidiol:

1. Cymeradwyo cynllun awdit SAC
2. Cymeradwyo'r ffi awdit o £14,000
3. Cytuno'r amserlen
4. Cytuno'r cyfrifoldebau priodol

Rheswm:

Scirhau cymeradwyaeth y Cyd-Bwyllgor

<p>Awdur: Jeremy Saunders</p>	<p>Swydd: Rheolwr Awdit SAC</p>	<p>Rhif Cyswllt. 07810832434</p> <p>E-Bost Jeremy.saunders@audit.wales</p>
--	--	--

EXECUTIVE SUMMARY



ERW JOINT COMMITTEE

16 JULY 2018

WAO AUDIT PLAN 2017-18

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 NONE	Legal YES	Finance YES	Risk Management Issues YES	Staffing Implications NONE
1. Legal The audit of the ERW accounts is a statutory requirement				
2. Finance As detailed in the report				
3. Risk Management As detailed in the report				

CONSULTATIONS

Not Applicable

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

THERE ARE NONE



Mae'r dudalen hon yn wag yn fwriadol



WALES AUDIT OFFICE
SWYDDFA ARCHWILIO CYMRU

Archwilydd Cyffredinol Cymru
Auditor General for Wales

Audit Plan – Education through Regional Working (ERW) Joint Committee

Audit year: 2017-2018

Date issued: June 2018

Document reference: 453A2018-19

This document has been prepared for the internal use of 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 the Wales Audit Office 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, the Wales Audit Office and, where applicable, the appointed auditor are relevant third parties.

Any enquiries regarding disclosure or re-use of this document should be sent to the Wales Audit Office 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.

Mae'r ddogfen hon hefyd ar gael yn Gymraeg. This document is also available in Welsh.

This document was produced by Anthony Veale and Jeremy Saunders.

Contents

2018 Audit Plan

Summary	4
Audit of accounts	4
Fee, audit team and timetable	7
Future developments to my audit work	8

Appendices

Appendix 1 – respective responsibilities	9
Appendix 2 – other future developments	11
Appendix 3 – national value-for-money studies	14

2018 Audit Plan

Summary

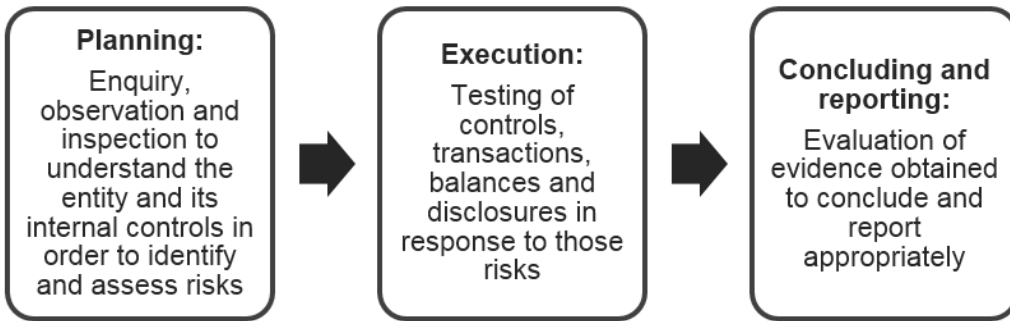
- 1 As your external auditor, my objective is to carry out an audit which discharges my statutory duties as Auditor General and fulfils my obligations under the Public Audit (Wales) Act 2004, the Local Government (Wales) Measure 2009 (the Measure), Wellbeing of Future Generations (Wales) Act 2015, the Local Government Act 1999, and the Code of Audit Practice, namely to:
 - examine and certify whether your financial statements are 'true and fair', and;
 - assess whether you have made proper arrangements for securing economy, efficiency and effectiveness in the use of resources;
- 2 The purpose of this plan is to set out my proposed work, when it will be undertaken, how much it will cost and who will undertake it.
- 3 There have been no limitations imposed on me in planning the scope of this audit.
- 4 My responsibilities, along with those of management and those charged with governance, are set out in [Appendix 1](#).

Audit of accounts

- 5 It is my responsibility to issue a certificate and report on the financial statements which includes an opinion on their 'truth and fairness'. This provides assurance that the accounts:
 - are free from material misstatement, whether caused by fraud or error;
 - comply with statutory and other applicable requirements; and
 - comply with all relevant requirements for accounting presentation and disclosure.
- 6 I also consider whether or not the Education through Regional Working Joint Committee has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources and report by exception if the Annual Governance Statement does not comply with requirements.
- 7 [Appendix 1](#) sets out my responsibilities in full.
- 8 The audit work I undertake to fulfil my responsibilities responds to my assessment of risks. This understanding allows me to develop an audit approach which focuses on addressing specific risks whilst providing assurance for the financial statements as a whole. My audit approach consists of three phases as set out in [Exhibit 1](#).

Exhibit 1: my audit approach

My audit approach involves three key stages: planning, execution and finally concluding and reporting



9 The risks of material misstatement to the financial statements are set out in **Exhibit 2**, along with the work I intend to undertake to address them.

Exhibit 2: financial statement risks

This table summarises the key financial audit risks identified at the planning stage of the audit. Continuing the good progress made in previous years, the Joint Committee is planning to prepare its financial statements and we are planning to audit them to the early closure deadlines that will be required in future years.

Financial statement risk	Proposed audit response
<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>Employee and secondee costs The Committee’s staffing structure includes a mixture of centrally employed staff and secondee staff who are generally funded from grant income. There is a risk that salary costs are being inappropriately funded from grant income and that disclosures in the financial statements do not adequately distinguish between central and secondee staff.</p>	<p>My audit team will review salary expenditure to ensure that allocations from grant income and disclosures in the financial statements are appropriate.</p>

Financial statement risk	Proposed audit response
<p>Senior Officer Remuneration Disclosures</p> <p>There is a risk that the disclosures in the financial statements do not fully reflect Senior Officer remuneration.</p>	<p>My audit team will review the senior officer remuneration disclosures for completeness and accuracy and agree disclosures to primary supporting documentation.</p>

- 10 I do not seek to obtain absolute assurance on the truth and fairness of the financial statements and related notes, but adopt a concept of materiality. My aim is to identify material misstatements, that is, those that might result in a reader of the accounts being misled. The levels at which I judge such misstatements to be material will be reported to the Joint Committee prior to completion of the audit.
- 11 For reporting purposes, I will treat any misstatements below a 'trivial' level 5% of materiality as not requiring consideration by those charged with governance and therefore I will not report them.
- 12 My fees are based on the following assumptions:
- information provided to support the financial statements is timely, to the quality expected and has been subject to quality assurance review. This is particularly important as ERW intends to present draft statements by 31 May 2018, a month ahead of the current statutory deadline;
 - appropriate accommodation and facilities are provided to enable my audit team to deliver the audit in an efficient manner;
 - all appropriate officials 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; and
 - Internal Audit's planned programme of work is complete and management has responded to issues that may have affected the financial statements.
- 13 Due to a change in staffing in Finance in 2016-17, there were difficulties in obtaining some information to support the audit leading to a delay in completion of the audit. My audit team will review the information provided during the audit to assess its completeness.

Statutory audit functions

- 14 In addition to the audit of the accounts, I have statutory responsibilities to receive questions and objections to the accounts from local electors. These responsibilities are set out in the Public Audit (Wales) Act 2004:
- Section 30 Inspection of documents and questions at audit; and
 - Section 31 Right to make objections at audit.
- 15 Audit fees will be chargeable for work undertaken in dealing with electors' questions and objections. Because audit work will depend upon the number and

nature of any questions and objections, it is not possible to estimate an audit fee for this work.

- 16 If I do receive questions or objections, I will discuss potential audit fees at the time.

Fee, audit team and timetable

Fee

- 17 Your estimated audit fee is £13,000. This figure represents a 6.5% decrease compared to the fee invoiced for the 2017 audit.
- 18 As per our approved Fee Scheme for 2018-19, a small increase has been applied to my fee rates (less than 1%) which we have looked to offset by a small reduction in audit days.

Audit team

- 19 The main members of my team, together with their contact details, are summarised in [Exhibit 3](#).

Exhibit 3: my team

This table provides contact details for the audit team

Name	Role	Contact number	E-mail address
Anthony Veale	Engagement Director – Financial Audit	07896 271873	anthony.veale@audit.wales
Jeremy Saunders	Financial Audit Manager	07810 832434	jeremy.saunders@audit.wales
Julie Owens	Financial Audit Team Leader	07581 499092	julie.owens@audit.wales

- 20 I can confirm that my team members are all independent of the Education through Regional Working 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.

Timetable

- 21 I will provide reports, or other outputs as agreed, to the Education through Regional Working Joint Committee covering the areas of work identified in this document. My key milestones are set out in [Exhibit 4](#).

Exhibit 4: timetable

This table sets out my proposed timetable for completion and reporting of my audit work at the Authority

Planned output	Work undertaken	Report finalised
2018 Audit Plan	March 2018	June 2018
Financial accounts work: <ul style="list-style-type: none">• Audit of Financial Statements Report• Opinion on Financial Statements• Financial Accounts Memorandum	March to July 2018	July 2018 July 2018 September 2018
2019 Audit Plan	October to December 2018	February/March 2019

* Estimated dates. Reporting subject to timely clearance of draft findings with ERW.

Future developments to my audit work and details of my value for money studies programme

- 22 Details of future developments including changes to key International Financial Reporting Standards (IFRS) and of the Wales Audit Office's Good Practice Exchange (GPX) seminars are set out in [Appendix 2](#).
- 23 For information, details of my national value for money programme of work is included in [Appendix 3](#).

Appendix 1

Respective responsibilities

Audit of accounts

As amended by the Public Audit (Wales) Act 2013, the Public Audit (Wales) Act 2004 sets out my powers and duties to undertake your financial audit. It is my responsibility to issue a certificate and report on the financial statements which includes an opinion on:

- their 'truth and fairness', providing assurance that they:
 - are free from material misstatement, whether caused by fraud or error;
 - comply with the statutory and other applicable requirements; and
 - comply with all relevant requirements for accounting presentation and disclosure.
- the consistency of information in the Annual Report with the financial statements.

I must also state by exception if the Annual Governance Statement does not comply with requirements, if proper accounting records have not been kept, if disclosures required for remuneration and other transactions have not been made or if I have not received all the information and explanations I require.

The Public Audit (Wales) Act 2004 requires me to assess whether Education through Regional Working Joint Committee has made proper arrangements for securing economy, efficiency and effectiveness in the use of resources. To achieve this, I consider:

- the results of the audit work undertaken on the financial statements;
- the Education through Regional Working Joint Committee's system of internal control, as reported in the Annual Governance Statement and my report thereon;
- the results of other work carried out including work carried out under the Local Government (Wales) Measure 2009 (the Measure), certification of claims and returns, and data-matching exercises;
- the results of the work of other external review bodies where relevant to my responsibilities; and
- any other work that addresses matters not covered by the above, and which I consider necessary to discharge my responsibilities.

The Public Audit (Wales) Act 2004 sets out the rights of the public and electors to inspect the Education through Regional Working Joint Committee's financial statements and related documents, to ask me, as the Appointed Auditor questions about the accounts and, where appropriate, to challenge items in the accounts. I must also consider whether in the public interest, I should make a report on any matter which comes to my notice in the course of the audit.

My audit work does not relieve management and those charged with governance of their responsibilities which include:

- the preparation of the financial statements and Annual Report in accordance with applicable accounting standards and guidance;
- the keeping of proper accounting records;
- ensuring the regularity of financial transactions; and
- securing value for money in the use of resources.

Management agrees to provide me with:

- access to all information of which management is aware that is relevant to the preparation of the financial statements such as records, documentation and other matters;
- additional information that I may request from management for the purpose of the audit; and
- unrestricted access to persons within Education through Regional Working Joint Committee from whom I determine it necessary to obtain audit evidence.

Management will need to provide me with written representations to confirm:

- that it has fulfilled its responsibilities for the preparation of the financial statements;
- that all transactions have been recorded and are reflected in the financial statements;
- the completeness of the information provided to me for the purposes of the audit; and
- to support other audit evidence relevant to the financial statements or specific assertions in the financial statements if I deem it necessary or if required by ISAs.

Appendix 2

Other future developments

Forthcoming key IFRS changes

Exhibit 5: forthcoming key IFRS changes

There are three key changes to accounting rules that will impact on the authority over the next three years.

Standard	Effective date	Further details
IFRS 9 Financial instruments	2018-19	IFRS 9 financial instruments will replace IAS 39 and includes a new principles-based approach for the classification and measurement of financial assets. It also introduces a new impairment methodology for financial assets based on expected losses rather than incurred losses. This will result in earlier and more timely recognition of expected credit losses. The accounting requirements for financial liabilities are almost all carried forward unchanged from IAS 39.
IFRS 15 Revenue from contracts with customers	2018-19	IFRS 15 revenue from contracts with customers introduces a principles-based five-step model for recognising revenue arising from contracts with customers. It is based on a core principle requiring revenue recognition to depict the transfer of promised goods or services to the customer in an amount that reflects the consideration the body expects to be entitled to, in exchange for those goods or services. It will also require more extensive disclosures than are currently required.
IFRS 16 Leases	2019-20	IFRS 16 will replace the current leases standard IAS 17. 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. This is a significant change in lessee accounting.

General Data Protection Regulation (GDPR)

The GDPR is a new data protection law for the whole of the EU applicable from 25 May 2018, which has the intention of harmonising and updating data protection laws. The UK Government has introduced the Data Protection Act which will incorporate the GDPR into UK law and replace the 1998 Data Protection Act, and also came into force on 25 May 2018.

The GDPR introduced new requirements for personal data processing, including an accountability principle which will require more detailed records of the processing of personal data, evidence of compliance with the data protection principles and the technical and organisational security measures taken to protect the data. We have updated our own policies, processes and documentation with a view to meeting these requirements and expect that the bodies we audit will have taken similar steps. Key areas of additional work include the use of more detailed fair processing notices, more privacy impact assessments and more extensive record keeping in relation to processing activities.

Wales Pension Partnership

The administering authorities for the eight Local Government Pension Scheme (LGPS) funds in Wales have established a pension investment pool in line with government requirements. The Wales Pension Partnership Joint Governance Committee will, from April 2018 onwards, oversee the pooling of some £15 billion of investments from the eight LGPS funds in Wales.

The relevant authorities need to be fully engaged in this process to ensure that appropriate arrangements are put in place that meet their requirements and to achieve the benefits of pooling which include economies of scale and reduced costs.

Good Practice Exchange

The Wales Audit Office's Good Practice Exchange (GPX) helps public services improve by sharing knowledge and practices that work. Events are held where knowledge can be exchanged face-to-face and resources shared online.

Exhibit 6: Planned forthcoming GPX webinars and Seminars.

My planned GPX programme includes 7 subject areas

Date	Format	Topic
July 2018	Seminar	Building Resilient Communities. Focusing on renewable energy, community skills, Welsh Language, housing and economy and Public Health Wales.

Date	Format	Topic
September 2018	Seminar	Partnership working between Voluntary bodies and Public Sector Bodies. Will also include the launch of the Good Practice Guide to Grants Management.
October 2018	Webinar	Financial Audit – Early Closure of Local Government Accounts. Focussing on cultural and behaviour changes.
December 2018	Seminar	Alternative Service Delivery Models. In partnership with WLGA, WCVA, Community Housing Cymru, Welsh NHS Confederation and Good Practice Wales.
January 2019	Webinar	Cybersecurity. Focusing on governance arrangements.
February 2019	Seminar	Preventing Hospital Admissions. Jointly with NHS, Social Care, Housing and partners from the Third Sector.
March 2019	Seminar	Youth. Following thematic reports from Estyn, CSSIW, HIW and the Wales Audit Office on the topic of youth. The GPX team will follow on with a seminar to share the learning.

Appendix 3

National value-for-money studies

The Joint Committee may also be interested in the national value-for-money examinations that I undertake, some of which will be of particular relevance to, and may involve evidence gathering across, local government. These studies are supported by funds approved by the National Assembly. Reports are presented to the National Assembly's Public Accounts Committee to support its scrutiny of public expenditure and potentially support scrutiny by other National Assembly committees.

Exhibit 7 covers all of the value-for-money studies work currently programmed. The programme includes all-Wales summaries of audit work undertaken locally in the NHS and reactive examinations into specific issues of public concern that have been raised with me. In addition to the work outlined below, I may decide during the year to prepare other national reports summarising local audit work, follow-up work, or based on the findings of other reactive examinations.

Further updates on my programme of value-for-money studies will be provided to you within the regular progress reports prepared by my team.

Exhibit 7: national value-for-money studies

Topic	publication dates
Primary care services ¹	February/March 2018
Access to public services with the support of specialist interpretation and translation	March/April 2018
Waste management (waste prevention) Waste management (municipal recycling) Waste management (procurement of infrastructure)	March/May 2018
Early intervention and public behaviour change ²	March/April 2018
GP out-of-hours services – national summary report	April/May 2018
Rural Development Programme 2014-2020	April/May 2018
Business finance	May 2018

¹ An initial data rich report presenting a 'picture of primary care' in advance of further local audit work.

² Following on from some good practice work, we are planning to produce a short summary paper to highlight some of the issues raised and evidence gathered through that work, supported by a series of podcasts.

Topic	publication dates
NHS agency staffing costs ³	Summer 2018
EU Structural Funds programmes 2014-2020	Summer 2018
Improving the wellbeing of young people	Autumn 2018
Radiology services – national summary	To be confirmed
Integrated Care Fund	To be confirmed
Care experienced by children and young people ⁴	To be confirmed

³ Work has recently commenced on gathering data from across the health services of the UK to support a paper on the various approaches being taken to address the increasing costs of employing agency medical and nursing staff within the NHS. The precise format for this output is still to be determined.

⁴ The PAC has now set out its initial plans for some ongoing inquiry work on this topic. I will be supporting this work, although the precise nature of, and timescale for, any additional audit-related outputs is still to be determined.

Wales Audit Office
24 Cathedral Road
Cardiff CF11 9LJ

Tel: 029 2032 0500

Fax: 029 2032 0600

Textphone : 029 2032 0660

E-mail: info@audit.wales

Website: www.audit.wales

Swyddfa Archwilio Cymru
24 Heol y Gadeirlan
Caerdydd CF11 9LJ

Ffôn: 029 2032 0500

Ffacs: 029 2032 0600

Ffôn testun: 029 2032 0660

E-bost: post@archwilio.cymru

Gwefan: www.archwilio.cymru

CYD-BWYLLGOR ERW 16 GORFFENAF 2018

DIWEDDARIAD CYLLID ERW 2018-19

Pwrpas:

Darparu diweddariad ar sefyllfa ariannol ERW am 2018-19 i'r Cyd-Bwyllgor.

Argymhellion / Penderfyniadau Angenrheidiol:

1. I'r Cyd-Bwyllgor gymeradwyo'r gyllideb Tîm Canolog newydd am 2018-19
2. I'r Cyd-Bwyllgor benderfynu sut i weithredu pe bai cyngor Sir Nedd a Phort Talbot ddim yn talu eu cyfraniad o'r £250,000 o Gyfraniad Awdurdod Lleol ar gyfer 2018-19.
3. I'r Cyd-Bwyllgor nodi dyraniad grantiau 2018-19 a'r problemau presennol o gyflawni 4 o delerau GGYCR (RCSIG), a phenderfynu ar unrhyw weithredoedd angenrheidiol
4. I'r Cyd-Bwyllgor nodi dyraniad grantiau 2018-19 a'r problemau presennol o gyflawni telerau grant LACPDG, a phenderfynu ar unrhyw weithredoedd angenrheidiol
5. I'r Cyd-Bwyllgor gymeradwyo dyraniad yr GGYCR i flaenoriaethau Cynllun Busnes ERW 2018-19.
6. I'r Cyd-Bwyllgor nodi'r problemau parthed (a) cyflawni telerau'r GGYCR a (b) y fformiwla am ddyraniad y cyn-GGA (EIG), wedi ei gynnwys o fewn y GGYCR fel trefniant trosiannol, i'r chwech Awdurdod Lleol a phenderfynu ar unrhyw weithredu angenrheidiol
7. I'r Cyd-Bwyllgor gymeradwyo'r dyraniad o weddill y £250,000 derbynwyd gan Lywodraeth Cymru ar gyfer y Rhaglen Adolygu ac Adnewi.
8. I'r Cyd-Bwyllgor benderfynu sut i ailgyflenwi Cronfeydd ERW, naill ai drwy gyfraniad unigol, neu drwy cynddu'r cyfraniad blynyddol sy'n £250,000 ar hyn o bryd.
9. I'r Cyd-Bwyllgor gymeradwyo apwyntiad Rheolwr Cyllid a Gwella Busnes, ar gytundeb o 12 mis.

Rheswm:

Derbyn Cymeradwyaeth gan y Cyd-Bwyllgor

Awdur: Jon Haswell	Swydd: Cyfarwyddwr Cyllid Swyddog S151 ERW	Rhif Cyswllt: 01437 775836
------------------------------	---	--------------------------------------



ERW JOINT COMMITTEE

16 JULY 2018

ERW FINANCIAL UPDATE 2018-19

BRIEF SUMMARY OF PURPOSE OF REPORT

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

- 2018-19 Central Team Budget
- Service Level Agreements
- 2018-19 Grant Allocations
- 2018-19 Grants – LAC PDG
- 2018-19 Grants – Regional Consortia School Improvement Grant (RCSIG)
- 2018-19 ERW Business Plan Priorities
 - Curriculum and Assessment Developing
 - the Profession Leadership
 - School Improvement
 - Strong and Inclusive Schools
- ERW Review and Reform Programme
- Risks
- Reserves

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

Policy, Crime & Disorder and Equalities NONE	Legal NONE	Finance YES	Risk Management Issues YES	Staffing Implications YES
1. Finance				
As detailed in report.				
2. Risk Management				
As detailed in report.				
3. Staffing Implications				
As detailed in report.				

CONSULTATIONS

Not applicable

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

THERE ARE NONE



Mae'r dudalen hon yn wag yn fwriadol



Ein Rhanbarth ar Waith
Education through Regional Working

ERW Financial Update 2018-19

16 July 2018

ERW S151 Officer

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

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



Powys ¹
Tudalen 329

1. Introduction

This report presents the Joint Committee with a financial update, further to the budget agreed on 21 March 2018. The first quarter monitoring report will be produced for the next Joint Committee meeting.

2. 2018-19 Central Team Budget

The 2018-19 Central Team budget was approved by the Joint Committee on 21 March 2018. Whilst it is accepted that we need to limit the number of budget amendments during the year, reality and changing circumstances will inevitably mean that revisions will be needed as we respond to changes in funding from Welsh Government.

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

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

Service Level Agreements (SLA's)

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

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

*	Estimated.
**	At the end of 2017-18, there was £10.2m owed to ERW by Welsh Government, with £7.7m received on 18 June 2018 and £1.4m due to be received the same week. At the time of writing this report, £1.1m remains outstanding. The cost of the Finance SLA may have to increase if Pembrokeshire continues to bankroll ERW.
***	Officers are investigating whether the Joint Committee requires its own insurance policies, e.g. Professional Indemnity.
****	Service previously provided by Carmarthenshire.

Core Budgeted Expenditure	2018-19 Original Budget £000's	2018-19 Projected Budget £000's
Staffing Costs		
Salaries, Secondments, Specialists	74	58
Core Central Staff Salaries to be Recharged	378	387
Travel, Subsistence, Training and Development	5	6
IT Hardware & Mobiles	-	1
	457	452
Development and Running Costs		
Rent and Accommodation	45	32
Stationary, Telephone, Photocopying	11	11
Translation	21	10
Software, Marketing, R&E,	45	32
Service Level Agreements	122	182
Professional Learning	-	-
External Audit	13	14
	257	281
Total Estimated Expenditure	714	733
Core Budgeted Income	2018-19 Original Budget £000's	2018-19 Projected Budget
Local Authority Contributions	250	250
Other Income	4	4
Grant Funding Administration	378	397
Total Estimated Income	632	651
Core Net Expenditure	82	82
Appropriation from Reserve	(82)	(82)

- All office costs are primarily costed to the Core Central Team and where appropriate, the costs are recharged to various grants.
- It is anticipated that £387k of Core Central Team costs will be recoverable from various grant funding sources in 2018-19, a similar level to 2017-18.
- The planned use of reserves for 2018-19 remains at £82k.
- The 2018-19 budget has been prepared on the basis of the total annual contribution from the six Local Authorities remaining at £250k, as in previous years. The contribution will be pro-rated according to pupil numbers taken from Stats Wales.

The Joint Committee was informed on 21 March 2018 that Neath Port Talbot County Council's budget was prepared without budget provision being made for their core ERW contribution. This matter has not yet been resolved so it is unknown whether their contribution will be received.

3. 2018-19 Grant Allocations

	2018-19 Grant Offer £000's	Spent 2017-18 £000's	2018-19 Budget £000's
Regional Consortia School Improvement Grant (RCSIG) Annex 1			
Curriculum and Assessment	919	-	919
Developing a High Quality Education	4,474	-	4,474
Developing a High Quality Education -EIG	33,609	-	33,609
Leadership	329	-	329
Self-Improving System	568	-	568
Strong and Inclusive Schools	-	-	-
Total RCSIG Grant	39,899	-	39,899
RCSIG Academic 2017-18 *	822	185	637
Review and Reform 2017-2018 (Separated for Transparency)	250	63	187
Total of RCSIG Offer Letter 2018-19	40,971	248	40,723
Pupil Development Grant (PDG)			
PDG			23,233
LAC PDG			1,100
Total of PDG Offer Letter 2018-19			24,333
2017-18 Academic Grants Residual Balances			
Siarter Iaith *			190
NPQH *			113
NQHT *			585
A level *			37
			925
Total 2018-19 Grants			65,981

*These are 2017-18 grants which span the academic year September 2017 – August 2018. This money has been committed to be spent between April – August 2018 in line with the 2017-18 ERW Business Plan.

4. 2018-19 Grants

4.1 LAC PDG

The PDG Invitation Letter has been received (see Annex 3B), however, ERW do not currently meet the following grant condition surrounding the LAC PDG element:

- The LAC PDG to support the educational attainment of looked after children and other related groups who have similar needs will continue to be managed regionally by the consortia. As has been the case over recent years, we expect the grant to be used on a regional strategic basis.

However, we have agreed with Welsh Government that this is a transitional year, which has been noted in the letter dated 22 May 2018 (see Annex 3C).

On 23 March 2018, Directors agreed to the following arrangements and then confirmed their agreement on 18 May 2018.

2018-19 has been identified by Welsh Government as a 'transition year' in which there needs to be a move towards a more consistent, national approach from 1 April 2019.

