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# **1. The mission, values and principles of effective school improvement**

## **The vision and the purpose**

Wales needs for its future success in the world young people who are clever, skilled, happy and healthy, and an educational system that helps to produce them. Our proposals in this agreement are designed to generate this through supporting reform to the way that local authorities, regional consortia and the Welsh Government work together to support school leaders, governors and teachers and, through this process, helping to create excellent learning, in excellent classrooms in excellent schools.

The Hill review will help to shape Wales' education reform programme and the national model for school improvement is an integral part of that. The development of the national model is a shared endeavour between schools, local authorities, regional consortia and the Welsh Government. It recognises the important role each tier has to play in improving outcomes for children and young people. The national model can create the structures and define the framework within which this partnership will function but it will require a shared commitment and moral purpose for the system as a whole to deliver the improvements in education and life chances that all children in Wales deserve.

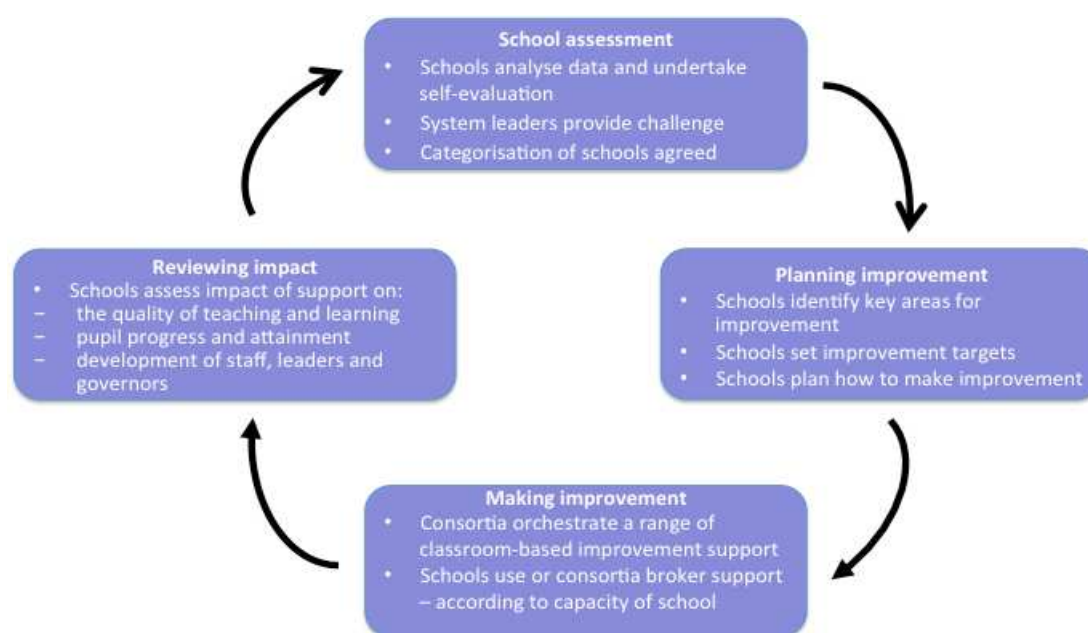
Local authorities retain the statutory responsibility for schools and school improvement. The national model is based on a vision of regional school improvement consortia working on behalf of local authorities to lead, orchestrate and co-ordinate the improvement in the performance of schools and education of young people. The prime mission and purpose of regional consortia is to help those who educate our children and young people. So, in future, their non-negotiable job will be to support schools and local authorities in their efforts to:

- improve learner outcomes for all young people;
- ensure the delivery of high quality teaching and learning; and
- support and empower school leaders to better lead their schools.

## **Model and key principles of school improvement**

Schools are at the heart of this new national model. It is the job of governors, school leaders, teachers and other staff to set high expectations of pupils, constantly seek to improve the quality of teaching and learning, raise standards, share good practice and learn from one another through genuine partnerships and school-to-school support arrangements. Figure 1 describes an annual cycle of school improvement, which we believe should be adopted by all schools. It is a model that many schools will recognise and already follow.

**Figure 1: Annual cycle of school improvement**



## **Step 1: School assessment**

Schools need to know themselves and to evaluate their strengths and weaknesses. Assessment is a constant process for both teachers and school leaders based upon self-evaluation and school categorisation.

### **School self-evaluation**

Once a year the annual self-evaluation, involving all departments and aspects of a school's life, should provide a systematic trigger for a school auditing how it is performing for all its learners. We need to ensure that schools have the capacity to do this and that clear systems of core, simple and powerful data are available to support this process including benchmarking data so that schools can compare themselves against both the best schools and those within their family of schools. The more that schools can 'own' this process, with help as necessary, the better it will work, and the more 'inspection ready' every school can be. Challenge advisers within consortia will, as their name implies, provide challenge and assure the integrity of the process – particularly for those schools who are at risk of causing concern or who cause concern

### **National school categorisation**

Each consortium has developed its own system for categorising schools. However, as part of the work on the national model, each consortium has agreed to work towards and implement a national system for categorising the schools which will be in place from 1<sup>st</sup> April 2014. This national approach will support the school in its self-evaluation assessment.

## **Step 2: Planning improvement**

Schools should use their self-evaluation and the strengths and weaknesses it reveals, to work out what to change in what they do. These ideas will often naturally come from schools and teachers themselves, but the process can be facilitated by making available 'good practice' from other schools. Schools, which are at risk of causing concern or who cause concern, will receive the support they need to do this from challenge advisers.

Schools should set targets by which they can measure their improvement. The targets should cover both improvement in process – for example, the quality of teaching and learning, marking of books or feedback – and outcomes in terms of improvements in attainment and progress. The job of challenge advisers will be to challenge headteachers and governors to set aspirational targets that ensure high levels of motivation and significantly improved pupil attainment.

## **Step 3: Making improvement**

Enabling and supporting schools to access, share and use a range of proven and new classroom-based approaches should be at the heart of securing the improvements that schools need to make. This will include development programmes that align training for teachers with them working in groups to observe and coach each other on implementing improved practice, and the deployment of Lead Practitioners. Every school also has within itself good practice that can be used as the basis for 'within school' transfer and school-to-school improvement activity. More schools will be in federations and still more in clusters. Executive headship will grow to maximise the value and potential of our best school leaders. Local authorities may also see benefits of such changes in organisational and governance terms as part of school improvement.

Consortia will facilitate and orchestrate this collaboration. There will also be programmes at consortia level that will draw on the expertise of the best practitioners and schools in the region. There will be help from the private sector the voluntary sector and indeed local communities that can be matched with the needs of schools and their teachers. The higher and further education sectors will also possess many individuals and courses that can help teacher and school development. Whatever the source of the help, it is essential that is tailored to the social, linguistic, cultural and social context of every school.

