Full Business Case

North Wales Regional School Effectiveness and Improvement Service (RSEIS)

March 2012

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1. Introduction

1.1 Foreword

North Wales Local Authorities are committed to ensuring that the children and young people in their schools are given the best possible start in life and achieve life skills of the highest standard.

We recognise that Wales has a major challenge in ensuring that its levels of educational attainment are at least comparable with its competitors in the world economy. Our society and economy have no greater asset than the skills and learning capacity of our people. North Wales must play its part in making a significant change in the way it monitors, challenges, supports and intervenes in schools, in order to work in partnership with schools to drive the raising of standards in pupil achievement. New ways of delivering LA school improvement statutory functions must be established that will make a difference to the pace of school performance improvement. The formation of a Regional School Improvement and Effectiveness Service (RSEIS) is an important step within the new delivery mechanisms.

No individual authority can address the current performance issues as a single entity, divorced from working collaboratively with other authorities. The tasks to be engaged and implemented are too onerous and complex. The improvement agenda, common to all authorities, driven on an individual LA basis, would result in a grossly inefficient duplication of effort and processes. Enhancing the collaborative work that is already taking place, through current regional consortia initiatives and processes, allows us to establish and develop a Regional School Improvement and Effectiveness Service.

This exciting development will provide north Wales with a quality school improvement and effectiveness service in a cost effective and efficient manner, to raise standards and 'make a difference' for children and young people. It will champion a new way of driving standards. It will: host new robust systems of performance information to measure effectiveness; raise standards – improving literacy and numeracy; promote well being, raise aspirations; improve pupils resilience as learners; improve outcomes and reduce variation between and within schools to realise the moral purpose of education; support education improvement in schools; and support leadership development within schools and governing bodies.

The RSEIS will be central to school improvement in North Wales. It will be a powerhouse to drive good practice across the region. It will ensure a consistency of challenge and support for schools across the six counties, leading to our children and young people fulfilling their potential.

Richard Parry Jones
Interim Chief Executive Anglesey

Harry Thomas
Chief Executive Gwynedd
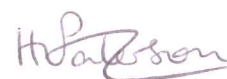
Iwan Davies
Chief Executive Conwy

Mohammed Mehmet
Chief Executive Denbighshire

Colin Everett
Chief Executive Flintshire

Helen Paterson
Chief Executive Wrexham

1.2   Purpose of the Full Business Case

This document will address the issues highlighted by the six North Wales Cabinets / Executive Boards when approving the OBC for consultation (Sept/Oct 2011), and by the stakeholders during the consultation (Oct/Nov 2011):

- the case for change and the vision for the new service needs to be much stronger;

- the quality of the new service for each council as well as the region must be addressed more explicitly;

- the governance and accountability model must be resolved;

- the pensions deficit issues, including any issues relating specifically to the Cynnal company must be addressed;

- the model must be able to demonstrate how it will service the diverse cultural and linguistic needs of the region;

- the model must be able to demonstrate how it will drive standards; and

- the financial and HR issues, including possible impact on staff needs to be set out.

## 2.	Vision for the Regional School Effectiveness and Improvement Service (RSEIS)

The North Wales Consortium will aspire to deliver the following outcomes:

> - O1 -	Improved standards in literacy (Welsh/English) and numeracy (Maths) that compare well with the best in other countries.
>
> - O2 -	A single coherent service for the monitoring, supporting, challenging and intervention within schools across the region.
>
> - O3 -	Deployment of System Leaders with a consistent approach and recent proven record of school improvement.
>
> - O4 -	All schools able to access a much broader range of specialist support than that available in individual LAs currently.
>
> - O5 -	No Local Authorities or schools [learning settings] in any Estyn Inspection category of needing significant improvement or special measures.

When established, the new Regional School Effectiveness and Improvement Service will increase the pace of meeting the aspirations that:

Our Children and Young People:

- individually realise their full potential, and, achieve standards and learner outcomes comparable with the best in other countries

- have access to high quality provision delivered on a consistent basis

Our Schools will access a service that will support them to:

- have leadership and management that drive the best standards and provision

- employ teachers that understand how to meet their learners needs

- have learning environments (working within the constraints of the built environment) that inspire learners to realise their full potential

Our Local Authorities can commission a service that will:

- provide their statutory school improvement functions

- be a centre for excellent practise (and support) that will ensure greater capacity and expertise to be available for schools, utilising System Leaders with a coherent approach and recent proven record of school improvement.

- drive Welsh medium and bilingual development for education communities across North Wales

- deliver value for money, through efficiencies of scale, without compromising on quality

- be driven by the needs of our schools, individually and collectively

3. Regional Overview of North Wales in Context

North Wales is divided into the six Authority areas of Anglesey, Gwynedd, Conwy, Denbighshire, Flintshire and Wrexham. A socio-economic profile of each Local Authority is available in *Appendix 1*.

3.1 Standards

Absolute performance at Consortium level shows a general trend of improvement, comparing well with the other consortia, despite a slight decrease in 2011 when compared with 2010. Performance remains above the all Wales averages.
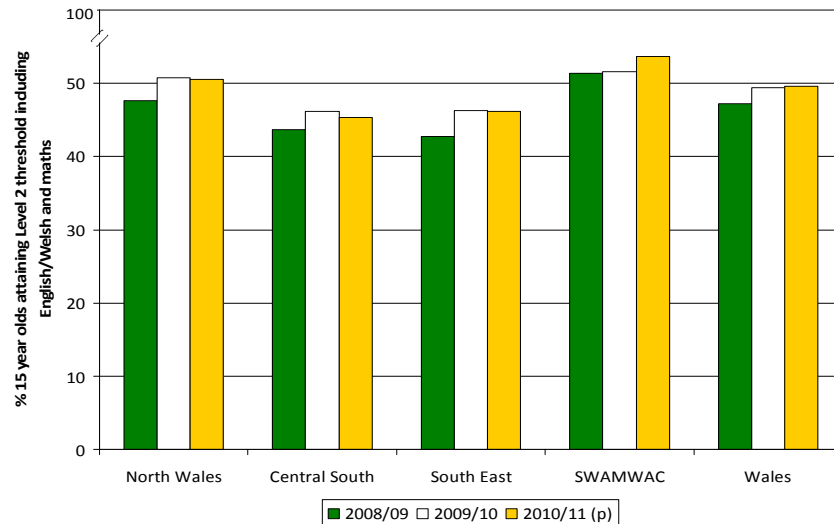
Fig.1

A data analysis of the three year performance of regions across Wales, in the key performance indicators *(Table 1)*, demonstrates that students in north Wales schools on average achieve (i) higher that the national average across all indicators; (ii) the highest standards at Level 1; (iii) the second highest standards at Level 2, Level 2+ and Core Subject Indicator; and, (iv) the second highest standards in the point score indicators.

Table.1

	Pupil No.	Pupil No.	Pupil No.	TL1	TL1	TL1	TL2	TL2	TL2	TL2+	TL2+	TL2+	CSI	CSI	CSI	AWPS	AWPS	AWPS	CPS	CPS	CPS
	9	10	11	9	10	11	9	10	11	9	10	11	9	10	11	9	10	11	9	10	11
North Wales	7959	7880	7766	89.6	91.5	92.3	60.7	65.1	68.9	47.7	50.7	52.1	46.9	49.9	50.8	384.1	404.9	443.4		310.2	317.6
South West	10439	10268	9937	89.6	91.1	92	63.6	65.1	69.6	51.4	51.6	53.9	50.2	50.2	51.9	390.1	405	443.6		311.2	320.2
South Wales	9526	9235	9041	87.7	88.6	89.2	59	61.6	65.4	43.6	46.1	45.6	42.4	45	44.7	379.2	389.7	410.9		297.6	303.5
South East	8676	8614	8258	86.7	88.4	89.5	57.2	61.8	64.6	42.7	46.3	46.4	41.6	44.6	45	358.8	377	398		298.7	304.9
Wales	37607	37072	36088	88.2	89.7	90.3	60.7	63.8	67.3	47.2	49.4	50.1	46	48	48.7	378.9	394.3	422.9		305.1	311.6

Findings by the Welsh Government (on the progress by the North Wales Consortia to meet the objective to facilitate raising standards through; working with partners, self evaluation, use of data, and assessment of capacity) are that:

- for the North Wales Consortium the difference between the level 2 threshold and the level 2 threshold including English/Welsh and Maths, is around the national average;
- there is wide variation across the consortium in the difference between the level 2 threshold and the level 2 threshold inclusive;
- the difference between the level 2 threshold and the level 2 threshold inclusive has increased from 13% to 17% between 2009 and 2011;
- nearly half of the schools in the consortium show a difference of between 10 and 20 percent between the level 2 threshold and the level 2 threshold inclusive; and
- the difference between the percentage of students gaining a GCSE A*-C in English/Welsh, the same grade GCSE in Maths and those gaining the level 2 threshold inclusive is similar to Wales as a whole.

3.1.1 National Banding of Secondary Schools

In February 2011, the Minister for Education and Skills set out the case for improvement and a clear set of actions to drive forward his improvement agenda. The national school banding system is one of these actions and will group schools into bands which will reflect their performance and progress, and consider the challenges they face and their individual circumstances. The Minister has stated:

- categorically that banding is not about labeling schools, naming and shaming, or creating a divisive league table;
- that banding is about grouping schools according to a range of factors to establish priorities for differentiated support and to identify those from whom the sector can learn;
- that the most important element of the banding system will be the framework of support and challenge that will be developed over time to accompany each band;
- that the bands will inform support, challenge and intervention in a more standardised and transparent way than at present; and
- that it will be for local authorities and consortia to agree the detail of how they will use banding to help target support and raise standards for all.

Welsh Government, Topics – 'School Banding', 08 December 2011

In December 2011, the Welsh Government release the banding of Secondary schools based on 2011 data[1]. For the Secondary schools in the North Wales region (with Band 1 being the highest) this placed:

- 15% in Band 1
- 35% in Band 2
- 24% in Band 3
- 16% in Band 4
- 11% in Band 5

The NW Consortia will utilise good practice within the region's schools to support and drive improvement within these schools in Band 4 and 5.

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[1] *Welsh Government Secondary School Banding - 2011 Data*

3.1.2 Programme for International Student Assessment (PISA)

The 2009 PISA survey of the educational achievement of 15- year-olds, found that standards in Wales have lowered since 2006, and in the key areas of reading, mathematics and science the mean score in Wales was significantly lower than the rest of the UK. In all three domains the mean score for Wales and our international 'ranking' was lower than in 2006.

The Minister for Children, Education and Lifelong Learning responded to the survey stating that:
> *'We must all take a level of responsibility for the problem and resolving it. We need to refocus on higher standards, set our ambitions and expectations high and look for improvement in every aspect of our system.'*

3.2 Welsh Language

Welsh medium school provision varies between and within authorities. Across North Wales authorities, 51% of Primary and Secondary schools are classified as Welsh Medium (including those categorised as 'dual stream', or 'bilingual type B').

With 99% of its schools classified as Welsh Medium, Gwynedd has the highest percentage across the region and the whole of Wales, closely followed by the Isle of Anglesey with 96% (including those categorised as 'dual stream', or 'bilingual type B'). As we move to the east of the region towards Flintshire and Wrexham, the percentage of Welsh medium schools (including those categorised as 'dual stream', or 'bilingual type B') is 7% and 12% respectively.

Table.2

	Welsh Medium [2]			Total Schools (Prim & Sec)	% that are Welsh Medium schools
	Primary (Welsh Medium and Dual Stream)	**Secondary** (Welsh Medium and Bilingual Type B)	**Total**		
North Wales	**207**	**25**	**232**	**454**	**51%**
Anglesey	49	4	53	55	96%
Gwynedd	101	14	115	116	99%
Conwy	26	2	28	68	41%
Denbighshire	19	3	22	60	37%
Flintshire	5	1	6	86	7%
Wrexham	7	1	8	69	12%

During consultation, schools in the North East welcomed the prospect of welsh medium support from bilingual RSEIS System Leaders and the prospect of sharing good practice with schools that have extensive welsh medium experience.

3.3 Population and Schools

North Wales has a total resident population[3] of 678,461, 23% of the total population in Wales. Projections suggest that the population of under 16 year olds across North Wales will remain fairly constant over the next 25 years, expecting a decrease of less than 1%. Within the individual authorities the variance fluctuates, with Denbighshire projected to have the highest increase of around 6% and Flintshire the highest decrease of around 9%.

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[2] *WAG, Defining Schools According to Welsh Medium Provision, October 2007*
[3] *Statistical Directorate, Welsh Assembly Government, 2010 Mid-Year Population Estimates*

In January 2011[4], there were a total of 466 Nursery, Primary, Secondary and Special schools within the six LAs, with over 100,000 full time and part time pupils.

	Number of Schools				% of the total number of schools in North Wales	All Pupils by Region & LA (Nursery, Pri, Sec & Special)	% of all pupils in Wales
	Nursery	**Primary**	**Secondary**	**Special**			
North Wales	**2**	**399**	**55**	**10**	**466**	**101,504**	**22%**
Anglesey	0	50	5	1	12%	9,540	**2%**
Gwynedd	0	102	14	3	26%	17,342	**4%**
Conwy	0	61	7	1	15%	16,012	**3%**
Denbighshire	0	52	8	2	14%	15,830	**3%**
Flintshire	1	74	12	2	20%	23,800	**5%**
Wrexham	1	60	9	1	16%	18,980	**4%**

Gwynedd has the highest percentage of schools in the region, followed by; Flintshire, Wrexham, Conwy, Denbighshire and Isle of Anglesey.

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[4] *Welsh Assembly Government, 2010/11 Number of Schools, by sector* and *2010/11 Pupils on roll, by sex and sector*

4. Background and Case for Change

4.1 Current Arrangements

The six North Wales LAs are Anglesey, Gwynedd, Conwy, Denbighshire, Flintshire and Wrexham.

Across the six LAs arrangements for delivering school improvement services vary.

Conwy, Denbighshire, Flintshire and Wrexham have a team of officers based within each authority to deliver the core School Improvement functions to the schools within that authority. Core School Improvement functions refers to the school improvement statutory and advisory functions (monitor, challenge, support and intervene). These are supported by a range of additional school improvement functions e.g. Early Years, 14-19, Inclusion, Music, Athrawon Bro(teachers), ICT support staff, Healthy Schools, Active Young People, PESS, MIS.

A full breakdown of the School Improvement functions considered 'in-scope' for this project is available in *Appendix 2*.

Anglesey and Gwynedd commission Cynnal to provide support for core and additional School Improvement functions.

Across the six North Wales LAs extra subject specific support is commissioned from Cynnal or Curriculum Support, directly by the LAs or schools.

4.2 The Educational Case for Change

Standards achieved by pupils in Wales are not as good as pupils in some other countries.

The most able pupils in Wales are a year behind in their development of literacy skills than pupils in some other countries.

We currently have unnecessary duplication of systems across the six Local Authorities to manage services and to deliver common requirements, such as, to appoint and train System Leaders; set up Professional Learning Communities; set up School Profiling Systems [data analysis systems]; meet the requirements of the School Standards and Effectiveness Frameworks; collaborate with other authorities to coordinate the implementation of various WG initiatives and grants.

Given the current financial climate, collectively, there are inefficiencies in use of monies when there is the potential to ensure decreasing resources are used to greater effect through efficiencies of scale.

Opportunities

- The RSEIS demonstrates that North Wales Local Authorities understand the need to change the way School Improvement Services monitor, challenge, support and intervene with schools in order to further improve the standards of education within schools.

- The RSEIS mitigates the risk of decreasing LA budgets and fewer resources, negatively affecting the quality of individual LA School Improvement Services.

- The RSEIS ensures all schools across the region have access to Welsh language support.

- The RSEIS aspires to develop and build on current good practice (in individual LA School Improvement Services) as the minimum level of quality from which to establish the new service whilst, (i) retaining local delivery and ownership where appropriate (ii) ensuring linkage to current Inclusion and ALN Services, and (iii) progressing the increasing collaborative working at Consortium level.

- The RSEIS enables key issues from current Estyn Inspection Reports of LA Services, Schools and other settings to be addressed collectively, and, to prepare for the new Estyn Consortium Inspections from 2014.

- The RSEIS enables the dissemination of good practice across the region.

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4.3   Financial Case for Change

4.3.1   Current Gross Cost / Cost per Pupil

Based on the information received and verified by each of the six Statutory Chief Education Officers, analysis was undertaken to establish the current 'cost per pupil' of delivering the existing statutory and advisory 'in-scope' School Improvement functions for each LA (defined in *Appendix 2*) .

In order to establish a true spend, the analysis takes account of <u>all</u> time spent delivering the functions, regardless of the percentage identified (e.g. no minimum or maximum percentage bar), and includes salaries funded by grants and estimated transport costs.

Table.4

	Total FTE of Advisory Employees (all %ages)	Total FTE Admin Staff	Cost of School Improvement Services (all %ages)	Pupil Numbers	Cost per Pupil
Cynnal	16.75	10.84			
Ynys Mon	0.95	0.00	489,000	9,540	51.26
Gwynedd	1.00	0.00	779,000	17,342	44.92
Conwy	10.13	1.67	724,000	16,012	45.22
Denbighshire	14.01	4.65	1,004,000	15,830	63.42
Flintshire	17.01	5.47	1,264,000	23,800	53.11
Wrexham	11.68	4.00	859,000	18,980	45.26
	72	**27**	**5,119,000**	**101,504**	**50.43**

The cost of school improvement staff within Cynnal is not included separately in the table as the associated charges are with each individual LA.

The total gross cost of providing the 'in-scope' functions across the six NW LAs is **£5.1m**. This equates to an average cost of £51 per pupil, with a high of £63 and a low of £45. The Minister has stated his expectation that the cost per pupil should reduce in order to release funding to schools, and has referred to a target in the region of £33 per pupil.

4.3.2 Current Spend Based on Staff in Scope

An analysis by LA is available in *Appendix 3.*

For the purpose of this project, the NW ADEW Directors agreed that if a member of staff spends equal to, or more than, 60% of their time on the identified functions, they are considered 'in-scope' (see *Appendix 2*).

There are 112 members of staff 'in-scope across the six LAs and Cynnal, 72 directly delivering 60% of more of the identified school improvement functions, and 40 administrative staff (including translation staff) delivering 27 full time equivalent (FTE) contribution on these activities.

The following considerations have been applied:

▪ to reflect the influenceable spend within each LA, salary costs for the 72 members of staff in-scope are included at 100% cost;

▪ salary and transport costs associated with staff in-scope for Cynnal, are reflected within each LA costs as the actual charges made for that service (impacts on Ynys Mon, Gwynedd and Conwy costs);

▪ salary costs associated with staff in-scope for CS, are included as staff salaries within the employing LA, with any balance shared between the partnership LAs (Conwy, Denbighshire and Flintshire);

▪ to ascertain the overall current transportation costs for LA based staff - for each individual the percentage identified as spent on in-scope activities was applied to their total transport costs. This results in overall current estimated transportation cost of £97k; and

▪ actual administrative salary savings will in the future depend on which support staff are transferred to the new service, and which will remain with the LA.

	Total Number of Advisory Employees (>60%)	Total FTE Admin Staff	Influenceable Spend*	
				Table.5
Cynnal	21	10.84		
Ynys Mon	0	0.00	435,000	
Gwynedd	0	0.00	711,000	
Conwy	11	1.67	723,000	
Denbighshire	10	4.65	728,000	
Flintshire	17	5.47	1,122,000	
Wrexham	13	4.00	684,000	
	72	**27**	**4,403,000**	

*Salary and transport costs for all staff in-scope, plus any charges for in-scope services with Cynnal and/or CS, are excluding expenditure funded by external grants. The cost of school improvement staff within Cynnal is not included separately in the table as the associated charges are with each individual LA.

The influenceable spend that will provide a basis for building up the financial model within this Full Business Case is **£4.4m** (staff in-scope, plus transport costs).

From this revenue the project is committed to achieving a 10% saving, and each LA will need to consider how they will meet the cost of commissioning the new service, and possibly fund posts to deliver the residual School Improvement functions.

4.3.3   Current Delegation Arrangements

Arrangements for funding school improvement services vary across the six LAs. Some Authorities have delegated part of the school improvement functions to individual school budgets.

The level of current delegation will need to be considered by each LA when funding the new regional service. It is proposed that each LA reviews the current arrangements to ensure sufficient centrally held budget to enable the LA to pay their share of the cost of the regional service whilst also maximising the funds to be delegated to schools.

Each LA is responsible for reviewing its own funding arrangements, which will inform the implementation stage of this project.

4.3.4   School Improvement Functions Funded by Grants

Some of the LAs currently fund elements of the school improvement service with grants totalling £311k.

It is important to note that whilst expenditure funded by grants is included in 4.3.1 'Current Cost per Pupil' to demonstrate total costs, expenditure funded by grants is excluded from the costing exercise in 4.3.2 'Current Spend Based on Staff in Scope' to establish the LA budget for this project, the 'influenceable spend'.

Grants may be used by LA and/or schools in future to commission additional service from the regional service, depending on the individual terms and conditions of each source of funding.

5.   Key Functions of the RSEIS

The vision is to establish a regional School Effectiveness and Improvement service to be accountable to, and undertake the statutory responsibilities of, the six local North Wales Authorities in respect of the duties to monitor; challenge; provide support services for curriculum continued professional development and management of schools, and in addition provide services that can be commissioned by schools and local authorities.

