



**Dinas a Sir Abertawe**

**Hysbysiad o Gyfarfod**

Fe'ch gwahoddir i gyfarfod

## **Panel Perfformiad Craffu - Ysgolion**

**Lleoliad:** Committee Room 3A - Neuadd y Ddinas, Abertawe

**Dyddiad:** Dydd Llun, 19 Tachwedd 2018

**Amser:** 4.00 pm

**Cynullydd:** Y Cynghorydd Mo Sykes

**Aelodaeth:**

Cynghorwyr: C Anderson, A M Day, M Durke, S J Gallagher, L S Gibbard, F M Gordon, D W Helliwell, B Hopkins, L James, S M Jones, L R Jones, M A Langstone, H M Morris a/ac L J Tyler-Lloyd. Aelodau Cyfetholedig: D Anderson-Thomas, A Roberts a/ac J Meredith

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### **Agenda**

**Rhif y Dudalen.**

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|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| <b>1</b> | <b>Ymddiheuriadau am absenoldeb.</b>                                                                                                                               |                |
| <b>2</b> | <b>Datgeliadau o fuddiannau personol a rhagfarnol.</b><br><a href="http://www.abertawe.gov.uk/DatgeliadauBuddiannau">www.abertawe.gov.uk/DatgeliadauBuddiannau</a> |                |
| <b>3</b> | <b>Nodiadau a llythyrau cynullyddion</b><br>Nodiadau a llythyrau cynullyddion o gyfarfod y panel ar 17/10/18.                                                      | <b>1 - 6</b>   |
| <b>4</b> | <b>Y Diweddaraf am Gynnydd Addysg Heblaw yn yr Ysgol</b>                                                                                                           | <b>7 - 14</b>  |
| <b>5</b> | <b>Diweddariad ar Strategaeth Lles ac Ymddygiad</b>                                                                                                                | <b>15 - 19</b> |
| <b>6</b> | <b>Cynllun Gwaith 2018 - 2019.</b>                                                                                                                                 | <b>20 - 21</b> |
| <b>7</b> | <b>Adroddiad Blynyddol Archwiliad o Ysgolion (er gwybodaeth)</b>                                                                                                   | <b>22 - 39</b> |

**Cyfarfod nesaf:** Dydd Mawrth, 11 Rhagfyr 2018 ar 4.00 pm

**Huw Evans**

**Pennaeth Gwasanaethau Democraidd**

**Dydd Llun, 12 Tachwedd 2018**

**Cyswllt: Michelle Roberts, Craffu**

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# Agenda Item 3



**To/  
Councillor Jen Raynor  
Cabinet Member for Education  
Improvement, Learning and Skills**

*Please ask for:  
Gofynnwch am:*

Scrutiny

*Direct Line:  
Llinell Uniongyrochol:*

01792 637256

*e-Mail  
e-Bost:*

scrutiny@swansea.gov.uk

*Date  
Dyddiad:*

01 November 2018

**BY EMAIL**

Summary: This is a letter from the Schools Scrutiny Performance Panel to the Cabinet Member for Education Improvement, Learning and Skills following the meeting of the Panel on 17 October 2018. It is about a meeting with Ysgol Crug Glas Special School.

Dear Councillor Raynor,

## **Schools Scrutiny Performance Panel – 17 October 2018**

We thanked the Headteacher, senior management team and governors at the school, the Consultative Headteacher and the challenge advisor for attending the meeting to discuss the key issues and to answer our questions about how the school is progressing with its improvement journey.

We met firstly with the Challenge Advisor and Consultative Headteacher where we heard that leadership staffing issues around the time of the inspection in 2016, and for a while afterwards, had put the school in a vulnerable position. So to address this three key decisions were made by the governing body in conjunction with the Local Authority. These were to (1) Appoint acting Headteacher Claire Hobson, (2) Involve Consultative Head Gethin Sutton and (3) Establish a Team around the School network. We heard that these three key decisions have been instrumental to improvements at the school. We were pleased to hear that Estyn, who revisited the school in April 2018, were very pleased with the progress made and agreed that the school could come out of Estyn Monitoring.

We had a tour of the school and then met with the Headteacher, her Senior Management Team along with two Governors at the school. We heard from them that:

The school is doing its best to be creative in its activities but is restricted by a number of barriers including: the premises, finance, staffing level and resource. It was explained that some of these may be addressed by the possible Federation

**OVERVIEW & SCRUTINY / TROSOLWG A CHRAFFU**

**SWANSEA COUNCIL / CYNGOR ABERTAW**

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with Penybryn School which is being considered. Also that this, in the longer term, may include seeking Band B funding for new build facility.

Governors told us about the reduction in funding to the school which was mainly due to the re-grading of Teaching Assistants from scale 4 to scale 6 (which they supported) but the key issue being that the school still only receives funding for the scale 4 posts. Also the delegation of centrally funded Teaching Assistants posts back to schools. The amount delegated was the budget amount rather than the actual spend which has resulted in shortfall of £88,700. The reduction in funding has resulted in the school having to lose 2 teachers, 17 mid-day supervisors and use of school reserves. We also heard that this reduction is still a work in progress. The School was awarded £70,000 from the restructuring fund this year but this is one off payment. With the new budget round on the horizon, the governors are gravely concerned about how this will be funded and that it is likely to be a barrier to ongoing school improvement.

We were pleased to hear about the positive comments from Estyn when they revisited in April 18, especially that *the current leadership team is very effective in driving forward school improvement. Also that since the core inspections, senior leaders have placed appropriate emphasis on improving the way that teachers plan to develop pupil skills progressively. Teaching has a strong focus on developing pupil skills at a pace and level that is adapted well to their individual needs and abilities.*

We also agreed with the statement that *senior leaders have implemented a strategic approach to improve standards and provision at the school by providing all staff with valuable opportunities to observe and share good practice. We felt this will be key to the school continue to improve.*

We were keen to hear all the good practice at the school and would like to see more utilisation of this expertise to inform practice in mainstream schools. In particular in meeting the educational needs of children with ADHD/ Autistic spectrum.

The Governors and Headteacher said they were very pleased with the support that they have received from the local authority, school improvement service and the Consultative Headteacher and that there has been a massive shift in progress at the school since the original inspection.

The Governing bodies priorities moving forward includes a strong commitment to continuous improvement and ongoing support and challenge. Also the possible Federation. Governors said that with so much change over last few years they have asked for a period of stability until Sept 2019 and that in time they and they will be looking in detail at the Federation option.

In conclusion, we were very pleased to hear about the positive outcome of the Estyn re-inspection and the speed of which improvement had been made. We congratulate the school staff and governors for their commitment to the improvement journey, which we believe has been key to their success in moving

forward so quickly. We also felt that the assistance of the Consultative Headteacher, the School Improvement Service and the Team around the School had been a resounding success and is an excellent model for the future when school are facing challenging situations. We thanked all those who attended and wish the School the very best for the future.

We would welcome your thoughts on any issue within this letter but could you please respond in writing to the following points by 22 November 2018.

1. We heard that the reduction in spending at the school is still a work in progress. That the School was awarded £70,000 from the restructuring fund this year but this is one off payment. With the new budget round on the horizon, the governors are gravely concerned about funding and that the considerable impacts are likely to be a barrier to ongoing school improvement. Could you look into this situation and give us your thoughts and whether the Local Authority can assist the school with this funding situation.
2. Look at utilising expertise at the school, in particular in meeting the educational needs of children with ADHD/Autistic spectrum, to inform practice in mainstream schools.

Yours sincerely,

**COUNCILLOR MO SYKES**

Convener, Schools Scrutiny Performance Panel

✉ [Cllr.mo.sykes@swansea.gov.uk](mailto:Cllr.mo.sykes@swansea.gov.uk)



City and County of Swansea

## Notes of the **Scrutiny Performance Panel – Schools**

Ysgol Crug Glas Special School, Croft St, Swansea SA1 1QA

Wednesday, 17 October 2018 at 1.30 pm

**Present:** Councillor M Sykes (Chair) Presided

**Councillor(s)**

C Anderson  
L James

**Councillor(s)**

S J Gallagher

**Councillor(s)**

L S Gibbard

**Co-opted Member(s)**

A Roberts

**Other Attendees**

Clare Hobson  
Michelle Hibb  
Suzie Smith  
Steve Barrett  
Maggie Bullen  
Gethin Smith

Headteacher Ysgol Crug Glas School  
Senior Management Team Ysgol Crug Glas School  
Senior Management Team Ysgol Crug Glas School  
Chair of Governors Ysgol Crug Glas School  
Governor Ysgol Crug Glas School  
Consultative Head and Headteacher at Penybryn School

**Officer(s)**

Michelle Roberts  
Rob Phillips

Scrutiny Officer  
Challenge Advisor

**Apologies for Absence**

Councillor(s): A M Day, M Durke, F M Gordon, D W Helliwell, B Hopkins, S M Jones, L R Jones and M A Langstone. Co-opted Member(s): D Anderson-Thomas

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**1 Disclosure of Personal and Prejudicial Interests.**

None

**2 Notes and Conveners letters**

The Panel accepted the notes from the meeting on the 27 September 2018.

**3 Preparation session with Challenge Advisor**

Councillors met with the Challenge Advisor for Ysgol Crug Glas School Rob Phillips and the Consultative Head Gethin Smith to discuss how the school is progressing with its improvement journey. Key points noted from this discussion include:

- Leadership staffing issues around time of inspection in 2016 and for a while after putting the school in a vulnerable position, so there was three key decisions by Governing Body and Local Authority to:
  1. Appoint acting Headteacher Claire Hobson
  2. Involve Consultative Head Gethin Smith
  3. Establish a Team Around the School network
- These three key decisions have been instrumental to improvements at the school. Estyn were very pleased with the progress that was made so quickly and they agreed the school could come out of Estyn monitoring in May 2018.
- More active governing body with regard to challenge aspects recognising the support aspects were strong.
- Leadership now much stronger and is much more spread rather than just with Headteacher
- A pioneer school with four other schools in a network 2 special schools in Swansea and 2 in Neath Port Talbot.