Schools that have the capacity to do so should be encouraged and empowered to lead their own improvement and deploy their own resources accordingly. For those schools that are at risk of causing concern or who cause concern, it would be the job of the consortia to help match and broker the support needed to the support available.

School leadership at all levels should be nurtured and developed through training programmes, coaching, assigning mentors and providing opportunities for emerging leaders to be seconded to other schools.

## **Step 4: Reviewing impact**

Schools, teachers and consortia should consider the effects of their actions on the achievements of all their children, and then decide what changes to make in their plans and their future actions. Consortia will broadly follow a similar philosophy in terms of the planning and review cycle as advocated for schools within Figure 1 above. The annual cycle of school, departmental, individual, local authority and consortium level plans that align all parts of the system together.

### **The role of regional consortia in implementing this model**

The delivery of consortia services should be based on co-construction with schools with a move to common/shared data systems and underpinned by excellence of expertise in analysing and challenging schools' improvement needs. The delivery of consortia services should not be based on employing large numbers of full time staff – rather a core staff should draw on the skills of the best headteachers in their regions along with other school improvement experts and should use budgets flexibly to commission the support schools require.

Relationships and lines of accountability between local authorities and regional consortia should be clear so that everyone in the education system understands who is responsible for what.

The implementation of this model will change over time. As schools and teachers develop over the next two to three years, and as they gain knowledge and confidence, they will expect more independence, autonomy and space to make their own decisions. The measure of success for regional consortia will be that they cease to exist in their present form over time because their job is done.

## **2. The scope of regional consortia**

### **The scope of consortia services**

It is important that there is clarity about the scope of the functions and services that regional consortia will provide and what schools and local authorities can expect of them. Regional consortia services will include:

- school improvement – which is defined as intervention, challenge and support strategies delivered by regional consortia that improve the teaching and learning in classrooms and lead to improved pupil attainment and progress at all levels and all contexts, including closing gaps in attainment, and addressing specific needs (such as the needs of Special Educational Needs (SEN) or More Able and Talented (MAT) Learners);
- data collation, analysis and application – which is defined as collating from local authorities and schools the data on school and pupil performance and progress across each region (based on the core data sets established by the Welsh Government and Fischer Family Trust projections), using that data to benchmark and challenge school performance and, with schools, set challenging targets for improvements;
- supporting the development of school leadership at all levels – which includes developing opportunities for emerging and senior leaders to develop their experience and expertise by having assignment and secondments in other schools, in addition to commissioning, and co-ordinating the provision of training and development programmes;
- supporting and promoting the development of school improvement linked to learner well being, including issues such as behaviour and attendance;
- ensuring that the delivery of the national Literacy and Numeracy frameworks is effective across all schools and co-ordinate and quality assure the provision of training and development to achieve this;
- providing challenge to the performance and delivery of Foundation Phase settings and assess the need for and then commission, co-ordinate and quality assure provision of training and development support;
- aligning national and local 14-19 strategies across the wider consortium area to help raise standards in the core subjects of English/Welsh and mathematics, ensure high quality courses offer relevant training for pupils and contribute effectively to regeneration strategies;
- working with local authorities to ensure that their plans for developing and implementing strategies for 21<sup>st</sup> Century schools go hand-in-hand with plans for school improvement;

- enabling the aims of the Welsh Government's Welsh-medium Education Strategy (WMES) to be delivered by ensuring the alignment of the Welsh in Education Strategic Plans (WESP) and the Welsh in Education Grant (WEG) across each of the local authorities within the regional consortia, so that there is consistency in the development of excellence in pedagogy not only across both the Welsh-medium and bilingual sectors, but also in the delivery of Welsh as a second language;
- commissioning, coordinate and quality assure delivery of high quality governor training and advice services including the requirements for mandatory training for governors; and
- providing specialist human resources advice to support headteachers and governing bodies in dealing with performance management and capability issues.

All children are important. Schools and colleges have a duty to deliver appropriate curriculum and personal support for pupils with additional learning and special educational needs. As part of their school improvement function consortia will, therefore, help schools to deliver high quality education to these groups of pupils, drawing on the expertise of the best special schools, and good practice and systems adopted by the best mainstream

. Consortia procedures protocols and business plans should demonstrate that they are giving full attention to children who have SEN and data systems should be designed to demonstrate the progress they make. They may also need to draw on expert support from local authorities where that is appropriate.

The delivery of specialist services, the statementing of pupils and the legal procedures that safeguard the welfare and rights of children with special needs remain the responsibility of the LA and Consortia should ensure that their services and LA services for pupils with SEN are closely aligned.

Local authorities will also continue to be responsible for delivering – either by employing their own staff or by working in partnership with another local authority – the organisation of schools and school places, special educational and additional learning needs, school transport, school meals, safeguarding services, education welfare, behaviour and attendance and employees' pay and conditions of service. In some cases local authorities in a region may choose to commission these functions from their consortium and such arrangements could strengthen the consortia's prime responsibility to deliver school improvement. But it is implicit in the national model that school improvement must be at the forefront of regional consortia's efforts and activity.

The sections that follow explain in more detail how regional consortia and local authorities will discharge their respective functions and work together to develop an integrated system that supports schools and avoids duplication.



### 3. Delivery of respective regional consortia and local authority functions

#### The responsibilities of regional consortia

In relation to school improvement regional consortia will **provide challenge** through:

- monitoring the work and performance of schools, using all-Wales standardised data sets, Fischer Family Trust projections and in-school and in-year data on pupil progress and the quality of classroom teaching and learning, to categorise a school's performance and development needs in accordance with the nationally agreed categorisation model;
- examining with school leaders and chairs of governors performance and provision at **whole-school level and for different subjects, year groups and sub-categories of pupils**, in order to compare the progress of individual and or groups of pupils with progress made in other comparable schools and to identify areas of underperformance and achievement gaps;
- confirming with headteachers and chairs of governors the priority areas for improvement and the strategies to be deployed to secure improvement;
- agreeing stretching targets that will raise expectations, set the standard for improving the quality of teaching and learning and provide the success criteria by which pupil attainment and progress will be judged. Where agreement cannot be reached [in respect of schools that are in an Estyn category or monitoring] the consortium will advise the local authority so that in accordance with current legislation the local authority can determine the appropriate targets;
- assessing for schools that are in special measures, require significant improvement, are subject to Estyn or local authority monitoring or otherwise identified through the categorisation process as causing serious concern, whether governors and school leadership teams have the capacity and will to lead school improvement – and making appropriate recommendations as necessary; and
- advising of those situations where statutory intervention is required and the form(s) that intervention might take – whether federation with another school, the deployment of an executive headteacher, the establishment of an interim executive board or another appropriate measure.