There is effective work happening across the region and it is important that we have opportunities to continue this where appropriate. However, we must be sure that all support which is provided through LAC PDG will be self-sustaining after the lifetime of the grant and that schools develop the capacity they need. Therefore, during this financial year, funds will be made available for schools across the region to further build their capacity and embed the training that they have had access to since September 2015.

- The LAC PDG allocations have been calculated by cluster using 2018 PLASC data.
- 5/12ths of the funding will be released directly to Local Authorities to enable continuity, with any existing arrangements funded by LAC PDG. Local Authorities will need to complete a grant funding form to indicate how the grant will be spent and the contribution that it will make to the regional priorities (see attached). This will provide assurance of compliance with the Terms and Conditions of the grant and the Regional Business Plan.
- The remaining resource will be distributed to schools on receipt of cluster spending plans. It will be left to the discretion of the Local Authorities to make arrangements for their funding mechanisms to schools and they will be responsible for ensuring that their schools are made aware of this. Guidance for schools has been created and support is available from the Central Team (see Annex 3).

A Gateway Review will be arranged to review this process and could inform the Joint Committee decision making for 2019-20.

4.2 Regional Consortia School Improvement Grant (RCSIG)

For budgeting and business planning purposes, the new RCSIG is allocated according to the National Ministerial Priorities. Grants received are allocated according to the ERW Business Plan 2018-19 priorities:

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

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

The new RCSIG will be distributed bi-monthly to the lead banker. This is a key improvement by Welsh Government which we welcome. It allows for greater flexibility and supports us to delegate more resources to schools where possible, to build capacity. The impact of the grant is measured via the National Agreed Regional School Improvement Grant Outcome Measures Framework (see ERW Business Plan 2018-19). The terms and conditions of the grant are shown at Annex 1. Currently ERW does not meet the following 4 grant conditions:

1. Confirmation that you have in place a current and valid collaboration agreement between the parties in the consortium.
2. 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.
3. 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 May 2018.
4. Documentary evidence that you have out in place all staff and other resources detailed in the Application as required to commence and complete the Purposes.

Due to the points above, the grant has not been released by Welsh Government, so draw down of the first bi-monthly payment has not been possible.

This report and the financial information contained within it, should be considered alongside the ERW Business Plan 2018-19.

Since January 2018, ERW's procurement support has been formally provided by Pembrokeshire County Council. This is due to Powys County Council, who initially provided this service, being unable to deliver it. As a consequence, 3 key items of work will be progressed in the coming months:

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

The RCSIG includes a specific amount of the grant previously known as EIG, as part of a transitional arrangement for 2018-19. The EIG element has been decreased by 11% from 2017-18. The Directors had not agreed a way forward to allocate this element of the grant, however, following the last Joint Committee meeting, 5 of the 6 Local Authorities agreed a formula to distribute the grant between the 6 Local Authorities. However, this does not meet the grant conditions outlined above. Annex 2 shows the distribution methodology report and the different options that were presented to the Directors of Education.

4.3 Curriculum and Assessment

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

4.4 Developing the Profession

Developing the Profession Budgeted Income	2018-19 Projected Income £000's
RCSIG Developing the Profession 2018-19	4,474
RCSIG Developing the Profession 2018-19 EIG	33,609
RCSIDG Developing the Profession (Academic)	637
Alevel 2017-18	37
Total Estimated Income	38,757
Developing the Profession Budgeted Expenditure	2018-19 Projected Expenditure £000's
Staffing Costs	
Salaries, Secondments, Specialists	3,184
Core Central Staff	148
Travel, Subsistence, Training and Development	144
IT Hardware & Mobiles	24
	3,500
Development and Running Costs	
Accommodation & Venue Hire	26
Stationary, Telephone, Photocopying	3
Translation	51
Software, Marketing, R&E,	80
Professional Learning	480
	640
Delegated to Schools	
Passported on WG Instruction	1,410
Regional Support, Support Work, Task	572
	1,982
Delegated to Local Authorities	32,635
Unallocated Funds	-
Total Estimated Expenditure	38,757

4.5 Leadership

Leadership Budgeted Income	2018-19 Projected Income £000's
RCSIG Leadership 2018-19	329
NPQH 2017-18 Academic	113
NQHT 2017-18 Academic	585
Total Estimated Income	1,027
Leadership Budgeted Expenditure	2018-19 Projected Expenditure £000's
Staffing Costs	
Salaries, Secondments, Specialists	240
Core Central Staff	75
Travel, Subsistence, Training and Development	8
IT Hardware & Mobiles	1
	324
Development and Running Costs	
Accommodation & Venue Hire	52
Stationary, Telephone, Photocopying	-
Translation	3
Software, Marketing, R&E,	-
Professional Learning	12
	67
Delegated to Schools	
Passported on WG Instruction	-
Regional Support, Support Work, Task	636
	636
Delegated to Local Authorities	-
Unallocated Funds	-
Total Estimated Expenditure	1,027

4.6 School Improvement

School Improvement Budgeted Income	2018-19 Projected Income £000's
RCSIG School Improvement 2018-19	568
Total Estimated Income	568
School Improvement Budgeted Expenditure	2018-19 Projected Expenditure £000's
Staffing Costs	
Salaries, Secondments, Specialists	191
Core Central Staff	87
Travel, Subsistence, Training and Development	4
IT Hardware & Mobiles	7
	289
Development and Running Costs	
Accommodation & Venue Hire	26
Stationary, Telephone, Photocopying	-
Translation	5
Software, Marketing, R&E,	80
Professional Learning	168
	279
Delegated to Schools	
Passported on WG Instruction	-
Regional Support, Support Work, Task	-
Delegated to Local Authorities	-
Unallocated Funds	-
Total Estimated Expenditure	568

4.7 Strong and Inclusive Schools

Strong and Inclusive Schools Budgeted Income	2018-19 Projected Income £000's
PDG	23,233
LAC PDG	1,100
Total Estimated Income	24,333
Strong and Inclusive Schools Budgeted Expenditure	2018-19 Projected Expenditure £000's
Staffing Costs	
Salaries, Secondments, Specialists	114
Core Central Staff	0
Travel, Subsistence, Training and Development	6
IT Hardware & Mobiles	3
	123
Development and Running Costs	
Accommodation & Venue Hire	13
Stationary, Telephone, Photocopying	-
Translation	1
Software, Marketing, R&E,	-
Professional Learning	38
	52
Delegated to Schools	
Passported on WG Instruction	-
Regional Support, Support Work, Task	-
Delegated to Local Authorities	24,158
Unallocated Funds	-
Total Estimated Expenditure	24,333

5. ERW Review and Reform Programme

The Joint Committee agreed on 21 September 2017 to commence the ERW Review and Reform Programme, resulting in the appointment of a Programme Team under the leadership of the Lead Chief Executive.

Welsh Government have provided support of £250k to the ERW Joint Committee to facilitate the ERW Review and Reform Programme.

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

Review and Reform Budgeted Income	2018-19 Projected Income £000's
Review and Reform	187
Total Estimated Income	187
Review and Reform Budgeted Expenditure	2018-19 Projected Expenditure £000's
Staffing Costs	
Salaries, Secondments, Specialists	67
Core Central Staff	29
Travel, Subsistence, Training and Development	-
IT Hardware & Mobiles	2
	98
Development and Running Costs	
Accommodation & Venue Hire	4
Stationary, Telephone, Photocopying	-
Translation	2
Software, Marketing, R&E,	50
Professional Learning	-
	56
Delegated to Schools	
Passported on WG Instruction	-
Regional Support, Support Work, Task	-
Delegated to Local Authorities	-
Unallocated Funds	33
Total Estimated Expenditure	187

6. Risks

This report, in a similar vein to previous Financial Updates, highlights risks for ERW. The high cost of secondments (see Annex 4) and the growing expectations on ERW are well known. This is reflected in the Review and Reform Programme recommendations from previous meetings and Welsh Government supporting ERW with additional resources. Estyn have also identified the matter as contributing to hindering progress.

Due to staffing and capacity issues within the ERW Central Team, there are ongoing implications for Pembrokeshire County Council, the lead Authority for Finance and HR. These risks have been brought to the attention of the Joint Committee previously. Due to the ever increasing workload, it is proposed that a Finance & Business Improvement Manager is appointed on a 12 month fixed term contract initially. It is anticipated that this post would cost £60k per annum including oncost and this would need to be funded from within existing resources.

The ERW Reserves are diminishing as outlined below.

7. Reserves

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

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

8. Recommendations

1. The Joint Committee approves the updated Central Team budget for 2018-19.
2. The Joint Committee determine the action to be taken in the event of Neath Port Talbot County Council not paying their share of the £250k Local Authority Contribution for 2018-19.
3. The Joint Committee note the 2018-19 grant allocations and current issues in meeting 4 of the RCSIG terms and conditions and determine any further action required.
4. The Joint Committee note the 2018-19 grant allocation and current issues in meeting the LAC PDG terms and conditions and determine any further action required.
5. The Joint Committee approve the allocation of the RCSIG to the ERW Business Plan 2018-19 priorities.
6. The Joint Committee note the current issues in respect of (a) the meeting the RCSIG terms and conditions and (b) the formula for distribution of the former EIG, included within the RCSIG for 2018-19 as a transitional arrangement, to the six Local Authorities and determine any further action required.
7. The Joint Committee approve the allocation of the remainder of the £250k Welsh Government funding for the Review and Reform Programme.
8. The Joint Committee determine how to replenish the ERW Reserves, either with a one-off contribution from the six Local Authorities or an increase in the existing £250k annual contribution.
9. The Joint Committee approve the appointment of a Finance & Business Improvement Manager on a 12 month fixed term contract.

Mr. Phil Roberts
Chief Executive
City and County of Swansea
By Email

Dear Phil,

Thank you for your letter of 22 March following the recent ERW Joint Committee meeting. I think there are a couple of fundamental points that require clarification.

First, it is not this Council's intention to withdraw (at least immediately) from ERW. Clause 15.1 of the Joint Committee Agreement would require us to serve notice - by the end of this week effectively - if we intended to withdraw by April 2019. I have no instructions to do so. Second, we do not regard ourselves as withdrawing funding from ERW; but we are reducing it. That was the decision taken by Elected Members in the context of the Council's 2018/19 revenue budget determined on 21 February.

Our position is this:

- We continue to fund school improvement activity as defined under the current national model; but this is part of the problem. We all know that the range of functions/activities being required of consortia by the Welsh Government have in reality moved on a very long way from the current model, which is why we have been pressing for some overdue clarity around the new model. Meanwhile, we are maintaining our challenge advisor cohort at or close to the agreed irreducible minimum, which is

Chief Executive's Office
Swyddfa'r Prif Weithredwr

Steven Phillips
Chief Executive
Civic Centre, Port Talbot. SA13 1PJ
Tel 01639 763306

Steven Phillips
Prif Weithredwr
Y Ganolfan Ddinesig, Port Talbot. SA13 1PJ
Ffôn 01639 763306

Tudalen 343

perhaps not the case for all other authorities in the ERW consortium?
Thus the saving approved by Elected Members here amounts to £80,000 against a total spend of circa £1m, including match funding for EIG;

- We have protected this funding for the last five years, whilst many other service areas have been cut significantly. Moreover, ERW is the only consortium in Wales that expects local authorities to make additional contributions to the central team – perhaps that needs to be revisited by the Joint Committee? In any event, we believe that the central team needs to start cutting its cloth (like the rest of us) and not put forward proposals for expansion in terms of staff or buildings. The priority of Members here is to get as much of our finite and reducing funding to the frontline as possible. This also reflects what our head teachers are telling us very clearly.
- There is a certain irony in all this as the recent fiasco on MEAG and related budgets has left us with a £200,000+ (or 75%) hole in our 2018/19 budget before one gets to other reductions in EIG funding, for example. Perhaps there are those who think there should be one rule for some; but something different for others – we think not; and
- We continue to contribute in kind support and the deployment of NPT staff across the region.

Thus our reduction in funding for the ERW central team stands. I have given Ian Westley an assurance that we will not put Pembrokeshire County Council (as the ERW banker) at risk and we will cover our proportion of that risk, if any. However, it is actually difficult to see how such a risk could crystallise based upon the very marginal level of funding reductions that we are implementing set against the totality of the ERW budget contained in the papers submitted to the last JC meeting.

We are quite happy to debate these issues in the Joint Committee or elsewhere. I shall not repeat the various points in my letter of 28 February or what we discussed in Llanelli on 16 March; but against this background, I think the sooner the further work that you subsequently commissioned is completed and reported to the Joint Committee, the better.

Chief Executive's Office
Swyddfa'r Prif Weithredwr

Steven Phillips
Chief Executive
Civic Centre, Port Talbot. SA13 1PJ
Tel 01639 763306

Steven Phillips
Prif Weithredwr
Y Ganolfan Ddinesig, Port Talbot. SA13 1PJ
Ffôn 01639 763306

Tudalen 344

www.npt.gov.uk

The Council welcomes correspondence in English or Welsh

Mae'r Cyngor yn croesawu gohebiaeth yn y Gymraeg neu'r Saene

Both my Leader and Cabinet Member saw this letter in draft before I sent it.

Yours sincerely,

A handwritten signature in black ink that reads "Steven Phillips". The signature is written in a cursive style and is underlined with a single horizontal line.

Steven Phillips
Chief Executive

Chief Executive's Office
Swyddfa'r Prif Weithredwr

Steven Phillips
Chief Executive
Civic Centre, Port Talbot. SA13 1PJ
Tel 01639 763306

Steven Phillips
Prif Weithredwr
Y Ganolfan Ddinesig, Port Talbot. SA13 1PJ
Ffôn 01639 763306

Tudalen 345



Llywodraeth Cymru
Welsh Government

Betsan O'Connor
Managing Director, Education through Regional Working
Y Llwyfan
College Road
Carmarthen
SA31 3EQ

cc: Directors of Education

22 May 2018

Dear Betsan

Pupil Development Grant 2018-2019: Support for looked after children

Ruth Conway's letter of 20 April, inviting support plans for the Pupil Development Grant (PDG), referred to a follow up letter from myself specifically on the looked after children element of the grant.

You will be aware that we commissioned an independent evaluation of the PDG for looked after children (PDG LAC) last autumn. The evaluation is being carried out by ICF Consulting Ltd in association with Arad Research and Cardiff University and we have received a draft of the final report. The evaluation poses interesting and complicated questions that require detailed consideration.

It is clear from the evaluation that significant work is required to strengthen the current arrangements. The evaluation looks only at 2015-16 and 2016-17 and I am aware that some progress has been made since then in strengthening arrangements; but there is further work to do. We will need to look critically at how we might improve the current arrangements and move to a model with greater consistency, equity and robustness from April 2019. There is a role for us all in this and a collaborative approach is needed to ensure real and lasting progress.

As a consequence, I do not intend to prescribe detailed expectations on the management of PDG LAC for this financial year, beyond those outlined in the grant invitation from Ruth. A copy of Ruth's letter is attached for completeness. You will note that the grant invitation refers specifically to use of the PDG to fund a regional lead coordinator for PDG LAC. The lead coordinators will have a fundamental role to play in shaping and implementing the approach from April 2019. Therefore, this continues to be a requirement.

Developing a new approach ahead of April 2019 needs to be a priority. The Cabinet Secretary has been very clear on the importance of supporting this particularly vulnerable group of learners to achieve their full potential; effective use of the PDG LAC is crucial in this. She will look to me for reassurance that we are doing all we can to avoid a repeat of the disappointing 2017 GCSE results for these learners. Therefore, I intend to proceed on the following basis:

- An internal workshop which is scheduled to take place later this week. At this we will work through the complex issues raised in the evaluation with challenge from colleagues from our Social Services Department.
- A paper will then be presented by Ruth and her team at my Senior Management Team meeting. This will help ensure the options we are considering are robust and align with our wider priorities and approaches.
- A workshop with you and your coordinators will be the next stage. At this I expect to present our preferred approach but we will also be open to having a conversation about it, in particular around practical and operational feasibility and management.

There is, of course, a much bigger picture when it comes to looked after children. PDG LAC is just one – albeit important – part of that picture. Local authorities have legal responsibilities around the care and education of looked after children. They will, therefore, have a role in the development of the new approach and we ensuring that Directors of Education are engaged in the process will be important.

Last year I wrote to you clearly setting out my expectations for your approach to utilising this grant for 2018-19; these expectations still stand. However, the extent to which these have been observed over the last year has been variable across the four regions. We will be carefully scrutinising the plans when we receive them and through monitoring of the grant during the year. This will be a transition year moving towards a more consistent, national approach from 1 April 2019 which takes account of the findings of the independent evaluation. We can discuss the mechanics and practicalities of introducing transitional arrangements at our regular meetings.

In the meantime, Tania Nicholson and her team will be in touch with you and your lead coordinators to arrange the workshop I refer to above.

I look forward to your support on this.

Yours sincerely



Steve Davies
Director, Education Directorate

Arrangements for PDG/LAC 2018-19

On March 23rd 2018 Directors agreed to the following arrangements and then confirmed their agreement on May 18th 2018.

2018-19 has been identified by Welsh Government as a 'transition year' in which there needs to be a move towards a more consistent, national approach from 1st April 2019.

There is effective work happening across the region and it is important that we have opportunities to continue this where appropriate. However, we must be sure that all support which is provided through PDGLAC will be self-sustaining after the lifetime of the grant and that schools develop the capacity they need. Therefore, during this financial year funds will be made available for schools across the region to further build their capacity and embed the training that they have had access to since September 2015.

- The PDGLAC allocations have been calculated by cluster using 2018 PLASC data.
- 5/12ths of the funding will be released directly to Local Authorities to enable continuity with any existing arrangements funded by PDGLAC. Local Authorities will need to complete a grant funding form to indicate how the grant will be spent and the contribution that it will make to the regional priorities (see attached). This will provide assurance of compliance with the Terms and Conditions of the grant and the regional Business Plan.
- The remaining resource will distribute to schools on receipt of cluster spending plans. It will be left to the discretion of the Local Authorities to make arrangements for their funding mechanisms to schools and they will be responsible for ensuring that their schools are made aware of this. Guidance for schools has been created and support is available from the central team (see attached).

A Gateway Review will be arranged to review this process and could inform Joint Committee decision making for 2019-20.

ANNEX 3A

Total from WG £1,100,550.00
 LAC in England (x20) £23,000.00
 PDGLAC role £75,000.00
 Special £40,000
 PRU £40,000

Available for Cluster allocation **£922,550.00**

	CLUSTER BAND 1			CLUSTER BAND 2			CLUSTER BAND 3			CLUSTER BAND 4			CLUSTER BAND 5			TOTAL £ per LA for clusters	Max that can be retained per LA (5/12)								
	0-1	No of LAC	No of Clusters with LAC Cluster allocation per LA	2-6	No of LAC	No of Clusters with LAC Cluster allocation per LA	7-11	No of LAC	No of Clusters with LAC Cluster allocation per LA	12-20	No of LAC	No of Clusters with LAC Cluster allocation per LA	21-30	No of LAC	No of Clusters with LAC Cluster allocation per LA			31+	No of LAC	No of Clusters with LAC Cluster allocation per LA					
SWANSEA 263	Gwyr	0		Bishopston Bryntawe	4 6		Olechfa Bishop Vaughan	8 8		Pontarddulais Gowerton	18 14		Birchgrove Bishop Gore Pentrehafod Penyrheol Dylan Thomas	28 25 29 30 23		Cefn Hengoed Morriston	38 32								
		0	£0.00		2	£8,515.85		2	£17,471.68		2	£30,731.17		5	£128,580.41		2	£80,188.05	£265,487.14	£110,619.64					
PEMBS 90		0	£0.00	Preseli	3		YDS Milford Haven Bro Gwaun Pembroke	7 11 7 9	4	£34,943.36		0	£0.00	Greenhill Tasker+STP	23 30		2	£51,432.16	0	£0.00	£90,633.44	£37,763.93			
CEREDIGION 56	Bro teifi Penweddig	0 1	£984.05	Henry Richard Aberteifi	2 6	2	£8,515.85	Aberaeron	9	1	£8,735.84	Penglais	16	1	£15,365.58	Bro Pedr	22	1	£25,716.08	0	£0.00	£59,317.40	£24,715.58		
POWYS 100	Bro Hyddgen Gwernyfed	1 1	£1,968.11	Crickhowell Newtown Llanidloes Caereinion	5 6 3 5	4	£17,031.69	Builth Wells Maesydderwen Brecon	8 10 10	3	£26,207.52	Llanfyllin Welshpool	13 13	2	£30,731.17	Llandrindod	25	1	£25,716.08	0	£0.00	£101,654.56	£42,356.07		
CCC 203		0	£0.00	Strade Bro Myrddin Maes y Gwendraeth St John Lloyd	5 3 4 4	4	£17,031.69	Dyffryn Taf	11	1	£8,735.84	Coedcae Bryngwyn Emlyn	19 18 15	3	£46,096.75	QEHS Bro Dinefwr Glanymor	29 27 20	3	£77,148.24	Dyffryn Aman	48	1	£40,094.02	£189,106.55	£78,794.39
NPT 222		0	£0.00		0	£0.00	Cymer Afan Ystallera	10 7	2	£17,471.68	St Joseph's	14	1	£15,365.58	Cefn Saeson Cwmtawe Dyffryn Llangatwg	23 28 28 27	4	£102,864.33	Dwr y Felin Bae Baglan	31 54	2	£80,188.05	£215,889.63	£89,954.01	
934																									
LAC		3	3		56	13			115	13			140	9			417	16			203	5			
% LAC population		0.32%			6.00%				12.31%				14.99%				44.65%				21.73%				
% Allocation		0.32			6.00				12.31				14.99				44.60				21.73				
CLUSTER allocation		£2,952.16			£55,353.00				£113,565.91				£138,290.25				£411,457.30				£200,470.12				
		£984.05			£4,257.92				£8,735.84				£15,365.58				£25,716.08				£40,094.02				
		£2,952.16	£2,952.16		£55,353.00	£55,353.00			£113,565.91	£113,565.91			£138,290.25	£138,290.25			£411,457.30	£411,457.30			£200,470.12	£200,470.12	£922,088.73	£384,203.64	



Llywodraeth Cymru
Welsh Government

Betsan O'Connor
Managing Director, Education through Regional Working
Y Llwyfan
College Road
Carmarthen
SA31 3EQ

April 2018

Dear Betsan

Pupil Development Grant 2018-2019 and 2019-20

The Pupil Development Grant (PDG) is crucial to delivering the future success of our learners and *Our national mission* sets out the Welsh Government's commitment to extending it.

I am writing with details of your PDG allocations and further improvements we have made. From April 2018, the PDG will continue to 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 ; and
- 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.

In addition the PDG will:

- be increased for the Early Years (EY) PDG from £600 to £700;
- provide a minimum allocation for all schools equivalent to one learner (£1,150);
- be based on a simplified EYPDG formula for schools;
- have an expanded definition – to provide schools with the flexibility to support learners who have been e-FSM in the previous two years;
- have guaranteed allocation levels for the next two financial years; and

- use 2016 school census data for allocating funding.

Changes to the PDG

There is considerable evidence that investment which addresses barriers early in a child's education has a beneficial impact on them, and we must build on this. That is why the EYPDG is being increased by £100 to £700, to ensure we have an even greater impact in supporting disadvantaged learners as early as possible.

We have identified a formula that will simplify the allocation of the EYPDG and have used this for nursery and reception learners in primary schools. The new formula for primary schools uses eFSM data from PLASC for pupils in reception and is set out in Annex 1. The formula for nurseries and non-maintained settings remains unchanged.

The PLASC data from 2017 shows a drop in the overall percentage of eFSM learners and therefore there is an overall benefit to the education system in using PLASC data from 2016 instead of the latest data available.

We recognise there will be a number of small schools that do not have any eFSM learners in 2016 but may during the funding period. Therefore, all schools will receive a minimum allocation equivalent to one learner (£1,150).

There have been strong calls from across the sector for the PDG to be a long-term Welsh Government commitment for them to better plan and make best use of the resources. In addition to the assurances provided previously by the Cabinet Secretary that the PDG will remain for the duration of the Assembly term, allocation levels have been guaranteed for 2018-19 and 2019-20. This commitment will enable schools to continue to make sustainable, long-term decisions on investment that help identify and address barriers to learning.

As set out in *Our national mission*, Wales needs strong and inclusive schools committed to excellence, equity and well-being; a system there to support the most disadvantaged learners. To support this aim the definition has been revised providing flexibility to support learners and provide a more formal foundation for those leaders already adopting this approach. The expanded definition is:

'The PDG should be used to support the needs of all children who are or have been eFSM in the previous two years or are looked after. The PDG is intended to provide support to disadvantaged learners to overcome the additional barriers that prevent those from disadvantaged backgrounds achieving their full potential.'

Evidence tells us that we must do more in Wales to identify, support and stretch our more able learners. The Ipsos MORI evaluation of the PDG highlighted some ambiguity in schools about whether the PDG should be used to help lower attaining eFSM pupils or help all FSM pupils fulfil their potential. The Cabinet Secretary for Education has been absolutely clear, including in a statement to the National Assembly on 17 April, that the PDG supports all eligible learners including our most able learners.

Allocations

Your consortium's allocation is based on PLASC data for 2016 using year groups. For 2018-2019 and 2019-2020 your allocation to support these learners will be:

	Number of eligible learners	Allocation £
Learners eligible for free school meals (e-FSM)	17,588	20,226,200
Learners in early years settings (EYPDG)	3,876	2,713,200
Learners eligible for FSM in PRUs and EOTAS	150	172,500

	Number of eligible schools	Allocation £
Schools with no eFSM learners	18	20,700

Your allocation for looked after children is based on 2017 Wales Children Receiving Care and Support Census. For 2018-2019 and 2019-2020 your allocation to support these learners will be:

	Number of eligible learners	Allocation £
Looked after children aged 3-15	957	1,100,550

New Schools

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.

Having undertaken strategic planning if, in exceptional circumstances, you identify a shortfall you may submit a business case to the Welsh Government requesting additional support for previously unidentified eFSM learners. This will need to be submitted as part of your support plan submission each year in readiness for the new academic year.

The short business case will need to outline the:

- context and specific details of the identified shortfall;
- consideration undertaken by the consortia of other options to address any shortfall, including but not limited to the redistribution of allocations no longer required by schools that are due to or have closed;
- amount of additional funding requested and the rationale for this (including number of eFSM learners and data source); and

- risks associated with the requested additional funding not being approved.

Strategic Advisers

The Cabinet Secretary is looking to consortia for strategic oversight and to provide schools and settings with the necessary support. PDG strategic advisers 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 e-FSM learners across Wales.

Strategic advisers 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 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.