The **6 key functions** of the new regional service, underpinned by the core principle of delivering on local and national welsh language strategies to develop and increase excellence in pedagogy and Welsh medium/bilingual education in communities across North Wales, are as follows:

1. supporting LAs to undertake their statutory functions in relation to school effectiveness;
2. provide support for both LAs and Schools (jointly and separately as the case may be) in School Improvement activity;
3. specifically undertaking responsibility for the Implementation of SEF and for CIF accountability;
4. making provision for the development, maintenance, and review of regional frameworks on a commissioned basis;
5. providing a centre of expertise for MIS service and for the management analysis and interpretation of data; and
6. provide a specialist centre for Education Management matters and an Education Human Resources Service to provide expertise and advice.

For a full description of the 6 key functions see *Appendix 4*.

5.1   Key Aims and Objectives of the RSEIS

Taking due regard for the national and regional drivers, the **key aims** are to establish a regional school improvement service which will:

- implement the national School Effectiveness Framework to raise standards and improve wellbeing by reducing variance within and between schools and local authorities, whilst taking account of local need;
- respond to the Estyn inspection regime, which has raised the bar and emphasised partnership working in its revised inspection criteria;
- identify efficiency savings; and
- provide a foundation that allows future regionalisation of other/linked Education services.

The *Education and Other Related Services Regional Board* will aim to deliver the project against two overarching **objectives**:

- to be delivering the School Effectiveness and Improvement Service under the regional arrangements across the six North Wales Authorities, by September 2012; and

- to identify savings through the delivery of a regional School Effectiveness and Improvement Service of 10% of North Wales expenditure.

6.   Consultation with Stakeholders

6.1   Findings of the Stakeholder Consultation on a Regional Service (March 2011)

The findings of the *'Report on the Feasibility and implications of establishing a Regional School Effectiveness and Improvement Service for the six North Wales Local Authorities'*[5], indicate that such a service is feasible and would provide a key transformational development that could provide high quality provision and contribute to achieving improved outcomes for learners. It would also enable both schools and LAs to fulfil their statutory obligations.

In March 2011, individual Authority consultation meetings with relevant stakeholders within each authority were organised by the individual Directors/Chief Officers, with further reports to scrutiny committees and executive boards of the six LAs. In addition, consultation with relevant Focus Groups (with Headteachers; School Governors; Trade Unions), comprising of representatives from across the region were conducted by the Consortium Officer and the Independent Consultant.   The subsequent Report[6] found considerable support for the strategy; in many cases the establishment of a regional School Effectiveness and Improvement Service was welcomed; others recognised the drivers towards such a service and their impact. At the same time there was support for the implementation of the Option.

The ensuing decision of the Education and Related Services Regional Board was to proceed collaboratively and seek to establish a regional School Effectiveness and Improvement Service fit for future purpose, (in particular the implementation of SEF), that builds on current strengths, and provides an integrated service across the region. This regional service will be owned by the six LAs and will operate as a separate entity under a joint commissioning framework. This will require the regional service to be professionally rigorous and focus on pedagogy, learning, and leadership in its dealing with schools; similarly, professional rigour will be required of schools and LAs. Such an approach will be crucial to the success and credibility of this development.

6.2   Findings of the Stakeholder Consultation on the RSEIS Outline Business Case (OBC) (October 2011)

In September 2011, the draft OBC was presented to all six Executive Boards who resolved:
- that the OBC should be widely consulted upon with stakeholders from October 2011;
- to establish a regional service by September 2012, subject to the FBC; and
- that the recruitment process for the appointment of a Chief Officer can begin, with the appointment to take place once the FBC has been adopted in all six authorities.

Consultation on the OBC was carried out with stakeholders across the six authorities during October and November 2011. A full Consultation Plan for the OBC was developed and each Local Authority was provided with a 'Consultation Pack' which included a copy of the OBC, a generic presentation, an executive summary, discussion papers, a copy of the Consultation Plan, and a feedback form.

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[5] *'Report on the feasibility and implications of establishing a Regional School Effectiveness and Improvement Service for the six North Wales Local Authorities'* Gerson Davies, Independent Consultant, January 2011

[6] Report on Consultation in relation to the proposal to establish *a Regional School Effectiveness and Improvement Service for the six North Wales Local Authorities'* Gerson Davies, Independent Consultant, April 2011

The key findings from the consultation with stakeholders on the OBC are: *Table.6*

DELIVERY MODEL	
Core Team	The number of Systems Leaders will need to be more than 31.
	3 visits per schools per year is not enough.
	Schools want System Leaders that have local knowledge of their schools.
	Need to clearly define the Vision for the RSEIS in the FBC.
	'Additional Support' should be available to all schools to drive rising standards.
	Geographical issues will need to be identified and addressed.
	The Core Team will require data stream / analysis (ICT).
	Additional considerations for the Core Team (based on the OBC model).
Subject Specialists Extended Team	Concern that Curriculum Specialists are in the RSEIS Extended Team (not permanent posts).
	There would need to be a basic commitment from Schools to the service from the Extended Team (based on the OBC model).
Secondments	Whilst it is recognised that a secondment is a good opportunity for staff development, schools are finding it increasing difficult and impractical to release good staff.
LA Based Officers	Need to further define the Home Team, it responsibilities and its relationship with the RSEIS.
Standards / Quality	Need to show how the RSEIS will improve standards, delivering at least, if not more, than what is currently in place.
Welsh Language / Bilingualism	The RSEIS must to be a bilingual service.
	All staff employed by the RSEIS do not have to be bilingual in order to ensure a bilingual service.
Costings / Savings/ Delegation	Concerns that, whilst increased delegation is welcome, there will not be enough money delegated for schools to buy in the extended team provision.
Project Timescales	Concern that the project timescales are too tight and that this may result in an ineffective service.

GOVERNANCE MODEL	
Constituency of the Governance Arrangements	There need for fair representation in the Governance arrangements to include; schools, governors and diocese – all with voting rights.
Accountability within the Governance Arrangements	The FBC will need to show the accountability within the Governance arrangements.

ROLE OF SYSTEM LEADER / HR	
Transitional Arrangements	Clarification is required with regards to; safeguarding pay, pensions and employment of affected staff; early retirement / voluntary redundancy packages; timetable for staff changes; redundancies process, process for appointment and the proposed structure of the RSEIS.
System Leader Posts	A rigorous approach is required to appoint the System Leaders.

7. Governance Model

7.1 Governance Option Appraisal

In July 2011, the OBC undertook an initial exercise which considered the various options for Governance, and recognised that further work would need to be undertaken before a decision could be reached.

The NW ADEW Directors commissioned expert legal advice from Trowers and Hamlins, who produced two reports on the types of, and benefits / disadvantages of, the various Governance models. The initial assessment from Trowers and Hamlins on the governance options in relation to the RSEIS, recommended that the project consider the options for a 'Joint Committee with a Host Authority' and a 'Company Limited by Guarantee':

- **Joint Committee with a Host Authority** – functions are delegated by each LA to a Joint Committee with membership from all six LAs and Service stakeholders. A Host Authority is identified to employ staff and provide some support functions.

- **Corporate Arrangements (e.g. Company Limited by Guarantee)** – an arms length arrangement would be set up as the 'corporate vehicle' to deliver the service. All LAs would need a contract with this corporate vehicle to buy services, and arrangements would need to be in place for ownership and governance.

A workshop (attended by the Project Team, ADEW Directors and Legal Officers from across the six North Wales Authorities) was then facilitated by Trowers and Hamlins to consider the options in the context of the RSEIS. Following this a full Option Appraisal was carried out with a range of stakeholders on the 'Joint Committee with a Host Authority' and a 'Company Limited by Guarantee' governance models (see *Appendix 5*).

Based on the findings of the option appraisal, **the recommendation by the Education and Other Related Services Board is that a 'Joint Committee with a Host Authority' is adopted as the governance model for the Regional School Effectiveness and Improvement Service**, with the expectation that the model is reviewed as part of the post implementation review.

In the context of the regional service being developed, the main disadvantages (scoring 0 - does not meet the criteria) associated with a 'Company' model are in relation to:

- the pensions deficit (see 7.2) - whilst both options will have a pensions deficit evaluation which will need to be paid back over a number of years, the contribution rate towards the past service deficit may be unaffordable due to a more restrictive pay-back arrangement as a company in its own right (based on an actuary evaluation on estimated data); and

- the ability to take advantage of VAT exemption - with a company limited by guarantee in this context, because the majority of its income will come from the provision of education and closely related services (exempt from VAT), it is not permitted to recover VAT on any purchases/overheads which relate to those services.

It was also recognised that:

- the initial set-up and ongoing costs relating to ICT for the service under a company model would be double that of a Joint Committee with a Host authority, requiring support to be procured in the private sector (there being a conflict of interest in the case of an LA providing this support);

- political buy-in would be more unlikely in the Company model when considering the potential personal liability for Directors of the company (although insurance should be taken out and indemnities given), and the potential conflict of interest between Members sitting as Directors versus Members sitting as Councillors; and

- staff buy-in would be more unlikely in the Company model with staff preferring an option where they remain employed by the LA and remain in the LGPS, and likely to result in opposition from staff and their unions due to perceived worries about pay, conditions, pensions etc.

7.2   Pensions Deficit - Estimated Contribution Rates for RSEIS

The Actuary for the Gwynedd Pension Fund has provided an initial estimation of the potential pension deficit and pension contribution rate for the new regional service. The information provided to the actuary to base this estimation was limited and the conclusions made can only be an indication of the potential rates as the actual employee information will not be known until the HR process has been implemented.

The Options for the *treatment* of the pension deficit evaluated for the regional service are:

Option 1: Fully Funded Approach (the pension deficit remain with the current employer)
- The overall pension deficit for the employer would remain unchanged.
- Existing employer could voluntarily pay amount of the pension deficit to the pension fund and crystallise the amount within the authority accounts, with regard to the staff transferring.
- If the existing employer chooses not to crystallise the amount this would be reflected within the next valuation of the pension fund. There would be fewer staff from which to recoup the deficit in contributions which could lead to a higher contribution rate for the employer.

Option 2: Share of Deficit Approach (the pension deficit transfers to the new regional service)
- The actuary for the pension fund would make a valuation with regard to the regional body to assess the required contribution rate to reflect both the future service contribution and the past service deficit

It is anticipated that all collaborative arrangements will use Option 2, and in this particular case Option 1 is not a viable option when we take account of the company Cynnal, who with Company status, has no obligation to retain the pensions deficit for staff transferring to a new service.

Therefore, the financial modelling for RSEIS has included the estimates on the basis of Option 2 with a 'Share of Deficit Approach', based on the spreading period normally allowed for a Local Authority (past service adjustment 'spread' over 20 years).

A full overview of the pension issues for the RSEIS is available in *Appendix 6.*

7.3   RSEIS Governance Accountability Model

The following model shows the accountability relationship between the Local Authority and the RSEIS.

Local Accountability

- Each local authority(LA) will commission (buy) the service from the collaborative RSEIS organisation
- The LA retains power to negotiate the service level agreement / contract with the RSEIS or delegation arrangements with schools, which may require local variation
- The LA Chief Education Officer retains the statutory responsibility for the delivery of the functions with the support of the Executive Member
- The Joint Committee are accountable to the council as a whole
- The LA Chief Education Officer and Executive Member will ensure that the service meets the needs of their schools

Fig.2

Regional / Collective Accountability

- Achieved through a *Joint Committee with a Host Authority* model
- Councils can appoint members of the Joint Committee, who can be Members and otherwise
- Joint Committee members need to put the interests of the collaborative entity first to manage the 'whole service', focusing on the 'collective' interests
- The Joint Committee will oversee management of the RSEIS, with the support of the NW Consortium in their role as Educational Specialists responsible for driving standards
- The Joint Committee are accountable to the council as a whole, with Joint Committee members accountable to their own LA council and scrutiny members
- The RSEIS Chief Officer will be responsible to the Joint Committee
- The Joint Committee will receive support and challenge from the *'RSEIS Schools and Governors User Group'*

Accountability to each NW Cabinet/Executive

Accountability to each NW LA Scrutiny Committee

RSEIS Schools and Governors User Group

Joint Committee
(Councils appoint members of the Joint Committee)

NW Consortium (Statutory Chief Education Officers)

RSEIS
(Managed by a Chief Officer)

7.4   Deciding on the Host Authority

In order to employ staff under the Joint Committee, the new RSEIS will need to use a Host Authority, which will be one of the six North Wales authorities.

Complimenting the 'employment' role, the Host Authority will also be responsible for providing HR, Finance and Legal support to the staff and the new service (Tier 2).

Expressions of interest to be the Host were invited from Local Authorities. Following careful consideration, the NW Chief Executives Group are by majority decision recommending Gwynedd as the RSEIS Host Authority.

7.5   Constituency of a Joint Committee

This is an outline approach, which would be developed and established by the RSEIS *'Chief Officer'* and *'Joint Committee'* during April to September, following the adoption of the FBC.

The JC would consist of *'voting members'* and *'co-opted non-voting members'*

Table. 7

Voting Members	Co-opted Non-voting Members
6x Education Portfolio Members *one from each NW LA*	6x Statutory Chief Education Officers *one from each NW LA*
1x Diocese Representative *nominated from across the Wrexham, St Asaph and Bangor Diocese, on a rotating bi-annual term*	1x Legal Representative *nominated by the members of the NW Legal ADEW, on a rotating bi-annual term*
1x Secondary Schools Representative*	1x S151 Representative *nominated by the NW S151 Treasury Group on a rotating bi-annual term*
1x Primary Schools Representative*	
1x Special Schools Representative*	
1x Governor Representative*	
11 voting members	**8 non-voting members**

Total of **19 members** (voting and non-voting)

Notes:
1. In addition, a *'RSEIS Schools and Governors User Group'* would be established to provide support and challenge to the JC. The members of this group would nominate a Secondary, Primary, Special and Governor representative to take the voting seats on the JC*. This would be on a rotating bi-annual term.

2. Trowers and Hamlins have confirmed *'that the six Councils may appoint third parties (Diocese, Schools and Governors) to sit on the Joint Committee, but it is then a matter of choice as to whether they are given voting rights. Without further specific action, the position under the Local Government Act 1972 is that they would have voting rights, in that the Act is silent on it. However, there would be nothing to stop the Councils appointing on a non-voting or observer status if they so chose'.* The model assumes voting rights for these third parties to satisfy stakeholder concerns expressed in the OBC consultation and to recognise the Schools as key 'buyers' of the RSEIS Service (albeit in most cases through the LA).

8. Delivering the 6 Key Functions

In order to deliver the six key functions (section 5), the programme will be delivered in four inter-dependant tiers:

- Tier 1 will deliver the NW regional strategy for raising standards to meet the national School Effectiveness Framework, through the NW Consortium.
- Tier 2 will deliver the new NW Regional School Effectiveness and Improvement Service(RSEIS) to support Tier 1.
- Tier 3 will deliver the MIS Structure (Capita ONE) to support Tiers 1 and 2.
- Tier 4 will deliver the 'Support Functions' to support Tiers 1 and 2 (Host Authority).

Whilst this Section (8) will describe all four Tiers, the focus of this Full Business Case is on the Tier 2 project to deliver the new NW Regional School Effectiveness and Improvement Service.

Key Milestones Dates for Tiers 1 to 4

Table.8

Milestone Date	Description	Tier
Feb / Mar 2012	RSEIS Full Business Case to LA Cabinets / Executive Boards	2
Mar 2012	Host Authority for the RSEIS agreed	4
April 2012	Appointment of the RSEIS Chief Officer	2
	Procedures and processes in place for sharing & disseminating expertise within and between ONE and SIMS	3
	Appointment of full-time Information Manager to manage the Regional Management Information Project	3
Jun 2012	Procedures and processes developed for B2B (student data and attendance), Bases, and PULSE	3
Sept 2012	Appointment of the RSEIS System Leaders and Support Staff	2
	Joint Committee established	2
	Common System Leaders approach to monitoring and challenge school performance.	1
	Common System Leaders approach to support and intervention in school performance	1
	Common single collation of school performance data collection and analysis	1
	Common School Leadership and Management Tool	1
	Common Profiling of Local Authority Performance	1
	Common approach for Facilitating and Capturing Good Practice	1
	Common School Heads and Governing Body Roles and Responsibilities in relation to Standards	1
	Common practice for facilitating and capturing good practice from Professional Learning Communities [PLCs]	1
	Coordination of regional Literacy, Numeracy and Inclusion Strategies	1
	Capita ONE hosted solution goes live – users across the region access their data from Flintshire	3
	B2B (student data and attendance), Bases, and PULSE modules are implemented with access to a harmonised set of standard reports identified and developed with all Heads of School Improvement	3
	Information sharing protocol and data transfer agreement in place for all Authorities and their schools	3
Nov 2012 to Mar 2013	Team Building, cultural alignment workshops, induction programmes, specific skills training for the staff appointed to the RSEIS	2
April 2013	Staff transfer to the RSEIS, employed by the Host Authority	2 / 4
	Host Authority for the RSEIS provides HR, Finance and Legal support to the staff and the new service	4

8.1 NW School Effectiveness and Improvement Agenda in the Wider Context of School Improvement

The NW School Effectiveness and Improvement Agenda (Tiers 1 to 4) will contribute to the wider School Improvement Service being delivered locally for schools.
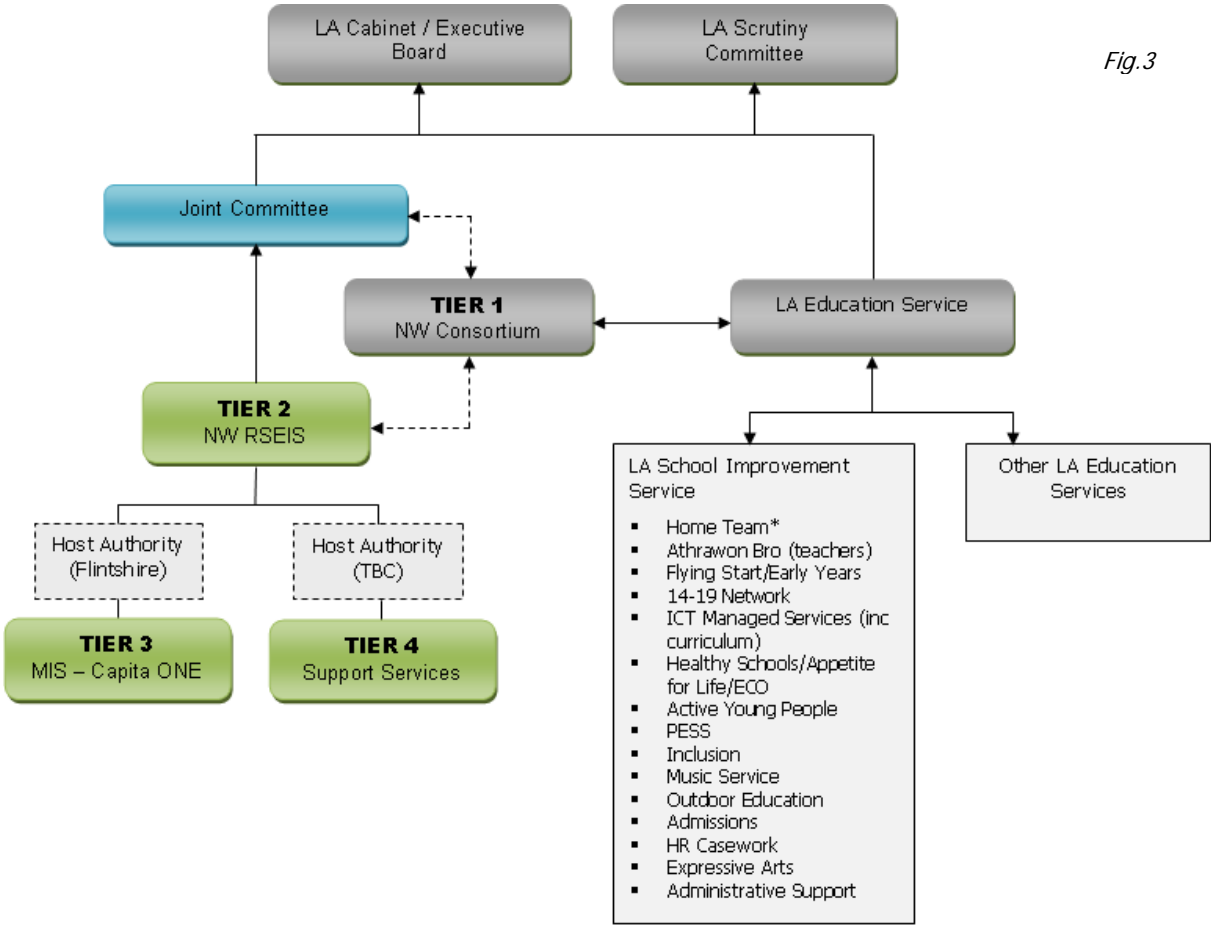
Fig.3

The statutory role of Chief Education Officer will remain with the *'LA Education Service'*.

The *'LA School Improvement Service'* includes those areas that contribute currently to the overarching *'LA Education Service'*, but (with the exception of HR Casework) are not carrying out the 6 Key Functions that are currently 'in scope' for the RSEIS.

The *'Home Team*'* staff will be identified by each LA as staff required to fulfil those school improvement functions not covered by the RSEIS <u>nor</u> the other teams in the *'Local Authority School Improvement Service'*. These staff will remain employed by the Local Authority.

The *'Other LA Education Services'* are those areas e.g. Site Management, Catering, SEN, that work alongside the School Improvement Service, contributing to the overarching *'LA Education Service'*.