These functions will be applied proportionally – that is to say those schools most in need of support will be monitored most closely. Conversely where schools are performing strongly monitoring will be light-touch in nature. These functions, rather than the delivery of school improvement programmes and initiatives, will be the main focus of challenge advisers' activity.

Challenge advisers may be employed full-time by a consortium or be bought in on a part-time basis. Challenge advisers will have the following attributes:

- experience of leading in a successful school<sup>1</sup>;
- expertise in analysing and using school improvement data;
- an understanding and experience of how to implement school improvement; and
- strong interpersonal skills.

This will represent a significant shift in the roles and skills needed. Challenge advisers should be credible in their challenge role and command respect from schools. Welsh Government will provide national training for those undertaking the role of challenge advisers as a matter of urgency. Consortia will, therefore, need to facilitate this training and also secondments to help make the transition to this new role wherever possible. Consortia will have the responsibility of identifying staff to participate in training, and will need to ensure strong performance management of those undertaking the role of challenge advisers. Consortia executive boards and the managing directors will need to urgently assess the capability of their staff to meet the new requirements and discussion with unions that represent them so that headteachers and school leaders are challenged and supported by high quality advisers.

Regional consortia will share monitoring information with local authorities on a termly basis and more frequently in relation to schools that are in special measures, require significant improvement, are subject to Estyn or local authority monitoring or are otherwise identified through the categorisation process as causing serious concern (see below).

Regional consortia will also **co-ordinate, broker and provide improvement support** for schools. These activities will be co-constructed with headteachers and teachers. The brokerage and improvement support will be differentiated in relation to a school's capacity to improve and commission/broker its own improvement support. Where a school is assessed as performing well or having the capacity to secure its own improvement it will be free to use its budgets to draw down and use the services as appropriate to its circumstances and improvement needs. Where, however, a school has low attainment and poor pupil progress – and/or lacks the capacity to promote improvement in general or in a specific area – the consortium will arrange the necessary improvement support on behalf of the school in consultation with the headteacher and governing body and, where charged-for services are deployed, charge the school accordingly. The objective will be to build up the capacity of all schools to take responsibility for organising their own improvement.

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<sup>1</sup> This could include being a member of a senior leadership team.

Consortium's brokerage and improvement activities will include:

- facilitating the use and interpretation of data as part of this process to support forensic school self-evaluation and identify gaps in attainment;
- publishing anonymised benchmarking data on the performance and progress of comparable groups of pupils in different subjects and phases to encourage and enable schools to learn from each other;
- supporting school leaders to broker appropriate support from other schools, consortia-commissioned programmes and other sources, where a school has the capacity lead its own improvement;
- overseeing the implementation of a support programme, including the deployment of headteachers of Lead Practitioner schools and other headteachers capable of acting as executive heads, in those schools that are in special measures, require significant improvement, are subject to Estyn or local authority monitoring or otherwise identified through the categorisation process as causing serious concern;
- commissioning and quality assuring a range of predominantly classroom-based training and development programmes to support improvements in teaching and learning and subject knowledge;
- working with headteachers and other leaders through joint lesson observations to develop a consistent understanding on what constitutes excellent teaching and learning;
- identifying excellent departments and lead practitioners using nationally agreed criteria who can be deployed to support other schools for part of their working week;
- providing mentoring support for headteachers and school leadership teams that need support in leading improvement<sup>2</sup>;
- encouraging, incentivising and steering schools to work on school improvement together through local clusters of schools;
- providing access to evidence of 'what works' in terms of closing gaps in attainment and support schools to implement and assess the impact of targeted intervention strategies;
- supporting the formation and development of federations and interim executive boards where this is agreed as a way to effect school improvement;

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<sup>2</sup> This support should come from a serving headteacher (and the wider leadership team) of a strongly performing school – for example, a Lead Practitioner school

- facilitating the development and work of Professional Learning Communities, lesson study and other means for teachers to work together within and across schools to review and improve their pedagogical practice;
- working with university education departments to provide access to knowledge about teaching and learning and to support research projects based in schools; and
- co-ordinating support and training for teaching assistants and newly qualified teachers.

In relation to supporting the **development of school leadership** regional consortia will, in partnership with leading headteachers:

- commission from schools, universities and other specialist providers development and training programmes for middle leaders to better equip them to analyse and use data, assess the quality of classroom learning and coach other colleagues – reflecting the work of the National Leadership Development Board as it develops;
- support succession planning by working with local authorities to aggregate data on projected turnover and retirements of senior school leaders;
- commission from schools, universities and other specialist providers development and training programmes for emerging senior leaders – reflecting the requirements and work of the National Leadership Development Board as it develops;
- commission programmes that will empower and enable effective heads to support other schools through leading a Lead Practitioner School, acting as an executive headteacher, leading a federation or working for part of the week as a system leader;
- encourage and co-ordinate opportunities for emerging leaders to have access to leadership secondments in other schools; and
- ensure that every new headteacher in their first year of headship shall have access to an effective headteacher mentor.

Through the challenge process regional consortia will assess the general and specific needs of schools in each local authority area with regard to the specific **literacy and numeracy** training and development they require. In consultation with headteachers and the Welsh Government's contractor for literacy and numeracy training, consortia will commission and facilitate the delivery of a strategy that will deliver the range of support required at classroom level.

**Early Years Foundation Phase** support will involve providing challenge to leaders of Foundation Phase settings and liaising with headteachers and other providers to audit training needs and commission and quality assure an appropriate range of programmes.

The consortia will co-ordinate and quality assure the delivery of the aims of the **Welsh-medium Education Strategy** by ensuring the alignment of the Welsh in Education Strategic Plans (WESP) and the Welsh in Education Grant (WEG) across each of the local authorities within the regional consortia, so that there is consistency in the development of excellence in pedagogy, and the meeting of agreed targets, not only across both the Welsh-medium and bilingual sectors, but also in the delivery of Welsh as a second language.

**Co-ordination of the regional dimension of the ICT Strategy** will include school ICT self-evaluation, leadership and planning of ICT for learning; safeguarding, emerging technologies, virtual learning environments, learning technology and the national literacy and numeracy framework, running networks for heads of departments and ICT co-ordinators, support for pedagogy and curriculum development (with reference to the Learning and Digital World Strategy).

Strategic overview of the regional **14-19 offer**, including allocation of resources to programmes in line with Welsh Government priorities, will include:

- support for planning the use of grants;
- ensuring school and provider provision is in line to deliver the expected impact inherent in these grants;
- working with local authorities to provide a strategic overview to challenge and support all providers, including FE Colleges and private training providers, to ensure equality of access to the development opportunities;
- administering the relevant grants and co-ordinating and supporting bids for emerging grant opportunities.

