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FRIDAY, 7 JULY 2017

ERW JOINT COMMITTEE
Y LLWYFAN, COLLEGE ROAD, CARMARTHEN AT 2.00 PM,
ON MONDAY, 17TH JULY, 2017

A G E N D A

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

ERW Joint Committee
Monday, 20th February, 2017
Y Llwyfan, College Road, Carmarthen
10.00 - 11.45 am

PRESENT: Councillor Alun Thomas [Chair]

Councillor James Adams	Pembrokeshire County Council
Councillor Ellen ap Gwynn	Ceredigion County Council
Councillor Barry Thomas	Powys County Council
Councillor Jennifer Raynor	City and County of Swansea
Mr Mark James	Lead Chief Executive – ERW
Mr Aled Evans	Lead Director – ERW
Ms Betsan O'Connor	Managing Director - ERW
Ms Bronwen Morgan	Ceredigion County Council
Mr Jonathan Haswell	Pembrokeshire County Council (ERW S151 Officer)
Ms Elin Prysor	Ceredigion County Council (ERW Monitoring Officer)
Mr Chris Llewellyn	W.L.G.A.
Ms Chris Sivers	City and County of Swansea
Ms Tanya Wigfall	Welsh Government
Ms Catherine Gadd	Carmarthenshire County Council (Democratic Services)

1.   **APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillor Emlyn Dole (Carmarthenshire County Council), Councillor Rob Stewart (City and County of Swansea), Mr Jeremy Patterson (Powys County Council) and Mr Ian Westley (Pembrokeshire County Council).

2.   **DECLARATIONS OF PERSONAL INTERESTS**

There were no declarations of personal interests.

3. **MINUTES - 2ND NOVEMBER 2016**

It was requested that the attendance list be amended for Ms Jo Hendy to be listed as from Pembrokeshire County Council and not ERW.

AGREED that the minutes of the meeting held on 2nd November 2016 be signed as a correct record, subject to the above-mentioned amendment.

4. **RISK REGISTER**

The Joint Committee was provided with a copy of the Risk Register which highlighted the main risks within the Corporate, Financial and School Improvement areas which enabled ERW to mitigate potential risks wherever possible.

The Lead Director of ERW highlighted that work had been undertaken in regard to inspection of the Region and individual Directors had assumed responsibility for overseeing specific recommendations. Progress against recommendations was monitored on a regular basis.

It was highlighted that the risk of insufficient capacity of the Central Team and Challenge Adviser Team to deliver the Business Plan to a high standard had been targeted.

It was noted that at the last meeting held on 2nd November 2016, it had been agreed to remove item 1 from the risk register – failure to comply or act on Internal Audit recommendation. The Managing Director of ERW confirmed that it would be removed.

AGREED that the report be noted.

5. **LEAD DIRECTOR AND MANAGING DIRECTOR UPDATE**

A verbal update on activities was provided to the Committee by the Lead Director and Managing Director of ERW.

It was explained that an independent person, who had been a Director of Education in Caerphilly Council, had been commissioned to review the structure and capacity of ERW. The purpose of the review was to ensure that the right model was in place going forward, especially with the development of the new Successful Futures curriculum. It was noted that there could be some changes to the employment and number of Challenge Advisers and support staff in the area.

It was reported that there had been some productive meetings with Estyn regarding changes to the inspection processes so that they fitted better with the visits to schools that already took place. It was also noted that Estyn were willing to have discussions around accountability measures.

Concern was expressed regarding Level 2+ being the national educational focus and the impact this had on the more able and talented pupils. It was asked how ERW was planning to address this. It was agreed that this was the case as the threshold had been set at grade C and schools would focus on pupils achieving

this grade. In addition, the early indicators of the PISA outcomes were indicating that few youngsters in Wales were achieving the higher (level 7) outcomes. It was recognised that it was important to maximise the potential of every child and a piece of work was going to be undertaken with the aim of utilising target setting more dynamically rather than it being a retrospective exercise. It was also explained that it had to be ensured that tracking systems within schools worked well to identify what support pupils required. It was pointed out that Welsh Government had to be clear on what was the national expectation. For example, in order for schools to address pupils achieving the higher end results additional resources would be required to ensure that it was not at the detriment of other pupils.

It was queried how the different skills sets for PISA and GCSEs could be reconciled. The Lead Director for ERW explained that the new curriculum should be more aligned to meet both skills sets and ensure there were transferrable skills for the workplace. The Managing Director of ERW highlighted that the new curriculum was an exciting opportunity to change education in Wales. It was noted that there was some good work being trialled within pioneer schools. Reassurance had been given to non-pioneer schools that they would not fall behind. Some concern was expressed that teacher training colleges were not up to speed with the requirements of the new curriculum. It was agreed that that a progress update on the development of the new curriculum would be provided at a future meeting.

It was suggested that gaming by schools took place to try to maximise points for a child rather than considering the quality of the qualifications being undertaken. The Managing Director of ERW highlighted that that they were aware of some concerns, which were taken into consideration as ERW made judgements on the categorisation process.

Feedback was provided from the Improvement Conference and the Peer Review that were undertaken in Pembrokeshire. It was felt that the Peer Review had been very beneficial and other local authorities were interested in undertaking similar exercises. Members that had attended the Improvement Conference had found it useful and recognised that a lot of work was involved in holding the conference. It was noted the Estyn would be reviewing the benefits of the conferences once all three pilots had taken place.

It was noted that the Estyn's Annual Report had been misinterpreted by the press and the four regions had completed a piece of work to explain the information behind the headlines. This information was available on the ERW website and it was agreed that it would be circulated to the Committee.

AGREED that the report be received and accepted.

6.   **FINANCE REPORT**

The Committee received an update on the financial position of ERW. This included the Revised 2016-17 Central Team Revenue Budget, Draft 2017-18 Central Team Revenue Budget, Reserves, Grants and 2016-17 Statement of Accounts & Annual Governance Statement.

The ERW S151 Officer highlighted that the reduction in the projected outrun for 2016-17 was due to salaries being lower than anticipated, an element of salaries being applied against grant funding and the HR secondee being funded wholly from grant. It was noted that there was a reduction in the anticipated use of the local authority reserve.

In regards to the 2017-18 Draft Revenue Budget the increase in expenditure was primarily due to additional salary costs, which were an increase in the cost of living, increments and an additional post as part of the Central Team. The increase in facilitation costs were due to a new Communications Service Level Agreement (SLA). It was explained that a prudent approach was being taken to grant funding administration until the grant amounts and details had been received. It was confirmed that if there was more grant allocation then there could be an increase in the grant administration which would reduce the funding expectation from Local Authorities. It was highlighted that no formal grant letters had been received and the projected grant funding was based on officer discussions with Welsh Government.

It was explained that the contribution from the six partner local authorities was pro-rated according to pupil numbers taken from Stats Wales. It was noted that the working reserve of 100k must be kept to deal with any future funding gaps and unexpected expenditure.

The timetable for the production and approval of ERW Statement of Accounts 2016-17 and the ERW Annual Governance Statement for 2016-17 was outlined, with approval to take place at the meeting of the Joint Committee in July 2017.

It was asked if the figures for grants identified for 2017-18 included any grants that had to be spent by March 2017. The ERW S151 Officer explained that the majority of the grant allocations had been allocated by financial year, however, there was some funding that had to be spent by March and had been received late on in the financial year.

UNANIMOUSLY AGREED
6.1   **that the report be received;**
6.2   **that the Projected Outrun Budget for 2016-17 and the use of 60k from the local authority reserve be approved;**
6.3   **that the Draft Budget for 2017-18, which includes a total contribution of £250k from the six local authorities and the utilisation of £194k from the local authority reserve be approved;**
6.4   **that the funding of the Central Team Revenue Budget for 2018-19 onwards will be via increased contributions from the six local authorities as there will be a limited balance remaining in the local authority reserved be noted;**
6.5   **that the grants awarded to ERW for 2016-17 and indicative grants for ERW in 2017-18 be noted.**
6.6   **that the proposed timescale for the production, audit and approval of the ERW Statement of Accounts and ERW Annual Governance Statement for 2016-17 be approved.**

7.   **CATEGORISATION**

The Joint Committee received the findings from the categorisation process and they were informed that it was an improving picture overall. It was noted that the second judgement was important as it assessed the capacity of schools to improve.

The Managing Director of ERW highlighted that there was concern for schools that had been in the red or amber category for over three years, especially at secondary level. Analysis of these schools seemed to indicate that there was some commonality in compounding factors, which included: the impact of school reorganisation and a new or acting headteacher being in place, especially as there had been difficulties in recruiting qualified and suitable candidates. It was noted that the decisions made by local authorities on school reorganisation had a direct impact. It was highlighted that in the ERW consortium there were eight schools that fell into this category and an additional two schools had demonstrated a similar pattern over a two year period. Another issue was the deployment of Challenge Advisers that had the experience to meet the requirements of the school.

Members highlighted that it was important that local authorities and ERW maintained the challenge at all levels of categorisation, including those schools in the green category and especially those in the yellow category. It was noted that there had been a shortage of Challenge Advisers and it was important to match the right skills and experience with the right schools. The Managing Director of ERW agreed the points raised and commented that this message had to be made clear across the Hubs.

AGREED that the report be received and accepted.

8.   **BUSINESS PLAN**

The Joint Committee received the draft ERW Business Plan 2017-2020. The Managing Director of ERW outlined that the new model of the Business Plan was more streamlined than previous versions and had been strengthened in accordance with Estyn recommendations and ERW's improvement objectives. The aim of the model was to create a structure that was easier to update and allowed for tighter monitoring of actions. It was highlighted that the previous business plan had tried to be both strategic and operational. The new model was stronger on accountability and there was better reflection of where there was effective practice in local authorities.

It was highlighted that reviewing the current Local Authority SEN systems, processes and provisions was an important action. The Committee also felt that accuracy of teacher assessment was important. The Managing Director of ERW explained that this year they would be more confident in the moderation of teacher assessment due to the progress that had been made in addressing this area.

The Committee expressed concerns over the skills of school governors and the level of challenge given to schools. This was particularly of concern with potential proposals from Welsh Government to increase the amount of parent governors. It

was highlighted that there needed to be a more serious debate about governors and more discipline in the work of governing bodies. It was pointed out that there was a need to impress on the Welsh Cabinet Secretary for Education the importance of the right skills and review of governing bodies. It was noted that as part of the consultation on the 'consolidation and revision of the school governance regulatory framework in Wales' the WLGA and headteachers had responded with these concerns.

It was requested that future Business Plans were developed in conjunction with the financial model. The Managing Director of ERW agreed that this would be preferable provided ERW received the grants from Welsh Government in sufficient time.

AGREED that the report be received.

9. **ANY OTHER ITEMS OF BUSINESS**

It was highlighted that it was the last meeting for the Chairperson, Cllr Alun Thomas, and Members of the Committee thanked him for his contribution and the important role he had played in the development of ERW.

_____   _____

CHAIR   **DATE**

ERW JOINT COMMITTEE
DATE 17.7.17

Risk Register
Purpose: Evaluation of the ERW Risk Register
RECOMMENDATIONS / KEY DECISIONS REQUIRED: **That the Joint Committee approve the changes to the Risk Register, and the risk rating of any new additions**
REASONS: Systemic Risk Management of the Consortium Joint Committee serves as a high level mechanism for this management of systemic Risk.

Report Author: **Osian Evans**	Designation: **Executive Officer**	Tel No. 01267245640 E. Mail: osian.evans@erw.org.uk

EXECUTIVE SUMMARY
ERW JOINT COMMITTEE

Risk Register

BRIEF SUMMARY OF PURPOSE OF REPORT

There are two key risks that need to be addressed in the Central Risk Register:

"The region's limited capacity risks undermining the ability of ERW to respond at the same pace and impact to the requirements of the New National Model and white paper." **Has been assessed as High Risk with likely occurrence.**

"The region has received two letters from WG outlining the concerns that ERW is not using its "Regional Grants" within the spirit of the terms and conditions. Risk that funding may be withdrawn." **Has been assessed as High risk and likely to occur also. It has also been noted on the Financial Risk Register as there are significant financial implications attached to this risk.**

    The risk register is attached as papers for this agenda item, as is the correspondence

    The aforementioned correspondence from Welsh Government are also attached for the convenience of the Board.

DETAILED REPORT ATTACHED?	YES

IMPLICATIONS

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

1. **Finance**
   The Financial Risk Register is specifically dedicated to financial risks within the region

2. **Risk Management**
   The risk register in its entirety is a mechanism designed to capture systemic risk

3. **Staffing Implications**
   Some risks identified in the risk register concern staffing and capacity issues.

CONSULTATIONS

N/A

Section 100D Local Government Act, 1972 – Access to Information **List of Background Papers used in the preparation of this report:** **THESE ARE DETAILED BELOW**		
Title of Document	**File Ref No.**	**Locations that the papers are available for public inspection**

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

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

Key Actions:

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

Below is the Risk Matrix:-

Risk Matrix

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

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Risk Matrix

Probability		Low (4)	Medium (8)	High (12)	High (16)
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				Impact	

ERW Risk Register

June 2017

Central

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation			Date appear on ERW Register	Date taken off ERW Register
												Probability	Impact	Risk Score		
1	Failure to comply or act on Internal Audit recommendations	Managing Director and Section 151 Officer	Unlikely	Medium	2	Treat and Mitigate	Tracking progress against recommendations and have track record of swift actions on previous recommendations. This aspect is low risk. Further action between PCC and SCC to manage new risks. Further action to receive quarterly assurance from each LA. Better communication between directors and finance staff in own LA.	N/A	Swansea LA qualifications in Audit Report and potential WG claw back 14-19. Swansea underspend for PDG. Internal audit report notes issue countinues to be a risk – sample size small In grants testing.	Swansea	N/A	Unlikely	Low	1	March 2015	
2	Local Government Reorganisation may result in LAs being placed in different Consortiums	Lead Leader	Unlikely	Medium	2	Tolerate	Would require planning to accept a new partner or agree an exit strategy for existing partner. This is long term and preparation time will be sufficient.	Monitor on-going issues in WG	ERW work is planned and monitored with LGR considerations. Suggest taking off register as risk is lower now	N/A	N/A	Unlikely	Medium	2	March 2015	Mar-16
3	Estyn visits result in LAs being placed in follow up / special measures or requiring further attention	Chief Education Officers	Likely	High	9	Transfer to 3rd Party / LA	Robust self evaluation and monitoring at LA level, with regional strategies to support. Pembrokeshire support network established by ERW by mutual consent. Review of evidence work reaims of concern.	Place on Pembrokeshire Risk Register	Email sent	Pembrokeshire	N/A	Likely	High	9	March 2015	
4	Contributory LAs do not fulfil their commitment as outlined in the Functions Framework	Directors / MD	Unlikely	Medium	2	Treat and Monitor	Clear expectations of services and standards to be delivered, in line with Legal Agreement.			N/A	N/A	Unlikely	Low	1	March 2015	Oct-15
5	Inspection of Region or any single LA finds less than adequate standards, provision or leadership	Managing Director and 6 Directors	Likely	High	9	Treat and Mitigate	Alternative support lead ChAd for schools causing concern required in LA. all alliance members tke ownership on detaila and accountability. Effective BP in place. Clear plan for improvement as part of improvement planning, but heightned urgency pre inspection. Taken swift effective	All	Risk for all LAs but specifically Pembrokeshire, where pace of improvement has not been good enough and high proprtion of secondaries causing concern.	All	N/A	Unlikely	Medium	2	March 2015	
6	Insufficient capacity of Central Team and Challenge Adviser Team to deliver Business Plan to high standard	Directors and Managing Director	Likely	High	9	Treat and Mitigate	Effective planning Central Team capacity to coordinate and facilitate change. position remains same and is critical Discuss with all Directors 24/07/15. All agreed capacity and restructure of Central Team. Improved planning and training on key workload issues. Challenege adviser capacity agreed to maintain at full Sept 2015	N/A	Review leads to need to reaffirm frm all LAs the commitment as set out in legal agreement Joint committee paper on camparing regions is likely to raise issue and further action is likley. Central team caacity discussion with LD 14/10/16	Pembrokeshire; Carmarthenshire, Sswansea, Ceredigion	N/A	Likely	High	9	March 2015	

03/07/17

Risk Matrix

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ERW Risk Register

✳ ERW

June 2017

Central

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation — Probability	Impact	Risk Score	Date appear on ERW Register	Date taken off ERW Register
7	Governance and Legal footing of ERW found to be ineffective at securing consistent improvement across all LAs by Estyn / WAO / WG / Self Evaluation	Managing Director, Directors and Monitoring Officer	Possible	High	6	Treat and Mitigate	Evidence of effective communication, planning and accountability. Impact on outcomes is clear. Remaining risk is system knowledge by external stakeholders. Action by LA to respond to identified risks in Register		Additional comms briefing scheduled. Review paper on effectiveness of governance underway	N/A	N/A	Possible	Mediun	4	March 2015	
8	Support and intervention coupled with local plans and strategies do not lead to improvement in PCC	Lead Chief Exec., Lead Director, Managing Director and PCC Corporate Leadership Team	Likely	High	9	Treat and Mitigate	plans agreed and committed to by Exec in Dec 2015. network underway and chaired by Lead Chief exec. Estyn and WG sighted of plans - work to action necessary	transfer to LA register necessary	agreement between MD and Director as to support for all key schools causing cocnern. Remains concern n revieiwing support proviced for key schools. Duplication remains a concern.	Pembs		likely	High		October 2015	
9	Failure to address or implement key areas of ERW BP	MD / Chairs of Priority Boards	likely	High	3	Treat	Focus on bringing pace to groups through effective minutes/actions.increased central capacity to monitor quality and actions/ focus. Target additional support for Support for Learning Groups.		All alliance members should adhere to agreed code of conduct, BP actions and Legal agreement. Capacity issues in central team , and capacity of LAs to respond to Legal Agreement commitment and SLAs	N/A		likely	Medium	2	March 2015	
10	recruitment and retention of teachers and HTs	MD and directors	high	high	9	Treat	lead national prgramme to support engagement and comminication on R7R. Also support and provide CPD for HTs and aaspiring leaders	transfer to all LA registers	awaiting confirmation of progress							
11	Devolved teachers pay and Conditions - trade union activity undermining ERW Support to Schools, morale of workforce and managing change	Welsh Government	Likely	high	9	Treat, tolerate and mitigat	Engage with national developments fully, monitor carefully any emerging changes.	All LA Registers (all LAs will be affected)				likely	high	9	January 2017	
12	The region's limited capacity risks undermining the ability of ERW to respond at the same pace and impact to the requirements of the New National Model and white paper.	Managing Directors, Directors	Likely	High	9			Still in a position of risk - this needs to be reviewed.								
13	The region has received two letters from WG outlining the concerns that ERW is not using its "Regional Grants" within the spirit of the terms and conditions. Risk that funding may be withdrawn	Managing Director, Directors	Likely	High	9											

Risk Matrix

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			Impact		

ERW Risk Register

June 2017

Financial

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation			Date appear on ERW Register	Date taken off ERW Register
												Probability	Impact	Risk Score		
1	WG Funding may not be timely resulting in underspend at the end of the financial year	Managing Director / Section 151 Officer	Likely	High	9	Tolerate	Effective plans locally to mitigate impact. Financial forward planning with contingency arrangements so that essential implementation is not hindered. Constant communication with WG to improve expectation. Communication to WG		2016-17 commitment form WG to work more effective with regions and LAs, should help situation. MD success at getting fair funding formula for all regions will positively impact on ERW	N/A		Likely	Medium	6	March 2015	
2	Measured impact does not reflect value for money on ERW's work outcomes	Managing Director	Likely	Medium	6	Treat	Comprehensive VFM Framework in place. In house monitoring of effectiveness; support in any identified areas of concern. Regular reports to Exec. Board. VFM monitoring and recommendations from Internal Audit undertaken.		Suggest taking of register after Exec. Board and Joint Committee review VFM Framework and reports. Due to repost to JC July 2016 comarison data with other regions.	N/A		Unlikely	Low	1	March 2015	
3	Local Authorities do not meet their requirements for funding the Consortium	Directors	Unlikely	High	3	Treat	Adherence to the Legal Agreement. Full commitment from all LA's.		Finanical report to JC note increase required in 2017-18	N/A		Unlikely	Low	1	March 2015	July 2015
4	EIG in year cut	Section 151 Officer	Possible	High	6	Escalate WG	ADEW WLGA	Escalate to WG		N/A					March 2015	
5	Individual LAs fail to comply with Grant Regulations and limited assurance given from other LA's to PCC	Section 151 Officer and Head of Internal Audit	Likely	High	9	Treat	Clear agreed financial guidance and procedures. Correspondence from Section 151 Officer and Internal Audit to all LA's. Assurance for PCC from each LA. Improved communication and understanding of roles, responsibilities and risks. Training and termly finance officers meeting.			N/A		Possible	Medium	4	March 2015	
6	Region not funded fairly by WG in proportion to number of schools, pupils and teachers		Likely	High	9	Escalate WG	On-going correspondence to WG over past year. Comittment given re sparcity		Constant on-going discussions with WG. JC opt not to write to WG but to raise via representatives. Limited control on external factors. Breakthrough in discussions but nothing confirmed in writing 10.5.16	N/A		Unlikely	Low	1	March 2015	

03/07/17

	7	**Financial pressures in each LA leading to cuts affecting school services**	LAs	Likely	High	9		ERW maintains high delegation rate to schools		On-going information and discussion. Impact on capacity and willingness of schools to engage on self improving system. Further work with HT board to ensure clarity around epectations of HT to colllaborate and the remuneration.		All	Almost Certain	High		October 2015	
	8	The region has received two letters from WG outlining the concerns that ERW is not using its "Regional Grants" within the spirit of the terms and conditions. Risk that funding may be withdrawn	Managing Director, Directors	Likely	Hgh	9												

Risk Matrix

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		Low	Medium	High	Extreme
				Impact	

ERW Risk Register

School Improvement - Carmarthenshire

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation			Date appear on ERW Register	Date taken off ERW Register
												Probability	Impact	Risk Score		
1	Estyn visits result in high proportion of schools being placed in follow up / special measures	Chief Education Officers and Heads of Hub	Possible	High	6	Treat and Transfer	Analyses of range of data and ongoing monitoring by ChAds provides early indications. Consistent programme of school improvement through brokered 'menu of support.' Enhanced capacity of school-to-school support. SCC review activity led by PCA and Head of Hub. Work programme of ERW Head of Stds provides additional support.		Training and professional development opportunities provided to support ChAds with clear guidance. Additional early identification of risks through Rhwyd QA and analyses of CV1 and 2 provides constructive support. LA capacity (ability to support and challenge) remains under review with ongoing recruitment programme in place.			Unlikely	Medium	2	March 2015	
2	School categorisation results in increasing numbers of amber / red schools	Managing Director	Possible	Medium	4	Treat	Analyses of a range of data, effective support from ChAds and consistent programme of school improvement through brokered 'menu of support.' Consistent CV1 training for ChAds. Improved targeting of potential risks.		Ongoing national discussion on impact of standards' judgements at FP, KS2 and 3. Ongoing focus on enhancing leadership / T&L capacity in schools. LA capacity (ability to support and challenge) remains under constant review with ongoing			Unlikely	Medium	2	March 2015	
3	Working relationships with Trade Unions are challenging. Despite clear communication and mandate	Lead HR Officer	Likely	Medium	6	Treat where possible, tolerate	Communication arrangements strengthened and inform TUs of work. School leaders have implemented ERW Core Visits effectively in partnership with ChAds / Peers.					Possible	Medium	4	March 2015	
4	Inconsistency in support to Schools through variability in work of individual Challenge Advisers	Head of Support and Performance & Head of Hub	Possible	Medium	4	Treat and Transfer	Defined support arrangements set out with consistent entitlement to schools via 'menu of support.' Revised Ladder of Support shared with all parties. Comprehensive Training/Awareness Programme. Hub QA monitoring school progress at an individual level. Recent ERW 2 Day		Attendance at training is now consistently high.			Unlikely	High	3	March 2015	
5	Categorisation judgements undermined by Advisers not following process	Managing Director	Possible	High	6	Treat and Transfer (All LA's)	Comprehensive training and support in place. Categorisation QA and Moderation procedures at local and regional levels. Rhwyd programme supporting greater consistency.	Previous Carmarthenshire risks based on challenges of Commissioned Model - mitigated by additional training / resources. HoH / PCA ensuring QA and pursuing reecruitment programme.		Carmarthenshire		Unlikely	Medium	2	March 2015	
6	Insufficient monitoring of and support to schools causing concern	Head of Hub and Chief Education Officers	Unlikely	High	3	Treat and Transfer	SCC Protocols support ChAd activity. Standing item on Hub QA. SCC Plans in place with monitoring and review support from Head of Hub and PCA. Hub QA monitoring progress and impact on a regular and individual basis. Improvement Panels in targeted schools					Unlikely	High	3	May 2015	
7	LA staff (including Challenge Advisers) unnecessarily undertaking activity outside the regional strategy	Directors	Possible	High	6	Treat	Head of Hub & PCA meetings review workload and impact to ensure early identification of issues/risks.		Clarity on ChAd role supported by revised Ladder of Support but potential risks needs to remain under review.	Ongoing local discussions to ensure appropriate capacity (ongoing recruitment programme in place).		Possible	High	6	July 2015	

03/07/17

Risk Matrix

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

ERW Risk Register

June 2017

School Improvement - Carmarthenshire

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation			Date appear on ERW Register	Date taken off ERW Register
												Probability	Impact	Risk Score		
8	Failure to raise standards, specifically for Efsm pupils	Directors	Unlikely	High	3	Treat	Ongoing targeted interventions and sharing of most effective practice. Commissioned research. ERW CV1s clarifying actions for 'menu of support.' CCC eFSM Scrutiny Panel work has supported identification of 'good practice' and potential risks					Unlikely	high	3	July 2015	
9	Hub Leads do not maintain register and risks are not mitigated efficiently enough. LAs do not esclate to local registers as necessary to manage the wider LA issues	Directors , Heads of Hub	Likley	High	9	Escalate	Hub leads to take responsibility.					Unlikely	Medium	4	Mar-16	

ERW Risk Register

June 2017

School Improvement - Pembrokeshire

Risk Matrix

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

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation Probability	Following Mitigation Impact	Following Mitigation Risk Score	Date appear on ERW Register	Date taken off ERW Register
1	Estyn visits result in high proportion of schools being placed in follow up / special measures	Chief Education Officers and Heads of Hub	Possible	High	6	Treat and Transfer	Analyses of range of data and ongoing monitoring by ChAds provides early indications.Consistent programme of school improvement through brokered 'menu of support.' Leadership Strategy and KS4 Improvement Plan in place. Enhanced capacity of school-to-school support. DCEO leading SCC reviews supported by PCA and Hub Lead. Work programme of ERW Head of Stds provides additional support.		Additional regional resources provide support and capacity for more focused local activity (ChAd deployment). Ongoing ERW training and professional development opportunities continue to provide guidance and facilitate improvement.			Possible	Medium	4	March 2015	
2	School categorisation results in increasing numbers of amber / red schools	Managing Director	Possible	Medium	4	Treat	Analyses of a range of data, effective support from ChAds and consistent programme of school improvement through brokered 'menu of support.' Consistent CV1 training for ChAds. Improved targeting of potential risks.		Ongoing national discussion on impact of standards' judgements at FP, KS2 and 3. Ongoing focus on enhancing leadership / T&L capacity in schools.			Unlikely	Medium	2	March 2015	
3	Working relationships with Trade Unions are challenging. Despite clear communication and mandate	Lead HR Officer	Possible	high	6	Treat where possible, tolerate	Maintain regular communication arrangements with TUs / Staff. School leaders have implemented ERW Core Visits effectively in partnership with ChAds / Peers.			Pembrokeshire		Unlikely	High	3	March 2015	
4	Inconsistency in support to Schools through variability in work of individual Challenge Advisers	Head of Quality and Standards & Head of Hub	Possible	High	6	Treat and Transfer	Defined support arrangements set out with consistent entitlement to schools via 'menu of support.' Revised Ladder of Support shared with all parties. Comprehensive Training/Awareness Programme. Hub QA monitoring school progress at an individual level. Recent ERW 2 Day Conference	All LA Chief Education Officers				Possible	High	6	March 2015	
5	Categorisation judgements undermined by Advisers not following process		Possible	High	6	Treat and Transfer (All LA's)	Comprehensive training and support in place. Categorisation QA and Moderation proecedures at local and regional levels. Rhwyd programme supporting greater consistency.					Unlikely	High	3	March 2015	
6	Local School Improvement risks not fully mitigated at LA level	Heads of Hub	Possible	High	6	Transfer	Regular progress assessments undertaken at Hub QA Meetings and School Effectiveness Meetings. Support for any specific issues agreed and brokered promptly.		Peer Review completed & Estyn Improvement Conference completed. Progress actions match and complement current strategic documentation content. School reorganisation agenda being progressed in support of	Pembrokeshire		Unlikely	High	3	March 2015	
7	Insufficient monitoring of and support to schools causing concern	Head of Hub and Chief Education Officers	unlikely	High	3	Treat and Transfer	PCC strategic documentation includes KS4 Improvement Plan, SCC Protocol and specific Improvement Strategies (Leadership, T&L, efsm etc). Standing item on Hub QA. SCC Plans led by DCEO with support from Head of Huub and PCA. Hub QA monitroing progress and impact on a regular basis.		Appt of PCC DCEO completed / will enhance current arrangements. ERW Focused Support Plan for KS4 underway.			Unlikely	High	3	May 2015	

03/07/17

Risk Matrix

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

ERW Risk Register

June 2017

School Improvement - Pembrokeshire

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation			Date appear on ERW Register	Date taken off ERW Register
												Probability	Impact	Risk Score		
8	LA staff (including Challenge Advisers) unnecessarily undertaking activity outside the regional strategy	Directors	Possible	High	6	Treat	DCEO, Head of Hub & PCA meetings review workload and impact to ensure early identification. Clarity on ChAd role supported by revised Ladder of Support but potential risks needs to remain under review.PCC realignment of strategic responsibilites and duties undertaken - reinforces consistency.					Possible	high	6	July 2015	
9	Failure to raise standards, specifically for Efsm pupils	Directors	Possible	High	6	Treat	PCC eFSM Strategy in place and shared with all partners. Ongoing targeted interventions and sharing of most effective practice. Commissioned research. Additional PCC Reviews of use / impact of PDG funding. ERW CV1s clarifying actions for 'menu of support.'		PCC Efsm Strategy in place. Additional PCC PDG Reviews.			Unlikely	high	3	July 2015	
9	Hub Leads do not maintain register and risks are not mitigated efficiently enough. LAs do not esclate to local registers as necessary to manage the wider LA issues	Directors , Heads of Hub	Likley	High	9	Escalate	Hub leads to take responsibility					Unlikely	Medium	4	Mar-16	