#### **4 Ysgol Crug Glas Special School**

Councillors took a tour of the school and then met with Headteacher Claire Hobson and Management Team Michelle Hibb and Susie Smith also Governors Steve Barrett and Maggie Bullen. Also in attendance for this session were Rob Phillips, Challenge Advisor and Consultative Head Gethin Smith. Main points from the discussion included:

- School is doing best to be creative but some of the barriers currently include: premises, finance, staffing level and resource. Many positives with the location, close the many things, work closely with local community and business.
- Possible Federation with Penybryn School being considered which in the longer term include seeking Plan B funding for new build facility.
- The panel heard from Governors that there has been a reduction in funding to the school mainly due to:
  - Teaching assistants grading review where TAs were upgraded to scale 6 but school only receives funding for Scale 4.
  - Delegation of TA posts to the school that were previously centrally funded. The amount delated was the budget amount rather than the actual spend which has resulted in shortfall of £88,700.
- The reduction in funding has resulted in the loss of 2 teachers, 17 mid-day supervisors and the use of school reserves. Councillors also heard that this reduction is still a work in progress. The School was awarded £70,000 from the restructuring fund in the current financial year, this was a one off payment and with the new budget round coming, the governors are gravely concerned as to the effects of this and how it is likely to be a barrier to school improvement.
- Estyn commented on progress made with their recommendations when they revisited in April 2018, they said 'the current leadership team is very effective in driving forward school improvement'. Including:
  - Recommendation 1 – since the core inspections, senior leaders have placed appropriate emphasis on improving the way that teachers plan to develop pupil skills progressively. Teaching has a strong focus on

developing pupil skills at a pace and level that is adapted well to their individual needs and abilities.

- Recommendation 2 – Staff now have a clear understanding of the importance of wider skills in meeting pupil social and emotional needs. The school has implemented a useful wider skills framework that identifies how pupils can develop skills progressively, such as working with others and thinking skills.
- Recommendation 3 – Senior leaders communicate a strong, shared vision for the school that focuses well on collaborative working across the staff team. The shared vision is a strength of the school.
- Recommendation 4 - Senior leaders have implemented a strategic approach to improve standards and provision at the school by providing all staff with valuable opportunities to observe and share good practice. This has been key in moving forward.
- Recommendation 5 – Governors share the clear vision of improvement for the school. Senior leaders have delivered bespoke training to governors on important aspects of the schools work including use of data to track pupil performance. This has improved Governors knowledge and ability to support and challenge the school more effectively.
- This has mean for pupils at the school – The school has a clear and robust cycle of monitoring, evaluation and review. Quality assurance systems are effective I helping leaders to identify its strengths and areas for improvement.
- The Governors and Headteacher said they were very pleased with the support that they have received from the local authority, school improvement service and the Consultative Head.
- They have seen a massive shift in progress since the original inspection.
- Governing body's priorities moving forward includes a strong commitment to continuous improvement and ongoing support and challenge. Also the possible Federation and Plan B newed school. But with so much change over last few years the governing body have ask for a period of stability until Sept 2019. In that time they and the school will be looking in detail at the Federation option.
- School and governors feel that they have learnt so much over the last couple of years and feel that the Team Around the School was a great success for them.
- The Panel were very pleased to hear about the positive outcome of the Estyn re-inspection and the speed of which improvement have been made. They also congratulated the school staff and governors for their commitment to improvement which they believe has been key to their success in moving forward so quickly. The panel felt that the assistance of the Consultative Head, the School Improvement Service and the Team around the School had been a resounding success and is an excellent model for the future when school are facing challenging situations. The panel thanked all those who attended and wished the School the very best for the future.
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A letter will be written to the Cabinet Member for Education Improvement, Learning and Skills outlining the Panels views from the visit.

## **5 Work Programme 2018/19**

The Work Programme was noted.

# Agenda Item 4



## Report of the Cabinet Member for Education Improvement, Learning and Skills

Schools Performance Scrutiny Panel – 9 November 2018

### Education Other Than at School (EOTAS) – update on progress with changes to service and accommodation

|                                          |                                                                                                                                                                                                             |
|------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Purpose:</b>                          | The report presents an update on the work undertaken to overhaul the Education Other Than at School (EOTAS) provision in Swansea and deliver a re-modelled service within a new, purpose designed building. |
| <b>Content:</b>                          | A briefing/update on Education Other Than At School Service                                                                                                                                                 |
| <b>Councillors are being asked to:</b>   | Consider the information provided and to forward views to the Cabinet Member via a letter from the Panel Convener                                                                                           |
| <b>Lead Councillor:</b>                  | Councillor Jennifer Raynor, Cabinet Member for Education Improvement, Learning and Skills                                                                                                                   |
| <b>Lead Officer &amp; Report Author:</b> | Nick Williams<br>Tel: 01792 636558<br>E-mail: <a href="mailto:nick.williams@swansea.gov.uk">nick.williams@swansea.gov.uk</a>                                                                                |

#### 1. Background

- 1.1 On 15 December 2016, Cabinet gave their approval for Swansea Council to extensively overhaul its entire EOTAS service to provide a sector leading practice. The objective is to reconfigure the service to build on existing good practice, transforming the provision to support vulnerable children and their families and to meet the requirement to provide suitable full time education, in a timely manner, to those children and young people who need to be educated other than at school.
- 1.2 The report of the Headteacher of Swansea PRU and BSU to Cabinet on 20th September 2017 gave a progress update on the implementation of the new model of provision for Education Other Than At School (EOTAS).



- 1.3 This report provides an update to Schools Scrutiny Performance Panel in response to the following area: Update on progress with changes to service and accommodation
- 2. Update on changes to Service:**
- 2.1 A key factor in the success of an overhaul of the current provision is based on the support provided to schools to enable earlier identification of needs in relation to pupils with social, emotional and behavioural difficulties (SEBD), and greater capacity and support to manage the needs in the school setting.
- 2.2 There has been a greater alignment strategically and operationally of the Behaviour Support Team (BST), the interim Halfway House Team and the Home Tuition team to enable a more fluid and joined up approach to supporting pupils and schools at the different levels of need. All teams are now under the same line management, and joint working is established to provide a continuum of support in line with the continuum of need in schools
- 2.3 The work of the Halfway House has resulted in the highest number of pupils being re-integrated back to mainstream provision in many years. Last year, 19 pupils were able to be supported back to their mainstream schools, with most of these pupils now either off the roll of the PRU totally, or due to come off at the November 2018 EOTAS panel meeting.
- 2.4 This increase in the numbers of pupils who have re-integrated back to mainstream provision has resulted in us achieving the planned reduction of numbers in primary provision. This has reduced from 4 classes of 30 pupils plus a waiting list in October 2017 to a current figure of 19 pupils organised in 3 classes as of October 2018. This structure is now in line with planned primary places for the new build.
- 2.5 Based on the success of the work to reduce numbers of pupils attending the primary provision, and the re-integration of pupils back to mainstream provision, our admission procedures are being reviewed, to include part-time admission for some pupils where appropriate, to hopefully facilitate a shorter time spent in the PRU, and a faster transition back to their mainstream placement. The Halfway House Team will be integral to the support of this process.
- 2.6 There are now clear processes and systems to ensure a smooth handover of support to pupils and schools from the Halfway House Team to the BST, and vice versa. This enables pupils to continue to be supported whilst moving from the PRU back to mainstream provision, and where appropriate, to work collegiately with schools to prevent pupils being referred to the PRU.

- 2.7 There has been a review and robust revision of training offered to schools, and this now forms part of a more joined up offer to schools aligned with other education departments. Training can be accessed on-line or through a face to face centre based or school based offer. Training encompasses the range of need from provision of whole school awareness raising training through to specialist and targeted training, aligned to meeting the continuum of need.
- 2.8 Support and training to enable schools to develop an understanding of a resilience based model has been brokered with The Exchange Counselling Service, and this has been funded through EOTAS to be delivered to all primary schools and to targeted secondary schools. This model provides school based staff with the understanding and tools to assess pupil needs and support them through a carefully planned bespoke intervention model.
- 2.9 In line with the agreed proposal to Cabinet in December 2016, £700K has been devolved to Secondary schools to support the development of in-house provision to enable them to meet the needs of pupils with SEBD in key stage 4 (KS4). All schools submit a monitoring report of how they use this funding, and visits have been conducted to a number of schools to look at how this is developed. Nearly all secondary schools use the funding to support the development of in-house specialist support provision for pupils identified as having SEBD. Whilst this has only had a very minor impact on the number of KS4 aged pupils who are referred to the PRU, there is evidence to suggest that those who are now referred, wholly meet or exceed the criteria of the PRU, and would be very difficult to manage in a mainstream setting. This appears to mirror what seems to be an increase in the number of pupils who are presenting with very challenging, aggressive and violent behaviour. This is a growing concern locally, regionally and nationally.
- 2.10 In order to provide more robust challenge and support to schools in the management of pupils with SEBD, funding from the EOTAS budget has been allocated to enable the appointment of a post to support and monitor the use of Pastoral Support Programmes (PSPs), the use of reasonable force in line with Council policy and the movement of pupils through a planned and agreed managed move process.

### **3. Update on changes to provision at PRU level**

- 3.1 There has been a full review and revision of the leadership team across the PRU portfolio. As part of this review, we identified that there had been a significant negative impact resulting from a dependency on seconding leadership posts for short periods to one of the centres. This had resulted in poor standards of teaching and learning, high staff turnover and a significant lack of a coherent and consistent approach to promoting positive behaviour and managing challenging behaviour.