In addition to the PDG allocation for schools and settings an additional £100,000 per annum is provided to retain the services of the newly appointed strategic advisers. 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), and administrative support (to enable the lead to operate effectively at a strategic level).

Looked After Children

The PDG to support the educational attainment of looked after children and other related groups who have similar needs will continue to be managed regionally by the consortia. As has been the case over recent years, we expect the grant to be used on a regional strategic basis. 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](#)) published in January 2016, our expectation is that the PDG will continue to be used to meet the costs associated with the lead coordinator. This role is critical in ensuring a regional, strategic focus on looked after children in education and ensure the delivery of an agreed, strategic programme of work. The coordinators will work with the Welsh Government, with our Raising Attainment Advocate, with the PDG Strategic Advisers (see above) and with schools and local authorities regionally to deliver improvements in the educational outcomes and attainment of looked after children.

You will be aware that the Government is currently reviewing the arrangements of the looked after children PDG. Therefore, whilst some specific requirements in relation to this element of the PDG are set out below, these will be supplemented shortly by a separate letter from Steve Davies, Director of the Welsh Government's Education Directorate. This letter will outline the requirements for the looked after children PDG for 2018-19, which will be informed by your recent response to a request for information from Tania Nicholson in the light of the disappointing 2017 exam results. We expect the letter from Steve Davies to issue in sufficient time for you to consider the requirements ahead of submitting your regional Support Plan.

Monitoring of the PDG

It is a statutory requirement for all schools in Wales to have a school development plan (SDP) in place. To reduce any bureaucratic burden on schools associated with the PDG, we recommend that consortia support schools to use their SDP as a vehicle for planning their use of the PDG where appropriate.

The PDG should be used to:

- support all eFSM learners – we want to see all eFSM learners progress and all eFSM learners access support, including our more able learners;
- develop staff, both teaching and support, in the use of practice such as metacognition, 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. The Cabinet Secretary expects secondary schools to deliver an aspirational target of 60% of PDG invested in KS3 learners;
- identify where and when support is required using appropriate diagnostic and tracking systems; and

- support both a PDG strategic adviser and looked after children PDG lead coordinator, with appropriate levels of support including administrative, to oversee strategic, regional management of the grant and support local authorities and schools to drive progress in improving the educational outcomes of the learners within the scope of the grant.

We are asking you to set out in your Support Plan how you will ensure that effective use is made of the PDG. In particular, we want to know how you will:

- ensure schools:
 - set challenging targets
 - operate effective tracking systems, specifically at a pupil level
 - use research and evidence to make decisions about the use of the grant
 - monitor and evaluate the impact of the funding and interventions used regularly to ensure continued effectiveness
 - adopt a more equitable approach to funding to ensure that greater investment is made at KS3
- use the looked after children element of the PDG to ensure a strategic, regional approach to support improvements in educational outcomes of looked after and formally looked after learners;
- 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; and
- make best use of your PDG strategic adviser and looked after children PDG lead coordinator to deliver improvements across the region (please also provide an outline of where these posts sit within your structure and what support (including administrative) they will have).

As you are already aware it is our intention to simplify the reporting arrangements of all grants to Consortia so that it is done on a consistent basis across all the regions, with a strong focus on outcomes. As per Mel Godfrey's letter (19 December 2017), and in line with all education grants, progress of the PDG will also 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 Education in Wales.

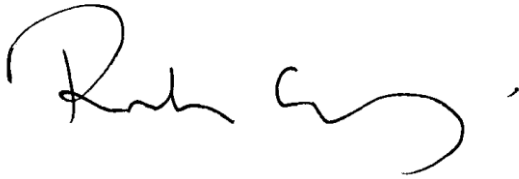
In addition to the Challenge and Review meetings, my team will meet every 6 weeks with both the PDG strategic adviser and looked after children PDG lead coordinator to assess progress. These meetings and the supporting documents will focus on successes, challenges and case studies.

Your responses to the questions in the attached proforma will inform Schedule 1 (the Purposes) of your grant offer letter. In line with the new reporting arrangements we anticipate your Business Plan and outcomes framework will address the majority of the actions in your support plan submission.

Therefore, the support plan can be completed on an exception basis with specific cross references to your Business Plan.

To allow time to assess and agree your plan and issue your grant award letter, please complete the proforma and return it to me no later than **25 May 2018**. The grant offer letter will not be issued until we have received and agreed your support plan. If you wish to discuss any part of the plan in advance of submitting it, please feel free to contact me.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Ruth Conway', with a stylized flourish at the end.

Ruth Conway
Deputy Director, Support for Learners Division

Cc Ian Budd, Lead Director for Education

Education & Public Services
Cathays Park,
Cardiff
CF10 3NQ
Tel: 029 2082 5605

Pupil Development Grant (PDG) Support Plan

The purpose of the PDG funding is to make a lasting impact on outcomes for disadvantaged learners. Consortia are responsible for ensuring that the grant is used for the purposes for which it is intended, as laid out in Pupil Deprivation Grant: short guidance for practitioners.

You are advised that any audit work will focus more on demonstrating that evidence-based decisions have been made. The information that you provide will help towards this aim.

The Education (School Performance and Absence Targets)(Wales) Regulations 2011 require schools to set targets identified through self evaluation, consideration of core data sets and other comparative information as well as setting a minimum of three local targets. Consortia are required to tell us how they will:

- set challenging targets
- operate effective tracking systems, specifically at a pupil level
- use research and evidence to make decisions about the use of the grant
- monitor and evaluate the impact of the funding and interventions used regularly to ensure continued effectiveness
- adopt a more equitable approach to funding to ensure that greater investment is made at KS3

Pupils Eligible for Free School Meals

The eFSM element of the PDG is issued to consortia on the basis of the number of pupils who were eFSM at the census point (2016). In addition, those schools with no eFSM learners at the census point for 2016 are allocated funding equivalent to one learner. The grant must be allocated to schools on the same basis.

Whilst consortia may not top slice any of this grant for central activities, they have responsibility through their school improvement role to support schools to make the most effective use of the grant.

Please outline below how you will discharge this responsibility. Provide details of the actions you intend to take together with any costs, timeframes for delivery and how you will evaluate the success of the actions being taken.

To avoid duplication, if this information is already provided in the consortium Business Plan or Outcomes Framework only a cross reference to identify the specific actions is required.

Any business cases/s associated with new schools, as set out on page 3 above, will need to be submitted alongside your support plan.

<p>EFSM 1. Supporting Planning</p> <p>How will you support schools to adopt an evidence-based approach to developing their School Development Plans in relation to reducing the impact of poverty on educational attainment? In particular:</p> <ul style="list-style-type: none"> • Up-skilling staff so they use pedagogical approaches known to be most effective for learners from disadvantaged backgrounds • Using effective diagnostic and tracking systems to tailor support • Using research and evidence to make informed decisions • Getting the best staff to work with learners from deprived backgrounds • Engaging with families to help them support their children’s learning • Raising aspirations • Supporting well-being, behaviour, attendance and social and emotional learning • Developing strategic partnerships with third sector or other agencies to work together to raise the attainment of disadvantaged learners
<p>EFSM 2. Literacy & Numeracy of eFSM learners</p> <p>What will you do to ensure that schools refresh their activity in relation to literacy and numeracy to comply with the National Literacy & Numeracy Framework and in particular to raise the literacy and numeracy skills of learners from deprived backgrounds, with the goal that no eFSM learner leaves KS2 or KS3 with poor literacy skills?</p>
<p>EFSM 3. Monitoring and Evaluation</p> <p>How will you ensure that schools monitor and evaluate the effectiveness of their approaches on a regular basis to ensure continued effectiveness?</p> <p>What arrangements do you have in place to take corrective action if these approaches are not delivering the required outcomes?</p> <p>How will you monitor and evaluate your own approaches to supporting and</p>

challenging schools?
<p>EFSM 4. Re-balancing funding between KS3 and KS4</p> <p>How will you ensure that secondary schools place more emphasis on the needs of KS3 learners?</p> <p>How will this be monitored?</p>
<p>EFSM 5 Target Setting</p> <p>Set out your regional targets for 2018 and 2019 for e-FSM attainment at FPI; KS2 CSI; KS3 CSI; KS4 Level 2 inclusive.</p> <p>How do you ensure that schools set realistic but challenging targets?</p> <p>What evidence will you use to assure yourself that the targets are sufficiently challenging?</p> <p>How will you support schools to revise targets if necessary?</p> <p>How will you support your schools to meet their targets to reduce the effects of deprivation on attainment?</p>
<p>EFSM 6 Accountability and Transparency</p> <p>How will you ensure accountability?</p> <p>What will you do to address inappropriate or ineffective use of the PDG?</p> <p>How will you recover funding where there is clear evidence that it has been knowingly used for purposes other than to improve outcomes for eFSM pupils?</p> <p>Case studies should be published on your website as a way of sharing best practice. If this is already being done please provide the relevant link</p> <p>Will your consortia support plans be published on your website? If so, please provide the relevant link</p>
<p>EFSM 7 Distribution of funding</p> <p>Please provide a flowchart illustrating how the funding is distributed to settings.</p>
<p>EFSM 8 Structure & Responsibilities</p> <p>Please provide a structure chart and detail responsibilities of staff within the consortia with responsibility for the PDG.</p>
<p>EFSM 9 Strategic Advisers</p> <p>Strategic Advisers will be expected to have a strong knowledge of schools in the region, including understanding the associated data, to allow them to identify schools that need support to improve; build networks and identify best practice. Strategic advisers will be the point of contact for schools on effective and evidence based interventions. Please set out your expectations for the role of the adviser this year.</p> <p>Please provide an outline of where these posts sit within your structure and what support (including administrative) they will have.</p>

Any queries, please contact Nina James: Nina.James@gov.wales

Looked After Children (LAC)

As outlined above, Steve Davies, Director within the Welsh Government's Education Directorate, will shortly write to consortia with information to supplement that outlined here. We expect this letter to issue in sufficient time for you to consider the requirements ahead of submitting your support plan.

The element of the PDG that supports learners who are looked after, within the context of the school improvement agenda, is managed and administered by the regional education consortia. The financial allocation is calculated using validated data on looked after children from the previous year.

The portion of PDG funding that supports looked after children in education should be retained and used by the regional education consortia to deliver strategically targeted interventions and support on a regional basis. Flexibility has been built into the terms and conditions to enable the use of this PDG funding to support interventions aimed at former looked after children who have been adopted from care or are subject to special guardianship orders.

Within this discretion, it will be possible for consortia to develop and implement interventions which have a beneficial impact on **all** children, but the expectation is that they will have a greater potential benefit on children who are or were looked after.

The consortia must not top slice this element to sustain permanent and/or statutory roles in respect of a school's or local authority's core activity. However, in line with the Welsh Government's looked after children education plan published in January 2016, the expectation is the PDG will be used to employ a lead coordinator who is responsible for the delivery of a strategic programme of work to support looked after children, agreed by local authorities, and to ensure financial accountability.

The coordinator will work regionally, including with local authorities and directly with schools, to drive progress in improving outcomes for looked after children. They will also work with the Welsh Government, the Raising Attainment Advocate, and the consortia PDG strategic advisers at a national level.

Consortia are expected to work closely and constructively with the relevant local authorities, schools and other partners to develop effective interventions that support the improved educational outcomes of this group of learners and to ensure they reach their full potential. All proposals will need to be considered for sustainability beyond the lifetime of the grant; there should be a focus, therefore, on building lasting capacity.

Funding should not be delegated to local authorities or schools unless robust business plans are agreed that are consistent with the regional approach and contribute to the achievement of regional plans to improve the attainment of this group of learners. Creating additional layers of unnecessary bureaucracy and administration should be avoided. Consortia and partners must be able to demonstrate that a coherent regional plan has been developed and that all funding decisions are consistent with the delivery of this plan.

Consortia are expected to collate examples of good practice and effective interventions which have been funded through the grant and promote these via the online community of practice: [ExChange: Care and Education](#).

Please detail how you will discharge your responsibilities to support schools to improve outcomes for children who are looked after. Please also identify separately the action you will be taking to support children who were formerly looked after and who have been adopted.

LAC 1. Priorities

What regional priorities are you developing for managing the looked after element of the PDG?

LAC 2. Outcomes

How are you planning to support schools in improving educational outcomes for looked after and adopted children? Please set out your regional SMART objectives and explain how you intend to report the outputs and outcomes from expenditure.

LAC 3. Targets

Please provide details of the regional targets being developed to improve educational outcomes for looked after children.

LAC 4. Activity

Please provide details of the regional actions you intend to take together with any costs, time frames for delivery, intended impact and how you will evaluate the success of the action being taken.

LAC 5. Regional Planning

Please set out your arrangements for planning and delivering support to looked after and adopted children in your region and how you intend working with your local authority and other partners, including schools and the third sector on these proposals. This should include an outline of the role of the Lead Coordinator, where they sit within the structure of the Consortia and what support (including administrative) they will have access to.

Any queries, please contact Jon Jones: jonathanc.jones@gov.wales

Early Years Pupil Development Grant (EYPDG)

The consortia will receive grant funding for disadvantaged learners in nursery and reception classes in the Foundation Phase in maintained and non-maintained settings at a rate of £700 per pupil. Please outline how you will support settings to make effective use of the grant to improve outcomes for these learners.

In the **maintained sector** the grant will be paid via regional consortia but must be delegated to schools and nursery schools at a rate of 100 per cent.

For settings in the **non-maintained sector** the grant will be paid via regional consortia who will be expected to work with the local authorities and their Foundation Phase advisory teachers to direct funding to non-maintained settings based on local intelligence and a needs assessment undertaken by Foundation Phase advisory teachers.

EY 1. Planning

Please set out your arrangements for planning and delivering support to early years providers in your region and how you intend working with your local authorities and Foundation Phase Co-ordinators on these proposals.

EY 2. Strategic Targets/Outcomes

How will you ensure that early years providers address priorities for the EYPDG when planning and setting targets? In particular,

- Using sophisticated diagnostic and tracking systems to identify issues early and to tailor the support provided to the needs of individual learners
- Early speech, language development
- Early literacy and numeracy skills
- Engaging with families to help them support their children’s learning
- Working with families to help them improve children’s “readiness to learn” when they start in Reception year
- Supporting self regulation, social and emotional learning and well-being

EY 3. Partnership Working

How are you going to assist early years settings to work together, with their feeder primaries and with outside agencies and to pool resources to achieve outcomes?

EY 4. Non Maintained Settings (NMS)

Please attach a list of your NMS.

Outline how you will work with local authorities to achieve outcomes and strengthen links with NMS?

EY.5 Distribution of funding

Please provide a flowchart to illustrate how the funding is distributed to the settings.

Any queries, please contact Natalie Page: Natalie.Page@gov.wales

Pupils eligible for free school meals who are being educated in pupil referral units (PRUs) and Education other than at school (EOTAS).

The PRU element of the PDG is issued to consortia based the number of pupils who were eFSM at the census point in 2016. This will include learners who are singly-registered in PRUs and EOTAS. **For dual registered learners, the grant will be paid to the school or setting registered as the main provider.** There will be no in-year transfer of funding. The PDG may be pooled by schools/providers to deliver interventions which can be shared.

Please provide details of the actions you intend to take, together with any costs and timeframes for delivery, and how you will evaluate the success of the actions being taken.

<p>PRU 1: Planning</p> <p>Please set out arrangements for planning and delivering support to children in PRUs and EOTAS in your region.</p> <p>Please state how you intend working with your local authorities and EOTAS Co-ordinators on these proposals.</p>
<p>PRU 2: Support</p> <p>What will you do to ensure that Challenge Advisors are aware of the particular difficulties faced by pupils in PRUs and EOTAS?</p> <p>What plans have you to up-skill them if necessary?</p>
<p>PRU 3: Monitoring and Evaluation</p> <p>How will you ensure that practitioners monitor and evaluate the effectiveness of their approaches?</p> <p>What arrangements have you in place to take corrective action if these approaches are not delivering the required outcomes?</p>
<p>PRU 4: Target Setting</p> <p>How will you make sure that realistic yet challenging targets are set for PRUs and EOTAS providers?</p> <p>What evidence will you use to assure yourself that the targets are sufficiently challenging?</p> <p>What support will you provide in revising these targets if necessary?</p>
<p>PRU 5. Distribution of funding</p> <p>Please provide a flowchart illustrating how the funding is distributed to the settings.</p> <p>How will you ensure that settings without delegated budgets will have appropriate access to PDG?</p>

Any queries, please contact Gemma Wilks: gemma.wilks@gov.wales

ANNEX 3B

PDG Support Plan submitted by:

On behalf of [consortium name] Signature

Name

Job Title

Date

Countersigned by lead director

Signature

Name

Job Title

Annex 4

<u>Secondments 2018-2019</u>	Budgeted Cost £000's	Number of Secondments
Curriculum and Assessment	135,680	3
Developing the Profession	861,536	15
Leadership	198,793	3
School Improvement	75,666	2
Strong and Inclusive Schools	38,221	1
Review and Reform	45,537	1
	1,355,432	25
Cluster Leaders of Learning	2,456,790	57
Total Budgeted Secondments	3,812,222	82

Mae'r dudalen hon yn wag yn fwriadol



CYD-BWYLLGOR ERW 16 GORFFENNAF 2018

COFRESTR RISG

Pwrpas:

Yn dilyn adborth gan y Cyd-Bwyllgor, mae'r Cofnod Risg wedi ei gyflwyno ar ffurf newydd. Mae'r ffurf newydd yn dilyn fformat tebyg i Gyngor Sir Benfro, ac yn cydlynu'n dda gyda Awdit Mewnol a'r Adran Gyllid

Argymhellion / Penderfyniadau Angenrheidiol:

- Adolygu a chytuno lefelau goddefedd
- Adolygu a chytuno ar weithredoedd i liniaru
- Nodi a chytuno risgiau, gan ychwnaegu risg lle bu angen.

Rheswm:

System Cofnodi risg effeithlon. Sicrwydd i adrannau Awdit Mewnol a Chyllid

Awdur:

Phil Roberts

Swydd:

Prif Weithredwr Arweiniol

Rhif Cyswllt. 01792 637525

E-bost phil.roberts@swansea.gov.uk



EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

16TH JUL 2018

RISK REGISTER

BRIEF SUMMARY OF PURPOSE OF REPORT

The report contains:

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

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

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

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

Contextualisation – Some information on ERW

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

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

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

1. Finance

There is a section in the report dedicated to financial risks.

2. Risk Management

The Risk Register is ERW's main mechanism for capturing systemic risk.

3. Staffing Implications

Some of the risks are related to capacity and organisational design.

CONSULTATIONS

Details of any consultations undertaken are to be included here
N/A

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

THERE ARE NONE



Mae'r dudalen hon yn wag yn fwriadol



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

Corporate Risk Register (Threats)

2017-18

April 2018



Tudalen 371

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 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 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 5, using the probability and impact criteria shown on pages 6 and 7.

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. Member/Officer Relationships and 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↔. This will commence from the report presented to the next Joint Committee and will therefore be blank in this report.

The Corporate Risk Register for 2017-18 contains 11 business risks (threats), each of which is indexed at page 8 and shown in detail on pages 10 to 20.

Draft Pending Joint Committee Approval

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			

Draft Pending Joint Review

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 Cuts to School Services	16 Monitoring visit by Estyn results in follow up Failure to Deliver Business Plan Organisational Design, Governance or Legal footing found to be ineffective.
		12 Non – compliance with Grant Terms and Conditions
High Probability		12 Non – compliance with Grant Terms and Conditions
	High Impact	Very High Impact

Draft Pending

Index and Summary of Residual Business Risk Scores

Central

No.	Risk	Probability	Impact	Residual Risk	Movement	Page
1.1	Powys Estyn Monitoring result in follow up					11
1.2	Ceredigion Estyn Monitoring result in follow up	1	4	4		12
1.3	Pembrokeshire Estyn Monitoring result in follow up					13
1.4	Carmarthenshire Estyn Monitoring result in follow up					14
1.5	Swansea Estyn Monitoring result in follow up					15
1.6	Neath Port Talbot Estyn Monitoring result in follow up					16
2	ERW Estyn Monitoring result in follow up	4	4	16		17
3	Failure to deliver Business Plan	4	4	16		18
4	Org Design, Governance or Legal footing found to be ineffective	4	4	16		19
5	New National Model	3	3	9		20
6	Non-compliance with Grant Terms and Conditions	3	4	12		21
7	ERW Central Team Accommodation	2	3	6		22

Financial

No.	Risk	Probability	Impact	Residual Risk	Movement	Page
1	Timeliness of Welsh Government Funding	3	2	6		17
2	ERW is found to not provide Value for Money	3	3	9		18
3	LA failure to comply with Grant Regulations	2	3	6		19
4	Cuts to School Services	4	3	12		20

Draft Pending Joint Committee Approval

Contextualisation

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

ERW works closely with Welsh Government and with the other three regional consortia to deliver national priorities and policies in Wales, such as literacy, numeracy and digital competence, and improving learner outcomes. The regional education consortia were formally established following the publication of the National Model for School Improvement by Welsh Government in 2014. The National Model is based on a vision of regional school improvement consortia working with and on behalf of local authorities to lead, orchestrate and co-ordinate the improvement in the performance of schools and education of young people. This would be achieved by allowing local authorities to work collaboratively to share good practice, knowledge and skills, build capacity and increase opportunities for constructive challenge and targeted support.

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

Central Risks

1.1 Estyn Monitoring activity results in follow up for Powys

Description of Risk

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

Risk Control Measures

Risk Scores

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

Risk Owner

Ian Budd (Powys)

1.2 Estyn Monitoring activity results in follow up for Ceredigion

Description of Risk

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

Risk Control Measures

Mitigation:

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 LAES Inspection Framework.

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

Continue to provide high quality curriculum and leadership support for schools.

Risk Scores

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

Risk Owner

Meinir Ebbsworth (Ceredigion)

1.3 Estyn Monitoring activity results in follow up for Pembrokeshire

Description of Risk

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

Risk Control Measures

Risk Scores

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

Risk Owner

Kate Evan Hughes (Pembrokeshire)

1.4 Estyn Monitoring activity results in follow up for Carmarthenshire

Description of Risk

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

Risk Control Measures

- A regular review of core services, considering the data and performance evidence available.
- Effective and constructive partnership working with schools, corporate Council Services, the regional Consortium and other partners who contribute to delivering school improvement and education services.
- Robust and honest self-evaluation, incorporating the views of a range of stakeholders and partners, leading to clear identification of successes and challenges/areas to develop
- Effective appointments and support and training provided to provide a high quality, skilled team of Senior Managers and officers.

Risk Scores

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

Risk Owner

Gareth Morgans (Carmarthenshire)

1.5 Estyn Monitoring activity results in follow up for Swansea

Description of Risk

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

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	2	4	
Residual	1	2	2	
Tolerance			TBD	

Risk Owner

Nick Williams (Swansea)

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

Description of Risk

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

Risk Control Measures

- NPT was inspected by Estyn in December 2017 and judged to be good in all inspection areas. NPT will now focus on delivering progress against the four recommendations made.
- The local authority benefits from strong leadership at all levels, strong partnership with schools and other key agencies and has a long, secure track record of delivering strong outcomes for children and young people.
- Business planning processes have been modified to account for the four recommendations and progress will be scrutinised by elected members on a regular basis.
- Self-evaluation processes have been revised to secure improvement and to better inform planning processes. These will continue to be developed in order to identify aspects of underperformance as early as possible.
- Existing monitoring processes will be further developed to ensure that key strategic priorities, eg children's school readiness, post 16 transition, school leadership, are addressed.
- Action has been taken to address the safeguarding issue identified during the inspection and Estyn is satisfied with the progress made in relation to this area.
- Through our ERW partnership, the local authority will continue to secure good standards and overall progress of learners, including specifically raising standards in primary schools and provision for pupils in key stage 4.

Risk Scores

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

Risk Owner

Aled Evans (Neath Port Talbot)

2. Estyn monitoring activity results in follow up activity for ERW

Description of Risk

Inspection of Region finds less than adequate standards, provision or leadership.

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

The risk has now been compounded by slow progress in making decisions to progress the Review and Reform Programme.

Risk Control Measures

-

Risk Scores

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

Risk Owner

Lead Chief Executive
Ellen ap Gwynn

3. Failure to deliver Business Plan

Description of Risk

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

3.2 Lack of engagement from all LAs consistently

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

Central team capacity discussion with LD 14/10/16.

Critical 11/12/17, following reports to JC September 2017 - both ChAd and central team capacity matters have not been tackled, and now are increasingly having an impact on the support given to schools.

HT Questionnaires 2017 + 2018 report significant inconsistency.

No action over 24 months means that position is critical and greater than previously scored.

Risk Control Measures

- Effective planning by Central Team and Lead Chief Executive.
- Capacity to coordinate and facilitate change. position remains same and is critical
- Discuss with all Directors 24/07/15. All agreed capacity and restructure of Central Team. Improved planning and training on key workload issues. Challenge adviser capacity agreed to maintain at full Sept 2015 – this was 58FTE. The region is not at this capacity

Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	3	9	
Residual	4	4	16	
Tolerance			TBD	
Additional Measures:				

Risk Owner

Executive Board

4. Organisational Design, Governance or Legal Footing of ERW found to be ineffective.

Description of Risk

Organisational Design, Governance and Legal footing of ERW found to be ineffective at securing consistent improvement across all LAs by Estyn / WAO / WG / Self Evaluation.

Impact on outcomes is clear. Remaining risk is system knowledge by external stakeholders. Action by LA to respond to identified risks in Register.

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

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

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

Risk Control Measures

- Undertaking Review and Reform Programme

Risk Scores

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

Risk Owner

Joint Committee, Lead Chief Exec, Section 151, Monitoring Officer

5. ERW unable to meet requirements of New National Model for regional working

Description of Risk

ERW has not fully responded to the April 2014 National Model guidance by WG. (<https://gov.wales/docs/dcells/publications/140217-national-model-for-regional-working-en-v2.pdf>)

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

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

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

Staff insecurity is heightened at present as ERW may further its non-conformity with the National Model

Risk Control Measures

- Review and Reform Programme

Risk Scores

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

Risk Owner

Managing Director, 6 LA Directors, Joint Committee

6. Failure to comply with Grant Conditions from WG

Description of Risk

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

The region has received two letters from WG outlining the concerns that ERW is not using its "Regional Grants" within the spirit of the terms and conditions.

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

Currently ERW does not meet specific criteria within the new Regional Consortia School Improvement Grant.