Risk Matrix

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

ERW Risk Register

June 2017

School Improvement - Swansea

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation			Date appear on ERW Register	Date taken off ERW Register
												Probability	Impact	Risk Score		
1	Estyn visits result in high proportion of schools being placed in follow up / special measures	Chief Education Officers and Heads of Hub	possible	High	6	Treat and Transfer	Analysis of data and effective support from Challenge Advisers; programme of school improvement ; building capacity of schools to support others. Work programme of Quality Manager and review of schools causing concern.		Training and profesional devlopment opportunities provided and clear guidance and systems. National accuracy of TA.	Swansea	Estyn have named Swansea as highest outside of Cardiff with 4/17 in statutory category. By October 2016 there are no longer any schools in a statutory category. There is an emerging increase of schools in Estyn monitoring follow-up category at October 2016. By May 2017, one primary in need of SI due to fragility of leadership.	Possible	Medium	4	March 2015	
2	Challenge advisers unable to monitor schools because of threat of action short of strike action	Managing Director	Unlikely	Medium	2	Treat	Analysis of data and effective support from Challenge Advisers; programme of school improvement. Common consistent training for Advisers.		More Challenge Advisers required. Red Schools occur beyond categorisation criteria. Sufficient CAs in place from September 2016. Amber plans in place. Pre-inspection support required in amber schools facing inspection. No lead challenge adviser for primary in Swansea between			Unlikely	Medium	2	March 2015	
3	Inconsistency in support to schools through variability in work of individual challenge advisers	Managing Director and Executive Board	Likely	Medium	9	Treat	Engage proactively with WG and communicate messages on successes		Asking CAs to work outside regional strategy. Duplication of effort still apparent. By October 2016 there is greater understanding of the CA role. However, evidence suggests that headteachers are now less sceptical of regional work. Reactions or change			Possible	Medium	4	March 2015	
4	New school improvement professionals unaware of regional business plan and how this is aligned to local operational plans.	Lead HR Officer	Likely	Medium	6	Treat where possible, tolerate	Communication arrangements strengthened and inform TUs of work. Changing strategies led by new HR Lead.		Misconceptions of Challenge Adviser work apparent. More resistance in Swansea than NPT. Problems seem to have arisen from central talks. Individual conversations have been helpful to aid clarity. Central talks reported as much improved. Information			Likely	Medium	6	March 2015	
5	Local School Improvement risks not fully mitigated at LA level as a result of interim arrangements in the secondary sector.	Head of Quality and Standards & Head of Hub	Likely	High	9	Treat and Transfer	New arrangements to recruit HTs to support additional capacity. Clear agreed arrangements set out with consistent entitlement to schools. Revised ladder of support 2015-16. Comprehensive Training Programme. Performance management harmonisation.		QA process is strong and should be preserved at different levels. Individual coaching of staff proves to be beneficial. New recruits require better induction than currently on offer. Challenge adviser handbook and stop the clock activities support improved quality. Part-time challenge advisers need to adhere to guidance. Too much time taken to write reports.	Behaviours and communication needs to be reiterated and risks noted. And high risk of not working within agreed boundaries. New CAs require good induction. Evidence in October 2016 suggests that there are schools receiving less support than required and that green schools do not always influence their sector sufficiently.		Likely	Medium	6	March 2015	
6	Insufficient monitoring of schools causing concern action plans or amber support school action plans	Chairs of Strategic Groups	Unlikely	High	3	Treat	Action - focus on bringing pace to groups. Target additional support for Support for Learning Groups. LA tend to focus on own business plans. Filter effect down can result in individuals working outside of plan.				Operational plans in Swansea now refer to the ERW business plan. There needs to be a note of instruction from Swansea to identify the particular key priorities for ERW to deliver on. The new annexe to business plan 2017-2020 will feature Swansea's priorities. HOH has shared with lead CAs.	Possible	Medium	4	March 2015	

Risk Matrix

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

ERW Risk Register

ERW

June 2017

School Improvement - Swansea

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation			Date appear on ERW Register	Date taken off ERW Register
												Probability	Impact	Risk Score		
7	New subject specialists and challenge advisers undertaking work beyond the regional strategy.	Heads of Hub	Possible	High	6	Transfer	Hub level risk assessment reviewed at Hub QA Meeting. Communication with schools now less of a risk. A better understanding of consortia functions has been achieved but will need to be maintained by the incoming CEO.			Slow progress schools need finer focus. The new LA action plans for red and amber schools should be considered at Hub QA and the consideration of warning letters or statutory notices needs specific attention during Hub QA.		Possible	Medium	4	March 2015	
8	Failure to raise standards, specifically for Efsm pupils	Head of Hub and Chief Education Officers	Possible	Medium	4	Treat and Transfer	Standing item on Hub QA. Highly coordinated with best practice shared. Best practice needs to be shared regionally. Monitoring questions now feature in action plans for amber schools but this needs to be consistent. Intended outcomes in amber plans must be measurable.			This is a key priority for KS4 in Swansea as progress has stalled. Interschool practice is now shared in order to maximise fsm learner potential.		Unlikely	Medium	2	May 2015	
9	Heightened risk of budgetary constrains on support services and schools impacting adversely on staff	Directors	Likely	High	9	Treat	Chief Education Officer provides rigorous QA of grammar, punctuation as well as clear writing. Head of Quality and Standards remit. Reports are now more consistent and of a good quality. Best practice bank of reports in place.		Schools have dwindling resource for staff CPD in primary schools because of Foundation Phase element of EIG. New TALC model requires explanation so that clusters can nominate a lead practitioner and get the money back to help with CPD.			Possible	High	6	July 2015	
10	Directors	Possible	Medium	4	Treat		All challenge advisers have a MSCW in place to ensure that core business is prioritised.			Local discussion to ensure appropriate capacity. Challenge advisers and subject specialists generally understand core business so LA specific work is not undertaken at the detriment of this.	Unlikely	Medium	2	July 2015		
11		Directors	Likely	Medium	6	Treat	Targeted interventions and sharing most effective practice. Commissioned research.					Possible	Medium	4	July 2015	
12		Directors	Likely	Extreme	12	Treat	Ringfenced school improvement levels preserved for FY 2017-2018 and split into primary, secondary and curriculum units to ensure best value for money and closer budget monitoring.								October 2015	

03/07/17

Risk Matrix

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

ERW Risk Register

June 2017

School Improvement - NPT

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation			Date appear on ERW Register	Date taken off ERW Register
												Probability	Impact	Risk Score		
1	Estyn visits result in high proportion of schools being placed in follow up / special measures	Chief Education Officers and Heads of Hub	Possible	High	6	Treat and Transfer	Analysis of data and effective support from Challenge Advisers; programme of school improvement ; building capacity of schools to support others. An increased number of schools in EM is emerging in NPT. Closer scrutiny of CV1/ Categorisation reports required in 2016. Work programme of Quality Manager and review of schools causing concern. Over reliance on data without looking at books must be eradicated. Special measures primary questioned by Estyn.		Training and profesional devlopment opportunities provided and clear guidance and systems offered. The impact of leadership is not always measured carefully. All challenge advisers have been asked in Hub training to focus on this area. For each school that has gone into EM in 2016-2017 3 were not identified as such by the CA. There was a missed opportunity to review the school in one case and the explanation was weak.			Possible	Medium	4	March 2015	
2	School categorisation results in increasing numbers of amber / red schools	Managing Director	Possible	Medium	4	Treat	Reduction in number of amber schools between 2015 and 2016. However, numbers of green support school has not increased during this period. LA has introduced a leadership wellbeing project in 2017. Currently at the planning stage. Further work on leadership has been undertaken and all amber/ red schools have amber plans. A few yellow schools may have benefitted from amber support given recent inspection outcomes.					Possible	Medium	4	March 2015	
3	Challenge advisers unable to monitor schools where there is a threat of action short of strike action.	Lead HR Officer	Likely	High	9	Treat where possible, tolerate	Communication arrangements strengthened and inform TUs of work. TU relations improved through improved central talks with ERW. No current issues on schools unwilling for monitoring activities to be undertaken by challenge advisers.		Paired visits by senior officers for each school causing concern have been identified quickly. A breadth of risk factors and local intelligence has been considered in assessing schools' vulnerability and need for more support. Capacity to meet support requirements is linked to menu of support. Off menu activities are less possible.			Likely	Medium	6	March 2015	
4	Inconsistency in support to Schools through variability in work of individual Challenge Advisers	Head of Quality and Standards & Head of Hub	Possible	High	6	Treat and Transfer	Rhwyd platform now embedded and CAs produce evaluate reports that emphasise impact of leadership. Reports are now more consistent and lead challenge adviser drives on improving quality, alongside HOH.		The workforce is stable at the moment with good opportunites to learn from experienced officers and challenge advisers. The use of Rhwyd is now embedded and supports consistency. However, the capacity of the lead challenge adviser is stretched on QA. To mitigate, an additional training session is in place to take a collective view of erradicating poorer judgements and report writing.	All LA Chief Education Officers		Unlikely	Medium	2	March 2015	
5	Categorisation judgements undermined by advisers not following process	Managing Director	Likely	High	9	Treat and Transfer (All LA's)	Comprehensive training provided to ensure consistency. Clear distinction required between categorisation of additional LA risk factors.		A full year training programme is now in place to ensure that new and existing CAs are given the required support.			Unlikely	High	3	March 2015	

Risk Matrix

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

ERW Risk Register

June 2017

School Improvement - NPT

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation			Date appear on ERW Register	Date taken off ERW Register
												Probability	Impact	Risk Score		
6	Local School Improvement risks not fully mitigated at LA level - specifically elements of duplication	Head of Hub and Chief Education Officer	Likely	High	9	Transfer	Hub level risk assessment reviewed at Hub QA Meeting. Hub risk register created after June Meeting 2015. Risk pertain to Hub and should be revisited termly.		ERW risk register is now distinctly different to a list of schools with additional risk factors. The risk register is a standing agenda item and the inherent service risks are discussed throughout half termly meetings. The register is now more accessible to all. Are all risks shared and discussed in earnest at challenge adviser level?	NPT		Unlikely	Medium	2	March 2015	
7	Insufficient monitoring of action plans for schools causing concern or amber support action plans	Head of Hub and Chief Education Officer	Possible	Medium	4	Treat and Transfer	Standing item on Hub QA. Practice is shared across the Hub to improve the risks. Guidance provided on monitoring Estyn and have to coordinate support effectively.		Monitoring the impact of schools causing concern is now logged centrally and for September 2016 new concern schools have a specific plan in addition to the log. Precise actions for schools need to be sharper in the log and this is under review. Challenge advisers have gradually			Unlikely	High	3	May 2015	
8		Directors	Likely	High	9	Treat	Reports are QAd in triplicate to ensure reports are stronger/more evaluative. Sign off is required by LA. Head of Education Improvement provides suggested changes. New workforce needs additional support.		Risk is now very low. Nearly all challenge advisers produce good quality reports. Going forward, estyn will require the lastcore visit report on a school for pilot school in 2016-2017. This places greater weighting on QA of core visits.			Unlikely	Medium	2	July 2015	
9	LA staff (including Challenge Advisers) unnecessarily undertaking activity outside the regional strategy	Directors	Possible	Medium	4	Treat	There is greater clarity on the menu of support this year where CAs are better equipped to broker the support required. However, off menu activity for Teacher Development Officers is a risk. Examples of this are engagement with commercial companies and lack of S2S methodology. All subject specialsts have spent 4 days planning the regional menu of support. It now needs to be delivered.				Local discussion to ensure appropriate capacity	Unlikely	Medium	2	July 2015	
10	Failure to raise standards, specifically for Efsm pupils	Directors	Likely	Medium	6	Treat	Targeted interventions and sharing most effective practice. Commissioned research.	Analysis of data points to much improved performance for efsm pupils at KS2 and KS3 in NPT, in particular. The gap at KS4 has widened in 2016. Improved standards at KS4 have been realised but there is further room to improve. The LA has been pro-active in discussing performance with secondary schools and has included the Head of Hub in these meetings, where possible. A*-A performance at GCSE requires improvement. Going forward the new qualifications will mean that performance will be more difficult to compare. Existing teacher assessment and benchmark comparisons have outlived their usefulness and comparisons on national test results will become more useful.				Possible	Medium	4	July 2015	
11	Heightened risk of budgetary constrains on support services and schools impacting adversely on staff	Directors	Likely	High	9	Treat									October 2015	

03/07/17

Risk Matrix

Probability		Low	Medium	High	Extreme
	Almost Certain	Low (4)	Medium (8)	High (12)	High (16)
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			Impact		

ERW Risk Register

June 2017

School Improvement - Powys

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation			Date appear on ERW Register	Date taken off ERW Register
												Probability	Impact	Risk Score		
1	School categorisation results in increasing numbers of amber / red schools	Managing Director, Chief Education Officer / Director and Head of Hub	Possible	medium	4	Treat	Analysis of data and effective support from Challenge Advisers; programme of school improvement. Bespke to need. October 2016 - early indications of categorisation do not suggest an increase.	Not necessary	No early indications of increase in red/amber schools for 16-17	No in-year changes	Brecon High School higher category to yellow. Increase in Green support category with Welshpool and Llanidloes added to this group. Now 3 in Powys. Llanfyllin and Llandrindod decreased from amber to red.	Unlikely	Medium	2	May 16	
2	Estyn visits result in high proportion of schools being placed in follow up / special measures	Chief Education Officers and Heads of Hub	Likely	High	9	Treat and Transfer	Secondary strategy in place and shred with heds. To reach agreement. Bespoek support being provided with additional resource from EIG Oct 16 - Brecon re-visit November. Llanfyllin SI.	training and profesional devlopment opportunities provided and clear guidance and systems	Clear plan in pace to support each school in follow up and each school causing concern. Escalation arrangemenst scheduled to inform Chief exec and elected members		Plans in place. Llanfyllin a greater risk due to Headteacher absence. Regular updates to scrutiny regarding schools causing concern. Clear support plan in place for Caereinion with school to school support from GWE. Bro Hyddgen support programme monitored and effective progress made.	Possible	Medium	4	March 2015	
3	~~Working relationships with Trade Unions are challenging. Despite clear communication and mandate~~	~~Lead HR Officer~~	Likely	High	9	Treat where possible, tolerate	Common consistent training for Advisers.					Likely	Medium	6	March 2015	May 2016
4	~~Inconsistency in support to Schools through variability in work of individual Challenge Advisers~~	~~Head of Quality and Standards & Head of Hub~~	Possible	High	6	Treat and Transfer	Clear agreed arrangements set out with consistent entitlement to schools. Revised ladder of support. Comprehensive Training Programme. Training and development coaching.	Chief Education Officer	Successful and effective performance management and coaching and support given. This has reduced the numbers and additional support to others.	Powys		Unlikely	Medium	2	March 2015	
5	Insufficient monitoring of and support to schools causing concern (secondary specific)	Head of Hub and Chief Education Officers	Likely	High	9	Treat and Transfer	Standing item on Hub QA October 2016 - increased capacity of secondary ChAd since September.		Improvement Boards in place for schools casuing concern. Robust scrutiny function	Powys	Structure of Improvement Boards revisited now with independent chair and more focussed approach.	Possible	Medium	4	May 2015	
6	LA staff (including Challenge Advisers) unnecessarily undertaking activity outside the regional strategy	Directors	Possible	Medium	4	Treat	Analysis of data and effective support from Challenge Advisers; programme of school improvement ; building capacity of schools to support others. October 16 - as above Work programme of Quality Manager and review of schools causing concern. High risk needs to reiterated to each individual		Good communication lines between Chief Education Officer, Senior Challenge Advisor and Head of Hub			Unlikely	Medium	2	July 2015	
7	Difficulty in recruiting school leaders results in lower leadership stabdards	Chief Education Officer and HofH	Likely	High	9	Escalate	Embed existing ERW middle and senior leadership training; Develop stronger recruitment practices; Formally identify and develop prospective school leaders	Not necessary	A need to continue with the school reorganisatipon programme to esnure suffcient quality and quantity of leaders			Almost Certain	High	12	October 2015	

03/07/17

Risk Matrix

Probability					
	Almost Certain	Low (4)	Medium (8)	High (12)	High (16)
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	Possible	Low (2)	Low (4)	Medium (6)	Medium (8)
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		Low	Medium	High	Extreme
			Impact		

ERW Risk Register ✴ ERW

June 2017

School Improvement - Powys   Powys

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score		Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation			Date appear on ERW Register	Date taken off ERW Register
												Probability	Impact	Risk Score		
8	**Failure to further improve key performance indicators at secondary, in particular L2+**	Chief Education Officer and HofH	Likely	Medium	6	Treat	Clear and agreed work programme with schools, in particular those under regression line. Oct 16 - positive 2016 L2+ outcomes in many Powys schools - 4 to be targeted - Maesydderwen, LLanfyllin, Builth, Caereinion Specific support for leadership. Powys secondary strategy in place		Secondary strategy in place		Powys has maintained good increase across LA.	Possible	Medium	4	October 2015	
9	**Failure to raise standards, specifically for Efsm pupils**	Directors	Likely	Medium	6		Targeted interventions and sharing most effective practice. Commissioned research.				Powys has maintained good increase across LA.	Possible	Medium	4	July 2015	
10	~~Hub Leads do not maintain register and risks are not mitigated efficiently enough. LAs do not esclate to local registers as necessary to manage the wider LA issues~~	Directors , Heads of Hub	Likley	High	9	Escalate	Hub leads to take responsibility					Unlikely	Medium	4	Mar-16	May 2016

cc: Directors of Education

Dear Betsan

Pupil Development Grant (PDG) 2017-2018: Support for looked after children

I am writing to you to ensure that there is clarity in the way the Welsh Government expects the regional arrangements for the looked after children portion of the Pupil Development Grant (PDG) to be managed by Consortia.

The revised regional approach to funding additional educational support for looked after children through the PDG was introduced in April 2015 to ensure a more coherent approach underpinned by clear evidence of what works. It was clear that the previous arrangement where funding was given directly to schools resulted in poor targeting of resources, did not support effective practice and was having little discernible impact on the outcomes experienced by learners.

Despite a clear intention from the Welsh Government at the outset of the new arrangements, implementation has not developed in a consistent fashion and the pace of change varies across Consortia area. I do recognise that new structural changes can often be difficult to implement, but in what will now be the third year of the revised grant arrangements we need to be assured that genuine regional arrangements are in place.

As a first principle, the PDG that supports looked after children in education should be retained and used by Consortia to deliver strategically targeted interventions and support on a regional basis. In accordance with the Welsh Government's looked after children in education plan, the PDG funding should be used by Consortia 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. Like the Virtual Head approach in England this level of expertise and focus in supporting looked after children is essential. A summary of the roles and responsibilities which we expect the lead coordinator to undertake is in Annex A.

The letter sent to you by Ruth Conway on 4 April is clear that funding should **not** be delegated to local authorities and schools *unless robust business plans are agreed that are consistent with the regional approach.* I expect any delegation to be on an exception basis only supported by clear financial planning, with the Consortia retaining responsibility for the majority of the budget and delivery of support across the region. Notwithstanding any delegations, the Consortia will remain financially accountable for all expenditure under the grant.

In instances where funding has been awarded to local authorities or schools, Consortia will still need to ensure that the allocation is used in accordance with the terms and conditions of the grant and that money is not top sliced to sustain permanent and/or statutory roles in respect of a local authority's core activity. Creating unnecessary bureaucracy and administration should be avoided and one of the key messages in the use of the grant should be in ensuring that any support provided through the grant should be self-sustaining after the lifetime of the grant.

You will also wish to be aware that the National Assembly's Public Accounts Committee has announced that it will be holding an inquiry into looked after children and will specifically consider *the arrangements for and value for money of the PDG for looked after children, paid to consortia at a rate of £1,150 per looked after child calculated to live in their area.* The terms of reference are at Annex B.

The PAC proposes that the inquiry is undertaken over the next two years and this will clearly be a substantial inquiry. It is entirely likely that Consortia will be invited to give evidence to the PAC and it is imperative that we have a consistent national approach in supporting children who are looked after in education.

I know that Welsh Government officials have worked closely with the Consortia over the last two years and we are very grateful for the work that has been undertaken in this time. It is clear that the regional approach has helped develop our understanding of the needs of children who have suffered trauma, loss, abuse and neglect and experienced attachment issues and that some excellent work is happening all around Wales. We need to ensure that we maintain this momentum, and by keeping a dedicated focus on the needs of looked after children continue to offer them the very best and most effective support possible.

On 10 May we published a review of progress in implementing the looked after children in education plan, a copy of which can be found here[1] along with a Written Statement from the Cabinet Secretary outlining her commitment to this work.

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[1] gov.wales/topics/educationandskills/schoolshome/deprivation/educational-attainment-of-looked-after-children/?lang=en

I would ask you to take personal responsibility in making sure that the grant funded support is delivered as intended. We will be scrutinising Consortia plans closely when they are submitted and will need to be satisfied that these are consistent with the regional approach advocated by the Welsh Government. We had asked you to submit your completed support plans by 12 May. To allow you some additional time to consider the regional strategic approach as set out in this letter, we have extended the deadline for the looked after children element of the support plan to 9 June (we will expect the remainder of the support plan to be submitted by 12 May).

I recognise that that success of these arrangements is dependent upon the cooperation of local authorities and I am copying this letter to Directors of Education and to ADEW.

Yours sincerely

Steve Davies
Director, Education Directorate

LAC PDG Lead Coordinator – Core Roles and Responsibilities (February 2016)

- Manage the Pupil Deprivation Grant allocated to the education consortia by the Welsh Government to support the education of LAC. Manage and distribute the funding for individual learners in line with the regional plan, and monitor its impact on learners' performance against the main indicators
- Lead, manage and develop a school based and sustainable model for supporting LAC pupils across the region's schools
- Work closely with schools, local authorities and other stakeholders to ensure that reliable data is available to facilitate the tracking of LAC educational progress, and take the lead on analysing said data on a regional level
- Arrange regional training along with guidance for schools and Challenge Advisers on interventions to improve the provision for LAC to improve their performance
- Keep a record of feedback and the impact of this training
- Plan and monitor to ensure a quality service and continuous improvement.
- Provide value for money by prioritising, managing and monitoring effective use of resources
- Responsible for improving LAC performance by means of effective management and development and by measuring, monitoring and evaluating performance. Implement and develop business plans that reflect this
- Facilitate meetings of Local Authorities' LACE Co-ordinators and develop a successful network in the field of LAC. Jointly plan the agenda of meetings and the Group's direction of work and responsibility
- Facilitate and help develop the work of the Authorities' LAC co-ordinators in relation to the LAC regional strategy
- Provide guidance, collaborate and meet regularly with the Local Authorities' LAC co-ordinators to report back on progress against the regional plan. Provide them with direction and feedback by effectively communicating a vision whilst focusing on service provision.
- Responsibility for preparing interim and final progress reports to Welsh Government

4

- Act as the region's main LAC contact with Welsh Government in terms of managing the LAC PDG
- Attend meetings with the other LAC PDG lead coordinators every two months to ensure consistency of approach and delivery of service across Wales
- Co-ordinate and contribute to strategic planning for looked after children and other vulnerable groups, ensuring that policies and action plans are in place to support individuals in education
- Contribute to strategic developments, leading and taking action when the need arises
- Responsible for ensuring that each authority's plans are in line with the LAC development plan
- Responsible for sharing information with Challenge Advisers so that they are able to challenge schools with regard to appropriate LAC provision
- Co-ordinate the examples of good practice in schools in the context of LAC and vulnerable groups.

National Assembly for Wales - Public Accounts Committee
Looked After Children – Future Committee Inquiry

The Public Accounts Committee is responsible for carrying out the functions set out in Standing Orders 18.2 and 18.3 and consider any other matter that relates to the economy, efficiency and effectiveness with which resources are employed in the discharge of public functions in Wales. Whilst these responsibilities are narrowly defined the Committee is able to consider a wide range of issues within this remit.

The Committee have agreed to undertake an inquiry into Looked After Children as there a number of significant concerns in relation to the value for money and effectiveness of arrangements in this area, and as such we are intending to take a systemic view of this area.

The Committee has initially identified four areas which it will consider over the course of this Assembly, which are outlined below.

1. Value for money of public spending on looked after children

The Committee intends to consider:

- The overall cost to and value for money of the range public services aimed at improving outcomes for Looked After Children;
- Whether the Welsh Government's desired outcomes for Looked After Children are being delivered by the current levels of public expenditure;
- Whether the extent of spending specific to Looked After Children is sufficiently transparent across the range of public services
- Whether public bodies have placed sufficient emphasis on a long term preventative spend approach, in line with the Well-being of Future Generations (Wales) Act 2015, to maximise the benefits of public expenditure for this group of children.

2. Educational attainment

The Committee intends to consider:

The arrangements for and value for money of the Pupil Deprivation Grant for looked after children, paid to regional consortia at a rate of £1,150 per looked after child calculated to live in their area

3. Foster placements

The Committee intends to consider:

The **value for money and effectiveness of current arrangements for foster placements.**
4. Local authority corporate parenting arrangements

The Committee intends to consider:

The **effectiveness of local authority corporate parenting arrangements.**

We would welcome the views of stakeholders on the areas identified are the right areas and whether there are any additional areas which would benefit from the Public Accounts Committee considering over the long term. Responses to be received by 12 May 2017.

Once the Committee begins to undertake this work, we will issue consultation documents for each phase of the inquiry.

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ERW
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Education through Regional Working
www.erw.cymru
www.erw.wales

ERW JOINT COMMITTEE
17.7.17

Lead Director & Managing Director Update

Purpose:

For the Managing Director to discuss ongoing issues / noteworthy points of discussion pertaining to the running of the Consortium.

RECOMMENDATIONS / KEY DECISIONS REQUIRED:

 That the Joint Committee receive the report

REASONS:

Report Author:	Designation:	Tel No. 01267 245640
Betsan O'Connor	Managing Director	E. Mail: Betsan.oconnor@erw.org.uk

EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
17.7.17

Lead Director & Managing Director Update

BRIEF SUMMARY OF PURPOSE OF REPORT

The Managing Director will verbally update the Joint Committee on the following topics, and any progress/issues relating to them within the context of the Consortium's work:

- **PISA**

- **The new National Model**

- **Feedback from the Headteacher Representative Board**

- **Headteacher Questionnaire**

- **2017 GCSE Results**

- **ERW Self Evaluation Report**

DETAILED REPORT ATTACHED?	NO

IMPLICATIONS

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

1. **Risk Management**

   Some of the items covered in the update will outline potential risks that may need to be considered for the ERW Risk Register

CONSULTATIONS

N/A

Section 100D Local Government Act, 1972 – Access to Information **List of Background Papers used in the preparation of this report:** **THESE ARE DETAILED BELOW**		
Title of Document	**File Ref No.**	**Locations that the papers are available for public inspection**

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ERW JOINT COMMITTEE
17.7.17

Letter from Scrutiny
Purpose: **To receive the correspondence from the Joint Scrutiny Councillor Group**
RECOMMENDATIONS / KEY DECISIONS REQUIRED: **Agree on a response from the Chair of the Joint Committee**
REASONS: Transparency Democratic Accountability

Report Author:	Designation:	Tel No. 01267245640
Betsan O'Connor	**Managing Director**	**E. Mail:** **Betsan.oconnor@erw.org.uk**

EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
17.7.17

Letter from Scrutiny

BRIEF SUMMARY OF PURPOSE OF REPORT

As part of the Consortium's Democratic Accountability arrangements, there is an open dialogue between the Joint Committee and the Scrutiny Councillor Group. This communication ensures that the Scrutiny Councillor Group can publicly raise any issues they find pertinent.

The latest correspondence from the Scrutiny Councillor group is attached as a paper for this agenda item.

DETAILED REPORT ATTACHED?	YES

IMPLICATIONS

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

1. Legal

Correspondence with the Scrutiny Group is a key element of the Joint Committee's public accountability

2. Staffing Implications

Some of the queries presented in the letter pertain to the maintenance of capacity of Challenge Advisers

CONSULTATIONS

Details of any consultations undertaken are to be included here

Section 100D Local Government Act, 1972 – Access to Information		
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ERW
Ein Rhanbarth ar Waith
Education through Regional Working

To: Cllr A Thomas	Please ask for:	Scrutiny
Chair of the ERW Joint Committee	Scrutiny Office Line:	01792 637256
	e-mail	scrutiny@swansea.gov.uk
	Date	03 April 2017

Dear Councillor Thomas,

ERW Scrutiny Councillor Group - 27 February 2017

The Chairs and Vice Chairs of all six local authorities' Education Scrutiny Committees came together in Ceredigion for their bi-annual Scrutiny Councillor Group. I am writing to you with their views, conclusions and recommendations from the meeting on the 27 February 2017.

The ERW Chief Executive provided us with information and updates on

Performance Management
We heard about the package of training on performance management for schools and how it is being introduced. We welcomed the development of this package recognising the importance of performance management in the school improvement process.

School Categorisation
We had previously expressed our concern regarding the public understanding the categorisation system particularly the fact that this is about the support schools receive rather than as a 'grading' system. We were pleased to hear that there has been a positive change in the communication of this issue and in how information about categorisation is being communicated and reported in the press.

Estyn Inspection of ERW
After our last meeting we wrote to Estyn about the inspection of regional bodies and how raising educational standards is not reflected in inspections. Estyn, in their response, have offered to come along to one of our meetings to discuss this further. We plan to take them up on this offer for our next meeting.

We asked the Chief Executive of ERW to provide us with further information on what is being done to address the following aspect '*Local authority portfolio holders do not have a clear enough input to the management or oversight of the work of ERW despite their key responsibility in their local authority for the oversight of education services*'.

We heard that in order to address this issue the portfolio holders will be involved in the six weekly Hub Quality Assurance meetings. A survey of portfolio holders across the region has been completed and they have said they are happy with their involvement.

The Group heard about the current position in relation to numbers and quality of Challenge Advisor support for local authorities. We were concerned to hear that not all Local Authorities in the region have reached their full agreed quota. However, we were pleased to hear that the quality of challenge advisor support has improved hugely.

The Campaign to recruit teachers

We were pleased to hear about plans for a campaign across all regions in Wales to encourage people to get into teaching. We agreed that there is a need for the use of positive messages about teaching in Wales.

The other topics we covered during the meeting include:

Elective Home Education

As you will be aware we wrote to the Welsh Minister for Education after our last meeting but were disappointed with her response and with the non-statutory guidance that was recently published. We felt that there are solid safeguarding legislative powers that are available that could be used in relation to this aspect but there seems to be a reluctance to link this to the Elective Home Education guidance. We also recognise that this is a cross cutting issue that falls within the portfolios of a number of Ministerial Departments so would like it to be looked in a Cabinet Workshop. We plan to write to Welsh Government again on this matter.

School Governance

We had a session looking at School Governance where we discussed the new training that is available online, accessible through the ERW website. The Group agreed that it was important that Headteachers are encouraged to develop their Governing Body using these resources.

We would welcome your response to any points in this letter but would particularly like to receive your response to the following point:

- Why some local authorities are not at the agreed full quota of Challenge Advisors and what is being done to address this?

We look forward to your reply.