- 3.2 A revision of the leadership structure across the provision has resulted in a re-allocation of existing staff to provide a more robust, sustainable and experienced leadership team. The improvement in the function of the leadership team, its strength in terms of leadership across the whole portfolio and the consistency in working practice across all members of the leadership team and all centres, was positively noted in ERW Core Visits last year.
- 3.3 All Centres are now working collaboratively. There are shared policies and significant progress has been made in developing shared practices across all centres. Joint training is held across all centres, all staff have worked together to develop a shared vision statement, shared aims and a shared Improvement Plan. Centre leads work effectively and collaboratively to provide good standards of leadership and establish robust self-evaluation processes to contribute to on-going improvement across the provision. The new leadership structure has been focused on improving the quality of teaching and learning across the portfolio. This has led to particularly positive outcomes including an improvement from less than 40% of teaching judged as good or better in Summer 2017 compared to over 80% judged as good or better by summer 2018.
- 3.4 Having introduced the Welsh Baccalaureate in September 2017, we achieved the target set for over 70% of KS4 pupils to pass the WBQ Skill Challenge Certificate. Furthermore, Swansea PRU is provisionally reported by the WJEC to be in the top 3 of all PRUs in Wales in terms of having the highest results and numbers entered for the Skills Challenge Certificate, with a large number achieving Level 2. In comparison to all mainstream schools in Wales, our outcomes place us in the middle of the range.
- 3.5 There has been a revision of the previous structure for the tuition of pupils on roll at Brondeg House, to enable all pupils to be taught across one seamless provision, instead of being separated into distinct groups. Previously pupils would be admitted via the EOTAS panel to a vocational pathway or an academic pathway. This did not meet the needs of the pupils and led to a significant in-balance in terms of teaching provision. The revised system enables all pupils to be admitted to KS4, and to make a bespoke choice from a range of academic and centre based options, plus a range of externally provided vocational options. There are core subjects of mathematics and English which all pupils have to take, at a level appropriate to their ability. Where appropriate, all pupils are encouraged to take up 3 formal GCSE subjects in addition to other qualifications.
- 3.6 The above structure is in line with the structure and capacity of the new build, which having implemented it this year, will not only enable a more bespoke curriculum offer to pupils, but a smoother transition into the new build.

- 3.7 There is an on-going process underway to align the well-being support offered to pupils who attend the PRU with the Well-Being Framework in place across other services, including Social Services and Poverty and Prevention. This is in line with the model presented to Cabinet Scrutiny Committee on 20 September 2017. This will allow us to provide a more consistent and joined up approach to meeting the well-being needs of all KS4 aged pupils attending the PRU and their families and facilitate greater access to external support. Re-allocation of some teaching roles and responsibilities that had been previously been undertaken by support workers have been handed back to the teaching team in line with their terms and conditions, and in order to release support workers to enable them to undertake tasks in line with the Signs of Well-Being Framework. Training has been provided as part of a longer term training plan for existing support workers; and family based assessments are due to be trialled in November 2018.
- 3.8 As we move forward in developing the model above, there will need to be a review of the current support team in terms of job descriptions, roles and responsibilities. Plans are in place to work with the existing team alongside colleagues from Poverty and Prevention and Social Services to collegiately develop the model to ensure that current best practice is maintained, and new systems are carefully reviewed to ensure that they best meet the needs of the PRU. Following this review, we will proceed to a formal process of consultation on the proposed model.
- 3.9 As a whole service, the PRU has reviewed its approach to promoting positive behaviour and managing negative behaviour. In order to develop a common understanding and agreed values and principles to support consistently applied approaches to the management of behaviour, we have accessed Pivotal Behaviour Management Training. The training model is based on leadership staff undertaking intensive training and cascading this down within each centre, at the same time as staff on the ground 'championing' the approaches and working with other staff to implement agreed approaches and strategies, whilst feeding back to lead staff as to what works and what needs further revision. The model is based on peer to peer support and will enable us to develop a bespoke set of principles, rules, and approaches to meet our individual needs. Having established a common framework for the whole portfolio, this will support the move to a single build model when we move to the new building.
- 3.10 In order to develop greater 'school to school' based learning in line with Donaldson and the new curriculum reform, we have established a regional network, which is now attended by representatives from every PRU in the region. Work is currently underway to release key staff from across the PRUs to develop innovative curriculum approaches to support the development of the Well-Being Area of Learning (AOLe) from the new curriculum, across the PRUs in the region. Attention is being focused on the development of the cross-curricular elements of

literacy, numeracy and digital competencies as part of this development. This work will enable us, along with other PRUs in the region, to support each other as we implement the new curriculum demands.

#### **4. Changes to Accommodation**

- 4.1 Work to support the planning of the proposed new build has proceeded well. A full business case was presented to the Council on 28 September, and was approved. Subsequent Welsh Government approvals have been given and the project is on schedule for construction to commence in November 2018 and for completion and occupation by January / February 2020.
- 4.2 The planned new build will offer planned places in line with those detailed in the proposal approved by Cabinet in December 2016. It will offer 21 planned places for primary aged pupils with SEBD, 28 planned places for KS3 pupils with SEBD; 60 planned places for KS4 pupils with SEBD and 35 planned places for pupils with anxiety and mental health difficulties. The building will also offer 14 planned places in a Halfway House provision, but it is envisaged that these will be offered as part-time placements, with support provided to build capacity in school alongside supporting pupils in the PRU. There will be agile working space to accommodate the PRU support worker team, the Behaviour Support Team and the Home Tuition Team.
- 4.3 The planned build will enable the development of a wider curriculum offer to all pupils through the provision of designated and resourced areas for physical education, design and technology, science, food technology and art. There will also be the ability to provide freshly cooked meals on site in line with requests from pupils as part of the stakeholder events that were conducted last year, and internal and external outdoor spaces for recreation and curriculum development.
- 4.4 In addition to this, and in line with the proposals agreed by Cabinet in December 2016, it is planned that we will house a 'schools wrap around' service providing telephone, skype and face to face multi-skilled support to schools to support the early identification of pupil needs, and support to build school capacity to manage these needs. The specialist skills and abilities of this team will include those often at the root of presenting behaviour difficulties, including managing the needs of pupils with neuro-developmental disorders such as attention deficit hyperactivity disorder (AD/HD) and autistic spectrum disorder (ASD), speech and language difficulties, adverse childhood experiences and family-based/parenting issues.
- 4.5 In order to secure an appropriately skilled team of staff to meet the needs of the PRU moving forward, and in line with staff: pupil ratios to ensure safe management of pupils on site, we have now commenced the process of determining the staffing structure required for the new

build. A draft structure is in the process of being developed, and this will go, in the first instance, to the PRU Management Committee for approval, and then to the EOTAS Steering group for approval to proceed. Once there is approval from both groups, we will proceed to a formal consultation process with all staff. It is hoped that this process will be completed by Easter 2019.

## **5. Current Building Issues**

- 5.1 Following the enforced closure of Brondeg House on 19 October 2018, we are currently without a base from which to teach 56 KS4 aged pupils with SEBD. We have looked at all other available buildings owned by the Council, but none have been deemed suitable for health and safety or planning regulation reasons. The long term options for the building have not yet been agreed, however, officers are now looking at what work can be undertaken to make Brondeg temporarily safe and fit for purpose to enable us continue operating until the new build is complete. We are still in the process of looking at different options but are hoping to be able to deliver education on the following basis between now and the end of December:
  - 5.2 For pupils who are in Year 11 (their GCSE year), we wish to limit movement and disruption wherever possible. Where these pupils attend some of their education on site with external providers, we have proposed to providers that we rent rooms from them, and base teaching staff on site to continue the education for the pupils all on one site. There will be cost implications in terms of room rental, but reduced costs in terms of transport. If agreed with providers, we will maintain this position until the end of the school year (June 2019) for these pupils.
  - 5.3 For pupils who are in Year 10 (the first year of their GCSEs), we again wish to limit movement and disruption wherever possible. However, it is felt that we need to ensure that we do not make plans that could possibly jeopardise the successful transition to the new build when it is completed. Where these pupils attend some of their education on site with external providers, we have proposed to providers that we rent rooms from them, and base teaching staff on site to continue the education for the pupils all on one site. Again, there will be cost implications in terms of room rental, but reduced costs in terms of transport. If agreed with providers, we will maintain this position until work to Brondeg has been completed, and we revert back to providing their academic tuition from Brondeg.
  - 5.4 For pupils in Year 10 and Year 11 who do not access external providers or only for very short amounts of time, we are currently looking for bases from which to deliver education to this cohort. We are hoping to use sites used by Evolve where they are vacant in the daytime. Where this is not possible, we will provide a home tuition model for these pupils. It is anticipated that this will be until the end of

December 2018, until work to Brondeg has been completed, and we can then move them back there as their base.

- 5.5 For a very small number of pupils who due to personal challenges and issues that they are currently facing, we will provide a bespoke package of education aligned to their needs and part of a carefully developed PSP. This will be reviewed regularly.

## **6. Equality and Engagement Implications**

- 6.1 The original report to Cabinet, considered on 15 December 2016 was equality impact assessed.
- 6.2 There will be further consultation on the structure of the PRU in the spring term 2019 which will include a further EIA Screening Form.

## **5. Legal Implications**

- 5.1 This report relates to the local authority's duty to arrange suitable education for children and young people outside of mainstream school as set out in section 19 of the Education Act 1996.
- 5.2 It also relates to the local authority's duties with regard to meeting the special educational needs (SEN) of learners also set out in the Education Act 1996 and SEN Code of Practice 2002.

## **6. Financial Implications**

- 6.1 The PRU is on target to meet its budgetary commitments and savings targets.

## **For Information**

### **Background:**

Cabinet Report  
Report to Scrutiny Sep 2017

# Agenda Item 5



## Report of the Cabinet Member for Education Improvement, Learning and Skills

To the Schools Scrutiny Performance Panel – 19 November 2018

### Integrated Well-being Strategy and Behaviour Policy

|                                          |                                                                                                                                                                  |
|------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Purpose:</b>                          | To brief/update the Schools Scrutiny Performance Panel on the development of a Well-being Strategy and Behaviour Policy                                          |
| <b>Councillors are being asked to:</b>   | Consider the information provided and to forward views to the Cabinet Member via a letter from the Panel Convener                                                |
| <b>Lead Councillor:</b>                  | Councillor Jennifer Raynor, Cabinet Member for Education Improvement, Learning and Skills                                                                        |
| <b>Lead Officer &amp; Report Author:</b> | Mark Sheridan, Head of Vulnerable Learner Service<br>Tel: 01792 636367<br>E-mail: <a href="mailto:mark.sheridan@swansea.gov.uk">mark.sheridan@swansea.gov.uk</a> |
| <b>Financial Officer</b>                 | Chris Davies, Principal Finance Partner (People)                                                                                                                 |
| <b>Legal Officer</b>                     | Stephen Holland, Senior Solicitor                                                                                                                                |
| <b>Access to Services:</b>               | Rhian Millar, Consultation Co-ordinator                                                                                                                          |

#### 1. Background

- 1.1 The Behaviour and Well-being Subgroup of the Family Support Continuum Steering Group was set up in the autumn term of 2017 to develop a Behaviour and Well-being Strategy designed to provide a more integrated response to meeting the needs of children at all levels. (Background paper).
- 1.2 This paper outlines the progress made so far and recommends future actions to complete the work of the sub-group.