The four Tiers of the RSEIS are explored in the subsequent sections 8.2 to 8.5.

8.2 Tier 1 - North Wales Regional Agenda for Raising Standards

From September 2012, all (current) LA School Improvement Teams, Cynnal and CS will be working to an agreed regional strategy that will ensure consistency in the processes to monitor, challenge, support and intervene in schools across North Wales.

This will result in a significant change across the six N Wales Local Authorities in the process for engaging with schools to drive increasing standards and improving performance. Local Authorities across the region are committed to ensuring that this new way of collaborative working will result in improved standards and make a positive difference to school and pupil performance.

Background

This approach has been driven by the Association of Directors of Education Wales (ADEW) North Wales Consortium. The group comprises the Chief Education Officers of each constituent authority, and is supported by a Consortium Coordinator and Consortium Office (hosted by Gwynedd LA).

In 2009, the Consortium established an operational group - the School Effectiveness Framework(SEF) Steering Group to drive the School Effectiveness Framework agenda forward and identify potential joint working arrangements. The SEF Steering Group consists of; a senior representative of each LA, the Chief Executive of Cynnal, and the Cynnal's Senior Primary School Improvement officer representing Gwynedd and Anglesey (the two authorities regard Cynnal as an extension of the authorities). The Group is chaired by the Consortium Co-ordinator. The Group has worked on a number of areas that will, from September 2012, deliver a single unified strategy and processes for a collaborative approach, allowing the six authority teams, Cynnal and CS to work in new ways to deliver LA school improvement statutory functions that will increase the pace of school performance improvement.

Delivering the Regional Strategy

Tier 1 work incorporates the linkage with Inclusion, ALN and School Support Services that are so essential to provide schools with the necessary support to meet the needs of each individual pupil. This linkage extends also to multi agency work, especially when developing the Team around the Family concept of meeting individual needs through partnership working.

From September 2012, there will be in place various interdependent strands of collaborative common approaches in operation within Tier 1 to monitor, challenge, support and intervene in schools across the region:

Strand 1 –   Common System Leaders approach to monitor and challenge school performance.

All monitoring and challenge meetings with Head teachers and senior LA officers in every LA will have a new common agenda, focus and quality of delivery. All officers will have received System Leader training.

Strand 2 –   Common System Leaders approach to support and intervention in school performance.

All support and intervention for individual schools in every LA will have been targeted from common regional criteria set from a new common School Improvement element within each LA School Partnership Agreement. All officers will have received System Leader training.

Strand 3 – Common single collation of school performance data collection and analysis

All LAs will have access to a regional core data set of individual school performance across the region and an analysis of performance utilising Key Performance Indicators with Free School Meal ranking. This will facilitate a consistent use of data for the identification of key trends across and within LAs, to facilitate (i) the sharing of good practice from high performers, and, (ii) targeted regional support for groups of schools with common causes of poor performance.

Strand 4 – Common School Leadership and Management Tool

All schools across the region will have access to a School Leadership and Management tool that will ensure a common understanding of agreed criteria for professional standards and quality. This will assist System Leaders to secure a common understanding of the criteria, allow school management teams to utilize it for self assessment purposes, provide a useful training tool within and between schools and in monitoring and challenge meetings with LA officers / System Leaders. It will ensure common regional quality of assessment outcomes for targeting support and intervention to improve school performance.

Strand 5 – Common Profiling of Local Authority Performance

There will be a profile of each LA performance against a series of performance indicators. The profile will identify (i) those schools with good practice in specific fields, and (ii) individual and groups of schools requiring specific levels of support and common key issues that require attention. This will facilitate sharing good support and intervention activities across the region.

Strand 6 – Common Approach for Facilitating and Capturing Good Practice

Further work will be undertaken in formalising criteria for good classroom observation practice. This will facilitate consistency in quality practice for system leadership across the board.

Strand 7 – Common School Heads and Governing Body Roles and Responsibilities in relation to Standards

Further work will be undertaken in developing a regional protocol to ensure head teachers and governors have clarity regarding their roles and responsibilities in relation to professional discussions on school performance. This will facilitate consistency in quality practice for system leadership across the board.

Strand 8 – Common practice for facilitating and capturing good practice from Professional Learning Communities (PLCs)

Monitoring meetings between LAs and schools across the region will include a focus on the developing PLCs that were established as a result of a regional programme of training and guidance in 2010-11. WG is developing a national website in relation to PLCs which overrides the Consortium Moodle based interactive tool which focuses on research for improvement and effective practice. The national and regional thrust for collaboration has highlighted the need for practitioners to share best practice and this has been enthusiastically endorsed by the Regional Education and Related Services Programme Board as a means of raising standards. The SEF Steering Group has facilitated the national training programme and already conducted an initial overview of effectiveness and outcomes during the Autumn Performance Visit 2011.

Strand 9 –   Coordination of Regional Literacy, Numeracy and Inclusion Strategies

Further work will be undertaken to develop the regional strategies driven by the established regional steering groups for Literacy, Numeracy and Inclusion. The work will link to national strategies and intended outcomes.

Besides the strands mentioned above, the ADEW North Wales Consortium is involved in a number of other developments to progress greater collaborative working, such as, (i) Regional ICT Managed Service (including VLE), (ii) Music Peripatetic and Ensemble Service (iii) Coordination of Delegated School Funding arrangements.

The strands identified above will support the delivery of the following outcomes:

O.1 -	Improved standards in literacy (Welsh/English) and numeracy (Maths) that compare well with the best in other countries.
O.2 -	A single coherent service for the monitoring, supporting, challenging and intervention within schools across the region.
O.3 -	Deployment of System Leaders with a consistent approach and recent proven record of school improvement.
O.4-	All schools able to access a much broader range of specialist support than that available in individual LAs currently (linked to Tier 2).
O.5 -	No Local Authorities or schools (learning settings) in any Estyn Inspection category of needing significant improvement or special measures.

Meeting the Regional Agenda for Raising Standards through the RSEIS (Tier 2)

The common approaches outlined above will result in the six authorities, Cynnal and CS working, from September 2012 on the same standards agenda in the same way. Initially, there will be eight management processes and structures mirroring each other across North Wales.

The establishment of a single structure, the Regional School Effectiveness and Improvement Service (RSEIS) will provide a means of employing efficiencies of scale and a central focus for school improvement across North Wales. This Tier 2 delivery mechanism will absorb the Tier 1 common approaches and will be a powerhouse to drive good practice across the region. It will champion a new way of driving standards. It will provide good quality school improvement and effectiveness service in a cost effective and efficient manner to raise standards and 'make a difference'. It will ensure a consistency of challenge and support for schools across the six counties, leading to our children and young people fulfilling their potential.

8.3 Tier 2 - New North Wales Regional School Effectiveness and Improvement Service (RSEIS)
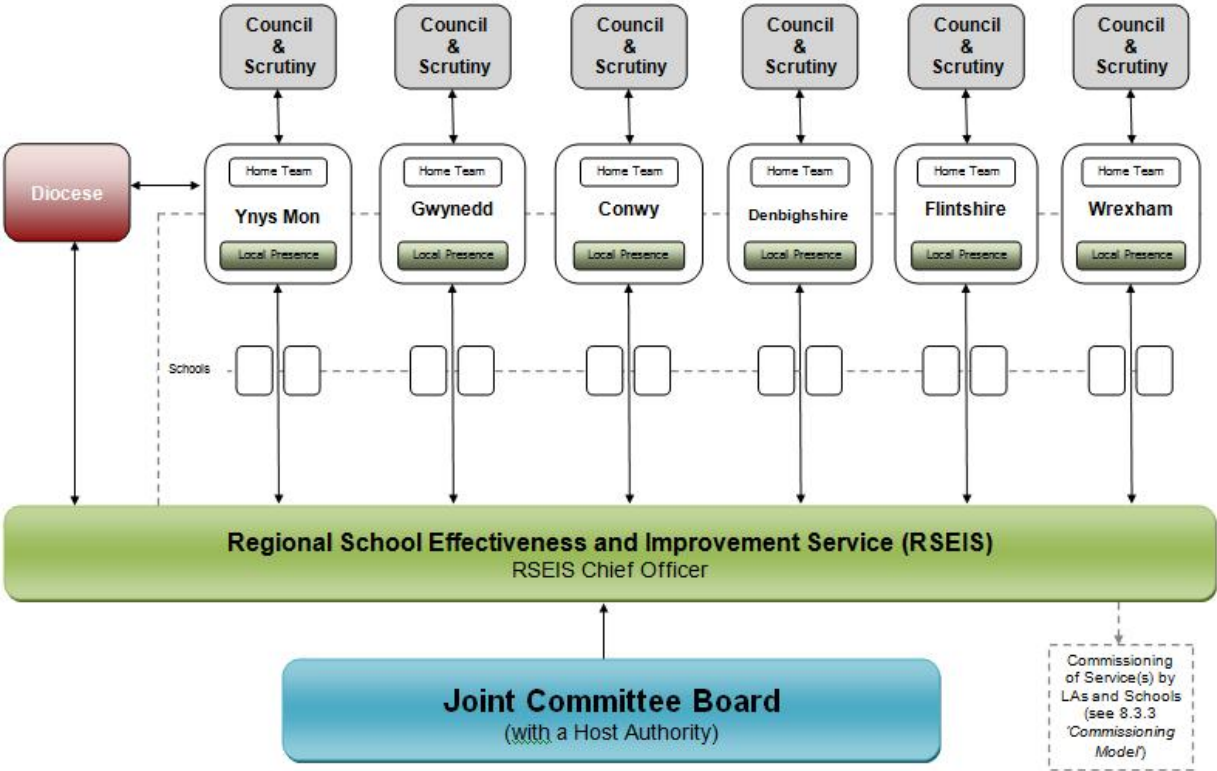
8.3.1 The Delivery Model

The new RSEIS (Tier 2) will be managed by a Chief Officer with a team consisting of System Leaders, a Business/Finance Manager, Administrative Support and Translators.

Section 10 of this Full Business Case explores the roles in respect of the Job Descriptions and Person Specifications, their impact on existing staff (TUPE), and salary in more detail.

Chief Officer

The Chief Officer will be required to: shape the new organisation, preparing, developing and delivering the strategic direction for the new service; implement, monitor and review regional policies; and lead, manage and direct a team in coordinating quality service delivery effectively, efficiently, economically and responsive to local circumstances.

As agreed by the six North Wales Cabinets / Executive Boards in October 2011, the recruitment process for the post of Chief Officer is already underway, with the appointment to take place once the FBC has been adopted in all six authorities.

System Leaders

With a clear focus on Leadership and Management, System Leaders will also provide strategic leadership and management in Literacy & Numeracy and Curriculum (subject) areas. System Leaders will be responsible for:

Leadership
- Providing support and guidance to ensure that the school's vision, ethos and moral purpose is shared by all staff and stakeholders.
- Providing support and challenge to improve the practice of effective self- evaluation and school improvement planning.
- Providing support and guidance to ensure that leaders and managers to make best use of their expertise to improve their effectiveness.
- Providing a level of challenge by evaluating provision objectively, gathering valid and reliable evidence from a range of sources both within the organisation and beyond.
- Understanding comparative and value-added data and use it to identify high performance and underperformance of pupils, schools and subject areas/departments.
- Analysing and use data to judge the performance and challenge underachievement of groups of learners by gender, ethnicity, special educational needs and prior attainment.
- Challenging the school to set ambitious but realistic targets.
- Using an appropriate range of quantitative and qualitative data to synthesise a wide range of information to formulate hypotheses.
- Providing constructive feedback that forms the basis for future improvement.
- Being able to build the capacity of others to carry out self-evaluation.

Teaching and Learning (Pedagogy)

- Providing support and advice on and evaluating the quality of; teaching and learning styles, and subject specialism's.
- Providing guidance on the rigorous use of formative and summative assessment and on their use to improve learners' work.
- Promoting and support the development of networks of professional practice.
- Identifying effective teaching and learning practice which can be shared within and across networks.
- Ensuring all schools adequately develop the skills agenda, particularly in literacy and numeracy.

*Developing People and the Organisatio*n

- Initiating and support action research into effective practice.
- Providing advice on how development needs might be met by referring to examples of good CPD practice.
- Facilitating the development of networks of professional practice.
- Providing advice and guidance on procedures, to evaluate the effectiveness of CPD and the impact of networks of professional practice.

Curriculum

- Providing support and challenge for curriculum development.
- Providing support in developing a curriculum which is relevant, personalised, promotes engagement with learning and reflects the ethnic, cultural and linguistic diversity of the school.
- Providing support and guidance on curriculum planning and the development of effective schemes of work, short term plans and planning for assessment for learning.

Student Attitudes

- Identifying other agencies working with the setting and the nature and scope of their involvement.
- Supporting the school in its attempts to gather the views of parents, children and young people and how these are acted upon.
- Providing guidance on promoting an inclusive ethos and maximising opportunities for children and young people to benefit from links with other agencies.

Internal Accountability

- Providing guidance and support to evaluate classroom practice against specific and rigorous criteria so that staff; know and understand the characteristics of high-quality learning and teaching, recognise and analyse aspects of good practice which will transfer to other learning contexts, and provide constructive feedback that forms the basis for future improvement.
- Providing guidance and support to establish robust performance management systems that make effective use of attainment data.
- Developing criteria which trigger intervention procedures at whole school and departmental level.

Partnership Beyond the School

- Supporting a multi-agency approach based on the needs of the local learning community or family of schools.
- Identifying other agencies working with the setting and the nature and scope of their involvement.

It is anticipated that there will be a requirement for **30 FTE System Leaders** to deliver the above areas of work across the schools within the North Wales region. This has been based on the following analysis of Service provision (taking account of the consultation feedback):

Table.9

(see accompanying notes in Appendix 7)	**Days**
School Visits (all schools – 466 inc N, P, Sec, Spe)	2796

6 days allocation per school:
    3 regular visits
    3 days planning and preparation (including Performance Management)	

Schools Requiring Additional Support *	

– Targeted Support (based on pro-active school profiling) :
    388 schools   20% = 10 days x 78 schools = 780
                     19% = 6 days x 74 schools = 444
                     6% = 16 days x 23 schools = 368
	1592

– Post Inspection :
    Estyn Monitoring = 16 x 10 days (160 days)
    LA Monitoring = 15x 6 days (90 days)
    Significant Improvement/Special Measures = 5 x 32 days (160 days)
	410

Pre-Inspection Review (inc. pre-inspection report) *
 	
    9 Secondary schools x 10 'person' days (90 days)
    67 Primary schools x 3 'person' days (201 days)
    2 Special schools x 10 'person' days (20 days)
	311

Total Days Support Required from the RSEIS	**5109**

School Contact Days
    Based on 195 school days (inc training days)
    Minus 20 days (accumulative) to account for 5 days each side of the
     summer and Christmas holidays
    Minus an average of 3 days sickness leave
	172

Number of System Leaders Required for the RSEIS	**30 FTE**

* *Number of days is an average requirement, allowing flexibility for more or less as required*

It is important to note that there will be a number of additional posts that will be available according to:

(i)   the number of staff (Home Team) each LA will require to support those functions that are not covered by the RSEIS nor the other 'LA School Improvement Teams'; and

(ii)   additional commissioning from the RSEIS for System Leaders from either the LA or schools, through budgets or grants. This approach will provide professional opportunities for Headteachers and Teachers to be seconded for short-term periods to the RSEIS, ensuring that the Service can draw on the best practice from schools across the region. Schools will have the opportunity to strengthen and extend collaborative working across the region to collectively commission targeted support and share good practice.

Business/Finance Manager
Reporting to the Chief Officer, the Business/Finance Manager will manage a small administrative team that will be tasked with the direct management of the business support and financial budget of the Service, reporting quarterly to school governing bodies. The Business / Finance Manager will play a key role in monitoring spend against the budget, delivering quarterly updates to the management team and wider stakeholders.

Administrative Support
It is anticipated that the RSEIS will need administrative support at a ratio of 1:5. Based on the anticipated requirement for 30 FTE System Leaders, the Service there will be a requirement for 6 FTE administrative posts. These posts will report to the Business / Finance Manager. In addition there will be 1 FTE post of a Personal Assistant reporting directly to the Chief Officer.

Translator
In order to ensure the new regional service is underpinned by the core principle of delivering on local and national welsh language strategies to develop and increase excellence in pedagogy and Welsh medium/bilingual education in communities across North Wales, it is anticipated that the RSEIS will require 2 FTE Translators. These posts will report to the Business / Finance Manager.

8.3.2   Serving the Cultural and Linguistic Needs of the Region

What is clear from the consultation with stakeholders is the need to have a bilingual service that can fully provide Welsh medium support across the region, an underpinning feature of the new Service. This contributes to local and national Welsh Language Strategies to drive Welsh-medium and bilingual development for education communities across North Wales.

Consultation with stakeholders also identified the need to ensure that local diversity and variations are considered in any delivery model, and schools in particular wanted to retain the advantages that the local service currently offers – namely school improvement staff knowing their school and its teachers.

The local knowledge is particularly important to help deploy practitioners to work alongside those in similar linguistic contexts and to develop pedagogical skills to a high standard. Some schools will teach a greater proportion of those learning English or Welsh as a second language than others, therefore the support has to be appropriate. In some areas there will be those who are learning both Welsh and English as additional languages and the RSEIS will need to be sensitive to all needs. Effective pedagogy involves having a respected command of linguistic issues and opportunities.

Consequently, it is anticipated there will be a local presence of officers from the regional service working with local schools. This realises the benefits of a consistent and common approach to frameworks and protocols, whilst meeting the needs of individual schools across the region.

8.3.3   Commissioning from the RSEIS

This is an outline approach, which would be developed and established by the RSEIS *'Chief Officer'* and *'Joint Committee'* during April to September 2012, following the adoption of the FBC.

Commissioning of the RSEIS will be via a two-part Service Level Agreement (SLA)**.**

Part A   SLA for RSEIS Main Provision

Each North Wales Local Authority will be committed to commission (buy) the 'main' provision from the RSEIS.

The 'main' service refers to the entitlement for all schools within that LA to receive 6 days allocation, with; 'targeted support', 'post inspection' and 'pre-inspection' support being received by those schools as identified by the RSEIS. This work will be carried out by a permanent team of 30 FTE System Leaders.   *(See breakdown of service provision and responsibilities of a System Leader in section 8.3.1 of this FBC)*

Part A of the SLA will include:

- standard terms and conditions
- period of agreement
- status of agreement
- resolution of disputes
- payment arrangements
- review period
- penalty charges

Payment arrangements will be in-line with the agreed approach as set out in section 9.1 of this FBC.

Part B   Call-off Agreements

Local Authorities and schools, individually and collectively from across the region, can 'call-off' (buy) additional System Leader support (which includes curriculum specialist support) from the RSEIS. This will provide schools with the opportunity to strengthen and extend collaborative working across the region, to collectively commission targeted support and share good practice.

Part B of the SLA will include:

- register of additional services available
- eligibility criteria
- beneficiaries
- payment arrangements
- review period

Payment arrangements will be based on a tariff for a unit of service (e.g. the cost of a curriculum specialist on a daily rate), to be negotiated by the Chief Officer prior to the service being available. This work will be carried out by currently practicing Headteachers and Teachers, seconded for short-term periods to the RSEIS, ensuring that the Service can draw on the best practice from schools across the region.

8.4   Tier 3 - MIS Structure (Capita ONE)

8.4.1 Purpose

This is a three-year interdependent project (Tier 3) to the RSEIS to establish a Regional *Management Information* Service that will support and enable the delivery of; statutory responsibilities, performance monitoring, review and improvement, plus development activities of the Consortium of six local North Wales Authorities and their schools in respect of the duties to monitor, challenge, improve performance and outcomes. Provision of a Regional Management Information Service will see the collective implementation of a **shared hosted system** with **common software** tools based on **common database structures** used by services that have adopted **common business processes**.

All Authorities use Capita's 'ONE' management information system, capable of holding a single, detailed, core record for each pupil, and through a range of application modules enables access and reporting by professional staff.

8.4.2 Collective Implementation of ONE

The collective implementation of Capita ONE is based upon:

- adoption of a strategic approach to identification and delivery of regional management information services incorporating services for Authorities and schools; and
- development and implementation driven by business needs and implementation of efficient common business processes that are outcome focused in supporting improvement and contributing effectively to delivery of best outcomes for pupils.

The result will be regional support for collection, analysis, presentation and reporting of data, for both individual Local Authorities and the Consortium, to inform decision making and the work of education services and schools in raising standards.

The project has six work streams.

1. Database harmonisation – bringing all Authority databases to the same high quality and implementing agreed codes to facilitate searching, analysis and reporting across the Consortium.
2. Business processes – identifying, developing and documenting business processes for use across all Authorities to maximise operational efficiency, data integrity and to capture best practice.
3. Implementation of software modules – phased implementation incorporating identification of needs, training and standardisation of reporting.
4. Technical implementation – identification of hosting Authority, technical design and provision of a secure hosted environment for use by all Authorities.
5. Security and privacy – undertaking a privacy impact assessment, identifying needs and solutions and incorporating them into technical design/provision and operational use of software to ensure security and privacy in data handling and use of software.
6. Working together – identification, development and implementation of operational procedures to maximise collaborative working, implement efficient operational procedures and realise savings.