Yours sincerely,

Councillor Paul Hinge
Chair ERW Scrutiny Councillor Group and Vice
Chair of the Learning Communities Scrutiny Committee, Ceredigion Council

ERW JOINT COMMITTEE
17.07.17

ERW Statement of Accounts for 2016-17
Purpose: Approval and signing of the ERW Statement of Accounts for 2016-17
RECOMMENDATIONS / KEY DECISIONS REQUIRED: **Joint Committee approval of the ERW Statement of Accounts for 2016-17** **ERW Statement of Accounts for 2016-17 to be signed by the ERW S151 Officer and the Chair of the Joint Committee**
REASONS: To obtain approval of the Joint Committee

Report Author: Jon Haswell	Designation: ERW S151 Officer	Tel No. 01437 775836 E. Mail: haswellj@pembrokeshire.gov.uk

EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
17 JULY 2017

ERW Statement of Accounts for 2016-17

BRIEF SUMMARY OF PURPOSE OF REPORT

(a)   The Joint Committee review the ERW Statement of Accounts for 2016-17 and consider the WAO Audit of Financial Statements Report and Audit Opinion (ISA260).

(b)   The ERW Statement of Accounts for 2016-17 be approved and signed by the ERW S151 Officer and the Chair of the Joint Committee.

DETAILED REPORT ATTACHED?	YES

IMPLICATIONS

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

1. **Legal**

   As detailed in the report - Statutory requirement to approve the ERW Statement of Accounts for 2016-17 by 30 September 2017.

2. **Finance**

   As detailed in the report.

3. **Risk Management**

   As detailed in the report.

CONSULTATIONS

ERW Statement of Accounts for 2016-17 were available for public inspection for 20 working days ending on 30 June 2017.

Section 100D Local Government Act, 1972 – Access to Information List of Background Papers used in the preparation of this report: THESE ARE DETAILED BELOW		
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ERW Statement of Accounts for 2016-17

Director of Finance (ERW S151 Officer)

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

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

REVIEW OF ERW STATEMENT OF ACCOUNTS for 2016-17

1.   The Joint Committee aimed to publish its draft 2016-17 Statement of Accounts by 31 May 2017 and have them audited and approved by 31 July 2017. The deadlines required by the Accounts and Audit (Wales) Regulations 2014 were 30 June 2017 and 30 September 2017 respectively.

2.   The Budget Outturn Monitoring Report for 2016-17 was considered by the Joint Committee on 20 February 2017. The draft Statement of Accounts for 2016-17, copy attached as an Appendix, were published on 5 June 2017 and 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 (ISA260) by the time of the Joint Committee meeting on 17 July 2017.

3.   The Joint Committee need to review and formally approve the Statement of Accounts for 2016-17.

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 key statements within the Statement of Accounts, namely the Expenditure and Funding Analysis, Comprehensive Income & Expenditure Statement (CIES), Movement in Reserves Statement and the Balance Sheet.

        Further details on these and other statements within the Statement of Accounts for 2016-17 are outlined below:

        • **Narrative Report** (The Explanatory Foreword in previous years) – The purpose of the Narrative Report is to provide a commentary on the Statement of Accounts. It includes an explanation of key events and their effect on the Statement of Accounts.

        • **Expenditure and Funding Analysis** (Categorised as a core financial statement for 2016-17) – This statement 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 the Authority in accordance with generally accepted accounting practices (IFRS basis).

2

- **Comprehensive Income and Expenditure Statement (CIES)** – The CIES reports on how ERW performed during the year and whether its operations resulted in a surplus or deficit. It shows the economic cost in the year of providing services. It analyses ERW's day to day expenditure on the basis of the Cipfa Service Reporting Code of Practice (SeRCOP) groupings (including future pension costs etc.) on the basis of organisational structure.

- **Movement in Reserves Statement** – Reserves represent ERW's net worth and show its spending power. They are analysed into two categories, usable and unusable.

- **Balance Sheet** – The balance sheet is a "snapshot" of ERW's financial position at a specific point in time, showing what it owns (assets) and owes (liabilities) at 31 March.

- **Cash Flow Statement** – This sets out ERW's cash receipts and payments during the year, analysing them into operating, investing and financing activities.

6.   The Joint Committee review of the Statement of Accounts for 2016-17 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.

The standards introduced in the 2017-18 Code that are relevant are:

- Amendments to IFRS 10 Consolidated Financial Statements
- IFRS 12 Disclosure of Interests in Other Entities

The impact of the above changes is unlikely to be material but will result in some presentational changes and these will be disclosed in the 2017-18 Statement of Accounts.

The Statement of Accounts for 2016-17 have been prepared in compliance with the Code of Practice on Local Authority Accounting for 2016-17.

(b)   **Accounting Concepts**

The following pervasive accounting concepts have been used in the preparation of the Core Accounting Statements:

- Accruals
- Going concern

The qualitative characteristics of financial information continue to be employed:

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

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

In applying the accounting policies set out in the Statement of Accounts for 2016-17, the Joint Committee has made judgements about the complex transactions and those involving uncertainty in future years.

Although there is a high degree of uncertainty about the future level of funding for local government, to date Education has been a priority for the Welsh Government. Therefore, while some grants may be reduced and given the small number of employees directly employed by ERW, there is insufficient evidence to conclude that the Joint Committee activities will be severely impaired or reduced in future years.

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 tables:

Issues appertaining to items in the current Statement 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 Statement of 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	Decisions not made in timely manner	Delay in improvements Budget over/under spends & 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

Issues potentially impacting the Statement of Accounts in the future:		
Item	**Risk**	**Potential Affect**
Welsh Language Standard	Assumption incorrect	Increased service & contractual costs
Wellbeing of Future Generations Act	Act not considered in decision making	Cost of corrective action
Grant funding withheld by Welsh Government	ERW not adhering to regional nature of grant conditions	Schools do not access the support required

(d)   **Accounting Policies**

The accounting policies used to prepare the Core Accounting Statements, the Supporting Notes and Supplementary Financial Statements have been reviewed using the Code for 2016-17.

(e)   **Internal Control Issues**

The ERW Head of Internal Audit Annual Assurance Opinion for 2016-17, to be considered by the Joint Committee on 17 July 2017, confirms that there are no significant internal control issues which would impact upon the Statement of Accounts for 2016-17.

(f)   **Wales Audit Office**

The Wales Audit Office have commenced their audit of the Statement of Accounts for 2016-17 and should be in a position to issue their Audit of Financial Statements Report and Audit Opinion (ISA 260) by the time of the Joint Committee meeting on 17 July 2017.

7.   The Director of Finance (ERW S151 Officer) and Head of Finance & Business Services (ERW Deputy S151 Officer) will support the Joint Committee at the meeting in reviewing the Statement of Accounts for 2016-17 and the specific matters highlighted above.

8.   **RECOMMENDATIONS**

(a)   The Joint Committee review the ERW Statement of Accounts for 2016-17 and consider the WAO Audit of Financial Statements Report and Audit Opinion (ISA260).

(b)   The ERW Statement of Accounts for 2016-17 be approved and signed.

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ERW JOINT COMMITTEE
17 JULY 2017

ERW Financial Update – Quarter 1 2017-18
Purpose: To inform the ERW Joint Committee of the updated financial position for the year 2017-18.
RECOMMENDATIONS / KEY DECISIONS REQUIRED: **Approve the revised budget and medium term financial position.**
REASONS: To obtain approval of the Joint Committee

Report Author: **Jon Haswell**	**Designation:** **ERW S151 Officer**	**Tel No. 01437 775836** **E. Mail:** **haswellj@pembrokeshire.gov.uk**

EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
17 JULY 2017

ERW Financial Update – Quarter 1 2017-18

BRIEF SUMMARY OF PURPOSE OF REPORT

Provides an updated budget for 2017-18 financial year.

Provides draft indicative budgets for 2018-19 and 2019-20 financial years.

Provides information on the reserves available to the ERW region over the next 3 years.

Provides information on the expected level of Welsh Government grant funding for the 2017-18 financial year.

Provides information on the number, roles and cost of seconded staff from the constituent local Authorities.

DETAILED REPORT ATTACHED?	YES

IMPLICATIONS

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

1. **Finance**   **As detailed in the report**
2. **Risk Management**   **As detailed in the report**
3. **Staffing Implications**   **As detailed in the report**

CONSULTATIONS

Considered by the ERW Executive Board on 30 June 2017.

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**

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ERW Financial Update
Quarter 1 - 2017-18

June 2017

ERW S151 Officer

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

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

1. Introduction

This report has been considered by the ERW Executive Board and provides the Joint Committee with a financial update as at Quarter 1 - 2017-18.

2. 2017-18 Central Team Revenue Budget

The 2017-18 Central Team revenue budget was approved by the Joint Committee at its meeting on 20 February 2017. While we need to limit the number of budget amendments during the year, reality and changing circumstances will inevitable mean that revisions will be needed as we respond to changes in funding from Welsh Government.

The Outturn report for 2016-17 has resulted in an additional £70k of resources being transferred to reserves. Full movement of reserves is shown at point 4.

The current position as at Quarter 1 is shown in the table on the next page and is effectively an updated projected Outturn position for 2017-18 based on current information and projections, and will be reported to the Joint Committee on the 17 July 2017 for approval. The table also shows draft indicative budgets for 2018-19 and 2019-20.

Key changes are:-

- A £38k increase in central team salary costs, due to the additional cost of the Head of Leadership.

- An additional £9k of accommodation costs, due to recognising the need to hire more rooms for training due to staffing requirements in current accommodation.

- A £26k reduction in stationery and translation costs, due to grant eligibility.

- Additional costs of £44k in relation to the systems development of Rhwyd and Dolen are due to the improved information and system used to support school improvement.

- Additional SLA costs of £55k, due to Local Authorities based on full cost recharge for the services they provide to ERW. This represents a fairer appreciation of the costs of administrating the region. The final costs for the Procurement SLA are not available. The individual SLA's are as follows:-

2

	£000's
Procurement	TBA
Human Resources & Payroll	10
Internal Audit	20
Finance	32
Information Technology	23
Communications	23
Democratic Services	2
Scrutiny	5
Wales Audit Office Audit of Accounts	13
	128

Additionally the following Statutory Officers time is provided free of charge:

- Lead Chief Executive Officer
- Lead Education Director
- Finance S151 Officer
- Monitoring Officer

- An £8k reduction in grant income.

- It is anticipated that £326k of central costs will be recoverable from various grant funding sources in 2017-18.

The planned use of reserves for 2017-18 is £145k, a reduction of £49k.

ANNUAL EXPENDITURE CORE CENTRAL TEAM BUDGET	2017-18 Approved Budget February 2017 £000's	2017-18 Projected Outturn Budget As at June 2017 £000's	2018-19 Draft Budget £000's	2019-20 Draft Budget £000's
1. STAFFING COSTS				
Salaries	439	477	483	488
Travel, Subsistence, Training & Development	5	4	4	4
	444	**481**	**487**	**492**
2. RUNNING COSTS				
Accommodation	33	42	42	43
Stationery/Telephone/Printing/Copying/Equipment/IT	21	10	10	11
Translation	35	20	20	21
Conference Support/Programme Costs	0	0	0	0
Rhwyd and Dolen Developments	0	44	44	44
	89	**116**	**116**	**119**
3. FACILITATION				
Service Level Agreements	73	128	129	130
	73	**128**	**129**	**130**
TOTAL ESTIMATED EXPENDITURE	**606**	**725**	**732**	**741**
ANNUAL INCOME				
Local Authority Contributions	250	250	250	250
Other Income/Grants	12	4	4	4
Grant Funding Administration	150	326	330	334
TOTAL ESTIMATED INCOME	**412**	**580**	**584**	**588**
NET EXPENDITURE	**194**	**145**	**148**	**153**
Appropriation from Reserve	**(194)**	**(145)**	**(148)**	**(153)**

3. 2017-18 Grant Allocations

(a) The Joint Committee was advised at its meeting on 20 February 2017 of grant allocations for 2017-18 totalling £64,602k. The grant allocations have now increased to £68,078k as shown in the table below. However many are indicative figures where offer letters and full terms and conditions have not been received. The level of uncertainty surrounding significant amounts of funding well into the first quarter of the financial year is very unsatisfactory and a significant risk to the region and the education system as a whole and can only be detrimental to the effort of raising standards.

4

Grant Name	2017-18 Allocation February 2017 £000	2017-18 Revised Allocation June 2017 £000	Commentary
Education Improvement Grant (EIG) & extended EIG	37,752	38,712	Grant offer letter received for most of the funding
Pupil Deprivation Grant	22,758	23,911	Grant offer letter received
Schools Challenge Cymru – Tranche 3	39	21	End of Programme funding to end of academic year 2016-17
ALN Innovation	360	300	Offer Letter received
Leadership	2,000	408	
Successful Futures	1,000	2,476	Offer Letter received
Digital Skills	-	87	
Learning in Digital Wales CPD	142	142	Offer Letter received
Modern Foreign Language	120	-	
NPQH	200	233	Amount dependant on new head teacher appointment
Welsh Baccalaureate	15	15	Carry over funding from last year
Oracy Scheme for Wales	-	204	
Literacy & Numeracy	100	-	
Informal Use of Welsh	91	243	
Graduate Teacher Programme (GTP)	-	50	
Literacy, Numeracy & MFL	-	-	
National Network of Excellence for Science and Technology and maths	-	255	
Foundation phase network	-	50	
Digital Competence – Professional learning Offer	-	107	Offer Letter received
Clusters of Learning	-	378	
HLTA	-	210	
Cross regional Working	25	216	
Research and evaluation	-	60	
	-	-	
Total	**64,602**	**68,078**	

At the time of writing this report it should be noted that final instalments of two significant Welsh Government grants remained unpaid for 2016-17, totalling £2.625m, with a further £0.534m only being paid in June 2017.

This puts additional financial pressure on lead banker for the region, at a time when Local Authorities are under increasing financial pressure.

(b) Seconded Staff

Appendix A lists the current seconded staff ERW is committed to paying for, totalling £1.788m, which are to be funded from the grants listed above. The number of seconded staff is expected to increase this year as the cluster leaders of learning model is rolled out. Estimated costs for this year are £1.246m with a further commitment to fund £2m next year. The full academic cost of providing 50 clusters of learning is £3.250m. Final grant funding allocations need to be agreed before the Joint Committee in July 2017 to allow the project to commence in September 2017.

4. Reserves

The table below shows the implications on the Reserves from April 2016 and last year's movements, resulting in total reserves of £ 542k. However the effect of the next three years budgets will result in the reserves being depleted by £446k leaving just £96k in the working reserve for unforeseen events. Clearly this is unsustainable and will need to be addressed during next budget setting cycle.

Useable Reserves		General Reserve	Working Reserve	Total Reserves
Balance	1 April 2016	472		472
2016-17	from revenue	70		70
	transfer	-100	100	0
Balance	31 March 2017	442	100	542
2017-18				
	To Revenue	-145		-145
Balance	31 March 2018	297	100	397
2018-19	To Revenue	-148		-148
Balance	31 March 2019	149	100	249
2019-20	To Revenue	-149	-4	-153
Balance	31 March 2020	0	96	96

5.   Recommendations

- The Joint Committee note the ERW Financial Update Quarter 1 2017-18.

- The Joint Committee approve the changes to the ERW Central Team Revenue Budget and ERW reserves for 2017-18 and future years.

- The Joint Committee note the significant amount of grant income the region is to receive this financial year but expresses concern that final offer letters remain outstanding.

- The Joint Committee note the significant risk to the region given the uncertainty that continues to surround the approval of several grant funding streams.

- The Joint Committee note the significant risk to the region given the amount of core funding it receives and the effect on the regions reserves over the medium term.

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Draft Budget for Secondments for 17/18

	£
Leadership	267,000
School Improvement	81,000
Teaching & Learning	841,000
Support	124,000
Cluster	186,000
Total	**1,499,000**

Cluster Leaders Of Learning

50 Clusters across the region at an estimated £65k cost per cluster

20 starting in September	758,333
30 starting in September	487,500
Total budgeted cost 17-18	**1,245,833**

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ERW JOINT COMMITTEE
17 JULY 2017

ERW Consortium Head of Internal Audit Annual Assurance Opinion 2016-17

Purpose: To provide the Joint Committee with the Head of Internal Audit annual assurance opinion on the effectiveness of ERW's governance, internal control, risk management and financial management arrangements.

RECOMMENDATIONS / KEY DECISIONS REQUIRED:

To note the Head of Internal Audit Annual Assurance Opinion 2016-17.

REASONS: To assist ERW to inform its Annual Governance Statement.

Report Author: **Jo Hendy**	Designation: **Head of Internal Audit**	**Tel No. 01437 776213** **E. Mail:** **Joanne.hendy@pembrokeshire.gov.uk**

EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
17 JULY 2017

ERW Consortium Head of Internal Audit Annual Assurance Opinion 2016-17

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	Legal	Finance	Risk Management Issues	Staffing Implications
NONE	**NONE**	**YES**	**YES**	**NONE**

1. **Finance**

   Section 4 within the report highlights the need for the business plan to be aligned to the financial model to enable effective planning within available resources.
   This should be considered a Priority for Improvement in the Annual Governance Statement.

2. **Risk Management**

   Section 4 within the report states that the risk management arrangements need to be strengthened. This should be considered as a Priority for Improvement in the Annual Governance Statement.

CONSULTATIONS

N/A

Section 100D Local Government Act, 1972 – Access to Information		
List of Background Papers used in the preparation of this report:		
THESE ARE DETAILED BELOW		
Title of Document	**File Ref No.**	**Locations that the papers are available for public inspection**
N/A	N/A	N/A

EDUCATION THROUGH REGIONAL WORKING (ERW)

Head of Internal Audit Annual Assurance Opinion 2016-17

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 2016-17

2.1   The Internal Audit Plan for 2016-17 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 2 November 2016.

2.2   The Internal Audit Plan for 2016-17 consisted of the following:

- Follow-up of Previous Recommendations
- Governance Arrangements
- Grant Funding Arrangements and Financial Management
- Support to Schools
- Planning and Strategy Development

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 2016-17, and agreement by management to implement the recommendations made following audit reviews, it is my opinion that overall, subject to variation between areas audited and the need for further improvement and development in some areas, generally substantial assurance can be given on the effectiveness of governance, internal control, risk management and financial management arrangements in place.

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   Our quality assurance and improvement programme has confirmed compliance with the mandatory requirements of the Public Sector Internal Audit Standards.

4.3   Substantial assurance was given on the adequacy and effectiveness of arrangements in place. Whilst no significant governance issues were identified, opportunities for improvement with the governance and risk management arrangements, school support and aligning the business plan to funding, should be considered as priorities for improvement in the Annual Governance Statement.

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ERW JOINT COMMITTEE
17.07.17

ERW Consortium Annual Governance Statement 2016-17

Purpose: To provide the Joint Committee with the findings from the annual review of Governance arrangements for the ERW Consortium for 2016-17.

RECOMMENDATIONS / KEY DECISIONS REQUIRED:

To approve the Annual Governance Statement 2016-17.

REASONS: Statutory requirement.

Report Author: Jo Hendy	Designation: Head of Internal Audit	Tel No. 01437 776213 E. Mail: Joanne.hendy@pembrokeshire.gov.uk

EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
17 JULY 2017

ERW Consortium Annual Governance Statement 2016-17

BRIEF SUMMARY OF PURPOSE OF REPORT

To provide the Joint Committee with the findings from the annual review of Governance arrangements 2016-17 for the ERW Consortium and to agree the Priorities for Improvement.

DETAILED REPORT ATTACHED?	YES

IMPLICATIONS

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

1. **Legal**

   The review and update of ERW's Legal Agreement has been included as a Priority for Improvement.

2. **Finance**

   ERW is heavily dependent on grant funding from Welsh Government. Delays in Welsh Government confirming funding for 2017-18 presents difficulties in meaningful business planning. There has also been delays in paying grant funding from the previous year which has led to financial pressure on the Lead Banker.

   Currently the ERW Business Plan is not aligned to the financial model, this presents concerns over the achievability of the plan within existing resources.

CONSULTATIONS

N/A

Section 100D Local Government Act, 1972 – Access to Information		
List of Background Papers used in the preparation of this report:		
THESE ARE DETAILED BELOW		
Title of Document	**File Ref No.**	**Locations that the papers are available for public inspection**

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ERW

Ein Rhanbarth ar Waith
Education through Regional Working

Datganiad Llywodraethu Blynyddol 2016-17

Annual Governance Statement 2016-17

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.

Swansea Abertawe

Introduction

ERW is an alliance of six local authorities governed by a legally constituted Joint Committee. ERW provides a single integrated regional professional school effectiveness service driving school improvement and learner achievement across the combined area of six local authorities in the South West and Mid Wales region within three hubs:

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

Vision

"consistently high performing school network across the region with every school offering high standards of teaching under good leadership resulting in all learners achieving their maximum potential"

Mission Statement

"build school capacity through support, challenge and intervention to become self-improving, resilient organisations which continually improve outcomes for learners"

Review of Governance Arrangements

What is Governance?

ERW is responsible for ensuring that its business is conducted in accordance with laws, regulations and its ethical standards. The governance framework is the process, culture, values and systems by which this is achieved.

To deliver good governance in local government, both ERW and its Officers must try to achieve ERW's objectives whilst acting in the public interest at all times. Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

The next two pages outline the Business Planning Cycle and the Governance Structure in place to monitor and provide challenge to the delivery of intended outcomes.

Planning and Evaluation Cycle

Review

Planning

Review + Strategy
Joint Committee

Evaluate
Executive Board

Strategy
Erw + LA Level 1
Executive Board

Review
Level 2
Priority Boards

Operational Effectiveness

Teaching and Learning

School Improvement

Leading Learning

Support Learning

Planning
Level 2
Priority Boards

Operational Effectiveness

Teaching and Learning

Leading Learning

School Improvement

Support Learning

Implementation
Level 3
Workstreams

The Governance and Accountability Process

Review + Strategy
Joint Committee

Evaluate
Executive Board

Strategy
Erw + LA Level 1
Executive Board

Review
Level 2
Priority Boards

Implementation
Level 3
Workstreams

Planning
Level 2
Priority Boards
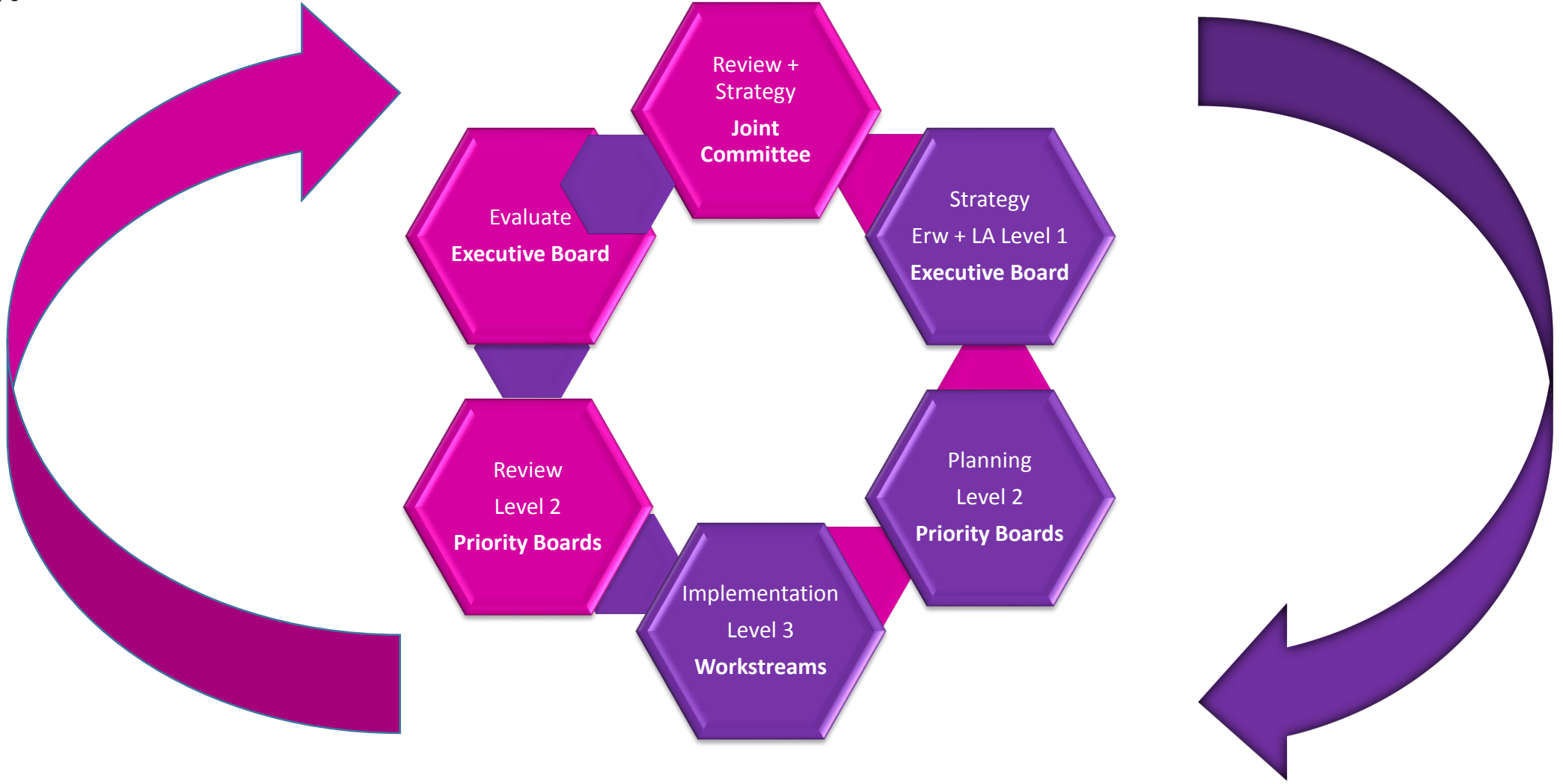
Governance Framework

ERW Business Plan

A three year Business Plan is in place to support the collective priorities and actions for the ERW Consortium. The Business Plan is reviewed and updated on an annual basis.   The Business Plan 2016-2019 explains how ERW will enhance and develop the National Model of School Improvement and deliver the Minister's priorities in 'Qualified for Life'.

Joint Committee

The Joint Committee is made up of the six Local Authority Leaders supported by the six Chief Executives and is advised by the Executive Board, Statutory Officers, external school improvement experts and Headteacher representatives. Internal Audit and Wales Audit Office report independently to the Joint Committee.

Executive Board

The Executive Board is made up of the Directors of Education of each of the six local authorities, the Managing Director, the Section 151 Officer and external members.

Scrutiny

All workstreams and activity both locally and regionally are led by the Joint Committee and are accountable locally. The Chairs and Vice Chairs of the six local authorities' Education Scrutiny Committees meet bi-annually as a Scrutiny Group to consider scrutiny work plans and make requests directly to the Joint Committee.

Headteacher Representative Board

The Headteacher Representative Board is made up of the Chair or Representative of each Headteacher association in the six local authorities. Its aim is to act as a reference point to ERW in terms of its interface with school leaders.

Statutory Officers

Statutory roles are divided across the Local Authorities.   Statutory Officers during 2016-17:
Lead Chief Executive Officer – Mark James, Carmarthenshire County Council
Lead Education Director – Aled Evans, Neath Port Talbot County Borough Council
Section 151 Officer – Jon Haswell, Pembrokeshire County Council
Monitoring Officer – Elin Prysor, Ceredigion County Council

Internal Audit

Pembrokeshire County Council, as the Lead Authority for Finance, provides the Internal Audit Service to ERW. The role of Internal Audit is to provide independent assurance on the effectiveness of governance, internal control, financial management and risk management arrangements in place. In accordance with the Public Sector Internal Audit Standards a risk-based plan of work was agreed with the Section 151 Officer and the Managing Director and was approved by the Joint Committee in November 2016. The Head of Internal Audit's Annual Opinion concluded that overall, subject to variation between individual audit areas and the need for further improvement and development in some areas, generally substantial assurance can be given on the effectiveness of governance, internal control, financial management and risk management arrangements in place.

External Audit & Regulators

The Wales Audit Office are the appointed external auditors for ERW. Estyn provide an independent inspection and advice service on quality and standards in education and training provided in Wales. Estyn in association with Wales Audit Office published a report on the 'Quality of the School Improvement Services provided by the ERW Consortium' in September 2016.

Review of Effectiveness

ERW has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness for 2016-17 was informed by a self-assessment of compliance with the CIPFA Delivering Good Governance in Local Government Framework 2016, by the Managing Director. Additional assurance was provided from the Head of Internal Audit Annual Assurance Opinion based on the work undertaken by Internal Audit in 2016-17; the Estyn and Wales Audit Office Inspection Report September 2016, and the minutes from the ERW Joint Committee and Executive Board. The outcome of the review was circulated to ERW Statutory Officers for consideration and comment. The diagram on the next page outlines what assurance was required, what sources of assurance were available under the current Governance Structure, the sources of assurance provided and the areas for improvement identified.

There were no Significant Governance Issues identified, however there are a number of Priorities for Improvement. The action plan on page 8 provides further detail along with the actions planned and timescale for addressing.

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Review of ERW's Governance Arrangements for 2016-17

Assurance Required on

- Achievement of objectives;
- Adherence to ethical standards;
- Compliance with laws, regulations and internal policies & procedures;
- Standards of conduct and behaviour;
- Financial management, including achievement of value for money;
- Sustainability;
- Quality of service delivery;
- Management of risk;
- Accountability.

Sources of Assurance

- ERW Legal Agreement;
- Joint Committee;
- Executive Board;
- Scrutiny;
- Headteacher Representative Group;
- Policies;
- Business Plan & Strategies;
- Financial Plans;
- Internal Audit Reports;
- External & Regulator Reports;
- Self-Evaluation Report;
- Statutory Officers;
- HR policies and procedures;
- Impact Report;
- Value for Money Reviews;
- Risk Registers.

Assurance Received

- Estyn Inspection Report;
- Letter from Scrutiny;
- Internal Audit Report;
- Statement of Accounts;
- Head of Internal Audit Opinion;
- Joint Committee Minutes;
- Executive Board Minutes.

Areas for Improvement

- ERW's commitment to the latest CIPFA Good Governance Framework has not been defined;
- Grant Funding arrangements with Welsh Government;
- The Business Plan needs to be aligned to the financial model;
- Support delivered to schools is not consistently provided in line with need;

Priorities for Improvement 2016-17

Priority for Improvement	Action Planned	Timescale and Lead Officer
The Local Code of Corporate Governance for ERW needs to be re-written in line with the requirements of CIPFA's Delivering Good Governance in Local Government Framework 2016.	Draft revised Code of Corporate Governance	Managing Director October 2017
The ERW Legal Agreement, which would include details of the Service Level Agreements between ERW and respective authorities needs to be reviewed and updated.	Amendments and updates awaiting opportunity to be presented to Joint Committee	Managing Director. Dependant on advice of Lead Chief Exec
ERW is dependent on grant funding from Welsh Government. Delays in paying grant owed from 2016-17 has led to a financial pressure on the Lead Banker. There are also delays in Welsh Government confirming funding for 2017-18, which puts pressure on planning and achievability of the business plan. Any posts reliant on grant funding also represent a financial risk to ERW if the funding were to cease.	To continue to highlight in the Risk Register and make sure that the conversations with WG on these matters continue between MDs and WG Director of Education.	Managing Director ongoing
The ERW business plan should be aligned to the financial model of the Consortium to enable effective planning within available resources.	See above. It is currently not possible to completely align ERW BP with financial model.	Managing Director ongoing
Support delivered to schools by Challenge Advisers needs to be applied consistently in line with identified need and recorded so that the impact of support can be effectively measured.	Compliance and quality reporting to Exec Board is a standing agenda item. Each known compliance matter will be raised individually with relevant Director of Education. (Challenge Advisers and employed, deployed and performance managed by LAs)	Directors of Education September 2017

We are committed to implementing the improvements outlined above to enhance the achievement of our intended outcomes. We are satisfied that these steps will address areas of improvement identified by both out internal and external assurance providers.