- Capacity in Central Team to deliver against conditions
- A current valid agreement between Local Authorities regarding distribution
- A signed off Business Plan

Risk Control Measures

Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	↑↓↔
Inherent	3	3	9	
Residual	3	4	12	
Tolerance			TBD	
Additional Measures:				

Risk Owner

Executive Board

7. ERW Central Team Accommodation

Description of Risk

The accommodation available for the ERW Central Team is restrictive and unable to handle the extensive additional responsibilities undertaken - meeting rooms, space to eat away from desks etc. With the appointment of a significant number of Network Leaders of Learning, this stress on the capacity of ERW's accommodation figures to increase drastically. This presents a risk that ERW will not be able to sufficiently carry out its health and safety responsibilities to its staff.

There is a paper being submitted to Joint Committee that outlines the cost efficiency a change of Accommodation can facilitate.

Risk Control Measures

- Re-arranged office layouts to attempt to maximise the space currently available. Created a communal area for staff to meet informally / take lunch breaks so they're not eating at their desks. Flexible working arrangements on offer include working from home.
- Treatment: Currently evaluating alternative prospects for location of ERW Offices that offer more space, but specifications of our requirements (i.e parking, centrally accessible, preferably Carmarthen based) make this a difficult task.

Risk Scores

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

Risk Owner

Executive Board, Pembrokeshire County Council Chief Executive

Financial Risks

1. Timeliness of WG Funding

Description of Risk

WG Funding may not be timely resulting in underspend at the end of the financial year. 2016-17 commitment from WG to work more effectively with regions and LAs. 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.

Risk Control Measures

- A new bi-monthly payment profile has been established with Welsh Government
- Financial forward planning with contingency arrangements so that essential implementation is not hindered.
- Constant communication with WG to improve expectation.
- New Regional Consortia School Improvement Grant

Risk Scores

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

Risk Owner

Section 151 Officer

2. ERW is judged to not provide Value for Money

Description of Risk

Measured impact does not reflect value for money on ERW's work outcomes. This can be determined either from the £5.2m core funding, or from various grant funding.

Risk Control Measures

- Comprehensive VFM Framework in place.
- In house monitoring of effectiveness; support in any identified areas of concern.
- VFM monitoring and recommendations from Internal Audit undertaken.
- Annual Governance Statement

Risk Scores

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

Risk Owner

Managing Director

3. Local Authority failure to comply with Grant Regulations

Description of Risk

Individual LAs fail to comply with Grant Regulations and limited assurance given from other LA's to PCC

Risk Control Measures

Clear agreed financial guidance and procedures.

- Correspondence from Section 151 Officer and Internal Audit to all LA's.
- Assurance for PCC from each LA.
- Improved communication and understanding of roles, responsibilities and risks.
- Training and termly finance officers meeting.

Risk Scores

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

Risk Owner

Section 151 Officer, Head of Internal Audit

4. Cuts to school services

Description of Risk

Financial pressures in each LA leading to cuts affecting school services. On-going information and discussion. Impact on capacity and willingness of schools to engage on self-improving system. Further work with HT board to ensure clarity around expectations of HT to collaborate and the remuneration.

Due to the core funding being distributed to LAs, ERW is effectively running 7 services (6 teams of Challenge Advisers) and a Central Team who deliver national programmes. Currently there are other duplicated services in each Local Authority e.g. data

Risk Control Measures

Risk Scores

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

Risk Owner

Joint Committee

**ERW JOINT COMMITTEE
AGENDA ITEM NO 8
16.7.18**

Supporting / Additional information from ERW Executive Board

Agreed to include greater clarity in report on difference between residual risk / inherent risk.

Agreed to include additional fields to note additional measures where risk scores have increased following attempts to mitigate

Agreed to separate Risk 1 into 6 different risks (1 per LA) and for Directors to agree a risk score for their own Local Authority

Supporting / Additional Information from ERW Advisory Board

Mae'r dudalen hon yn wag yn fwriadol



CYD-BWYLLGOR ERW 16 GORFFENNAF 2018

CYNNIG ADNODDAU DYNOL

Pwrpas:

Cynnig i greu 3 swydd barhaol, i gryfhau a sefydlogi'r Tîm Canolog.

Argymhellion / Penderfyniadau Angenrheidiol:

I'r Cyd-Bwyllgor gymeradwyo'r cynnig uchod i greu 3 swydd a gweithredu'r cynnig yn y flwyddyn ariannol yma.

Rheswm:

Sefydlogrwydd y Tîm Canolog

Awdur:**Swydd:****Rhif Cyswllt:****E-bost:**

EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

16TH JULY 2018

HR PROPOSAL

BRIEF SUMMARY OF PURPOSE OF REPORT

The lack of stability and permanent capacity in the ERW Central Team has been a risk highlighted to Joint Committee since November 2016. The Review and Reform Programme was envisaged as providing a solution to this work, however the lack of progress on the programme has led to the need for the following paper to configure roles and responsibilities.

The Joint Committee is requested to support the creation of three permanent posts. This will stabilise the team and go towards meeting the grant conditions of the RCSIG.

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

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

1. Finance

The posts proposed in the paper will have implicit funding implications

2. Risk Management

The lack of permanent posts at senior level in ERW presents risks of instability within the Central Team

3. Staffing Implications

See the body of the proposal for all staffing implications

CONSULTATIONS

Details of any consultations undertaken are to be included here

Not applicable

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

THERE ARE NONE

ERW Configuration of Roles and Responsibilities

1 Introduction

- 1.1 Since its inception ERW and its Central Team has grown on the basis of need. It has become evident that the current size and scope of responsibility within the team is restricting the capacity to respond to the ever increasing demands via Welsh Government and other key stakeholders.
- 1.2 The organisational constraints have resulted in ERW being unable to respond quickly and positively to change and has prevented ERW on occasion from fully engaging in new projects and working effectively with the other consortia.
- 1.3 As a consequence, ERW is not progressing at the same rate as other consortia and has found it is less prepared to address or accommodate key aspects of the education reform agenda.
- 1.4 Unfortunately the internal reforms scheduled and discussed have not made progress over the last two years, therefore it is critical that specific issues relating to conditions of service, workload, capacity, accountability and performance are dealt with immediately.
- 1.5 The organisational structure currently in place (see appendix A), whilst considered 'fit for purpose' when first implemented, is now a significant barrier to the introduction of initiatives for current and future improvement as it has evolved on an ad hoc basis.
- 1.6 The structure does not provide the Managing Director with the intelligence, flexibility or capacity to utilise the resources effectively to respond to the demands of the organisation and the Welsh Government. In addition it is not efficient and well planned.
- 1.7 Most importantly the current structure does not enable to Consortium to deal with underperformance in schools and with staff, in a constructive, consistent and meaningful way.
- 1.8 The proposals in this report are also an attempt to minimise disruption to the team as far as possible.
- 1.9 Following review and HR advice this proposal is put forward for consideration by the Joint Committee.
- 1.10 The aim of the proposal is to take into account
 - i. The stabilisation of the central team
 - ii. Funding constraints
 - iii. Equitable and fair conditions of service for all ERW employees

- iv. Secure sufficient staff for the roles and responsibilities of the organisation
- v. Provide an efficient and effective workforce with the right skills and knowledge to undertake their roles
- vi. Improve staff wellbeing and morale and enable management to respond positively to individual lifestyle changes
- vii. Improve the quality of the service provided
- viii. Manage performance and capability issues more effectively
- ix. Allow for clear career progression and succession planning
- x. Maintain flexibility within the organisation whilst having clarity of role accountability and function
- xi. Minimise any risks associated with equal pay claims
- xii. Minimise any potential employee relations issues

2 Proposal

2.1 This proposal was introduced at the Executive Board meeting on 22nd June 2018 and it was recommended that it be passed to the Joint Committee for final consideration.

2.2 It is recommended that the Managing Director (MD) will line manage three permanent roles in the structure (please see job descriptions attached):

- i. Head of Support & Curriculum
- ii. Head of School Performance & Leadership
- iii. Head of Business Improvement

The MD currently line manages post i & ii above and post iii is vacant. Should the board be minded to make the 3 posts permanent it is recommended that an internal competitive process is initiated across the ERW region to ensure open competition and equality of appointments. It is recommended that the Lead Director, MD and Head of HR be included in the selection panel.

2.3 Salaries for the positions has been assessed at the following:

- i. Head of Support & Curriculum – Soulbury 35 – 37 plus 3 SPA's
- ii. Head of School Performance & Leadership – Soulbury 35 – 37 plus 3 SPA's
- iii. Head of Business Improvement has been evaluated as NJC Grade 12.

2.4 The Head of Support & Curriculum will line manage:

- i. Support for Learners Co-ordinator
- ii. Strategic Lead for Secondary Support
- iii. Head of Digital Learning
- iv. Portfolio Lead for Pioneer Schools.

2.5 The Head of Performance & Leadership will line manage:

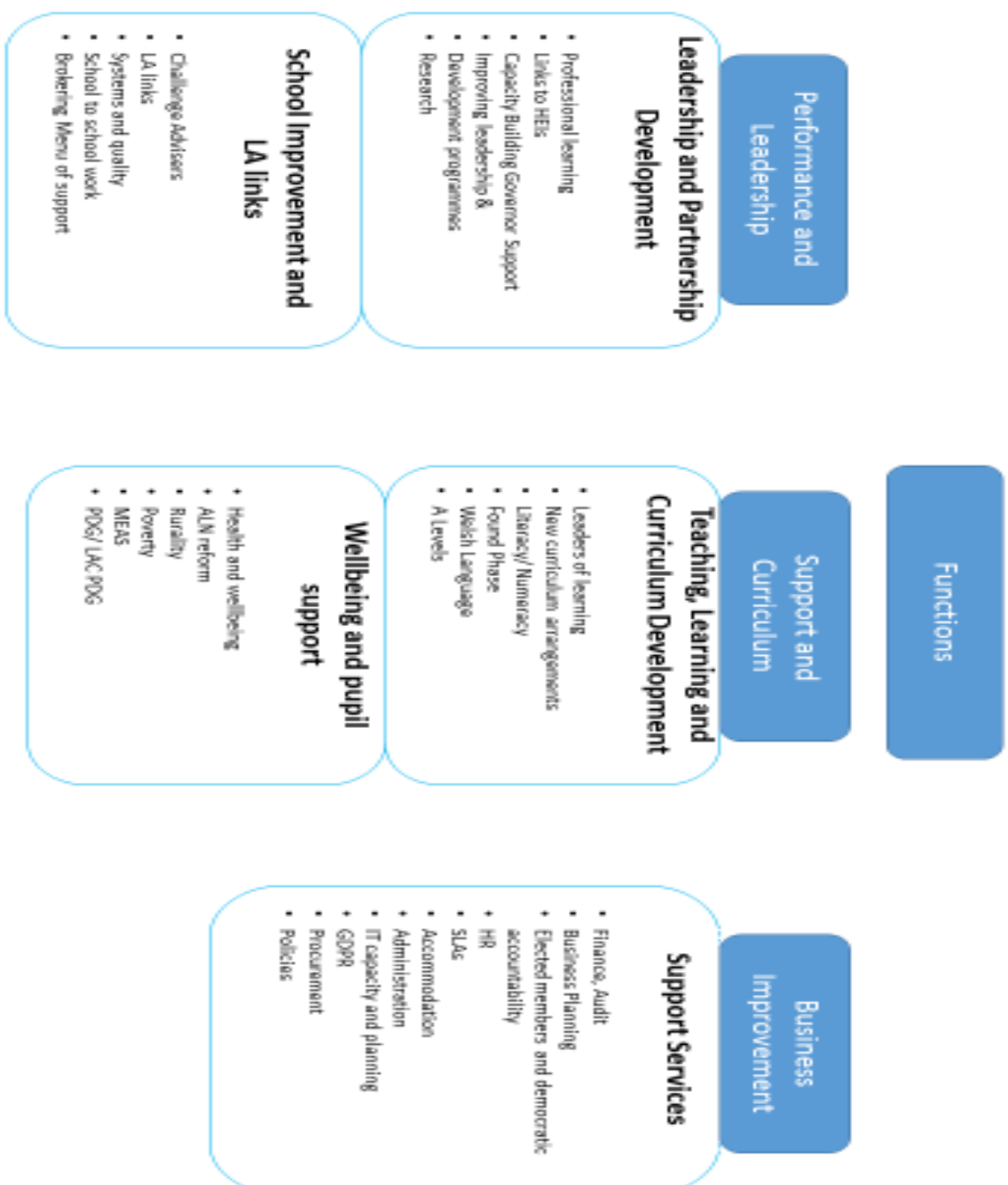
- i. Senior Regional Challenge Advisor for Welsh in Education
- ii. Programme Co-ordinator for the New Deal
- iii. Professional Learning Co-ordinator
- iv. Leadership Consultancy Support
- v. Senior Challenge Advisor for Quality & Development

The Head of Business Improvement will line manage:

- i. Operation & Project Manager
- ii. HR Advisor
- iii. Senior Accountant
- iv. Workstreams Officer
- v. HLTA Programme Co-ordinator
- vi. Events Officer.

3 Recommendations

3.1 The Joint Committee endorse the above proposal to create 3 posts and implement during current financial year.



ERW JOINT COMMITTEE HR PROPOSAL

Supporting / Additional information from ERW Executive Board

Agreed to be presented at Joint Committee

Supporting / Additional Information from ERW Advisory Board

Agreed to be presented at Joint Committee

ERW JOB DESCRIPTION



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

JOB TITLE:	Head of Business Improvement	POST REF:
DEPARTMENT:	ERW	GRADE: 12
DIVISION:	Education	Role Profile:
RESPONSIBLE TO:	Managing Director	

JOB PURPOSE

Supporting the Managing Director, to lead, develop and manage the business development function, across the full range of ERW's business functions. This includes Finance, HR, Systems, Development, Accommodation, Audit, Administration, SLA's, Programme Planning, Business, Planning and Governance, delivering the mission, values and principles of school improvement.

PRINCIPAL RESPONSIBILITIES

- To work closely with the Managing Director and members of the Senior Leadership Team to deliver the ERW Business Plan.
- To develop, foster and maintain relationships with partners, including Local Authority Leads, schools and all relevant bodies on local, regional and national levels.

Business Improvement and Development

- To develop strong and robust delivery of strategies for development of business improvement functions in ERW.
- To develop business systems, business process and secure the effective validity of all improvement and business projects across ERW.
- To lead on the development and maintenance of strategies, policies and procedures for business improvement, project and programme management.
- To lead on a programme of business improvement projects which are key in supporting the overall aim of school improvement across the region.
- To apply all business and technical knowledge to enable, support and review all of the business improvement functions.
- To keep abreast of developments in the field of business systems and business efficiency, following a continuous improvement model for the areas of responsibility.
- To represent the regional improvement service in national and local events, as required.

Resources and Process

- Working with the MD and s.151 Officer have overall responsibility for the financial services.
- Together with key stakeholders, regularly review expenditure to ensure value for money and to achieve efficiency savings.

- To deliver excellent communications and ensure robust and effective stakeholder engagement.
- To be responsible for the strategic direction of the Resources Team in all matters relating to HR, Finance, Grants, Audit and Procurement.
- To be responsible for strategic direction of the Process Team in all matters relating to Systems and Data, Policy & Planning, Office Management and Facilities.
- To advise the Senior Leadership Team on all governance arrangements and ERW staff as required.
- To drive through clear policies on quantity compliance, control and risk across all business functions.
- Together with the Head of Digital Learning and Systems, oversee the IT function ensuring it meets the needs of the organisation, including agile working.
- To oversee all project management, ensuring effective and efficient use of resources and measurable outcomes are achieved.

Staff Management

- To provide a clear, visible and professional management to support a high performance culture.
- To develop, implement and maintain performance management and quality assurance procedures across the functions.
- To ensure ERW's aims and objectives are communicated to all within the functions and underpin all the business support delivered by staff at ERW.
- Any other duties commensurate with the post.

Protecting Children and Vulnerable Adults is a core responsibility of all staff.

PERSON SPECIFICATION

SKILLS / ATTRIBUTES	ESSENTIAL or DESIRABLE	EVALUATION METHOD
Knowledge/Education		
Degree or equivalent	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Relevant Professional qualification	<i>ESSENTIAL</i>	Application Form / Reference / Interview
A thorough knowledge of business principles required to lead business systems development and business improvement	<i>ESSENTIAL</i>	Application Form / Reference / Interview
A knowledge of service delivery in the public sector	<i>DESIRABLE</i>	Application Form / Reference / Interview

Experience		
Successful record as a senior manager in a multi-disciplinary organisation	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Experience of budget and programme management	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Experience of resources and process management, across a cross-section of business functions	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Proven record in change and performance management	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Successful record of managing significant projects and programmes	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Skills/ Abilities		
Commitment to continuous improvement	<i>ESSENTIAL</i>	Application Form / Reference / Interview
To be able to lead and initiate on service delivery, in line with the most recent and innovative strategies	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Effective leadership, management and decision-making skills	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Ability to analyse complex information and deliver business solutions in complex areas of work.	<i>ESSENTIAL</i>	Application Form / Reference / Interview
High level of interpersonal and presentational skills	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Excellent written and verbal communication skills, including in people management	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Other Requirements		
Ability to work through the medium of Welsh	<i>DESIRABLE</i>	Application Form / Reference / Interview

Mae'r dudalen hon yn wag yn fwriadol

ERW JOB DESCRIPTION



JOB TITLE:	Head of School Performance & Leadership	POST REF:
DEPARTMENT:	ERW	GRADE: Soulbury 35 – 37 plus 3 SPA
DIVISION:	Education	Role Profile:
RESPONSIBLE TO:	Managing Director	

JOB PURPOSE

To provide strategic support to the Managing Director in delivering the School Improvement Services in the South West and Mid Wales Consortium, ERW. Being the lead officer and managing the portfolio of school performance and leadership, delivering ERW's mission, values and principles of school improvement, with the overall aims and objectives of raising standards of achievement for all children and young people in the region.

PRINCIPAL RESPONSIBILITIES

- To be accountable to the Managing Director for ERW – assisting them in managing the organisation and deputising for them when required.
- To be a Lead Officer in the management and implementation of regional ERW's strategy.
- To contribute and support the delivery of ERW's Business Plan Priorities.
- To reflect the region's commitment to equal opportunities and adhere to the ERW Code of Conduct for education improvement professionals.

School Performance

- To manage all aspects of the National Categorisation system including: national consistency and compliance.
- Be the responsible Officer for Quality Assurance of the core visits of Challenge Advisers, across the Region, ensuring standards are set and robust measurements of performance are in place, with an effective feedback policy.
- To provide strategic lead on the quality of appropriate school improvement programmes in collaboration with appropriate internal and external stakeholders.
- Be the responsible Officer to initiate, plan and develop innovative, successful programmes for creating capacity within the regional team through effective management of quality.
- To support the Challenge Advisers, ensuring the deliverance of a consistent school improvement service and develop a culture of continuous improvement.
- To provide strategic lead on the development of excellent quality resources for the Region to support Challenge Advisers in school improvement.
- To provide strategic lead in an responsive and effective evaluation assessment for improvement.

- To have overall responsibility of advising Local Authorities where statutory intervention if required and input into the appropriate measures to put in place.
- Overall responsibility for the implementation of support programmes, when required, for schools across in the region.

Leadership

- To be responsible for building leadership capacity, ensuring resilience building in school leadership for the short, medium and long term.
- To oversee and co-ordinate the regional training programmes, developing innovative, successful programmes for enhancing capacity and confidence in improving the content and quality of provision, targeting skills, knowledge and performance.
- To be responsible for the development and co-ordination of Professional Learning Schools.
- To be lead Officer in the development of mentoring and coaching programme for Leaders.
- To lead developments with HEI's and other partners to drive/lead and develop suitable leadership programmes for the region.
- Target training and development and Continuous Professional Development for School Leaders/Teachers throughout ERW.
- Influence and collaborate with ITET partners to improve the content and quality of skills and knowledge, performance of teachers new to the profession.
- To ensure that national programmes such as NPQH and HLTA are managed and delivered well within ERW and adhere to the Welsh Government terms and condition.
- Plan and organise a regional programme of support to target teachers, to build confidence and morale in the profession.

Partnership and Collaboration

- To develop, foster and maintain relationships with stakeholders, including Local Authority Leads, schools, and all relevant bodies on local, regional and national levels.
- To provide lead strategic regional support in developing a consistent high level of expectation in schools.
- To be a lead officer for the Region in monitoring and challenging colleagues to deliver developments within agreed parameters and systems.
- To contribute to the development and ongoing review of the national curricula and national policy.
- To support the Leading Learning Priority Board and Strategy.

Protecting Children and Vulnerable Adults is a core responsibility of all staff.

<u>PERSON SPECIFICATION</u>		
SKILLS / ATTRIBUTES	ESSENTIAL or DESIRABLE	EVALUATION METHOD
Knowledge/Education		
Degree or equivalent	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Relevant Professional qualification	<i>ESSENTIAL</i>	Application Form / Reference / Interview
A thorough knowledge of current legislation and best practice in service area	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Experience		
Substantial experience of successfully working in Education at a senior level	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Successful record as a senior manager in a multi-disciplinary organisation	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Experience of working at regional and national level.	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Proving track record in developing, leading and implementing successful policy and programmes in an education setting.	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Experience of meeting deadlines, setting targets and managing change	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Record of continuing professional development	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Successful record of partnership working	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Successful record of leadership and management	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Experience of resourcing effectively for the service delivery requirements	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Experience of working in partnership with external bodies	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Skills/ Abilities		
Commitment to continuous improvement	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Leading and managing innovation and change	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Effective leadership and management skills	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Ability to provide effective support and challenge to schools.	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Ability to manage creatively the range of aspects affecting the quality and effectiveness of the delivery of the service.	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Commitment to personal learning and continuing professional development of all staff, promoting a culture of continuous learning	<i>ESSENTIAL</i>	Application Form / Reference / Interview
High level of interpersonal and presentational skills	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Excellent management, communication organisational skills	<i>ESSENTIAL</i>	Application Form / Reference / Interview

Confident user of ICT	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Other Requirements		
Ability to work through the medium of Welsh	<i>DESIRABLE</i>	Application Form / Reference / Interview
Ability to travel throughout the region and beyond to meet requirements of the post	<i>ESSENTIAL</i>	Application Form / Reference / Interview

LOCATION: ERW Offices, Carmarthen

ERW JOB DESCRIPTION



JOB TITLE:	Head of Support and Curriculum	POST REF:
DEPARTMENT:	ERW	GRADE: Soulbury 35 – 37 plus 3 SPA
DIVISION:	Education	Role Profile:
RESPONSIBLE TO:	Managing Director	

JOB PURPOSE

To provide strategic support to the Managing Director in delivering School Improvement Services in the South West and Mid Wales Consortium, ERW. Being the lead officer of curriculum support services to schools and education improvement services, delivering ERW's mission, values and principles of school improvement, and part of a wider team meeting the needs of children and young people in the region.

PRINCIPAL RESPONSIBILITIES

- To be accountable to the Managing Director for ERW – assisting them in managing the organisation and deputising for them when required.
- To be a Lead Officer in the management and implementation of regional ERW's strategy.
- To contribute and support the delivery of ERW's Business Plan Priorities.
- To reflect the region's commitment to equal opportunities and adhere to the ERW Code of Conduct for education improvement professionals.

Curriculum

- To be the Lead Officer for the oversight and management of all National subject and curriculum developments and the dissemination of such developments to Central Team and local authorities.
- Represent ERW's LAs on a national level and lead policy developments related to curriculum.
- Be responsible for the liaison with Heads of Hub in the region keeping them up to date on all curriculum developments.
- To be the strategic Lead for the region for the programme and training of the Curriculum Pioneer Schools providing the link with Welsh Government and other stakeholders.
- To lead, working with the Head of Digital Learning, the regional strategy to implement and sustain digital learning in schools.
- To be the strategic Lead, working with the Head of Welsh Education, to ensure the Welsh in Education Strategic Plans (WESP) aims are delivered across the Region.
- To be the regional Lead for Well-Being and links to Additional Learning Needs provision across the region.
- To promote self-improving schools and collaborations between schools to have high impact on learner outcomes in curriculum areas.

Learning

- To be the Lead Officer in co-ordinating the appropriate working groups in developing the regional strategy to support learning through school to school work with a view to building a self-sustaining system.
- Be the Lead Officer for the Co-ordination of Leaders of Learning (LoL) across the region and any curriculum specialists.
- Be the Lead Officer for effective deployment of Leaders of Learning in response to schools in need of the most support.
- Have overall responsibility for the coordination of the regional index of excellence and database of school information.
- To lead regional developments within clusters and groups of schools across ERW.
- To oversee the programme of training to engage schools in building regional capacity for school improvement through developing collaborative working practices.
- To communicate regional messages on school to school support in building a self-sustaining and resilient system.
- To have strategic Lead in building capacity within schools across the region to maximise the learning potential of all pupils.
- To have strategic Lead in supporting schools across the region in order to improve provision for literacy and numeracy, GCSE and Digital Learning.
- To have overall lead on the challenge and broker support for schools based on robust analysis of schools areas for development and strengths of all schools, in accordance with the regional support, challenge and intervention framework.
- To have a good working knowledge of schools in relation to targets, development plans, standards quality of provision.

Resources

- Have line management responsibilities for all curriculum related posts.
- Be responsible for an effective Leaders of Learning service delivery across the region, ensuring well-trained, highly functioning staff.
- To manage the effective use of resources across the service delivery areas of support and curriculum within the region.

Partnership and Collaboration

- To develop, foster and maintain relationships with stakeholders, including Local Authority Leads, schools, and all relevant bodies on local, regional and national levels.
- To provide lead strategic regional support in developing a consistent high level of expectation in schools.
- Working with Welsh Government to contribute to the development and support the implementation of national priorities.
- Through the Leaders of Learning promote collaboration within clusters and across schools.
- Liaise closely with Headteachers and colleagues in ERW schools to contribute to an engagement strategy for regional school to school support.