Expected benefits are:

- provision of a shared management information service ensuring that greater capacity and expertise is available for Local Authorities and schools;

- consistency of service and support provision for education services across the Consortium through use of common business processes for data quality/integrity and use of application software modules;

- increased efficiency through application of consistent best practice business process and protocols employed across the Consortium;

- equity of high quality service provision across the Consortium through adoption of smarter management, access to high quality peer support and collaboration;

- decision making and performance improvement based on timely, high quality performance information;

- increase in the range of functional service areas supported by the use of management information systems;

- measurable cash savings and enhanced value for money on annual maintenance of Capita ONE software;

- added value from a hosted technical solution in respect of security, resilience and business continuity; and

- trust and confidence amongst stakeholders in the Consortium's commitment and ability to securely manage personal data and meet legislative requirements for data protection.

8.4.3   Project Progress

- Lead Officers have begun work on harmonising databases within the areas of Bases, B2B and addresses.

- Review of lookups completed and harmonisation planned.

- Initial business processes focusing on data quality and integrity drafted for Bases, B2B and Pulse with A & T in progress for completion in March.

- Migration to A & T version 4 plus implementation for Authorities not using the module scheduled via a support package to be delivered by Capita for this critical and public facing service.

- In November 2011, following a collaborative process involving agreement of evaluation criteria and structured method for accepting and evaluating proposals, the unanimous decision by Heads of IT was that Flintshire should host the shared technical solution. Hardware and system software have been installed.

- Secure Extranet purchased via PSBA with installation requested for end of February.

- Privacy Impact Assessment (based on ICO guidance) completed and development of protocols, procedures and agreements scheduled for completion when the hosted solution goes live.

- Draft Information Sharing Protocol, incorporating a data transfer agreement, for North Wales Authorities and their school completed ready for review and consultation with stakeholders.

- Collaborative support package devised for implementation of B2B with limited external input.

8.5   Tier 4 – Support Functions

In order to employ staff under the Joint Committee, the new RSEIS will need to use a Host Authority, which will be one of the six North Wales authorities (see section 7.4 *'Deciding on the Host Authority'*).

Complimenting the 'employment' role, the Host Authority will also be responsible for providing HR, Finance and Legal support to the staff and the new service (Tier 2).

In respect of the Key Function 6 to *'provide a specialist centre for Education Management matters and an Education Human Resources Service to provide expertise and advice',* referring in particular to HR casework (e.g. providing specialist support and advice to schools), this will be considered as a separate project in collaboration with the North Wales Support Services Regional Board.   In the interim period, this function will continue to be carried out by each LA, directly with their schools.

9. Financial Model

9.1 Cost of Tier 2 – New Regional School Effectiveness and Improvement Service (RSEIS)

Table.10

	Total £
Employee Related Costs	2,916,689
Premises Related Costs	49,600
Transport Related Costs	190,370
Supplies & Services	57,725
Commissioning Budget	250,000
Support Services	50,647
Total Annual Revenue Cost	**3,515,031**

This is based on one premises, with each additional hub requiring an estimated additional £19k. A full breakdown of these costs is available in *Appendix 8.*

The current cost of delivering the existing statutory and advisory in-scope school improvement functions for each LA is £5.1m (section 4.3.1).

This has been adjusted to establish the influenceable spend that will provide a basis for building up the financial model by (i) £406k to reflect posts in-scope (>60%) at 100% cost and reduced by posts not in-scope (<60%) and (ii) £311k to reflect expenditure funded by grants. The influenceable spend is **£4.4m** (section 4.3.2).

The **cost of the RSEIS is £3.5m**, equating to an average cost per pupil of £35 (which would increase with any additional commissioning by LAs or schools, through budgets or grants).

The cost of the RSEIS compared to the influenceable spend identifies a potential overall regional saving of £882k (20%), which can be re-invested in Education, or released as a cashable saving, depending on the needs of each local authority.

The cost of the RSEIS to each Local Authority is detailed below:

Table.11

	Ynys Mon	Gwynedd	Conwy	Denbighshire	Flintshire	Wrexham	Total
Total number of Schools	**56**	**119**	**69**	**62**	**89**	**71**	**466**
%age of pupils	*9.4%*	*17.1%*	*15.8%*	*15.6%*	*23.4%*	*18.7%*	*100.0%*
Cost of School Improvement (all %ages)	489,096	779,165	723,764	1,004,370	1,263,738	859,322	**5,119,455**
Adjustment to reflect posts in-scope (>60%) at 100% cost and reduced by posts not in-scope	(54,374)	(68,232)	46,972	(195,340)	(8,424)	(126,683)	(406,080)
Cost of in-scope expenditure	434,722	710,933	770,736	809,031	1,255,314	732,639	4,713,374
Less Grant funded expenditure	0	0	(48,020)	(81,152)	(133,309)	(48,366)	(310,847)
Influenceable Spend	**434,722**	**710,933**	**722,716**	**727,879**	**1,122,005**	**684,273**	**4,402,528**
Cost of RSEIS (System Leaders with additionality of Strategic Literacy, Numeracy & Subject Specialisms)							**3,520,000**
Charging Methodology	*10.25%*	*18.02%*	*15.70%*	*15.32%*	*22.39%*	*18.32%*	*100.00%*
Charge for RSEIS	**360,800**	**634,304**	**552,640**	**539,264**	**788,128**	**644,864**	**3,520,000**
Saving compared to Influenceable Spend	73,922	76,629	170,076	188,615	333,877	39,409	882,528
Saving as **%age** of Influenceable Spend	*17.0%*	*10.8%*	*23.5%*	*25.9%*	*29.8%*	*5.8%*	*20.0%*

The charging methodology selected to apportion the cost to each of the 6 LAs is based on the annual Welsh Government *'Indicator Based Allocation for Education Funding'.* The methodology takes the percentage for each LA (allocated for service components, Nursery and Primary school teaching, and Secondary school teaching) and applies it to the RSEIS. The formula includes factors to reflect pupil numbers, settlement threshold and the number of pupils eligible for free school meals.

9.2 Implementation Costs of the RSEIS

In order to set up the new service, implementation costs have identified in the region of £1.2m, these include one off costs associated with:

- potential redundancies (these are further explored in section 9.1.2);
- staff transfer and recruitment (i.e. assessment centre for new appointments, training needs analysis, team building and cultural alignment, induction);
- office costs (i.e. basic office furniture and resources); and
- ICT costs (i.e. infrastructure, information systems, support and consultancy)

	Capital £	Revenue £	Total £	*Table.12*
Redundancy Cost		1,027,000	1,027,000	
Staff Transfer/Recruitment		34,000	34,000	
Office Costs	27,000	5,000	32,000	
ICT Costs	107,000		107,000	
Total Implementation Costs	**134,000**	**1,066,000**	**1,200,000**	

A full breakdown of these implementation costs are available in *Appendix 9.*

The six NW Authorities are in the process of working with the WG to secure support for these costs.

9.2.1 Leaving Costs

Across the six LAs and Cynnal there are 112 members of staff in-scope, 72 directly delivering 60% of more of the identified school improvement functions, and 40 administrative staff (including translation staff) delivering 27 FTE contribution on these activities.

Of the 72 advisory members of staff in scope, 1 post is due to become vacant and 16 are currently seconded and will revert to their previous permanent posts when the new regional service is operational. The LAs have an anticipated requirement for 8 posts in their Home Team to support those functions that are not covered by the RSEIS nor the other 'LA School Improvement Teams'. The remaining 47 will transfer to the new service.

Of the 40 administrative staff identified, as supporting advisory staff delivering the in-scope functions, the total percentage of their time spent on this activity is rounded to 27 FTEs. Therefore, for the purpose of identifying potential leaving costs associated with administrative staff, the average salary for all 40 staff will be multiplied by the 27 FTE posts.

The Full Business Case (FBC) is based on a service delivery, which requires 30 System Leaders and 9 support posts.

When we consider the 47 advisory posts in-scope against the potential requirement for 30 system leaders in the new service, and assuming all 47 staff will have the right to transfer to the new service under TUPE, there is an estimated surplus requirement of 17 staff. It is important to note that there will be a number of additional posts available for the 17 staff to apply for according to (i) additional number of staff (Home Team) each LA will require to support those functions that are not covered by the RSEIS nor the other 'LA School Improvement Teams', and (ii) additional commissioning from the RSEIS for System Leaders from either the LA or schools, through budgets or grants. Based on their current salaries, and calculated as an average, this totals an estimated £705k under local policies and £867k under a harmonised policy (see Appendix 10).

The new service anticipates administrative support to a ratio of 1:5, which may provide 9 administrative posts (including translation). As there are 27 FTEs identified in the current arrangements, there is potentially a surplus of 18 posts. Based on their current salaries, and calculated as an average, this totals an estimated £141k under local policies and £160k under a harmonised policy.

Table.13

	Number of Staff	Redundancy Payment Policy	
		Local £	Harmonised £
Advisory Staff in-scope (excl.secondments and vacancies)	55	2,280,000	2,806,000
RSEIS requirement	30		
Anticipated Home Team requirements	8		
Potential Surplus of Advisory Posts	**17**	**705,000**	**867,000**
Administrative Staff in-scope (based on average)	27	211,000	241,000
RSEIS requirement	9		
Potential Surplus of Administrative Posts	**18**	**141,000**	**160,000**
Potential Redundancy Payment	**35**	**846,000**	**1,027,000**

The total potential leaving costs for advisory and administrative staff is **£1m**, based on harmonised terms and conditions.

The full RSEIS Financial Report on Potential Leaving Costs is available in *Appendix 10*.

10. HR Model

10.1 Key HR Timescale for the RSEIS

April 2012	Appointment of RSEIS Chief Officer
April to May 2012	Formal consultation with Staff to include expressions of interest for voluntary redundancy and retirement.
May 2012	Confirm the jobs that will be available in the LA 'Home Teams'.
July 2012	Assessment process for posts in the new RSEIS Service.
August 2012	Appointments made for the posts in the new RSEIS Service.
Sept 2012	Further consultation with staff not appointed to either the LA Home Team posts or the posts in the new RSEIS Service.
Nov 2012 to Mar 2013	Team building, cultural alignment workshops, induction programmes, specific skills training for the staff appointed to the new RSEIS Service.
April 2013	(i) Staff transfer to the new RSEIS Service and (ii) contracts end for the staff not appointed to either the LA Home Team posts or the posts in the new RSEIS Service.

10.2 Planning for Change

It will be necessary to consult with unions on the process for managing the change with staff. Two flow charts have been developed to summarise the process for change from the existing arrangements to the new RSEIS Service, and the process for redundancy (see *Appendix 11*). It will also be necessary to agree a detailed timetable for consultation, recruitment, redeployment, redundancy activity with all employing organisations and the unions. This will be made available to all staff during the formal consultation with staff during April and May 2012.

There have been a number of pieces of work already undertaken on the alignment of culture and induction to a new organisation, which will form the basis of approach for the RSEIS. In addition, further discussion is required to identify opportunities to align culture and build the new team ethos within the service.

Key areas for consideration include:

- Responsiveness and Culture, which will include reviewing the IT requirements of the service as this will directly impact on the new service's ability to be flexible, agile and responsive;

- Perceptions of influence including employer/employee perception to ensure a unified approach to the delivery of a regional school improvement service;

- Full engagement with each Local Authority in terms of how the home teams and new service will work together to ensure consistent delivery across North Wales;

- Resourcing the HR issues so they do not excessively delay the implementation of the new service; and

- Develop an appropriate accommodation and location strategy for the new service.

10.3   Roles Available in the RSEIS

10.3.1 System Leader Roles

Currently each LA provides monitoring, support, intervention and challenge to schools on all aspects of school improvement. The new service model will mean that the System Leaders will be engaging in support, monitoring, challenge and intervention directly with schools on 7 key areas of School Improvement; leadership, teaching and learning, developing people and organisations, curriculum, student attitudes, internal accountability, and partnership beyond schools.

Of the identified 30 System Leader roles there will be 4 'Team Leaders' to provide day to day management supervision of the remaining 26 System Leaders. The 'Team Leaders' will report directly to the Chief Officer. The System Leaders will have responsibility for the areas of work documented in section 8.3.1.

Whilst it will not be a requirement for all staff to be able to work bilingually, in order to secure a linguistic balance some of the posts will be designated as Welsh essential roles. The balance will be a matter for the RSEIS Chief Officer to address once in post, and may vary on further consultation with schools. Any bilingual requirements for additional roles commissioned over and above the core team will be determined by need.

See *Appendix 12*, for draft System Leader Job Descriptions and Person Specifications, which will be developed by the Chief Officer on appointment, in consultation with staff and unions.

10.3.2 System Leader Secondment Opportunities

There will be the opportunity for practicing Headteachers and Teachers to take short-term secondments within the RSEIS according to additional commissioning from the RSEIS for System Leaders from either the LA or schools, through budgets or grants. This approach will provide professional opportunities for Headteachers, ensuring that the Service can draw on the best practice from schools across the region.

Headteachers wishing to take advantage of secondment opportunities will need to be released from their current posts with the agreement of the school's Governing Body.

10.3.3 Support Roles

Business/Finance Manager
Reporting to the Chief Officer, the Business/Finance Manager will manage a small administrative team that will be tasked with the direct management of the business support and financial budget of the Service, reporting quarterly to school governing bodies. The Business / Finance Manager will play a key role in monitoring spend against the budget, delivering quarterly updates to the management team and wider stakeholders.

Administrative Support
It is anticipated that the RSEIS will need administrative support at a ratio of 1:5. Based on the anticipated requirement for 30 FTE System Leaders, the Service there will be a requirement for 6 FTE administrative posts. These posts will report to the Business / Finance Manager. In addition there will be 1 FTE post of a Personal Assistant reporting directly to the Chief Officer. The role of the administrator will not vary greatly however the tasks they under take will need to be reviewed in line with the new service delivery model.

Translator

In order to ensure the new regional service is underpinned by the core principle of delivering on local and national welsh language strategies to develop and increase excellence in pedagogy and Welsh medium/bilingual education in communities across North Wales, it is anticipated that the RSEIS will require 2 FTE Translator. These posts will report to the Business / Finance Manager.

See *Appendix 13* for draft Job Descriptions and Person Specifications for the support roles, which will be developed by the Chief Officer on appointment, in consultation with staff and unions.

10.4   TUPE Arrangements

Members of staff who are currently engaged in delivering the school improvement 'in-scope' functions through their individuals organisations, may have a right to transfer to the new organisation, which will be providing that function on a shared service basis. This transfer would be subject to TUPE regulations.   Under these regulations, members of staff will transfer with at least their existing statutory employment rights and contractual entitlements. Any resulting redundancies would be the responsibility of the new organisation.

10.5   Salary Ranges

All Authorities use the GLPC job evaluation and the Soulbury scheme. However how this is applied across the six authorities does vary.

Once a host authority has been agreed all future job evaluations should be undertaken in accordance with the host authority evaluation schemes.

For the purpose of the financial modelling the above schemes have been used in addition to engaging Hay Job evaluation services to benchmark the values both regionally and nationally. A salary range has therefore been awarded to each of the roles using the bottom and top of six council salaries.

Table.14

Role	Total Points	Upper Quartile	Median	Lower Quartile
Senior System Leader	702	67,349	59,949	54,570
System Leader	634	60,609	54,489	49,762
Business & Finance Manager	406	42,890	38,730	34,569
Translator	240	29,470	26,137	23,583
Administrator	144	22,094	19,602	17,213

10.6   Policies and Procedures

A complete review of policies and procedural differences across the 6 authorities will need to be undertaken. This will need to be carried out by the host authority to ensure that correct policies, procedures and terms and conditions are applied to the employee. There will also need to be a commitment by the new employer to agree a Pay, terms and conditions harmonisation strategy within 3-5yrs of the new service formation, in order to address any equal pay issues in line with legislation.

However for managing the transfer process, there needs to be a common process and policies for:

- **Redeployment**(the process not entitlements such as pay protection);
- **Applications for Premature retirements**(the process not the entitlements);
- **Job matching;**
- **Recruitment and Selection to the new posts;**
- **Redundancy Management**(however in terms of redundancy entitlements the employees current terms and conditions will apply and so consultation will not be required on this aspect);
- The **Sickness Absence Policy;** and
- Flexi **time arrangements**.

These will be developed with the six LAs and unions during February and May 2012.

Socio-economic Profile of the North Wales Local Authorities

The Isle of **Anglesey**[7] County Council is the smallest authority but one in Wales with population of approximately 69,000. Although the county's population increased by 900 between 1997 and 2007 there has been a reduction the number of children under 10 and of young people 20-30 years of age.

In general, the county, which covers a surface area of 714km2, is fairly rural with only four urban centres, namely Holyhead, Llangefni, Amlwch and Menai Bridge. Over 60% of the population (over three years of age) speak Welsh.

Although the county's average weekly wage [£427.90] is marginally above the average for Wales [£425.30], there is a high level of deprivation in parts of the county with 15.3% of the population aged between 16 and 54 being economically inactive.

There are six Communities First wards in the county with four of them in Holyhead and one each in Amlwch and Llangefni. Around 15% of the population is in receipt of housing benefit and council tax benefit and 18.4% of primary school pupils, 14.4% of secondary school pupils and 45.3% of pupils in the special school receive free school meals.

Gwynedd is a rural county with small, scattered settlements and larger urban settlements, including Bangor and Caernarfon in the north, Pwllheli in the west, Porthmadog and Blaenau Ffestiniog in its centre and Tywyn and Dolgellau in the south. Gwynedd's economy is based primarily on agriculture and the services sector. It has substantial areas of economic and social deprivation.

Gwynedd has a low population density. The county covers over 12% of the surface area of Wales but has only approximately 4% of the population. The mid-year estimate for 2010 gave the population of Gwynedd as 119,007. There are approximately 28,135 children and young people aged 0 – 19 years. By 2021, it is anticipated that there will be a reduction of approximately 4% in the under 16 population.

Over 60% of the population of Gwynedd (over three years of age) speak, read and write Welsh, compared with 16% in the rest of Wales. The council's public administration is bilingual and the council seeks to ensure that people have services in their preferred language, be it Welsh or English. As part of the county's education language scheme, the local authority had adopted a bilingual education policy that is implemented in schools throughout the county.

Conwy[8] is centrally located in north Wales. It has a population of 111,400. In Conwy, 34.3% of people over the age of three speak Welsh compared to the Wales average of 25.6%.

Conwy has the lowest proportion of residents of working age in Wales at 58.7%. Of these, 26.8% are economically inactive, which is slightly lower than the 27.2% across the whole of Wales. Of the working age population in Conwy just under 13% have no qualifications, which is below the Welsh average at 15%.

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[7] *ESTYN 'A report on the quality of Isle of Anglesey local authority, November 2009'*
[8] E*STYN 'A report on the quality of local authority education services for children and young people in Conwy County Borough Council - March 2011*

The percentage of Conwy pupils of compulsory school age eligible for free school meals is 18.1%, similar to 18.9% nationally. This level of eligibility is the 11th highest in Wales. Only four of the 71 areas in Conwy are in the 10% most deprived areas within Wales.

Ethnic minorities account for 1.1% of the population, which is lower than the Wales average.

The Welsh Government's Standard Spending Assessment (SSA) for Conwy County Borough Council for 2010-2011 was £1,698 per head of population. This is at the average level across Wales. As in the past, the council set its overall revenue budget at about 98% of SSA, allowing it to maintain very low levels of Council Tax.

Denbighshire[9] is largely a rural county in North Wales, with a population of 97,000. It contains some of the most prosperous areas within Wales along with some of the most deprived. It covers an area which runs from the North Wales coastal resorts of Rhyl and Prestatyn down through the Vale of Clwyd, south as far as Corwen and Llangollen. Around a quarter of the overall population speaks Welsh but this rises to over 60% in some rural areas.

Service industries and tourism are the main employers in Denbighshire. Together, these groups provide for around 64% of all jobs. Manufacturing provides 13% and agriculture accounts for a further 3%.

Denbighshire has 62.4% of its working-age adults economically active compared with 61.0% for Wales. The proportion of self-employed workers (9.8%) is higher than that in Wales (7.7%). A quarter of the workforce is partly skilled or unskilled. The unemployment rate in the County is 4.2%, compared with 4.3% for Wales as a whole. A high level of seasonal employment is the main cause of the transient school population in one area in Rhyl.

The county of **Flintshire** occupies a unique location in the North East area of Wales, sharing its west border with Denbighshire, south with Wrexham and east and south east border with Cheshire. Most of its north border is bounded by the Dee Estuary. It serves as a main tourist and business gateway between North Wales and England and performs an important role in the economic operation of the North East Wales sub-region. The county is characterised by diversity, and has a significant and prosperous industrial heartland, a mixed pattern of rural, semi-rural and urban settlements the majority of which support a growing population.

According to the Annual Mid Year Population Estimates, the population of Flintshire has grown from 142,036 in 1991 to 149,709 in 2010.

According to the 2001 Census of Population 20,599 people in Flintshire could speak Welsh; this represents 14.4% of the population aged 3 and over compared to the 1991 Census, this is an increase of 2200 more Flintshire residents. Whilst the overall figure for Welsh speakers in Flintshire is 14.4%, several wards in Flintshire contain a higher proportion of Welsh speakers than the national average (20.8%).

According to ONS 71.8% of Flintshire residents are in employment compared to 66.4% in Wales and 70.3% in Great Britain.

Wrexham[10] is located in North East Wales and is bordered by Flintshire to the north west, Denbighshire to the west, Powys to the south and England to the east. The total population is 133,207.