Signed by Betsan O'Connor, ERW Managing Director

Date:

Signed by the Lead Chief Executive

Date:

Signed by the Chair of the Joint Committee

Date:

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ERW JOINT COMMITTEE
17 JULY 2017

ERW Consortium Internal Audit Report 2016-17
Purpose: To provide the Joint Committee with the findings from the Internal Audit review of the ERW Consortium for 2016-17.
RECOMMENDATIONS / KEY DECISIONS REQUIRED: **To note the final Internal Audit Report 2016-17.**
REASONS: To give assurance to the Joint Committee on the effectiveness of governance, internal control, risk management and financial management arrangements in place for the ERW Consortium.

Report Author: Jo Hendy	Designation: Head of Internal Audit	Tel No. 01437 776213 E. Mail: Joanne.hendy@pembrokeshire.gov.uk

EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
17 JULY 2017

ERW Consortium Internal Audit Report 2016-17

BRIEF SUMMARY OF PURPOSE OF REPORT

To give assurance to the Joint Committee on the effectiveness of governance, internal control, risk management and financial management arrangements in place for the ERW Consortium.

DETAILED REPORT ATTACHED?	YES

IMPLICATIONS

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

1. **Finance**

   Section 7 within the report action plan highlights two instances of non-compliance with Standing Orders. Section 9 within the report highlights the need for the business plan to be aligned to the financial model to enable effective planning within available resources.

2. **Risk Management**

   Section 6 within the report action plan identified areas for improvement with the Risk Management arrangements.

CONSULTATIONS

N/A

Section 100D Local Government Act, 1972 – Access to Information		
List of Background Papers used in the preparation of this report:		
THESE ARE DETAILED BELOW		
Title of Document	**File Ref No.**	**Locations that the papers are available for public inspection**
N/A	**N/A**	N/A

Internal Audit Service

PRIVATE AND CONFIDENTIAL

Education through Regional Working Consortium

Final Report

Audit No. 16135 (2016/17)

Current Assurance Rating 2016/17	Substantial
Previous Assurance Rating 2015/16	Substantial

Report issued to:	Betsan O'Connor, Managing Director
	Jon Haswell, ERW Section 151 Officer

Report copied to:	Aled Evans, Lead Director of Education
	Ian Eynon, Deputy Section 151 Officer

Auditor:	Charlotte Hodges, Audit Team Leader

Manager/Reviewer:	Jo Hendy, Governance, Assurance & Information Manager

Fieldwork complete:	30/03/17
Draft report issued:	21/04/17
Management comments:	18/05/17
Final report issued:	18/05/17

Education through Regional Working Consortium

This report may contain personal data as defined by the Data Protection Act 1998, which must be treated as strictly private and confidential.

1.0   Introduction

1.1   An audit review of the Education through Regional Working Consortium (ERW) has been carried out as part of the 2016/17 Internal Audit Plan, as agreed by the Joint Committee, the ERW Section 151 Officer and the Managing Director.

1.2   The scope of the 2016/17 audit included:

- Governance Arrangements;
- Grant Funding Arrangements and Financial Management;
- Support to Schools; and
- Planning and Strategy Development;

This scope was formally approved by the Joint Committee at their meeting on 2 November 2016.

2.0   Audit Objectives

2.1   To provide assurance to the Joint Committee, the Executive Board, the ERW Section 151 Officer and the Managing Director that the Education through Regional Working Consortium has adequate governance, internal control, risk management and financial management arrangements in place, which are operating effectively and assisting ERW to achieve its objectives.

2.2   To provide assurance that the 2015/16 recommendations have been implemented.

2.3   To identify areas of weakness and risk, good practice and opportunity.

3.0   Audit Methodology

3.1   We took an evidence based approach to our audit review using interviews with staff, review of supporting documentation and sample testing to arrive at our opinion.

3.2   Compilation of a formal internal audit report making recommendations for improvement and adding value to the Consortium.

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4.0   Audit Opinion and Assurance Statement[1]

4.1   We have identified a number of opportunities for improvement to the adequacy and effectiveness of existing arrangements, which if implemented, would both improve and add value to the Education through Regional Working Consortium.

4.2   Weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements in place for the Education through Regional Working Consortium were identified and these could have an impact on the ability of the Consortium to achieve its objectives. However, **Substantial assurance** can be given on the adequacy and effectiveness of the arrangements in place for the Education through Regional Working Consortium.

4.3   Key areas of weakness and risk, good practice and opportunity identified during the audit review are summarised below:

Governance Arrangements
- The majority of the recommendations agreed during the previous audit have been actioned, with 3 remaining as outstanding.
- Good progress has been made towards addressing the priorities for improvement identified within the 2015/16 Annual Governance Statement.
- A Post Estyn Inspection Action Plan has been developed and agreed by the Joint Committee, and progress is being made towards addressing these recommendations. In addition, an end of year update, indicating the level of progress against each recommendation has also been documented.
- The articulation and scoring of risks within the registers has progressed but requires further improvement.

Grant Funding Arrangements and Financial Management
- Processes have been put in place to obtain assurance from each Local Authority that expenditure was made in accordance with the terms and conditions of the 2015/16 Pupil Deprivation Grant and the 2015/16 Education Improvement Grant.
- There are occasions where Standing Orders for Contracts have not been complied with for high value supplies and services procured with grant funding.

Support to Schools
- A clear strategy has been established detailing support which will be provided to schools and instruction has been issued to all Local Authorities that this strategy should be complied with.
- However support agreed by Challenge Advisers following Core Visit 1 2015, was not always in line with the recommendations made/areas for improvement identified. Further improvement is also required to ensure targeted, concise recommendations are made.
- Support delivered by Challenge Advisers was not always in line with the support package agreed as part of the Core Visit, with variations also identified between the support entitlement and the number of days actually delivered.

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[1] A definition of the Assurance Ratings are shown at Appendix C

- School to School support is developing within the Region, with approximately 20% of support currently delivered through this means.
- There is a clear strategy detailing support provided to Schools Causing Concern.
- Schools Causing Concern are discussed at Strategy meetings, with updates provided to the Executive Board.
- Detailed monitoring of support provided is undertaken, however, as Local Authority action/improvement plans are not consistently received by the ERW Central Team it is difficult to determine whether the support is being targeted correctly to fully aid improvement within these schools.

Planning and Strategy Development

- The business plan has been further developed for 2017-20 to include both Regional and Local priorities, however the business plan is not currently aligned to the financial model of the Region.

4.4 The arrangements reviewed and tested and an opinion as to their adequacy and effectiveness are shown in tabular format (Action Plan) at Appendix A, along with the weaknesses and risks, good practice and opportunities identified during the audit review, comments and consequences and recommendations for improvement.

4.5 Prompt action to implement these recommendations will improve the adequacy and effectiveness of the existing governance, internal control, risk management and financial management arrangements for the Education through Regional Working Consortium and assist it to achieve its objectives.

4.6 A summary of the Action Plan is shown in the table below:

Expected Arrangements (Controls)		Adequate & Effective[2]	Recommendations[3]						
			A1	A2	B1	A3	B2	C1	Other
6	Governance Arrangements	✓	0	1	3	0	0	1	0
7	Grant Funding Arrangements and Financial Management	✓	0	0	1	0	0	0	1
8	Support to Schools	✗	0	0	2	0	2	2	1
9	Planning and Strategy Development	✓	0	0	1	0	0	0	0
Total			0	1	7	0	2	3	2

[2] A definition of the Adequate & Effective ratings are shown at Appendix C
[3] A definition of the Recommendation Gradings are shown at Appendix C

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3

5.0 Acknowledgement

5.1 It should be noted that all testing undertaken as part of this audit review was on a sample basis and therefore the results should be considered in this context.

5.2 We would like to thank all staff involved for their co-operation during the audit review. If the Internal Audit Service can be of any further assistance, please contact:

Charlotte Hodges, Audit Team Leader (extension 5899)

Jo Hendy, Governance, Assurance & Information Manager (extension 6213).

ACTION PLAN

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
6	**Governance Arrangements**				
6.1	Accepted recommendations from the previous audit have been actioned.	✓	There were 31 recommendations made and accepted following the 2015/16 Internal Audit review. Of those recommendations 27 have been actioned in full, 1 has been actioned in part and 3 are outstanding: Risk Management • Risks generally only record the event and are still not fully articulated to also describe the consequence and impact of the event. • There continues to be discrepancies with the scoring of risks within the risk registers, although these are reducing. Compliance with Ladder of Support • It was reinforced to Challenge Advisers that the support entitlement should include the Core Visits. However, testing identified that this is not complied with in all instances (37% from a sample of 30 schools). *(Cont…)*	a. Risks within the ERW risk register should be articulated clearly to allow the event, consequence and impact to be defined. **Grade: B1**	a. **Acceptance:** Accepted **Management Response:** Capacity in the Region's Central Team is very limited. These aspects are coordinated by a new member of staff due to a longer period of illness by a member of staff. Due to no backfill capacity – there was no capacity to coordinate the work of Heads of Hub – who facilitate the updating of the register. Training will now be available for a new staff member to upgrade and correct the use of language by LA employed officers. **Timescale for Action:** July 2017 **Responsible Officer:** Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
6.1 (Cont)			Funding Arrangements and Outcomes • An invoice relating to eligible expenditure for the 2014/15 14-19 Learning Pathways Grant has still not been received from Ceredigion (Ysgol Bro Pedr).	b. The scoring methodology should be consistently applied for all risks recorded within the ERW risk registers. **Grade: C1**	b. **Acceptance:** Accepted **Management Response:** Capacity in the Region's Central Team is very limited. These aspects are coordinated by a new member of staff due to a longer period of illness by a member of staff. Due to no backfill capacity – there was no capacity to coordinate the work of Heads of Hub – how facilitate the updating of the register. Training will now be available for a new staff member to upgrade and correct the use of language by LA employed officers. **Timescale for Action:** July 2017 **Responsible Officer:** Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
6.1 (Cont)				c. It should be reinforced with all Challenge Advisers that the core entitlement of four days is in compliance with the Ladder of Support. **Grade: B1**	c. **Acceptance:** Rejected **Management Response:** Training and guidance have been provided however as the management of LA employed Challenge Advisers is not a regional responsibility no further action is possible without LA acceptance. The Section 151 Officer commented could the Executive Board accept this action. **Timescale for Action:** N/A **Responsible Officer:** N/A
				d. If the invoice for £1,591 has not been received, then it should not be claimed and it will need to be determined whether the grant claim needs to be adjusted or whether the under claimed elements offset this amount. **Grade: B1**	d. **Acceptance:** Accepted **Management Response:** This invoice has now been received. **Timescale for Action:** Completed **Responsible Officer:** Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
6.2	Priorities for improvement identified within the 2015/16 Annual Governance Statement have been addressed.	✓	There were eight priorities for improvement detailed within the 2015/16 Annual Governance Statement. Discussion with the Managing Director confirmed that good progress is being made to address these priorities for improvement, although further work continues to be required to strengthen ERW's risk registers (refer to Section 6.1) and the Code of Corporate Governance requires updating to ensure compliance with the "Delivering Good Governance in Local Government: Framework (2016 Edition). Capacity to complete this task can be provided by Pembrokeshire County Council, however this will incur a cost.	The Code of Corporate Governance should be updated to ensure it reflects the principles contained within CIPFA's Delivering Good Governance in Local Government: Framework (2016 Edition). **Grade: A2**	**Acceptance:** Partially Accepted **Management Response:** Whilst this is a requirement the capacity to undertake additional work is not within the ERW Central Team at present. New temporary appointments have been made. **Timescale for Action:** September 2017 **Responsible Officer:** Managing Director
6.3	A Post Estyn Inspection Action Plan has been developed and agreed by the Joint Committee, and progress is being made towards addressing the recommendations.	✓	A Post Inspection Action Plan (PIAP) was developed following receipt of the 2016 Estyn report. The PIAP was approved by the Joint Committee on 2 November 2016, with updates on progress being provided at each meeting of the Executive Board. An end of year report has also been completed, detailing the level of progress against each recommendation. *(Cont…)*	-	-

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
6.3 (Cont)			The Managing Director stated that this would be presented to the next meeting of the Executive Board.		
7	**Financial Management and Grant Funding Arrangements**				
7.1	Terms and conditions of the 2015/16 Pupil Deprivation Grant and Early Years Pupil Deprivation Grant were complied with and there were no limitations in assurance provided.	✓	Assurance was provided from the 6 Local Authorities that the Terms and Conditions of the 2015/16 Pupil Deprivation Grant and Early Years Pupil Deprivation Grant were complied with and there was no limitations in the assurance they provided.	-	-
7.2	Terms and conditions of the 2015/16 Education Improvement Grant were complied with and there were no limitations in assurance provided.	✓	A process was established (and was followed in practice) whereby each Internal Audit section within the ERW Region were requested to provide assurance that the Education Improvement Grant had been utilised effectively within their Authority. It was confirmed that grant claims were submitted on a timely basis and in accordance with the terms and conditions of the grant, although delays were identified in the submission of the quarter 1 2015/16 and quarter 2 2015/16 claims to the Welsh Government. *(Cont…)*		

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.2 (Cont)			Authorities raised a small number of weaknesses in their quarterly Grant Claim Forms and/or Audit Checklist & Testing Schedules, but the majority were resolved by year end. There was a recurring issue across the majority of Authorities around the lack of consistency in the completion of and detail recorded within spending plans/school development plans, including: • schools not showing clear links between their spending plans and the outcomes expected, • schools not including quantifiable outcomes and • spending plans not entirely matching expenditure/not including all elements of EIG funding and how the grant was to be spent. A sample of 40 transactions of central ERW EIG spend was reviewed with supporting documentation was evident for each transaction.	ERW should ensure that each Authority and school are aware of their requirements in terms of producing spending plans which include quantifiable outcomes, show clear links to the outcomes expected, match the expenditure, and include all elements of EIG funding and how the grant is to be spent. **Grade: C2**	**Acceptance:** Partially Accepted **Management Response:** ERW has given clear guidance to all LA's. This is not consistently followed. There are 6 different expectations on schools (from each LA) and this can conflict with advice from ERW. ERW will add a section on finance to capture all regional funding to Rhwyd for CV1. **Timescale for Action:** September 2017 **Responsible Officer:** Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.3	There is compliance with Financial Regulations and Standing Orders for relevant expenditure through grant funding.	✘	Review of the financial ledger identified two instances where the Standing Orders adopted by ERW have not been complied with in respect of expenditure from grant funding during the 2016/17 financial year. (One supplier received payments in excess of £50,000, with a further supplier receiving payments exceeding £50,000 when the total aggregate value over the whole contract period is taken into account). There was no evidence of a tendering process, contracts or exceptions to standing orders being in place for these suppliers at the time of the audit. There is another supplier who may also receive payments in excess of £50,000 (current value £44,358). Similar to the above, there is no evidence of a tendering process, a contract or an exception to tendering being in place for this supplier. *(Cont…)*	It is imperative that Standing Orders are complied with for all instances where individual or aggregate payments to suppliers exceeds £50,000 and that the spirit of the Standing Orders are followed for all individual or aggregate payments above the value of £5,000 and below £50,000. **Grade: B1**	**Acceptance:** Partially Accepted **Management Response:** Exceptions to tendering are now in place. Since March 2017 ERW has appointed a Senior Accountant to oversee this work. **Timescale for Action:** August 2017 **Responsible Officer:** Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
7.3 (Cont)			Three further payments in excess of £50,000 were also reviewed, with evidence provided of the tender process for one occurrence. Assurance was provided by the Managing Director that tenders were sought for one further occurrence and an exception to tendering was completed for the third, and that agreement was obtained within the Directors meeting for these purchases. Evidence was not received by Internal Audit to confirm this however.		

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8	**Support to Schools**				
8.1	A clear strategy has been established detailing support which will be provided to schools.	✓	ERW have developed a 'Self Improving System Strategy 2015 – 2018", with a purpose of supporting the development of a high quality self improving system throughout the region. The strategy has three overarching aims and includes success criteria. In addition to this, ERW undertook a 'Review of Progress in Developing a Self Improving School System" in March 2016, which specifically focussed on the first aim: To build an effective and efficient infrastructure around which to build a self improving and sustainable model. Under the strategy, School to School work takes many guises, including Triad programmes, Partnerships, Extended Schools Challenge Cymru and Professional Learning Schools. The Ladder of Support developed by ERW further supports this, by clearly stipulating the support entitlement schools should receive.	-	-

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No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.2	Support agreed following Core Visit 1 2015, was in line with the recommendations made/areas for improvement identified.	✓	A sample of 30 schools was selected for review (3 primary and 2 secondary from each local authority in the Region). Testing identified that whilst for just over half of the sample (17 from 30 schools) there were no issues arising, the following was noted: • 9 schools where the support offered/agreed did not match the recommendations/areas for improvement identified; • 2 schools where support packages were not detailed in the Rhwyd extract provided to Internal Audit; and • 2 schools where there were a significant number of recommendations/areas for improvement detailed. Consequently it was not possible for the support package to cover all these areas. This review also identified that the recommendations made by Challenge Advisers as part of the Core Visits are not always succinct, leading to difficulties in determining what the actual recommendation/area for improvement is and respective support should be. *(Cont…)*	a. Targeted, concise recommendations/areas for improvement should be recorded by Challenge Advisers following a Core Visit to ensure the support package can be accurately designed. **Grade: C1**	a. **Acceptance:** Accepted **Management Response:** The content of this report will be shared with the employing LA's of every Challenge Advisers. The performance of individual Challenge Advisers is a cause for concern and raised by the ERW Central Team with the Directors of employing LA's regularly. Limited action has led to a pilot with one Authority to identify non-compliance against national standards. **Timescale for Action:** June 2017 **Responsible Officer:** Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.2 (Cont)			'Continue to..' recommendations/areas for improvement were also identified. Such recommendations do not necessarily lead to further improvements within schools or assist the school to move along the school improvement continuum. A member of the ERW Central Team stated that training has been provided to Challenge Advisers by the ERW Central Team on writing 'SMART' recommendations, however, it had been identified that this is not being fully complied with by Challenge Advisers.	b. The support package brokered by Challenge Advisers following Core Visits should directly relate to the recommendations made/areas for improvement identified as a result of the Core Visit. **Grade: C1**	b. **Acceptance:** Accepted **Management Response:** The content of this report will be shared with the employing LA's of every Challenge Advisers. The performance of individual Challenge Advisers is a cause for concern and raised by the ERW Central Team with the Directors of employing LA's regularly. Limited action has led to a pilot with one Authority to identify non-compliance against national standards. **Timescale for Action:** June 2017 **Responsible Officer:** Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.2 (Cont)			.	c. The practice of writing 'continue to' recommendations should cease to ensure all schools receive effective support following a Core Visit. **Grade: C2**	c. **Acceptance:** Accepted **Management Response:** The content of this report will be shared with the employing LA's of every Challenge Advisers. The performance of individual Challenge Advisers is a cause for concern and raised by the ERW Central Team with the Directors of employing LA's regularly. Limited action has led to a pilot with one Authority to identify non-compliance against national standards. **Timescale for Action:** June 2017 **Responsible Officer:** Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.3	Support agreed was delivered as planned and followed up as part of the Core Visit 2 2016, with a record retained of the support provided and the outcome of the support.	✘	Testing of 30 schools confirmed that support was followed up as part of both the Core Visit 2 from the 2015/16 academic year and Core Visit 1 from the 2016/17 academic year, and there was a full record of support delivered at 25 of these schools. A member of the ERW Central Team informed Internal Audit that issues with the version control of the Rhwyd system may have led to details not being located for 3 of these schools. Support was not delivered as planned for 20 of the 30 schools (support items agreed was not delivered at all or in full, or different support items were being delivered). Furthermore, analysis of the days of support these 30 schools were entitled to compared to days received identified that: • 7 schools received their full allocation of support; • 9 schools received support days greater than their entitlement; • 11 schools received less support days than their entitlement; *(Cont…)*	Unless exceptional circumstances arise, Challenge Advisers should ensure that all support items agreed upon as part of Core Visit 1 are delivered, to ensure areas for improvement identified within schools are addressed. **Grade: B1**	**Acceptance:** Accepted **Management Response:** The content of this report will be shared with the employing LA's of every Challenge Advisers. The performance of individual Challenge Advisers is a cause for concern and raised by the ERW Central Team with the Directors of employing LA's regularly. Limited action has led to a pilot with one Authority to identify non-compliance against national standards. **Timescale for Action:** June 2017 **Responsible Officer:** Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.3 (Cont)			• It could not be determined what support had been received for 2 schools. An analysis of support days received is included within Appendix B. It was identified that there may be some correlation between support not being delivered and school improvement not being achieved. A member of the ERW Central Team informed Internal Audit that it had been identified that schools were not necessarily receiving their support entitlement, and that this has been shared with Directors. As such from September 2016 the monitoring/quality assurance arrangements had been enhanced to allow this to be reviewed in detail and followed up as necessary. The support log completed by Challenge Advisers now clearly details all support which has been provided in schools, and also includes a section for recording whether the support was as part of the agreed menu of support or an additional item which had been delivered. *(Cont…)*		

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.3 (Cont)			It was also stated that support requirements do alter during the year for some schools should circumstances such as a change in leadership, staff sickness, Estyn outcomes etc. arise.		
8.4	An impact from the support delivered is evident within schools.	✘	From a review of a sample of 30 schools progress was evident from the support received at 17 schools. However, it was identified that there was limited or no impact at 13 of the schools following support being delivered, although this could be attributed to the time period under review and a greater period of time that is required before the impact can truly be identified. Furthermore, there were similarities in the support offerings agreed as part of Core Visit 1 2016 to those agreed during Core Visit 1 2015 at 10 schools. This could indicate that the support was not delivered effectively or that the school have not taken on board the support received and made the requisite improvement. A member of the ERW Central Team stated that it had previously been identified that there was a weakness in this area, *(Cont…)*	**Refer to recommendation 8.3**	-

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.4 (Cont)			which has led to the development of a more robust monitoring process for the 2016/17 academic year.		
8.5	School to School support was offered, and delivered within support packages.	✘	School to School support is developing within the ERW Region, but further development is required. School to School support features strongly within ERW's Self Improving System Strategy and is an area which is reinforced in all Challenge Adviser training sessions as the preferred method of delivery of support where applicable. Analysis of the methods of delivery of support following the 2015 Core Visit 1 for the 30 schools (sample tested) identifies that from the total of 341 days support delivered: • 215 days were delivered by Challenge Advisers (63%) • 76 days were delivered through School to School support (22%) • 50 days were delivered through other means (e.g. training courses) (15%).	The use of School to School support throughout the Region must be increased. Challenge Advisers should ensure they support ERW's Self Improving System Strategy through utilising School to School support as a means of delivery of support packages wherever possible. **Grade: B1**	**Acceptance:** Accepted **Management Response:** As 8.2a and additional training on brokering and self-improving system will be offered again to locally employed Challenge Advisers. **Timescale for Action:** August 2017 **Responsible Officer:** Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.6	The use of School to School support is increasing across the Region.	✘	The support agreed as part of Core Visit 1 2016 for the 30 schools within the sample was analysed to determine the percentage of School to School support offered, and whether this has increased when compared to 2015. From the total 323.5 days recorded as agreed, the following was identified: • 161 days will be delivered by Challenge Advisers (50%) • 57.5 days will be delivered through School to School support (18%) • 104 days will be delivered through other means (e.g. training courses) (32%) Whilst this does appear to indicate that there has been a reduction in School to School support offered in 2016 this may not be representative of the population as a whole, but may be limited to the schools selected within the sample. A member of the ERW Central Team stated that the menu of support available to Challenge Advisers is being refined further from April 2017 *(Cont…)*	**Refer to recommendation 8.5**	-

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No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.6 (Cont)			to increase and further highlight the School to School support provision and reduce the amount of support options available for delivery through other means.		
8.7	There is a detailed directory of best practice which can be referred to when brokering School to School support.	✓	Currently, practice worthy of sharing is recorded by Challenge Advisers within the Rhwyd system when undertaking the Core Visits. ERW have identified shortcomings with this method of recording, and have developed the 'Dolen' system as a complete directory of best practice identified throughout the Region. Once active, this system will be utilised when brokering support packages for schools, and will enhance the delivery of School to School support throughout the Region.	-	-

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.8	There is a strategy in place detailing support which will be provided to Schools Causing Concern.	✓	ERW have developed a strategy for Schools Causing Concern. The strategy outlines the Ladder of Support for schools requiring intensive support and challenge, along with Local Authority statutory responsibilities and the use of Improvement Panels. An example Action Plan to be used by Local Authorities for Schools Causing Concern has also been developed and is included within the Strategy.	-	-
8.9	ERW have developed a definition of and criteria for Schools Causing Concern.	✓	ERW have adopted the national definition and criteria for schools causing concern. This is highlighted within the Schools Causing Concern strategy.	-	-

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No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.10	A consistent process has been developed for determining what support Schools Causing Concern receive.	✓	The ERW Central Team have developed a process and intervene in critical situations. Additional resources to build capacity and specific support from the Central Team are used to target support. Usually support received by Schools Causing Concern is determined by the relevant Local Authority. This is because the Local Authorities hold the statutory responsibility for securing school improvement and hold the relevant powers to intervene where a school is causing concern. The Strategy states that there is an expectation that if intervention is required, the Local Authority with support from ERW, will take that action. Support provided to Schools Causing Concern is discussed routinely at each Strategy Group meeting, which includes membership from ERW along with the Heads of Hub and Principal Challenge Advisers. However, a member of the ERW Central Team advised Internal Audit that this review has not been undertaken consistently to date although there have *(Cont…)*	ERW should be provided with copies of local authority action/improvement plans for Schools Causing Concern to enable effective and systematic monitoring of support provided. **Grade: B2**	**Acceptance:** Accepted **Management Response:** As 8.2a and the LA's hold the resources, staffing and statutory responsibly for securing school improvement and hold the relevant powers to intervene where a school is causing concern. There is therefore variation affecting the pace of progress. **Timescale for Action:** June 2017 **Responsible Officer:** Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.10 (Cont)			now been improvements to monitoring undertaken. Updates on Schools Causing Concern are also provided at each meeting of the Executive Board. The Managing Director stated that where improvement is not secured at a sufficient pace by Local Authorities, further action has been taken by ERW to assist in the improvement process. ERW however do not centrally receive copies of the action/improvement plans developed by the Local Authorities to aid effective monitoring of support which has been delivered, although a full record of all visits and support provided is recorded on the ERW central support logging system. The ERW Central Team stated that beyond categorisation and the guidance for schools causing concern there is no clear, systematic protocol stating what support schools receive when they are deemed as Causing Concern as each school has their own bespoke issues and therefore there is no one single formula to addressing the issues. *(Cont…)*		

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No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.10 (Cont)			The Managing Director stated that the six strand model of support is used to determine the requirements of each individual school and that issues within these schools are compounded when this model of support is not followed.		
8.11	There is correlation between a school being deemed as Causing Concern and their support category as a result of the National School Categorisation process.	✓	Testing of a sample of 18 schools (primary and secondary) confirmed that their support category correlated to them being deemed as Schools Causing Concern and recent Esytn outcomes, with the exception of one primary school categorised Green 2A in Autumn 2015 but deemed as requiring Significant Improvement by Estyn in January 2016.	-	-

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
8.12	Improvements are secured for Schools Causing Concern as a result of the support provided.	✓	Of the 18 Schools Causing Concern reviewed, testing identified that 9 schools have subsequently been removed from an Estyn category following a revisit. Internal Audit was unable to carry out a detailed review of whether support provided to the schools was in line with the areas identified as Causing Concern due to the manner in which information is retained by ERW (refer to 8.12 above). Schools Causing Concern are offered financial support through the Capacity Building Grant, where this is identified as a need within the school. Criteria for determining whether schools are eligible for this funding has been drawn up by ERW. Schools are required to apply for this funding outlining on their application form how the grant funding will be utilised. However schools are not currently required to confirm formally how the money was spent at the end of the financial year, although monitoring on the impact of the funding is carried out by the Schools Challenge Cymru Manager.	Schools should be required to sign a declaration confirming Capacity Building Grant funding has been used as intended. **Grade: B2**	**Acceptance:** Accepted **Management Response:** All funding to schools will be expected to follow the same format and declaration by Headteacher of spend against agreed criteria. This will also be added to Rhwyd. **Timescale for Action:** July 2017 **Responsible Officer:** Managing Director

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
9	**Planning and Strategy Development**				
9.1	The ERW business plan incorporates both local and regional priorities.	✓	ERW operates a three year medium term business plan, which is updated throughout the year and refreshed annually. The business plan has been further developed for 2017/20 to include both Regional and Local priorities. Local priorities are incorporated within the Annex of the business plan, with each partner Authority having their own annex. These are utilised to dovetail ERW and Local Authority priorities and incorporate any bespoke priorities a specific local authority may have. The Managing Director stated that this should assist planning within each of the partner authorities.	-	-

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
9.2	The ERW business plan includes financial costings.	✘	Columns are included within both the Business Plan Objectives section and the level 2 plans for detailing the financial source. However, these columns have not been populated. It was requested at the Joint Committee meeting on 2 November 2016 that future business plans are developed in conjunction with the financial model. If the business plan is not aligned to the financial model and available funding there is no evidence that resources will be available to address the priorities and actions included within. The Managing Director stated that this would be preferable provided grant allocations were received from Welsh Government in sufficient time.	The ERW business plan should be aligned to the financial model of the Consortium to enable effective planning within the available resources. **Grade: B1**	**Acceptance:** Accepted in principle **Management Response:** ERW's core budget of £250,000 makes it difficult to budget over the term of the plan. Significant changes to ERW's funding and governance will be necessary to improve this position. This is why getting the LA plans aligned and costed is key to the delivery focus on the ERW plan. Therefore whilst the recommendation is accepted in principle, this is outside of the Managing Director's control. The Section 151 Officer stated that the business plan does need to be costed, whether funded by the ERW Central Team, grant or the LA's themselves, to ensure that it is affordable and achievable. This needs to be done asap as the Section 151 Officer recalls it was agreed at the last Joint Committee meeting that it would be.