Regional consortia will commission and quality assure delivery of **governor support services** and training for governors including the mandatory training programmes required for new governors, training for chairs of governors and, in respect of understanding and applying data effectively for all governors. Consortia will also encourage and facilitate governor networks, enable governors to observe each other's meetings and deploy able chairs of governors to mentor other governing bodies that are struggling to undertake their role effectively. Consortia will jointly develop, in consultation with local authorities, governors and headteachers a performance data template for headteachers to use to report to governors on a termly or half termly basis a school's in-year performance on:

- pupil performance and standards;

- pupil attendance;
- pupil exclusions;
- staff sickness absence;
- quality of teaching (as assessed through classroom observations); and
- progress and attainment data relative to targets.

Consortia will also identify a pool of able candidates that are willing to serve on governing bodies where there is weak governance.

In exercising these roles account will need to be taken of funding for governor support being delegated to schools in some authorities.

**Specialist human resource advice** for schools would typically include training for headteachers and chairs of governors on performance management and advice on managing those occasions when a teacher's performance is such that the capability procedures have to be invoked or a teacher's absence or sickness record is such that it requires serious action to be considered. Welsh Government recognises that consortia may need to move to this model in stages during their first year of operation where currently the specialist resources to deliver this requirement do not exist.

Regional consortia and local authorities will not duplicate the work of each other.

Regional consortia will consider urgently recommendations on statutory school interventions from local authorities however the statutory powers to implement intervention remain with the authorities.

## **The responsibilities of local authorities**

Local authorities will retain statutory accountability for school performance together with the responsibility for the exercise of statutory powers of intervention and organisation of schools.

Local authorities will designate a lead officer ('an intelligent client') to act as the main point of contact with the regional consortium, in accordance with the arrangement described below.

Local authorities and regional consortia will have open discussions together about their plans which should be clear about the respective roles, functions and intended actions of each. These processes will remove any risk of regional consortia or authorities duplicating effort. In particular local authorities should share with regional consortia information on their proposals and decisions in relation to:

- the overall vision and social and economic development priorities for their area, having particular regard to issues that are likely to affect schools;
- school organisation, including plans for federations, amalgamations, closures and delivery of their 21<sup>st</sup> century school strategies;
- supporting the delivery of those having special educational and additional learning needs;
- the organisation of behaviour support and education welfare services;
- their youth engagement strategy;
- safeguarding arrangements for children and young people; and
- arrangements to promote effective procurement and the development of business support services within schools.

Local authorities will provide regional consortia with access to relevant data systems, including anonymised data sets on pupil performance where this is held at local authority level, and other information to facilitate their work.

Local authorities will not duplicate the work or activity of regional consortia.

The development of secure local authority and consortia relationships will mean that both parties will consider urgently and jointly recommendations on statutory school interventions from any source and, unless there are exceptional circumstances, agree to implement them. Local authorities and consortia will follow the jointly agreed 'escalation' protocol that is currently being developed.

## 4. Governance and accountability

### Joint committees

The work of regional consortia will be overseen by a joint committee<sup>3</sup> of the constituent local authorities or an arm's length company, depending upon the form which best suits a region's requirements in order to carry out the functions and to deliver the outcomes set out within this report. Local authorities should note that the Joint Committee may make decisions which affect the delivery of and resources available for improving school performance. Therefore, local authorities should make sure that the governance arrangements put in place do not contradict local authority decision making and democratic accountability. The form is less important than the capacity and drive to deliver improved outcomes and the ability to have the consortia functioning in the way agreed by 1<sup>st</sup> April 2014. The joint committee will have responsibility for approving the consortia budget (including remuneration), business planning and performance management of the regional consortia.

Consortia and local authorities should make sure that the members of the Joint Committee have

- the right skills, experience and seniority to make decisions;
- have a clear understanding of their collaborative regional responsibility; and
- are clear about their roles and responsibilities and how these dovetail with the democratic accountabilities

The membership of a joint committee or a board may comprise the leader of each constituent local authority or education portfolio holder. They will be supported by the lead chief executive. The membership of the company board, where the arm's length company option is adopted, should reflect these arrangements. For company board, see Joint committee. Regional consortia with company boards should make sure that the arrangements do not undermine local authority decision making and democratic accountability.

The joint committee will normally meet no more than once a school term to oversee the work of the consortium. Each year, one meeting will focus on considering and agreeing the draft business plan and the accompanying budget. The business plan will also include a report from the regional consortium's managing director on the outcomes (based on the factors as outlined at page 14). Meetings will focus on monitoring progress against the plan. The managing director and the lead chief executive shall, after

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<sup>3</sup> Sections 101 and 102 of the LGA 1972 (and in the case of Executive Functions sections 19 and 20 of the LGA 2000 and relevant Regulations made under these sections) enable the work of authorities to be discharged through a variety of internal arrangements, and, in this context, external arrangements involving, and working with, other authorities. In particular these powers include the ability of two or more authorities to discharge any of their functions jointly, and where this occurs, to do so via a joint committee, and/ or by their officers.



consultation with the chair of the committee, agree the agenda and papers to be prepared for each joint committee meeting.

The Joint Committee should establish arrangements for appointments of senior staff and to deal with HR issues such as grievances.

Normally meetings of the joint committee will be open to the public.

## The executive board

Joint committees will delegate the operational decision making of the consortium to an executive board whose role will be to oversee, support and challenge the work of the regional consortium<sup>4</sup>. Welsh Government suggests that the membership of the executive board, appointed by the joint committees should comprise:

- one representative of the joint committee who will also act as the champion of the consortium in the region;
- a nominee of Welsh Government (observer status);
- the lead director of education;
- managing director; and
- no more than [five] individuals who will be appointed, with the approval of the joint committee, for their expertise in education, leadership and corporate governance drawn from an approved pool of individuals assembled by the WLGA and Welsh Government. Those nominated shall include at least one serving headteacher drawn from a school within the consortium area.

Reporting regularly to the Joint Committee, the executive board will have delegated responsibility for setting the direction regarding the implementation of:

- strategy – executive board members will constructively challenge and contribute to the development of strategy to enable the organisation achieving its goals;
- business planning – executive board members will consider and recommend an annual business plan to the joint committee;
- budget – executive board members will ensure that the business plan agreed is in line with the budget;
- performance – executive board members will monitor and review the performance of management in meeting assigned goals and objectives and monitor the reporting of performance;
- self-evaluation and risk – executive board members will need to have arrangements in place to make sure that regional consortia financial

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<sup>4</sup> The legal provisions referred in footnote 4 above also provide for joint committees to delegate their functions in whole or in part to sub committees. The executive board would be constituted as a sub committee of the joint committee where authorities chose to operate through this option. Where they chose to operate through an arm's length company the executive board would be constituted as a subcommittee of the main board.

controls and systems are robust where necessary this will be reported to individual local authorities;

- people – executive board members will recommend to the joint committee appropriate levels of remuneration for the managing director and top team and have the prime role in appointing/removing the managing director.