#### 2. Briefing/Main body of report

- 2.1 The Behaviour and Well-being subgroup met on five occasions between September 2017 and July 2018. A draft Integrated Well-being Strategy for Children and Young People has been produced which includes a description and definition of well-being, a vision statement and principles as well as agreeing priority areas.



2.2 The strategy's vision statement states:

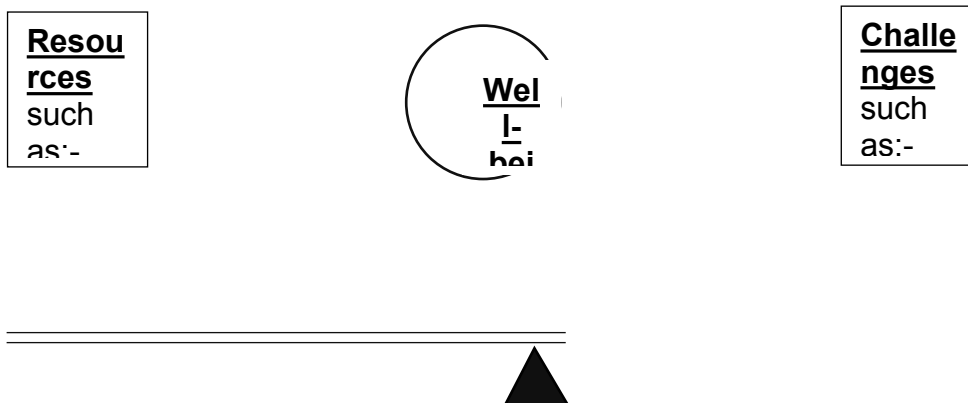
**Swansea will promote, support and nurture every child and young person's well-being.**

2.3 The strategy aims to offer an integrated approach to well-being through building the skills and capabilities for resilience whilst recognising the impact of adverse childhood experiences (ACEs). It recognises that an integral part of this aim is the promotion and support of the wellbeing of parents and carers, wider family members and the well-being of practitioners who work with children, young people and their families

2.4 The vision and aims have arisen directly out of discussion about the concept of well-being. The strategy promotes the following description of well-being:

**Our well-being is made up of different factors at any one time and changes during our lifespan. It is affected by our experiences and background, how we think and feel, our ability to communicate and problem solve as well as our physical and mental health, relationships and sense of belonging in our communities.**

2.5 To help understand well-being the strategy uses a balance model:



2.6 To best support the children, young people and young adults that we work with it is important to assess the challenges faced balanced against the resource available to support, promote and nurture their well-being.

2.5 The strategy introduces the Signs of Well-being Framework within the broad Team Around the Family approach already adopted by key teams within Poverty and Prevention and Social Services. Key roles are also described in the strategy including the concept of a named person for pre-school children, school age learners and those in further education. This has been taken from the Scottish policy initiative, Getting It Right for Every Child.

2.6 The strategy has identified the following themes and priorities:

**1. Awareness Raising**

- a. To promote Swansea's description of well-being
- b. Raise awareness of the impact of adverse childhood experiences across all key stakeholders
- c. To raise awareness of Swansea's Continuum of Need and Signs of Well-being framework
- d. Develop training packages for schools to support the emotional and mental well-being of children, young people and young adults

**2. Provision Mapping and Gap Analysis**

- a. To map needs and provision across the authority using the Signs of Well-being approach and Continuum of Need
- b. To develop a self-evaluation of well-being tool using the Swansea definition and Signs of Well-being approach
- c. Map good practice and resource currently available that has an evidence based impact on children, young people and young adults well-being

**3. Implementation**

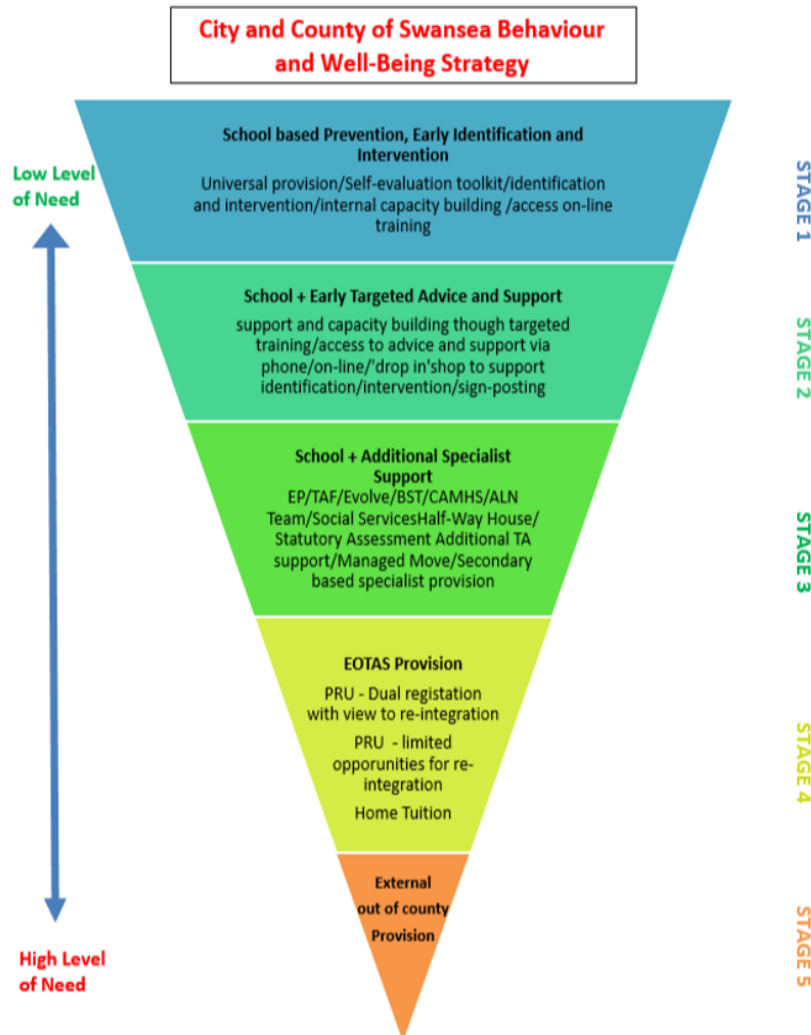
- a. Embed the Signs of Well-being approach to assess well-being needs and co-ordinate integrated, proportionate responses to identified need
- b. Promote the Named Person/Worker and Team Around the Family approach across the continuum
- c. Identify training gaps across the continuum to ensure intervention, particularly at the statutory and specialist levels, integrates with the Signs of Well-being and Signs of Safety frameworks

2.3 Further work is required to develop an action plan based on the themes and priorities set out in the strategy but this is not anticipated to take long. The strategy has also contributed to debate in the People Policy and Development Committee this term who were interested in the impact of ACEs. The committee agreed that the approach as set out in the strategy which emphasises resilience and strength-based, solution focused approaches complimented the ACEs framework.

2.4 The Draft Strategy has also been scrutinised by the Education Otherwise Than at School (EOTAS) Steering Group as well as presented to the Family support Continuum Steering Group where useful comment has been provided. It is now due to be presented with an action plan to the newly formed Getting It Right for Every Child group, which has superseded the Family Support Continuum Steering Group, on 13 November 2018.

2.4 As part of the discussion regarding the Well-being Strategy it became clear that to include a Behaviour Policy in this work was too wide a remit. It was therefore agreed in the Family Support Continuum Steering Group to separate the two tasks and Amanda Taylor, Head of Swansea Pupil Referral Unit (PRU) and Behaviour Support Unit (BSU) was asked to draft a policy based on the work of the EOTAS Steering Group, PRU Management Committee and key teams in the PRU and BSU. A first draft was completed in August 2018 and is now subject to further editing and amendment before it is presented to the EOTAS Steering Group later this term.

2.5 The Draft Behaviour Policy sits within the broader Draft Integrated Well-being Strategy and sets out Swansea’s approach to promoting and supporting positive behaviour in schools and other educational settings. It will detail the continuum of support offered by the Council to support positive behaviour through a staged approach that emphasises early and preventative measures:



2.6 The policy also sets out the ethos adopted by the Council and key principles designed to promote mutual respect and safety in order for learners to reach their potential.

2.6 The draft policy will be presented to the EOTAS Steering Group shortly for further scrutiny and recommendations.

### 3. Conclusions/Key Points Summary

3.1 In short good progress has been made in the development of an Integrated Well-being Strategy for children and Young People and Behaviour Policy. However there is still further scrutiny required of the draft documents as well as clear action plans to be added which show steps towards the vision and ethos set out in both. It is anticipated that this work will be completed by December 2018.

- 3.2 Subject to approval by the EOTAS Steering Group, Education Strategic Leads Board and Corporate Management Team, the strategy and policy will be subject to consultation with key stakeholders including children and young people, parents/carers, schools and the partner agencies of Health and Social Services.
- 3.3 Both the Draft Integrated Well-being Strategy and Draft Behaviour Policy are designed to provide a broad framework to think about, assess and support learners with complex multi-factorial needs that are affecting their well-being and consequently their behaviour. The strategy and policy recognise that the most effective way of meeting complex emotional, behavioural and mental wellbeing needs is through an integrated multi-agency approach. Therefore, the panel should be aware that both the strategy and policy have broad agreement across Education and Social Services Directorates at senior level and Health colleagues are interested in the approach adopted in the strategy and policy as part of the work of the Western Bay Children and Young People Emotional and Mental Health Planning Group.

#### **4. Legal Implications**

- 4.1 Both the strategy and policy presented set out in broad terms how Swansea Council will meet its statutory duties under Section 19 of the Education Act 1996 as well as the local authority's response to promoting positive behaviour in all educational settings.

#### **5. Financial Implications**

- 5.1 At present there are no financial implications and the delivery of a continuum of support is already accounted for in the plans for the new PRU structure. There may be efficiency opportunities in the future as current services are mapped to the continuum of need and staged models presented in the strategy and policy.