No.	Expected Arrangements (Controls)	Adequate & Effective	Comments & Consequences	Recommendation	Management Response
9.2 (Cont)					**Timescale for Action:** Cannot confirm **Responsible Officer:** Cannot confirm
9.3	There are synergies between the Local Authority business plans and ERW business plans ensuring consistency in educational strategies across the Region.	✓	Business plans were requested from the 6 partner authorities. Four plans were received, however only 3 plans were reviewed as one related to the previous ERW business planning period. Review of these 3 plans confirmed that there were clear links between the Local Authority departmental business plans and the ERW business plan. However, as plans were not received from the remaining Local Authorities, full assurance cannot be given that this control has been met.	-	-

Analysis of Support Delivery and Categorisation Movement

	Local Authority 1					Local Authority 2				
	PS1	PS2	PS3	HS1	HS2	PS1	PS2	PS3	HS1	HS2
Category 15/16	1A	4B	3C	2C	2C	2B	3B	2B	2C	2B
Allocation	4	15	15	15	15	10	10	10	15	10
Delivered	4	13.5	21.5	16	15	6.5	9	9	15	13.5
Category 16/17	1C	4C	3D	1D	2B	1C	1B	2B	2B	2C
Movement	↓	↓	↓	↓	↑	↓	↑	-	↑	↓

	Local Authority 3					Local Authority 4				
	PS1	PS2	PS3	HS1	HS2	PS1	PS2	PS3	HS1	HS2
Category 15/16	3B	1A	3A	3C	3B	2B	3A	1D	2A	3C
Allocation	10	4	10	15	10	10	10	15	4	15
Delivered	10	0	8	19	?	4.5	10	18	?	16
Category 16/17	3B	3A	3B	3C	2A	3C	3A	2D	3A	3C
Movement	-	↓	↓	-	↑	↓	-	↓	↓	-

	Local Authority 5					Local Authority 6				
	PS1	PS2	PS3	HS1	HS2	PS1	PS2	PS3	HS1	HS2
Category 15/16	2A	2C	3B	3B	2B	2B	2B	1B	3B	2B
Allocation	10	15	10	15	10	10	10	10	10	10
Delivered	10	35.5	4.5	20.5	16	10.5	10	7.5	8	7
Category 16/17	2A	2B	3C	3C	2B	1C	2C	1A	1B	1A
Movement	-	↑	↓	↓	↓	↓	↓	↑	↑	↑

Assurance Ratings

Level of Assurance	Description
Full	There are either no weaknesses or only low impact weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements, which if addressed would further improve the ability of the Consortium to achieve its objectives. These weaknesses do not affect key elements of the arrangements in place and are unlikely to impair the ability of the Consortium to achieve its objectives. Therefore, we can conclude that the arrangements are adequate and are operating effectively, assisting the Consortium to achieve its objectives.
Substantial	There are some weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements, which could impair the ability of the Consortium to achieve its objectives. However, they would either be unlikely to occur or their impact would be less than high.
Limited	There are weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements, which could have a significant impact on the ability of the Consortium to achieve its objectives.
None	There are weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements which, in aggregate, have a significant impact on the ability of the Consortium to achieve its objectives.

Recommendation Gradings

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

Adequate & Effective Ratings

✓   Adequate and effective
✓ or ✗   Partially adequate and effective
✗   Not adequate and effective

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ERW JOINT COMMITTEE
17.7.17

Regional Code of Corporate Governance

Purpose:

To present to the Joint Committee the report and submit the Regional Code of Corporate Governance

RECOMMENDATIONS / KEY DECISIONS REQUIRED:

That the Joint Committee receive the report

REASONS:

Additional assurances to go with Internal Audit reports

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EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
17.7.17

REGIONAL CODE OF CORPORATE GOVERNANCE

BRIEF SUMMARY OF PURPOSE OF REPORT

The report is split into the following Core Principles, in line with PCC Internal Audit's Core Principles:

Core Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.
Core Principle B: Ensuring openness and comprehensive stakeholder engagement.
Core Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits.
Core Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes.
Core Principle E: Developing ERW's capacity including the capability of its leadership and the individuals within it.
Core Principle F: Managing risks and performance through robust internal control and strong public financial management.
Core Principle G: Implementing good practices in transparency, reporting and audit to deliver effective accountability.

In each core principle, evidence sources for assurance of their implementation is noted. A large bulk of the evidence is located on the Pembrokeshire and ERW Intranets respectively.

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

The Corporate Code of Governance is an additional layer of assurance for Internal Audit, and failure to comply with their recommendations is noted as a risk on the Central Risk Register

CONSULTATIONS

Details of any consultations undertaken are to be included here

Section 100D Local Government Act, 1972 – Access to Information **List of Background Papers used in the preparation of this report:** **THESE ARE DETAILED BELOW**		
Title of Document	**File Ref No.**	**Locations that the papers are available for public inspection**

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Regional Code of Corporate Governance

ERW

ERW's Regional 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.

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Well-being of Future Generations (Wales) Act 2015 and the International Framework
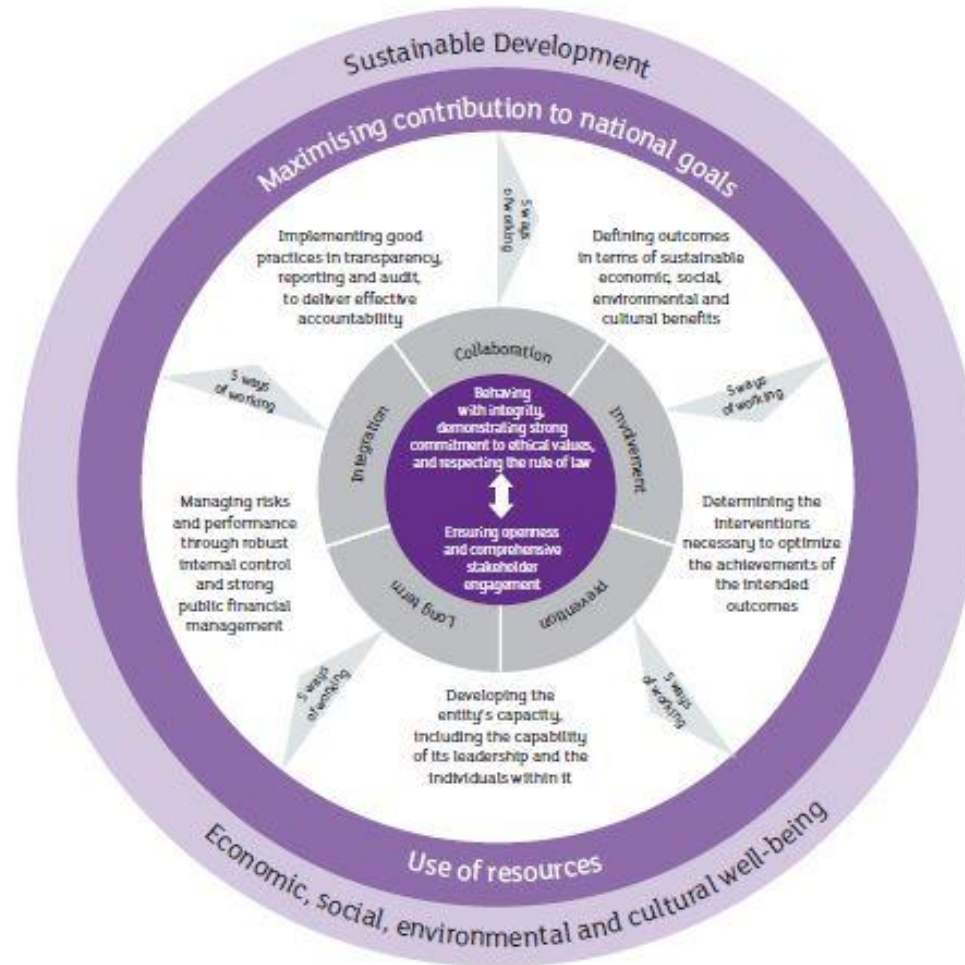
2

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 behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of ERW.	- Induction for Officers and Members - Monitoring Officer and Section 151 Officer Guidance - Equal Opportunities Policy	- Performance appraisals - Registers of interest - Members and officers registers of interest - 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 - Registers of gifts and hospitality
Ensuring Officers take the lead in establishing the Target Operating Model or 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).	- Legal Agreement Policy - Regional Code of Corporate Governance - Values and Aims - Planning Code of Practice	
Leading by example and using the above Target Operating Model or values as a framework for decision making and other actions.	- Legal Agreement - Regional Code of Corporate Governance - Code of Conduct - Equal Opportunities Policy - Values & Aims	
Demonstrating, communicating and embedding the Target Operating Model or values through appropriate policies and processes, which are reviewed on a regular basis to ensure that they are operating effectively.	- Counter Fraud, Corruption and Bribery Strategy 2015-17 - Whistleblowing Policy - Counter Fraud work plan - Complaints & Compliments Policy - HR Policies	

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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.	• Complaints Policy • Code of Conduct • Equal Opportunities Policy	• Scrutiny work plan and minutes • Scrutiny function • Monitoring Officer • Public Services Ombudsman for Wales annual report • Working group notes • Audit Committee Minutes • Annual Complaints & Compliments Report • Standards Committee Minutes • Performance appraisals • Internal and External Assurance Provider reviews • Self-Assessment of Compliance as part of the Annual Governance Process • Partnership Agreements • Partnerships Overview & Scrutiny Committee Minutes • Contract Monitoring • Community Benefits Officer
Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of ERW's culture and operation.	• Job descriptions • Manager Standard • Officer Induction • Code of Conduct (see Constitution) • Independent Statutory Officers • Equal Opportunities Policy	
Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.	• Monitoring Officer advice and guidance • Equal Opportunities 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.	• Contracts • Procurement and Tendering Specification and Evaluation:- Authorisation Forms for Pro…. • Procurement Strategy • Standing Orders in Relation to Contracts	

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.	• Statutory Provisions • Monitoring Officer advice and guidance • Code of Conduct • Equal Opportunities Policy	• Statutory guidance is followed • Monitoring & Appraisals • Annual Counter Fraud and Investigations Report • Feedback • Internal and External Audit Reports • Regulators • Self-assessment • Record of legal advice provided by officers • Record of Monitoring Officer advice • Record of Data Incidents and Breaches • Investigations record • Standards Committee • Statutory Officers • Annual report on Counter Fraud and Investigations • HR Disciplinary Policy • Ombudsman • Adjudication Panel for Wales
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.	• Job descriptions • Guidance on Statutory Roles • Committee support	
Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders.	• Advice and guidance from Legal Services	
Dealing with breaches of legal and regulatory provisions effectively.	• Information Governance Policy • Monitoring Officer, Section 151 Officer, SIRO powers	
Ensuring corruption and misuse of power are dealt with effectively.	• Constitution	

Core Principle B: Ensuring openness and comprehensive stakeholder engagement.

ERW is run for the public good and should ensure openness in their 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.	• Local/National Guidance • Terms of Reference and Membership of Pembrokeshire Public Service Board	• Partnerships Overview & Scrutiny Work Plan • Joint Working Register • Legal Agreement • Wellbeing Plan
Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.	• Pembrokeshire Public Services Board • Partnership Procedure	
Ensuring that partnerships are based on: • 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.	• Partnership Procedure	

Sub Principle: Openness		
Requirement	**Local Guidance**	**Sources of Assurance**
Ensuring an open culture through demonstrating, documenting and communicating ERW's commitment to openness.	- Constitution - Corporate Public Engagement Strategy 2012 - 2017	- Chief Executive and Statutory Officers - Freedom of information act publication scheme - Appeals against FOI and Subject Access Requests - Authority website - Public consultations - Records of decision making - Supporting materials - Register of Delegated Decisions - Decision making protocols - Publication of Reports - Record of professional advice in reaching decisions - Meeting reports show details of advice given - Discussion between members and officers on the information needs of members to support decision making - Agreement on the information that will be provided and timescales - A calendar of dates for submitting, publishing and distributing timely reports is adhered to - Well-being Assessment/Needs Assessment - Consultation feedback/Citizens survey - Annual complaints and compliments report
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.	- Council/Committee Meetings - Integrated Impact Assessment Tool - Business Impact Assessment Template - SIRO, Legal and Monitoring Officer advice	
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.	- Constitution - Democratic Services Report Templates - Integrated Impact Assessment Tool - Business Risk Management Strategy 2015-2017 - Members Code of Guidance - Planning Code of Practice	
Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action.	- Corporate Public Engagement Strategy 2012-2017 - Complaints and Policy	

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Sub Principle: Engaging with individual citizens and service users effectively

Requirement	Local Guidance	Sources of Assurance
Establishing a clear policy on the type of issues that ERW will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes.	- Public Service Board Terms of Reference - Wellbeing Assessment and Plan - Corporate Public Engagement Strategy 2012-2017	- Record of Public Consultations - Evidence of structured stakeholder discussions - Effective community involvement/feedback - Review of take up - Review of outcomes - Impact captured in report pro-forma
Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement.	- Corporate Public Engagement Strategy 2012 – 2017 - Corporate Communications Standards, Services and Resources	
Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.	- Corporate Public Engagement Strategy 2012 – 2017 - Pembrokeshire Public Services Board Wellbeing Assessment - Integrated Impact Assessment Guidance and Template - Strategic Equality Plan - Welsh Language Standards	
Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account.	Corporate Public Engagement Strategy 2012 - 2017	
Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.	- Business Impact Tool - Corporate Public Engagement Strategy 2012 - 2017	
Taking account for the impact of decisions on future generations of	- Wellbeing Assessment and Plan - Integrated Impact Assessment Guidance and	

tax payers and service users.	Template		

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.	- Values and Aims - Wellbeing Plan - Annual Improvement Plan	- Annual Improvement Review - Corporate Improvement Plan - Service Improvement Plans - Corporate Risk Management Group - Risk Registers - Risk Management Protocols - Public Meetings - Publicising Financial Pressures - Report Format for CMT/Cabinet
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.	- Wellbeing Assessment/ Plan - Integrated Impact Assessment Guidance and Template	
Delivering defined outcomes on a sustainable basis within the resources that will be available.	Improvement Planning Process	
Identifying and managing risks to the achievement of outcomes.	Risk Register	
Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available.	- Corporate Public Engagement Strategy 2012 – 2017 - Corporate Communications Standards, Services and Resources	

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.	• Legislative requirements – Well-being of future generations (Wales) Act 2015 • Integrated Impact Assessment Guidance and Template	• Corporate plans take account of medium and long-term service plans • Record of decision making and supporting materials • Complaints and Compliments • Service Feedback
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.	• Medium Term Financial Plan • Long-term Strategies • Single Integrated Plan/Wellbeing Assessment and Plan • Education & Learning Strategy 2016-19 • Strategic Asset Management Plan • Integrated Impact Assessment Guidance and Template	
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.	• Public service board wellbeing plan • Corporate Public Engagement Strategy 2012 - 2017	
Ensuring fair access to services.	• Customer Charter • Corporate Communications Standards, Services and Resources • Integrated Impact Assessment • Equal Opportunities Policy • Welsh Language Policy	

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.	- Decision making protocols - Option appraisals - Forward work plans	- Agenda reports and minutes of meetings - Minutes of Meetings - Service Improvement Plans
Considering feedback from citizens and 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, land and assets and bearing in mind future impacts.	Public Consultation 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.	• Overview & Scrutiny meeting schedule	• Minutes of Meetings • Improvement Planning Schedule • Service/Project Plans • Reports to CMT/Cabinet/Committees • Partnership Agreements • Risk Registers • Business Continuity Plans • Planning protocols • Service Improvement Plans • Quarterly performance report • Overview & 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.	• Pembrokeshire Public Services Board Wellbeing Assessment and Plan • Public Engagement Strategy 2013-2018 • Business Impact Assessment Template	
Considering and monitoring risks facing each partner when working collaboratively, including shared risks.	• Risk Register	
Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances.		
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.	• Service Improvement Plans • Project Plans	
Ensuring capacity exists to generate the information required to review service quality regularly.	• Service Improvement Plans and Performance Monitoring	
Preparing budgets in accordance with objectives, strategies and the medium term financial plan.	• Financial Regulations	
Informing medium and long-term resource planning by drawing up	• Financial Regulations	

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realistic estimates of revenue and capital expenditure aimed to developing a sustainable funding strategy.	• Financial Control Procedures •		

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.	• Medium Term Financial Plan • Service Planning Process		• Ongoing review of the Medium Term Financial Plan • Annual Budget Setting Process • Annual Budget Report • Quarterly Integrated Reporting • CMT/Cabinet/Committee/Council 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.	• Financial Control Procedures • Medium Term Financial Plan		
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.	• Financial Regulations • Medium Term Financial Plan		
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.		

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.	- Transformation Programme - Performance Management - Annual Appraisal Process	- Quarterly Performance Reports - Overview & Scrutiny Committees - Appraisals - Utilisation of research and benchmarking exercises - Partnership Overview &Scrutiny Committee - Partnership Appraisal
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.		
Recognising the benefits of partnership and collaborative working where added value can be achieved.	Partnership Cost Benefit Analysis Tool	
Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.	- Workforce Planning Strategy - Redeployment Panel	

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.		• Job descriptions • Register of delegated decisions • Minutes of Meetings (Executive Board & Joint Committee) • Members' induction and ongoing training and development programme • Mentoring and peer support programmes • Personal development plans for members and officers • Arrangements for succession planning. • Citizens' and residents' panels • Stakeholder forum terms of reference • Communication and engagement strategy 2013-2018 • Manager/Supervisor Performance Reviews • Employee Performance Reviews • Training and development plans • Human resource policies • Occupational Health
Publishing a statement that specifies the types of decision that are delegated and those reserved for the collative decision making of the governing body.	• Constitution • Financial Regulations and Standing Orders in Relation to Contracts	
Ensuring the Leader and the Chief Executive 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.		

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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: • 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.	• Corporate Induction • Member Induction • Committee Training Programmes • Employee Management Standard • Learning & Development Programme • Job Descriptions & Recruitment • Statutory notices • Training & Development Funding • Best Practice Guidance • Workforce Planning Strategy		
Ensuring that there are structures in place to encourage public participation.			
Taking steps to consider the	• Manager/Supervisor Standard		

leaderships own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections.		
Holding staff to account through regular performance reviews, which take account of training and development needs.	• Manager/Supervisor and Employee Standards	
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.	• 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.	• Business Risk Management Strategy 2015-17	• Risk Registers • Business Continuity plans
Implementing robust and integrated risk management arrangements and ensuring that they are working effectively.	• Business Continuity • Business Impact Analysis • Business Risk Management Strategy 2015-17	
Ensuring that responsibilities for managing individual risks are clearly allocated.	• Business Continuity • Business Impact Analysis • Business Risk Management Strategy 2015-17	

Sub Principle: Managing performance

Requirement	Local Guidance	Sources of Assurance
Monitoring service delivery effectively including planning, specification, execution and independent post implementation review.	• Service Improvement Plans • Transformation Programme • Performance Management	• Performance Indicators • Cost performance plans • Audit Plans • Publication of agendas and minutes 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
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.	• Report Templates for CMT/Cabinet/Committees and Council • 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	• Scrutiny Committee Framework	

after decisions are made thereby enhancing ERW's performance and that of any organisation for which it is responsible. (Or for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making.			• Balanced membership • Public service boards are subject to effective scrutiny. • Agendas • CMT/Committee reports • Budget Report • Integrated Reports
Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.	• Forward Work Programmes		
Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements).	• Financial Control Procedures • 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.	• Business Risk Management Strategy 2015-17 • Internal Audit Charter and Communication Protocol	• Risk registers • Audit plan • Audit reports • Corporate Risk Management Group • Integrated Reports to Cabinet, Overview & Scrutiny and the Audit Committee • Fraud Risk Register • Counter Fraud Work Plan • Annual Report on Counter Fraud and Investigations • Annual Governance Statement 2015-16 • Head of Internal Audit Annual Assurance Statement • Audit committee Terms of Reference • Balanced membership • Audit Committee Resolutions and Minutes • Audit Committee Self-Assessment and Annual Report of Effectiveness
Evaluating and monitoring risk management and internal control on a regular basis.	• Business Risk Management Strategy 2015-17 • Internal Audit Charter and Communications Protocol	
Ensuring effective counter fraud and anti-corruption arrangements are in place.	• Counter Fraud, Corruption and Bribery Strategy 2015-17 • Whistleblowing Policy • Anti -Money Laundering 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.	• Business Risk Management Strategy 2015-17 • Internal Audit Charter and Communication Protocol	
Ensuring the Audit Committee: • Provides a further source of effectiveness assurance regarding arrangements for managing risk and maintaining an effective control environment. • That its recommendations are listened to and acted upon.	• Audit Committee • Internal Audit Recommendation Monitoring and Escalation Protocol	

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.	• Data Protection Policy • Freedom of Information Policy • Information Governance Policy	• Data management framework and procedures • Data Protection Officers • Data Protection Policies and Procedures • Data sharing agreement • Data sharing register • Data processing agreements • Data quality procedures and reports • Data validation procedures • Internal Audit Reports
Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies.	• IT Security and Internet Policy	
Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.	• 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.	• Financial Control Procedures • Financial Regulations • Medium Term Financial Plan • Transformation Programme	• Integrated Reports • Annual Outturn Report • Budget monitoring reports • Integrated reports
Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.	• Financial Control Procedures • Financial Regulations	

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.	• Council/Committee Meetings		• Website • Council meetings are webcast • Councillors annual reports • Annual report
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.	• Council/Committee Meetings		

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.	• Constitution		• Annual Statement of Accounts • Annual Governance Statement • Audit Committee Monitoring • Audit Committee and Council approval • Internal Audit Review • Senior Management and Statutory Officer Annual Governance Self-Assessment Statements • Annual Governance Statement • Partnership Agreements • Annual Governance Statement • Integrated Reports
Ensuring members and senior management own the results reported.	• Constitution		
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.	• Partnership Procedure	
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.	• Financial Control Procedures • 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.	• Internal Audit Recommendation Monitoring and Escalation Protocol	• Reports to the Audit Committee • Audit Committee Agenda's and Minutes • Integrated Reports to Cabinet and Overview & Scrutiny Committee's • Self-assessment of Conformance with the Public Sector Internal Audit Standards • Head of Internal Audit Annual Assurance Statement • Reporting to CMT and the Audit Committee • Senior Management and Statutory Officers Annual Governance Self-Assessment Statements • Annual Governance Statements • Public service boards' terms of reference and wellbeing plans • Partnerships Overview & Scrutiny Committee • Partnership Agreements and 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.	• Internal Audit Charter and Communication Protocol • Internal Audit Recommendation Monitoring and Escalation Protocol	
Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.	• Internal Audit Recommendation Monitoring and Escalation Protocol	
Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement.	• Contracts • Partnership Procedure	
Ensuring that when working in partnership, arrangements for accountability have been recognised and met.	• Partnership Procedure	

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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.

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ERW JOINT COMMITTEE
17.7.17

VALUE FOR MONEY
Purpose: To update Joint Committee on scheduled work programme for value for money reviews for 2017-18
RECOMMENDATIONS / KEY DECISIONS REQUIRED:
To receive the report on progress made for Value for Money, and to agree the framework for further assessment of Value for Money moving forward.
REASONS:

Report Author:	Designation:	Tel No. 01267 67 6840
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EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
17.7.17

VALUE FOR MONEY

BRIEF SUMMARY OF PURPOSE OF REPORT

The framework agreed by Executive Board in meeting of 23rd October 2015 covered 7 aspects.

- **Economy – minimizing the resources used**
- **Efficiency – relationship between output of 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**

The report contains an update on two specific strands of progress regarding Value for Money - Comparison with other regions, and Increased use of digital working.

As part of the discussion surrounding report, the items for the next year of Value for Money assessment will be discussed and agreed upon.

DETAILED REPORT ATTACHED?	YES

IMPLICATIONS

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

1. **Finance**
   Please see report

2. **Staffing Implications**

   Please see report

CONSULTATIONS

None

Section 100D Local Government Act, 1972 – Access to Information		
List of Background Papers used in the preparation of this report:		
THESE ARE DETAILED BELOW		
Title of Document	**File Ref No.**	**Locations that the papers are available for public inspection**

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Comparisons with other regions

Several different working groups have starting working on an inter-regional collaborative level to compare strategies, learn from one another and produce regional positive outcomes. Some of these groups include Successful Futures, Research, Leadership Outcomes and Reducing Teacher Workload. The aim of these groups is to improve regional outcomes and over time secure better value for money. These groups are all at varying stages of the collaborative process.

Some groups like Successful Futures can showcase a mature, interconnected relationship between the four consortia and other external stakeholders. They are working across consortia, and with Welsh Government in order to develop Areas of Learning Experience for the new Welsh curriculum.

Specifically to finance, the regions have met up on two occasions to discuss structures, resources and funding models in comparison to the regions size / categorisations to identify best practices. The information is still in the preliminary stages but from initial findings there is a confidence that working together across the four consortia can provide excellent opportunities to maximise value for money going forward by the dissemination of practice worth sharing.

The meetings have also been utilised to collectively pre-empt future legislative changes that affect the consortia. By seeking a common approach, ERW and the other consortia are better equipped to tackle upcoming legislative change, such as HMRC regulation changes. The sharing of best practice and formation of a common framework has ensured that the consortia can maintain an effective attitude towards change whilst minimising the individual use of resources. An added impact is that this collective understanding is limiting duplication between consortia. ERW arguably gains the most from this financial area of collaboration as the other regions are operating with significantly more capacity and centrally allocated resources, and the ERW Senior Accountant and ERW Business Manager receive positive professional development from these interactions.

The appointment of a Consortia Project Manager has also impacted positively on ERW's ability to compare with other regions and work collaboratively. By securing a dedicated position for the monitoring of project progress, ERW and the other consortia can now ensure a more systematic approach to their collaborative work. As the Project Manager is funded by all four of the Consortia, the financial costs are shared.

An added advantage to ERW comparing itself with the other regions is that it facilitates a greater level of consistency when dealing with Welsh Government. Particularly in areas like finance, where subjects like the awarding of grants heavily feature communication with WG, the ability to compare and contrast experiences between all four consortia is invaluable. This ensures that not only can the consortia demand a high level of consistency in communication from Welsh Government, but can also ensure that they are all themselves consistent when communicating or dealing with Welsh Government and are working from commonly established frameworks.

Moving forward, the aim is to continue to secure regular meetings where ERW and the other consortia meet as a group with Welsh Government officials, as this is prevailing as the most efficient, streamlined format to accelerate progress. An added value to this plan is to schedule meetings like Finance Team Meetings to coincide with existing directors meetings, in order to maximise the economy of time. Other time efficiencies include making meetings two days long to minimise unnecessary travel, pre-planned papers and work to supplement agendas, and the sharing of documentation between meetings to inform and develop discussion.

While much comparative work between ERW and other consortia is in the developmental stages, the initial findings and conversations are extremely promising. It is increasingly clear that there are tangible benefits in terms of securing better Value for Money as a Consortium from working alongside the other regions.

Increased use of digital working on travel, subsistence, stationary and administration

Maximising the digital aspects of the purchase ordering system

The ERW Finance Officers receive a large amount of invoices from schools, each of these invoices were previously being recorded individually on our purchase ordering system, then a large volume of batch payments were being made to each of the local authorities in order to filter these payments through to the schools.

Recording and paying these invoices in this way was not efficient or economical from a time perspective as the administration time to input all of purchase orders individually was significant. The only form of correspondence the Local Authorities had from ERW was the remittance advices, this would result in a large amount of queries from the Local Authorities requesting more information on a high volume of transactions.

The purchase ordering system was reviewed to see if there were any aspects within it that we had not explored to try and increase efficiencies and provide more detailed information for the Local Authorities to minimise the queries we received from them. The system in place was evaluated as one that was not time efficient and created unnecessary blockages within the financial process. Investigations concluded that there were aspects within the system that we were not utilising as well as extra functions within it that allowed a large volume of transactions to be included on one purchase order.

The system was tested using internal data to see if there was a more effective way of using the package and once initial errors were rectified conclusions were very positive. The new procedure allowed us to accumulate several different school invoices (up to 99 at a time) onto one purchase order, rather than previously a singular purchase order used for each school invoice, this is able to improve administration efficiencies dramatically.

A facility within the system has also been utilised where the purchase order itself can been emailed to the revenue department of the Local Authority prior to the transfer of funds. As now all of the school invoices are accumulated on the one order, this has reduced the amount of transactions to the Local Authority and they have a complete breakdown of the amount that they physically receive prior to the funds being transferred.

As a result, the first trial has been met with substantial positive feedback, and the initial sentiment is that there is added value in the fact that there is reduction of workload on the side of the LA officers, thus strengthening the working rapport between ERW's Finance Officers and their peers in the LAs.

Digitized Authorization Processes

The ERW Finance Officers have worked alongside members of the ERW Senior Leadership Team to further formalize and streamline processes surrounding authorization. By co-operatively forming digital documents that ERW officers can fill in and submit to their line managers, ERW is issuing clear guidelines on how to effectively spend budgets. These authorization processes also encourage a Value For Money centric analysis of spending, and ask officers to take into account such criteria outlined in the Value For Money Framework when spending money, be it grant based or from the Core Budget.

Not only does the incorporation of such a process secure that Value for Money cascades throughout ERW as a principle, but also strengthens the audit trails and financial accountability of the

Consortium. The added value of the strengthening of these audit trails is that pressure is taken off the small team of Finance Officers, and they can more effectively and efficiently answer queries from external stakeholders as they will have more information available to hand. Also, these processes increase general awareness among ERW officers for their own personal financial accountability as well as the financial accountability of the Consortium as a whole.

<u>Travel and Subsistence</u>

While the raw expenditure of the Consortium on travel and subsistence for its staff has risen in the last two years, this is in line with expectations when the increased size of the Central Team is taken into account. However, this rise in expenditure is not conducive to a decrease in Value for Money, and several strategies implemented by the Consortium will hope to demonstrate impact in future. The appointment of a full time systems officer, staff training on the Consortium's digital systems, as well as the arrangement of further training in Video Conferencing facilities for several members of the Central Team should have demonstrable impact on travel and subsistence, and reduce the spending on travel and subsistence per staff member.

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ERW JOINT COMMITTEE
17 JULY 2017

HEADTEACHERS EVALUATION REPORT

Purpose: Headteachers Evaluation Report

RECOMMENDATIONS / KEY DECISIONS REQUIRED:

That the Joint Committee receive the Headteachers Evaluation report

REASONS:

Report Author:	Designation:	Tel No. 0 01267 676840
Eurion Jones-Williams	Research & evaluation Officer	E. Mail: eurion.jones-williams@erw.org.uk

EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
17 JULY 2017

HEADTEACHERS EVALUATION REPORT

BRIEF SUMMARY OF PURPOSE OF REPORT

The Headteachers Evaluation report has analysed the regions Headteachers as to how they view ERW and the role it is playing in their day to day School life.

These are the most prominent themes that were evident in the report.

The key messages are:

- *inconsistency in quality of CA*
- *turnover of CA for each school is a disadvantage*
- *the inconsistency across the region as to what ERW is*
- *greater need for good practice and school to school work, Dolen*
- *bespoke menu of support instead of a general 'list'*

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:** **THESE ARE DETAILED BELOW**		
Title of Document	**File Ref No.**	**Locations that the papers are available for public inspection**
N/A	N/A	N/A

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Headteacher Evaluations
Headteacher Feedback Analysis Post CV1 & Robin Hughes Interviews

June 2017

Summary

For ERW to continue succeeding in developing the best school improvement services for the region it needs to persist in striving to better itself. One way of gathering information to better one's services is to ask the Headteachers to give their full and honest feedback. The best way to acquire unbiased or skewed information was to firstly provide the opportunity for the Headteachers to fill in a Survey Monkey Questionnaire specifically designed to analyse the CV1 which meant that their responses would be completely anonymous but also relevant. Secondly ERW commissioned Robin Hughes to conduct interviews with different Headteacher across ERW and ask for their unbiased views.

In a small time frame the Survey Monkey Questionnaire received over 200 responses which meant the sample size would be great enough to ensure that the results would be significant. Robin Hughes had successfully conducted 20 interviews with some being cluster group Headteachers meetings.

