



**Dinas a Sir Abertawe**

**Hysbysiad o Gyfarfod**

Fe'ch gwahoddir i gyfarfod

## **Panel Perfformiad Craffu - Addysg**

**Lleoliad:** Ystafell Bwyllgor 3A, Neuadd y Ddinas, Abertawe

**Dyddiad:** Dydd Iau, 19 Rhagfyr 2019

**Amser:** 4.00 pm

**Cynullydd:** Y Cynghorydd Lyndon Jones MBE

**Aelodaeth:**

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

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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>Gwahardd Pleidleisiau Chwip a Datgan Chwipiau'r Pleidiau</b>   |                |
| <b>4</b> | <b>Cofnodion</b>  | <b>1 - 7</b>   |
| <b>5</b> | <b>Y gyllideb flynyddol fel y mae'n berthnasol i faterion addysg</b>  | <b>8 - 14</b>  |
| <b>6</b> | <b>Cynllun Gwaith 2019 - 2020</b>   | <b>15</b>      |
| <b>7</b> | <b>Er gwybodaeth - Adroddiad Archwiliad Blynyddol</b>   | <b>16 - 31</b> |

**Cyfarfod nesaf:** Dydd Iau, 16 Ionawr 2020 ar 4.00 pm

**Huw Evans**

**Pennaeth Gwasanaethau Democrataidd**

**Dydd Iau, 12 Rhagfyr 2019**

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**Cyswllt: Michelle Roberts, Scrutiny Officer**



# Agenda Item 4



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

*Please ask for:  
Gofynnwch am:* Scrutiny  
*Direct Line:  
Linell Uniongyrochol:* 01792 637256  
*e-Mail  
e-Bost:* scrutiny@swansea.gov.uk  
*Date  
Dyddiad:* 28 November 2019

## **BY EMAIL**

Summary: This is a letter from the Education Scrutiny Performance Panel to the Cabinet Member for Education Improvement, Learning and Skills following the meeting of the Panel on 14 November 2019. It is about the Healthy Schools Initiative and the National Mission for Education

Dear Councillor Raynor,

### **Education Scrutiny Performance Panel – 14 November 2019**

At our meeting on the 14 November 2019, we looked at two important issues in Education, Healthy Schools and our National Mission for Education, including a transformational curriculum. We would like to thank you and Helen Morgan Rees and also Catie Parry, Emma Griffiths and Catrin Ford from Public Health Wales for attending and discussing the issues with us.

#### **Healthy Schools Initiative**

We heard from the representatives from Public Health Wales about the Healthy Schools Initiative in Swansea including why it is so important, including the Healthy Schools Scheme itself and how it all fits with the Curriculum for Wales.

We were pleased to hear that all Swansea schools have engaged with the Swansea Schools Initiative to different levels, with 12 schools in Swansea achieving the National Quality Award (NQA), which equates 13% of Swansea Schools, with 99% of schools achieving phase 3 and above. We note that 20% of schools are currently working towards the NQA.

These figures all exceed the Welsh Government national targets for this initiative. We also heard that the majority of schools achieving the NQA are from the primary sector but this does not mean that work is not taking place in secondary schools, because they are engaged in the initiative but are not in a position to go for the award at present.

**OVERVIEW & SCRUTINY / TROSOLWG A CHRAFFU**  
**SWANSEA COUNCIL / CYNGOR ABERTAW**  
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[www.swansea.gov.uk](http://www.swansea.gov.uk) / [www.abertawe.gov.uk](http://www.abertawe.gov.uk)

We were assured the Public Health Team are giving support to any schools that may not have engaged fully or who may have stalled in this process. We asked how much emphasis is being put on mental health as part of this initiative and were pleased to hear that mental health and wellbeing is at the heart of and underpins the scheme itself.

We heard about the stark HAPPEN data (Collected from Health and Wellbeing data by Swansea University). This outlined some of the challenges Wales faces in relation to the health and well-being of our children. For example:

- 74.8% of children under 5 years old in Swansea are a healthy weight but 25.2% are an unhealthy weight.
- Only 28% of children taking part in the survey reported eating 5 portions of fruit and vegetables a day.
- On average, a 5-year-old child living in Swansea will have at least one missing, filled or decayed tooth.
- Also from the data collected by Cardiff University (call the SHRN data) showed that 44% of pupils in school years 7 to 11 reported eating 1 or more portions of fruit and vegetables a day. It also showed 44% of pupils report drinking alcohol.

We recognised this does show that our children and young people are eating the wrong foods and many have bad dental hygiene. We heard that this is preventable and clearly evidences why the work of Public Health Wales and Schools in addressing this is so important. We did agree that working with parents to encourage better eating habits is also very important.

We were told about some of the excellent health improvement work underway in Swansea schools and we agreed with the Public Health Team when they said that this issue must be kept high, if not top of, the agenda.

We were encouraged to hear that the new Curriculum for Wales 2022 was exciting because it will introduce a new way of learning for our children and young people, teaching them skills they can grow up with. We were particularly pleased that Health and Wellbeing will be one of the six areas of learning and experience and will have equal status on the curriculum to the other five areas.

We thanked Public Health Wales for attending and we look forward to hearing how the new curriculum will help this important agenda issue progress.

### **Our National Mission for Education**

We were interested to hear how schools in Swansea are addressing the actions in *Our National Mission* for education, including how they are preparing for the transformational curriculum. We felt that this was an opportune moment to look at how Swansea schools are responding to this challenge and we agreed with Helen when she said that it is important for us to take stock of where we are and what the capacity is in our schools to do this.

We recognise that this is a difficult period for local authorities, schools, governors and for scrutiny when looking to make judgements on the quality of local education, particularly through the change to more focus on progress of individual

learners rather than data. We felt that it was important to ensure that all school governors understand Our National Mission, the new curriculum and the greater emphasis on pupil emotional health and wellbeing. It will be important that both scrutiny and governing bodies ask the right questions of schools and the local education authority. We as a panel have therefore agreed to include a question when we speak with individual schools about how they are addressing the implementation of the new curriculum.