#### **6. Equality and Engagement Implications**

- 6.1 Both the Draft Integrated Well-being Strategy and Draft Behaviour Policy have been subject to Equality Impact Screening and it was determined that both require a full impact assessment. These will be completed after further work has been done on the action plans so that the impact can be better determined.

#### **Background papers:**

None

## Schools Scrutiny Performance Panel Work Programme 2018/2019

| Date                                      | Items to be discussed                                                                                                                                                                                                                                                                                                  |
|-------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Meeting 1</b><br>17 May 18             | <ol style="list-style-type: none"> <li>1. Key issues for Education/Schools over coming year (Helen Morgan Rees)</li> <li>2. Panel discuss and agree work programme for coming year</li> </ol>                                                                                                                          |
| <b>Meeting 2</b><br>7 Jun 18              | <p><b>Session around Science in Schools</b></p> <ul style="list-style-type: none"> <li>• Performance of schools in Science and comparisons with others</li> <li>• Speak to 2 Headteacher of schools who excel in Science</li> <li>• Leaders of Learning for Science (ERW)</li> </ul>                                   |
| <b>Meeting 3</b><br>12 July 18<br>10.30am | <p><b>School 1- Gowerton Primary School</b><br/>Green School – Foundation Phase (panel agreed to visit a school that is doing particularly well in this area)</p>                                                                                                                                                      |
| <b>Meeting 4</b><br>18 Jul 18<br>2.00pm   | Pre-decision Scrutiny on the Future Structure and Delivery of the Ethnic Minority Achievement Unit (EMAU) report to Cabinet on 18 July 2018                                                                                                                                                                            |
| <b>Meeting 5</b><br>27 Sep 18 4pm         | Briefing on the National Mission for Wales including an update on the New Standards for Teaching and Learning (Jan Waldron, Challenge Advisor)                                                                                                                                                                         |
| <b>Meeting 6</b><br>17 Oct 18<br>2.00pm   | <p><b>School 2 – Ysgol Crug Glas Special School</b><br/>Amber: visit school and meet with Headteacher and Chair of Governors School include the Challenge Advisor<br/><i>(Meet 1.30pm for preparation session with Challenge Advisor)</i></p>                                                                          |
| <b>Meeting 7</b><br>19 Nov 18<br>4.00pm   | <ol style="list-style-type: none"> <li>1. Public Questions</li> <li>2. Education Other Than at School (EOTAS) - Update on progress with changes to service and accommodation (Cabinet Member Invited)</li> <li>3. New Wellbeing and Behaviour Strategy</li> <li>4. Annual Audit report (for information)</li> </ol>    |
| <b>Meeting 8</b><br>11 Dec18<br>4.00pm    | <ol style="list-style-type: none"> <li>1. School Improvement Service Performance update (Annual)</li> <li>2. ERW Progress against Business Plan priorities locally and regionally</li> <li>3. Briefing on the Pupil Deprivation Grant spend and the availability and quality of after school/homework clubs</li> </ol> |

|                                               |                                                                                                                                                                                                                                                            |
|-----------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Meeting 9 Extra</b><br>17 Dec 18<br>3.00pm | Annual Budget as it relates to Education matters                                                                                                                                                                                                           |
| <b>Meeting 9</b><br>18 Jan 19<br>4.00pm       | <ol style="list-style-type: none"> <li>1. Public Questions</li> <li>2. Briefing on Looked After Children Educational Outcomes</li> <li>3. Annual Education Performance (incl. verified data) and School Categorisation (Cabinet Member invited)</li> </ol> |
| <b>Meeting 10</b><br>11 Feb 19<br>3.00pm      | Scrutiny of Annual Budget as it relates to education matters – Additional meeting (Cabinet member invited)                                                                                                                                                 |
| <b>Meeting 11</b><br>20 Feb 19<br>2.00pm      | <b>School 3 – Visit to Morriston Primary School</b><br>Revisit Morriston Primary School progress and following up on the embedding of improvements ( <i>as you agreed on 15 Feb</i> )                                                                      |
| <b>Meeting 12</b><br>21 Mar 19<br>4.00pm      | <b>School 4 – to be agreed</b><br>Amber: Speak to Head and Chair of Governors of a School including preparation session with the challenge advisor                                                                                                         |
| <b>Meeting 13</b><br>2 May 19<br>4.00pm       | <ol style="list-style-type: none"> <li>1. Readiness for School, follow up on outstanding issues resulting from a scrutiny inquiry (<i>referred to the panel on 27 Mar 18</i>)</li> <li>2. Review of the year and planning for the year ahead</li> </ol>    |

### In addition dates to be arranged for:

|                                                |                                                                                                                                                                                                                                                                                                                                                                            |
|------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Date TBA                                       | <p>Items referred to the Panel from Scrutiny Work Planning Conference on 11 June</p> <ul style="list-style-type: none"> <li>– Special Educational Needs (concern about increase in no. of cases going to tribunal)</li> <li>– School Transport</li> <li>✓ Free School Meals / LAC attainment and PDG spend(already scheduled on panel work programme – Dec/Jan)</li> </ul> |
| Date TBA                                       | <p>Items suggested by panel members to added at Schools Work Programme discussion on 17 May:</p> <ul style="list-style-type: none"> <li>✓ ERW (Item added to work programme for Sep 18)</li> <li>✓ After schools and homework clubs (Added to the work programme for Dec 18)</li> <li>- Briefing on Welsh Language Education</li> </ul>                                    |
| Date TBA<br>( <i>awaiting a cabinet date</i> ) | Pre-decision Scrutiny Alternative Learning Needs Reform Commissioning Review and/or ALN report legislation and implications/preparations                                                                                                                                                                                                                                   |
| Date TBA                                       | Post 16 – Pupil performance at sixth form and colleges                                                                                                                                                                                                                                                                                                                     |

# Agenda Item 7



## Report of the Chief Auditor

Audit Committee – 9 October 2018

### Annual Report of School Audits 2017/18

|                                    |                                                                                                                                                                        |
|------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Purpose:</b>                    | This report provides a summary of the school audits undertaken by the Internal Audit Section during 2017/18 and identifies some common issues found during the audits. |
| <b>Policy Framework:</b>           | None                                                                                                                                                                   |
| <b>Consultation:</b>               | Legal, Finance and Access to Services                                                                                                                                  |
| <b>Recommendation(s):</b>          | It is recommended that Committee review and discuss the school audits undertaken during 2017/18.                                                                       |
| <b>Report Author:</b>              | Nick Davies                                                                                                                                                            |
| <b>Finance Officer:</b>            | Simon Cockings                                                                                                                                                         |
| <b>Legal Officer:</b>              | Debbie Smith                                                                                                                                                           |
| <b>Access to Services Officer:</b> | Rhian Millar                                                                                                                                                           |

## **1. Introduction**

- 1.1 An audit of each primary, secondary and special school in Swansea is undertaken every 3 years. A standard audit programme exists for each school sector.
- 1.2 For a number of years, a report summarising the school audits undertaken each year has been prepared for the Chief Education Officer. The report also identifies the common themes which have been found during the audits.

## **2. School Audits Annual Report 2017/18**

- 2.1 The School Audits Annual Report 2017/18 is attached in Appendix A.

## **3. Equality and Engagement Implications**

- 3.1 There are no equality and engagement implications associated with this report

## **4. Financial Implications**

- 4.1 There are no financial implications associated with this report.

## **5. Legal Implications**

- 5.1 There are no legal implications associated with this report.

**Background Papers:** Internal Audit Plan 2017/18

**Appendices:** Appendix A - Annual Report of Schools Audits 2017/18



**CITY & COUNTY OF SWANSEA  
FINAL INTERNAL AUDIT REPORT  
EDUCATION: ANNUAL REPORT OF SCHOOL AUDITS 2017/18**

## 1.0 INTRODUCTION

- 1.1 Each year a significant amount of audit resource is spent on School audits. This service is paid for by schools from their delegated budget under the current Service Level Agreement in place. The Internal Audit Section reviews all Primary, Special and Secondary Schools within the City and County of Swansea.
- 1.2 For routine audits, a risk assessment is carried out at individual School level and based on this a rolling programme of School audits is undertaken. Primary Schools and Secondary Schools are currently audited every three years.
- 1.3 The scope for School audits during the 2017/18 financial year included the following areas:
- Governance
  - Health and Safety / Fire / Premises Security Assessments
  - Management of Delegated Resources
  - Collection and Recording of Income and Banking's
  - Authorisation of Free School Meals
  - Petty Cash
  - Lettings
  - Budget Preparation and Monitoring
  - Purchasing of Goods and Services (inc. Multi-pay Cards)
  - Payment of Creditors
  - School Inventory
  - Verification of PLASC to Budget Share
  - Verification of Employees
  - School Fund (audit and presentation to Governing Body)
  - Computer Security and Data Protection
- 1.4 There are slight variations between the work undertaken at Primary Schools and Secondary Schools. However, the scope of the audit remains more or less the same for both sectors.
- 1.5 In addition to the Internal Audit review, Schools are also subject to audit inspection by Estyn. From September 2016, the period of inspection has changed from a six to a seven-year cycle. Inspections are based on the common inspection framework that was revised in September 2017.
- 1.6 At the routine audit, a formal level of assurance is provided for the overall financial management and other areas within the School as defined above. The assurance levels vary across four categories, namely High, Substantial, Moderate and Limited assurance.
- 1.7 Recommendations are contained within a Management Action Plan and are prioritised according to perceived risk. Therefore, the Headteacher has an indication of Internal Audit's view of the level of risk that the School could be exposed to if the recommendation is not implemented.