From the Headteacher Feedback there were very interesting findings in the analysis with Local Authority's (LAs) answering in a different manner to others. There was a clear indication that the schools in Powys were much happier with the service that they received from their Challenge Advisors compared to Pembrokeshire and Swansea who were more prone to answer negatively compared to all the other LAs regarding their experience.

Outlined below are some of the recommendations from both the Headteacher feedback Analysis and Robin Hughes' Interviews, these are derived from the clear messages that were evident throughout:

> Recommendation 1: Support package needs to be more bespoke for each school, only 61% believed that it met the allocation entitlement of the categorisation process. 61% compared to other questions is a low satisfaction figure, as other questions we have seen figures of 84% satisfaction rate. There was also a belief that the ERW concentrates more on the underperforming schools and that the Menu of Support is more tailored for them, rather than the 'Green/Better performing schools'.

> Recommendation 2: Numerous schools have requested more School to School networking and also good practice examples. Grouping similar categorised schools together. There needs to be more knowledge of which schools should be used as the benchmarks/Good Practice for others throughout the region. Progress with Dolen is greatly encouraged.

> Recommendation 3: The turnover of CA per school is something that need to be addressed. Numerous Headteachers raised the issue that their CA turnover is highly disadvantageous and disruptive to the school's progress and development. They were not able to form a relationship with their CA as they could well have another CA for the next visit. This was exacerbated by a commissioned headteacher model in some cases.

> Recommendation 4: Challenge Advisers need to be well prepared before visiting the school. schools are more willing to listen and take heed of the advice that the CA gave to them as there was a greater element of trust due to the school staff believing in the competency of their CA knowing what they were doing.

> Recommendation 5: Schools believe there is a need for greater consistency in the Challenge advisers on a Local Authority level. If this is the case on the Local Authority level, then there is even a greater need for consistency on a regional level as the results have shown a great divide in the experience schools in different local authorities have received.

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Recommendation 6: Challenge Advisers need to be going there to support not scrutinise/interrogate, some were too focused on looking at the data of the school rather than engaging with the pupil themselves and the pupil's books.

Recommendation 7: There needs to be a clear and consistent message that defines ERW and what it stands for. The varying messages and inconsistencies throughout the region undermines ERW's work. This cannot be done if there such inconsistencies such as Challenge Advisers in Local Authorities and the constant turnover of CAs as schools' confidence in ERW will wane. A School that has confidence in their CA will be willing to listen to their CA, therefore an avenue of clear communication from ERW should go via the CA.

For ERW to achieve these Recommendations it relies greatly on the relationship that the school has with their CA and that the inconsistencies are notably reduced.

Introduction

This report has combined the analysis of the Headteachers' feedback post Core Visit 1 (CV1) and the Qualitative Research Robin Hughes undertook for ERW from 1st of March to the 27th of April where he attended various Headteacher, Clusters Group and Head of Department meetings. This work, that has been undertaken to better understand how Headteachers view ERW and the whole process of school improvement. This is invaluable information for us to be able to improve our service and provide a better experience in the future for all our schools across the region.

The Headteacher Feedback was a questionnaire posted on Survey Monkey and consisted of 14 questions, ranging from which Local Authority the school belonged to, sector – Primary, Secondary, all ages and special, to more in depth questions asking their view of how well the Challenge adviser had carried out their role – if they had 'confirmed the school's understanding of their strengths and weaknesses, 'the categorisation process delivered effectively, relevant support; to questions on ERW's communication techniques and how could ERW improve on their service. The responses as aforementioned were carried out after CV1 had been completed. The questionnaires were completed from the 14th of March 2017 to the 5th of May 2017, in that time 207 responses had been received which was considered an ample enough size to run the analysis.

Robin Hughes' qualitative Research comprised of 11 individual Headteacher interviews, Headteacher group meetings and 2 Heads of Departments meetings. All Local Authorities and Sectors were fairly represented in the undertaking of this research. Similar to the questionnaire we wished to gain valuable knowledge of how schools perceive ERW as a whole.

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Report Methodologies

Headteacher Feedback Analysis

Two hundred and seven schools started the process of completing the questionnaire (as of the 9th of May 2017) but many after a few questions lost interest and did not manage to complete all the questions. Some only managed the first few, only the Sector and LA questions and a few did not answer any after questions 3-5. Over 20 respondents failed to complete the questionnaire from question 3 onwards, this number steadily increases to around 30 by the final few questions of the questionnaire.

Local Authority breakdown

Swansea	38
Neath Port Talbot	29
Ceredigion	15
Powys	46
Sir Gar	54
Pembrokeshire	23
Did not state which county	2

Sector breakdown

Special	5
Primary	168
All Age	5
Secondary	27
Sir Gar	54
Did not state which sector	2

Robin Hughes Qualitative research

The research was wholly Qualitative, structured interviews. There were a total of 19 interviews, 11 individual Headteachers, 8 group meetings – 6 of them being Headteacher groups Primary and Secondary in Powys, Neath Port Talbot (NPT) and Swansea, and 2 Heads of Department Networks – English and Maths. All sectors were represented in the Research Primary, Secondary, Faith, Special Schools.

Local Authority Breakdown

Swansea	3
Neath Port Talbot	3
Ceredigion	1
Powys	5
Sir Gar	3
Pembrokeshire	2
Heads of Department	2

Challenge Adviser CV1 and the support provided

Headteacher Feedback analysis

Did CV1 confirm the understanding of the school's strengths and weaknesses?

	Swansea	%
Yes – very well	29	90.63%
Yes - adequately	2	6.25%
No	1	3.13%
Total Answered	32	

	Neath Port Talbot	%
Yes – very well	23	88.46%
Yes - adequately	3	11.54%
No	0	0.00%
Total Answered	26	

	Ceredigion	%
Yes – very well	12	85.71%
Yes - adequately	2	14.29%
No	0	0.00%
Total Answered	14	

	Powys	%
Yes – very well	43	95.56%
Yes - adequately	2	4.44%
No	0	0.00%
Total Answered	45	

	Carmarthenshire	%
Yes – very well	36	75.00%
Yes - adequately	12	25.00%
No	0	0.00%
Total Answered	48	

	Pembrokeshire	%
Yes – very well	15	68.18%
Yes - adequately	5	22.73%
No	2	9.09%
Total Answered	22	

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	Frequency	%

Do - yn dda iawn/Yes - very well	158	84.49%
Do - yn ddigonol/Yes - adequately	26	13.90%
Naddo/No	3	1.60%
Total	187	

Did the visit confirm your understanding of the school's strengths and weaknesses?

- Do - yn dda iawn/Yes - very well
- Do - yn ddigonol/Yes - adequately
- Naddo/No
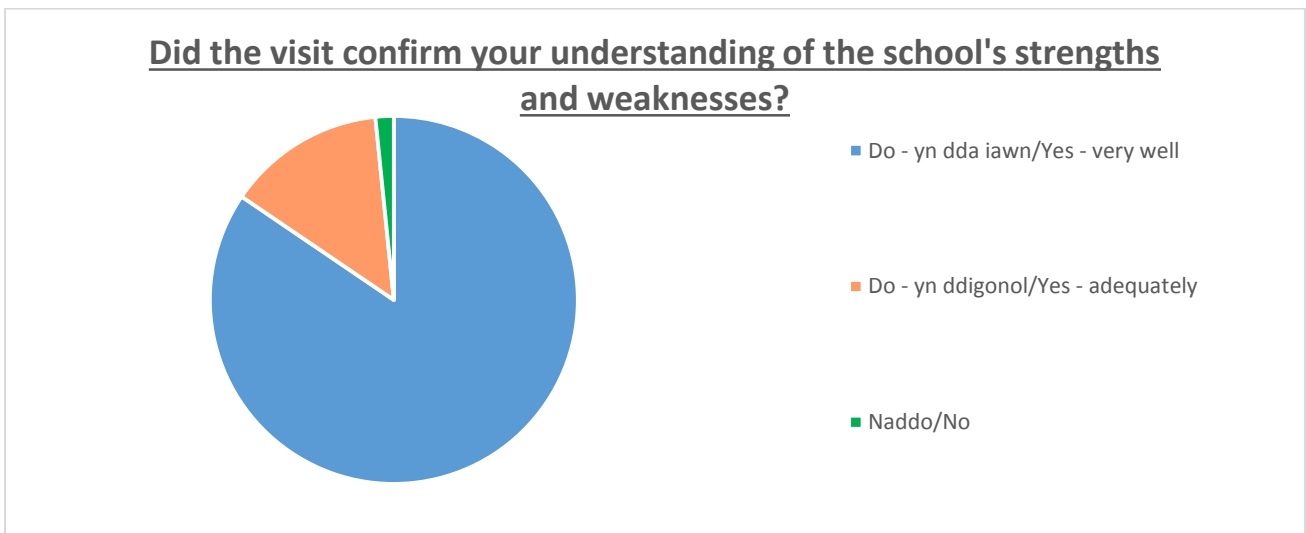
Overall a very positive result, almost 85% believed that the visit confirmed their understanding of the school's strengths and weaknesses, almost 14% believed that it had done adequately with only 1.6% believing that it was not so. Of the 3 respondents that stated that it had not confirmed their understanding of the school's strengths and weaknesses 2 were from Pembrokeshire and 1 from Swansea. In Powys' responses wen can see a very strong belief that this was the case, with almost 96% of the 45 respondents saying 'Yes – very well' and the other two saying 'Yes – adequately'.

When looking at the comments submitted by the various Headteachers this confirms that they believed the visit was beneficial to them.

"I found the visit very supportive - particularly as an Acting Head newly in post. My Challenge Adviser is a really supportive presence who I feel I can contact and receive appropriate support from." - Primary Headteacher, Pembrokeshire.

"Excellent. Supportive yet challenging" - Special School Headteacher, Powys.

"A very supportive visit during a time of uncertainty at our school. Constructive challenge, advice and discussion supported the temporary SLT to plan how to drive forward a shared vision." – Primary School Headteacher, Powys.

"The visit was conducted in a professional and supportive manner." - Primary School Headteacher, NPT

"The CA was excellent and did a good job. He was both supportive and challenging.   The support package - although adequate (and through no fault of the CA or the region) did not meet every need of the school. This would seem to be to be almost impossible I would not expect it to." – Primary School Headteacher, Swansea.

There were a few that believed that the visits and Challenge were not providing support only challenging them –

"We need more practical support and less challenge. We need to focus on what we do with the children rather than generating administrative procedures under the guise of monitoring and evidence." - Primary School Headteacher Swansea.

"Less challenge and more support would be useful." – Primary School Headteacher, NPT.

Robin Hughes Interviews

In Robin Hughes' interviews a Secondary Headteacher (HT) in Pembrokeshire similarly believed that -

"CV1 needs more than 'this or that is weak or strong'. It needs more focus on support." Secondary School HT, Pembrokeshire

"CV1 looks at results, outcomes. It should start earlier because it really isn't necessary to wait for final approved results are signed off in mid-Autumn. CV2 is more about teaching and learning, so it is useful." Secondary School HT, Pembrokeshire.

A Primary Headteacher in Ceredigion believed that sharing **good practice** would be highly beneficial during the CV1

"It would be great if the Challenge Adviser could actually say in CV1 'here is some relevant good practice' on a matter where support is needed. Waiting for the report, then waiting for support, means that your 'To Do' list is growing by the day!" Primary School HT, Ceredigion

Headteachers requesting examples of good practice was a recurring theme in the research being in CV1 or CV2

"A resource for sharing best practice? Good. But it must be quality assured. If CV1 or CV2 had prompts to identify 'practice worth sharing', that would help." Secondary School HT, Powys.

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"Knowing where there is good practice is powerful and very useful. Dolen can't come soon enough, really, and even better if it has good practice from beyond the region too. That said, I'm not at all sure that we are working together well enough within the region yet!" Primary School HT, Ceredigion

"It is really helpful if your Challenge Adviser says 'Let me point you to 2 or 3 schools that are really good at that'." Primary School Cluster HT group, Swansea.

"Dolen sounds good. I'd hope that you could input something like 'Behaviour strategies' and a list of case studies would come up." Primary School Cluster HT group, Swansea

"Perhaps we need to change the perception of it. We could say ERW needs it, to develop partnership working with schools, to identify good practice that then gets shared. Of course, it is still worthwhile as a way of keeping up dialogue between the headteacher and Challenge Adviser." Primary School HT, Powys.

It is clear that schools believe that to improve the support provided in CV1 even further is to provide examples of **'good practice'**, they foresee 'Dolen' as being a valuable resource.

Closely linked to sharing 'good practice' is ERW's **School to School** work. Schools strongly believe that 'School to School work' is the way forward, it is evident throughout the comments of both the Headteacher Feedback Analysis and Robin Hughes' interviews that they want to see a great deal of improvement in the opportunities available for them to collaborate with other schools.

To what extent do Schools believe 'school to school' work and the development of a self-improving system is developing in ERW?

	Frequency	%
ddim o gwbl/not at all	8	4.44%
yn rhannol/partially	109	60.56%
yn sylweddol/significantly	63	35.00%
Total	180	

To what extent do you believe school to school work and the development of a self improving system is developing in ERW?

- ddim o gwbl/not at all
- yn rhannol/partially
- yn sylweddol/significantly
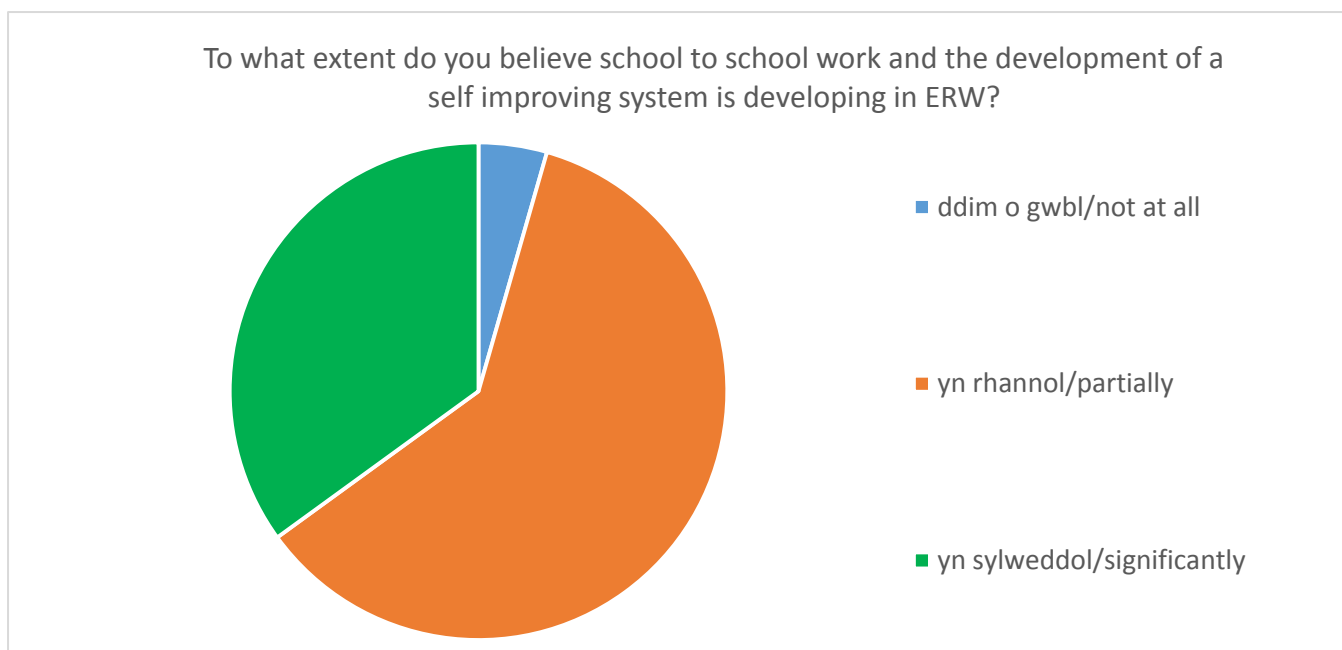
	Swansea	%

ddim o gwbl/not at all	4	13.33%
yn rhannol/partially	23	76.67%
yn sylweddol/significantly	3	10.00%
Total Answered	30	

	Neath Port Talbot	%
ddim o gwbl/not at all	0	0.00%
yn rhannol/partially	18	72.00%
yn sylweddol/significantly	7	28.00%
Total Answered	25	

	Ceredigion	%
ddim o gwbl/not at all	0	0.00%
yn rhannol/partially	8	61.54%
yn sylweddol/significantly	5	38.46%
Total Answered	13	

	Powys	%
ddim o gwbl/not at all	1	2.22%
yn rhannol/partially	24	53.33%
yn sylweddol/significantly	20	44.44%
Total Answered	45	

	Carmarthenshire	%
ddim o gwbl/not at all	3	6.82%
yn rhannol/partially	27	61.36%
yn sylweddol/significantly	14	31.82%
Total Answered	44	

	Pembrokeshire	%
ddim o gwbl/not at all	0	0.00%
yn rhannol/partially	9	39.13%
yn sylweddol/significantly	14	60.87%
Total Answered	23	

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Frequency of Responses

Legend: Swansea, Neath Port Talbot, Ceredigion, Powys, Carmarthenshire, Pembrokeshire
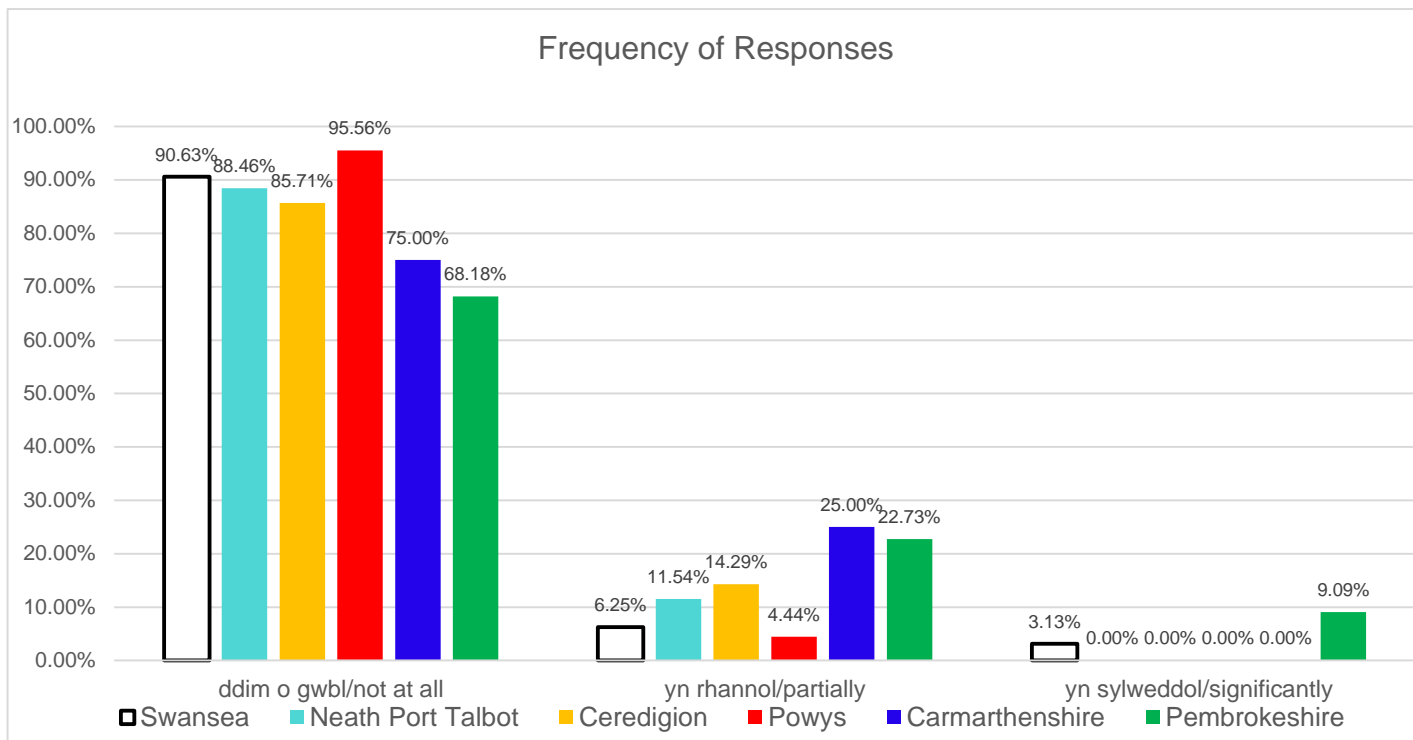
Throughout the **Headteacher Feedback Analysis** Pembrokeshire have been the LA that has given/most consistent in providing negative feedback, even so we can see that they believe there is a significant 'school to school work and the development of a self-improving system in ERW', they are the only LA that has a greater number (with 60.87%) believing that there is a significant improvement (well above the 35% average) compared to a partial improvement or not at all. Swansea (4) feature as one of the 3 LAs that believe there is no school to school work and development of a self-improving system in ERW with Carmarthenshire with 3 and Powys being the other with 1, but it is worth noting that Powys did have the largest amount of respondents stating that there is a significant improvement.

Headteacher Feedback Analysis

"Schools still need to be guided as to the relevance of ERW. Greater facilitation and promotion of school to school work would be beneficial." – Secondary School HT, NPT.

Translated – *"Improve the School to School system e.g. group similar schools"* – Primary School HT, Carmarthenshire.

"*A Headteacher working group to co-ordinate school to school work."* – Primary School HT, Powys.

"A calendar of School 2 School activities that reflects 'pressure points' within a school. Currently this term none of our staff can afford, or want to, miss A Level and GCSE classes!" – Secondary school HT, Powys

"opportunities for staff to experience working in other schools as part of their professional development and return with ideas from excellent schools" – Primary School HT, Pembrokeshire.

Robin Hughes Interviews

"I'd ask ERW to continue to develop school2school working, and to keep focus on support. The challenge bit of the equation is working fine, but support needs to continue to develop." – Primary School HT, Swansea.

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A Primary School HT from Pembrokeshire stated - "A Challenge Adviser suggested we visit a similar school they'd identified in Cardiff. I went with my Deputy and that was great. And it was great to share with fellow professionals and to have the encouragement that a lot of what you're doing is OK, 'we're on the right path'."

…

"I've looked at the menu of support but actually I chat to my Challenge Adviser about support that is available or that I might seek. I chat to them sometimes every week, at least every two weeks."

"ERW has added value to the network that special schools had already. It has promoted school 2 school work and collaboration generally." Special School HT, Powys.

"I got support, which was good. It was bespoke and not just straight off that ridiculous list on paper." – Secondary HT group, NPT

As we can see in the comments above there is great confidence in ERW to develop the School to School network within the region, pairing similar schools together with even one school commenting that it should be pan Wales even.

Headteacher Feedback Analysis

Translated – *"Need more networking between category Green schools so they can learn from each other. School to School support work is good for supporting schools that are in other categories but there needs to be networking between schools that are in the Green category as well so as their schools practice is also improved" – Primary School HT, Carmarthenshire.*

Robin Hughes' Interviews

"We're a small nation. Let's collaborate more. We've got more in common with Bridgend and the Valleys than with Ceredigion. The M4 corridor means that there is flow that doesn't fit with consortia boundaries." - – Secondary School HT, NPT.

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Did the support package offered by ERW meet the allocation entitlement and your support requirements following your categorisation?

	Swansea	%
Oedd - yn dda iawn/Yes - very well	10	32.26%
Oedd - yn ddigonol/Yes - adequately	13	41.94%
Nac oedd/No	8	25.81%
Total Answered	31	

	Neath Port Talbot	%
Oedd - yn dda iawn/Yes - very well	18	69.23%
Oedd - yn ddigonol/Yes - adequately	8	30.77%
Nac oedd/No	0	0.00%
Total Answered	26	

	Ceredigion	%
Oedd - yn dda iawn/Yes - very well	9	64.29%
Oedd - yn ddigonol/Yes - adequately	5	35.71%
Nac oedd/No	0	0.00%
Total Answered	14	

	Powys	%
Oedd - yn dda iawn/Yes - very well	37	82.22%
Oedd - yn ddigonol/Yes - adequately	8	17.78%
Nac oedd/No	0	0.00%
Total Answered	45	

	Carmarthenshire	%
Oedd - yn dda iawn/Yes - very well	26	59.09%
Oedd - yn ddigonol/Yes - adequately	15	34.09%
Nac oedd/No	3	6.82%
Total Answered	44	

	Pembrokeshire	%
Oedd - yn dda iawn/Yes - very well	11	50.00%
Oedd - yn ddigonol/Yes - adequately	8	36.36%
Nac oedd/No	3	13.64%
Total Answered	22	

Frequency of Responses
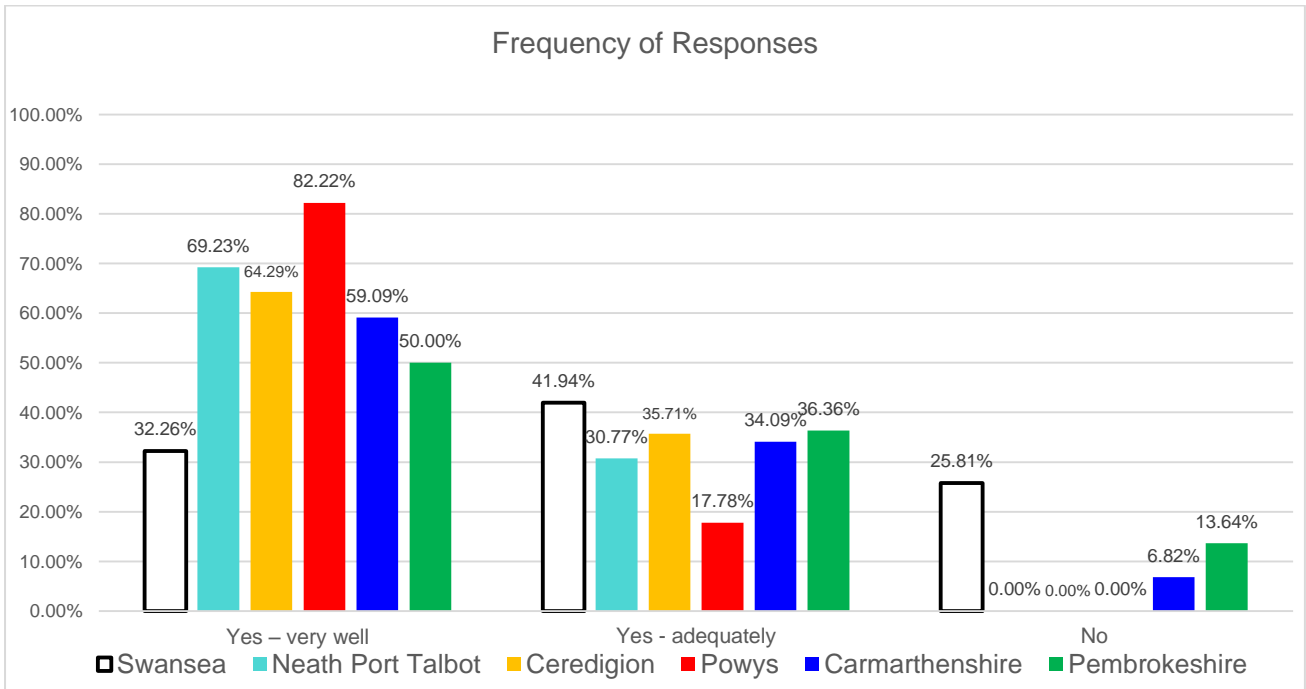
		%
Oedd - yn dda iawn/Yes - very well	111	60.99%
Oedd - yn ddigonol/Yes - adequately	57	31.32%
Nac oedd/No	14	7.69%
Total	182	

Did the support package offered by ERW meet the allocation entitlement and your support requirements following your categorisation?

- Oedd - yn dda iawn/Yes - very well
- Oedd - yn ddigonol/Yes - adequately
- Nac oedd/No

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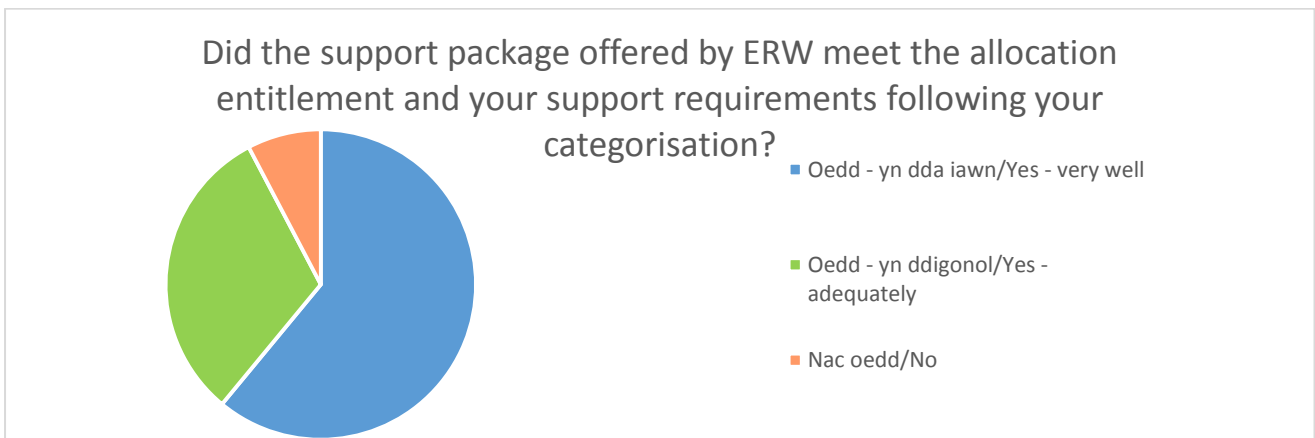
Over 60% (111) of respondents stated that the support package offered by ERW meet the allocation entitlement 'very well', with 31.32% (57) believing that ERW had met it adequately and the remaining 7.69% (14) believing that ERW had not done so. In Powys we can see that the respondents were very satisfied with 82.22% (37) stating ERW had met the support package met the allocation entitlement very well, with the remaining 17.78% (8) that ERW had adequately achieved this. As mentioned earlier 14 respondents believed that ERW had not achieved this, 8 were from Swansea, and 3 from Carmarthenshire and Pembrokeshire. There is a common theme presenting itself with Pembrokeshire mainly and Swansea being the ever present in negative responses, with Carmarthenshire contributing to a few negative statements as well.

There is a belief Green schools and 'Better' Performing schools are provided no support or no support that is tailored towards them, it is all geared towards the underperforming schools and they are also the ones that have to support them.

Robin Hughes Interviews

"Building credibility in ERW will take time, of course. It is still fairly new. But one of the things we need to do better is identify and communicate what is given to the schools that aren't challenged. The challenged get support, but what do the others get? They give."

"If you are a high performing school, what can ERW provide that helps you move forward? Where is the pedagogical next step?"

"We have a deficit-recovery model. Everything is focused on low achieving schools. But more is needed, if we are all to develop and improve."

"Across ERW, training seems to be based on the lowest common denominator. That doesn't take things forward, really, in school improvement. It isn't stretching or challenging enough."

"Who chooses the theme for CV2? Where does it come from? It's just more of that lowest common denominator stuff again."