We heard about how Estyn is changing its inspection processes in line with the new curriculum, hearing that inspections will be more focused on conversations with schools rather than on judgements. Next year, there will be a series of non-judgemental visits that will be about dialogue with schools. This will be followed by a gap of a year to give breathing space and time to assess how this is working. Following this, the inspection regime will be different and more about an integrated partnership approach although they will still inspect schools where there are concerns. We felt that this was a positive move forward.

We were pleased to hear about the deeper self-evaluation in specific areas concentrating on where schools need to improve, rather than reams of reports on wider performance. We heard that this should be a more powerful improvement tool. We were told that moving to this new way of working might be a challenge for some schools, as they are still committed to the older system, where accountability reporting is firmly embedded.

We understand the New Curriculum is much less prescriptive and that some teachers will thrive in this new environment, although we do recognise that some will find this more challenging and will need more support to progress with this successfully.

We asked what there is available for those pupils who would like to follow a more non-academic route and heard that there are partnerships with a wide range of partners locally designed to ensure we are offering experience in the world of work including a number of apprenticeships. We agreed that this relationship building and the opportunities to develop apprenticeships in a variety of roles to be important and could be developed further. We believe that digital and construction industry opportunities, that do not necessarily have an academic route attached to them, could be particularly important for Swansea.

We were pleased with the progress being made in the development of *Our National Mission* here in Swansea along with the work that happening to prepare for the implementation of the new curriculum.

We welcome your thoughts on any of the issues raised in our letter but on this occasion do not require a formal written response.

Yours sincerely,

**COUNCILLOR LYNDON JONES**

Convener, Schools Scrutiny Performance Panel

✉ [Cllr.lyndon.jones@swansea.gov.uk](mailto:Cllr.lyndon.jones@swansea.gov.uk)



City and County of Swansea

## Minutes of the **Scrutiny Performance Panel – Education**

Committee Room 6, Guildhall, Swansea

Thursday, 14 November 2019 at 4.00 pm

**Present:** Councillor L R Jones (Chair) Presided

**Councillor(s)**

C Anderson  
L S Gibbard  
L James

**Councillor(s)**

A M Day  
D W Helliwell  
L J Tyler-Lloyd

**Councillor(s)**

S J Gallagher  
B Hopkins

**Other attendees:**

Cllr J Raynor

Cabinet Member Education Improvement, Learning and Skills

Catie Parry  
Emma Griffiths  
Catrin Ford

Public Health Wales (NHS)  
Public Health Wales (NHS)  
Public Health Wales (NHS)

**Officer(s)**

Helen Morgan - Rees  
Michelle Roberts

Head of Education Achievement & Partnership  
Scrutiny Officer

**Apologies for Absence**

Councillor(s): M Durke, S M Jones and M A Langstone  
Co-opted Member(s): D Anderson-Thomas and A Roberts

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**1 Disclosure of Personal and Prejudicial Interests**

Cllr Mike Day declared a personal interest in Item 4.

**2 Prohibition of Whipped Votes and Declaration of Party Whips**

None

**3 Letters and Minutes**

Minutes and letters were agreed

**4 Briefing on Healthy Schools Initiative**

Catie Parry, Emma Griffiths and Catrin Ford from Public Health Wales attended the Panel, gave a presentation and discussing the issues with the Panel. The following points were noted:

- The Panel heard from the representatives from Public Health Wales about the Healthy Schools Initiative in Swansea, why it is so important, the healthy schools scheme itself and how all it all fits with the Curriculum for Wales.
- Councillor were pleased to hear that all Swansea schools have engaged with the Swansea Schools Initiative to different levels, with 12 schools in Swansea achieving the National Quality Award (NQA) that equates 13% of Swansea Schools. With 99% of schools achieving phase 3 and above. 20% of schools are currently working towards the NQA at any one time. These figures all exceed the Welsh Government national targets for the initiative. Hearing that the majority of schools achieving the NQA are from the primary sector but this does not mean that work is not taking place in secondary school. They are engaged in the initiative but are not in a position to go for the award at present. The Panel were assured that help is given to any school that may not have engaged fully or may have stalled in progress by the public health team.
- Councillors asked how much emphasis is put on mental health as part of this initiative. They pleased to hear that mental health and wellbeing is the base topic that everything else is built upon and it underpins what the scheme is all about.
- The Panel heard about the stark HAPPEN data (From Health and Wellbeing data collected by Swansea University). This outlined some of the challenges Wales faces in relation to the health and well-being of our children. For example:
  - 74.8% of children under 5 years old in Swansea are a healthy weight but 25.2% are an unhealthy weight.
  - Only 28% of children taking part in the survey reported eating 5 portions of fruit and vegetables a day.
  - On average, a 5-year-old child living in Swansea will have at least one missing, filled or decayed tooth.
  - Also from the data collected by Cardiff University (call the SHRN data) showed that 44% of pupils in school years 7 to 11 reported eating 1 or more portions of fruit and vegetables a day. It also showed that 44% of pupils report drinking alcohol.
- The Panel recognised this does show that our children and young people are eating the wrong foods and have bad dental hygiene. Hearing that this is preventable and clearly evidences why the work of Public Health Wales and Schools in addressing this is so important. Councillors did agree that working with parents to encourage better eating habits is also key.
- The Panel were told about some of the excellent health improvement work underway in Swansea schools and they agreed with the public health team when they said that this issue it must be kept high, if not top of, the agenda.
- The Panel were encouraged to hear that the new Curriculum for Wales 2022 was exciting because it will introduce a new way of learning for our children and young people, teaching skills they can grow up with. Councillors were particularly pleased that Health and Wellbeing will be one of the six areas of learning and experience and will have equal status on the curriculum to the other 5 areas.
- The Panel thanked Public Health Wales for attending and we look forward to hearing how the new curriculum will help this important agenda progress.