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[9] ESTYN 'A report on the quality of Denbighshire Local Authority, March 2009
[10] ESTYN 'A report on the quality of LAESCYP in Wrexham County Borough Council November 2010'

In Wrexham, 17.6% of people over the age of three have at least one or more skills in the Welsh language (i.e. speaking, reading or writing) compared to the Wales average of 25.6%. Overall 64.3% of the population in Wrexham are of working age. Of these 18.5% are economically inactive, which is significantly lower than the 24.6% across Wales. Thirteen point eight per cent claim some form of Department of Work and Pensions (DWP) allowance. Of those claiming job seekers allowance, 31.3%% are under 25 years of age. This is lower than the 34.2% for Wales.

Of the working population in Wrexham, 11.2% have no qualifications, which is lower than the Wales average of 13.7%.

The percentage of Wrexham pupils of compulsory school age eligible for free school meals is 19%, similar to 18.9% nationally. This level of eligibility is the 10th highest in Wales (PLASC 2010). Only six of the 85 areas in Wrexham are now in the 10% most deprived areas within Wales.

As of 31 March 2010, Wrexham had 100 children being looked after by the authority. There were 119 children on the Child Protection register. Ethnic minorities account for 3.5% of the population, similar to the Wales average.

School Improvement Functions Considered 'In-Scope'

Categories NOT in Scope

- Athrawon Bro (teachers)
- Flying Start / Foundation Phase / Early Years
- 14-19 Network
- ICT Technical / System Support / MIS
- Healthy Schools / Appetite for Life / ECO
- Active Young People
- PESS
- Inclusion
- Music Service
- Outdoor Education
- PA to the Statutory Chief Education Officer / Head of Service
- Admissions
- HR Casework
- Expressive Arts

Categories IN Scope

- Primary or Secondary Inspector / Advisors
- Subject Advisors
- Literacy / Numeracy Advisors
- School Performance Data Collection/Analysis Officers
- Administrative Staff (see section below)

Administrative Staff

Across the number of administrative staff employed within the School Improvement Department/Service, consider the proportion of time spent directly supporting the categories 'IN scope'. This should be presented as a FTE figure on the collection template, followed by the details of the administrative staff that contribute to the FTE figure.

Criteria for Establishing Individual Staff in Scope

Any member of staff involved in one or more of the activities listed below equating to more than 60% of their time:

1. The deployment, management, recruitment and CPD of School Improvement Professionals (now to be called Systems Leaders).

2. Routine Visits (now to be three per year per School) to Schools to undertake monitoring of a School's Performance.

3. Undertaking and managing interventions in Schools Causing Concern.

4. Thematic Interventions, e.g. concerned with specific, normally Under Achieving, groups of learners (e.g. whose first language is not Welsh or English, ALN, Looked After Children, etc.)

5. Collection, interpretation and dissemination of Schools and Pupil Performance Data to Schools, within the LA, to Elected Members, et al.

6. Provision of reports concerning School Standards and Performance to Elected Members, ESTYN, the Welsh Government and the general public. (Note: it is a statutory

requirement for the LA to provide a commentary upon a School prior to it being Inspected).

7. Commentary upon and approval of a School's Post Inspection Action Plan. (These duties are more demanding in the case of a School which has been placed in a formal category by ESTYN).

8. Attendance at appointments of Headteacher, and routine attendance at appointments other than Headteachers

9. Management of Literacy and Numeracy Strategy and deployment of literacy and numeracy experts and literacy and numeracy CPD programmes.

10. Challenge to Schools only via Systems Leaders on: Leadership, Teaching, Learning, Under Achieving Groups, Attendance, Behaviour, Financial Management, use of Performance and Assessment data, Looked After Children, PLCs and use of resources to support improvement.

11. Support and guidance for NQTs.

12. Leading the development of School to School working.

13. Curriculum support, including subject advice, phase and aspect-specific advice.

14. Delivery of local initiatives.

15. Undertaking the performance management scheme functions and responsibilities.

16. ICT advice and support.

17. Convening and managing theme or phase-specific groups.

18. Professional Development Centres.

19. Undertaking research.

Local Authority Arrangements for Delivering School Improvement Services

Cynnal Company

Cynnal was established back in 1996 by Gwynedd and Ynys Môn to provide support services for schools within the two authorities. Cynnal was registered as a limited company under warranty, and management of the company invested in a Board of Directors, representing the two authorities and their schools.

Cynnal's main objectives are to provide curriculum support services through a team of subject advisors and advisory teachers, and information technology support services through a team of computer and network technicians.

Ynys Mon and Gwynedd commission Cynnal to provide support for school improvement and curriculum functions by a series of service level agreements. In addition, Conwy commisions curriculum support, with other organisations such as ESTYN and Welsh Government commissioning ad hoc services.

Cynnal have a team of officers to deliver the core school improvement functions. A total of 21 members of staff currently spend the majority of their time delivering school improvement functions, equating to 16.75 full time equivalent (FTE). All 21 staff are considered to be in scope (60% >), 1 of whom is on a secondment arrangement. In addition there are 13 members of staff (10.84 FTE) providing support (e.g. administration, translation) with all 13 staff initially in scope.

Within Cynnal there is a total of 33 staff in scope.

The advisory staff in scope currently spend time on other functions equating to 1.65 FTE work. Cynnal will need to review these other functions to consider whether the work can be absorbed by other officers at the Company, or if new posts will need to be developed.

The cost of the time spent on school improvement functions by members of the Cynnal staff, including transport, is £1,605k of which a total £1,192k is charged to Ynys Mon, Gwynedd and Conwy. The full costs of the staff in scope, including transport, is £1,725k.

Ynys Mon

Ynys Mon commission Cynnal to provide support for school improvement functions by a series of service level agreements. Ynys Mon delegates some aspects of the school improvement service, with schools commissioning directly with Cynnal.

The current cost of the service level agreement for school improvement functions with Cynnal is £435k, of which £139k is paid from schools' delegated budgets and £296k is paid from the LA non-delegated budget.

In addition to the support from Cynnal, 4 members of staff within the LA spend some of their time doing school improvement functions equating to 0.95 FTE, with no support staff identified. Ynys Mon will have approximately 0.95 FTE capacity in relation to the percentage of officers' work that will be transferred to the new service. The cost of the time spent on school improvement functions by members of the LA staff is £54k.

Of the 72 advisory staff identified as in-scope (60% or more), none of these are employed by Ynys Mon.

Gwynedd

Gwynedd commission Cynnal to provide support for School Improvement functions by a series of service level agreements. Gwynedd delegates some aspects of the school improvement service, with schools commissioning directly with Cynnal.

The current cost of the service level agreements for school improvement functions with Cynnal is £711k, of which £254k is paid from schools' delegated budgets and £457k is paid from the LA non-delegated budget.

In addition to the support from Cynnal, 7 members of staff within the LA spend some of their time doing school improvement functions equating to 1 FTE, with no support staff identified. Gwynedd will have approximately 1 FTE capacity in relation to the percentage of officers' work that will be transferred to the new service. The cost of the time spent on school improvement functions by members of the LA staff is £68k.

Of the 72 advisory staff identified as in-scope (60% or more), none of these are employed by Gwynedd.

Conwy

Conwy have a team of officers based within the authority to deliver the core school improvement functions. Conwy delegates some aspects of the school improvement service, with primary schools commissioning from the LA, and some of the secondary schools commissioning directly with Cynnal.

A total of 12 members of staff currently spend time delivering school improvement functions equating to 10.13 FTE. Of these, 11 are considered to be in scope (60% >), 1 of whom is on a secondment arrangement. In addition there are 6 members of staff (1.67 FTE) providing support (e.g. administration, translation) with all 6 staff initially in scope.

Within Conwy there is a total of 16 staff in scope.

The advisory staff in scope currently spent time on other functions, equating to 1.15 FTE work. Conwy will need to review these other functions to consider whether the work can be absorbed by other officers, or if new posts will need to be developed.

Conversely, Conwy will have approximately 0.4 FTE capacity in relation to the percentage of officers' work that will be transferred to the new service.

The current cost of school improvement services is £724k, which includes any commissioning for curriculum support from Cynnal and Curriculum Support (CS), to the value of £22k. The influenceable spend in Conwy is £723k, with £311k paid from the LA non-delegated budget and £412k paid from delegated schools' budgets.

Denbighshire

Denbighshire have a team of officers based within the authority to deliver the core school improvement functions.

A total of 25 members of staff currently spend time on delivering school improvement functions equating to 14.01 FTE. Of these, 10 are considered to be in scope (60% >), 2 of whom are on secondment arrangements. In addition there are 6 members of staff (4.65 FTE) providing support (e.g. administration, translation), with all 6 staff initially in scope.

Within Denbighshire there is a total of 14 staff in scope.

The advisory staff in scope currently spent time on other functions, equating to 1.92 FTE work. Denbighshire will need to review these other functions to consider whether the work can be absorbed by other officers, or if new posts will need to be developed.

Conversely, Denbighshire will have approximately 6.53 FTE capacity in relation to the percentage of officers' work that will be transferred to the new service. This amount is higher than the average across the six authorities, as there are 15 employees remaining in their current posts who currently spend up to 50% of their time on school improvement functions. Further analysis of all these post will be required by Denbighshire, with the potential to identify further savings.

The current cost of school improvement services is £1m, which includes commissioning for curriculum support from Curriculum Support (CS), to the value of £21k. The influenceable spend in Denbighshire is £728k. None of this budget is delegated to schools.

Flintshire

Flintshire have a team of officers based within the authority to deliver the core school improvement functions. Flintshire delegates some aspects of the school improvement service, with schools commissioning direct from the LA.

A total of 20 members of staff currently spend time delivering school improvement functions equating to 17.01 FTE. Of these, 17 are considered to be in scope (60% >), 5 of whom are on secondment arrangements. In addition, there are 7 members of staff (5.47 FTE) providing support (e.g. administration, translation), with all 7 staff initially in scope.

Within Flintshire there is a total of 19 staff in scope.

The advisory staff in scope currently spent time on other functions, equating to 1.2 FTE work. Flintshire will need to review these other functions to consider whether the work can be absorbed by other officers, or if new posts will need to be developed.

Conversely, Flintshire will have approximately 1.3 FTE capacity in relation to the percentage of officers' work that will be transferred to the new service.

The current cost of school improvement services is £1,264k, which includes commissioning for curriculum support from Curriculum Support (CS), to the value of £11k. The influenceable spend in Flintshire is £1,122k, of which £990k is paid from the LA non-delegated budget and £132k is paid from delegated schools' budgets.

Wrexham

Wrexham have a team of officers based within the authority to deliver the core school improvement functions.

A total of 22 members of staff currently spend time delivering school improvement functions equating to 11.68 FTE. Of these, 13 are considered to be in scope (60% >), 7 of whom are on secondment arrangements, and 1 post due to become vacant. In addition there are 8 members of staff (4.00 FTE) providing support (e.g. administration, translation), with all 8 staff initially in scope.

Within Wrexham there is a total of 13 staff in scope.

The advisory staff in scope currently spent time on other functions, equating to 0.40 FTE work. Wrexham will need to review these other functions to consider whether the work can be absorbed by other officers, or if new posts will need to be developed.

Conversely, Wrexham will have approximately 2.38 FTE capacity in relation to the percentage of officers' work that will be transferred to the new service. This amount is higher than the average across the six authorities, as there are 9 employees remaining in their current posts who currently spend between 5% and 50% of their time on school improvement functions. Further analysis of these post will be required by Wrexham, with with the potential to identify further savings.

The current cost of school improvement services is £859k. Wrexham does not currently commission any additional support. The influenceable spend in Wrexham is £684k. None of this budget is delegated to schools.

Six Key Functions of a Regional School Effectiveness and Improvement Service[11]

The **6 functions** are as follows:

1. **Supporting LAs to undertake their statutory functions in relation to school effectiveness by:**

   - Monitoring the work and performance of schools on the basis of a range of evidence and reporting on this.

   - Challenging schools on the basis of whole school performance and provision, and in relation to individual learning programmes and pupil support arrangements so as to drive improvement in pupil outcomes.

   - Intervening in the provision made by a school when necessary, and supporting schools in difficulty and those with serious weaknesses.

   - Facilitating the use and interpretation of data to ensure intelligent accountability.

2. **Provide Support for both LAs and Schools (jointly and separately as the case may be) in School Improvement activity by:**

   - Supporting schools to address issues of school effectiveness/improvement and pupil outcomes.

   - Providing advice and support for pedagogy (learning, teaching), leadership and management, and in intelligent accountability and professional development. (Self evaluation, assessment and monitoring).

   - Developing and deploying, on an associate basis, system leaders and progressing proactively the system leadership agenda.

   - Facilitating and supporting where required networking and networks of professional practice.

   - Addressing issues of concern in schools and LAs and supporting schools needing significant improvement.

   - Provide expertise on IT (Curriculum & Pedagogy) and VLE

3. **Specifically undertaking responsibility for the Implementation of SEF and for CIF accountability by:**

   - Providing and developing staff expertise and organisational knowledge in pedagogy and learning.

   - Supporting school self evaluation.

   - Supporting the LAs and schools in exercising their responsibilities in relation to SEF – including improvement in pupil outcomes and their wellbeing.

   - Ensuring that all the activities of a regional service are undertaken in the context of SEF.

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[11] *'Report on the feasibility and implications of establishing a Regional School Effectiveness and Improvement Service for the six North Wales Local Authorities'* Gerson Davies, Independent Consultant, January 2011

- Facilitating the development and work of Professional Learning Communities.

- Providing Support for, and addressing the needs of, Schools Causing Concern.

- Contributing to preparations for Estyn inspection of individual schools and other surveys.

- Making arrangements for continuous professional development through courses, brokerage, collecting and disseminating good practice, and developing a regional Portal.

4. **Making provision for the development, maintenance, and review of regional frameworks on a commissioned basis**, to include:

- Protocols.

- Operational guidance and documentation.

- Documentation and bulletins.

5. **Providing a centre of expertise for MIS service and for the management analysis and interpretation data**

6. **Provide a specialist centre for Education Management matters and an Education Human Resources Service to provide expertise and advice.**

Whilst the responsibilities indicated above provide a framework for the regional service arrangements would need to ensure that the needs of individual authorities and schools were reflected in service provision; this will be the responsibility of the Joint Commissioning Committee. If these functions are to be the responsibility of a regional service then it should not be involved in other activities unless specifically commissioned.

Option Appraisal

Regional School Effectiveness and Improvement Service (RSEIS)
Governance Models

This report covers the following:

1.   Methodology
2.   Governance Options for the Regional School Effectiveness and
     Improvement Service
2.1 Governance Arrangements in Relation to Individual Local Authorities and
     Members
2.2 RSEIS Governance Accountability Model
3.   Weighting the Criteria
4.   Scoring the Options
5.   Conclusions to the Option Appraisal

1.   Methodology

The purpose of this report is to consider the Governance options in relation to the development of the Regional School Effectiveness and Improvement Service(RSEIS).

The following stakeholders were involved in this option appraisal:

- NW S151 Officers
- NW ADEW Directors
- NW Legal Officers
- RSEIS Project Team
- NW Regional Education and Other Related Service Board *(membership: Project Sponsor, Executive Members, NW ADEW Directors)*

In June 2011, the Regional Education and Other Related Service Board engaged a Project Team to support the NW ADEW Directors to write an Outline Business Case(OBC) for the development of the new Service. The OBC undertook an initial exercise which considered the various options for Governance, and recognised that further work would need to be undertaken before a decision could be reached.

The NW ADEW Directors commissioned expert legal advice from experts Trowers and Hamlins, which produced two reports on the types of, and benefits / disadvantages of, the various Governance models. A workshop (attended by the Project Team, ADEW Directors and Legal Officers from across the six North Wales Authorities) was then facilitated by Trowers and Hamlins to consider the options in the context of the RSEIS.

During the workshop, the criteria for assessment was developed taking account of the Outline Business Case and feedback from the Executives of the six Authorities.

The exercise of weighting the criteria was undertaken by the NW ADEW Directors.

The Option Appraisal template is a recognised approach of the WLGA, having been tested for use within the public sector.

The following sequence of activities was undertaken:

- the initial draft was considered and developed by the NW Legal Officers, including an attempt at scoring the options against the criterion;
- the full draft was then shared with the NW S151 Officers, who were invited to score the options (without the benefit of seeing the scores assigned by the Legal officers);
- the full draft was then shared with the NW ADEW Directors, who were invited to score the options (without the benefit of seeing the scores assigned by the Legal officers or the S151 Officers); and finally
- the full draft was presented to the NW Regional Education and Other Related Service Board, who considered the previous scoring to agree a final score set, and make a recommendation for the Governance model for the RSEIS.

The recommendation will inform the Full Business Case, which will be presented to the six LA Executive Boards in February 2011.

2. Governance Options for the Regional School Effectiveness and Improvement Service (RSEIS)

Governance is the way in which Local Authorities (LAs) govern, own and hold services to account. There are several legal structures which can be adopted by local authorities to support a shared service arrangement:

- **Secondment** – some LAs would either make available staff to the other council, or it will receive staff from the other.
- **Delegation to One Authority** – functions are delegated by each LA to one of them, which then delivers the functions on behalf of the others.
- **Delegation to a Joint Committee (with a Host Authority)** – functions are delegated by each LA to a Joint Committee with membership from all six LAs.
- **Commercial Contractual Arrangements (Contractual Model)** - one LA provides services to the other public sector bodies in return for payment under the Local Authorities (Goods and Services) Act 1970.
- **Corporate Arrangements (e.g. Company Limited by Guarantee)** – an arms length arrangement would be set up as the 'corporate vehicle' to deliver the service. All LAs would need a contract with this corporate vehicle to buy services, and arrangements would need to be in place for ownership and governance.
- **Collaborative Arrangements** – as per the Commercial Contractual Arrangements it involves a robust arrangement between the six LAs, and will avoid procurement obstacles if arrangements are put in place properly.

The initial assessment from Trowers and Hamlins on the options in relation to the project found that:

✘ *'the **Secondment** model would not* (in itself)*seem to be suited in commercial or legal terms to the proposed arrangement for the transforming education project'*. It would however be a practical option for some specialist staff who would be delivering discrete services (Extended Team). Whilst it avoids procurement implications, is well understood, and can be a useful alternative to staff transfer - its application is generally limited and is more suited to short-term projects, rather than as a means of delivering shared services.

✘ the option to **Delegate to Another Authority** is *'unlikely to be attractive for political and practical reasons'*. Although it is well known in local government, is able to avoid procurement rules, and clear statutory powers exist to facilitate such an arrangement – it can be politically difficult if involving front-line services, relies heavily on trust and involves transferring funds rather than getting a payment for a service, which may lack accountability.

✓ *'a **delegation** by all six LAs **to a Joint Committee** constituted under Section 102* (of the Local Government Act 1972) *would be more attractive than a delegation from one authority to another'*, but would require a Host Authority to employ staff and enter into contracts, as a Joint Committee is unable to do this.

The initial assessment recognised that it has the same advantages as delegating to another authority (being well known in local government, able to avoid procurement rules, and clear statutory powers exist to facilitate such an arrangement), but can also provide equality between LAs and political transparency.

The disadvantages are similar to delegating to another authority (that it relies heavily on trust and involves a transfer of funds), but also recognises that balanced representation can be difficult, and constitutional arrangements must be thoroughly set out from the offset.

✘   the option of a **Contractual Model** was also considered not to be '*suited in commercial or legal terms to the proposed arrangement for the transforming education project'*. The main issue is that most contracts will be caught by the procurement rules, which will prevent a direct award of a contract to another LA without testing the market.

✓   'a **Corporate Arrangement** *(e.g. Company Limited by Guarantee)as the delivery vehicle could be effective through a number of different structures, with no one model having a stronger legal case than another'*.

The advantage to this model is the flexibility it provides in the management of the Service, with potential for a new culture, less bureaucracy and quicker decision making than the public sector. The corporate vehicle can employ its own staff, trade and enter into contracts.

However, the Corporate Arrangement is less straightforward than all the other models. If a corporate model is to be chosen, a deeper analysis of matters relating to risk and finance (including tax) needs to be undertaken. A corporate model needs to be constituted and run so that it is able to be exempt from procurement requirements (Teckal), with LAs being the controlling shareholders. A corporate vehicle will have articles of association which sets out its power and objects, and a shareholders agreement and contracts will need to be in place with each LA.

✘   'the **Collaborative Arrangement** *model would not seem to be suited in commercial or legal terms to the proposed arrangement for the transforming education project'*.

This is an emerging concept relying on the case of Commission v Germany which confirmed a genuine collaborative arrangement would not need to be formally tendered.

Whilst this can work well for two authorities who wish to deliver a service without the route of formal delegation or contracts, as the numbers grow it becomes more difficult to tie down the arrangements. When working to deliver a clear set of functions across six LAs, there needs to be some formality to the arrangements.

2.1   Governance Arrangements in Relation to Individual LAs and Members

Implementation of the proposal to establish a regional service does not dilute the role and responsibilities of individual LAs in relation to school effectiveness and improvement. The statutory responsibilities continue to apply to the LAs. The following statements are true for all the models:

- the regional service will be in the ownership of the six LAs;
- monitoring of the way the service carries out the functions will be with the Joint Committee / Limited Company Members appointed by LAs**,** whose membership will include; portfolio holders, the individual Directors of Education/Chief Education Officers of the six LAs, and schools;
- the Joint Committee / Limited Company Members ensure the LA requirements are met through the functions and responsibilities delivered by the Service;
- individual LAs will still need to monitor and scrutinise the services received through regular monitoring involving their scrutiny and other relevant political processes; and
- Scrutiny Committees would have the opportunity to request specific reports on matters relating to school effectiveness over and above the service operational arrangements.