The role of the chair of the executive board will be to:

- set the agenda for the executive board in conjunction with the managing director and ensure that the board operates effectively;
- ensure the provision of accurate, timely and clear information for other executive board members;
- ensure that the executive board operates effectively in all aspects of its role;
- ensure the provision of accurate, timely and clear information for other executive board members;
- support effective communication with constituent local authorities and Welsh Government; and
- facilitate effective contributions from all executive board members and ensure appropriate relationships between executive board members and between executive board members and officers.

Normally, the managing director and chair of the executive board shall attend meetings of the joint committee.

An illustration of the governance model can be found in Annex A.

## **The overall consortium business plan**

Each regional consortium will produce an annual business plan, using a standard template that will set out:

- a summary of the consortium's strategic objectives, priority outcomes and targets;
- a report summarising the performance of the schools in the consortium over the previous 12 months and an analysis of the main areas of strength and weakness within the consortium;
- the priorities for improvement – both in terms of particular schools and cross-cutting issues;
- the work programmes to be undertaken over the following 12 months; and

- the measurable improvement in school performance to be achieved over the 12 months.

The draft business plan will be submitted to the joint committee for approval. The managing director will report to the joint committee the outcome of discussions on the draft plan with individual local authorities and schools, which will take place as set out below. The business plan as agreed by the joint committee will be submitted to the Welsh Government for sign-off by the Minister for Education and Skills by February of each year.

The process of the submission and sign-off of the business plan should be completed by the end of March of each year.

### **A business plan for each local authority**

Alongside the overarching business plan regional consortia may choose to produce an annexe for each respective local authority. The draft annexes will explain what the overarching business plan means in terms of schools, school improvement priorities, school improvement services and school improvement targets for each constituent authority.

Each local authority will provide for their consortium a statement of any changes they propose to make over the coming 12 months in school organisation and their planned arrangements for delivering services for special educational and additional learning needs, behaviour support and education welfare and wider children services that could relate to schools.

The annex and the statement will be discussed individually with each authority through a meeting with the lead officer, and the elected member with responsibility for children and education services, and the Leader Local Authorities will make sure that the governance arrangements for consortia enable them to maintain oversight of and accountability for their statutory duties.

The business plan annex will need to dovetail with and not duplicate other local authority corporate plans and the Single Plan.

Any local authority concerns or requests in relation to the content of the draft business plan that cannot be agreed between the managing director and a constituent authority will be reported to the joint committee as part of their consideration of the draft plan.

The business plan annex for each local authority may, once it is agreed, form a Service Level Agreement, between the consortium and the local authority.

## **Scrutiny and liaison between local authorities and regional consortia**

Regional consortia will nominate a senior officer to liaise with the each authority's lead officer. It shall be for the respective officers to agree on the scope and frequency of their meetings, with contact being more intensive the greater the number of schools in the authority that come into one of the categories of concern. A note of meetings, recording issues discussed and decisions agreed, will be made.

Each Local Authority and their respective regional consortium will make arrangements for robust democratic scrutiny of the consortium business plan and activities as it relates to individual local authority area. Each authority's scrutiny committee for education services will also need sufficient information to consider the performance of their schools.

Local authorities undertake to be reasonable in their expectation of consortia staff and resources and ensure that senior leaders are not required to spend a disproportionate amount of their time on reporting and scrutiny work.

## **Accountability and relations with Welsh Government**

The Welsh Government, through the Minister for Education and Skills, will sign-off annual consortia business plans.

The managing director of each consortium will meet jointly with lead officials of the Welsh Government on a half-termly basis in the spirit of co-construction, to:

- discuss progress against consortia business plans;
- exchange information on consortia working;
- identify factors that are enabling or holding back progress on school improvement; and
- liaise on the implementation of government programmes and initiatives such as the literacy and numeracy programme or the work of the School Leadership board.

## **Challenge and Review Events**

The current round of stocktakes will be replaced by challenge and review sessions. The initial intelligence gathering process will include drawing together the performance data, Welsh Government and Estyn intelligence on each region. These findings will then inform a discussion with all four Managing Directors building on the region's self-knowledge and the expertise available regionally. This will then lead to a challenge and review event with

each consortium, the scope and regularity of which will vary according to need and risk but as a minimum will be twice a year.

Furthermore, once a year the Minister for Education and Skills will chair a challenge and review session for each consortium to review progress on school improvement in each region. The annual report of the consortium's Managing Director will form part of this process. The consortium will be represented by the chair of the executive board, the managing director and the joint committee.

Priorities and action agreed as a result of these challenge and review sessions will be actioned by consortia and local authorities as appropriate and be reflected in the business plan for the next 12 months.

The Minister for Education and Skills reserves the right to make alternative arrangements for school improvement and consortium functions, in consultation with the Joint Committee, where a consortium clearly lacks the capacity or will to deliver its functions.

## **Relations with schools**

Each consortium will establish two panels to consult respectively with school leaders and school governors. The purpose of the panels will be to discuss plans and proposals for developing school improvement and to receive feedback on the quality of service received in respect of both consortia's' challenge and support functions.

The panel shall include representatives of primary, secondary and special schools.

These user panels will meet at least termly and the meeting in the autumn term will consider the draft business plan for the coming year. Significant concerns from school leaders and governors regarding the content of the draft business plan will be reported to the joint committee as part of their consideration of the draft plan.

Consortia should also make arrangements for collecting systematic feedback from participants on their programmes and this information should be collated and presented to the user panels.

## **Estyn inspection**

Estyn has agreed with the Minister for Education and Skills that it will undertake a remit on the progress being made by consortia. This remit will begin in late summer 2014 and be published in spring 2015.

The inspection of consortia will begin in late autumn 2015 through to autumn 2016. Estyn will focus primarily on the impact of consortia upon the standards that learners achieve, the quality of service provided to schools and on the quality of leadership and management of consortia.

Estyn has an Advisory Forum on the inspection of regional consortia with which it consults representatives from SOLACE, ADEW, four consortia, DfES and Wales Audit Office (WAO) about the development of its inspection framework.

Estyn is working jointly with WAO about their role in the inspection of consortia as part of Estyn's inspection team.

By the end of November 2013, Estyn will have carried out an inspection of local authority education services for children and young people in all 22 local authorities. Between 2013 through to 2016, Estyn will continue follow up activity through the monitoring of authorities in the category of Estyn monitoring, in need of significant improvement or special measures. However Estyn reserves the right to re-inspect any authority that causes significant concern. Estyn will take particular account of how effectively a local authority uses its regional consortia to address school performance issues in the authority's schools.