## **5 The National Mission and Developing a Transformational Curriculum**

Cllr Jen Raynor, Cabinet Member for Education Improvement, Learning and Skills and Helen Morgan Rees, the Head of Education Achievement and Partnership

attended the Panel and provided a written report on how are schools are addressing actions in *Our National Mission* for education, including a transformational curriculum. In brief summary the report covered:

- The Our National Mission plan for education improvement and action plan
- Swansea Education Directorate role as an effective planner and provider of intelligence to enable schools to improve learner outcomes and well-being.
- Inequalities faced by vulnerable learners and requirement to facilitate multi agency partnerships
- Driving inspirational leadership through the four core purposes of the new transformational curriculum
- The national approach to professional learning (NAPL)
- Schools as Learning Organisations (SLOs)
- The blended professional approach and how it is developing in Swansea
- Improving top performance learning in sixth forms through Seren Network Hub
- Commitment to national actions to reduce workload and bureaucracy
- Changing way in which school performance is to be measured

In conclusion

1. Swansea schools demonstrate a strong understanding of the complex changes in the education system in Wales and are being supported to manage change through local and regional strategic actions.
2. The alignment of local and regional priorities to the actions within Our National Mission is helpful and clear.
3. Schools are currently undergoing significant change. The development of schools as learning organisations is key to support navigation through the change.
4. Historic methods of evaluating schools' performance are changing and there is and will be a greater emphasis on pupils' emotional health and well-being.

The points noted from the discussion include:

- That this was an opportune moment to look at how Swansea schools are responding to this challenge. It is important for us to take stock of where we are and what the capacity is in our schools to do this.
- Must develop robust assessment practice across the whole region and consistency. Recognise Swansea is showing secure assessments but is it as good in some of the other parts of the region.
- This is a very difficult period for local authorities and scrutiny in making judgements on the quality of education. Especially as there will be much more focus on progress of individual learners rather than data.
- How schools are addressing the implementation of the new curriculum and all that is involved with that. Education Scrutiny Panel to add this to their list of questions they use for their individual schools scrutiny.
- How Estyn is changing is with the new curriculum. It will be more about conversations with schools rather than judgements. This will be in line with the recent Donaldson report on the Inspectorate. Estyn will ensure their work supports the new curriculum. Non-judgemental visits next year this will be followed by a gap of a year to give breathing space and take stock. Following this the inspection regime will be different, more about integrated partnership



approach although will still inspection for schools where there are concerns. This is a positive move forward.

- Schools to cut down on unnecessary work. More deep evaluation of specific areas where school needs to improve rather than reams of reports on wider areas. This should be more powerful improvement tool rather than just focussing on writing the report to satisfy performance that is more general. Panel agreed that this is the best way forward.
- Although this may be a challenge for some schools as they are still committed to the older system, where accountability reporting is still seen as important so will need help and support to move to the new way of working.
- It will be important to ensure that governors understand the new curriculum and the new greater emphasis on pupil emotional health and wellbeing. It will be important that they ask the right questions.
- New curriculum is not so prescriptive, some teachers will thrive in this environment but we must recognise that some will need more support to progress this successfully.
- Panel asked what is there for those pupils who would like to follow a more non-academic route. There are partnerships with a wide range of partners locally to ensure we are offering experience in the world of work including a number of apprenticeships. The Apprenticeship Academy works with employers to develop opportunities. Panel agreed that this relationship building and opportunities for apprenticeships in a variety of roles could be developed much further. The panel highlighted those digital opportunities that do not necessarily have an academic route attached to them.
- The Panel were told about the positive 'Build me' programme with the PRU and Parc y Werin build, offering 2 days of week training opportunities in construction activities, it includes a supervised visits and discussion about different roles and skills required on site.
- The Panel were pleased with the progress being made in Swansea in relation to the development of the new curriculum and the commitment to developing the Our National Mission here in Swansea. We would like to receive regular updates as it progresses.

## **6 Work Programme 2019/2020**

The Convener informed the Panel that the item scheduled for 13 February 2020 on Additional Learning Needs has been brought forward to the 19 December meeting. Those items scheduled for 19 December have been moved to 13 February.

The meeting ended at 5.30 pm

# Agenda Item 5



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

To the Schools Scrutiny Performance Panel – 19 December 2019

### Integrated Additional Learning Needs (ALN) Strategy Progress and Plans

<b>Purpose:</b>	To update the Schools Scrutiny Performance Panel on progress made on the ALN Strategy and to present the revised strategy and implementation plan
<b>Content:</b>	A briefing/update reviewing progress over the 2018 to 2019 academic year, current context including projected pressures and revised plans to mitigate the pressures.
<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 & Skills
<b>Lead Officer &amp; Report Author:</b>	Mark Sheridan, head of Vulnerable Learner Service Tel: 01792 636094 E-mail: mark.sheridan@swansea.gov.uk

#### 1. Background

- 1.1 The local authority is facing unprecedented change in the area of ALN following the introduction of the Additional Learning Needs and Education Tribunal (Wales) Act 2018 (ALNET Act 2018). In response to this Welsh Government created five ALN Transformation Lead posts to work with the four regions and the further education sector to support and challenge LAs preparations for the implementation of the ALNET Act 2018 in September 2021. This deadline was extended following consultation around the mandatory code that Welsh Government were under a duty to produce to support responsible bodies in their lawful implementation of the ALNET Act 2018.
- 1.2 Swansea has engaged well at a regional level with the five other authorities in the south west region that cover the same footprint as ERW and the ALN Transformation Lead. We have developed an ALN Strategy and Implementation Plan and created an ALN Strategy Steering Group of key stakeholders including parent/carers to oversee the implementation of the

Strategy. The following briefing paper reviews the progress made over the academic year 2018 to 2019, raises key issues for consideration by the authority that have been presented to Corporate Management Team (CMT) and presents in broad terms a revised Integrated ALN Strategy and Plan 2019 – 2023 that sets out the work to be carried out under six key themes.

- 1.3 The Strategy describes the range of interconnected projects required to ensure Swansea is able to implement the ALNET Act 2018 lawfully, identifying needs early and having a range of provision between the key agencies of Education, Social Services and Health to meet those needs in a timely fashion.