"I don't think there's enough variety in the support that is available. And the support does need to be promoted a lot more."

"Support needs to move forward from being limited to a fairly narrow menu of interventions that can be delivered, that allows people to just stagger along. Where is the research and evidence of things that work, not just in West Wales, but further afield, globally?"

"This year's menu of support will be very much like last year's. Where is the evaluation of it?"

As seen in the last two quotes above the Menu of Support in general is not seen to be bespoke or tailored enough for Headteachers across the region not only for the Green or Better Performing schools, this is clear in both analysis as it was also evident in the Headteachers responses post CV1.

Headteacher feedback analysis

"Visit was both challenging and supportive. Felt our CA knew our school and had done necessary analysis of the school's data. Disappointing menu of support. As a school we tend to make our own networks for school to school support and are buying external CPD." – Primary School Headteacher, Swansea.

"Professional and supportive. The menu of support is limited for special schools but the items selected were appropriate and since the visit we have had support to re develop our website due to pgfl being removed." – Special School Headteacher, Pembrokeshire.

"Challenge adviser was excellent. Menu of support courses for numeracy, literacy, differentiation not as effective" – Primary School Headteacher, NPT.

Robin Hughes Interviews

"I can't remember a single Challenge Adviser actually giving me a menu of support and saying 'oracy needs to improve, and here is A, B, C for you' and 'here, this is a list of a few schools that have good practice in this'. – Primary School Headteacher, Carmarthenshire.

"The menu of support isn't tailored. What's really needed is 'where have we seen this before', 'who's had similar challenge and what did they do'. Who can we go and meet to talk it through." – Secondary School Headteacher, Pembrokeshire.

It is clear that schools strongly believe that the Menu of Support is clearly not tailored enough for schools. Among all the schools that actually discussed ERW's menu of Support verbally their view was unanimous that the menu of Support was too general, as a Primary Headteacher from Swansea put it –
"I think the menu of support is really about us being given what can be provided, rather than being provided what we really need."

No positive statements/comments were made regarding the Menu of Support. Even so, as we can see when looking solely at the Headteacher Feedback Analysis statistics below, 91.89% of respondent actually believed that they had in fact received a relevant Menu of Support.

Did you receive a relevant menu of support as a consequence of the adviser's visit to your School?

	Swansea	%
Do/Yes	23	71.88%
Naddo/No	9	28.13%
Total Answered	32	

	Neath Port Talbot	%
Do/Yes	25	96.15%
Naddo/No	1	3.85%
Total Answered	26	

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	Ceredigion	%
Do/Yes	14	100.00%
Naddo/No	0	0.00%
Total Answered	14	

	Powys	%
Do/Yes	45	100.00%
Naddo/No	0	0.00%
Total Answered	45	

	Carmarthenshire	%
Do/Yes	45	100.00%
Naddo/No	0	0.00%
Total Answered	45	

	Pembrokeshire	%
Do/Yes	18	78.26%
Naddo/No	5	21.74%
Total Answered	23	
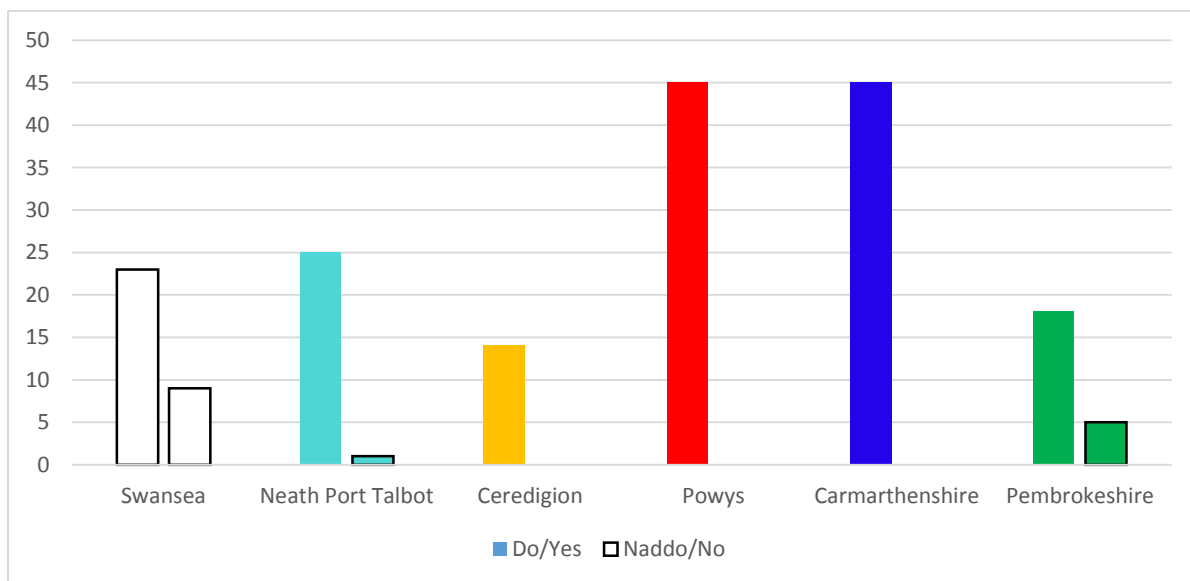
	Frequency	%
Do/Yes	170	91.89%
Naddo/No	15	8.11%
Total	185	

Did you receive a relevant menu of support as a consequence of the adviser's visit to your School?

■ Do/Yes

■ Naddo/No
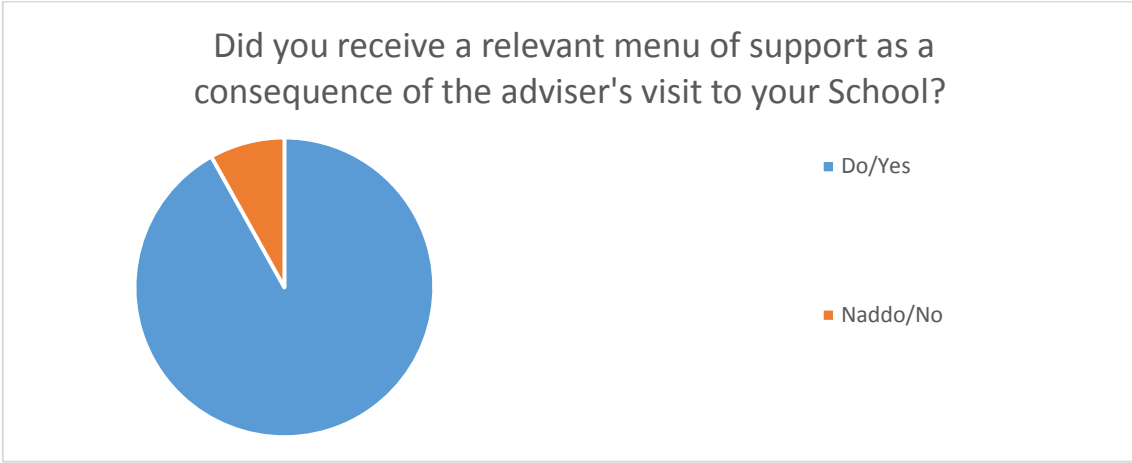
91.89% of respondents stated that they had received a relevant menu of support as a consequence of the adviser's visit to their school, the remaining 8.11% believed they had not. The 15 (8.11% of respondents) that had not received a relevant menu of support were from Swansea, Pembrokeshire and NPT with 9, 5 and 1 respectively.

There is a trend that all that answered negatively on the survey came from the same Local Authorities as all that commented negatively, Pembrokeshire, Swansea and NPT. It is clear that the schools within these three LA believe that Menu of Support is not bespoke/tailored enough.

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Comments on the quality of the visit and Challenge Advisers as a whole

Headteacher Feedback Analysis report

The responses from the Headteacher feedback analysis were been categorised, Dark green – Excellent, light green – Good, Light yellow – More positives than negative, Bright yellow – More negatives than positives, and then Red for Poor/no positives.

	Total	Swansea	Neath Port Talbot	Ceredigion	Powys	Carmarthenshire	Pembrokeshire
Dark Green - Excellent	74	13	11	4	24	13	9
Light Green - Good	55	10	6	6	15	14	4
Light Yellow - More positive than negative	5	1	1	0	0	2	1
Bright Yellow - More Negative than Positive	12	2	0	0	0	7	3
Red - Poor	5	0	0	0	0	0	5

The main points gathered from the comments were as followed –

- 3 of the 5 comments categorised in the Red category by Pembrokeshire Schools stated/used the word 'Poor' in their comments.

- Whenever Challenge Advisers were well prepared and well informed of all school data/information schools reacted well, and gave very positive feedback. When the CA's visited they were much more willing to listen and take heed of the advice that the CA gave to them as there was a greater element of trust due to the school staff believing in the competency of their CA knowing what they were doing.

- Some visits proved to be long and at times too much information was shared on a singular visit therefore the message would be lost and the challenge in front of them be too daunting.

- Some CA's were too focused on looking at the data of the school rather than engaging with the pupil themselves and the pupils' books.

From looking at point 2 and 4 a suggested improvement would be to advise CA's to be well prepared before visiting any of their schools, that they are well versed with all the important data for that particular School, rather than pouring through it all on the visit and concentrating more and engaging more with the problems at hand. The data analysis and finding out any information process should already be completed before the first visit.

A recurring theme that was evident that came from the interviews was the problem of high turnover of CA that schools have, this was referenced to in 8 out of the 19 interviews,

"The visit was fine, but this is the third challenge adviser we have had in three years and ESTYN (this week) were not happy about the lack of consistency." Primary School HT, Pembrokeshire.

"Challenge advisors were very professional, however, as the school had it's 4th challenge advisor in as many years, this proved frustrating as we had to keep explaining our context. Continuity is preferable." Primary School HT, Swansea

This was also evident in **Robin Hughes Interviews** -

"Having your Challenge Adviser change from year to year creates some difficulties. I'd like them to stay for 3 years, so that the dialogue gets better and better and they get to see the improvement that we are all working for." – Primary School HT, Ceredigion.

"The turnover of Challenge Advisers per school and per cluster is high. It is disadvantageous." – Primary School Cluster HT Group, Swansea.

"The biggest criticism I have is that I've had a yearly change. Every time, you start again. And the impact just isn't as strong as it could be because of that." – Secondary School HT, Pembrokeshire.

"I had 5 Challenge Advisers in 18 months, and leading into inspection." – Primary HT Cluster Group, NPT.

"I've had a different Challenge Adviser every year of my headship and that creates difficulties, although the relationships have been good ones. The visits have become more purposeful and the exchange has improved over time." – Primary School HT, Swansea.

We can see that respondents from Swansea were the most consistent in stating that the turnover of CA was high with a few from Pembrokeshire also expressing their concern.

Pembrokeshire's schools as were the only LA to have been considered the quality of the visit and CA as 'Poor', with 3 schools actually using the word 'Poor'.

"Poor - agreed activities and processes not stuck to. Many judgements made on the basis of other evidence acquired. Total time for visit greatly exceeded that allocated. Rather a random process that lacked clarity." Secondary School HT, Pembrokeshire.

"Poor. These questions could be more searching regarding the process eg ascertaining how the visit was conducted, relating to the skills and capabilities of the Challenge Advisors. I question the real understanding that a Challenge Advisor has of a school if they do not spend time with learners. Many Heads speak of the loss of the pastoral element of the role of Challenge Advisor and whilst the core purpose is to challenge, this element must be promoted in the climate. The quality of the reports are poor - I would not expect teachers to provide this standard for our children, I question if they help us to move forward as a school. I believe that this role needs to be reviewed in order to make the Core Visit more meaningful. It achieved very little for our school." Primary School HT, Pembrokeshire.

"The CV1 meeting was the first time that the Challenge Adviser had been to the school, and the first time meeting me. The visit was 7 hours long, with no break for lunch, and looked almost entirely at data, sub-levels and tracking. There seemed to be little interest in getting to know the school or meeting children and teachers, just a desire to look at the data. The Challenge Adviser was focused on "challenge", and the levels that children achieve year on year. There seemed to be little appreciation that learning is not linear, and that different children do not necessarily learn at the same speed. I know that there is a job to be done in raising standards, but this cannot just be "you need more L5s" when you know nothing about the children. The old adage seems to be correct - "The further you are from the child, the more important the data". I think that a broader view of what a school is doing/achieving for its learners is vital. With the Donaldson curriculum around the corner, a view needs to be taken of changes in teaching and learning; of the breadth of curriculum offered to the learners, and the more nuanced features of a school rather than levels, sub-levels and data in English, maths, science and Welsh ." Primary School Headteacher, Pembrokeshire.

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CA Preparation and how some CAs performed, interacted during the CV1 and the visit's length and how intense the day itself were other issues raised by HT. Some believed that some CAs solely looked at Data.

"Focus on data rather than on impact on pupils' emotional development school to school working etc." Primary School HT, Pembrokeshire.

"No books were looked at" – Primary School HT, Carmarthenshire.

"It was a tough day. Data was 'interrogated' not challenged! (The same as being assertive/aggressive). Didn't agree with the need to introduce the sub levels between levels in KS2 - why?? What is the point of saying at the end of KS2 that a child is 4 a, b or c? - it makes no difference. What you want to know is if they are a L4 or L5 - there is no need. Estyn said there was no need!!!" – Primary School HT, Pembrokeshire.

"Very thorough, however, it is very intense and a long day. Too much in it" - Primary School HT, Swansea.

"Very professionally done. Clear and open communication prior to, during and after the visit allowing for frank and open professional dialogue. Heads performance management meetings should be required to be on a separate date as by that time both head and governors have been thinking intensely for several/many hours. This does not allow heads to focus on their own needs or requirements sufficiently well. I know it is optional but we try to make things easier generally for our ChAd and Govs but this means we are putting ourselves second again. Clearer, more focused Perf Man would improve leadership skills and consequently school leadership." Primary School HT, Powys.

As mentioned before from the main points of the Headteacher Feedback analysis comments on CAs, schools strongly believe that when there is a strong relationship between them and the CA, and that they can trust that the CA is experienced and will support them then there is a much a greater willingness on their behalf. CA preparation for each visit is paramount for this, this was again evident in both findings.

Headteachers Feedback Analysis

"Excellent. I felt that our Challenge Advisor new our school well and although the process was thorough I felt it was a supportive process too." – Primary School HT, Pembrokeshire.

"The Challenge Advisors were professional, had done their research and helped with the SE process."

"Excellent. I feel that my Challenge Adviser has a secure understanding of the school and both asks challenging questions and offers support as needed." – Primary School HT, Pembrokeshire.

Robin Hughes Interviews

"When your Challenge Adviser knows your pupils and knows your school, you can work together. That takes time." - Former Primary HT, current Primary HT group co-ordinator, NPT

"I had four different Challenge Advisers in 7 years and begged ERW to have some stability. They listened and I now have an Adviser who is supportive. He has my respect." – Primary School HT, Swansea.

"The best thing that happened to me was when the Challenge Adviser – we were a Schools Challenge Cymru school – spoke with me, we shared the issues, and they went off, found other schools with something similar and what they were doing about it, and gave that to me. That was great." – Head of Maths department, Unknown LA.

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Headteacher Feedback analysis

Was the categorisation process as part of the visit delivered effectively?

	Swansea	%
Yes – very well	27	90.00%
Yes - adequately	3	10.00%
No	0	0.00%
Total Answered	30	

	Neath Port Talbot	%
Yes – very well	23	88.46%
Yes - adequately	2	7.69%
No	1	3.85%
Total Answered	26	

	Ceredigion	%
Yes – very well	13	92.86%
Yes - adequately	1	7.14%
No	0	0.00%
Total Answered	14	

	Powys	%
Yes – very well	43	95.56%
Yes - adequately	2	4.44%
No	0	0.00%
Total Answered	45	

	Carmarthenshire	%
Yes – very well	36	76.60%
Yes - adequately	11	23.40%
No	0	0.00%
Total Answered	47	

	Pembrokeshire	%
Yes – very well	14	60.87%
Yes - adequately	7	30.43%
No	2	8.70%
Total Answered	23	

	Frequency	%

Do - yn dda iawn/Yes - very well	156	84.32%
Do - yn ddigonol/Yes - adequately	26	14.05%
Naddo/No	3	1.62%
Total	185	

Frequency of Responses

Was the categorisation process as part of the visit delivered effectively?
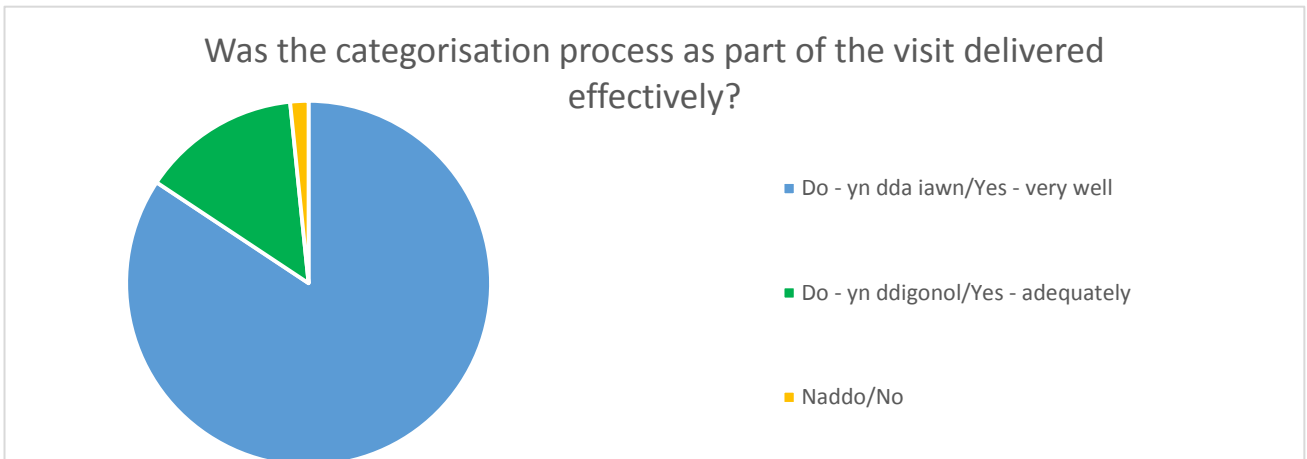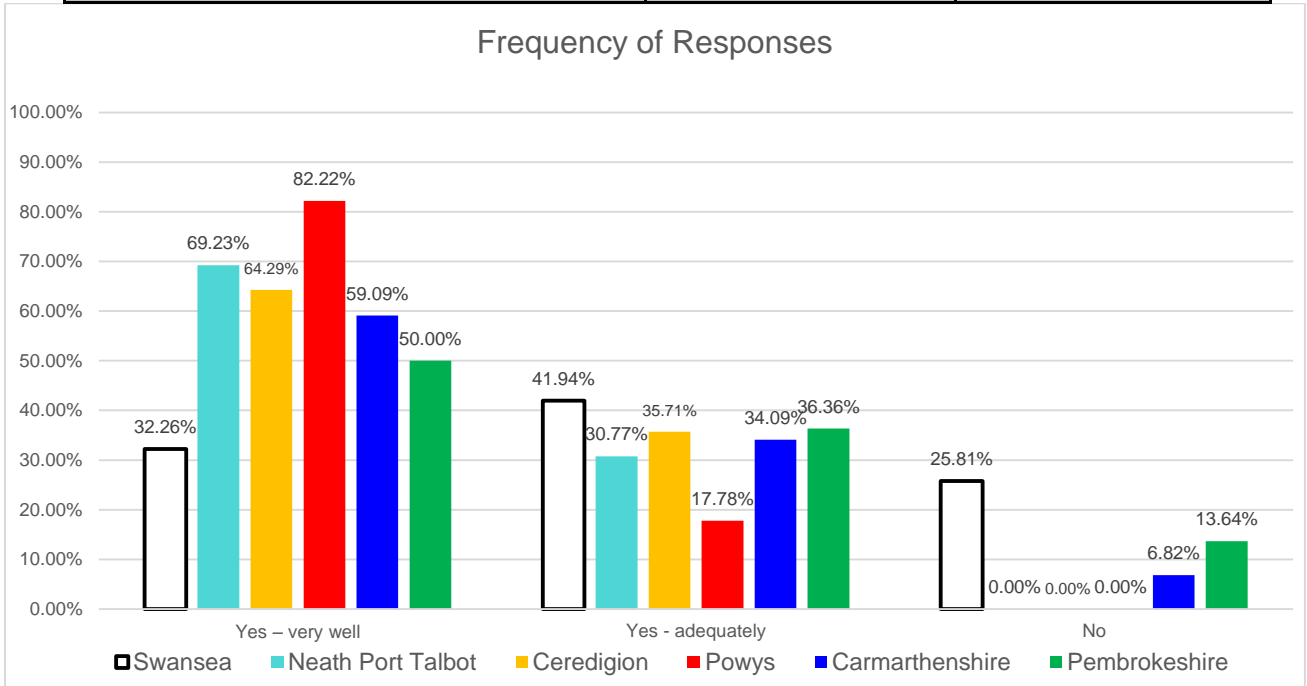
Almost 85% believed that the categorisation process was delivered very well, with over 14% that it was adequately delivered and only 3 believed that it was not. Of those 3, again 2 were from Pembrokeshire and 1 from Neath Port Talbot. In Powys, Ceredigion and Swansea we saw figures of 90% or above in the 'Yes – very well' category. Only 60.87% of Pembrokeshire's respondents believed that the categorisation process was delivered "Very Well" this is well below the average score of 84.32%, Carmarthenshire was the only other LA well below the average. Both Pembrokeshire and Carmarthenshire also had a very high percentage in the 'Adequately' category compared to the average of 14.05%, with scores of 30.43% and 23.4% respectively.

Robin Hughes' Interviews did not cover the categorisation process.

ERW's Communication

Headteacher Feedback Analysis

	Swansea	%
Aneffeithiol / Ineffective	1	3.23%
Aneffeithiol iawn / Very Ineffective	1	3.23%
Boddhaol / Satisfactory	13	41.94%
Effeithiol / Effective	11	35.48%
Effeithiol iawn / Very Effective	5	16.13%
Total Answered	31	

	Neath Port Talbot	%
Aneffeithiol / Ineffective	2	8.00%
Aneffeithiol iawn / Very Ineffective	0	0.00%
Boddhaol / Satisfactory	5	20.00%
Effeithiol / Effective	12	48.00%
Effeithiol iawn / Very Effective	6	24.00%
Total Answered	25	

	Ceredigion	%
Aneffeithiol / Ineffective	0	0.00%
Aneffeithiol iawn / Very Ineffective	0	0.00%
Boddhaol / Satisfactory	3	23.08%
Effeithiol / Effective	7	53.85%
Effeithiol iawn / Very Effective	3	23.08%
Total Answered	13	

	Powys	%
Aneffeithiol / Ineffective	1	2.22%
Aneffeithiol iawn / Very Ineffective	0	0.00%
Boddhaol / Satisfactory	7	15.56%
Effeithiol / Effective	30	66.67%
Effeithiol iawn / Very Effective	7	15.56%
Total Answered	45	

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	Carmarthenshire	%
Aneffeithiol / Ineffective	0	0.00%
Aneffeithiol iawn / Very Ineffective	0	0.00%
Boddhaol / Satisfactory	15	34.09%
Effeithiol / Effective	20	45.45%
Effeithiol iawn / Very Effective	9	20.45%
Total Answered	44	

	Pembrokeshire	%
Aneffeithiol / Ineffective	0	0.00%
Aneffeithiol iawn / Very Ineffective	1	4.55%
Boddhaol / Satisfactory	4	18.18%
Effeithiol / Effective	17	77.27%
Effeithiol iawn / Very Effective	0	0.00%
Total Answered	22	

Frequency of Responses
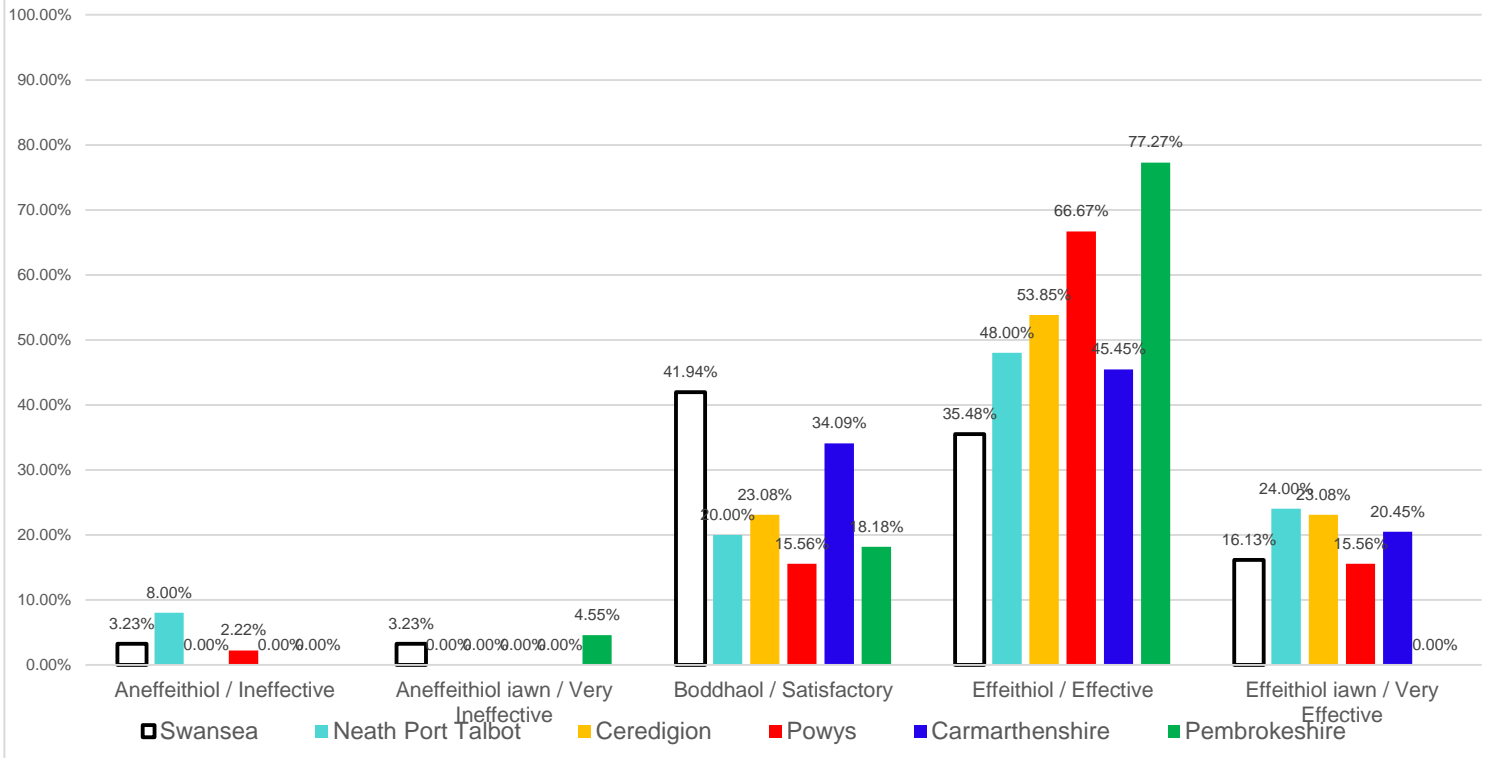
Aneffeithiol / Ineffective	4	2.22%
Aneffeithiol iawn / Very Ineffective	2	1.11%
Boddhaol / Satisfactory	47	26.11%
Effeithiol / Effective	97	53.89%
Effeithiol iawn / Very Effective	30	16.67%
Total	180	

During the past year ERW's communications arrangements have been

- Aneffeithiol / Ineffective
- Aneffeithiol iawn / Very Ineffective
- Boddhaol / Satisfactory
- Effeithiol / Effective
- Effeithiol iawn / Very Effective
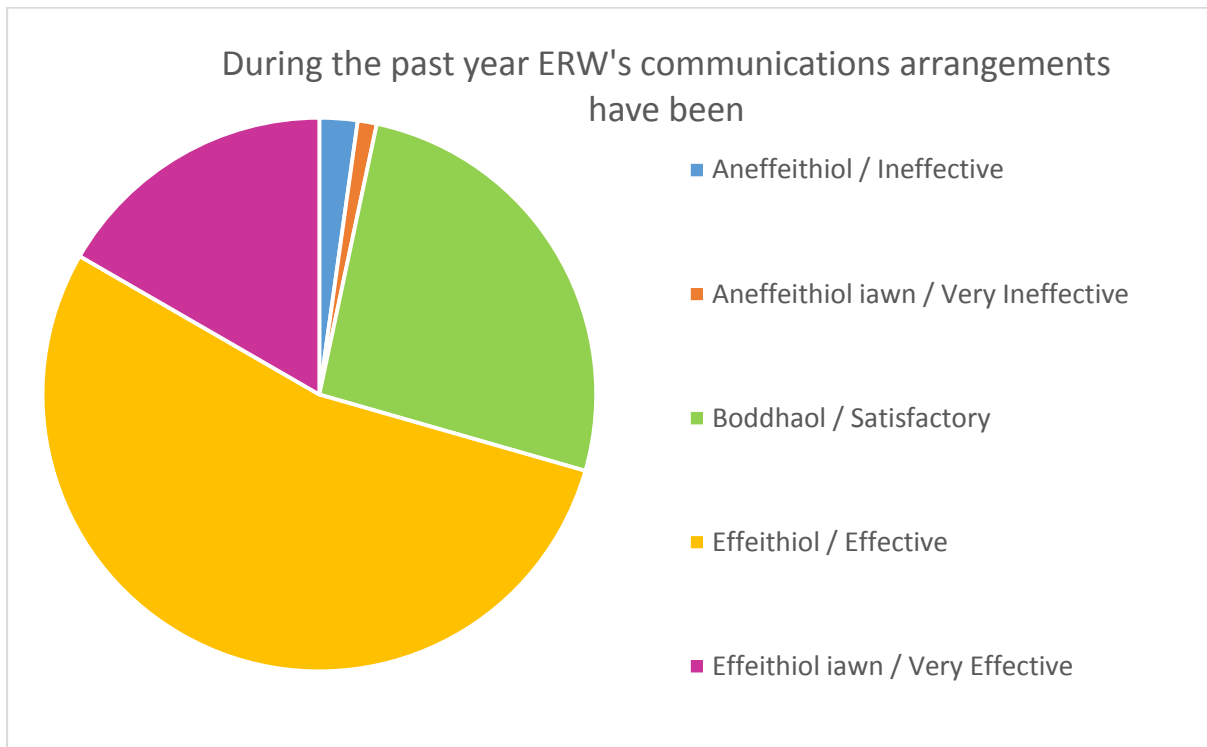
From the Feedback Analysis Pembrokeshire and Swansea again feature as one of the 3 LA to give more negative feedback compared to others. The overall positive or negative experience with their CA's and ERW as a whole could have affected this response and the remaining answers. But on the whole we can see positive feedback as over 50% of the respondents are of the view that ERW's communication has been mainly effective, with Satisfactory having 26.11%, therefore there is room for improvement as only 16.67 believed that it was very effective.