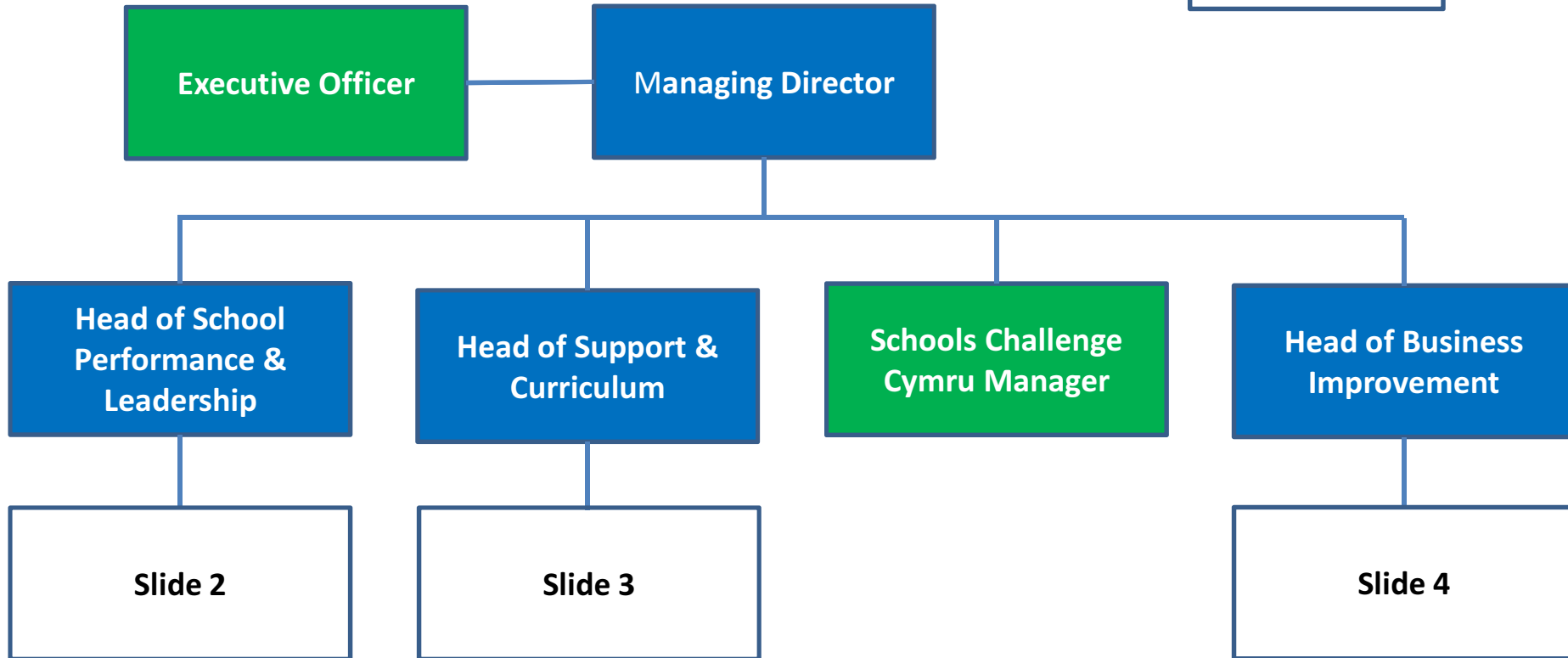
Protecting Children and Vulnerable Adults is a core responsibility of all staff.

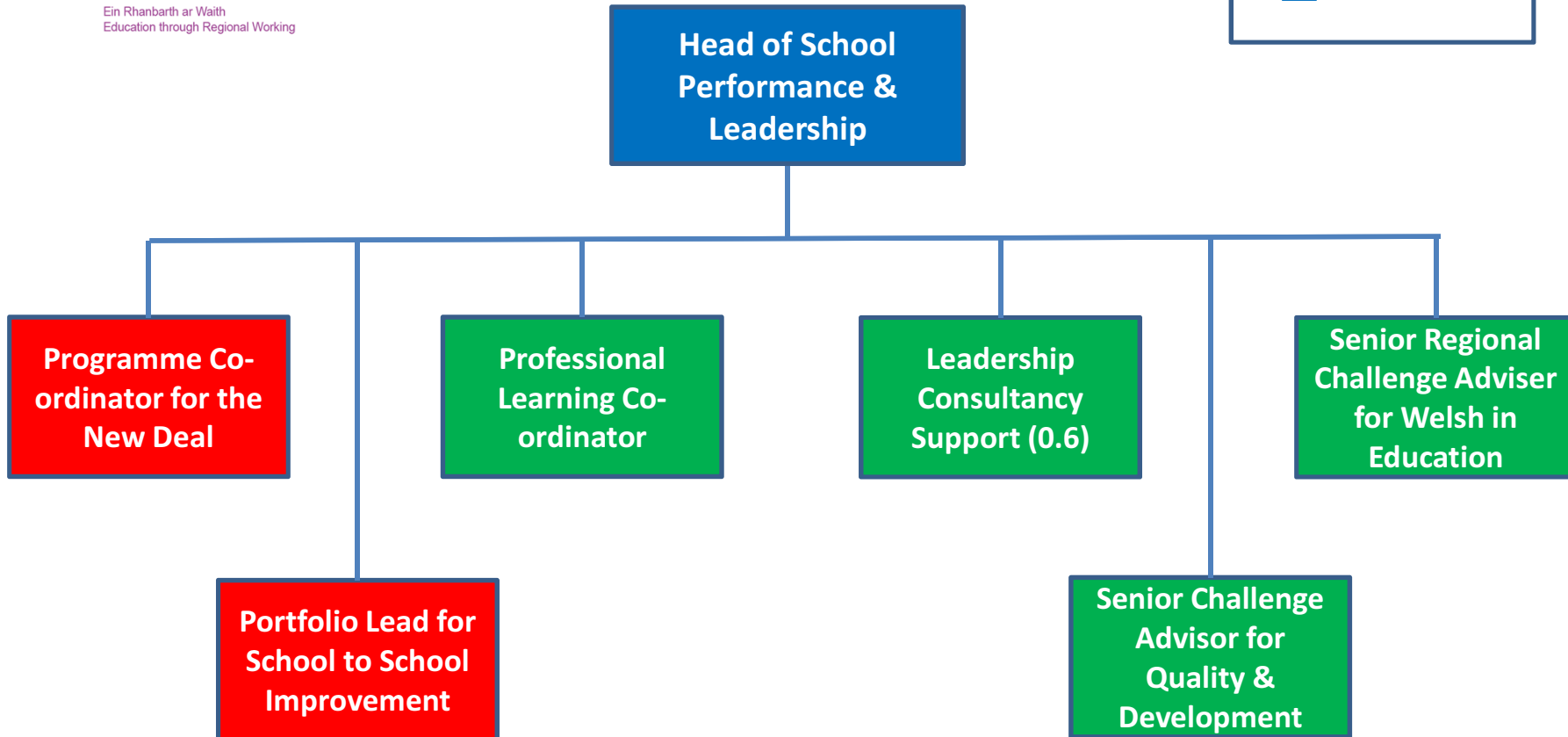
PERSON SPECIFICATION

SKILLS / ATTRIBUTES	ESSENTIAL or DESIRABLE	EVALUATION METHOD
Knowledge/Education		
Degree or equivalent	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Relevant Professional qualification	<i>ESSENTIAL</i>	Application Form / Reference / Interview
A thorough knowledge of current legislation and best practice in service area	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Experience		
Substantial experience of successfully working in Education at a senior level	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Successful record as a senior manager in a multi-disciplinary organisation	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Experience of working at regional and national level	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Proving track record in developing, leading and implementing successful policy and programmes in an education setting.	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Experience of meeting deadlines, setting targets and managing change	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Record of continuing professional development	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Successful record of partnership working	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Successful record of leadership and management	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Experience of resourcing effectively for the service delivery requirements	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Experience of working in partnership with external bodies	<i>ESSENTIAL</i>	Application Form / Reference / Interview

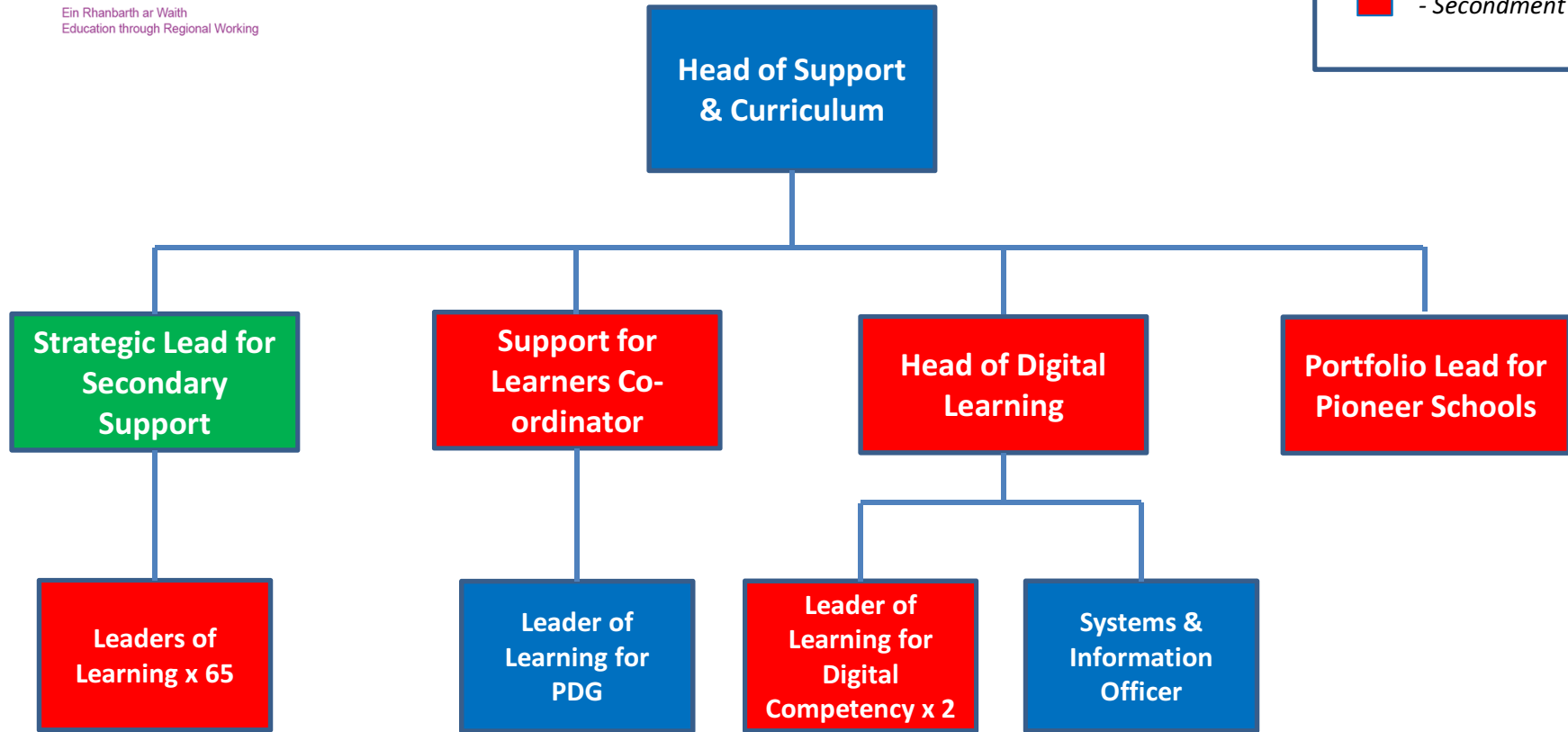
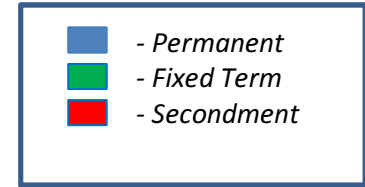
Skills/ Abilities		
Commitment to continuous improvement	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Leading and managing innovation and change	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Effective leadership and management skills	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Ability to provide effective support and challenge to schools.	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Ability to manage creatively the range of aspects affecting the quality and effectiveness of the delivery of the service.	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Commitment to personal learning and continuing professional development of all staff, promoting a culture of continuous learning	<i>ESSENTIAL</i>	Application Form / Reference / Interview
High level of interpersonal and presentational skills	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Excellent management, communication organisational skills	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Confident user of ICT	<i>ESSENTIAL</i>	Application Form / Reference / Interview
Other Requirements		
Ability to work through the medium of Welsh	<i>DESIRABLE</i>	Application Form / Reference / Interview
Ability to travel throughout the region and beyond to meet requirements of the post	<i>ESSENTIAL</i>	Application Form / Reference / Interview

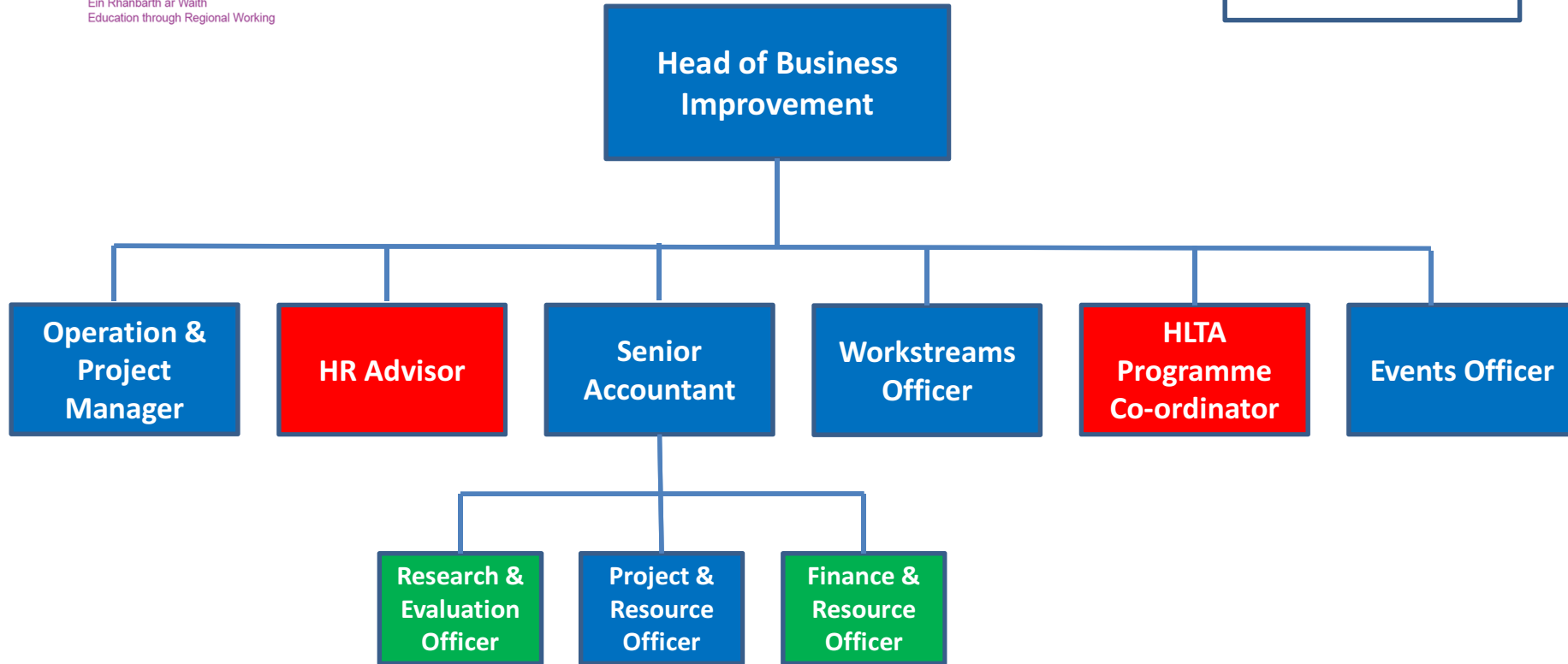
LOCATION: ERW Offices, Carmarthen



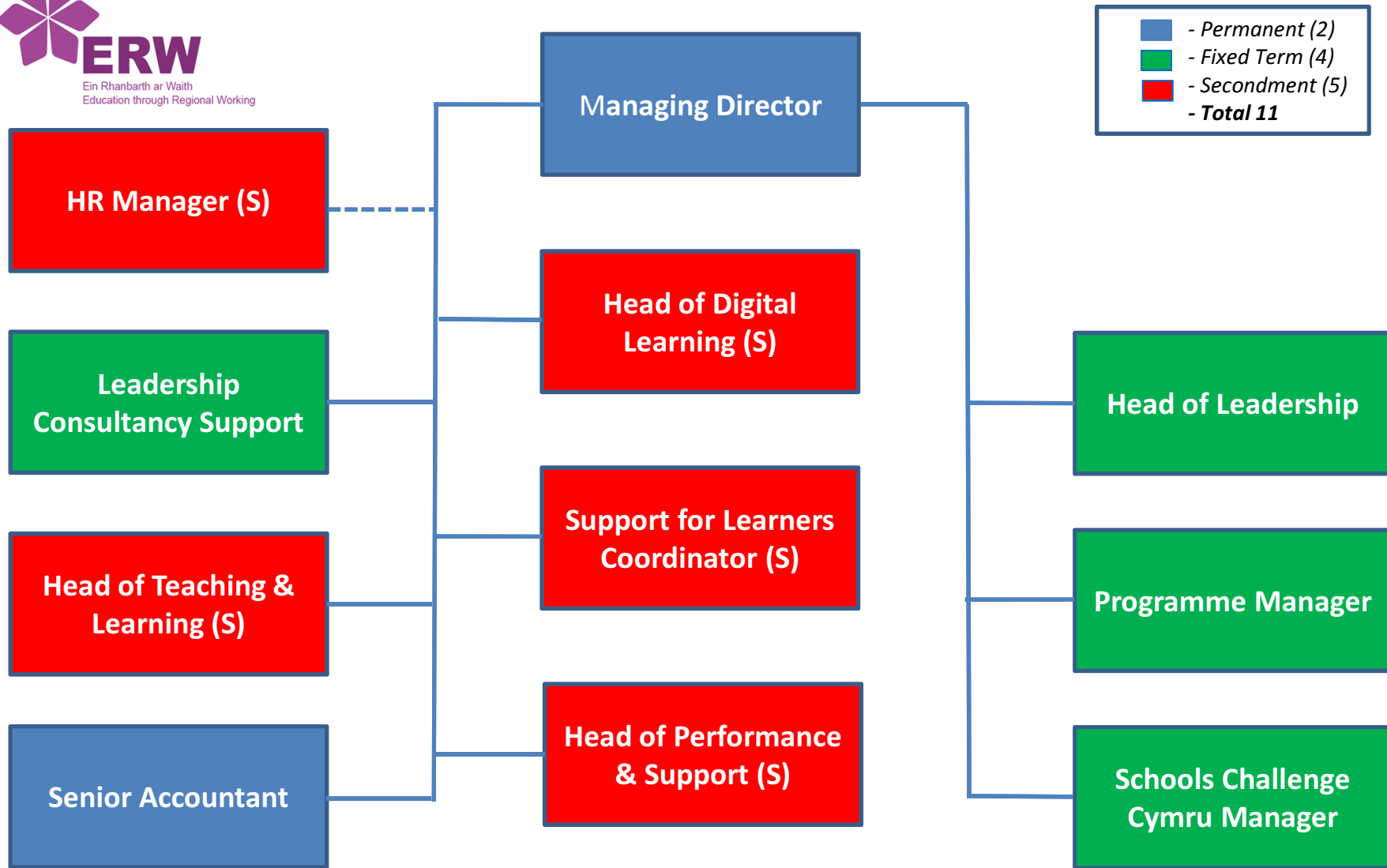


Cynghair o 6 awdurdod lleol yw ERW a reolir gan gyd-bwyllgor cyfansoddiadol cyfreithiol.
Y nod yw gweithredu strategaeth a chynllun busnes rhanbarthol cytunedig a chefnogi gwelliant ysgolion.
ERW is an alliance of 6 local authorities governed by a legally constituted joint committee.
Its aim is to implement the agreed regional strategy and business plan to support school improvement.

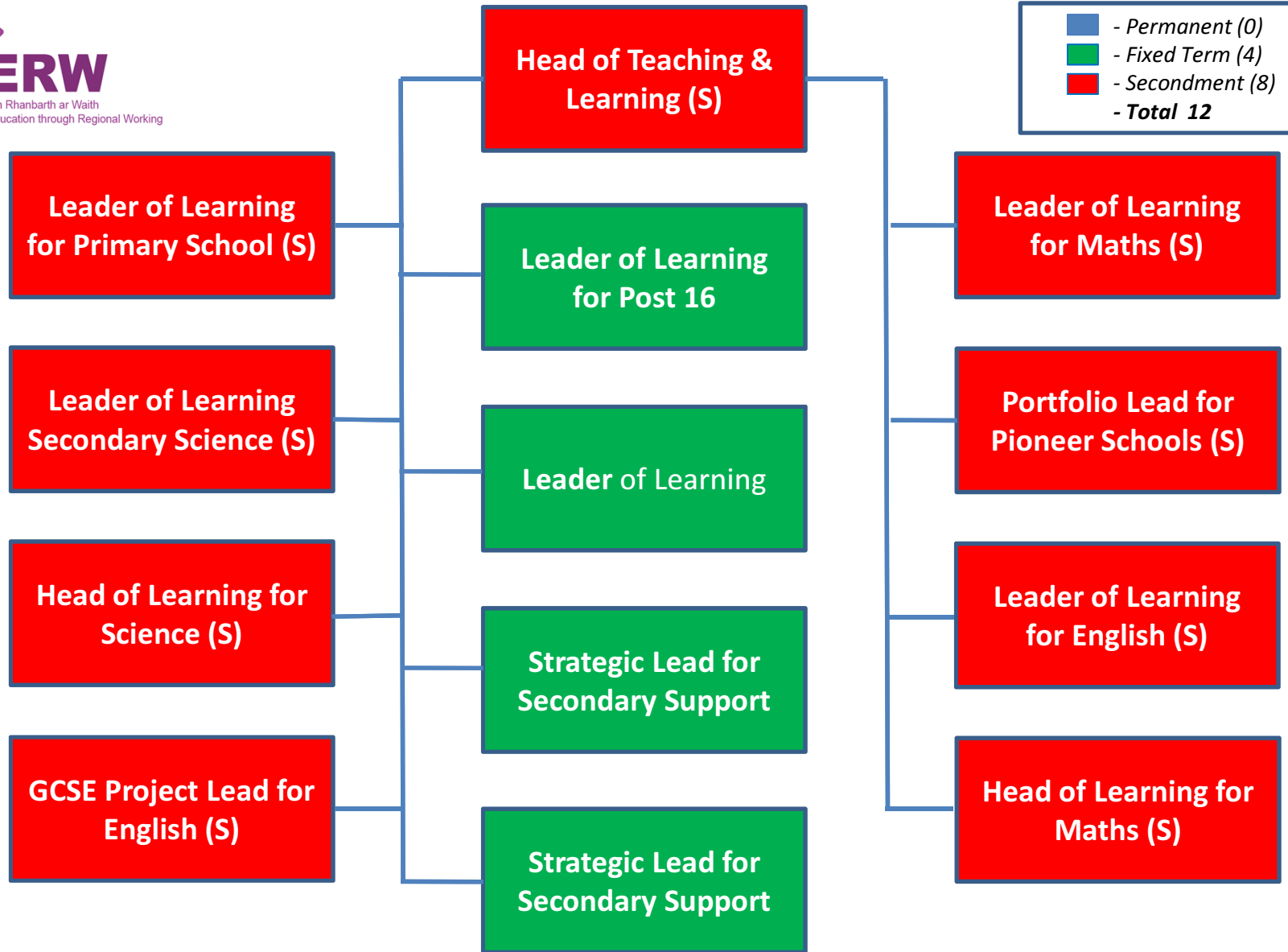




Cynghair o 6 awdurdod lleol yw ERW a reolir gan gyd-bwyllgor cyfansoddiadol cyfreithiol. Y nod yw gweithredu strategaeth a chynllun busnes rhanbarthol cytunedig a chefnogi gwelliant ysgolion. ERW is an alliance of 6 local authorities governed by a legally constituted joint committee. Its aim is to implement the agreed regional strategy and business plan to support school improvement.