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

- 2.1 The Integrated ALN Strategy and Implementation Plan 2018 – 2021 was reviewed in July 2018 with the ALN Strategy Steering Group. Progress was considered under the seven themes, which related to the regional implementation plan.
- 2.2 Good progress was made under the Awareness Raising theme with the creation of the Strategy Steering Group, regional working, planning and delivering awareness raising activity, completion of the LA and school readiness self-evaluation and the creation of a website which went live this term. There continue to be concerns about the wider stakeholder awareness of the changes particularly in health and Social Services although health has now appointed an Interim Lead to head that work.
- 2.3 Mixed progress has been made with regard to workforce development. Completion of the school readiness surveys has provided good mapping information and there have been some good training opportunities provided particularly around the legal implications of the new Act. However, delays in information around the national training being developed by Welsh Government particularly for ALN Co-ordinators (ALNCos) as well as identifying key individuals in health have hampered further progress. With the appointment of an Interim Lead in health and a future successful appointment to the new Designated Education Clinical Lead Officer (DECLO) progress with regard to integrated working should improve. Good progress has been made in working with education improvement staff and incorporating discussion about ALN into the core visits of challenge advisors. Specialist training and support has been provided in the area of complex needs and autistic spectrum disorder.
- 2.4 Under the theme of Person Centred Practice and Individual Development Planning there has been mixed progress. The LA has provided training and proformas to enable schools to carry out reviews using person centred tools but there is further work need to embed this approach into the culture and ethos of schools and other providers. At a regional level progress has been made in the development of a regional IDP format that covers the statutory headings set out in the ALNET Act 2018. There are though concerns regarding the capacity of the team to manage the conversion from Statements of Special Educational Need to LA maintained Individual Development Plans (IDPs).

- 2.5 Good progress has been made in understanding the range of early years settings and providers and work has started on the integration of these services under the Pathfinder programme initiated by Welsh Government. Commissioning reviews of the Flying Start settings, contracts with health and the Family Centres have commenced under the governance of the People Commissioning Group and Getting it Right for Every Child (GREC) work stream. This work should lead to a more efficient use of core and grant funded resources to identify and meet the needs of learners in the early years. Health is also actively involved in this work through Public Health.
- 2.6 The LA continues to have significant concerns regarding the extending of the age range from 19 to 25 without good integrated working between the colleges, health, Social Services, youth offending, Education, employers and training providers. However, there is good communication between the authority and Gower College Swansea and their new ALNCo. Further work needs to be done with the college to develop their offer for learners with ALN to incorporate those learners with more complex needs. We also need to be working with youth offending and adult services to ensure there is a good offer of support to enable independent living and employment rather than continuing reliance on educational placement to 25.
- 2.7 Early dispute resolution and parent partnership are seen as a key to avoid escalating needs, provision and therefore costs. The local authority has awarded the contract for the development of these process to SNAP Cymru following a tendering process and we anticipate good progress over the next year. Furthermore the parent partnership website for Swansea has now gone live and we are engaging with parents and carers through the Parent/Carer forum to further develop this offer. The LA has also created two Family Liaison posts which have made a significant impact on the number of tribunals being lodged along with the work of the team in meeting face to face with parents. However this work is time consuming and rises capacity issues going forward.
- 2.8 The authority now has a better understanding of the impact of the new ALNET Act and the draft Code has pointed to the likely statutory obligations of the LA. Staff have also been mapping demand and volume of work over the past four years. In summary these show:
- Increase in the number and proportion of learners with a Statement of Special Educational Need due to a reduction in year 11 leavers.
  - Creation of 62 new specialist places in both specialist teaching facilities (STFs) based in mainstream schools and special school places.
  - All 62 new specialist places are filled with further demand projected over the short and medium term particularly for learners with autistic spectrum disorder (ASD) and severe and complex needs.
  - Increase in demand for independent and out of county specialist placements.
  - Increase in the numbers and proportion of learners who are electively home educated but who have ALN and a Statement of SEN.
  - Reduction in Tribunal appeals from a high in 2016 – 2017.
  - Reduction in pre-school referrals since 2016.
  - Reduction in referrals for statutory assessment but numbers of referrals started remains level.

- Failure to meet statutory deadlines as set out in the current Corporate performance measures.
- Increase in legal advocates threatening judicial review with regard to statutory deadlines or Tribunal appeal with regard to placement (3 threats of judicial review since 1 September 2019).
- Increasing demands for speech and occupational therapy and applied behavioural therapy.
- Overspend on the central teaching assistant budget for specialist teaching facilities (STFs) due to the complexity of learners needs exceeding the planned budget of the STFs.
- Overspend on the budget for independent or out of county placements due to demand for specialist placements, in particular for learners with autism.
- Increase in transport costs due to demand and cost pressures, Ombudsman ruling and increase in specialist places.
- Increases in purchased provision and assessment both privately and in SLAs with Health particularly for:
  - speech and language therapy
  - occupational therapy
  - applied behavioural analysis
  - legal advice and counsel
- Increase in the proportion of the resources delegated to schools that is required to meet statutory provision on statements of SEN.
- Decrease in the number of amendments of Statements completed within statutory deadline.
- Reduction in resilience and business continuity due to the above factors.

2.8 The new ALNET Act and Code will place mandatory duties on LAs and other responsible bodies such as health boards and Welsh Government ministers with effect from September 2021. In summary, with regard to this paper, the following duties and potential costs have been identified:

- The statutory requirement to designate an Early Years ALN Lead Officer to co-ordinate the delivery of the LAs early years responsibilities to children with ALN from 0 – 3.
- The duty to have in place early dispute and disagreement arrangements.
- The duty to have independent advocacy services in place for children and young people.
- The duty to provide information and advice about ALN, the LA's services and provision for learners with ALN.
- The duty to provide the information, advice and support required to enable children, their parents/carers and young people to participate in decision making about ALN and additional learning provision (ALP).
- The duty to review strategically ALN and ALP for learners aged 0 to 25.
- The duty to provide ALP in the medium of Welsh when requested.
- The duty to have regard to the United Nations Convention on the Rights of the Child (UNCRC) and on the Rights of Persons with Disabilities (UNCRPD)
- The duty to prepare and maintain individual development plans (IDPs) on all children looked after (CLA) with ALN.