Estyn's framework for the inspection of local authority education services from 2016 through to 2022 will need to take account of the outcomes of the Williams Commission on Public Service Governance and Delivery, as well as the future development of regional consortia and the statutory functions of local authorities not being delivered through consortia or other collaborative arrangements.

## **5. The organisation and operation of consortia**

### **The central organisation of the consortium**

Consortia may decide, because of the geographical size of the region or the need to reflect cultural and language differences, to organise delivery of their services through hubs. That will be a matter for executive boards to determine. However, all consortia should ensure that they retain sufficient expertise at the centre in order to manage the following functions on a cross-consortium basis:

- data collation, analysis and application – which is defined as collating from local authorities and schools the data on school and pupil performance and progress across each region (based on the core data sets established by the Welsh Government and Fischer Family Trust projections);
- planning and coordination of the improvement service, quality assurance of the challenge function and performance management of its effectiveness in delivering improved outcomes;
- strategic leadership of key strands of work such as leadership development, literacy and numeracy and Welsh medium;
- business planning including management of financial resources, risk assessment, human resource management of consortia staff and commissioning of services;
- commissioning, coordinating and quality assuring delivery of high quality governor training and advice services including the national requirements for mandatory governor training; and
- specialist human resources advice to support headteachers and governing bodies in dealing with performance management and capability issues.

### **The role of the managing director**

The key roles of the managing director will include:

1. Strategic relationship management and collaborative leadership – the managing director will need to navigate the development of increased autonomy for schools alongside reporting to and working with constituent local authorities (which retain statutory responsibilities for education and school improvement), liaising with the Welsh Government and reporting to an executive board. The complexity of the arrangements will mean that the managing director will need to be able to build strong personal relationships while staying focused on delivering the highest standards and performance for the region.



2. Ability to analyse data rapidly, read situations, understand and interpret different local and political contexts and communicate well. In addition, the managing director must guide and lead innovation, seek and take advantage of opportunities and take calculated risks in order to strive for continuous improvement.
3. Leadership of school improvement services – the managing director will provide the strategic leadership and delivery of a sharp and well-defined model of diagnosis and support for schools. This includes, but is not limited to, leading a high performing team to work alongside school leaders, teachers and others engaged in education service delivery in the rigorous challenge and support for improvement activity based on strong analysis of data and evidence. The impact of this work can be seen by the sharp and sustained improvement in outcomes and in the range of appropriate services included within the consortia.
4. Development of system wide school-to-school capacity building measures – we believe that in the long-term the capacity for system-wide improvement rests within and across schools. The managing director must be capable of galvanizing and leading outstanding heads, middle leaders and teachers and, more broadly, to design a system of school led capacity building and improvement.
5. Development of and engagement with an improvement service which is flexible and meets the needs of its stakeholders – in line with the changing demands and needs of schools and local authorities, the managing director will lead the development of a flexible approach to procuring school improvement services. The role will require a commercial sensitivity and an ability to construct a mixed economy of high quality expertise on which schools will be able to draw.
6. Leadership and management of a lean and dynamic central organisation – the managing director will provide visible and inspiring strategic leadership and management of the consortium. This will require recognition of the history and achievements of the organisation to date, whilst reviewing the staffing and delivery model to ensure it is as efficient and effective as possible and compliant with Welsh Government and Estyn expectations. Critical to this is sound and effective people management skills providing high quality professional development for staff as well as effective brand management, communication management of resources and building relationships with stakeholders. In addition, the managing director must guide and lead innovation, seek and take advantage of opportunities and take calculated risks in order to strive for continuous improvement.
7. The Managing Director shall produce an annual report of performance in the following year's business plan.

The skills and experience needed to be a managing director will, therefore, be of a senior strategic leader, with a strong track record of making an impact in leading a school improvement organisation that has significantly improved

educational outcomes. He or she will be ambitious for schools to improve, capable of providing and managing challenge and willing and able to lead and steer a coalition of school leaders, staff and local authorities through school improvement.

The salary and conditions will be set by the joint committee and the line management and accountability will be to the chair of the executive board.

## **Funding and finance**

Regional consortia will obtain their funding from three sources:

1. Local authorities have given a commitment<sup>5</sup> to protect funding for school improvement and transfer it directly to the consortia. Local authorities have signed up to this agreement formally with Welsh Government and this agreement has the same status as other agreements such as the Simpson Compact and the delegation rates targets of 80 per cent and 85 per cent.

From 1st April 2014 the transferred funding will be lodged with the lead financial authority on behalf of the consortium and made available in full to the consortium. Further financial resources should be added if further functions are transferred into the consortium.

Annually, the lead financial officers from each consortium will identify the regional consortia's funding in line with the agreement between the WLGA and the Welsh Government. The level of funding that is proposed to be transferred from each local authority to consortia will also be subject to consultation with Welsh Government.

2. Dedicated funding for schools and school improvement routed through consortia by the Welsh Government. The major Welsh Government grants and associated Local Authority match-funding will be passported via the lead authority to the consortium, apart from those elements that are delegated directly to schools. Centrally retained elements of the major grants issued on a regional basis will be passported in full and retained by the consortium.

All funding intended to be delegated to schools must be delegated to schools. Where schools require additional guidance and support in spending the funding efficiently, consortia will provide that guidance and support.

3. Funding generated by consortia as a result of charging for some of the programmes and interventions that they commission. The consortia will be expected to demonstrate openness and clarity in the use of all elements of funding, using the business plans as a vehicle for agreeing the full budget

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<sup>5</sup> This commitment refers to the national agreement reached between the WLGA, the 22 leaders of local authorities and the Minister for Education and Skills.