- 1.8 Once the Action Plan has been finalised with the Headteacher, a copy of the final Audit Report and Action Plan is forwarded to the Chair of the School's Governing Body and the Chief Education Officer for information. Agreed actions are followed up in accordance with the Management Action Plan timetable to ensure that they have been satisfactorily implemented. On distribution of the report, it is requested that the Chair of the Governing Body ensures that the final report is presented at the next full Governing Body meeting. We also ask that the Chair ensures that all actions have been implemented within the timescales stipulated in the Management Action Plan.
- 1.9 As part of their monitoring procedures, the School Support Unit request minutes of the Governing Body meetings in order to confirm that the audit report has been presented and discussed. Of the 34 Primary Schools, 6 Comprehensive Schools and 1 Special School that were audited and finalised in 2017/18, the School Support Unit had received minutes confirming that the audit report had been presented for 23 Primary Schools and 4 Comprehensive Schools. The Unit has requested minutes from those Schools that have not forwarded them to date and this continues to be followed up on an ongoing basis.
- 1.10 As the operation of local bank accounts remains a key area for examination during audits, Primary cheque book School audits last three days. The budgeted time for Secondary School audits is ten days.
- 1.11 The remainder of this Annual Report provides information on the various developments that have occurred during the year and provides further details of the results of the School audits undertaken and finalised during 2017/18.

## **2.0 SUMMARY OF FINDINGS**

- 2.1 Of the 34 Primary Schools audited and finalised in year, 29 achieved a substantial level of assurance, 5 achieved a high level of assurance and no schools were awarded a moderate or limited level of assurance which is a positive result. This is generally comparable to the level of assurance awarded to those Schools audited in 2016/17.
- 2.2 Of the 6 Comprehensive Schools audited and finalised in year, 5 received a high level of assurance and 1 received a substantial level of assurance. This is a much-improved picture when compared to the levels of assurance awarded in 2016/17.
- 2.3 One Special School was audited in 2017/18, which achieved a substantial level of assurance. The only Special School audited in 2016/17, also achieved a substantial level of assurance.
- 2.4 It is pleasing to note that this year, all of the Schools audited and finalised achieved a substantial or high level of assurance. This continues to illustrate the fact that the Schools in question were being managed appropriately and were operating effectively.
- 2.5 As has historically been the case, procurement was the main source of the recommendations made across all Schools in 2017/18. As seen in tables 3.6, 4.4 & 5.4 later in the report, 31% of all recommendations made for Primary, Secondary and Special Schools were in relation to procurement. It should be noted that due to the delegated nature of School budgets, there would inevitably always be some issues in this area. However, considerable efforts have been made by the Authority in an attempt to improve Schools awareness of their responsibilities in this area.

- 2.6 Periodic financial training is provided to all Primary School Headteachers by the School Funding & Information Unit, which clearly communicates the procedures that should be followed by Schools in relation to ordering and procurement. In addition to this, the unit now also offers newly appointed Headteachers a bespoke finance session and monitors attendance reminding them to attend refresher sessions every three years. However, it should be noted that attendance at such training is not compulsory.
- 2.7 It was noted in previous Annual Reports that the Authority's Contract Procedure Rules were amended in April 2014. The amendments resulted in changes to the required process for obtaining quotations and the retention of evidence, primarily for 'Band A' purchases (below £5k) and also for the 'Single Tender Application' process. It was envisaged that these amendments would simplify the procurement and record keeping process. Despite this, as reported in previous years some Schools are still failing to seek the relevant number of quotations even though the threshold has been increased to a level that remains lower than considered appropriate in discussions with Headteacher representatives.
- 2.8 Since April 2015, there has been a considerable change in the Schools Procurement Service Level Agreement (SLA) at the request of the Schools through the Joint Finance Group. Schools have opted for a basic SLA, which no longer funds a dedicated Schools Procurement Officer. Understandably, because of the ongoing budgetary pressures and consideration of value for money, a number of Schools have chosen to opt out of the Procurement SLA.
- 2.9 For 2017/18, 7 Primary Schools had opted out of the Procurement SLA compared to 16 Schools in 2016/17. All Comprehensive and Special Schools have opted into the SLA. The areas covered by the current SLA are detailed in Appendix 5. From April 2016, Procurement also introduced a new facility whereby those Schools that have opted out of the SLA may take advantage of Procurement's services for an hourly rate.
- 2.10 It was noted in the previous two reports that Contract Procedure Rules (CPR's) were in the process of being reviewed and updated. This process is still ongoing and Procurement have indicated that the updated CPR's are due to be finalised shortly. Once this process has been completed, it is proposed that School specific CPR's and associated guidance notes will be produced detailing how the amended CPR's should be interpreted specifically for Schools.
- 2.11 The sections that follow provide a more detailed examination in relation to the findings of our audits across the Schools in Swansea for 2017/18.

### 3.0 PRIMARY SCHOOLS

3.1 Thirty Four Primary School audits were finalised by Internal Audit during 2017/18, all of which operated their own bank account. The assurance rating that was awarded to each of the Schools is shown in Appendix 1.

3.2 The table below shows the total number of Primary Schools audited within the last two financial years and the assurance levels that had been awarded.

| <b>Level of Assurance</b> | <b>Schools 2016/17</b> | <b>Schools 2017/18</b> |
|---------------------------|------------------------|------------------------|
| High                      | 4                      | 5                      |
| Substantial               | 13                     | 29                     |
| Moderate                  | 1                      | 0                      |
| Limited                   | 0                      | 0                      |
| <b>Total</b>              | <b>18</b>              | <b>34</b>              |

3.3 The level of assurance awarded confirms the view that Primary Schools in Swansea are generally well run with sound internal controls and financial management in the majority of cases. It is pleasing to note that all of the Primary Schools audited in year were rated as providing either a High or Substantial level of assurance.

3.4 A total of 352 recommendations were made as a result of the audit process, representing an average of 10 recommendations per School. All of the audit reports have been finalised at the date of this report, with agreement reached with Headteachers to implement all but one of the recommendations made.

3.5 It should be noted that a direct correlation between the number of recommendations identified at each School and the overall level of assurance cannot always be made. This is due to differences in the rating of the individual recommendations i.e. High/Medium/Low Risk or Good Practice. Therefore, the number of recommendations made for each School has not been reported.

3.6 An analysis of the areas where recommendations have been made is summarised in the table below. As can be seen, the main area where issues were identified are in relation to Procurement, as has been the case in previous years. Please also see Appendix 3, which details the main areas reported on within each category below.

| <b>Primary Schools</b>              |                                                            |                      |                                                            |                      |
|-------------------------------------|------------------------------------------------------------|----------------------|------------------------------------------------------------|----------------------|
| <b>Audit Area</b>                   | <b>Total Rec's<br/>2016/17<br/>based on<br/>18 Schools</b> | <b>2016/17<br/>%</b> | <b>Total Rec's<br/>2017/18<br/>based on<br/>34 Schools</b> | <b>2017/18<br/>%</b> |
| Governance                          | 8                                                          | 5%                   | 10                                                         | 3%                   |
| Health & Safety / Premises Security | 7                                                          | 4%                   | 14                                                         | 4%                   |
| Procurement                         | 55                                                         | 34%                  | 107                                                        | 30%                  |
| Multi-Pay Cards                     | N/A                                                        | N/A                  | 14                                                         | 4%                   |
| School Funds                        | 10                                                         | 6%                   | 46                                                         | 13%                  |
| Management of Delegated Resources   | 1                                                          | 1%                   | 16                                                         | 5%                   |
| School Meals (including banking)    | 19                                                         | 12%                  | 21                                                         | 6%                   |
| Inventory                           | 20                                                         | 13%                  | 35                                                         | 10%                  |
| Income (including Lettings)         | 20                                                         | 13%                  | 52                                                         | 15%                  |
| IT                                  | 16                                                         | 10%                  | 29                                                         | 8%                   |
| Other                               | 4                                                          | 2%                   | 7                                                          | 2%                   |
| <b>TOTAL</b>                        | <b>160</b>                                                 | <b>100%</b>          | <b>351</b>                                                 | <b>100%</b>          |

- 3.7 Procurement was again identified as the main issue in a number of Schools, although it must be noted that the percentage of recommendations has dropped from 34% in 16/17 to 30% last year. Headteachers are continually reminded of the requirement to comply with the Scheme for the Financing of Schools, Contract Procedure Rules (CPR's), Financial Regulations and Accounting Instructions. Also, the Procurement Section and their Procurement Guide are available to assist Schools with any procurement issues.
- 3.8 The main areas where problems have arisen regarding procurement are highlighted below:-
- Not obtaining the relevant number of quotations where expected. This was mainly noted where goods or services were procured or accumulated annual spend for a particular 'item' exceeded £5k per year.
  - Not raising authorised purchase orders at the point of commitment or at all. This is also important as it allows for effective budget monitoring and proper certification procedures. It is also a record of what has been ordered, helps to minimise disputes and to facilitate matching to the invoice both in terms of price and quantity.
  - Not obtaining the relevant dispensation, waiver etc where CPR's were not followed. (For procurement of unique items available from a single supplier for example).
  - The use of suppliers that do not have a corporate contract with the Authority without undertaking any form of tendering exercise. Note that due to delegation, the use of contracted suppliers by Schools is not compulsory. However, should they opt to use alternative suppliers, Schools must undertake their own tendering exercise to ensure best value is obtained.
- 3.9 The average number of recommendations made per School has increased in year from 9 to 10. Whilst generally, the percentage of recommendations made across the various areas has remained fairly static year on year, some additional detail in relation to some of the more notable changes may be seen below:
- Schools Funds – As stated in last year's report, we have increased our testing in this area and the issues encountered were in relation to the following. Accounts not properly being audited and reconciled regularly, bank mandates for the accounts not being up to date, the lack of any fund constitutions (or terms of reference) or evidence of management committees in place.
  - Management of Delegated Resources – Primarily in relation to approved Headteachers delegated limits being higher than the recommended limit, copies of governing body of minutes not being forwarded to audit for inspection and no evidence of annual budgets being formally approved by the governing body.
- 3.10 Whilst we report on non-compliance in these areas, what the above summary figures do not reflect is the number of instances of non-compliance per School. i.e. we would include a recommendation regardless of the number of instances of non-compliance, with the extent and significance of the issue being highlighted in the body of the report.

## 4.0 SECONDARY SCHOOLS

4.1 Six Secondary Schools were visited by Internal Audit during 2017/18. The level of assurance awarded for each of the Schools can be seen in Appendix 2.