These arrangements ensure that political accountability remains with local members. In fact, there is opportunity for any of the governance models to strengthen local accountability by ensuring that local members become advocates for children and champions for community needs.

2.2   RSEIS Governance Accountability Model

The following model shows the accountability relationship between the Local Authority and the RSEIS.

Local Accountability

- Each local authority(LA) will commission (buy) the service from the collaborative RSEIS organisation
- The LA retains power to negotiate the service level agreement / contract with the RSEIS or delegation arrangements with schools, which may require local variation
- The LA Chief Education Officer retains the statutory responsibility for the delivery of the functions with the support of the Executive Member
- The Joint Committee are accountable to the council as a whole
- The LA Chief Education Officer and Executive Member will ensure that the service meets the needs of their schools

Regional / Collective Accountability

- Achieved through a *Joint Committee with a Host Authority* model
- Councils can appoint members of the Joint Committee, who can be Members and otherwise
- Joint Committee members need to put the interests of the collaborative entity first to manage the 'whole service', focusing on the 'collective' interests
- The Joint Committee will oversee management of the RSEIS, with the support of the NW Consortium in their role as Educational Specialists responsible for driving standards
- The Joint Committee are accountable to the council as a whole, with Joint Committee members accountable to their own LA council and scrutiny members
- The RSEIS Chief Officer will be responsible to the Joint Committee
- The Joint Committee will receive support and challenge from the *'RSEIS Schools and Governors User Group'*

Accountability to each NW Cabinet/Executive

Accountability to each NW LA Scrutiny Committee

RSEIS Schools and Governors User Group

Joint Committee
(Councils appoint members of the Joint Committee)

NW Consortium (Statutory Chief Education Officers)

RSEIS
(Managed by a Chief Officer)

3.   Weighting the Criteria

The criteria for the option appraisal are listed below. The NW ADEW Directors have considered their relative importance by distributing 100 points between them.

Table 1

Governance Models – Criteria *(further definitions where necessary are in Table 2 below)*		Points Awarded
1	Strategic Fit	
1.1	Enables the transfer of the Key Functions (4 of the 6) into the new Service	6
1.2	Must be able to support the core principle of delivering on local and national Welsh language strategies to develop and increase excellence in pedagogy and Welsh medium/bilingual education in communities across North Wales	6
2	Value for Money	
2.1	Enables the realisation of Objective 2 *'to identify savings through the delivery of a regional School Effectiveness and Improvement Service of 10% of North Wales expenditure'*	6
2.2	Must have the potential for future savings	4
2.3	Enables the realisation of the Key Aims of the Outline Business Case	6
2.4	Must not have unaffordable *Pensions Deficit* costs	4
2.5	Must not have unaffordable start-up staffing costs e.g. relocation, redundancy	4
2.6	Must not have unaffordable start up ICT costs	4
2.7	Must have the ability to take advantage of VAT exemption	3
3	Deliverability	
3.1	Enables the realisation of Objective 1 – *'to be delivering the School Effectiveness and Improvement Service under the regional arrangements across the six North Wales Authorities, by September 2012'*	6
3.2	Must limit bureaucracy	3
3.3	Must be able to employ staff	6
3.4	Must be able to contract	3
3.5	Must be able to trade	3
4	Sustainability	
4.1	Must have the ability to grow and change	6
4.2	Must be able to secure appropriate support services (e.g. legal, finance, HR)	6
5	Acceptability	
5.1	Must be able to alleviate tensions with key stakeholders (Schools and their Governing Bodies)	6
5.2	Must be acceptable to regulators (e.g. ESTYN, WLGA, WG)	6
5.3	Must be likely to receive Political buy-in	6
5.4	Must have staff buy-in or the potential to overcome staff opposition	6
	Total	**100**

Table 2 – Definitions for Table 1

1.1	The 4 of the 6 Key Functions in scope for this project are: ▪ supporting LAs to undertake their statutory functions in relation to school effectiveness; ▪ provide support for both LAs and Schools (jointly and separately as the case may be) in School Improvement activity; ▪ specifically undertaking responsibility for the Implementation of SEF and for CIF accountability; ▪ making provision for the development, maintenance, and review of regional frameworks on a commissioned basis;
2.3	The Key Aims are: ▪ implement the national School Effectiveness Framework to raise standards and improve wellbeing by reducing variance within and between schools and local authorities, whilst taking account of local need; ▪ respond to the Estyn inspection regime, which has raised the bar and emphasised partnership working in its revised inspection criteria; ▪ identify efficiency savings; and ▪ provide a foundation that allows future regionalisation of other/linked Education services e.g. Inclusion
2.4	Need to give consideration here to the potential impact on Cynnal with respect to their company status
4.1	Does the model allow for additional (Education and Non-Education) Services to be brought into scope?
5.1	Is it capable of having Schools as formal Stakeholders, what is the potential level of impact on LA staff 'in-scope'?
5.3	Political buy-in needs to be at both a Local and National level - must limit the liability for any one, or all of the six North Wales authorities

4. Scoring the Option

- The weightings have been transferred into the 'Agree Weightings' column.
- Each option has been awarded a score of between 0 and 3 and entered in the column 'Raw Score'.
- The 'Raw Score' has been multiplied by the 'Agreed Weightings' score to give the weighted score.

3 – Meets all of the criteria
2 – Meets some but not all of the criteria
1 – Meets some of the criteria
0 – Does not meet the criteria

Based on the initial assessment by Trowers and Hamlins (section 2), the Governance Models that will be considered in this option appraisal are a *'Joint Committee with a Host Authority'* and a *'Company Limited by Guarantee'*.

Table 3 (reference to Table 1)

Governance Models – Criteria		Agreed Weighting	Option A Joint Committee with a Host Authority		Option B Company Ltd by Guarantee		Contributing Factors *(obtained from LA Legal Representatives)*
			Raw	Weighted	Raw	Weighted	
1.1	Enables the transfer of the Key Functions (4 of the 6) into the new Service	6	3	**18**	3	**18**	Both options can deliver the four functions with stipulations in the agreement. In addition: Option A ▪ Staff will transfer under TUPE to a Host Authority ▪ Each Authority can delegate their functions to the Joint Committee ▪ Third parties can sit on a Joint Committee (e.g. School Governors or Headteachers) ▪ Requires a great level of trust and goodwill between the partners ▪ Measures need to be in place to prevent imbalance ▪ The Authorities will enter into a delegation agreement, including the constitutional arrangements for the Joint Committee Option B ▪ Staff will transfer under TUPE to the Company ▪ Company can enter into contracts in its own name ▪ Local Authorities cannot delegate their functions to a Company ▪ Board of Directors can be made up of Local Authority members, others or a mixture of both

Governance Models – Criteria		Agreed Weighting	Option A Joint Committee with a Host Authority		Option B Company Ltd by Guarantee		Contributing Factors *(obtained from LA Legal Representatives)*
			Raw	Weighted	Raw	Weighted	
1.2	Must be able to support the core principle of delivering on local and national Welsh language strategies to develop and increase excellence in pedagogy and Welsh medium/bilingual education in communities across North Wales	6	3	**18**	3	**18**	Option A ▪ This can be one of the stipulations when the Joint Committee is set up Option B ▪ This can be one of the stipulations through a Shareholder's Agreement
2.1	Enables the realisation of Objective 2 *'to identify savings through the delivery of a regional School Effectiveness and Improvement Service of 10% of North Wales expenditure'*	6	3	**18**	3	**18**	Both options will incur costs related to branding, leaving costs, office accommodation, TUPE and general on-costs (all considered as part of the FBC). Option A ▪ Virtually no start up costs for the Joint Committee itself Option B ▪ Start up cost for registering the Company – nominal ▪ Structure will be free of local authority terms and conditions and more easily able to bring about further efficiencies
2.2	Must have the potential for future savings	4	2	**8**	3	**12**	Both options allow other LA Services to join and sell to the public sector (e.g. further and higher education). Option A ▪ A Joint Committee is not able to trade with the private sector Option B ▪ Has the ability to trade and generate profit (depending on model chosen)

Governance Models – Criteria		Agreed Weighting	Option A Joint Committee with a Host Authority		Option B Company Ltd by Guarantee		Contributing Factors *(obtained from LA Legal Representatives)*
			Raw	Weighted	Raw	Weighted	
2.3	Enables the realisation of the Key Aims of the Outline Business Case	6	3	**18**	3	**18**	Both options allow other LA Services to join and sell to the public sector (e.g. further and higher education), and both respond to Estyn inspection regime which has emphasised partnership working in its revised inspection criteria. Option A ▪ A Joint Committee would reduce variances within and between schools and LAs, allowing more flexibility to respond to changing local needs ▪ Rationalisation of staff would increase efficiency Option B ▪ A Company would reduce variances within and between schools and LAs. However, whilst it would be more difficult to change the contract and anticipate future need - this should be surmountable by shareholder control ▪ Rationalisation of staff would increase efficiency
2.4	Must not have unaffordable Pensions Deficit costs	4	2	**8**	0	**0**	Both options will have a pensions deficit evaluation which will need to be paid back over a number of years. The contribution rate towards the past service deficit: Option A ▪ May be lower due to a more favourable pay-back arrangement (similar to current LAs) Option B ▪ May be higher due to a more restrictive pay-back arrangement (as a company in its own right)
2.5	Must not have unaffordable start up staffing costs in relation to relocation, redundancy and culture of the new service	4	2	**8**	2	**8**	Start up costs in relation to relocation and redundancy would be the same for both Options, with any variance being due to the delivery model, rather than the Governance model.

Governance Models – Criteria		Agreed Weighting	Option A Joint Committee with a Host Authority		Option B Company Ltd by Guarantee		Contributing Factors *(obtained from LA Legal Representatives)*
			Raw	Weighted	Raw	Weighted	
2.6	Must not have unaffordable start up ICT costs	4	2	**8**	1	**4**	There would be considerable start up and ongoing ICT costs for both options Option A ▪ A Host(s) LA would be able to provide ICT support to the Joint Committee, offering the opportunity to reduce both start-up and ongoing costs Option B ▪ Any LA would be unable to support the Company if there was a conflict of interest - ICT would need to be procured in the private sector, which may double the start-up and ongoing costs to that of a Joint Committee
2.7	Must have the ability to take advantage of VAT exemption	3	2	**6**	0	**0**	Option A ▪ If a joint committee remained within the VAT registration of one of the parent local authorities as an accounting body (not unusual, but technically would require HMRC approval), then the VAT on the "exempt-related" purchases of the joint committee would be within the "de-minimis" limits for Partial Exemption. Option B ▪ With a company limited by guarantee in this context, because the majority of its income will come from the provision of education and closely related services (exempt from VAT), it is not permitted to recover VAT on any purchases/overheads which relate to those services.
3.1	Enables the realisation of Objective 1 – *'to be delivering the School Effectiveness and Improvement Service under the regional arrangements across the six North Wales Authorities, by Sept2012'*	6	3	**18**	3	**18**	Option A ▪ The timetable can be achieved Option B ▪ The timetable can be achieved

Governance Models – Criteria		Agreed Weighting	Option A Joint Committee with a Host Authority		Option B Company Ltd by Guarantee		Contributing Factors *(obtained from LA Legal Representatives)*
			Raw	Weighted	Raw	Weighted	
3.2	Must limit bureaucracy	3	2	6	2	6	Option A • A Joint Committee(JC) sits between each Council and the service and has its functions delegated to it by each Authority • The JC members would still need to report back to each Authority through scrutiny • Extent of delegation would be granted by each Authority's Cabinet/Executive • The Authorities would enter into a delegation and Joint Committee agreement, which would include measures for recompense for the Host Authority for staff, accommodation etc. • JC can delegate day to day functions to the Head of Service or to sub-committees Option B • The Company is independent of the LAs • It is possible for the LAs to set up a Joint Committee to oversee the work of the Company so that shareholder control is managed collectively, but this adds a layer of bureaucracy • Each LA would have to have a contract with the Company • The Company would report back to each LA and there would be a Shareholders Agreement underpinning their relationship
3.3	Must be able to employ staff	6	3	18	3	18	Option A • JC cannot employ staff – this has to be done through the Host Authority Option B • Company can employ staff direct
3.4	Must be able to contract	3	3	9	3	9	Option A • JC cannot enter into contracts – this has to be done through the Host Authority Option B • Company can enter into contracts

Governance Models – Criteria		Agreed Weighting	Option A Joint Committee with a Host Authority		Option B Company Ltd by Guarantee		Contributing Factors *(obtained from LA Legal Representatives)*
			Raw	Weighted	Raw	Weighted	
3.5	Must be able to trade.	3	2	6	3	9	Option A ▪ No opportunity to trade outside the public sector Option B ▪ Has the ability to trade, subject to satisfying provisions in Section 95 Local Government Act 2003
4.1	Must have the ability to grow and change	6	3	18	3	18	Option A ▪ Has the flexibility to grow and to be a stepping stone for another model if appropriate i.e. if successful and wanting to trade then it can become a Company later on Option B ▪ Can grow and change with little formality – a very flexible format
4.2	Must be able to secure appropriate support services (e.g. legal, finance, HR)	6	3	18	3	18	Option A ▪ The Host LA would be able to provide Support Services to the Joint Committee – agreeing the Host Authority will need a process for identification. Option B ▪ Any LA would be unable to support the Company if there was a conflict of interest - Support Services would need to be procured in the private sector
5.1	Must be able to alleviate tensions with key stakeholders (Schools and their Governing Bodies) *(For School Improvement Officers and Unions see 5.4)*	6	3	18	3	18	Option A ▪ Outside bodies can have members sitting on a JC Option B ▪ Outside bodies can have members sitting on a Board of Directors of a Company in LA control ▪ Entirely new Body may have a new culture and identity that stakeholder will need to adjust to

Governance Models – Criteria		Agreed Weighting	Option A Joint Committee with a Host Authority		Option B Company Ltd by Guarantee		Contributing Factors *(obtained from LA Legal Representatives)*
			Raw	Weighted	Raw	Weighted	
5.2	Must be acceptable to regulators (e.g. ESTYN, WLGA, WG)	6	3	**18**	3	**18**	Both options respond to Estyn inspection regime which has emphasised partnership working in its revised inspection criteria. Option A ▪ A creature of Local Government subject to LA rules Option B ▪ Outside the Local Government regulatory field – but there is strong evidence of acceptability e.g. Cynnal
5.3	Must be likely to receive Political buy-in	6	2	**12**	1	**6**	Option A ▪ A well-known and familiar concept ▪ LAs other than the Host Authority may fear loss of power/input but it is the JC not the Host Authority who controls the service and balancing controls can be built into the agreement. Option B ▪ Often a fear about setting up a Company although this can be a good way of maximising the potential of the service particularly if there are trading opportunities ▪ Potential personal liability for Directors of the company although insurance should be taken out and indemnities given ▪ Potential conflict of interest between Members sitting as Directors versus Members sitting as Councillors
5.4	Must have staff buy-in or the potential to overcome staff opposition	6	2	**12**	1	**6**	Option A ▪ Staff and Unions will probably prefer an option where they remain employed by the LA and remain in the LGPS Option B ▪ Likely to result in opposition due to perceived worries about pay, conditions, pensions etc

5.   Conclusions to the Option Appraisal

	Option A Joint Committee with a Host Authority	Option B Company Ltd by Guarantee
Totals (weighted score)	263	240

Based on the findings of this option appraisal, **the recommendation by the Education and Other Related Services Board is that a 'Joint Committee with a Host Authority' is adopted as the governance model for the Regional School Effectiveness and Improvement Service.**

In the context of the regional service being developed, the main disadvantages (scoring 0 - does not meet the criteria) associated with a 'Company' model are in relation to:

- the pensions deficit - whilst both options will have a pensions deficit evaluation which will need to be paid back over a number of years, the contribution rate towards the past service deficit may be unaffordable due to a more restrictive pay-back arrangement as a company in its own right (based on an actuary evaluation on estimated data); and

- the ability to take advantage of VAT exemption - with a company limited by guarantee in this context, because the majority of its income will come from the provision of education and closely related services (exempt from VAT), it is not permitted to recover VAT on any purchases/overheads which relate to those services.

It was also recognised that:

- the initial set-up and ongoing costs relating to ICT for the service under a company model would be double that of a Joint Committee with a Host authority, requiring support to be procured in the private sector (there being a conflict of interest in the case of an LA providing this support);

- political buy-in would be unlikely in the Company model when considering the potential personal liability for Directors of the company (although insurance should be taken out and indemnities given), and the potential conflict of interest between Members sitting as Directors versus Members sitting as Councillors; and

- staff buy-in would be unlikely in the Company model with staff preferring an option where they remain employed by the LA and remain in the LGPS, and likely to result in opposition from staff and their unions due to perceived worries about pay, conditions, pensions etc.

APPENDIX 6

Overview of the Pension Issues for the RSEIS

1. Estimated Contribution Rates for RSEIS

The Actuary for the Gwynedd Pension Fund has provided an initial estimation of the potential pension deficit and pension contribution rate for the new regional service. The information provided to the actuary to base this estimation was limited and the conclusions made can only be an indication of the potential rates as the actual employee information will not be known until the HR process has been implemented.

Option 1: Fully Funded Approach (the pension deficit remain with the current employer)
The RSEIS would have no initial deficit and the employer's contribution rate is the 'future service' rate with no past service adjustment.

Option 2: Share of Deficit Approach (the pension deficit transfers to the new regional service)
The total contribution rate includes both a 'future service' rate and a 'past service adjustment' rate. The 'past service adjustment' rate is dependant on the overall value of the past service adjustment and the 'spreading period'. The 'spreading period' will be determined based on the perceived risk of the new employer. The riskier the employer is deemed to be, the shorter the deficit spreading period.

The financial modelling for RSEIS has included the estimates on the basis of option 2 with a 'Share of Deficit Approach' based on the spreading period normally allowed for a Local Authority (past service adjustment 'spread' over 20 years). If the governance model is a company model the rate could be substantially higher, dependant on the determined spreading period (e.g. past service adjustment 'spread' over 8 or 10 years). The overall amount of past service adjustment is the same in all circumstances; it is the spreading period which creates a variance in affordability between the governance models.

2. Current Pension Arrangements

Employees with the 6 LAs and Cynnal have opted-in to the relevant employer's pension scheme
- Gwynedd Pension Fund
- Clwyd Pension Fund
- Teachers' Pension Scheme (exceptions)

Gwynedd, Ynys Mon, Conwy and Cynnal Company are employers with the Gwynedd Pension Fund, and Flintshire, Denbighshire and Wrexham are employers with the Clwyd Pension Fund. The new regional service will request to be an admitted body with one of these 2 funds, under the Local Government Pension Schemes (LGPS). On transfer to the new regional service the staff will start to contribute to that pension fund, via their new employer.

3. Admitted body of pension fund

If the regional service operates with a host authority, the pension fund would be the same as that of the host authority. The host authority would need an agreement with the 5 other LAs that the regional service should be treated as a separate entity to the host authority and to have discrete actuarial reports and employer's contribution rate.

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If the regional service is set up as a company, it would need to request to become an admitted body under the LGPS in either the Gwynedd or the Clwyd Pension Fund.

4. **Valuation of transferring staff's pension deficit**

The pension fund will make a valuation with regards to all the staff transferring from their previous employer to the new admitted body. This value will depend upon individual staff's age and service, but will primarily depend upon market factors (bond yields, etc) at the time of transfer.

Existing pension deficit for each current employer (6 LAs and Cynnal)

The pension fund currently makes a triennial valuation of the pension deficit for each admitted body within the pension fund and sets the contribution rate for the 3 years subsequent to the valuation to reflect the individual characteristics of each employer. The pension deficit is not created due to staff transferring to another employer, but it requires a valuation at point of transfer.

Options for the treatment of the pension deficit evaluated for the regional service

Option 1: Fully Funded Approach (the pension deficit remain with the current employer)
   ▪ The overall pension deficit for the employer would remain unchanged.
   ▪ Existing employer could voluntarily pay amount of the pension deficit to the pension fund and crystallise the amount within the authority accounts, with regard to the staff transferring.
   ▪ If the existing employer chooses not to crystallise the amount this would be reflected within the next valuation of the pension fund. There would be fewer staff from which to recoup the deficit in contributions which could lead to a higher contribution rate for the employer.

Option 2: Share of Deficit Approach (the pension deficit transfers to the new regional service)
   ▪ The actuary for the pension fund would make a valuation with regard to the regional body to assess the required contribution rate to reflect both the future service contribution and the past service deficit.

Pension fund valuation of employer's contribution rate

Employers' contributions to a LGPS fund are set as to 'secure the fund's solvency', whilst the actuary must also have regard to the desirability of maintaining as nearly constant a rate of contribution as possible (over time) and at reasonable cost.

Separate employer contribution rates are assessed by the actuary for each participating employer. The rates are assessed taking into account the experience and circumstances of each employer, following a principle of no cross-subsidy between the distinct employers in the fund. In attributing the overall investment performance obtained on the assets of the fund to each employer a pro-rata principle is adopted.

The rate for a local authority may reflect a recoupment of past service deficit over a 20 year period whilst the regional service (if the governance model is a company) may be assessed to reflect recoupment over 8 or 10 years. This is generally assessed in terms of the average 'remaining working lifetime' of the employees of the admitted body.

New recruitment of staff will impact on the regional service
A pension deficit valuation is made on each recruitment whereby the past service deficit transfers from the existing employer to the new employer. The regional service may be particularly vulnerable to pension deficits by new recruitment with a high possibility of recruitment requiring expensive "club" transfers from the Teachers' Pension Scheme (TPS) to the LGPS.