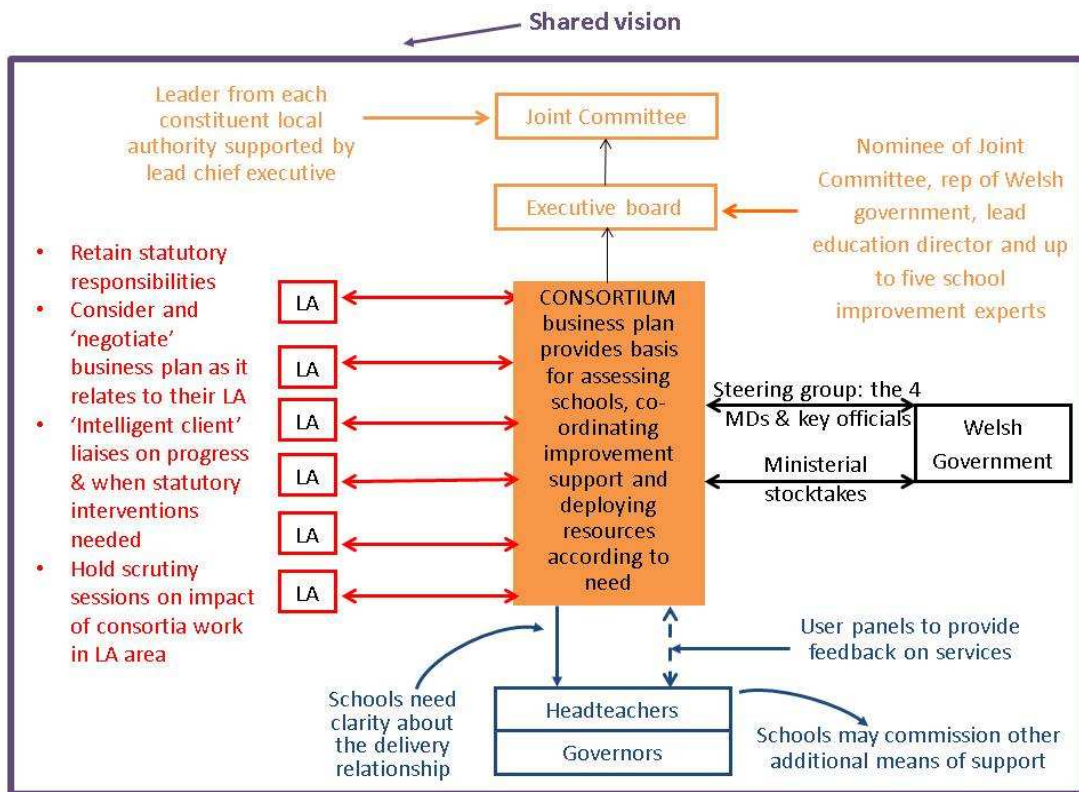
breakdown and the Managing Director's annual report to clearly and transparently report on how funding was spent<sup>6</sup>.

## **Timescales**

The aim in order to begin to deliver improved outcomes is to transition through the next few months to the Consortia arrangements set out in this report by 1st April 2014.

However we recognise that some of the school improvement services contained in this model will not be able to be delivered by 1 April 2014. Therefore, as part of the business plan and to provide an element of flexibility, consortia will need to clearly show what will be delivered by April 2014 and what by April 2015, along with a clear rationale as to why.

# Annex A: Consortia governance model



## **Annex B: National model for regional working**

On 28 November, the WLGA Coordinating Committee approved the National Model for Regional Working.

Prior to this, on the 7 October, the Minister for Education and Skills issued a written statement outlining his acceptance of the proposal from local government to protect school improvement funding within the local government budget settlement and to jointly construct a National Model for Regional Working.

The agreement replaces the proposal, in the Hill Review, to fund regional school improvement services through a transfer out of the RSG. It agrees Local Authority contributions to regional school improvement consortia will be protected on the basis of the methodology and funding identified in the papers submitted to the Distribution Sub Group and Finance Sub Group.

### **Basis of the local authority minimum contributions**

The amount is based on the minimum amount originally proposed (£19.2m) reduced by the average percentage reduction in core revenue funding for Wales, as announced in the Final Local Government Settlement for 2014-15. This equates to -3.4%.

The individual authority allocations are based on the 'Mainstream Schools' sector Standards Spending Assessment distribution as contained in the 2014-15 Final Settlement. The Mainstream Schools sector comprises the main service areas relating to primary, secondary and special education provision. The final Local Authority minimum contributions for 2014-15 are identified in Table 2.

These figures represent the core Local Authority contributions, which are net of income and grant revenue. In addition to this core funding, the total funding for regional consortia includes income generated through trading agreements, school level and other SLAs, specific grant funding allocated on a regional basis and any respective local authority match-funding elements for these grants. Additional funding may also be provided by individual Local Authorities for specific additional activity. This represents a 'gross budget' for consortia and this revenue will still be made available to consortia. (where regional consortia take on further functions, the funding will change accordingly.)

### **Tables**

Table 1 shows the current 2013-14 contributions and the contributions originally proposed for 2014-15 within the DSG and FSG papers.

Table 2 shows the required Local Authority minimum contributions for 2014 15, reduced in line with the changes to the Final Local Government Settlement (-3.4%).

**Table 1: Local Authority consortia expenditure and proposed distribution of transfer out based on Mainstream Schools Sector**