Robin Hughes Interviews

Schools valued that they were able to pick up the phone or approach someone with responsibility within ERW easily

"ERW seem prepared to listen. That is reassuring. I feel I can contact them, even the MD directly." – Primary School HT, Swansea

"ERW had the same expectations of us special schools as other schools, to begin with. We spoke up, ERW listened, and we now have a special schools network. We spoke to the MD and she listened." Special School HT, Powys.

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"I had a concern with a Challenge Adviser, and I approached the Pricncipal Challenge Adviser. It was dealt with. That relationship with the Senior Challenge Adviser is really important." - Powys Primary HT Group.

"If I have an issue, I just call the Md. She's approachable and supportive. But I guess that isn't really sustainable." Secondary HT Group, Swansea

"I had four different Challenge Advisers in 7 years and begged the MD to have some stability. She listened and I now have an Adviser who is supportive. She has my respect." – Primary School HT, Pembrokeshire.

Headteacher feedback Analysis

When asking School which method of communication do you find most helpful to gain information on ERW's work, this was their response:

| Method of Communication	Frequency
Y wefan/Website	41
Trydar/Twitter	22
Cylchlythyr/Newsletter	61
E-bost/E-mail	158
Arall (nodwch)/Other (please specify)	5

Which method of communication do you find most helpful to gain information on ERW's work?
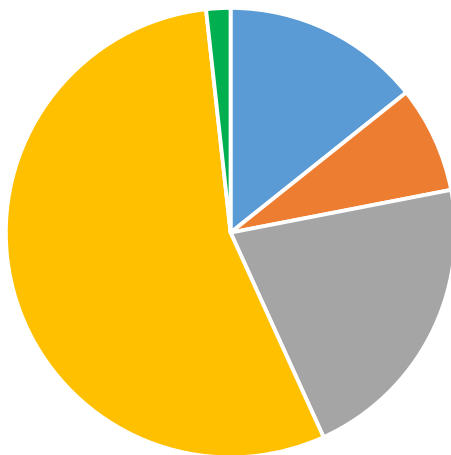
- Y wefan/Website
- Trydar/Twitter
- Cylchlythyr/Newsletter
- E-bost/E-mail
- Arall (nodwch)/Other (please specify)

Was the ERW website useful?

	Frequency	%
Ddim yn ddefnyddiol o gwbl / Not useful at all	6	3.41%
Defnyddiol / Useful	46	26.14%
Ydy i raddau / To some extent	124	70.45%
Total	176	

Do you find the ERW website useful?

- Ddim yn ddefnyddiol o gwbl / Not useful at all
- Defnyddiol / Useful
- Ydy i raddau / To some extent

Frequency of Responses
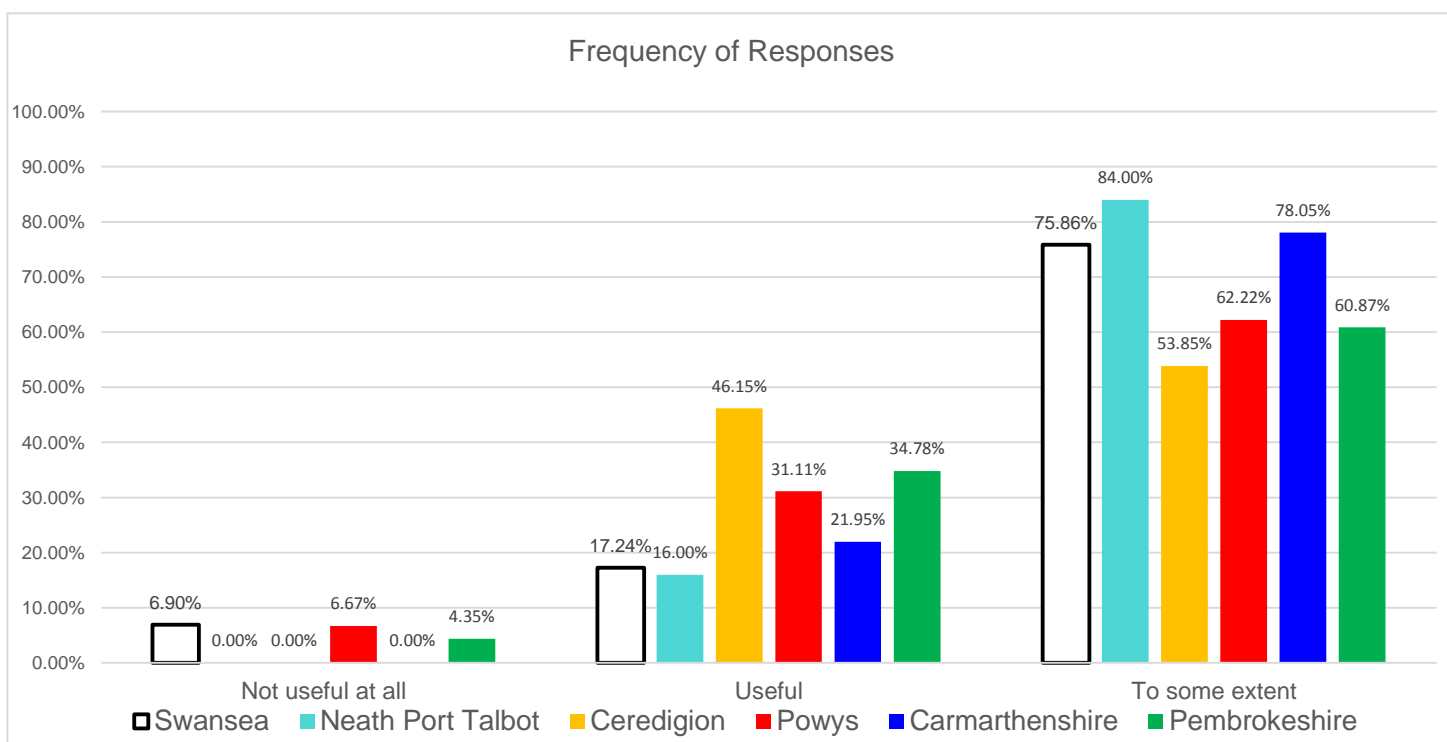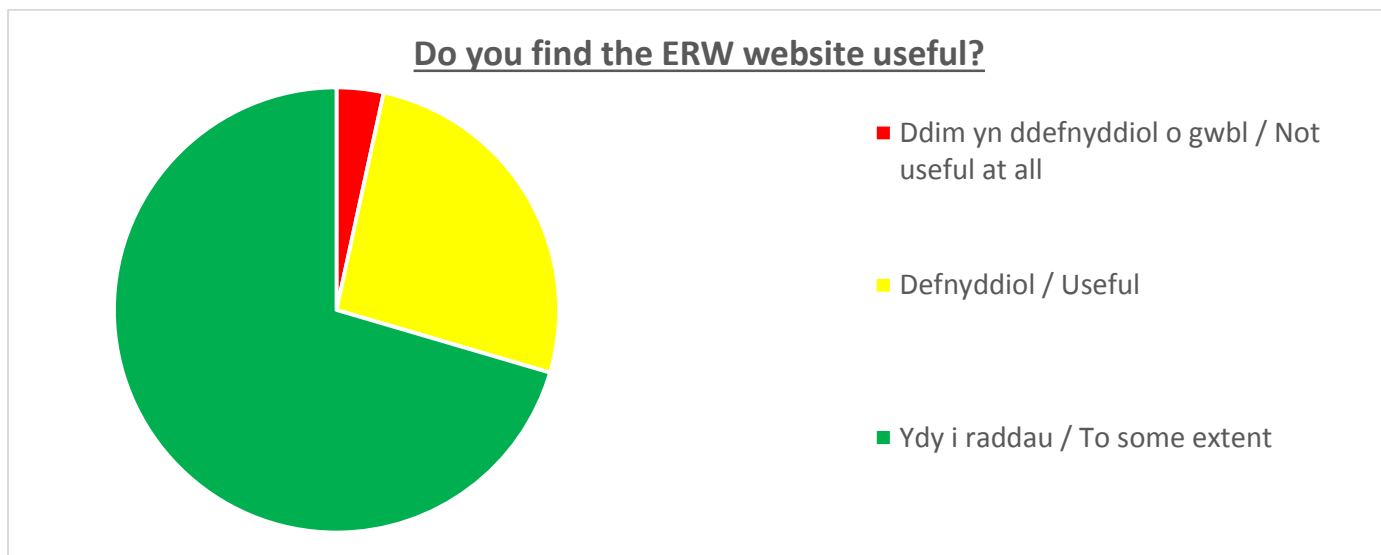
Improvements that could be made to the ERW website.

Headteacher Feedback Analysis

A number of respondents believe that the 'ease of use' of the website needs to be improved greatly, especially navigating and finding what they came to the website for

"It is difficult to navigate and find the information needed." – Primary School HT, Powys.

"Needs to be easier to navigate" - Primary School HT, Powys.

"Sometimes difficult to find documents." - Primary School HT, NPT.

"I haven't got time to be trawling through a website, frankly!" – Primary School HT, Swansea.

Translated – *"Difficult to find some documents"* Primary School HT, Powys.

"Clearer links and greater sign posting of where to find key documents" - Primary School HT, Powys.

"I don't use the website very often, but I have searched for documents to support us in attendance related matters. Hyperlinks to relevant WG and ESTYN documents would also be useful, making ERW website more of a one stop shop." Primary School HT, Swansea.

This was also confirmed in **Robin Hughes' Interviews**

"It is really tricky to find what you want. 'This will be in Teaching and Learning', you think, but then it isn't, so you end up just calling someone." – Primary HT group, Powys

"It is functional. But it isn't clever. It doesn't lead you to other things, like Amazon says 'you bought this, so you may be interested in these'. Why not have links to other relevant stuff, like Estyn reports, Ofsted reports and papers from Universities?" – Secondary School HT, Carmarthenshire.

"Finding what you are looking for on the website can be very frustrating. You end up calling someone, usually, and they send it to you." – Secondary HT Group, Powys

From the comments above and the figures laid out from the Headteacher feedback Analysis, the website is not deemed a success due to the impracticality and its Ease of Use. This in its course deters people from using it, only 41 of the respondents stated that the website was their preferred method of gathering information.

From the quotes that follow we can see a few suggested methods to improve the website to encourage more people to use it as their primary source of information - there is a need for more resources, content and information made readily available for schools

Headteacher Feedback Analysis

"Needs more content which will be useful to schools- there is very little in some areas." – Primary School HT, Swansea.

"Direct links via email to relevant material and information on the website would be useful" – Primary School HT, Pembrokeshire.

"Good practice" - Secondary School HT, Pembrokeshire.

"Easier to access key exemplar documents/policies/guidance/requirements" – Primary school HT, Carmarthenshire.

"ALN section very poor. Has been highlighted during various meetings." – HT form NPT.

Some even requested they be notified when new information was posted on the website or that it be made obvious

"Make it easier to navigate - when there are new posts, can these be flagged up on the front page?" - Secondary School HT, Powys.

Translated – *"Email to show that there are updates put up on the website"* – Primary School HT, Carmarthenshire.

"A quick email to inform us if anything new has been added." - Primary School HT, Carmarthenshire.

A respondent in **Robin Hughes' Interviews** recommended

"It matters if the email is about a 'hot topic'. Literacy or numeracy would be a flag; now, its' Digital Competency." – Former Primary HT, current Primary HT group co-ordinator, NPT

Updating information regularly; information should be shared in a timelier manner, especially regarding courses especially in Carmarthenshire as schools in this LA seem to be informed too late therefore they are unable to attend

Headteacher Feedback Analysis

Translated *- "Information for events often arrive too late. Duplication also occurs regularly as well"* – Secondary School HT, Carmarthenshire.

Translated – *"Often events are announced too late – short notice…"* Primary School HT, Carmarthenshire.

Translated – "*Very often communication happens too late, there is not enough forewarning for courses – one or two weeks notice is not enough in a busy school – a month notice is at least required before sending relevant people to courses/conferences"* Secondary School HT, Carmarthenshire.

Robin Hughes' Interviews

"Late emails giving short notice for training aren't helpful. And it makes you question if the training is any good, anyway." – Primary School cluster HT group, Swansea.

Some schools believe that there was no need to send out bilingual emails/newsletters if the first language of the school was known.

Headteacher Feedback Analysis

"I'd appreciate it if communications could be sent in the school's' first language' only." – Primary School HT, NPT.

"No need to have everything bilingually" - Primary School HT, NPT.

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"Emails are often sent out in Welsh only or there is a very long scroll to find the English version" – Primary School HT, Powys.

Participants in **Robin Hughes' Interviews** suggested that high volume of emails leads to important messages being lost. Fewer communications but with better quality content would be advisable.

"You do get 7 or 8 emails when fewer would do. A better protocol for communicating with headteachers would be good." – Secondary HT Group, Powys.

"Swansea have a Monday email for headteachers. They're trying to pool as much as they can into that mailing to get fewer emails sent to you. It works quite well; it is definitely something I make time for." – Primary School HT, Swansea.

There is also a call for Newsletter to be improved, to be current and engaging

"The newsletter is great but perhaps we need something that is a bit more 'here, this is vital or very important', helping draw attention to something. Otherwise, you can easily miss something or feel that you're wasting some of your time." – Secondary HT Group – Powys.

"There's an ERW newsletter. I don't engage massively with that; it is more of a showcase than it is an information stream." – Primary School HT, Swansea.

"I download every newsletter. But if it's taking too long to load or doesn't capture my attention straight away, I keep them to read later. And then, of course, other things get in the way of doing that." – Primary School HT, Ceredigion.

Other notable quotes from **Robin Hughes' Interviews** on Communication

"You'd see an email has come from your Challenge Adviser and think 'Oh right, I'll have to read that'." - Former Primary HT, current Primary HT group co-ordinator, NPT

When school's CA send them emails they are more likely to read the email compared to if that email was sent as a general email out to everyone.

"If someone shows you the value of the website or HWB or whatever, you start to use it and get the habit. I've only just started to use the ERW website and HWB since taking on a secondment; as a Head, I didn't really use either." - Former Primary HT, current Primary HT group co-ordinator, NPT

"Having a figurehead who is responsible for things, putting a face to things, is helpful. Having them go out to headteacher meetings is probably a heavy workload but perhaps it just has to be done to push communication forward." – Secondary school HT, Powys.

ERW itself

As we can see from the **Headteacher Feedback Analysis** many are satisfied with ERW works with them, there is still a great deal of improvement needed. Some LAs require more attention than others as there is a great deal of variance across the region, for example the respondents of Powys and Pembrokeshire differ greatly in their views on ERW. Even so, some schools perceive ERW as another body that they are accountable to. Schools need to see that ERW is not a separate organisation but a legal alliance within the LA that works with the Welsh Government, ESTYN, and especially the School itself. There is also great deal of inconsistency throughout the region as to what ERW does and stands for. Even though there is still uncertainty among some HT, we can see that there are a few HT that believe since ERW's inception, ERW has been able to provide what their LA could not before.

Headteacher Feedback Analysis

"Schools still need to be guided as to the relevance of ERW. Greater facilitation and promotion of school to school work would be beneficial." – Secondary School HT, NPT

"LA and ERW working in true partnership and this is recognized by schools." – Primary School HT, Pembrokeshire

Translated - *"At the moment I feel answerable to a large amount of people – children, parents, community, governors, LA, ERW, Welsh Government, ESTYN. It would be good to have consistency and to reduce the number of people that we are answerable to (of course not the children and parents!), receive the same clear message from the direction we need to be going regarding curriculum, projects and new enterprises, systems and policies etc. It would be a good idea to have consistency between Counties – the same policies, procedures, systems and documents etc" – Primary school HT, Pembrokeshire.*

Robin Hughes Interviews

"ERW are working on policies, but the LA is also looking at policies. There's some tension there, and as a head, you really do need certainty on which policy to follow. If the LA has agreed that ERW should lead, the LA should step back." – Primary School HT, Swansea.

"If you get policies coming from ERW and the LA, you'll go with the LA because of your liabilities." – Secondary School HT, Powys.

"One of the issues for Powys has always been the capacity to support schools. ERW is giving it that." Secondary School HT, Powys.

"ERW aren't really present in our schools." Primary HT group, Powys

"I know what the LA does. But I don't really know what ERW does." Primary HT group, Powys

"The last few ERW events I've attended were positive and upbeat. It is so refreshing. And a big contrast to what I'm used to from County… I know what my relationship with the Local Authority is, and I know what my relationship with ERW is; but I don't really know what the relationship between ERW and the Local Authority is…
I do think there's quite a few headteachers out there who couldn't tell you what ERW is or what it's about…I've been to quite a few headteacher meetings and it has never really been explained what ERW is and what is about." – Primary School HT, Pembrokeshire.

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"There wasn't much challenge, and not a lot of support either, from the Authority. Things have improved." – Secondary School HT, Carmarthenshire.

"The regional approach began here as a response to budget pressure. Power and authority stayed with County. But now, there's some tension. If something goes wrong at school, the Local Authority may give you a telling off but it is ERW that will give you support. Power and authority are different things, so who has power and who has authority now?" - Secondary School HT, Carmarthenshire.

"Estyn's role is to judge. We all know that. But what is ERW's role? Is it to judge, too? I don't think they know themselves." - Primary School cluster HT group in Swansea

"It is frustrating. I'm not really sure who my master is." - Primary School cluster HT group in Swansea

"Without really knowing what its vision is and what its role is, I don't really know how I relate to it nor what I think of it." - Primary School cluster HT group in Swansea

From a Secondary HT group in NPT:

"I don't think it is very clear what ERW's real purpose is. It is blurred what the real difference between ERW and the Local Authority is." Secondary HT group in NPT

"It isn't really clear that this is what ERW is about, and this is what it can offer to get it done." - Secondary HT group in NPT

"ERW has matured. It has earned the right, surely, to do more and consider more than just Welsh Government priorities. That needs a bit more work." – Secondary School HT, Carmarthenshire.

As we can see there is a varied view of ERW across the region, there are very differing views from schools not really knowing the purpose of ERW where others believe ERW to have taken over some of the roles of the LA.

Even so we revisit the theme that schools perceive ERW to be an additional organisation to answer to which in their eyes creates additional workload, something that ERW in fact should be leading and reducing.

Headteacher Feedback analysis

"Really struggle to see what benefit there is in having ERW and Local Authority. Feel that work is/has increased since the creation of ERW. Work load is something that ERW wish to look at yet they have recently increased the workload." – Primary School HT, NPT

Robin Hughes' Interviews

"ERW is ideally placed to say, 'these are our priorities' and then say 'we need such and such, but we don't need this or that'. ERW can ask 'Is this really necessary?' especially when it comes to data." - Former Primary HT, current Primary HT group co-ordinator, NPT

"Managing all the stuff that's coming our way. Timetabling its impact, identifying what's important and when it needs to be done by – that'll be a role for ERW." – Secondary School HT, Powys.

Inconsistency is a general theme throughout the Headteacher Feedback Survey. Schools are not only asking for consistency in the CA in the region but within their own LA.

"Still too many inconsistencies between challenge advisers." – Primary School HT, Pembrokeshire.

"More consistency in challenge advisors. Very difficult for schools with constantly changing advisors, each with their own ideas." – Primary School HT, Carmarthenshire.

"greater consistency between challenge advisers across the authority" – Primary School HT, Carmarthenshire.

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ERW JOINT COMMITTEE
17 JULY 2017

CLUSTER MODEL

PURPOSE:

To provide the Joint Committee on key developments necessary to deliver the ERW Business Plan and Strategy and respond to key government priorities and improve the quality of teaching and learning in the region.

RECOMMENDATIONS / KEY DECISIONS REQUIRED:

It is recommended that the Joint Committee agree to developing the Teaching and Learning networks of schools across the region to support

- Improving teaching and learning
- Mentoring new and developing teachers
- Implementing Successful Futures
- Delivering key actions from the ERW business plan and menu of support
- Enable further school to school work and move along continuum of a self-improving system.

REASONS:

Despite costs being covered by grants from WG to ERW, there are significant ERW resources included in the proposal over two years.

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EXECUTIVE SUMMARY
ERW JOINT COMMITTEE
17 JULY 2017

CLUSTER MODEL

BRIEF SUMMARY OF PURPOSE OF REPORT

To provide Joint Committee with an update on a key delivery mechanism to delivering support to and between schools.

ERW will fund each cluster to employ a Leader of Learning to support all schools to improve the quality of teaching and learning and to also enhance the capacity of leadership throughout the cluster. These Leaders of Learning will be a key part of the ERW delivery arm to ensure high quality and bespoke support is provided to all schools as and when required.

The work builds on best practice from current LoL secondary work and of the work of other regions in funding collaboration. Including all schools in work planning for Successful Futures needs to be systematic and respond to ERW's (12,000 Sq. Km) geographical challenges.

DETAILED REPORT ATTACHED?	YES

IMPLICATIONS

Policy, Crime & Disorder and Equalities	Legal	Finance	Risk Management Issues	Staffing Implications
NONE	**NONE**	**YES**	**YES/NONE** (Delete as applicable)	**YES/NONE** (Delete as applicable)

1. **Finance**
   Grant funding to second current and future leaders

2. **Risk Management**
   (If there are no implications, delete this implications box)

3. **Staffing Implications**
   (If there are no implications, delete this implications box)

CONSULTATIONS

N/A

Section 100D Local Government Act, 1972 – Access to Information **List of Background Papers used in the preparation of this report:** **THESE ARE DETAILED BELOW**		
Title of Document	**File Ref No.**	**Locations that the papers are available for public inspection**
N/A	N/A	N/A

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Improving Teaching and Learning in all Clusters across ERW.

A delivery and funding model to strengthen support for Teaching and Learning

A delivery and funding model to strengthen support for Teaching and Learning

<u>**Background and Introduction.**</u>

ERW has implemented key successful strategies over the last three years, and has also found where hurdles to effective communication with schools lie.

In addition, funding to support improving teaching, a new curriculum, literacy and numeracy as well as subject support in increasingly coming to regional consortia from WG. A policy steer both nationally and locally, is developing a strategy and methodology of a self-improving system and enabling schools to build their own capacity to self-improve.

ERW currently provides good support to improve the quality of teaching and learning of core subjects in most secondary schools. This support has been well received by schools and supported most targeted schools to secure improvements in pupil outcomes. In addition, this improvement has been maintained in most schools once this support has been removed. This provides good evidence that this method of support has built school improvement capacity. The support for foundation subjects at key stage 4 is developing well. However, due to funding, this is currently mainly focussed on implementation of the new Key Stage 4 courses and less on improving the quality of teaching and learning. In addition, support requirements for Key Stage 5 are likely to grow with the decline in standards and change of examinations. Therefore, this area will require additional support in the future.

ERW's provision for primary schools is less structured and less effective. This is due to the variability in capacity and quality in Local Authorities to support improvements. In addition, in a few cases, current and up-to-date knowledge is less well developed.   As a result, many primary school teachers do not get as effective and well-structured support to increase capacity and improve teaching and learning. In addition, a number of SERs and SDPs do not identify they key aspects of provision that require development.

<u>**The case for development and methodology**</u>

The Estyn Annual report for 2015 – 2016 tells us that "The most important factor in how well learners develop and learn is the quality of teaching. However, teaching is one of the weakest aspects of provision in most sectors". Where leadership and teaching and learning is effective, "leaders have a good understanding of the strengths and weaknesses of teaching in their organisation and arrange professional learning opportunities to improve teaching." However, where leadership and teaching and learning are less developed, "leaders do not have a clear idea of what needs to be improved and self-evaluation reports are often thin on detail regarding teaching."

The OECD report on 'Improving Schools in wales' (2014) work on PISA outlines clear recommendations for improving the quality of teaching and learning in all schools across wales. This report identifies the need to "set high expectations and promote the use of differentiated teaching.

With a high proportion of low performers, about one in five students living in poverty and the same proportion with special education needs, and low proportions of high performers, Welsh schools need to move towards more personalised learning while still setting high expectations for every child." It also outlines the clear need for us to recognise and invest in developing teaching and learning and to ensure we provide staff with continuing professional development"

As identified by the work of The Sutton Trust, "We define effective teaching as that which leads to improved student achievement using outcomes that matter to their future success. Defining effective teaching is not easy. The research keeps coming back to this critical point: student progress is the yardstick by which teacher quality should be assessed. Ultimately, for a judgement about whether teaching is effective, to be seen as trustworthy, it must be checked against the progress being made by students" (Coe et al 2014).

A recent study visit to Singapore has identified the key and effective practice to secure and improve teaching, and, as a result outcomes for pupils.

Of the primary and secondary schools inspected in ERW during the year 2015 – 2016 only a majority (64%) of those schools had the quality of teaching to be judged good or better.

For this reason, ERW is proposing a region wide focus on developing the quality of teaching and learning across all clusters. This will support the development of Successful Futures and support the profession to move towards an action research based model which develop and evolves teaching practice.

In order to develop the self-improving system ERW's work must focus on building school capacity to secure and drive their own improvement. This support will replicate the success of the current Leaders of Learning project.

The proposal.

ERW will fund each cluster to employ a Leader of Learning to support all schools to improve the quality of teaching and learning and also to enhance the capacity of leadership throughout the cluster. These Leaders of Learning will be a key part of the ERW delivery arm to ensure high quality and bespoke support is provided to all schools as and when required.

This would link to the already successful work where cluster Leaders of Assessment have secured improved moderation process across ERW. The funding for these leaders of assessment could be used to enhance this model and secure a more positive focus on assessment for learning in addition to moderation.

Leaders of Learning will:

- Deliver areas of the menu of support as brokered by Challenge Advisers
- identify and provide effective support which build capacity and develops the self-improving system
- model lessons
- develop and provide rich resources which develop pupils understanding of PISA style and new GCSE questions
- assist in the development of departmental / regional Scheme of Work

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- develop joint planning and delivery of lessons
- provide training sessions.
- support the development of Leadership to improve the quality of teaching and learning.

ERW will:

- provide regular and high quality training and support for all Leaders of Learning
- manage the team of Leaders of Learning effectively to ensure high quality support is provided to all schools.
- monitor the impact of the work of Leaders of Learning to ensure capacity is being built across all schools and pupil outcomes improve.
- Provide change management training for all Leaders of Learning to support school in preparation for the new curriculum.
- Ensure all leaders of learning are effectively upskilled in developing literacy, numeracy and digital competence.

Initially, the support for improving teaching will predominately focus on the primary sector as this area of support requires further development. The greatest potential for federation and further collaboration is here too.

Support for secondary schools will continue to be provided for core and non-core through the pool of secondary seconded Leaders of Learning employed centrally. Overtime these will be integrated back into schools and as the self-improving system develops they will provide internal cluster support for secondary schools.

The cluster Leaders of Learning will support secondary schools to improve teaching and learning, initially in a limited capacity.

The development and implementation of Successful Futures.

The Leaders of Learning in each cluster will be key to the delivery of Successful Futures across ERW. These practitioners will be responsible for developing teaching and learning to prepare schools for the implementation and to develop curricular knowledge across all schools.

In addition to this all Leaders of Learning will receive change management training in order to be effective in supporting all schools to implement and manage the change.

Developing Pedagogy for Successful Futures.

Leaders of Learning will develop research networks / PLCs of schools in each cluster.   These research networks will:

- develop the professional learning opportunities that are identified through the formation of the Areas of Learning and Experience over the next twelve months. T
- form part of a wider network across the LAs that will provide a mechanism for dissemination of information about Curriculum Reform to all schools within ERW.

- be jointly guided by ERW and the LAs using an overarching steering group to ensure that the training is targeted towards the needs of the individual schools within the network area.
- Conduct action research based on one of the twelve pedagogical principles identified in Successful Futures to develop understanding of effective practice.

ERW and Leaders of Learning will

- set up networks or PLCs in each LA in preparation for AoLE professional learning needs
- focus work initially on the Digital Competence Framework and the 12 pedagogical principles identified by Successful Futures as essential to "good teaching and learning"
- encourage schools to use action research and expert research to support their work on pedagogy
- share good practice and research results through a variety of medium across ERW
- disseminate information to all schools in ERW about Successful Futures
- encourage school to school support through the establishment of the networks or PLCs and contribute to the creation of a self - improving system
- provide all schools with the opportunity to work in a group with a pioneer school
- act as mentors for supporting new and developing teachers

Research Process for the network / PLC

- Identify the Pedagogical Principle to work on
- Complete initial research. Where are we now with the principle? Where do we want to be?
- Identify the gap and do further research. What do we need to change? What works elsewhere?
- Identify and agree the changes and pilot them
- Quality assure. Have the changes had a positive impact? Identify any additional changes.
- Make any additional changes identified and quality assure again
- Implement and embed the new practice. Disseminate good practice to other schools
- Chairs will feedback progress at milestone points to the Overarching Group

The Twelve Principles are

1. Good teaching and learning maintains a consistent focus on the overall purposes of the curriculum
2. Good teaching and learning challenges all learners by encouraging them to recognise the importance of sustained effort in meeting expectations that are high but achievable for them

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3. Good teaching and learning means employing a blend of approaches including direct teaching
4. Good teaching and learning means employing a blend of approaches including those that promote problem solving, creative and critical thinking
5. Good teaching and learning sets tasks and selects resources that build on previous knowledge and experience and engage interest
6. Good teaching and learning creates authentic contexts for learning
7. Good teaching and learning means employing assessment for learning principles
8. Good teaching and learning ranges within and across Areas of Learning and Experience
9. Good teaching and learning regularly reinforces Cross-curriculum Responsibilities, including literacy, numeracy and digital competence, and provides opportunities to practise them
10. Good teaching and learning encourages children and young people to take increasing responsibility for their own learning
11. Good teaching and learning supports social and emotional development and positive relationships
12. Good teaching and learning encourages collaboration

Research Process for the network / PLC

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3 year development plan.

The Aim of this project is to ensure we grow the process overtime.

2017-18

- Develop and pilot the approach across clusters in ERW
- Monitor and evaluate the impact of the work during each half term
- February 2018: provide directors and executive board with a detailed evaluation of the work and its impact to decide the full role out across the region.

2018 – 2019

- Use Leadership funding with pilot clusters to second current and future leaders to build capacity across the region
  - These post could be
    - internal (develop leadership within a cluster)
    - External to use leaders in other clusters to develop capacity and improve implementation
- Identify additional target funding to increase capacity in identified clusters
- Clusters to develop a joint planning approach for spend of additional grants including EIG where appropriate
- Clusters to consider financial savings by recruiting joint posts for roles such as Business Manager
- Monitor and evaluate the impact of the work during each half term
- February 2019 provide directors and executive board with a detailed evaluation of the work and its impact to decide the full role out across the region
- Develop a menu of support delivery.

2019 – 2020

- Use Leadership funding to second current and future leaders to build capacity across the region
  - These post could be
    - internal (develop leadership within a cluster)
    - External to use leaders in other clusters to develop capacity and improve implementation
- begin the full role out of the development to all schools across the region
- Monitor and evaluate the impact of the work during each half term
- February 2020 provide directors and executive board with a detailed evaluation of the work and its impact to decide the full role out across the region
- Review potential appetite for further collaboration, formalising collaboration structures ect.

Measures of Success

ERW will use a range of evidence to judge the impact of this project year on year. An initial review will take place after 12 months to evaluate impact and review effectiveness.

The evidence base will include:

- pupil outcomes
- teaching details in the second judgement of categorisation
- continuum of the quality of teaching and learning for all teachers in each school
- the overall capacity to improve for each school
- yearly staff questionnaire

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