- The need to have appropriate legal support when parents/carers and their advocates choose to exercise their right to appeal to the new Education Tribunal
- The requirement to secure appropriate training to raise awareness of the ALNET Act and support person centred practice and review across the authority.
- The duty to assess ALN and decide on ALP within reduced timeframes when requested.
- The requirement to ensure that there are the skills and capacity in the workforce to identify changing ALN and support appropriate ALP.
- Requirement to work in partnership particularly with Health, Social Services and further education institutions (FEIs) to ensure there is a comprehensive local offer to support ALN across the age range.
- The requirement to have in place information on the processes for deciding whether an IDP is maintained by the school or FEI or maintained by the LA.

2.9 Welsh Government has also sought to put in place regional plans to support the transformation of LA services in time for the implementation of the ALNET Act 2018 in September 2021. Swansea LA has worked with LA leads and the ALN Transformation Lead for the region to develop and implement a regional strategic plan as well as drafting a revised local three year Integrated ALN Strategic Plan 2019 - 2023 (Appendix 1). Significant work streams have been identified with regard to:

- Transition
- Capacity
- Provision
- Partnership
- Quality
- Assessment

2.10 Swansea has agreed to lead the region on the co-ordination of the work force development work stream although there is a requirement to engage with all other work streams.

2.11 Included in the work above the LA is keen to progress the development of a new special school provision for learners with severe to profound and multiple learning difficulties and those with complex and challenging needs associated with autistic spectrum disorder with high symptomatology.

2.12 The Directorate is carrying out an independent peer review of statutory processes and the Strategy indicates the need for a review of specialist services to ensure the LA is able to access timely quality assessment and advice.

2.13 The Directorate is also looking to review the number and range of specialist teaching facilities (STFs) in line with changes in demand for provision.

### **3. Conclusions/Key Points Summary**

- 3.1 Swansea has made good initial progress in raising awareness and starting work with other agencies and the region to develop an integrated local offer that will meet the needs of learners with ALN across the 0 to 25 age range. A revised strategy has now been drafted which sets out in more detail the range of key projects that are needed to meet Swansea's vision for learners with ALN so that they can lead as dignified and independent life as possible in their local community and within a family setting with access to education, training and employment opportunities.
- 3.2 However, the range of work is broad and there are concerns about the capacity within Education to deliver such a large plan. Therefore, presentations have been made to Corporate Management Team (CMT) to emphasise a joined up approach and to bolster the capacity of the Education team to deliver all the projects set out in the plan.

### **4. Legal Implications**

- 4.1 The LA has statutory duties under the Education Act 1996, SEN Code of Practice for Wales 2002, ALNET Act 2018 and mandatory ALN Code (to be published).

### **5. Financial Implications**

- 5.1 A proposed staffing structure has been presented to CMT with a cost implication of £215,000 with the revised strategy to mitigate estimated cost pressures from £6.4 million down to £2.9 million.

### **Appendices:**

Appendix 1: Revised Integrated ALN Strategy and Implementation Plan 2019 – 2023

## Appendix 1



ALN Strategy Vision & Ethos.pdf



ALN Strategy 2019 - 2022.2pdf.pdf



# Agenda Item 6

## Education Scrutiny Performance Panel Work Programme 2019/2020

Date	Items to be discussed
<b>Meeting 1</b> 13 Jun 19	<ol style="list-style-type: none"> <li>1. Key issues facing Education/Schools over coming year</li> <li>2. Panel discuss, plan and agree work programme for coming year</li> </ol>
<b>Meeting 2</b> 11 Jul 19	<p><b>School 1 - Dylan Thomas Community Comprehensive School visit</b> Good Practice: Wellbeing: How the school meets the needs of their children, the challenges they face and the way they meet them. School visit to see approach at school level.</p>
<b>Meeting 3</b> 12 Sep 19	<ol style="list-style-type: none"> <li>1. Elective Home Education</li> <li>2. Performance of pupils receiving Free School Meals</li> </ol>
<b>Meeting 4</b> 17 Oct 19	<p><b>School 2 – Penclawdd Primary School</b> (Red) Meet with Headteacher and Chair of Governors at School (include preparation session with the Challenge Adviser)</p>
<b>Meeting 5</b> 14 Nov 19	<ol style="list-style-type: none"> <li>1. Briefing on Healthy Schools Initiative</li> <li>2. National Mission and Developing a Transformational Curriculum. This session will consider how schools are responding to the draft new curriculum for Wales and the related 4 enabling objectives.</li> </ol>
<b>Meeting 6</b> 19 Dec 19	<ol style="list-style-type: none"> <li>1. Session looking at Additional Learning Needs Reform and progress in Swansea</li> <li>2. Annual Audit report (for information)</li> </ol>
<b>Meeting 7</b> 16 Jan 20	<ol style="list-style-type: none"> <li>1. Annual Education Performance (incl. verified data) and School Categorisation (Cabinet Member invited)</li> <li>2. Looked After Children Educational Outcomes</li> <li>3. Supporting Vulnerable Learners - Pupil Development Grant spend (Annual)</li> </ol>
<b>Meeting 8</b> 13 Feb 20	<ol style="list-style-type: none"> <li>1. 21<sup>st</sup> Century Schools Programme Update (including progress with EOTAS new build)</li> <li>2. Session on School Transport</li> </ol>
<b>Meeting 9</b> 25 Feb 20	Annual Budget as it relates to Education matters
<b>Meeting 10</b> 12 Mar 20	<p><b>School 3 –Pentrehafod Comprehensive School - TBC</b> To look at Not in Employment, Education or Training (NEETs) prevention - a school visit to see the approach at school level</p>
<b>Meeting 11</b> Add date	<ol style="list-style-type: none"> <li>1. Swansea Skills Partnership</li> <li>2. Education Other Than At School - progress with improving outcomes</li> <li>3. Education Improvement Service Performance update and ERW progress against priorities locally and regionally (Annual)</li> </ol>
<b>Meeting 12</b> 30 Apr 20	<p><b>School 4 - Session on Post 16 – Pupil performance at sixth form and colleges - TBC</b></p> <ul style="list-style-type: none"> <li>• Support for and performance of post 16 pupils in sixth form and colleges</li> <li>• Speak to sixth form and college Heads, Cabinet Member and Education Officers</li> <li>• Leaders of Learning for this aspect (ERW)</li> </ul>

# Agenda Item 7

## **Annual Audit of Schools – related extract from Audit Committee Minutes on 8 October 2019**

### **Audit Committee Minutes:**

Nick Davies, Principal Auditor presented a report which provided a summary of the school audits undertaken by the Internal Audit Section during 2018/19 and identified some common issues found during the audits. Kelly Small, Head of Funding and Information Unit provided responses on behalf of the Director of Education.