■ - Permanent (2)
■ - Fixed Term (4)
■ - Secondment (5)
- Total 11

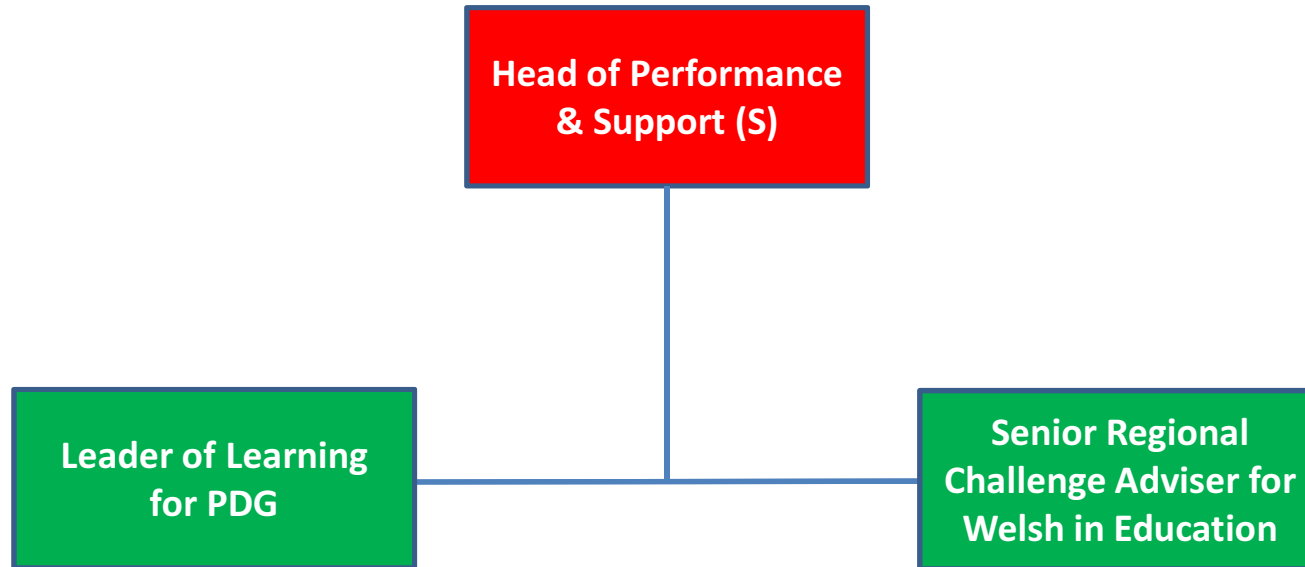


■	- Permanent (0)
■	- Fixed Term (4)
■	- Secondment (8)
	- Total 12



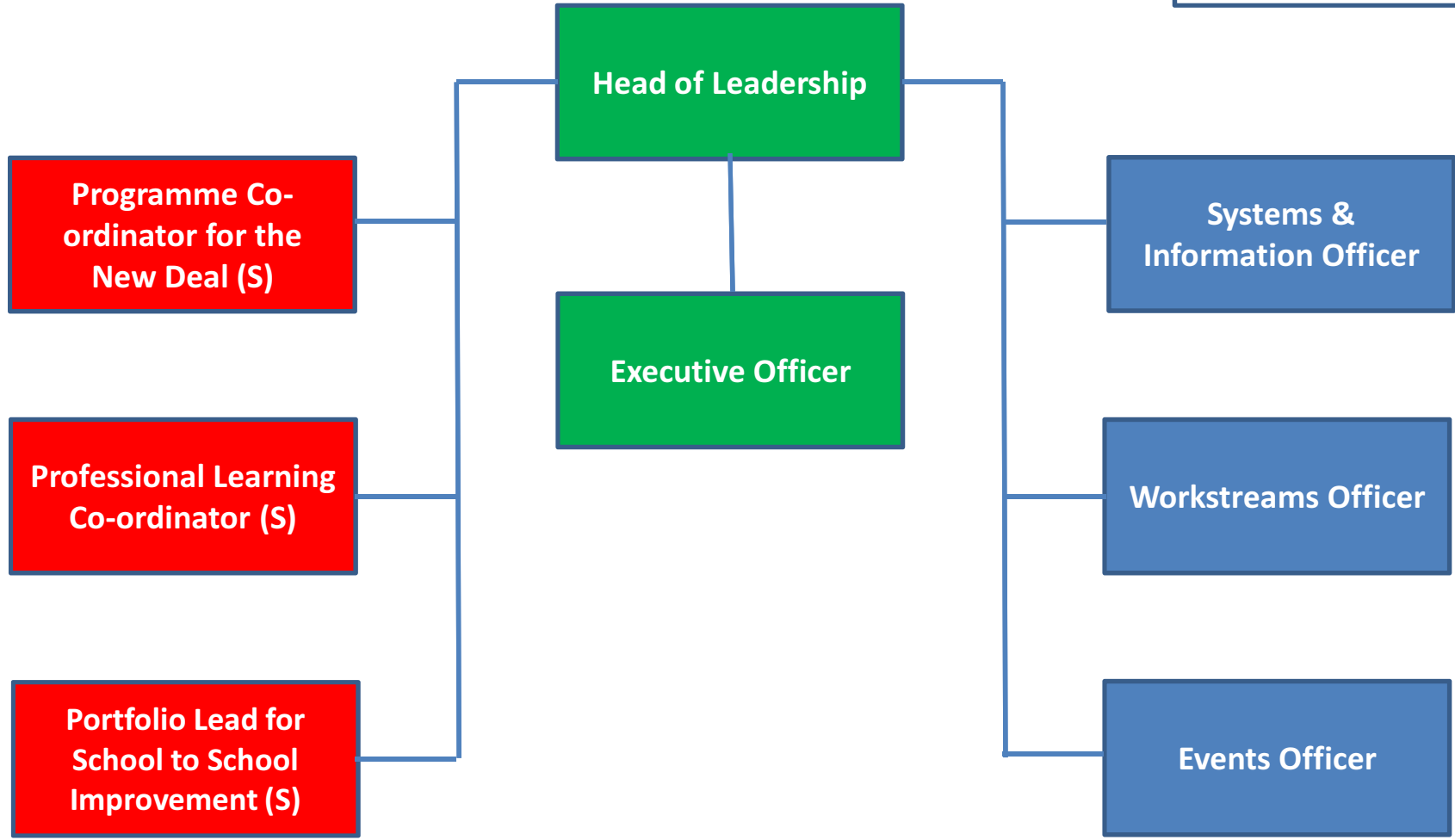
Cynghair o 6 awdurdod lleol yw ERW a reolir gan gyd-bwyllgor cyfansoddiadol cyfreithiol. Y nod yw gweithredu strategaeth a chynllun busnes rhanbarthol cytunedig a chefnogi gwelliant ysgolion. ERW is an alliance of 6 local authorities governed by a legally constituted joint committee. Its aim is to implement the agreed regional strategy and business plan to support school improvement.

■	- Permanent (0)
■	- Fixed Term (2)
■	- Secondment (0)
	- Total 2





■	- Permanent (3)
■	- Fixed Term (1)
■	- Secondment (3)
	- Total 7



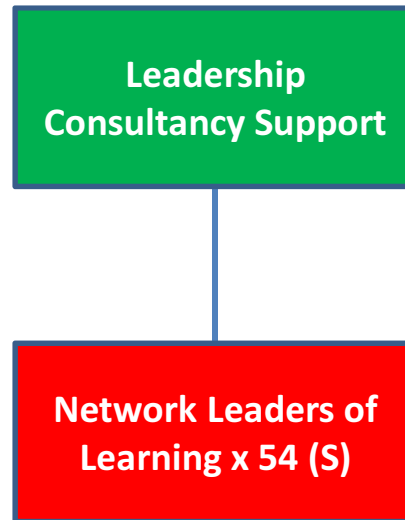
Cynghair o 6 awdurdod lleol yw ERW a reolir gan gyd-bwyllgor cyfansoddiadol cyfreithiol. Y nod yw gweithredu strategaeth a chynllun busnes rhanbarthol cytunedig a chefnogi gwelliant ysgolion. ERW is an alliance of 6 local authorities governed by a legally constituted joint committee. Its aim is to implement the agreed regional strategy and business plan to support school improvement.

■	- Permanent (0)
■	- Fixed Term (1)
■	- Secondment (0)
	- Total 1






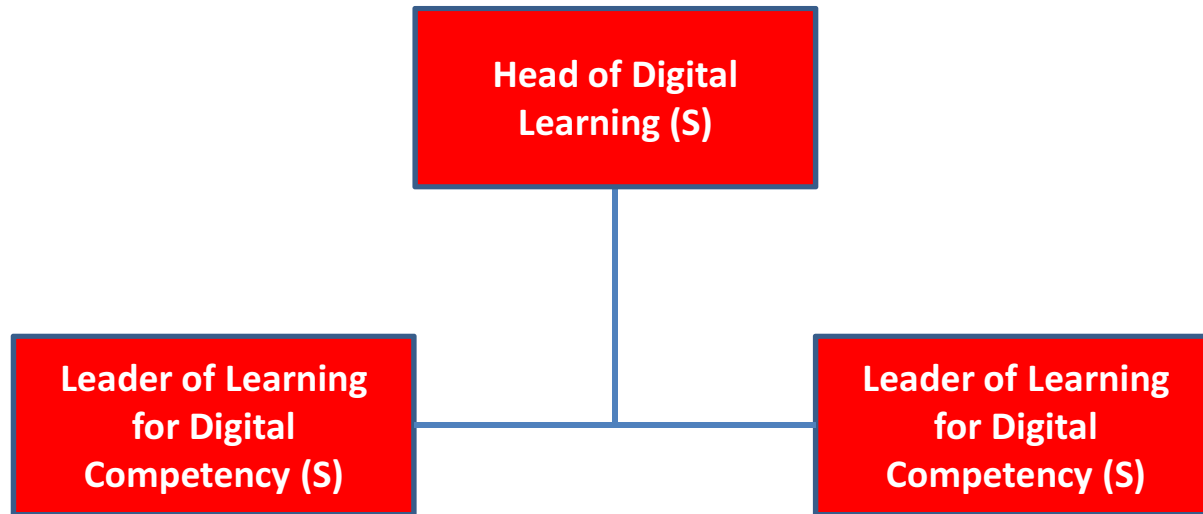


	- Permanent (0)
	- Fixed Term (0)
	- Secondment (54)
	- Total 54





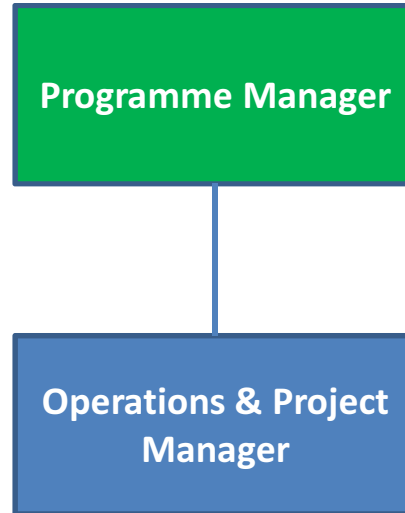
Cynghair o 6 awdurdod lleol yw ERW a reolir gan gyd-bwyllgor cyfansoddiadol cyfreithiol.
Y nod yw gweithredu strategaeth a chynllun busnes rhanbarthol cytunedig a chefnogi gwelliant ysgolion.
ERW is an alliance of 6 local authorities governed by a legally constituted joint committee.
Its aim is to implement the agreed regional strategy and business plan to support school improvement.

	- Permanent (0)
	- Fixed Term (0)
	- Secondment (2)
	- Total 2

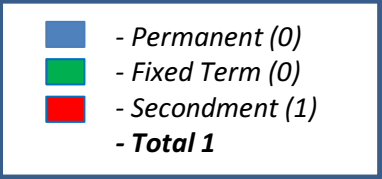




	- Permanent (1)
	- Fixed Term (0)
	- Secondment (0)
	- Total 1

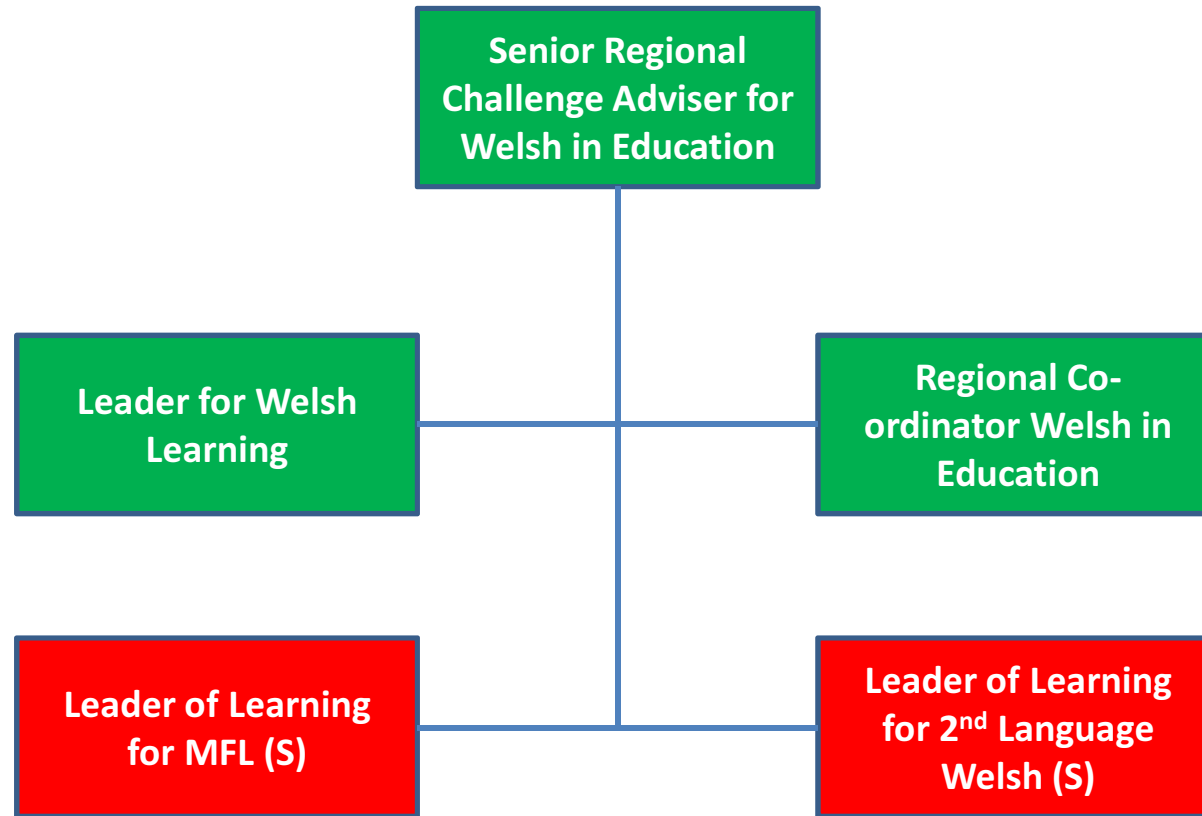


Cynghair o 6 awdurdod lleol yw ERW a reolir gan gyd-bwyllgor cyfansoddiadol cyfreithiol.
Y nod yw gweithredu strategaeth a chynllun busnes rhanbarthol cytunedig a chefnogi gwelliant ysgolion.
ERW is an alliance of 6 local authorities governed by a legally constituted joint committee.
Its aim is to implement the agreed regional strategy and business plan to support school improvement.



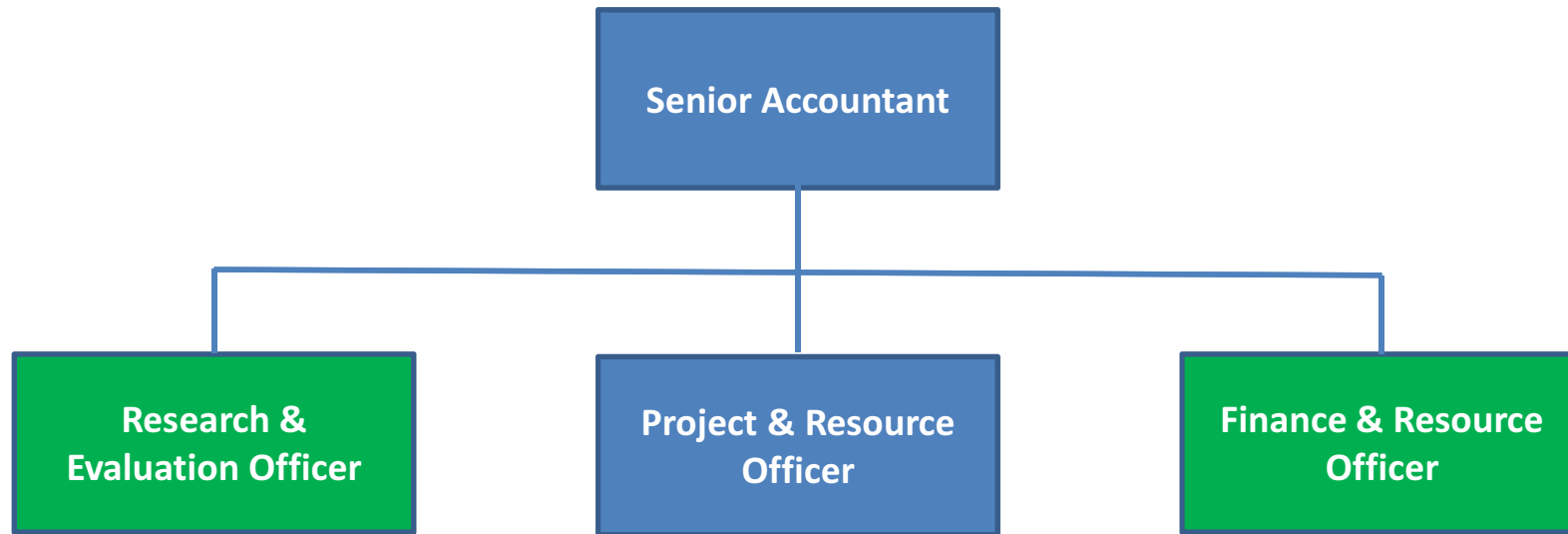


	- Permanent (0)
	- Fixed Term (2)
	- Secondment (2)
	- Total 4



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.

■	- Permanent (1)
■	- Fixed Term (2)
■	- Secondment (0)
	- Total 3



Mae'r dudalen hon yn wag yn fwriadol



CYD-BWYLLGOR ERW 16 GORFFENNAF 2018

ADOLYGU TREFNIADAU CYTUNDEBAU LEFEL GWASANAETH

Pwrpas:

Darparu diweddariad ar anghenion gwasanaethol ERW i'r Cyd-Bwyllgor

Argymhellion / Penderfyniadau Angenrheidiol:

- I'r Cyd-Bwyllgor gytuno'r CLG yn yr adroddiad
- I'r Cyd-Bwyllgor gytuno cryfhau rôl yr Awdurdod Cyllid Arweiniol, iddynt llawn cynorthwyo anghenion gwella busnes Tîm Canolog ERW.
- I'r Cyd-Bwyllgor gytuno pwerau i'r Prif Weithredwr Arweiniol a'r Rheolwr Gyfarwyddwr, fel bod modd iddynt newid y CLG i adlewyrchu newidiadau yn ERW, o fewn £10,000
- I'r Cyd-Bwyllgor cefnogi'r cynnig i gynnal cyfnod lle mae modd i'r Awdurdodau Lleol oll datgan diddordeb am CLG penodol

Rheswm:

Angen cymeradwyaeth y Cyd-Bwyllgor

Awdur	Swydd	Rhif Cyswilt 01267 245635
Angela Procter	Rheolwr Raglen / Programme Manager	e-bost angela.procter@erw.org.uk





EXECUTIVE SUMMARY

ERW JOINT COMMITTEE 16TH JULY 2018

REVIEWING THE SLAS AND IN-KIND ARRANGEMENTS

BRIEF SUMMARY OF PURPOSE OF REPORT

To provide the Joint Committee with an update on the services required under SLAs and in-kind arrangements and to obtain approval to progress as detailed within the report.

DETAILED REPORT ATTACHED?

YES



IMPLICATIONS

Policy, Crime & Disorder and Equalities	Legal	Finance	Risk Management Issues	Staffing Implications
NONE	YES	YES	YES	YES
1. Legal As outlined in report				
2. Finance As outlined in report				
3. Risk Management As outlined in report				
4. Staffing Implications As outlined in report				

CONSULTATIONS

Details of any consultations undertaken are to be included here

N/A

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

THERE ARE NONE



REVIEWING THE SLAS AND IN-KIND ARRANGEMENTS BETWEEN INDIVIDUAL LAS AND ERW

Context

ERW has been in existence in its current form since May/June of 2014. Standards have continued to improve at or above the Wales average and especially for pupils entitled for free school meals. Estyn have reported (2016) that our work and services to improve schools is good. However, a follow-up visit in 2017 deemed overall progress in meeting the four recommendations to be slow as ERW's central team and six local authorities have found it difficult to increase the pace of improvement under the existing governance arrangements.

Since the organisation was established, the organisation has grown as Welsh Government is increasing expectations of regional consortia to play a key role in delivering new ministerial priorities. ERW has had to develop on a foundation designed for a much smaller organisation with fewer resources and responsibilities. Currently, the region has a weak infrastructure based on in-kind and historical arrangements.

A strength of the current arrangement has been provided by the decision to agree Service Level Agreements (SLAs) for the main business functions, ie Finance, IT and HR, with the same local authority (Pembrokeshire County Council) as these functions are closely linked. This strengthens the organisation through the mature working relationships, provides clear accountability, supports employees and provides assurance for Joint Committee.

With the SLAs due for renewal, now would be a good time to review all services currently covered under the Shared Services Framework, the 'contributions in kind' (covered under the legal agreement) and to identify any outstanding areas to be included going forward.

Current Situation

Overall, many of the services provided to ERW both under agreements and by SLA from

Local Authorities have been successful. However, it is timely to review value for money and the quality and scale of services as the organisation grows. The growth in expectations on ERW are significant and the quality of corporate support services provided for Joint Committee should be at least equal to those of an LA.

All local authorities should also recognise the principles in the legal agreement and the importance of being able to share services in this way. There is a legitimate and important principle here for collaboration and a common ownership of outcomes. ERW has led this style of distributed governance and shared services, and secured its success.

Nevertheless there are critical infrastructure matters requiring urgent attention: HR; Finance; Audit; IT; Insurance; Accommodation; Health & Safety; GDPR.

The role of Pembrokeshire as employer and Lead Banker under the 1972 Local Government Act does enable the Head of Paid Services to establish sufficient capacity for the effective running of the shared service. For management purposes, it is easier to receive support from one LA and to develop contingency planning on this basis. It therefore makes good business sense to retain the current SLAs for the main functions and continue to strengthen the working relationships that has been developed, after all, there is little value in changing arrangements that are working well.

The previous Comms SLA with Carmarthenshire LA had lapsed due to lack of capacity and subsequently became an in-house function on a part-time basis. Feedback received through various forms from Headteachers, staff and Directors have highlighted a real issue with internal comms. A new SLA is thus needed to address this. This would need to be a full-time role.

Due to the critical risk levels concerned, it is proposed that SLAs are undertaken as follows:

- Lead Banker and Lead Finance Authority £27,357
- Internal Audit £20,000
- Lead Employer Function £10,000 plus Helen's and Ceri's
- Comms £20,000
- IT £37,000
- Insurance £20,000
- Procurement £12,000
- GDPR To be determined

All 'in kind' agreements are to reviewed in 2020, bar one – The Section 151 Officer, to be reviewed in 2022.

Recommendations

1. Continue to use Pembrokeshire CC for IT, HR, Finance and Internal Audit
2. Enable Lead Chief Officer and Managing Director to vary the SLAs to accommodate changes within ERW

Service	Arrangement and scope	LA	Cost	PROPOSAL
Link Chief Executive¹	Support chair of Joint Committee, Lead and champion ERW Line manage MD	Swansea	In kind Equivalent of 2 days a month	Keep current arrangement until end March 2020
Link Director	Represent ERW at national level, ADEW Exec, Chair Executive Board or equivalent	Powys	In kind Equivalent of one day a week	Keep current arrangement until end March 2020
Section 151 Officer	To provide advice and guidance to Managing Director, Link Director and Link Chief Executive on matters relating to ERW's finances. Statutory 151 duties for ERW	Pembrokeshire	In kind Equivalent of 3 days a month	Keep current arrangement until end March 2022 based on lead up required for infrastructure change.
Monitoring Officer	To provide advice and guidance to Managing Director, Lead Director and Lead Chief Executive on matters relating to ERW's operation and governance. To support Joint Committee and Executive Board members in undertaking	Ceredigion	In kind Equivalent of 2 days a month	Keep current arrangement until end March 2020

¹ In line with proposed changes to draft National Model 2018

Service	Arrangement and scope	LA	Cost	PROPOSAL
	their role within ERW's governance structures			
Scrutiny	<p>Organisation and preparation of ERW Scrutiny meetings and seminars with each LA</p> <p>Changes to Swansea in-kind commitment noted in legal agreement to ERW negotiated between Director and MD in 2015</p>	Swansea	In kind currently. Equivalent of 12 working days annually @ £200	Keep current arrangement until 2020 To open to all LAs via procurement process to 6 LAs for April 2020
Committee Services	<p>Provide clerking role for the Joint Committee meeting and the Executive Board meetings.</p> <p>Administrative function for Joint Committee.</p>	Carmarthenshire	<p>In kind currently. Equivalent of 25 days annually</p> <p>(25 days @ £200)</p>	Keep current arrangement until 2020 To open to all LAs via procurement process to 6 LAs for April 2020
Lead Banker and Lead Finance Authority	<p>Support and administration of financial management for ERW. Internal audit function to provide assurance of all 5 other LAs; oversight of ERW finance by Section 151. The Section 151 officer notes that having the IA</p>	Pembrokeshire	£27,357	The function has to stay with same LA as Section 151 officer.– to continue for period of Lead Financial authority is held by Pembrokeshire Agree to sign up to PCC financial regulations

Service	Arrangement and scope	LA	Cost	PROPOSAL
	function of Pembrokeshire supporting his statutory role is pivotal to accountability due to distributed nature of ERW's governance of resources.			
Legal Services	To provide legal services to ERW. - Eg drawing up of legal documentation for licence to occupy offices at Y Llwyfan.	Ceredigion	As necessary	Pay for as required on advice of Monitoring Officer until March 2020. Open up for expressions of interest from all LAs for three year for period from 2020. Propose HR related legal advice be via lead employer ie Pembrokeshire
Internal Audit	Annual performance review to be agreed with MD. Objective financial audit of ERW accounts. Review of themed work in ERW.	Pembrokeshire	£20,000	The function has to stay with same LA as Section 151 officer. – to continue for period of Lead Financial authority is held by Pembrokeshire Section 151 officer advises that he requires capacity to provide assurance in statutory role
Lead Employer Function	ERW staff are employed by Pembrokeshire County Council for payroll purposes. Similarly, seconded staff arrangements are managed through Pembrokeshire.	Pembrokeshire	£10,000	The function has to stay with same LA as Section 151 officer. – to continue for period of Lead Financial authority is held by Pembrokeshire

Service	Arrangement and scope	LA	Cost	PROPOSAL
Comms	To manage all comms within ERW: <ul style="list-style-type: none"> - Branding - Press Releases - Attendance at National/Regional Comms Groups - Engaging with stakeholders - Updating website - Updating intranet - Production of newsletter/s - Twitter management - Forums/pages/groups for internal comms 		£20,000	Previously with Carmarthenshire CC – due to capacity changes, this has now lapsed Proposed to open to all LAS from Sept 2018
IT	<ul style="list-style-type: none"> - Reactive IT Support Services. - Provision of IT including laptops, i-pads, mobile phones, e-mail. - Provision of server storage, backups and printer access for just email. proactive and timely service	Pembrokeshire	£37,000 Apr – Aug 18 5 months on 36K = £15K Sep– Mar 19 7 months on 37K = 21.6K	The function has to stay with same LA as Section 151 officer. – to continue for period of Lead Financial authority is held by Pembrokeshire Fixed for 3 years

Service	Arrangement and scope	LA	Cost	PROPOSAL
Insurance			£20,000	
Procurement			£12,000	Agree to follow PCC standing orders
GDPR				No LA currently has responsibility for GDPR for ERW. PCC have provided some advice. Propose opening to all LAs to show interest and cost to MD by 1 Sept 2018

Service Level Agreement

<p>Signatures</p> <p>Responsible Officer: Osian Evans</p> <p>Overseeing Officer: Betsan O'Connor</p>	<p>Signatures</p> <p>Responsible Officer: Charlotte Hodges</p> <p>Overseeing Officer: Joanne Hendy</p>	<p>Effective from: April 2016</p> <p>Until: End of March 2018</p>			
<p>Service</p> <p>The provision of Internal Audit services to ERW for the 2016-2017 financial year for Governance</p> <ul style="list-style-type: none"> • Follow up of previous audit recommendations • Follow up of annual governance statement priorities for improvement • Amendment to Legal Agreement • Support to Schools (including School to School support) • Planning and Strategy Development 		<p>Cost</p>			
<p>Quarterly Evaluation</p>					
Action	Lead + Timescale	Quarter 1	Quarter 2	Quarter 3	Quarter 4

<u>Governance</u> <ul style="list-style-type: none"> • Follow up of previous audit recommendations • Follow up of annual governance statement priorities for improvement • Amendment to Legal Agreement 					
Support to schools (including School to School support)					
Planning and Strategy Development					

Service Level Agreement

Client ERW		Provider Pembrokeshire County Council Human Resources Division		Date of Agreement:	
Signatures Responsible Officer: Ruth Lee Overseeing Officer: Betsan O'Connor		Signatures Responsible Officer: Overseeing Officer: Ceri Davies		Effective from: April 1 st , 2016 Until: 31 st March, 2018	
Service The provision of comprehensive payroll and HR services to ERW, encompassing all employees. These services will be divided into two parts – HR services and Payroll services. If timescales are not adhered to as agreed upon in this document, this will warrant notification to the Head of Pembrokeshire County Council Human Resources Division.				Cost Annual fixed charge of £10,000 to be reviewed annually	
Quarterly Evaluation					
Action	Lead + Timescale	Quarter 1	Quarter 2	Quarter 3	Quarter 4