4.2 The table that follows, shows the total number of Secondary Schools audited within the last two financial years, together with the assurance levels that have been awarded.

| <i>Level of Assurance</i> | <i>Schools 2016/17</i> | <i>Schools 2017/18</i> |
|---------------------------|------------------------|------------------------|
| High                      | 1                      | 5                      |
| Substantial               | 3                      | 1                      |
| Moderate                  | 0                      | 0                      |
| Limited                   | 0                      | 0                      |
| <b>Total</b>              | <b>4</b>               | <b>6</b>               |

4.3 A total of 47 recommendations were made, which represents an average of 8 recommendations per School. All of the audit reports have been finalised at the date of this report, with agreements reached with Headteachers to implement all of the recommendations made.

4.4 An analysis of findings to identify areas for improvement is shown below:-

| <b>Secondary Schools</b>            |                                                             |                      |                                                             |                      |
|-------------------------------------|-------------------------------------------------------------|----------------------|-------------------------------------------------------------|----------------------|
| <i>Audit Area</i>                   | <i>Total Rec's<br/>2016/17<br/>(based on 4<br/>Schools)</i> | <i>2016/17<br/>%</i> | <i>Total Rec's<br/>2017/18<br/>(based on 6<br/>Schools)</i> | <i>2017/18<br/>%</i> |
| Governance                          | 0                                                           | 0%                   | 0                                                           | 0%                   |
| Health & Safety / Premises Security | 0                                                           | 0%                   | 4                                                           | 9%                   |
| Procurement                         | 14                                                          | 33%                  | 17                                                          | 37%                  |
| Multi-Pay Cards                     | N/A                                                         | N/A                  | 2                                                           | 4%                   |
| School Funds                        | 4                                                           | 10%                  | 1                                                           | 2%                   |
| Management of Delegated Resources   | 0                                                           | 0%                   | 2                                                           | 4%                   |
| School Meals (including banking)    | 0                                                           | 0%                   | 0                                                           | 0%                   |
| Inventory                           | 8                                                           | 19%                  | 4                                                           | 9%                   |
| Income (including Lettings)         | 10                                                          | 24%                  | 11                                                          | 24%                  |
| IT                                  | 5                                                           | 12%                  | 5                                                           | 11%                  |
| Other                               | 1                                                           | 2%                   | 0                                                           | 0%                   |
| <b>TOTAL</b>                        | <b>42</b>                                                   | <b>100%</b>          | <b>46</b>                                                   | <b>100%</b>          |

4.5 As with Primary Schools, procurement has been identified as the main area where issues have arisen. The same comments as noted in 3.7 and 3.8 apply here.

4.6 It is also noted that the average number of recommendations made per School has decreased in relation to 2016/17 figures. Please see below for further details:

- Inventory – Has decreased from 19% to 9% highlighting that records in general were up to date and in good order.
- School Funds – Falling from 10% in 16/17 to 2% in 17/18. The only recommendation relating to governing body minutes not being forwarded to audit for review.

- Health & Safety – This area did increase in risk slightly as there were four recommendations reported compared to none the previous year, i.e. safe keys being held on site, fire risk assessments not being completed along with PAT tests.

## 5.0 SPECIAL SCHOOLS

- 5.1 One Special School was visited by Internal Audit during 2017/18. The level of assurance awarded can be seen in Appendix 2.
- 5.2 The table that follows shows the total number of Special Schools audited within the last two years, together with the assurance levels that have been awarded.

| <i>Level of Assurance</i> | <i>Schools 2016/17</i> | <i>Schools 2017/18</i> |
|---------------------------|------------------------|------------------------|
| High                      | 0                      | 0                      |
| Substantial               | 1                      | 1                      |
| Moderate                  | 0                      | 0                      |
| Limited                   | 0                      | 0                      |
| <b>Total</b>              | <b>1</b>               | <b>1</b>               |

- 5.3 A total of 5 recommendations were made and the audit report has been finalised at the date of this report, with agreement reached with Headteacher to implement all of the recommendations made.
- 5.4 An analysis of findings to identify areas for improvement is shown below:-

| <b>Special Schools</b>              |                                                            |                      |                                                            |                      |
|-------------------------------------|------------------------------------------------------------|----------------------|------------------------------------------------------------|----------------------|
| <i>Audit Area</i>                   | <i>Total Rec's<br/>2016/17<br/>(based on 1<br/>School)</i> | <i>2016/17<br/>%</i> | <i>Total Rec's<br/>2017/18<br/>(based on 1<br/>School)</i> | <i>2017/18<br/>%</i> |
| Governance                          | 0                                                          | 0%                   | 0                                                          | 0%                   |
| Health & Safety / Premises Security | 0                                                          | 0%                   | 0                                                          | 0%                   |
| Procurement                         | 1                                                          | 10%                  | 2                                                          | 40%                  |
| Multi-Pay Cards                     | N/A                                                        | N/A                  | 0                                                          | 0%                   |
| School Funds                        | 1                                                          | 10%                  | 0                                                          | 0%                   |
| Management of Delegated Resources   | 0                                                          | 0%                   | 0                                                          | 0%                   |
| School Meals (including banking)    | 1                                                          | 10%                  | 0                                                          | 0%                   |
| Inventory                           | 2                                                          | 20%                  | 1                                                          | 20%                  |
| Income (including Lettings)         | 2                                                          | 20%                  | 0                                                          | 0%                   |
| IT                                  | 2                                                          | 20%                  | 1                                                          | 20%                  |
| Other                               | 1                                                          | 10%                  | 1                                                          | 20%                  |
| <b>TOTAL</b>                        | <b>10</b>                                                  | <b>100%</b>          | <b>5</b>                                                   | <b>100%</b>          |

- 5.5 For this particular School, generally there were some issues surrounding procurement, inventory records and IT.

## **6.0 DEVELOPMENTS / OTHER WORK UNDERTAKEN DURING THE YEAR**

- 6.1 During the year, in addition to the School audits covered as part of our cyclical review, other work was also undertaken as noted below.
- 6.2 Ad-hoc work covering a range of areas as and when they arise, at the request of Schools or the Education Department.
- 6.3 Internal Audit have attended a number of admin forums giving training to school office staff and Headteachers on the main reported areas highlighted during routine audits. Training to staff will continue via this forum.
- 6.4 There is a corporate project underway seeking to identify if there are benefits from schools using the central Oracle system instead of their separate SIMS/cheque book system, with the initial view being that this may improve procurement controls.
- 6.5 No follow up visits were required to be undertaken during the year as all reported ratings were either substantial or high levels of assurance. Please note that these schools are still subject to the standard follow up process, however would not have been revisited for detailed testing.
- 6.6 School programme updates to contain further areas of testing in relation to the introduction of sQuid, an online payment system for parents to pay for dinner money and school trips.

## **7.0 SCHOOL SELF-ASSESSMENT QUESTIONNAIRES**

- 7.1 One of the key targets over the last few years was to introduce a self-assessment questionnaire for schools. As reported previously, it was decided that this approach should be adopted for Primary and Special Schools in an attempt to more effectively utilise reduced resources and to balance the annual audit plan. The questionnaire was finalised and the new audit approach was rolled out to schools in 2016/17.
- 7.2 Each year since the introduction, we review the questionnaire to ensure resources are being focused on key areas that are relevant in the modern School environment.
- 7.3 At the time of writing this report, the next phase of questionnaires have been issued to those Schools that are due to be audited in 2018/19.
- 7.4 The overall reaction to the questionnaire continues to be very good, with encouraging feedback being received from all of the Schools that have contacted the Audit Team. Consultation with the Primary Support Officers has also indicated that the Schools have reacted positively to this audit approach.



## 8. QUALITY MEASURES

- 8.1 At the end of each audit, Headteachers are provided with a Quality Control Questionnaire (QCQ) that allows them to comment on the quality of the audit service provided. A copy of the Questionnaire is attached, see Appendix 4.
- 8.2 Each completed questionnaire is reviewed and comments are taken into account when planning future audits, where appropriate.
- 8.3 QCQ results are fed into a Performance Indicator which shows the percentage of clients expressing 'at least satisfaction' with the conduct of audit assignments undertaken by Internal Audit. For this exercise, this relates to the QCQ's issued for audits finalised in 2017/18 as at the time of writing this report.
- 8.4 The Performance Target for Schools, at least satisfied with the quality of audit service for 2017/18 was 98%.
- 8.5 The response rate to our QCQ surveys over the last two years are as follows:

|                | <b>2016-17</b>      |                         |                   | <b>2017-18</b>      |                         |                   |
|----------------|---------------------|-------------------------|-------------------|---------------------|-------------------------|-------------------|
|                | <b>QCQ's issued</b> | <b>No. of Responses</b> | <b>Response %</b> | <b>QCQ's issued</b> | <b>No. of Responses</b> | <b>Response %</b> |
| Primary        | 18                  | 3                       | 17%               | 34                  | 32                      | 94%               |
| Secondary      | 4                   | 2                       | 50%               | 6                   | 5                       | 83%               |
| Special        | 1                   | 0                       | 0%                | 1                   | 1                       | 100%              |
| <b>Overall</b> | <b>23</b>           | <b>5</b>                | <b>22%</b>        | <b>41</b>           | <b>38</b>               | <b>93%</b>        |

- 8.6 Historically, return rates on Quality Control Questionnaires (QCQ's) issued have been low – See above table for 2016/17 results. Since the previous schools report, we have been making a concerted effort to ensure that where possible, comments from our Headteachers in relation to the service provided are returned, by following up those Schools that have not submitted their questionnaire returns. As you can see from the results in 2017/18, we have had a 93% return rate, which is a significant improvement on recent years.
- 8.7 It should be noted, that for those QCQ's received for both Primary, Secondary and Special Schools, 98% were at least satisfied with the overall usefulness of the audit which is in line with our internal performance target of 98%.

## **9. CONCLUSION**

- 9.1 This annual report provides information on School audits undertaken and finalised during 2017/18, and identifies the main areas for improvement in relation to the financial management and procurement of goods and services for schools..
- 9.2 A good working relationship continues to exist between Schools and the Internal Audit Section, with Headteachers generally responding positively to audit recommendations. However, as highlighted in previous years the raising of orders and compliance with Contract Procedure Rules does remain an issue and in many instances these have been repeatedly re-reported.
- 9.3 As noted in previous reports, procurement is still the biggest issue arising from School audits. However, the issues highlighted should be considered in the context of the overall School budget. The significant majority of any School's delegated budget is spent on staff salaries (85%) which, given the ever increasing budgetary pressures being felt by Schools, leaves a relatively small amount of money for the School's other procurement activities.
- 9.4 It is again the opinion of the Internal Audit Section that financial management systems established in Schools continue to provide a generally high level of assurance, subject to the procurement compliance issues as noted above.