It was outlined that an audit of each primary, secondary and special school in Swansea was undertaken every 3 years. A standard audit programme existed for each school sector.

For a number of years, a report summarising the school audits undertaken each year had been prepared for the Director of Education and Audit Committee. The report also identified the common themes which had been found during the audits.

The School Audits Annual Report 2018/19 was attached at Appendix 1.

The Committee asked a number of questions of the Principal Auditor and Head of Funding and Information Unit, who responded accordingly. Discussions centred around the following: -

- Evidence in Governing Body Minutes that audit reports had been presented and discussed by Governing Bodies and the follow up process undertaken by the School Funding and Information Unit;
- Confirmation whether all Governing Bodies had been presented with and considered their audit reports during 2017/18;
- The difficulties encountered by schools in the tendering process, i.e. obtaining 3 quotations and obtaining a breakdown of costs from Corporate Building Services which was resulting in schools dropping out of Service Level Agreements (SLA);
- All schools opting out of the Procurement SLA as they felt it was not fit for purpose;
- Review of Contract Procedure Rules;
- The Authority providing a catalogue for schools to purchase supplies;
- Further work being undertaken regarding schools tendering for services and approaching it as a whole job not just a specific job;
- Director of Education obtaining a full list of contracts from Corporate Building and circulating to all Clerks to Governing Bodies;
- School budgets - particularly 85% being spent on staff salaries and 15% on the remainder and setting the appropriate level to justify the risk / time spend on auditing this amount as it is only a small proportion of the budget;
- Quality Control Questionnaire – Internal Audit Section.



## Report of the Chief Auditor

Audit Committee – 8 October 2019

### Annual Report of School Audits 2018/19

<b>Purpose:</b>	This report provides a summary of the school audits undertaken by the Internal Audit Section during 2018/2019 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 key findings arising from the school audits undertaken during 2018/2019.
<b>Report Author:</b>	Nick Davies
<b>Finance Officer:</b>	Simon Cockings
<b>Legal Officer:</b>	Tracey Meredith
<b>Access to Services Officer:</b>	Rhian Millar

#### 1. Introduction

- 1.2 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 A report summarising the school audits undertaken each year has been prepared for the Director of Education. The report also identifies the common themes, which have been highlighted during the audits.

## **2. Annual Report of School Audits 2018/2019**

2.2 The Annual Report of School Audits 2018/2019 is attached in Appendix A.

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

3.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.
- Our Equality Impact Assessment process ensures that we have paid due regard to the above.

3.2 There are no equality and engagement implications associated with this report.

## **4. Financial Implications**

4.2 There are no financial implications associated with this report.

## **5. Legal Implications**

5.2 There are no legal implications associated with this report.

**Background Papers:** Internal Audit Plan 2018/19

**Appendices:** Appendix A - Annual Report of Schools Audits 2018/19

## Report of the Chief Auditor

### Annual Report of School Audits 2018/19

#### 1. Introduction

- 1.1 Each year a significant amount of audit resource is dedicated to school audits and this service is paid for by schools from their allocated budget. Note that from April 2019, the requirement for schools to opt in to a Service Level Agreement (SLA) for the provision of internal audit services has ceased. As agreed by the schools, the budget for the provision of audit services has been retained centrally, thus schools therefore no longer need to sign up to the SLA individually. The Internal Audit Section reviews all Swansea Council primary, special and secondary schools.
- 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, special and secondary schools are currently audited every three years.
- 1.3 The scope for school audits during the 2018/2019 financial year included the following areas:
- Governance
  - Management of Delegated Resources
  - Budget Preparation and Monitoring
  - Lettings
  - After School / Breakfast Clubs
  - Banking Procedures
  - Recording of Key Income
  - School Unofficial Funds
  - School Meals Income
  - Bank Reconciliations
  - Purchasing of Goods and Services (Including Multi-Pay Cards)
  - Employees
  - Health & Safety
  - Inventories
  - School Mini Bus / Vehicles
  - 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 an 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 Funding and Information Unit request minutes of the Governing Body meetings in order to confirm that the audit report has been presented and discussed. Of the 25 primary schools, and 4 secondary schools that were audited and finalised in 2018/2019, the School Support Unit had received minutes confirming that the audit report had been presented for 20 primary schools and all 4 secondary 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 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 2018/2019.

## **2. Summary of Findings**

- 2.1 Of the 25 primary schools audited and finalised in year, 6 achieved a high level of assurance, 18 achieved a substantial level of assurance and 1 school was awarded a moderate level of assurance which is a relatively positive result. This is generally comparable to the level of assurance awarded to those schools audited in 2017/18.
- 2.2 Of the 4 secondary schools audited and finalised in year, 1 received a high level of assurance, 2 received a substantial level of assurance and 1 received a moderate level of assurance. Again, this is generally comparable to the levels of assurance awarded in 2017/2018.
- 2.3 No special schools were audited in 2018/2019.
- 2.4 It is pleasing to note that this year, the majority of schools audited and finalised achieved a substantial or high level of assurance. This continues to demonstrate the fact that the schools in question are 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 2018/2019. As seen in tables 3.6 and 4.4 later in the report, 32% of all recommendations made for primary & secondary 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 local authority in an attempt to improve schools awareness of their responsibilities in this area.
- 2.6 Periodic financial training is provided to all 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 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 had 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.
- 2.8 For 2018/2019, 22 Primary Schools had opted out of the Procurement SLA compared to 7 Schools in 2017/2018. In addition, 2 secondary schools and 1 special school also opted out of the SLA. The areas covered by the SLA are detailed in Appendix 5.
- 2.9 It was confirmed that for 2019/20, all schools have decided to opt out of the Procurement SLA as they felt it was not fit for purpose. There is however, still an option for schools to 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 now complete and Procurement have confirmed that the updated CPR's are due to be approved ready for officer sign-off. 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 2018/2019.