Administration relating to the processing of employee details for payroll, pension, national insurance and reference purposes.	Ruth Lee, To be discussed quarterly in a meeting between Ruth Lee and Ceri Davies. (Last meeting 5/12/16, future dates TBD).				
Consultancy service that offers comprehensive information, advice and support on employment and payroll matters.					
Professional consultancy/advice from the Head of Pembrokeshire County Council to the Managing and Lead Directors of ERW.					
Advertising, pre-employment etc. for all new employees and secondees					

Service Level Agreement

<p>Signatures</p> <p>Responsible Officer: Ruth Lee</p> <p>Overseeing Officer: Betsan O'Connor</p>	<p>Signatures</p> <p>Responsible Officer: Neil Angell</p> <p>Overseeing Officer: Lee McSparron</p>	<p>Effective from: April 1st 2016</p> <p>Until: March 31st 2018</p>
<p>Service</p> <p>Provision of IT Services for the financial year in terms of Set Up, Ongoing Support and Other Arrangements. In the first instance support and diagnostics where possible will be made via remote tools unless not practical. In this event an appropriate Desktop Analyst or other member of the team will be deployed to site. The target response time for such deployment is one working day. Some elements of the service may require escalation to the Service Desk Manager, and failure to adhere to timescales may also result in such escalation.</p>		<p>Cost</p> <p>2017-2018 £21,194.90 Breakdown attached with comment.</p> <p>Broadband Connectivity Fee 1/4/18 – 31/3/19 - £2163.17</p> <p>Total SLA £23,358.07</p> <p>Further costs associated with the I.T Provision which are excluded from this fee including but not limited to:</p> <p>Office 365 Licenses and Subscriptions, Mobile Telephone costs or Mobile Data tariff cost.</p>

Quarterly Evaluation

Action	Lead + Timescale	Quarter 1	Quarter 2	Quarter 3	Quarter 4
<p><u>Set Up:</u> Provision of IT for core staff, such as laptops, iPads and mobile phones including email. Additionally, provision of server storage, backups and printer access.</p>	<p>Office Co-Ordination Officer</p> <p>Discussed in one meeting each quarter between Responsible Officers (last meeting Nov 8th 2016, future dates TBD)</p>				
<p><u>Ongoing Support:</u> Day to day queries and advice/support via the Service Desk 8am-5pm Monday to Friday, excluding public holidays</p> <p>Provision of User Account Settings within the Corporate Active Directory</p> <p>Provision of central server storage facilities</p>	<p>Office Co-Ordination Officer</p> <p>Discussed in one quarterly meeting between Responsible Officers (last meeting Nov 8th 2016, future dates TBD)</p>				

<p>Management of backup arrangements for data held within server storage facilities.</p> <p>Management of end devices including AV, security and patching.</p> <p>Administration, configuration and End User Support of Office 365 Cloud Email</p> <p>Procurement of new IT hardware and software including installation</p> <p>Remote access facilities for supported devices.</p> <p>Local Area Network Support including WiFi</p>					
--	--	--	--	--	--

<p><u>Other Arrangements:</u> Provision of hardware and access to the ERW Office 365 email for non-core staff such as secondees</p> <p>Ad-hoc support as and when required</p> <p>Act as a consultancy service as and when required.</p>	<p>Office Co-Ordination Officer</p> <p>Discussed in one quarterly meeting between Responsible Officers (last meeting Nov 8th 2016, future dates TBD)</p>				
<p><u>One day every 2 weeks where a staff member is available on site for reactive support</u></p>	<p>Office Co-ordination Officer</p>				

Mae'r dudalen hon yn wag yn fwriadol

Commercial in Confidence

Financial services work for ERW		
Section 151 duties officer		£ free
Deputy S151 officer time apportionment	24 days per year	16,694
ERW full time senior accountant		salary charged direct
Senior accountant time apportionment	11 days	3,093
Creditor Payments		
rate per direct input transactions £2.27	172	
rate per commitments input transactions £0.535	1474	1,170
Archiving of transactions for 6 years		500
Automated same day chaps payments unit rate £30 estimated No of transactions 30		900
tax compliance and advice, for all HMRC taxation issues including; VAT, Income tax, Personal service company status, employment status advice, including making timely payments to HMRC		2,500
Facilitating Employee Pension payments		free
Use of FMIS system for secure storage of all financial transactions including licence fee		1,000
Cash flow implications and banking fees	to be kept under review	
Provision of Bank reconciliation of all bank transactions		500
Inspection of accounts basic set up of web and local facility and attendance at inspection.		500
additional for each transaction enquiry £50 per enquiry		250
Attendance with Auditors and providing Auditors with working facilities		250
		<hr/> <u>27,357</u>

Mae'r dudalen hon yn wag yn fwriadol



CYD-BWYLLGOR ERW 16 GORFFENNAF 2018

AMLINELLU REMIT AR GYFER ADOLYGU AC ADNEWYDDU TREFNIADAU LLYWODRAETHU ERW

Pwrpas:

Cryfhau trefniadau llywodraethu ERW

Argymhellion / Penderfyniadau Angenrheidiol:

- Ystyried a thrafod sgôp y papur
- Ystyried y sialensau a nodwyd, ac os ydy sgôp yr adolygiad yn mynd i'r afael gyda'r sialensau hynny
-

Rheswm

Ers yr arolwg ym Mehefin 2016, mae cynnydd yn erbyn y 4 argymhelliad wedi bod yn *gymharol araf*. Nododd ESTYN bod “*Tim Canolog ERW a'r chwech awdurdod lleol wedi ei gweld hi'n anodd i gynyddu'r raddfa o welliant o dan y trefniadau llywodraethu presennol.*”

Awdur:

Gareth Morgans
Kate Evans Hughes

Swydd:

Cyfarwyddwyr - Sir Gâr a
Phenfro ar ran
Cyfarwyddwr/Prif Swyddogion
Addysg ERW

Rhif:

E-bsot:



EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

16 JULY 2018

OUTLINE REMIT FOR REVIEW AND REFORM OF GOVERNANCE ARRANGEMENTS FOR ERW.

This paper seeks to clarify the scope of the work being undertaken in respect of the governance arrangements for ERW. A report will be provided to the Joint Committee and Executive Board after consideration by the Management Board.

The timeframe for the completion of the work is presentation to Joint Committee by the end of August 2018 following consultation with other governance groups.

With our most recent ESTYN report and review of the National Model it is timely to review our governance arrangements in order that ERW's governance is effective and efficient.

1. Principles of good governance (National Model for regional working)

Good governance is about the processes for making and implementing decisions. It is not just about making the correct decisions, but about having in place the best possible process for making those decisions. It leads to better outcomes and serves to strengthen relationships.

Regional consortium governance arrangements should adhere to the following principles (Delivering Good Governance in Local Government: Guidance note for Welsh authorities)

- behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law
- ensuring openness and comprehensive stakeholder engagement
- defining outcomes with the emphasis on the learner
- determining the interventions necessary to the achievement of the intended outcomes
- developing the capacity of the regional consortium including the skills of its leadership and staff
- managing risks and performance through robust internal control and strong public financial management
- implementing good practice in transparency, reporting and audit to deliver effective accountability.



2. The remit of regional consortia and local authorities (National Model for regional working)

...prime mission and purpose is to work collaboratively with a range of partners to support the delivery and improvement of education for all children and young people aged 3 to 19 by:

- Providing support and challenge to settings and schools to improve learner outcomes for all
- Coordinating and facilitating the professional development of the workforce and increasing the leadership capacity to develop a school self-improving system

Areas in scope (National Model for regional working)

- School Improvement
- Data Management
- Governor Services
- Professional learning and leadership
- Welsh in Education
- Excellence, equity and wellbeing
- School reorganisation
- Supporting collaboration
- Specialist Human Resources support
- Learners Educated Other Than at School (EOTAS)

3. Characteristics of the refined school improvement service in Mid and West Wales (Draft)

- **Performing**- Improved pupil and school performance. Effective use of data and deployment of high quality resources to ensure effective interventions and support to deliver improved pupil outcomes, improved school categorisation and more positive Estyn school inspection reports in all partner Local Authorities
- **Accountable**- Establishment of a coherent regional school Improvement structure which promotes high performance. Clear accountabilities, streamlined and integrated services delivering monitoring, support and challenge to achieve a positive impact and provide genuine value for money.
- **Self-Improving**- Development of a culture of self-improvement which is reflective, collaborative and based on positive professional relationships. Issues and challenges addressed honestly and transparently in an environment which encourages innovation, demonstrating high trust and effective communication. An agile, responsive workforce with the skills to respond as required.
- **Strategic**- Effective management and use of data and other intelligence to provide improved knowledge of all schools, enabling the strategic deployment of high quality resources to meet current and emerging needs of schools, local authorities and the region.
- **Talented**- Effective structures and arrangements to recruit, retain and develop high quality staff. A positive employment culture which builds capacity and expertise, motivating and valuing



individuals to excel within systems which are clear, consistent and supported by effective performance management

- **Influential**- Establishing an influential and respected region which is authoritative and influential in shaping Welsh Government policies. Effective in representing the views of Local Authority partners to secure arrangements which deliver National priorities in a way which reflects the unique nature of the region whilst offering consistent support to Welsh language and cultural heritage.

4. Current Challenges

- Lack of clarity in regard to the respective roles and accountabilities of the JC, local authorities, MD/Consortia in relation to all school improvement functions and services
- Do we have an organisational delivery model to meet identified priorities, supported by a comprehensive and costed implementation plan with timescales
- Lack of clear plans to secure and maintain effective communication with and engagement of directors of education, headteachers and other stakeholders
- Lack of clarity in regard to accountability
- Arrangements for the employment and deployment of school improvement staff including challenge advisers.
- Does the ERW central team have sufficient strategic and operating capacity
- Too many chiefs? No single chief.
- Role of Managing Director if all decisions are made by Directors and Directors manage services?
- How does the Joint Committee hold LAs to account for their work?
- How will role of Section 151 fit and where?
- Different Councils provide different services- would a *strong mothership* (one LA) be easier than moving between and across all 6 for different functions.
- Should we have a sub-committee structure of JC? Audit/Appointments ect?
- Can Executive Board be made up of Directors when actually they are also the delivery agent?
- Would appointing an external Executive Board Chair be more effective?
- Financial arrangements to comply fully with Welsh Government requirements
- Consistent implementation of the business plan
- Effectiveness of hub arrangements

5. Key areas for review

a. Governance structure

Rationale for review:

- To ensure all stakeholders are clear on the remit of each board/group
- To strengthen the scrutiny of ERW by the current Executive group
- To strengthen quality assurance in local authorities and the region.



Proposed Structure

ERW Joint Committee / Cabinet

Leaders/Portfolio Leads, Chief Executives, Lead Director, MD, Section 151

ERW Advisory/Scrutiny Board

Current Executive Board Membership- *termly meeting*

ERW Management Board

Directors of Education / Managing Director- *fortnightly meetings*

ERW Operations Group

Principle ChAds / ERW Core Team- *fortnightly meetings*

ERW Stakeholder Groups

Headteachers / Governors- *termly meetings*

Areas for Review:

- Joint Committee
- Potential joint committee sub-committees
- Management Board
- Executive Board
- ERW Operational groups
- Stakeholder groups
- Local Authority quality assurance group

b. Roles and Responsibilities:

Rationale for review:

- To ensure all stakeholders are clear on their roles and responsibilities in the context of regional working
- To strengthen decision making
- To strengthen accountability

Areas for review

- Joint Committee
- Potential joint committee sub committees
- Management Board
- Executive Board
- ERW Operational groups



- Stakeholder groups
- Local authority quality assurance group
- Directors (LA)
- Managing Director (Region)
- Principle Challenge Advisors
- ERW central staff

c. Scheme of delegation

Rationale for review:

- To ensure all stakeholders are clear on their roles responsibilities and boundaries in the context of regional working
- To strengthen decision making
- To strengthen accountability

Areas for review:

- Joint Committee
- Management Board
- Managing Director ERW

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



IMPLICATIONS

Policy, Crime & Disorder and Equalities NONE	Legal YES	Finance YES	Risk Management Issues YES	Staffing Implications YES
<p>Legal Changes to the current governance arrangements might lead to reviewing the current Legal Agreement agreed and signed by the six County Councils.</p>				
<p>Finance Changes to the current governance arrangements might lead to requiring additional resources to supporting the new arrangements.</p>				
<p>Risk Management If current arrangements are maintained there are risks in regard to ERW's effectiveness and ability to meet statutory requirements- Welsh Government, Audit, HR, ESTYN.</p>				
<p>Staffing Implications Changes to the current governance arrangements might lead to requiring additional resources to supporting the new arrangements.</p>				

CONSULTATIONS

Details of any consultations undertaken are to be included here N/A
--



Mae'r dudalen hon yn wag yn fwriadol

ERW JOINT COMMITTEE- DRAFT

JOINT COMMITTEE MEMBERSHIP

- The membership of the joint committee is set out below
- The quorum necessary for a joint committee meeting shall be five voting (5) members of the joint committee.
- The agreement will also provide for the attendance of a deputy if required.

Voting Members	Officer Members –Non Voting
6 x Education Portfolio Members (one from each LA)	6 x Chief Executives (one from each LA) 1 x Lead Education Director
Co-opted Non-voting Members*	Officers in Attendance
1 x Diocese Representative 1 x Primary Schools Representative 1 x Secondary Schools Representative 1 x Special Schools Representative	1x Legal Representative 1x S151 Representative
1x Governor Representative	Other specialists as requested

Headteacher and Governors User Group nominates a Secondary, Primary, Special and Governor representative to take the respective seats on the Joint Committee

A body may nominate a Deputy to attend the Joint Committee on behalf of a member in the following circumstances:

- to take the place of a member of the Joint Committee;
- where the member is unable to attend the whole meeting; and
- if the member has notified the Chairman in advance of the relevant meeting.

A Deputy shall only have the right to speak and where relevant vote at that meeting of the Committee or Sub Committee and no other function or appointment including appointments to Working Groups will be applicable to them when acting as a Deputy.

JOINT COMMITTEE TERMS OF REFERENCE AND DELEGATED FUNCTIONS

The Inter Authority Agreement defines the governance arrangements for the Joint Committee, including its Terms of Reference and Delegated Powers. In doing so it also identifies which matters are specifically reserved to the individual partner authorities to determine. The terms of reference and delegated powers of the Joint Committee are:



To promote joint working in the delivery of the Service through:

- facilitating constructive partnership working;
- engaging with key interested bodies and stakeholders when appropriate; and
- carrying out such other activities calculated to facilitate, or which are conducive to the successful delivery of the Service; and
- to oversee the management of the Service and ensure that the Service is provided and performs in accordance with the expectations of the Partner Authorities Inter Authority Agreement and agreed Annual Business Plan;
- to approve the budget for the Service on an annual basis’;
- to approve the business plan for the Service on an annual basis;
- to monitor and manage the risks associated with the Service;
- to ratify requests from the Service for additional budget funding from individual Councils;
- to approve the staff structure of the Service;
- to appoint the Chief Officer of the Service;
- to decide on disciplinary action against the Chief Officer; and
- where required, to determine or arrange for the determination of appeals in relation to Human Resources matters.

The following matters are specifically reserved for individual Cabinet decision:

- approval of inter-Council partnership governance arrangements;
- increase of budget over agreed Council contributions;
- procuring the necessary audit and assurance checks; and
- termination of the Partnership.



ERW MANAGEMENT BOARD- DRAFT

The **ERW MANAGEMENT BOARD** will be a key driver in ensuring that ERW succeeds in its core business of creating a consistently high performing school network across the region with every school a good school offering high standards of teaching under good leadership resulting in all learners achieving their maximum potential.

The **MANAGEMENT BOARD**'s main function is to ensure that the Joint Committee's recommendations are actioned, that ERW's policies reflect current priorities, efficiency is promoted and effective partnership working with external bodies is encouraged.

MANAGEMENT BOARD MEMBERSHIP

Membership

Local Authority- Directors/Chief Education Officers	6
Chief Finance Officer and Section 151 Officer	1
ERW Managing Director	1
Monitoring Officer / HR Lead (As and when required)	2
Others- as and when required	

General Principles

1. The **ERW Board** will play a key role in improving ERW's services by providing strong leadership to advise the Joint Committee and ensure that their recommendations are actioned and delivered.
2. The **ERW Board** will be proactive and innovative.
3. The **ERW Board** will constructively challenge and contribute to the development of strategy to enable the organisation to achieve its goals in relation to-
 - *Improving the quality of leadership and its impact on outcomes;*
 - *Improving the quality of teaching and learning experiences and its impact on outcomes*
 - *Reducing the impact of poverty on attainment, support vulnerable learners and ensure all learners reach their potential*
 - *Delivering high quality and bespoke support, challenge and intervention to schools*
 - *Maintaining an effective and efficient organisation to support ERW's core business*
4. The **ERW Board** will consider and make recommendations to the Joint Committee in relation to ERW's services and Business Plan
5. The **ERW Board** will monitor and review the performance of management in meeting assigned goals and objectives and monitor the reporting of performance
6. The **ERW Board** will enable the participation of external organisations and partners in consideration of issues that may impact upon the delivery of ERW and regional priorities.
7. The **ERW Board** will assist the Joint Committee in the development, monitoring and review of policy and report regularly to the Joint Committee on progress.



Operational Issues

1. The **Board** will meet on a fortnightly/monthly basis.
2. Agenda and papers will be shared at least one week before the meeting.
3. If any member is not able to attend they should ensure a substitute is in attendance.
4. The monthly agenda will include the following-
 - *Examine how well ERW is performing- monitor progress against the Business Plan and the performance of services and functions.*
 - *Scrutinise financial planning and accountability and any proposed revenue budget strategy.*
 - *Hold the Managing Director and Senior ERW Officers to account for agreed actions and seek to promote open and transparent decision-making.*
 - *Consider the Managing Director's monthly report.*
 -





CYD-BWYLLGOR ERW 16 GORFFENNAF 2018

ADRODDIAD AR DDIFFYG CYDYMFFURIAETH

Pwrpas:

Hysbysu'r Cyd-Bwyllgor nad yw ERW yn llawn cydymffurfio gyda thelerau'r Grant Gwella Ysgolion y Consortia Rhanbarthol

Argymhellion / Penderfyniadau Angenrheidiol:

1. I'r Cyd-Bwyllgor gytuno fformiwla cyllido cyffredin i bob ysgol yn y rhanbarth
2. I'r Cyd-Bwyllgor baratoi am ranbarthu'r Grant Wella Ysgolion y Consortia Rhanbarthol erbyn Ebrill 2019.
3. I'r Cyd-Bwyllgor gefnogi cryfhau a sefydlogi'r Tîm Canolog
4. I'r Cyd-Bwyllgor sicrhau bod y Cynllun Busnes, Cytundeb Cyfriethiol, a'r system llywodraethu yn gytûn a bod pob Awdurdod Lleol yn glynu atynt, er mwyn galluogi ERW i dderbyn yr adnoddau sydd ar gael gan LIC a chyflawni'r telerau priodol
5. I'r Cyd-Bwyllgor galluogu'r Swyddog Adran 151 / Prif Weithredwr Arweiniol / Rheolwr Gyfarwyddwr i ddatblygu / trafod trefniadau gyda LIC wrth i'r gwaith datblygu ddechrau, fel bod modd sicrhau mynediad i'r grant ar ran ysgolion

Awdur	Swydd	Rhif Cyswllt
		E-bost



EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

16TH JULY 2018

NON COMPLIANCE REPORT

BRIEF SUMMARY OF PURPOSE OF REPORT

Due to the limited progress on the Review and Reform programme, some of the risks which would have been mitigated by change remain outstanding. These include significant matters relating to the RCSIG.

WG have merged their many grants to Regional Consortia into one single Regional School Improvement Grant (RSIG). The funding is scheduled to be paid on a bi-monthly basis based on costs incurred as detailed in an agreed Payment Profile with Welsh Government.

The value of the grant to ERW is £40,971,102 . In addition, the PDG grant to ERW, which is also referred to in the offer letter, is valued at £24,233,150.

It is noted in the grant offer letter that, “We reserve the right to withhold or recover any part of the Funding”. The full terms and conditions are reproduced at Annex1

Other regions have received their 1st quarter allocation, and scheduled to receive the 2nd. ERW has not yet received its allocation. This is now causing schools concern as they have not received their foundation and EIG funding, as we near the end of the summer term. It is also causing cash flow concerns for the lead banker authority.

On interpretation of the conditions, currently ERW does not meet at least the following 6 grant conditions:

DETAILED REPORT ATTACHED?

YES

Tudalen 470



IMPLICATIONS

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

CONSULTATIONS

Details of any consultations undertaken are to be included here

N/A

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



NON COMPLIANCE WITH REGIONAL SCHOOL IMPROVEMENT GRANT

Purpose of Report

To inform Joint Committee that ERW does not comply fully with the conditions of the Regional School Improvement Grant.

Background

WG have merged their many grants to Regional Consortia into one single Regional School Improvement Grant (RSIG). The funding is scheduled to be paid on a bi-monthly basis based on costs incurred as detailed in an agreed Payment Profile with Welsh Government.

The value of the grant to ERW is £40,971,102 . In addition, the PDG grant to ERW, which is also referred to in the offer letter, is valued at £24,233,150.

It is noted in the grant offer letter that, “We reserve the right to withhold or recover any part of the Funding”. The full terms and conditions are reproduced at Annex1

Other regions have received their 1st quarter allocation, and are scheduled to receive the 2nd. ERW has not yet received its allocation. This is now causing schools concern as they have not received their foundation and EIG funding, as we near the end of the summer term. It is also causing cash flow concerns for the lead banker authority.

Non Compliance with conditions

On interpretation of the conditions, currently ERW does not meet at least the following 6 grant conditions:

1. “Confirmation that you have in place a current and valid collaboration agreement between the parties in the consortium”.

As NPT CBC have stated that they will not pay their contribution to the core costs of the Central Team for 2018-19, the legal agreement between the 6 LAs has not been fulfilled. In addition, the Executive Board has not met regularly during the year

2. “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”.

Despite effective assurance being sought from Internal Audit in each LA for elements of the spend, this does not provide ERW with sufficient evidence for VFM and delegation rates. There may be some duplication of services between LAs and also a different interpretation of ‘delegation to schools’. Full autonomy to schools within the grant conditions would be the appropriate definition. Currently each LA has its own interpretation for delegation to schools and therefore the proportion of finance delegated to schools in the old EIG is not clearly identifiable.

3. “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 May 2018”.



The ERW Business plan has not yet been agreed through ERW's Joint Committee. The Business Plan captures the work of the central team and the LA annex for each LA. It is not clear whether work funded through the grant but accountable within individual LAs is sufficiently captured in the Business Plan in order for JC to have sufficient oversight of all aspects of work within the National Model for Regional Working. (Work of Athrawon Bro, Challenge Advisers and locally employed subject officers).

4. "Documentary evidence that you have out in place all staff and other resources detailed in the Application as required to commence and complete the Purposes".

The seconded or temporary nature of nearly all roles within the central team is a risk for the region in implementing the Business Plan. The region has no senior capacity for business improvement and management functions.

5. "Confirmation that your distribution formula supports schools and settings to deliver the Foundation Phase".

It is not clear to the JC how each LA distributes its allocation of Foundation Phase spend, as this is a local decision.

A consistent Foundation phase allocation within a common funding formula could help the Joint Committee secure regional oversight of this aspect of work. In addition, through regional approaches to training and development, it may be possible to reduce the resources used by individual LAs to coordinate and support the work in schools

6. "The grant will be organised around the following pre-requisites and requirements:"

Equity and value for money are noted amongst other matters.

The grant conditions refer specifically to increasing delegation rates to schools and to equity in this process. The region has 6 interpretations of the old EIG element within the grant. This is currently not equitable. (For example, a 200 pupil primary can vary from £83k to £6k. At secondary level, an 800 pupil secondary school can vary from £56k, to £48k and £16k.)

7. LAC PDG

This is an additional grant as part of the PDG grant. WG wrote to ERW *see attached) last year about this grant. The conditions include expectations of a regional strategy and delegation arrangements. (see finance report).

Recommendations

1. Joint Committee agree to a common funding formula for all schools.

The RCSIG includes a specific amount of the grant previously known as EIG, as part of a transitional arrangement for 2018-19. The EIG element has been decreased by 11% from 2017-18. The Directors did not agree a way forward to allocate this element of the grant, however, following the last Joint Committee meeting, 5 of the 6 Local Authorities agreed a formula to distribute the grant between the 6 Local Authorities. However, this agreement, may not meet the grant conditions outlined above, and more detail is shown in the annex.

Four of the 6 LAs agreed via Directors to the following formula. This allows for regional oversight, elements of LA level delivery in the transition year.



EIG £33,608,693

85% delegated to schools on the following formula across the regions based on Jan 2017 status

Foundation phased	unit value	£
1 to 8 ratio	£1,020	16,489,830
1 to 15 ratio	£405	7,876,440
14-16 Key stage 4 pupils	£30	526,890
general EIG allocation		
FTE pupils	£17.08	£2,132,774
FTE teachers	£18.66	£533,194

Transitional funding £1,008,261

total direct delegation to schools. 28,567,389

0.75% admin costs

LA's 201,643

ERW 50,422

centrally funded costs

LAs to fund 5/12 grant funded staff 1,539,239

ERW Central Cluster 500,000

WEG (as per EIG Spending Plans) 2,000,000

7/12 ERW 750,000

Total EIG Funding 33,608,693

This also allows the region to increase delegation to schools over time as the retained element locally reduces and the resources already delegated via the central team to schools can be added to the 'old EIG' element. This will allow the Joint Committee to develop an equitable, high delegation model which allows schools to lead the capacity building within the system and encourage further collaboration.

2. The Joint Committee prepare for regionalisation of the whole RCSIG grant by April 2019.

Executive Board work on an agreed model to prepare for the EIG to be merged fully in to the RCSIG by April 2019 and to review the funding of permanent roles within LAs using the grant.

3. The Joint Committee support the strengthening and stabilising of the central ERW team.

One paper to be tabled today will allow for a stable senior leadership tier to manage the key priorities of the organisation in line with the National Mission and National Model and to support business improvement and capacity. However, a clear organisational design will be required as part of the work to develop the governance and accountability work led by two Directors. This will also support key delegation and accountability responsibilities. The JC should enable officers to bring forward a clear viable structure to deliver the business plan as part of this work.