5. Teachers' Pension Scheme (TPS)

The TPS is a contributory scheme administered by Teachers' Pensions (TP) on behalf of the Department for Education (DfE). It is a defined benefit 'final salary' scheme. It is a statutory scheme subject to the Teachers' Pensions Regulations (1997).

When a member of staff transfers from the TPS to the LGPS there is a valuation of pension deficit and arrangements made for a 'club transfer'. The TPS evaluates the pension contributions that have been paid into the scheme and will transfer these to the LGPS fund. The LGPS fund will receive the contributions paid e.g. over 20 years but will also inherit the accrued pension rights over the 20 years. The accrued pensions' rights will be higher than that already paid in contributions (particularly where employees' salaries have increased over their careers with increments and promotions) and therefore there is a pension deficit on transfer.

6. Local Government Pension Schemes (LGPS)

The LGPS is a defined benefit final salary scheme under which the benefits are specified in the governing legislation (the Local Government Pension Scheme Regulations). The required levels of employee contributions are specified in the Regulations. Employer contributions are determined in accordance with the Regulations which require that an actuarial valuation is completed every 3 years.

The funding of defined benefits is by its nature uncertain and is based on both financial and demographic assumptions. When actual experience is not in line with the assumptions adopted a surplus or shortfall will emerge at the next actuarial assessment and will require a subsequent contribution adjustment to bring the funding back in line with the target. The last actuarial valuation was in March 2010. The next valuation will evaluate the impact of the recent economic crisis on the financial markets and pension funds' overall investment performance.

The fund will have an investment strategy together with an aim to generate returns to meet future pension liabilities and contribute towards repaying the current deficit. Ideally, the return on the investments within the fund would fund a significant proportion of the pension liabilities, rather than the employee and employer contributions.

Deficit Recovery Plan
Where the assets of the scheme relating to an employer are less than the funding target at the actuarial valuation date, a recovery plan is put in place, which requires increased contributions from the employer to meet the shortfall.

The following factors may determine the actual recovery period to apply for any particular employer:
- The size of the funding shortfall (proportionate to employers' payroll).
- The business plan of the employer (quality of MTFP and business prospects).
- The security of future income streams (certain for tax raising bodies).
- Any contingent security (e.g. guarantee or bond).
- Length of expected period of participation in the fund (demographic profile of staff and HR policies).

RSEIS Delivery Model   **APPENDIX 7**

	Days

School Visits (all schools – 466 inc N, P, Sec, Spe)
 	
6 days allocation per school:
    3 regular visits
    3 days planning and preparation (including Performance Management)
	2796

Schools Requiring Additional Support *
 	
– Targeted Support (based on pro-active school profiling) :
    388 schools   20% = 10 days x 78 schools = 780
                     19% = 6 days x 74 schools = 444
                     6% = 16 days x 23 schools = 368
	1592

– Post Inspection :
    Estyn Monitoring = 16 x 10 days (160 days)
    LA Monitoring = 15x 6 days (90 days)
    Significant Improvement/Special Measures = 5 x 32 days (160 days)
	410

Pre-Inspection Review (inc. pre-inspection report) *
 	
    9 Secondary schools x 10 'person' days (90 days)
    67 Primary schools x 3 'person' days (201 days)
    2 Special schools x 10 'person' days (20 days)
	311

Total Days Support Required from the RSEIS	**5109**

School Contact Days
    Based on 195 school days (inc training days)
    Minus 20 days (accumulative) to account for 5 days each side of the
     summer and Christmas holidays
    Minus an average of 3 days sickness leave
	172

Number of System Leaders Required for the RSEIS	**30 FTE**

* *Number of days is an average requirement, allowing flexibility for more or less as required*

Notes:

1   Based on the ESTYN 6 year rolling programme, 466 total NW schools / 6 = an average 78 schools each year will be inspected.

2   During the period September 2010 (start of the new ESTYN arrangements) to October 2011.
- 20% (or 13 schools) were in the category of ESTYN Monitoring
- 19% (or 12 schools) were in the category of Local Authority Monitoring
- 6% (or 4 schools) were in the category of Significant Improvement (3) or Special Measures(1)

3   Based on the one year snap shot (Note 2) and the estimated 78 schools inspected in one year (Note 1)
- 20% (or 16 schools) may be in the category of ESTYN Monitoring
- 19% (or 15 schools) may be in the category of Local Authority Monitoring
- 6% (5 schools) may be in the category of Significant Improvement or Special Measures

4   The number of 'person' days support required in one year allocated to each category is based on LA experience
- Estyn Monitoring = 10 days
- LA Monitoring = 6 days
- Significant Improvement / Special Measures = 16 days x 2 (schools remain in this category for a period of 2 years)

5   In this period a total of 64 schools were inspected out of a total of 466 (N, P, Sec, Spe)
- 2 Nursery
- 399 Primary
- 55 Secondary
- 10 Special

6   Based on Note 1 - this leaves 388 schools, of which it is anticipated that
- 20% will require additional support to address issues equivalent to the level of Estyn Monitoring follow up,
- 19% will require additional support to address issues equivalent to the level of LA Monitoring follow up,
- 6% will require additional support to address issues equivalent to the level of Significant Improvement / Special Measures follow up.

Cost of Tier 2 - RSEIS

Employee Costs		Chief Officer	Snr System Leader	System Leader (SL)	Translator	Admin	Business manager	Total
1 Number of posts		1	4	26	2	7	1	41
2 Employee Cost - Salary		86,000	60,609	56,000	29,470	22,094	42,890	297,063
3 Salary On-cost	0.417	35,862	25,274	23,352	12,289	9,213	17,885	123,875
4 Employee Cost		121,862	85,883	79,352	41,759	31,307	60,775	420,938
5 **Total Employee Cost**		121,862	343,532	2,063,152	83,518	219,150	60,775	**2,891,989**

Employee Related Costs	per employee	per SL	per premises	per service				Total
6 Training	100	300						13,100
7 Broadband Allowance		332						9,960
8 Medical	20							820
9 Insurance	20							820
10 **Total Employee Related**	140	632	-	-				**24,700**

Premises Related Costs	per employee	per SL	per premises	per service				Total
11 Number of Premises			1					
12 Repair & Maintenance			500	2,000				2,500
13 Rent			5,000	22,000				27,000
14 NNDR (Business Rates)			1,000	7,000				8,000
15 Utilities: Water			400	1,600				2,000
16 Utilities: Electricity/Gas			900	4,800				5,700
17 Building Cleaning			500	2,500				3,000
18 Window Cleaning			100	100				200
19 Waste Removal			100	200				300
20 Insurance			100	800				900
21 **Total Premises costs**	-	-	8,600	41,000				**49,600**

Transport Related Costs	per employee	per SL	per premises	per service				Total
22 Essential User Posts		1,239						37,170
23 Essential Mileage		3,700						111,000
24 Casual Mileage	1,000							41,000
25 Allowances for Board Members				1,200				1,200
26 **Total Transport Costs**	1,000	4,939	-	1,200				**190,370**

Supplies & Services	per employee	per SL	per premises	per service				Total
27 Office: Equipment & Furniture	50		500					2,550
28 Office: Printing & Photocopying	50		2,500					4,550
29 Office: Stationery	50							2,050
30 Comms: Postage	50							2,050
31 Comms: Phones	25							1,025
32 Comms: IT	500		7,000	13,500				41,000
33 Expenses: Professional Subscriptions		100						3,000
34 Expenses: Subsistence		50						1,500
35 **Total Supplies & Services**	725	150	10,000	13,500				**57,725**

Brokerage	per employee	per SL	per premises	per service				Total
36 Commissioning Budget used by SL				250,000				250,000
Total Commissioning Budget	-	-	-	250,000				**250,000**

Support Services Costs	per employee	per SL	per premises	per service				Total
37 Legal				5,000				5,000
38 HR	148			2,500				8,572
39 Finance	75			34,000				37,075
40 IT (see Supplies & Services)								-
41 **Total Support Services Costs**	223	-	-	41,500				**50,647**

	per employee	per SL	per premises	per service				Total
42 **Total Annual Revenue Cost**	2,088	5,721	18,600	347,200				**3,515,031**
43 Total cost of new Service								3,520,000

Notes:
1	Number of posts	Based on the delivery model with 30 System Leaders.
2	Employee Cost - Salary	Salaries are based on a benchmarking exercise by Hay Job Evaluation Services. All the posts will be subject to the host Authority Job evaluation schemes.
3	Salary On-cost	Includes an estimate for both National Insurance and pension contributions.
4	Employee Cost	Cost of basic salary and on-cost per post.
5	Total Employee Cost	Total costs dependant on the number of posts.
10	Total Employee Related	Includes estimates for training, web access, medical costs and insurance charges.
11	Number of Premises	The total cost of the new service is based 1 location. The model identifies the additional costs per location.
21	Total Premises costs	Based on a comparison with similar sized services's accomodation costs in Conwy and Wrexham.
26	Total Transport Costs	Based on the current level of transportation costs by staff in-scope. Albeit the new service will have fewer staff it is not anticipated that transport costs can be reduced comparatively.
35	Total Supplies & Services	Includes office costs, communication and expenses. An additional cost of £10k is identified for photocopying and ICT per location.
36	Commissioning Budget used by SL	Estimate of budget required for brokering additional support for LAs and Schools.
41	Total Support Services Costs	Includes estimates for legal, HR and Finance services.
42	Total Annual Revenue Cost	Total cost of the new service, identifying an estimated increase of £19k per additional premises.
43	Total cost of new Service	Total cost rounded up to be recharged, by an agreed charging methodology , to the 6 LAs.

NWRSEIS - Full Breakdown of Implementation Costs

	Capital Cost £	Revenue Cost £	
Redundancy Costs			
Advisory Staff		867,000	Based a harmonised policy on the most favourable terms
Support Staff		160,000	
		1,027,000	
Staff Transfer / Recruitment			
Assessment Centre Costs for New Service posts		21,000	Figures based on 62 SEPO/advisors and 50 Adminstrators being in scope with assessemnt centre costs based on daily rate for CO post and inclusive of OPQ and leadership tests.
Training needs analysis		3,000	Based on 31 SL and 6 adminstrators and 3 snr management team 40 staff
Team Building & Cultural Alignment		8,000	estimate of 4 focus groups/workshops based on previous collaboration work
Induction		2,000	based on two day programme with two facilitators
		34,000	
Office Costs - assuming good decorative and carpet condition			
Curved desk (1600mm)	202		
Operator chair (with arms)	150		
Desk high pedestal (600mm, 3 drawer)	58		DESK CENTRE (All Wales Framework - pre-tendered)
Filing cabinet (4 drawer)	85		
Open front bookcase (2004mm) 5 shelf	86		
Whiteboard (900mm x 600mm)	23		
A4 lever arch files x20		8	
Suspended filing wallets x200		93	BANNER (Corporate Mandate)
Desk trays (3 tiers incl risers)		8	
Cost for Service (based on 40 staff)	**24,200**	**4,300**	Above office costs multiplied by 40
Window blinds (average per 4 staff)	250		estimate based on Aberconwy Blinds Ltd
Cost for Service (based on 40 staff)	**2,500**		Blinds cost multiplied by 10 (apx)
ICT Costs			
Infrastructure	89,000		Inc. Data Centre, Cabling, Servers, Comms, Security & Resilience, Desktop Hardware, Phones, Printers, Blackberries
Information Systems	10,000		Inc. Migration, Consolidation and Procurement of New Systems - Finance, HR, Email, EDRMS, Web, GIS, CRM
Support & Consultancy	8,000		Inc. ICT Staff Costs, Skills Training, Technical & Consultancy Services
	107,000		
TOTALS	**133,700**	**1,065,300**	
Total Capital and Revenue £1.2m	**1,199,000**		

RSEIS - Financial Report on Potential Leaving Costs

1. Introduction

The six North Wales Authorities(LAs) are Ynys Mon, Gwynedd, Conwy, Denbighshire, Flintshire and Wrexham.

Each LA provided information against a criteria for identifying the percentage of time staff spend on the school improvement functions (statutory and curriculum specific), as defined in Appendix A. In addition to identifying the staff contributing to these functions, LAs were also requested to consider the full time equivalent(FTE) contribution for administrative support, including translation staff.

2.   Refining Staff In-scope

For the purpose of this exercise, the NW ADEW Directors agreed that if a member of staff spends equal to, or more than, 60% of their time on the identified functions, they are considered 'in-scope'.

There are 112 members of staff in-scope across the six LAs and Cynnal, 72 directly delivering 60% of more of the identified school improvement functions, and 40 administrative staff (including translation staff) delivering 27 FTE contribution on these activities.

Of the 72 advisory members of staff in scope, 1 post is due to become vacant and 16 are currently seconded and will revert to their previous permanent posts when the new regional service is operational. The LAs have identified a requirement for 8 posts in their Home Team to support those functions that are not covered by the RSEIS nor the other 'LA School Improvement Teams'. The remaining 47 will transfer to the new service.

Of the 40 administrative staff identified, as supporting advisory staff delivering the in-scope functions, the total percentage of their time spent on this activity is rounded to 27 FTEs. Therefore, for the purpose of identifying potential leaving costs associated with administrative staff, the average salary for all 40 staff will be multiplied by the 27 FTE posts.

The total number of advisory and administrative staff in scope is 74.

3.   Regional Service – Potential Staffing Requirement

The Full Business Case (FBC) is based on a service delivery, which requires 30 System Leaders and 9 support posts.

When we consider the 47 advisory posts in-scope against the potential requirement for 30 system leaders in the new service, and assuming all 47 staff will have the right to transfer to the new service under TUPE, there is an estimated surplus requirement of 17 staff. Based on their current salaries, and calculated as an average, this totals an estimated £705k under local policies and £867k under a harmonised policy (see Fig 1).

The new service anticipates administrative support to a ratio of 1:5, which may provide 9 administrative posts (including translation). As there are 27 FTEs identified in the current arrangements, there is potentially a surplus of 18 posts. Based on their current salaries, and calculated as an average, this totals an estimated £141k under local policies and £160k under a harmonised policy (see Fig 1).

The total potential leaving costs for advisory and administrative staff is **£1m**, based on harmonised terms and conditions.

This figure will contribute to the overall set-up costs for the project, currently in the region of £1.2m

4.   Transfer of Undertakings (Protection of Employment) Regulations 2006 (TUPE)

Members of staff who are currently engaged in delivering the school improvement 'in-scope' functions through their individual organisations, may have a right to transfer to the new organisation, which will be providing that function on a shared service basis. This transfer would be subject to TUPE regulations. Under these regulations, members of staff will transfer with at least their existing statutory employment rights and contractual entitlements.

Any resulting redundancies would be the responsibility of the new organisation.

The project is trying to secure WG funds to cover all implementation costs, including redundancy costs.

5.   Contributing Factors

5.1   Secondments

As previously stated, it is expected that any officers on seconded posts will return to their permanent posts at no additional cost to the authority.

5.2   Redeployment

There may be opportunities for redeployment with the existing employer for some of the staff in-scope.

Some of the members of staff in-scope currently work on other functions as well as school improvement functions (6.32 FTE over all current employers). Each employer will need to review these other functions to consider whether the work can be absorbed by other officers, or if new posts will need to be developed. Employers will need to be aware of the timescales to consider whether any posts need to be advertised locally prior to the TUPE negotiations with staff.

Conversely, across all the current employers there will be approximately 12.56 FTE capacity in relation to officers' work, who are not considered to be in scope, that will be transferred to the new service.

If there is redeployment, each employer will need to be aware of any local policies for the payment of 'protected pay'. This cost will be incurred by each individual employer.

5.3   Retirement Options

There are a number of retirement options which may be available to members of staff. The amount of leaving costs has been calculated on the basis of redundancy payments only, as potentially the most expensive option for the organisation.

5.4 Redundancy Payments

The cost of redundancy payments has been calculated on the basis of (i) each employer's current policy and (ii) a potential harmonised policy with harmonisation at the most favourable policy to the employee.

Fig 1.
Summary of Potential Leaving Costs

Current Advisory Staff	Advisors	Total	Redundancy Payment Local Policy	Harmonised Policy
Cynnal	20		1,204,342	1,204,342
Ynys Mon	0		-	-
Gwynedd	0		-	-
Conwy	10		133,856	461,693
Denbighshire	8		332,217	403,089
Flintshire	12		386,476	465,969
Wrexham	5		222,873	270,600
Total Current Staff	**55**		**2,279,764**	**2,805,693**
RSEIS requirement	30			
Anticipated Home Team requirement	8			
Redundancy Payment based on average	**17**	**17**	**705,000**	**867,000**

Current Staff	All Support Staff	Total	Redundancy Payment Local Policy	Harmonised Policy
Cynnal	13		95,284	95,284
Ynys Mon	0		-	-
Gwynedd	0		-	-
Conwy	6		41,123	82,179
Denbighshire	6		46,600	46,600
Flintshire	7		56,327	56,635
Wrexham	8		73,267	75,789
Total Number of employees	40		312,601	356,488
Total Current FTE	**27**		**211,000**	**241,000**
RSEIS requirement	9			
Redundancy Payment based on average for FTE	**18**	**18**	**141,000**	**160,000**
Potential Redundancy Payment	**17**	**18** **35**	**846,000**	**1,027,000**

PROCESS: Planning for Change (Staff)
Organisation Structure Change Process
(process for both incoming and outgoing organisations)

Key:

| Activity | Outcome |

━━━━━ Resolution point

(STEP) — Link to Redundancy Flowchart

Define (draft) Job Descriptions, Person Specs, and number of jobs

FBC approved by all six Councils

Review and confirm staff identified as in-scope (as defined in the FBC).

Produce proposed RSEIS organisation structure

LAs to consider the posts and the structure to deliver those functions not 'in-scope' (*Home Team*)

Unions to review the RSEIS and LA/Cynnal (*Home Team*) structures.

6 **LAs** and **Cynnal** to initially ring fence the *'Home Team'* posts within their organisations, internally advertise and appoint - prior to the due diligence test in relation to staff.

Update the staff 'in-scope' exercise with the outcome of the LA appointments and any changes/termination of contracts – including full release of due diligence information. Issue Section 188 Notice / TUPE correspondence as appropriate. (**STEP 1**)

Appropriate staff are identified for transfer

Posts changed or combined with other

Posts proposed to be deleted

No change to the current post duties & no challenge to post duties & no challenge to post

Job Evaluation Process

Staff affected at risk of redundancy and TUPE issues

Not at Risk
Invited to 1St Group Meeting

New Posts e.g. Broker, Business / Finance Manager

Job Evaluation Process

Individual pre-meetings as appropriate (**STEP3**)

Regional Trade Union Pre-meetings (**STEP 2**)

Resources: Full Business Case; proposals; Consultation Plan.
Activities: Request volunteers for VR/VER/PR from group at risk; explain matching process; share selection criteria; share draft Job Descriptions and Person Specs.

1ST GROUP CONSULTATION MEETING
(not limited to one if more than one is required)
(**STEP 4**)

1ST INDIVIDUAL MEETING (Informing)
(**STEP 5**)
Resources: Business case for change, Proposed structure,
Activities: Impact on current post, Confirm at risk, Options e.g. job matching; VR/VER/PR; consideration of new posts, Redeployment, Timescales and next steps

2ND INDIVIDUAL MEETING
(**STEP 6**)
Activities: Seek feedback on proposals, Seek suggestion for mitigation, Confirm grades for new posts, Job matching paperwork, Request VR/VER/PR from at risk group, Arrange interviews – new posts, Consider re-deployment opportunities/facilitate trail periods, Timescales and next steps

Activities:
Access volunteers
Assess matching paperwork
Conduct interviews – new posts

Apply selection criteria for redundancy within a group
Notify individuals of score who then have right to representation against application of the selection criteria

Date of Transfer to New Service

3RD INDIVIDUAL MEETING
(**STEP 7**)
Activities:
Confirmation of appointments, recap on meetings 1&2 and outcomes of process, Confirm outcome e.g. job matching; VR/VER/PR; issue notice of redundancy, Continue to consider redeployment opportunities/facilitate trial periods

Successful transfer to the RSEIS

Appeals against redundancies

Appeals against appointments

Redundancy Flowchart

The flowchart outlines the steps the new service proposes to take once the FBC has been approved. LAs must ensure that they follow their own local arrangements.

Full Business case agreed with regional programme Board and 6 LAs cabinets this has included agreeing those posts in scope to transfer to new service

↓

Project/implementation team prepare consultation paperwork for RSEIS Chief Officer. The consultation document should be circulated to recognised Trade unions in advance of any consultation meetings. Section 188 Notice if appropriate. **(STEP 1)**

↓

Trade union pre meeting (STEP 2)
Preliminary discussions with Regional Union representatives and Chief Education Officers in 6 Authorities and Cynnal. These discussions to include local trade union representatives

↓

(STEP 3) Opportunity for Chief Education Officers supported by Local HR officers to meet with individual staff directly affected and provide feedback to RSEIS Chief Officer.
Opportunity for Trade Unions to provide final feedback to RSEIS Chief Officer.