### 3. Primary Schools

3.1 Twenty five primary school audits were finalised by Internal Audit during 2018/2019. 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 have been awarded.

<b>Level of Assurance</b>	<b>Schools 2017/18</b>	<b>Schools 2018/19</b>
High	5	6
Substantial	29	18
Moderate	0	1
Limited	0	0
<b>Total</b>	<b>34</b>	<b>25</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 but one of the primary schools audited in year were rated as providing either a High, or Substantial level of assurance.

3.4 A total of 250 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 99.6% of the recommendations made.

3.5 It should be noted that there is not a direct correlation between the number of recommendations made at each school and the overall level of assurance awarded. 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 & Expenditure, 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 2017/18 based on 34 Schools</b>	<b>2017/18 %</b>	<b>Total Rec's 2018/19 based on 25 Schools</b>	<b>2018/19 %</b>
Governance	10	3%	4	2%
Management of Delegated Resources	16	5%	7	3%
Income & Bankings (inc Lettings)	52	15%	30	12%
School Funds	46	13%	41	16%
School Meals (including banking)	21	6%	15	6%
Procurement / Expenditure	107	30%	83	33%
Multi-Pay Cards	14	4%	21	8%
Health & Safety / Premises Security	14	4%	1	0%
Inventory	35	10%	22	9%
IT	29	8%	19	8%
Other	7	2%	7	3%
<b>TOTAL</b>	<b>351</b>	<b>100%</b>	<b>250</b>	<b>100%</b>



- 3.7 Procurement / Expenditure was again, identified as the main issue in the majority of Schools, with the percentage of recommendations accounting for 33% of the total made. As always, 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 issues they may have.
- 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.
  - The use of suppliers that do not have a corporate contract with the local 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.
  - Insurance arrangements not being in place for persons / companies used by the school to provide services which have not been arranged via a Corporate Contract.
- 3.9 The average number of recommendations made per school has remained the same as last year i.e. 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 previous reports, 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.
  - Income, Bankings & Lettings – Primarily in relation to bank reconciliations not being undertaken in a timely manner, Lettings documentation not being in place and / or up to date, and monies being held on site which exceed insurance limits.
  - Inventories – Records not up to date, Disposal forms not being completed, annual inventory checks not being undertaken and new purchases not being added to the records.
- 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. Secondary Schools

4.1 Four secondary schools were visited by Internal Audit during 2018/19. The level of assurance awarded for each of the schools can be seen in Appendix 2.

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

<b>Level of Assurance</b>	<b>Schools 2017/18</b>	<b>Schools 2018/19</b>
High	5	1
Substantial	1	2
Moderate	0	1
Limited	0	0
<b>Total</b>	<b>6</b>	<b>4</b>

4.3 A total of 63 recommendations were made, which represents an average of 16 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>				
<b>Audit Area</b>	<b>Total Rec's 2017/18 based on 6 Schools</b>	<b>2017/18 %</b>	<b>Total Rec's 2018/19 based on 4 Schools</b>	<b>2018/19 %</b>
Governance	0	0%	2	3%
Management of Delegated Resources	2	4%	3	5%
Income & Bankings (inc Lettings)	11	24%	12	19%
School Funds	1	2%	3	5%
School Meals (including banking)	0	0%	0	0%
Procurement / Expenditure	17	37%	17	27%
Multi-Pay Cards	2	4%	8	13%
Health & Safety / Premises Security	4	9%	0	0%
Inventory	4	9%	6	10%
IT	5	11%	4	6%
Other	0	0%	8	12%
<b>TOTAL</b>	<b>46</b>	<b>100%</b>	<b>63</b>	<b>100%</b>

4.5 As with primary schools, procurement has been identified as the main area where issues have arisen and 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 increased when compared to the 2017/18 figures. Please see below for further details:

- Multi-Pay Cards – Has increased from 4% to 13%, mainly due to reconciliations not being carried out in a timely manner, VAT receipts not being obtained / retained and in some cases, no division of duties being in existence when reconciling spend.
- Other – Increasing from 0% in 17/18 to 12% in 18/19. This increase relates to some Petty Cash issues such as not retaining VAT receipts and the authorisation of reimbursement claims also utility invoices not being checked to meter readings.

## **5. Special Schools**

5.1 No special schools were visited by Internal Audit during 2018/19.

## **6. Developments & Other Work Undertaken in 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 Directorate.

6.3 Internal Audit have attended and provided information to a number of admin forums giving training to school office staff and Headteachers on the main reported areas highlighted during routine audits. Training for staff will continue via this forum.

6.4 There is a corporate project underway seeking to identify if there are benefits from schools using a central system instead of their separate SIMS/cheque book system, with the initial view being that this may improve procurement controls.

6.5 Two follow up visits were undertaken in year. One primary school and one secondary school were listed as receiving a moderate assurance rating in 2018/2019. Therefore both schools were re-visited, the secondary school in February 2019, and the primary school in March 2019 in order to determine whether appropriate action had been taken to implement the recommendations that were made. In both cases, it was confirmed that significant progress had been made, and the vast majority of recommendations had been addressed. There were however a small number of good practice and low risk recommendations that were partly implemented and therefore these areas will be re-tested when the next full school audit is undertaken.

6.6 General school programme updates to ensure the audit scope and questionnaire was up to date and relevant.

## **7. School Self-Assessment Questionnaires**

7.1 One of the key targets over the last number of 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 audit resources and to balance the annual audit plan. The questionnaire was finalised and the new audit approach was rolled out to schools in 2016/2017. To date over 88% of schools have now gone through this process.