## PRIMARY SCHOOLS AUDITED AND FINALISED 2017/18

| School                         | Date Report Finalised | Level of Assurance    |
|--------------------------------|-----------------------|-----------------------|
| Bishopston Primary             | 28/04/2017            | High Assurance        |
| Pengelli Primary               | 10/05/2017            | High Assurance        |
| Birchgrove Primary             | 08/09/2017            | High Assurance        |
| Glais Primary                  | 18/12/2017            | High Assurance        |
| Craigcefnparc Primary          | 19/12/2017            | High Assurance        |
| St. Thomas' Primary            | 10/04/2017            | Substantial Assurance |
| Casllwchwr Primary             | 30/05/2017            | Substantial Assurance |
| Wauanarwydd Primary            | 30/05/2017            | Substantial Assurance |
| St. Joseph's Cathedral Primary | 14/06/2017            | Substantial Assurance |
| Y.G.G. Gellionnen              | 19/06/2017            | Substantial Assurance |
| Gendros Primary                | 17/10/2017            | Substantial Assurance |
| Llangyfelach Primary           | 17/10/2017            | Substantial Assurance |
| Brynmill Primary               | 24/10/2017            | Substantial Assurance |
| Clase Primary                  | 27/10/2017            | Substantial Assurance |
| Plasmarl Primary               | 20/11/2017            | Substantial Assurance |
| Parkland Primary               | 23/11/2017            | Substantial Assurance |
| Craigfelen Primary             | 04/12/2017            | Substantial Assurance |
| Gorseinon Primary              | 07/12/2017            | Substantial Assurance |
| Penllergaer Primary            | 11/12/2017            | Substantial Assurance |
| Y.G.G. Tan-y-Lan Primary       | 14/12/2017            | Substantial Assurance |
| Ynystawe Primary               | 19/12/2017            | Substantial Assurance |
| St. Illtyd's R.C. Primary      | 24/01/2018            | Substantial Assurance |
| Llanrhidian Primary            | 29/01/2018            | Substantial Assurance |
| Pentre'r Graig Primary         | 29/01/2018            | Substantial Assurance |
| Oystermouth Primary            | 30/01/2018            | Substantial Assurance |
| Whitestone Primary             | 09/02/2018            | Substantial Assurance |
| Tre Uchaf Primary              | 09/02/2018            | Substantial Assurance |
| Y.G.G. Lon Las Primary         | 16/02/2018            | Substantial Assurance |
| Clydach Primary                | 19/02/2018            | Substantial Assurance |
| Blaenymaes Primary             | 06/03/2018            | Substantial Assurance |
| Ysgol Gymraeg y Cwm Primary    | 12/03/2018            | Substantial Assurance |
| Pontybrenin Primary            | 13/03/2018            | Substantial Assurance |
| Y.G.G. Tirdeunaw               | 20/03/2018            | Substantial Assurance |
| Cwmrhydyceirw Primary          | 23/03/2018            | Substantial Assurance |

**SECONDARY SCHOOLS AUDITED AND FINALISED 2017/18**

| <b>School</b>               | <b>Date Report Finalised</b> | <b>Level of Assurance</b> |
|-----------------------------|------------------------------|---------------------------|
| Pentrehafod Comprehensive   | 03/07/2017                   | High Assurance            |
| Pontarddulais Comprehensive | 01/02/2018                   | High Assurance            |
| YGG Bryn Tawe Comprehensive | 14/03/2018                   | High Assurance            |
| Cefn Hengoed Comprehensive  | 15/03/2018                   | High Assurance            |
| Penyrheol Comprehensive     | 21/03/2018                   | High Assurance            |
| Bishopston Comprehensive    | 21/09/2017                   | Substantial Assurance     |

**SPECIAL SCHOOLS AUDITED AND FINALISED 2017/18**

| <b>School</b>   | <b>Date Report Finalised</b> | <b>Level of Assurance</b> |
|-----------------|------------------------------|---------------------------|
| Ysgol Crug Glas | 24/01/18                     | Substantial               |

**AREAS REVIEWED AT PRIMARY / SECONDARY / SPECIAL SCHOOLS DURING  
2017/18**

| <b>AUDIT AREA</b>                          | <b>MAIN CATEGORIES REVIEWED IN EACH AUDIT AREA</b>                                                                                                                                                                                                                                      |
|--------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Governance</b>                          | Role and responsibilities of Governors, Committees and staff<br>Policies and Committees<br>Governors involvement in setting the School Development Plan<br>Finance, Administration and CRB                                                                                              |
| <b>Health &amp; Safety/ Fire/ Premises</b> | Health and safety inspections<br>Fire Risk assessments and Portable Appliance Testing<br>Self-review of security issues                                                                                                                                                                 |
| <b>Procurement</b>                         | Ordering procedures (Non orders)<br>Payment procedures<br>Authorisation of orders / invoices<br>Governing Body approval of payments more than £5k<br>Compliance with Contract Procedure Rules<br>Insurance arrangements for Non-Authority 'approved' suppliers.<br>Cheque stock records |
| <b>Multi-pay Cards</b>                     | Card Security<br>Segregation of duties<br>Reconciliations                                                                                                                                                                                                                               |
| <b>School Funds</b>                        | School fund signatories<br>Audit and presentation of the School fund<br>Distribution of School savings<br>Fund Constitutions & Management Committees                                                                                                                                    |
| <b>Management of the School</b>            | Budget setting, approval and monitoring<br>Authorised signatories<br>Register of Business Interests<br>Delegated powers                                                                                                                                                                 |
| <b>Inventory</b>                           | Format and security of the School inventory<br>Keeping the inventory up-to-date inc disposal procedures<br>Physical checks                                                                                                                                                              |
| <b>School Meals</b>                        | Dinner money arrears<br>Certification of CS3's by Headteachers<br>CS3 meals served to sQuid records<br>Weekly banking of Dinner monies (if applicable)<br>Entitlement to Free School Meals<br>The implementation and management of sQuid                                                |
| <b>Bank</b>                                | Cheque signatories<br>Bank reconciliations                                                                                                                                                                                                                                              |

|               |                                                                                              |
|---------------|----------------------------------------------------------------------------------------------|
| <b>Income</b> | Banking and security of income held on site.                                                 |
|               | C&D Senior Management review                                                                 |
|               | Letting applications                                                                         |
|               | Other income                                                                                 |
|               | Raising and monitoring of invoices                                                           |
|               |                                                                                              |
| <b>IT</b>     | Computer-based records to be password-protected/ backed up/passwords to be changed regularly |
|               | Users no longer employed to be deleted by the system manager                                 |
|               | Data Protection                                                                              |
|               |                                                                                              |
| <b>Other</b>  | Self-employment status                                                                       |
|               | Verification of employees and payment of travel expenses                                     |
|               | Leases                                                                                       |
|               |                                                                                              |
| <b>PLASC</b>  | Verification PLASC return to Budget share                                                    |

**CITY AND COUNTY OF SWANSEA**  
**DINAS A SIR ABERTAWE**

## QUALITY CONTROL QUESTIONNAIRE - INTERNAL AUDIT SECTION

We are keen to monitor and, where possible, improve the quality of our work. We have adopted a number of performance indicators that we report on monthly, quarterly & annually. One of these is your view of the overall quality etc. of our work.

For this reason please complete the questions below indicating your level of satisfaction with various aspects of our audit. Any additional comments you may have should also be included.

AUDIT: \_\_\_\_\_ DATE OF ISSUE: \_\_\_\_\_

AUDIT FILE REF. NO: \_\_\_\_\_ AUDITOR(S): \_\_\_\_\_

| ASPECT OF AUDIT                                                           | VERY SATISFIED | SATISFIED | DIS-SATISFIED | VERY DIS SATISFIED |
|---------------------------------------------------------------------------|----------------|-----------|---------------|--------------------|
| <b>AUDIT PLANNING</b><br>Appropriateness of scope and objectives of audit |                |           |               |                    |
| Usefulness of initial discussions with auditor(s)                         |                |           |               |                    |
| Timing of audit                                                           |                |           |               |                    |
| <b>CONDUCT OF AUDIT</b><br>Duration of audit                              |                |           |               |                    |
| General helpfulness of auditors                                           |                |           |               |                    |
| Consultation on findings                                                  |                |           |               |                    |
| <b>AUDIT REPORT</b><br>Fair presentation of findings                      |                |           |               |                    |
| Importance of findings                                                    |                |           |               |                    |
| Usefulness of recommendations                                             |                |           |               |                    |
| Consultation on findings and recommendations                              |                |           |               |                    |
| <b>OVERALL</b><br>How would you rate the overall usefulness of the audit? |                |           |               |                    |

**OTHER COMMENTS:**

SIGNED: \_\_\_\_\_ DATE: \_\_\_\_\_

DESIGNATION/POST TITLE: \_\_\_\_\_

***Please return to the Chief Internal Auditor, Room 102, The Guildhall or by email.***

The SLA no longer funds a specific Schools Procurement Officer, but covers the following:-

- Access to the Council's corporate, regional and national contracts and framework agreements held for an extensive range of goods and services that can be fully utilised by Schools throughout the City and County of Swansea. Contracts including but not limited to:-
  - (i) Electricity, Gas and Oil.
  - (ii) Window cleaning
  - (iii) Stationery
  - (iv) Washroom equipment & sanitary disposal
  - (v) MFDs
  - (vi) Catering and Cleaning materials
- Monitor corporate contracted suppliers with regard to adherence to contract specifications and prices.
- Provide a dedicated telephone helpline between 9am and 4.30pm, Monday to Friday, excluding Bank Holidays offering :-
  - (i) Procurement advice and guidance on all procurement matters, including product specifications, supplier sourcing and procedures.
  - (ii) Provide advice on the relevant documentation and for Schools to conduct background checks on potential suppliers when procuring individual School contracts (e.g. Health & Safety, Insurances, DBS)
- Updating and reviewing Contracting Procedure Rules for Schools when required by changes to Legislation, policy or procedures.