↓

1st Group consultation meeting (STEP 4)
Share final proposals with Trade Union Branch Officials including criteria, pools and timetable

↓

Agree final document with RSEIS Chief Officer. Inform all stakeholders of the final proposals

↓

- Identify redundancy committee and appeals committee

- Inform Unions, employees of potential redundancies – proposals to avoid redundancies e.g. EVR and VR **(STEP 5)** → Decisions taken

- Appointed facilitators to collate evidence including skills audit/expressions of interest for de/selection process. **(STEP 5)**

- RSEIS Chief Officer to consider expressions of interest in EVR and VR. **(STEP 5)**

↓

Redundancy committee/assessment centre to consider pool and apply de/selection criteria

← **2nd individual** meetings to explore alternatives to redundancies. If non identified individuals move into redundancy de/selection pool **(STEP 6)**

↓

Redundancy situation confirmed

↓

3rd individual meeting
Inform individual and invite to formal meeting **(STEP 7)**

→ Redundancy confirmed, right of appeal given

↓

Appeal hearings concluded

- ← Decision upheld
- → Decision overturned selection process commences individual excluded from 2nd process

<u>DRAFT</u> Job Description

JOB TITLE: TEAM LEADER/SYSTEM LEADER
Please note: items highlighted in grey are specific to the role of Team Leader

SERVICE: SCHOOL IMPROVEMENT AND INCLUSION

GRADE: 49,792- 60,609(INDICATIVE)

Key Relationships/Liaison

All Officers and consultants within the Regional Service, relevant Officers within Authorities, schools including Governors and external agencies.

Overall Job Purpose

The team leader will have responsibility for the day to day management of a small team of system leaders. The System Leader will bring levels of knowledge and experience that quickly and decisively analyse and offer solutions to problems of underperformance and support for higher achievement. Specific allocation of time will be determined by the formula agreed in the FBC. The role will need to secure consistent and suitably challenging targets and improved performance across schools in the consortia. With responsibility for a designated number of schools, you will be expected to work within the context of the strategic values and aims of the Regional Service and the National Standards for School Improvement / Effectiveness Professionals in Wales in order to:

- to function as Line Manager and Performance Manager for finance and administration staff ;
- contribute directly, or by supporting the commissioning of additional support as appropriate, to the resolution of specific issues and thereby support whole school improvement. This will include agreeing commissioning strategies for the school;
- monitor and challenge resource management in the school to ensure that financial and human resources are directed at securing improved pupil outcomes;
- use support and challenge, along with development of professional learning communities, to enable schools to build and sustain capacity for improvement;
- represent the consortium strongly and directly in the appointment of head teachers, their performance management, mentoring and other areas of professional development;
- lead on post inspection activities; and
- ensure that appropriate measures are in place to enable school Governors to play an appropriately strong challenging role in terms of the school, and to ensure that performance data is presented and used by Governors.

Specific Duties and Responsibilities
Leadership

- To manage and develop System Leaders in the designated team and to implement changes and manage activities as indicated through any service review and support career programme opportunities for the designated group of staff.
- Providing support and guidance to ensure that the school's vision, ethos and moral purpose is shared by all staff and stakeholders.
- Providing support and challenge to improve the practice of effective self- evaluation and school improvement planning.

- Providing support and guidance to ensure that leaders and managers to make best use of their expertise to improve their effectiveness.
- Providing a level of challenge by evaluating provision objectively, gathering valid and reliable evidence from a range of sources both within the organisation and beyond.
- Understanding comparative and value-added data and use it to identify high performance and underperformance of pupils, schools and subject areas/departments.
- Analysing and use data to judge the performance and challenge underachievement of groups of learners by gender, ethnicity, special educational needs and prior attainment.
- Challenging the school to set ambitious but realistic targets.
- Using an appropriate range of quantitative and qualitative data to synthesise a wide range of information to formulate hypotheses.
- Providing constructive feedback that forms the basis for future improvement.
- Being able to build the capacity of others to carry out self-evaluation.

Teaching and Learning (Pedagogy)

- Providing support and advice on teaching and learning styles and on evaluating the quality of teaching and learning.
- Providing guidance on the rigorous use of formative and summative assessment and on their use to improve learners' work.
- Promoting and support the development of networks of professional practice.
- Identifying effective teaching and learning practice which can be shared within and across networks.
- Ensuring all schools adequately develop the skills agenda, particularly in literacy and numeracy.

Developing People and the Organisation

- Initiating and support action research into effective practice.
- Providing advice on how development needs might be met by referring to examples of good CPD practice.
- Facilitating the development of networks of professional practice.
- Providing advice and guidance on procedures, to evaluate the effectiveness of CPD and the impact of networks of professional practice.

Curriculum

- Providing support and challenge for curriculum development.
- Providing support in developing a curriculum which is relevant, personalised, promotes engagement with learning and reflects the ethnic, cultural and linguistic diversity of the school.
- Providing support and guidance on curriculum planning and the development of effective schemes of work, short term plans and planning for assessment for learning.

Student Attitudes

- Identifying other agencies working with the setting and the nature and scope of their involvement.
- Supporting the school in its attempts to gather the views of parents, children and young people and how these are acted upon.
- Providing guidance on promoting an inclusive ethos and maximising opportunities for children and young people to benefit from links with other agencies.

Internal Accountability

- Providing guidance and support to evaluate classroom practice against specific and rigorous criteria so that staff know and understand the characteristics of high-quality learning and teaching, recognise and analyse aspects of good practice which will transfer

to other learning contexts, provide constructive feedback that forms the basis for future improvement.

- Providing guidance and support to establish robust performance management systems that make effective use of attainment data.

- Developing criteria which trigger intervention procedures at whole school and departmental level.

Partnership Beyond the School

- Supporting a multi-agency approach based on the needs of the local learning community or family of schools.

- Identifying other agencies working with the setting and the nature and scope of their involvement:
  - undertake work as a School Effectiveness Performance Officer with a designated group of primary or secondary schools;
  - develop and implement the role of the LEA in raising standards by challenging and identifying areas for development and intervention and support schools in accordance with the Partnership Agreement;
  - monitor continually the performance of schools and pupil groups on behalf of the Council to fulfil its School Improvement obligations;
  - develop a lead area of responsibility;
  - contribute to the development of the Council's success in meeting its corporate priorities;
  - liaise with other Departments and Council colleagues in order to fulfil the Council's corporate aims; and
  - manage and oversee projects, strategies and responsibilities.

Additional Factors

- The nature of the work may involve the post holder carrying out work outside of normal working hours.

- The post holder may be required to attend, from time to time, training courses, conferences, seminars or other meetings as required by his or her own training needs and the needs of the Service.

- Expenses will be paid in accordance with local conditions of service.

- This post is subject to a check being carried out at an Enhanced level by the Criminal Records Bureau regarding any previous criminal record.

- Essential Car User status in accordance with Council policy.

N.B. This job description sets out the duties and responsibilities of the post at the time when it was drawn up. Such duties and responsibilities may vary from time to time without changing the general character of the duties or the level of responsibility entailed. Such variations are a common occurrence and cannot justify a reconsideration of the grading of the post.

Person Specification : Team Leader / System Leader

CRITERIA	ESSENTIAL	Method of Assessment
Qualifications	Qualified teacher Able to show evidence of further study e.g. post graduate Management Qualification	
Experience	Experience of directly leading and managing a small team Proven track record of significantly improving school performance(in a leadership position in a school or professional in a local authority) Have made a wider contribution to educational developments which have contributed to significant sustainable improvement Proven track record of managing school interventions successfully Be able to demonstrate effective leadership and management in their current role Be able to demonstrate strategies used to ensure high levels of consistency in the quality of teaching and learning. Experience of influencing , thinking, policy and practice for positive impact on learning outcomes and life chances for children and young people Experience of budget management Experience as an effective per mentor and/or coach	
Knowledge	Knowledge and understanding of implications of current educational legislation and frameworks Show a commitment to their own CPD Knowledgeable about improving schools facing difficulties	
Values and beliefs	Appreciate the central importance if the learner in education	
Skills/Attributes	To be able to demonstrate the ability to work sensitively and collaboratively with a range of partners and stakeholders to bring about positive change Demonstrate emotional intelligence skills to support effective working with underachieving schools and partners Skilled communicator , both written and oral Ability to identify key issues and provide accurate and meaningful feedback both oral and written Able to manage time effectively, use initiative and prioritise tasks Skilled at analysing and evaluating performance indicators, accurately and quickly and probe explanations of root causes and apparent inconsistencies Demonstrate the ability to understand and implement the principles of quality assurance systems Able to understand equal opportunities legislation and the issues	

	surrounding the achievement of different groups of pupils	
	Proven leadership skills, with the ability to be self motivating and also to motivate others	
	Is able to work effectively as a team member and show a willingness to share skills, expertise, knowledge and ability to encourage others to follow suit	
	Is able to think and work innovatively, independently and strategically	
	Can demonstrate a commitment to school effectiveness through an open, shared and flexible approach	
	Skilled and is able to demonstrate successful experience of promoting initiatives and sustaining and managing change	
	Strong collaborative skills with the ability to demonstrate successful partnerships and collaborative working	
	Has a commitment to the language, culture and context of Wales.	
	In order to secure a linguistic balance some of the posts will be designated as Welsh essential roles.	
	Decisive in identifying key performance issues and capable of managing LA School Interventions including the ability to make accurate, judgements on schools' leadership and management.	
	Ability to distinguish between operational and strategic leadership responsibilities	
	Good understanding of ICT and its applications	
	Able to work under pressure and meet deadlines	
	Willing to work outside normal working hours when necessary Car driver	

Support Staff DRAFT Job Descriptions and Person Specifications

<u>**DRAFT**</u> **Job Description**

JOB TITLE: **FINANCE AND BUSINESS MANAGER**

ORGANISATION: **RSEIS**

REPORTS TO: **CHIEF OFFICER**

GRADE: **34,569-42,890(indicative)**
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1. Job Purpose

1.1 To support the production, development and submission of appropriate strategic and business plans within relevant timescales.

1.2 Act on behalf of the RSEIS Chief Officer in issues relating to business administration of the department.

1.3 To promote and develop high quality services, ensuring service user satisfaction and that achievement performances meet Service standards.

1.4 To develop and maintain effective and innovative communication processes with all Local Authorities, Schools and partner organisations e.g. colleges and work based service providers.

1.5 To contribute to the overall management of the School Effectiveness and Improvement Service through the membership of the Senior Team.

1.6 To function as Line Manager and Performance Manager for all translation and administration staff, and to support career programme opportunities for these staff.

1.7 To manage and develop Administrative and Translation Services and their staff; to implement changes and manage activities as indicated through any administration review.

2. Principal Responsibilities

2.1 Being responsible for the planning, management, development and delivery of the administration and translation services to meet the needs of the service. This is to include maintaining adequate networking and liaison arrangements concerning administration matters across the service, to ensure the development and implementation of cohesive regional working arrangements and standards as required.

2.2 Being responsible for the quality assurance of areas of responsibility and for ensuring the adequate audit and checking of necessary documents and processes to effectively deliver within the RSEIS.

2.3 Participating in key groups to ensure the business meets local, regional and national requirements and priorities, with those priorities reflected in the necessary key strategic plans as required.

2.4 Drawing on the support of the Host Authority, prepare detailed budgets that show the forecast budget position for the Service, based on the service business plan link with the priorities identified in the business development plans.

2.5 Prepare budget monitoring reports for presentation to the Joint Committee and management team of the new service. This includes monitoring income and expenditure throughout the year and providing advice and recommendations to ensure expenditure stays within the cash limited budget.

2.6 Work proactively to identify new ways of working and challenge the existing methods of service provision in order to reduce future cost pressures and support potential fluctuations.

2.7 Develop a RSEIS performance management framework that incorporates, and complies with organisational and legislative requirements and includes a comprehensive analysis and quality monitoring framework within School Improvements. Advise the Chief Officer and the Joint Committee on the best use of resources that will facilitate the raising and monitoring of performance as well as the measurement of accurate and timely performance targets.

2.8 Oversee the financial management of external funding streams (administered by the Host Authority) by providing timely and accurate information on grants to the Services management team and Joint Committee and ensure that robust arrangements are in place that adhere to financial rules and regulations.

2.9 Work with the Host Authority to implement the closure of accounts at year end in accordance with Financial Regulations and professional accounting standards

2.10 Identifying and reporting current and future resource requirements.

2.11 Maintain and develop an effective communication network through the medium of display, publications and documents and through electronic means including the appropriate websites and databases to develop an approach to consultation where necessary.

2.12 Ensure the workforce, training and staff development priorities of the School Improvement service are identified and incorporated into the workforce strategy for the service.

2.13 To responsible for the facilities management of the Service negotiating, managing and monitoring contracts, procurement, tenders and agreements for the provision of services to the Service, and ensure the buildings are maintained and operated in accordance with emergency procedures and Health and Safety requirements Ensure effective use of accommodation through a premises development plan

2.14 Monitoring, managing and reviewing implementation and compliance with the organisations policies and procedures to ensure services are delivered in the most effective manner incorporate good practice and comply with legislative requirements..

2.15 To identify and support the provision of in service training opportunity for all staff in order to improve service delivery.

2.16 To play a central role in the strategic leadership and vision of the Service.

2.17 To advise the Senior Management Team on matters relating to Finance, Premises and Staff Issues and to provide a link to HR.

2.18 Co-ordinating of business planning bids.

2.19 Ensuring the provision of ICT resources and ICT support to meet the needs of the department.

3.   Vision/Context

3.1   This post aims to achieve coherent financial, business and administrative management to shape and support and communicate business planning, performance management and effective quality service delivery within the service.

3.2   This post will manage staff responsible for administration, quality control and business planning.

4.   Contacts

4.1   Regional Board, ADEW Consortium ,service providers, contractors, head teachers and governing bodies other external agencies include GTCW and WAG.

5.   Dimensions

5.1   Financial: TBC

5.2   Staffing: TBC

5.3   Statistics: TBC

6.   Span of control

TBC

Person Specification : Finance and Business Manager

Criteria	Essential	Desirable	Method of Assessment
Education & Qualifications.	Educated to degree standard or equivalent – Qualified CCAB accountant (or equivalent)	Minimum qualification of NVQ level 4 (ideally AAT)	
	Hold a degree/ professional qualification in a business related discipline, together with an appropriate management qualification.		
Relevant Experience.	Significant strategic and complex financial experience in a Finance and /or Business related discipline.	Knowledge, experience and understanding of issues relating to Education	
Job Related Knowledge & Skills	Effective performance management skills and excellent interpersonal skills	The ability to operate through the medium of Welsh and English is highly desirable.	
	Budget and Business management, knowledge, skills and ability along with effective presentation, writing and reporting skills		
	Ability to influence the attitude and opinions of others to achieve agreement, using active co-operation, persuasion, influential and negotiating skills to develop ideas and proposals linked to management, service delivery and quality assurance activities		
	Ability to interpret data in order to draw conclusions and make appropriate recommendations.		
	The post holder will have experience of supervising staff and allocating workloads effectively		
	Excellent ICT skills		
Personal Qualities.	Personal kudos, drive and energy, combined with self motivation and an ability to manage and direct own workload with minimum intervention.		
	Commitment to equal opportunities, corporate, directorate and departmental policies and procedures.		

<u>DRAFT</u> Job Description

JOB TITLE: **TRANSLATOR**

ORGANISATION: **RSEIS**

GRADE: **23,583- 29,470 (INDICATIVE)**

Overall Job Purpose

To translate all variety of documents into English and Welsh. To provide a simultaneous translation service from Welsh into English at meetings across the North Wales region.

Principal Accountabilities / Key Tasks

1. To provide a simultaneous translation service at meetings across the North Wales region. This is a service from Welsh into Englsh only.

2. To provide the above service as required by the RSEIS in the event of meetings being held jointly with other organaisations.

3. To ensure that the translation equipment is in good working order at all times.

4. To translate a variety of documents into English and Welsh.

5. To commission work from external translators (individuals and companies), as required.

6. To oversee the quality of the translation work by external organisations.

7. To support the development of the service and its delivery through business planning, target setting, appraisals, training needs, benchmarking and the preparation, publication and regular review of appropriate performance data.

8. To support the development of the service through joint and collaborative working with other public sector organisations and, where appropriate private sector organisations.

9. Consultation with internal and external agencies to formulate an effective translation service linked with the Welsh Language Policy.

Demands Within the Job

Physical demands

- *Carrying heavy and awkward translation equipment periodically for use in meetings outside the Council's main headquarters.*
- *The ability to operate technical translation equipment and record meetings and resolve any technical difficulties.*

Mental demands

- *Sustaining periods of intense concentration in a pressurised environment to provide a prompt and accurate simultaneous translation service for service users.*
- *Working under pressure to meet strict deadlines and completing tasks quickly and accurately with the ability to prioritise as required.*

Emotional demands

- Translating in difficult and sensitive conditions for vulnerable clients e.g. child protection case conferences.

Work Arrangements

Working week:
- [TBC] hours per week (Monday – Friday).

Location:
- [TBC] You may, however, be required or permitted to work anywhere with the Council's area, on a permanent or temporary bases, without additional time or payment for doing so.

Bilingual Requirement (Welsh & English):

- ESSENTIAL

Flexibility

Your attention is drawn to the fact that in some cases, particular duties and responsibilities are difficult to define in detail and may vary from time to time without changing the general character of the duties and level of responsibilities entailed. In addition, it is a requirement of all employees that they accept levels of flexibility in duties and responsibilities and when necessary, interchange within the organisation which will meet the changing needs and demands of the service. Such a requirement will enable the particular expertise of the post-holder to be developed and maximised to the mutual benefit of both employer and employee.

Person Specification: Translator

Criteria	Essential:	Desirable
Education & Training	A degree in Welsh or any other relevant subject.	Membership of the Association of Welsh Translators and Interpreters.
Experience	Proven skills in translating reports and documents	
Key Qualities	The ability to communicate/ engage with officers and members. A commitment to oral and written bilingualism. An appreciation of the function and importance of bilingualism in the administration and the politics of local government. Knowledge of the County Council's procedures generally – specifically the provisions safeguarding bilingualism. The ability to respond flexibility and creatively to any new circumstances that may arise in future.	
Job specific knowledge and skills	A willingness to seek advice in the context of legal issues which may arise and to clarify any occasional financial issues, but particularly in order to receive technical assistance The ability to deal with a substantial written workload and to provide translations in a timely fashion to meet strict deadlines and to accomplish tasks through prioritisation. Good communication skills - written and oral. An appreciation of the need to respect confidentiality in dealing with sensitive information. Good problem solving skills. The ability to concentrate for prolonged periods under considerable pressure. The ability to collate statistical information as evidence of compliance with key performance indicators.	Attention to detail, accuracy and quality The ability to work to a work programme with strict deadlines/closing dates. The ability to prioritise work. The ability to deal with staff and service users in a courteous, professional and effective manner.
Personal Attributes	A valid driving licence and access to transport. The ability to work evenings	

<u>DRAFT</u> Job Description

JOB TITLE: **ADMINISTRATION SUPPORT OFFICER**

ORGANISATION: **RSEIS**

REPORTING TO: **FINANCE AND BUSINESS MANAGER**

GRADE: **17,213-22,094 (INDICATIVE)**

JOB PURPOSE

Under the instruction/guidance of senior staff, and utilising a variety of ICT packages, provide general clerical/administrative support to the RSEIS.

PRINCIPLE RESPONSIBILITIES

1. Undertake reception duties, answering general telephone and face to face enquiries.

2. Provide general clerical/administrative support e.g. photocopying, filing, faxing, complete standard forms, respond to routine correspondence from Local Authorities, Schools, Governors, Councillors, Parents/Guardians and other organisations.

3. Validate and maintain manual and computerised records/management information systems.

4. Utilise ICT packages (e.g. Outlook, Word, Excel spreadsheets, Access Databases, Internet, SIMS, ONE) and produce lists/information/data as required.

5. Organise meetings and undertake note-taking at meetings.

6. Participate in training and other learning activities and performance development as required.

7. Provide appropriate cover for colleagues on same grade (or above) during periods of holidays, sickness and other unforeseen events.

8. Undertake other relevant duties as directed by Line Manager within post-holders' remit.

Person Specification: RSEIS Administrative Support Officer

CRITERIA	ESSENTIAL	DESIRABLE	METHOD OF ASSESSMENT
EDUCATION & QUALIFICATIONS	NVQ level 3 or equivalent qualification	Recognised qualification in business or administration	Application form
	Recognised qualification in IT with a word processing element	Recognised qualification in word processing and typing	
EXPERIENCE	Some experience of administration in a busy office environment	Use of a content management system to maintain a website	Application Form
	Experience of arranging meetings and seminars	Experience in processing orders and invoices	
		Experience of minute taking	
JOB RELATED KNOWLEDGE AND SKILLS	Effective use of ICT packages. Use of relevant equipment/resources. Good Communication Skills Good keyboard skills High level of competency in word processing (speed and accuracy)	Awareness of Data Protection and Freedom of Information Act	Application Form Exercise Interview
	Extensive use of Microsoft applications	inventive use of spreadsheets and presentation software	
	Ability to use creativity in the production and presentation of documents	Understanding of the Council's policies, procedures and standards	
PERSONAL QUALITIES	Excellent communication skills with ability to communicate effectively with people at all levels within the council		Application Form Interview
	The ability to deal tactfully and diplomatically with people at all levels		
	Ability to work on own initiative		
	Highly organised		
	Ability to work under pressure to tight deadlines		
	Enthusiastic and conscientious viewing challenges with a positive attitude		

CRITERIA	ESSENTIAL	DESIRABLE	METHOD OF ASSESSMENT
	Ability to maintain confidentiality at all times		
OTHER REQUIREMENTS	Work constructively as part of a team, understanding roles & responsibilities and your own position within these. Empathy with the welsh language and culture	Confidence to communicate fluently in Welsh verbally and in writing	Application Form Interview