7.2 Each year since the questionnaire was introduced, 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 2019/2020.

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 continue to react 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 2018/19 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 2018/19 was 98%.
- 8.5 The response rate to our QCQ surveys over the last two years are as follows:

	2017-18			2018-19		
	<i>QCQ's issued</i>	<i>No. of Responses</i>	<i>Response %</i>	<i>QCQ's issued</i>	<i>No. of Responses</i>	<i>Response %</i>
Primary	34	32	94%	25	25	100%
Secondary	6	5	83%	4	4	100%
Special	1	1	100%	0	0	0
<b>Overall</b>	<b>41</b>	<b>38</b>	<b>93%</b>	<b>29</b>	<b>29</b>	<b>100%</b>

- 8.6 Historically, return rates on QCQ issued have been low (2016/2017 = 22%). As you can see from the table above, over the last two years we have made a concerted effort to ensure that where possible, feedback from Headteachers in relation to the service provided is returned, by following up those schools that have not submitted their QCQs. The table above shows that this year results have improved again, and we achieved a 100% return rate, which is an improvement on last year, and significant improvement on previous years.
- 8.7 It should also be noted, that for those QCQ's received for both primary and secondary 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 2018/19, 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 the last number of years these areas 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.

## APPENDIX 1

### PRIMARY SCHOOLS AUDITED AND FINALISED 2018/19

School	Date Report Finalised	Level of Assurance
Pontlliw Primary	03/07/2018	High Assurance
Newton Primary	13/09/2018	High Assurance
St. Helen's Primary	23/10/2018	High Assurance
Cila Primary	08/11/2018	High Assurance
Talycopa Primary	28/11/2018	High Assurance
Trallwn Primary	14/12/2018	High Assurance
Y.G.G. Llwynderw	12/06/2018	Substantial Assurance
Mayals Primary	29/06/2018	Substantial Assurance
Danygraig Primary	09/07/2018	Substantial Assurance
Y.G.G. Y Logyn Fach	09/07/2018	Substantial Assurance
Brynhyfryd Primary	20/07/2018	Substantial Assurance
Townhill Primary	11/09/2018	Substantial Assurance
Hendrefoilan Primary	27/09/2018	Substantial Assurance
Sketty Primary	27/09/2018	Substantial Assurance
Burlais Primary	02/10/2018	Substantial Assurance
Dunvant Primary	10/10/2018	Substantial Assurance
Knelston Primary	15/10/2018	Substantial Assurance
Gors Community Primary	18/10/2018	Substantial Assurance
Y.G.G. Bryniago	30/10/2018	Substantial Assurance
Gowerton Primary	26/11/2018	Substantial Assurance
Y.G.G. Bryn-y-Mor	10/12/2018	Substantial Assurance
Christchurch Church in Wales	02/01/2019	Substantial Assurance
Penclawdd Primary	05/02/2019	Substantial Assurance
Terrace Road Primary	31/03/2019	Substantial Assurance
Portmead Primary	04/12/2018	Moderate Assurance

## APPENDIX 2

### SECONDARY SCHOOLS AUDITED AND FINALISED 2018/19

School	Date Report Finalised	Level of Assurance
Birchgrove Secondary School	18/01/2019	High Assurance
Gowerton Secondary School	10/07/2018	Substantial Assurance
Dylan Thomas Secondary School	25/07/2018	Substantial Assurance
Bishop Gore Secondary School	11/10/2018	Moderate Assurance

## AREAS REVIEWED AT PRIMARY / SECONDARY / SPECIAL SCHOOLS DURING 2018/19

AUDIT AREA	MAIN CATEGORIES REVIEWED IN EACH AUDIT AREA
<b>Governance</b>	Roles and Responsibilities of Governors, Committees and Staff Policies and Committees Governors Involvement in Setting the School Development Plan Finance, Administration and DBS
<b>Management of Delegated Resources</b>	Budget Setting and Approval Authorised Signatories Delegated Powers
<b>Budget Monitoring</b>	Budget Monitoring Reports sent to the Governing Body Any Capital Expenditure Any Loans / Overdrafts / Leases
<b>Lettings</b>	Governing Body Approval Lettings Applications & Insurances
<b>After School / Breakfast Clubs</b>	Charges Governing Body Approval Income & Expenditure
<b>Banking Procedures</b>	Safety of Monies Holding Limits
<b>Recording of Income</b>	Types of Income Record Accuracy & Retention Segregation of Duties
<b>School Unofficial Funds</b>	School Fund Signatories Audit and Presentation of the School Fund Fund Transactions & Reconciliations Fund Constitutions & Management Committees
<b>School Meals</b>	Dinner Money Arrears Certification of CS3's by Headteachers CS3 Meals Served to sQuid Records Weekly Banking of Dinner Monies (if applicable) Entitlement to Free School Meals
<b>Bank Reconciliation</b>	Undertaken / Frequency Independently Reviewed
<b>Expenditure &amp; Procurement</b>	Official Orders Raised and Authorised Payment Procedures Governing Body Approval of Payments more than £5k Compliance with Contract Procedure Rules Cheque Stock Records Insurance Arrangements for Non-Authority 'Approved' Suppliers.

<b>Multi-pay Cards</b>	Card Security
	Segregation of Duties
	Reconciliations
<b>Employees</b>	Staff References
	Travel & Subsistence Payments
	Overtime Payments
<b>Health &amp; Safety/ Fire/ Premises</b>	Health and Safety Inspections
	Fire Risk Assessments and Portable Appliance Testing
	Self-review of Security Issues
<b>Inventory</b>	Format and Security of the School Inventory
	Keeping the Inventory up-to-date including Disposal Procedures
	Physical Checks & Annual Reconciliation / Authorisation
<b>School Mini Bus / Vehicles</b>	Vehicle Logs Maintained
	Driver Licence Checks
	Security of Vehicles
	Insurance, MOT, Serviced
<b>Computer Security &amp; Data Protection</b>	Password Protection
	Regular Password Changes
	Audit Trails
	Data Protection Register

**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> Appropriateness of scope and objectives of audit				
Usefulness of initial discussions with auditor(s)				
Timing of audit				
<b>CONDUCT OF AUDIT</b> Duration of audit				
General helpfulness of auditors				
Consultation on findings				
<b>AUDIT REPORT</b> Fair presentation of findings				
Importance of findings				
Usefulness of recommendations				
Consultation on findings and recommendations				
The value and practicality of the recommendations				
<b>OVERALL</b> 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.***



## **Basic Procurement SLA from April 2015**

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.