4. The Joint Committee ensure that the Business Plan, legal agreement and governance are agreed and adhered to by all LAs in order to allow ERW to accept the resources available from WG and meet the necessary conditions.

5. The Joint Committee enable the Section 151/ Lead Chief / MD to develop and agree/ negotiate interim arrangements with WG whilst the development work is put in place so that we can access grant for schools.



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

Revised 13 March 2018

Dear Mr Haswell

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

1. Award of Funding

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

2. Statutory authority and State Aid

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

3. Interpreting these Conditions

Any reference in these Conditions to:

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

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

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

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

'Project Manager' is to
Betsan O'Connor
ERW
Y Llwyfan
College Road
Carmarthen
SA31 3EQ
E-mail betsan.oconnor@erw.org.uk

'Application' is to your draft consortium business plan and supporting spending profile, which will reflect as a minimum the overarching and enabling objectives in *Education in Wales*, as directed by the Funding Letter issued on 19 December 2017, along with the key actions pertaining specifically to this award of Funding;

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

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

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

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

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

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

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

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

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

4. What you must use the Funding for

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

5. Funding pre-conditions

- (a) We will not pay any of the Funding to you until you have provided us with the following information and documentation:
- (i) this letter signed by you;
 - (ii) confirmation that the signatories who have signed this letter on your behalf are duly authorised to do so;
 - (iii) documentary evidence that you have appropriate systems in place to undertake due diligence before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties;
 - (iv) confirmation that you have in place a current and valid collaboration agreement between the parties in the consortium;
 - (v) confirmation that you as lead/banker authority have details in relation to non-lead authorities in your area of their proposed control environment, in particular their monitoring arrangements and evidence of spend;
 - (vi) 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 May 2018;
 - (vii) 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;
 - (viii) confirmation that your distribution formula supports schools and settings to deliver the Foundation Phase.
 - (ix) your draft Application
- (b) Where you are required to provide information and documentation to us as evidence that you have satisfied a particular pre-condition, Condition or in support of a claim, the information and documentation must be in all respects acceptable to us. We reserve the right to reject any information and documentation which is for any reason not acceptable to us.

6. Payment of Funding

- (a) The Funding will be paid to you bi-monthly based on costs incurred by you in the delivery of the Purposes as detailed in the Payment Profile. We will review your profile of expenditure in August 2018 and quarterly thereafter.
- (b) The Funding will be paid to you in accordance with the dates set out in the Payment Profile. We reserve the right to withhold or recover any part of the Funding.
- (c) The updated profile of expenditure proforma in August and quarterly thereafter will require:

- (i) Confirmation that you have appropriate systems in place to undertake due diligence before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties.
 - (ii) Sign off by you or your representative.
- (d) We shall be entitled to withhold and retain 2.5% of the total Funding until such time as you provide us with all information requested or we agree you have delivered the Purposes satisfactorily.

7. Your general obligations to us

You must:

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

8. Declarations

You declare that:

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

9. Notification Events and their consequences

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

- (d) If any of the circumstances set out in Condition 9(c) occurs we may by notice to you:
 - (i) withdraw the award of Funding; and/or
 - (ii) require you to repay all or part of the Funding immediately; and/or
 - (iii) suspend or cease all further payment of Funding; and/or
 - (iv) make all further payments of Funding subject to such conditions as we may specify; and/or
 - (v) deduct all amounts owed to us under these Conditions from any other funding that we have awarded or may award to you; and/or
 - (vi) exercise any other rights against you which we may have in respect of the Funding.

- (e) All repayments of Funding must be made to us within 28 days of the date of our demand. If applicable, you must pay interest on any overdue repayments (on a compound basis) in accordance with the State Aid Rules.

10. Monitoring requirements

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

You must:

- (a) provide us with such documents, information and reports which we may reasonably require from time to time in order for us to monitor your compliance with the Conditions including without limit:
 - i) a copy of your consortium business plan and completed outcomes framework.
 - ii) a profile of expenditure and initial, then subsequently quarterly, updates on the spending profile indicating any variances, against which future payment may be revised;
 - iii) participation in termly review and challenge sessions and submit a short report against the outcomes framework ahead of each termly review and challenge meeting to the Project Manager, which will outline evidence of spend, value for money, and progress to date against each Education in Wales objective;
 - iv) access to papers for discussion at your Joint Committee or Company Board and Advisory Board meetings as appropriate through your nominated Welsh Government representative, including self-evaluation reports and regular progress updates against your business plan;
 - v) such other information as reasonably needed to understand impact, value for money and progress against delivery of the Purposes of the Funding including as and when required by the Cabinet Secretary for Education and the Wales Audit Office.

- (b) meet with the Welsh Government Official and such other of our representatives as we may from time to time reasonably require; and provide information to support those meetings as reasonably required including without limit:
 - i) Regular meetings between consortia Managing Directors and Welsh Government Director of Education and Deputy Directors, with frequency of meetings to be agreed;
 - ii) Any meeting the Director of Education may require you to attend;
 - iii) Attendance at and to support termly Review and Challenge Sessions;
 - iv) Support opportunities for Welsh Government officers to meet with consortia operational leads;
 - v) Other reasonable access as required for monitoring progress against delivery of the Purposes.
- (c) ensure that the Project Manager (or such other person as we may agree) together with any other person we may require attends all meetings with the Welsh Government Official.

11. Audit Requirements

- (a) You must:
 - (i) maintain clear accounting records of delegated funding amounts to school level and maintain clear accounting records identifying all income and expenditure in relation to non-delegated funds;
 - (ii) without charge, permit any officer or officers of the Welsh Government, Wales Audit Office or European Commission at any reasonable time and on reasonable notice being given to you to visit your premises and/or to inspect any of your activities and/or to examine and take copies of your books of account and such other documents or records howsoever stored as in such officer's reasonable view may relate in any way to your use of the Funding. This undertaking is without prejudice and subject to any other statutory rights and powers exercisable by the Welsh Government, Wales Audit Office or the European Commission or any officer, servant or agent of any of the above;
 - (iii) retain this letter and all original documents relating to the Funding until we inform you in writing that it is safe to destroy them;
- (b) Under paragraph 17 of Schedule 8 to the Government of Wales Act 2006 the Auditor General for Wales has extensive rights of access to documents and information relating to monies provided by the Welsh Government. He and his officials have the power to require relevant persons who control or hold documents to give any

assistance, information and explanation that they may require; and to require those persons to attend before them for such a purpose. The Auditor General and his staff may exercise this right at all reasonable times.

- (c) Schools are not required to classify expenditure in relation to the Purposes of Funding, however you must ensure you can provide us with the information requested in the funding offer

12. Third party obligations

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

13. Intellectual property rights and publicity

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

14. Information

- (a) You acknowledge that we are subject to the requirements of the Freedom of Information Act 2000 (the "FOIA"), the Environmental Information Regulations 2004 (the "EIR") and the Data Protection Act 1998 (the "DPA").
- (b) You acknowledge that we are responsible for determining in our absolute discretion whether:
 - (i) to disclose any information which we have obtained under or in connection with the Funding to the extent that we are required to disclose such information to a person making a disclosure request under the FOIA or the EIR; and/or

- (ii) any information is exempt from disclosure under the FOIA or the EIR.
- (c) You acknowledge that we may share any data you provide to us with fraud prevention agencies and third parties for the purposes of preventing and detecting fraud.

15. Buying goods and services

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

16. Giving notice

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

“Notice in relation to the regional consortia school improvement grant 2018-19, aligned to Education In Wales: Our national mission.”

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

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

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

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

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

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

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

17. Equal opportunities

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

18. Welsh language

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

19. Sustainability

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

20. Welsh Ministers' functions

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

21. General

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

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

22. How to accept this offer of Funding

- (a) To accept this award of Funding you must sign and return an electronic e.g. PDF copy of this letter to the Welsh Government Official. This must be returned from the email address of project manager named in this award letter.
- (b) We must receive your signed letter within 36 days of the date of this letter or this award of Funding will automatically be withdrawn.

Yours sincerely

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 Cabinet Secretary for Education one
of the Welsh Ministers

Schedule 1

The Purposes, Governance and Monitoring

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

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

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

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

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

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

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

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

Policy requirements and expectations

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

Sustainability and citizen-focused

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

National Model for Regional Working

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

Joint consortia working

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

Supporting a self-improving system

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

Equity of approach

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

Cluster working

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

Challenge Advisers and School Development Plans

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

Monitoring and reporting

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

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

Profile of expenditure

The Funding letter confirms how we have determined your regional allocation. In accepting this award of Funding you agree to allocate funds in line with our allocation within an acceptable tolerance which will be agreed with us. You will submit to the Welsh Government Director of Education in writing any requests for virement of money between budget lines and Education in Wales objectives identified within the Funding Letter.

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

Value for Money and additionality

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

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

Maximising funding to schools

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

Minimising administration and management costs

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

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

Support for Design and Development of the new curriculum

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

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

Welsh language

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

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

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

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

EIG - Local Authority Match funding for the consortium

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

EIG - Foundation Phase

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

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

EIG - Support for Welsh in Education Strategic Plans

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

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

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

General

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

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

Schedule 1A

Draft Education Outcomes Framework

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

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

SCHEDULE 2

Notification Events

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

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

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

SCHEDULE 3**Payment Profile**

Payment will be made to you every two months in line with your spending profile. An initial update in August and subsequent quarterly updates of the spending profile are required under the terms and conditions of the Funding award.

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

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

Period	Payment date for processing	Amount against Spending profile
1 March – April 2018	26 April 2018	5,207,282
2 May – June 2018	26 June 2018	5,535,666
3 July – August 2018	28 August 2018	5,231,800
4 September – October 2018	25 October 2018	8,270,461
5 November – December 2018	18 December 2018	5,535,666
6 January – February 2019	26 February 2019	8,270,461
7 March 2019	26 March 2019	2,919,766

In August 2018, we will issue a variation to extend the term of the Funding from 1 April 2019 to 31 August 2019, which will include arrangements for payments for the remainder of the period. It is our intention to review payment arrangements with a view to moving from bi-monthly to quarterly payments from August 2018.

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

GRANT ACCEPTANCE

Following issue of the formal Award of Funding, you or your representatives are asked to provide confirmation of your acceptance in principle within 5 working days of this letter with full acceptance thereafter in accordance with the conditions of acceptance.

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

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



Llywodraeth Cymru
Welsh Government

Betsan O'Connor
Managing Director, Education through Regional Working Y
Llwyfan
College Road
Carmarthen
SA31 3EQ

cc: Directors of Education

22 May 2018

Dear Betsan

Pupil Development Grant 2018-2019: Support for looked after children

Ruth Conway's letter of 20 April, inviting support plans for the Pupil Development Grant (PDG), referred to a follow up letter from myself specifically on the looked after children element of the grant.

You will be aware that we commissioned an independent evaluation of the PDG for looked after children (PDG LAC) last autumn. The evaluation is being carried out by ICF Consulting Ltd in association with Arad Research and Cardiff University and we have received a draft of the final report. The evaluation poses interesting and complicated questions that require detailed consideration.

It is clear from the evaluation that significant work is required to strengthen the current arrangements. The evaluation looks only at 2015-16 and 2016-17 and I am aware that some progress has been made since then in strengthening arrangements; but there is further work to do. We will need to look critically at how we might improve the current arrangements and move to a model with greater consistency, equity and robustness from April 2019. There is a role for us all in this and a collaborative approach is needed to ensure real and lasting progress.

As a consequence, I do not intend to prescribe detailed expectations on the management of PDG LAC for this financial year, beyond those outlined in the grant invitation from Ruth. A copy of Ruth's letter is attached for completeness. You will note that the grant invitation refers specifically to use of the PDG to fund a regional lead coordinator for PDG LAC. The lead coordinators will have a fundamental role to play in shaping and implementing the approach from April 2019. Therefore, this continues to be a requirement.

Developing a new approach ahead of April 2019 needs to be a priority. The Cabinet Secretary has been very clear on the importance of supporting this particularly vulnerable group of learners to achieve their full potential; effective use of the PDG LAC is crucial in this. She will look to me for reassurance that we are doing all we can to avoid a repeat of the disappointing 2017 GCSE results for these learners. Therefore, I intend to proceed on the following basis:

- An internal workshop which is scheduled to take place later this week. At this we will work through the complex issues raised in the evaluation with challenge from colleagues from our Social Services Department.
- A paper will then be presented by Ruth and her team at my Senior Management Team meeting. This will help ensure the options we are considering are robust and align with our wider priorities and approaches.
- A workshop with you and your coordinators will be the next stage. At this I expect to present our preferred approach but we will also be open to having a conversation about it, in particular around practical and operational feasibility and management.

There is, of course, a much bigger picture when it comes to looked after children. PDG LAC is just one – albeit important – part of that picture. Local authorities have legal responsibilities around the care and education of looked after children. They will, therefore, have a role in the development of the new approach and we ensuring that Directors of Education are engaged in the process will be important.

Last year I wrote to you clearly setting out my expectations for your approach to utilising this grant for 2018-19; these expectations still stand. However, the extent to which these have been observed over the last year has been variable across the four regions. We will be carefully scrutinising the plans when we receive them and through monitoring of the grant during the year.

This will be a transition year moving towards a more consistent, national approach from 1 April 2019 which takes account of the findings of the independent evaluation. We can discuss the mechanics and practicalities of introducing transitional arrangements at our regular meetings.

In the meantime, Tania Nicholson and her team will be in touch with you and your lead coordinators to arrange the workshop I refer to above.

I look forward to your support on this. Yours

sincerely



Steve Davies
Director, Education Directorat

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

Revised 13 March 2018

Dear Mr Haswell

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

1. Award of Funding

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

2. Statutory authority and State Aid

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

3. Interpreting these Conditions

Any reference in these Conditions to:

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

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

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

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

'Project Manager' is to
Betsan O'Connor
ERW
Y Llwyfan
College Road
Carmarthen
SA31 3EQ
E-mail betsan.oconnor@erw.org.uk

'Application' is to your draft consortium business plan and supporting spending profile, which will reflect as a minimum the overarching and enabling objectives in *Education in Wales*, as directed by the Funding Letter issued on 19 December 2017, along with the key actions pertaining specifically to this award of Funding;

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

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

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

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

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

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

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

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

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

4. What you must use the Funding for

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

5. Funding pre-conditions

- (a) We will not pay any of the Funding to you until you have provided us with the following information and documentation:
- (i) this letter signed by you;
 - (ii) confirmation that the signatories who have signed this letter on your behalf are duly authorised to do so;
 - (iii) documentary evidence that you have appropriate systems in place to undertake due diligence before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties;
 - (iv) confirmation that you have in place a current and valid collaboration agreement between the parties in the consortium;
 - (v) confirmation that you as lead/banker authority have details in relation to non-lead authorities in your area of their proposed control environment, in particular their monitoring arrangements and evidence of spend;
 - (vi) 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 May 2018;
 - (vii) 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;
 - (viii) confirmation that your distribution formula supports schools and settings to deliver the Foundation Phase.
 - (ix) your draft Application
- (b) Where you are required to provide information and documentation to us as evidence that you have satisfied a particular pre-condition, Condition or in support of a claim, the information and documentation must be in all respects acceptable to us. We reserve the right to reject any information and documentation which is for any reason not acceptable to us.

6. Payment of Funding

- (a) The Funding will be paid to you bi-monthly based on costs incurred by you in the delivery of the Purposes as detailed in the Payment Profile. We will review your profile of expenditure in August 2018 and quarterly thereafter.
- (b) The Funding will be paid to you in accordance with the dates set out in the Payment Profile. We reserve the right to withhold or recover any part of the Funding.
- (c) The updated profile of expenditure proforma in August and quarterly thereafter will require:

- (i) Confirmation that you have appropriate systems in place to undertake due diligence before utilising any part of the Funding to provide a grant to or procure any goods or services from third parties.
 - (ii) Sign off by you or your representative.
- (d) We shall be entitled to withhold and retain 2.5% of the total Funding until such time as you provide us with all information requested or we agree you have delivered the Purposes satisfactorily.

7. Your general obligations to us

You must:

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

8. Declarations

You declare that:

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

9. Notification Events and their consequences

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

- (d) If any of the circumstances set out in Condition 9(c) occurs we may by notice to you:
 - (i) withdraw the award of Funding; and/or
 - (ii) require you to repay all or part of the Funding immediately; and/or
 - (iii) suspend or cease all further payment of Funding; and/or
 - (iv) make all further payments of Funding subject to such conditions as we may specify; and/or
 - (v) deduct all amounts owed to us under these Conditions from any other funding that we have awarded or may award to you; and/or
 - (vi) exercise any other rights against you which we may have in respect of the Funding.

- (e) All repayments of Funding must be made to us within 28 days of the date of our demand. If applicable, you must pay interest on any overdue repayments (on a compound basis) in accordance with the State Aid Rules.

10. Monitoring requirements

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

You must:

- (a) provide us with such documents, information and reports which we may reasonably require from time to time in order for us to monitor your compliance with the Conditions including without limit:
 - i) a copy of your consortium business plan and completed outcomes framework.
 - ii) a profile of expenditure and initial, then subsequently quarterly, updates on the spending profile indicating any variances, against which future payment may be revised;
 - iii) participation in termly review and challenge sessions and submit a short report against the outcomes framework ahead of each termly review and challenge meeting to the Project Manager, which will outline evidence of spend, value for money, and progress to date against each Education in Wales objective;
 - iv) access to papers for discussion at your Joint Committee or Company Board and Advisory Board meetings as appropriate through your nominated Welsh Government representative, including self-evaluation reports and regular progress updates against your business plan;
 - v) such other information as reasonably needed to understand impact, value for money and progress against delivery of the Purposes of the Funding including as and when required by the Cabinet Secretary for Education and the Wales Audit Office.

- (b) meet with the Welsh Government Official and such other of our representatives as we may from time to time reasonably require; and provide information to support those meetings as reasonably required including without limit:
 - i) Regular meetings between consortia Managing Directors and Welsh Government Director of Education and Deputy Directors, with frequency of meetings to be agreed;
 - ii) Any meeting the Director of Education may require you to attend;
 - iii) Attendance at and to support termly Review and Challenge Sessions;
 - iv) Support opportunities for Welsh Government officers to meet with consortia operational leads;
 - v) Other reasonable access as required for monitoring progress against delivery of the Purposes.
- (c) ensure that the Project Manager (or such other person as we may agree) together with any other person we may require attends all meetings with the Welsh Government Official.

11. Audit Requirements

- (a) You must:
 - (i) maintain clear accounting records of delegated funding amounts to school level and maintain clear accounting records identifying all income and expenditure in relation to non-delegated funds;
 - (ii) without charge, permit any officer or officers of the Welsh Government, Wales Audit Office or European Commission at any reasonable time and on reasonable notice being given to you to visit your premises and/or to inspect any of your activities and/or to examine and take copies of your books of account and such other documents or records howsoever stored as in such officer's reasonable view may relate in any way to your use of the Funding. This undertaking is without prejudice and subject to any other statutory rights and powers exercisable by the Welsh Government, Wales Audit Office or the European Commission or any officer, servant or agent of any of the above;
 - (iii) retain this letter and all original documents relating to the Funding until we inform you in writing that it is safe to destroy them;
- (b) Under paragraph 17 of Schedule 8 to the Government of Wales Act 2006 the Auditor General for Wales has extensive rights of access to documents and information relating to monies provided by the Welsh Government. He and his officials have the power to require relevant persons who control or hold documents to give any

assistance, information and explanation that they may require; and to require those persons to attend before them for such a purpose. The Auditor General and his staff may exercise this right at all reasonable times.

- (c) Schools are not required to classify expenditure in relation to the Purposes of Funding, however you must ensure you can provide us with the information requested in the funding offer

12. Third party obligations

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

13. Intellectual property rights and publicity

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

14. Information

- (a) You acknowledge that we are subject to the requirements of the Freedom of Information Act 2000 (the "FOIA"), the Environmental Information Regulations 2004 (the "EIR") and the Data Protection Act 1998 (the "DPA").
- (b) You acknowledge that we are responsible for determining in our absolute discretion whether:
 - (i) to disclose any information which we have obtained under or in connection with the Funding to the extent that we are required to disclose such information to a person making a disclosure request under the FOIA or the EIR; and/or

- (ii) any information is exempt from disclosure under the FOIA or the EIR.
- (c) You acknowledge that we may share any data you provide to us with fraud prevention agencies and third parties for the purposes of preventing and detecting fraud.

15. Buying goods and services

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

16. Giving notice

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

“Notice in relation to the regional consortia school improvement grant 2018-19, aligned to Education In Wales: Our national mission.”

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

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

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

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

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

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

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

17. Equal opportunities

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

18. Welsh language

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

19. Sustainability

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

20. Welsh Ministers' functions

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

21. General

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

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

22. How to accept this offer of Funding

- (a) To accept this award of Funding you must sign and return an electronic e.g. PDF copy of this letter to the Welsh Government Official. This must be returned from the email address of project manager named in this award letter.
- (b) We must receive your signed letter within 36 days of the date of this letter or this award of Funding will automatically be withdrawn.

Yours sincerely

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 Cabinet Secretary for Education
one of the Welsh Ministers

Schedule 1

The Purposes, Governance and Monitoring

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

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

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

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

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

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

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

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

Policy requirements and expectations

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

Sustainability and citizen-focused

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

National Model for Regional Working

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

Joint consortia working

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

Supporting a self-improving system

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

Equity of approach

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

Cluster working

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

Challenge Advisers and School Development Plans

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

Monitoring and reporting

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

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

Profile of expenditure

The Funding letter confirms how we have determined your regional allocation. In accepting this award of Funding you agree to allocate funds in line with our allocation within an acceptable tolerance which will be agreed with us. You will submit to the Welsh Government Director of Education in writing any requests for virement of money between budget lines and Education in Wales objectives identified within the Funding Letter.

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

Value for Money and additionality

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

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

Maximising funding to schools

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

Minimising administration and management costs

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

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

Support for Design and Development of the new curriculum

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

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

Welsh language

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

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

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

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

EIG - Local Authority Match funding for the consortium

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

EIG - Foundation Phase

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

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

EIG - Support for Welsh in Education Strategic Plans

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

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

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

General

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

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

Schedule 1A

Draft Education Outcomes Framework

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

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

SCHEDULE 2

Notification Events

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

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

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

SCHEDULE 3**Payment Profile**

Payment will be made to you every two months in line with your spending profile. An initial update in August and subsequent quarterly updates of the spending profile are required under the terms and conditions of the Funding award.

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

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

Period	Payment date for processing	Amount against Spending profile
1 March – April 2018	26 April 2018	5,207,282
2 May – June 2018	26 June 2018	5,535,666
3 July – August 2018	28 August 2018	5,231,800
4 September – October 2018	25 October 2018	8,270,461
5 November – December 2018	18 December 2018	5,535,666
6 January – February 2019	26 February 2019	8,270,461
7 March 2019	26 March 2019	2,919,766

In August 2018, we will issue a variation to extend the term of the Funding from 1 April 2019 to 31 August 2019, which will include arrangements for payments for the remainder of the period. It is our intention to review payment arrangements with a view to moving from bi-monthly to quarterly payments from August 2018.

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

GRANT ACCEPTANCE

Following issue of the formal Award of Funding, you or your representatives are asked to provide confirmation of your acceptance in principle within 5 working days of this letter with full acceptance thereafter in accordance with the conditions of acceptance.

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

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



Llywodraeth Cymru
Welsh Government

Betsan O'Connor
Managing Director, Education through Regional Working
Y Llwyfan
College Road
Carmarthen
SA31 3EQ

cc: Directors of Education

22 May 2018

Dear Betsan

Pupil Development Grant 2018-2019: Support for looked after children

Ruth Conway's letter of 20 April, inviting support plans for the Pupil Development Grant (PDG), referred to a follow up letter from myself specifically on the looked after children element of the grant.

You will be aware that we commissioned an independent evaluation of the PDG for looked after children (PDG LAC) last autumn. The evaluation is being carried out by ICF Consulting Ltd in association with Arad Research and Cardiff University and we have received a draft of the final report. The evaluation poses interesting and complicated questions that require detailed consideration.

It is clear from the evaluation that significant work is required to strengthen the current arrangements. The evaluation looks only at 2015-16 and 2016-17 and I am aware that some progress has been made since then in strengthening arrangements; but there is further work to do. We will need to look critically at how we might improve the current arrangements and move to a model with greater consistency, equity and robustness from April 2019. There is a role for us all in this and a collaborative approach is needed to ensure real and lasting progress.

As a consequence, I do not intend to prescribe detailed expectations on the management of PDG LAC for this financial year, beyond those outlined in the grant invitation from Ruth. A copy of Ruth's letter is attached for completeness. You will note that the grant invitation refers specifically to use of the PDG to fund a regional lead coordinator for PDG LAC. The lead coordinators will have a fundamental role to play in shaping and implementing the approach from April 2019. Therefore, this continues to be a requirement.

Developing a new approach ahead of April 2019 needs to be a priority. The Cabinet Secretary has been very clear on the importance of supporting this particularly vulnerable group of learners to achieve their full potential; effective use of the PDG LAC is crucial in this. She will look to me for reassurance that we are doing all we can to avoid a repeat of the disappointing 2017 GCSE results for these learners. Therefore, I intend to proceed on the following basis:

- An internal workshop which is scheduled to take place later this week. At this we will work through the complex issues raised in the evaluation with challenge from colleagues from our Social Services Department.
- A paper will then be presented by Ruth and her team at my Senior Management Team meeting. This will help ensure the options we are considering are robust and align with our wider priorities and approaches.
- A workshop with you and your coordinators will be the next stage. At this I expect to present our preferred approach but we will also be open to having a conversation about it, in particular around practical and operational feasibility and management.

There is, of course, a much bigger picture when it comes to looked after children. PDG LAC is just one – albeit important – part of that picture. Local authorities have legal responsibilities around the care and education of looked after children. They will, therefore, have a role in the development of the new approach and we ensuring that Directors of Education are engaged in the process will be important.

Last year I wrote to you clearly setting out my expectations for your approach to utilising this grant for 2018-19; these expectations still stand. However, the extent to which these have been observed over the last year has been variable across the four regions. We will be carefully scrutinising the plans when we receive them and through monitoring of the grant during the year. This will be a transition year moving towards a more consistent, national approach from 1 April 2019 which takes account of the findings of the independent evaluation. We can discuss the mechanics and practicalities of introducing transitional arrangements at our regular meetings.

In the meantime, Tania Nicholson and her team will be in touch with you and your lead coordinators to arrange the workshop I refer to above.

I look forward to your support on this.

Yours sincerely



Steve Davies
Director, Education Directorate