| Consortia     | Local Authority    | Consortia 2013-14 budgets net of income and grant revenue |                    | Transfer Out based on mainstream schools sector |              | Difference from 2013-14 Budgets |                       | Transfer Out based on Mainstream Schools distribution scaled in line with South East Consortia (a) |                   | Difference from 2013-14 Budgets |
|---------------|--------------------|---|--------------------|---|--------------|---------------------------------|-----------------------|--|-------------------|---------------------------------|
|               |                    | Amount (£)  | % Share            | Amount (£)                                      | % Share      | Amount (£)                      | % Share               | Amount (£)   | % Share           | Amount (£)                      |
| North Wales   | Anglesey           | £360,800  | 2.2%               | £367,906  | 2.3%         | £7,106                          | 0.0%                  | £435,073.70  | 2.3%              | £74,274                         |
|               | Gwynedd            | £634,304  | 3.9%               | £648,257  | 4.0%         | £13,953                         | 0.1%                  | £766,607.69  | 4.0%              | £132,304                        |
|               | Conwy              | £552,640  | 3.4%               | £573,346  | 3.5%         | £20,706                         | 0.1%                  | £678,020.37  | 3.5%              | £125,380                        |
|               | Denbighshire       | £539,264  | 3.3%               | £545,654  | 3.4%         | £6,390                          | 0.0%                  | £645,272.71  | 3.4%              | £106,009                        |
|               | Flintshire         | £788,128  | 4.9%               | £818,362  | 5.0%         | £30,234                         | 0.2%                  | £967,768.35  | 5.0%              | £179,640                        |
|               | Wrexham            | £644,864  | 4.0%               | £681,942  | 4.2%         | £37,078                         | 0.2%                  | £806,442.48  | 4.2%              | £161,578                        |
|               | <b>Sub total</b>   | <b>£3,520,000</b>   | <b>21.7%</b>       | <b>£3,635,467</b>                               | <b>22.4%</b> | <b>£115,467</b>                 | <b>0.7%</b>           | <b>£4,299,185.30</b>   | <b>22.4%</b>      | <b>£779,185</b>                 |
| ERW           | Powys              | £813,250  | 5.0%               | £693,524  | 4.3%         | <b>-£119,726</b>                | -0.7%                 | £820,138.98  | 4.3%              | £6,889                          |
|               | Ceredigion         | £470,750  | 2.9%               | £365,586  | 2.3%         | <b>-£105,164</b>                | -0.6%                 | £432,330.14  | 2.3%              | <b>-£38,420</b>                 |
|               | Pembrokeshire      | £610,250  | 3.8%               | £669,959  | 4.1%         | £59,709                         | 0.4%                  | £792,271.77  | 4.1%              | £182,022                        |
|               | Carmarthenshire    | £992,000  | 6.1%               | £1,000,607                                      | 6.2%         | £8,607                          | 0.1%                  | £1,183,285.37  | 6.2%              | £191,285                        |
|               | Swansea            | £993,250  | 6.1%               | £1,197,996                                      | 7.4%         | £204,746                        | 1.3%                  | £1,416,711.19  | 7.4%              | £423,461                        |
|               | Neath Port Talbot  | £707,500  | 4.4%               | £754,452  | 4.6%         | £46,952                         | 0.3%                  | £892,190.45  | 4.6%              | £184,690                        |
|               | <b>Sub total</b>   | <b>£4,587,000</b>   | <b>28.3%</b>       | <b>£4,682,124</b>                               | <b>28.8%</b> | <b>£95,124</b>                  | <b>0.6%</b>           | <b>£5,536,927.91</b>   | <b>28.8%</b>      | <b>£949,928</b>                 |
| Central South | Bridgend           | £693,359  | 4.3%               | £755,003  | 4.7%         | £61,644                         | 0.4%                  | £892,842.05  | 4.7%              | £199,483                        |
|               | Vale of Glamorgan  | £651,860  | 4.0%               | £700,208  | 4.3%         | £48,348                         | 0.3%                  | £828,043.26  | 4.3%              | £176,183                        |
|               | Rhondda Cynon Taf  | £1,250,876  | 7.7%               | £1,341,118                                      | 8.3%         | £90,242                         | 0.6%                  | £1,585,962.63  | 8.3%              | £335,087                        |
|               | Merthyr Tydfil     | £295,094  | 1.8%               | £318,843  | 2.0%         | £23,749                         | 0.1%                  | £377,053.39  | 2.0%              | £81,959                         |
|               | Cardiff            | £1,525,297  | 9.4%               | £1,648,302                                      | 10.2%        | £123,005                        | 0.8%                  | £1,949,228.46  | 10.2%             | £423,931                        |
|               | <b>Sub total</b>   | <b>£4,416,486</b>   | <b>27.2%</b>       | <b>£4,763,474</b>                               | <b>29.3%</b> | <b>£346,988</b>                 | <b>2.1%</b>           | <b>£5,633,129.78</b>   | <b>29.3%</b>      | <b>£1,216,644</b>               |
| South East    | Caerphilly         | £1,133,580  | 7.0%               | £1,026,964                                      | 6.3%         | <b>-£106,616</b>                | -0.7%                 | £1,214,454.30  | 6.3%              | £80,874                         |
|               | Blaenau Gwent      | £423,953  | 2.6%               | £370,663  | 2.3%         | <b>-£53,290</b>                 | -0.3%                 | £438,334.04  | 2.3%              | £14,381                         |
|               | Torfaen            | £760,016  | 4.7%               | £531,326  | 3.3%         | <b>-£228,690</b>                | -1.4%                 | £628,328.89  | 3.3%              | <b>-£131,687</b>                |
|               | Monmouthshire      | £468,403  | 2.9%               | £425,265  | 2.6%         | <b>-£43,138</b>                 | -0.3%                 | £502,904.59  | 2.6%              | £34,502                         |
|               | Newport            | £926,421  | 5.7%               | £800,576  | 4.9%         | <b>-£125,845</b>                | -0.8%                 | £946,735.20  | 4.9%              | £20,314                         |
|               | <b>Sub total</b>   | <b>£3,712,373</b>   | <b>22.9%</b>       | <b>£3,154,794</b>                               | <b>19.4%</b> | <b>-£557,579</b>                | <b>-3.4%</b>          | <b>£3,730,757.01</b>   | <b>19.4%</b>      | <b>£18,384</b>                  |
| <b>Wales</b>  | <b>£16,235,859</b> | <b>100.0%</b>   | <b>£16,235,859</b> | <b>100.0%</b>                                   | <b>£0</b>    | <b>0.0%</b>                     | <b>£19,200,000.00</b> | <b>100.0%</b>  | <b>£2,964,141</b> |                                 |

**Notes**

Scaling factor of 1.182 used to scale in line with South East Consortia 2013-14 budget levels.

**Table 2: Required Local Authority minimum contributions for 2014-15, based on the 2014-15 Mainstream Schools SSA**

| Region        | Local Authority       | SSA Formula<br>2014-15<br>Mainstream<br>Schools Sector<br>distribution | Percentage<br>distribution |
|---------------|-----------------------|--|----------------------------|
| North Wales   | Isle of Anglesey      | 422,621  | 2.3%                       |
|               | Gwynedd               | 740,733  | 4.0%                       |
|               | Conwy                 | 652,994  | 3.5%                       |
|               | Denbighshire          | 623,793  | 3.4%                       |
|               | Flintshire            | 933,484  | 5.0%                       |
|               | Wrexham               | 782,631  | 4.2%                       |
|               | <b>Sub total</b>      | <b>4,156,256</b>   | <b>22.4%</b>               |
| ERW           | Powys                 | 786,048  | 4.2%                       |
|               | Ceredigion            | 414,511  | 2.2%                       |
|               | Pembrokeshire         | 759,950  | 4.1%                       |
|               | Carmarthenshire       | 1,141,069  | 6.2%                       |
|               | Swansea               | 1,370,773  | 7.4%                       |
|               | Neath Port Talbot     | 850,288  | 4.6%                       |
|               | <b>Sub total</b>      | <b>5,322,639</b>   | <b>28.7%</b>               |
| Central South | Bridgend              | 862,092  | 4.6%                       |
|               | The Vale of Glamorgan | 799,973  | 4.3%                       |
|               | Rhondda Cynon Taf     | 1,531,657  | 8.3%                       |
|               | Merthyr Tydfil        | 359,863  | 1.9%                       |
|               | Cardiff               | 1,917,619  | 10.3%                      |
|               | <b>Sub total</b>      | <b>5,471,204</b>   | <b>29.5%</b>               |
| South East    | Caerphilly            | 1,169,666  | 6.3%                       |
|               | Blaenau Gwent         | 417,511  | 2.3%                       |
|               | Torfaen               | 600,536  | 3.2%                       |
|               | Monmouthshire         | 481,642  | 2.6%                       |
|               | Newport               | 934,254  | 5.0%                       |
|               | <b>Sub total</b>      | <b>3,603,609</b>   | <b>19.4%</b>               |
| <b>Wales</b>  |                       | <b>18,553,708</b>  | <b>100.0%</b>              |