

Pecyn Dogfennau Cyhoeddus

Penallta House,
Tredomen Park,
Ystrad Mynach,
Hengoed CF82 7PG

Ty Penallta,
Parc Tredomen,
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Am unrhyw ymholiad yn ymwneud â'r agenda hwn cysylltwch â Amy Dredge
(Rhif Ffôn: 01443 863100 E-bost: dredge@caerphilly.gov.uk)

Dyddiad: Dydd Mercher, 4 Gorffennaf 2018

Annwyl Syr/Fadam,

Bydd cyfarfod **Cabinet** yn cael ei gynnal yn **Ystafell Sirhywi, Tŷ Penallta, Tredomen, Ystrad Mynach** ar **Dydd Mercher, 11eg Gorffennaf, 2018** am **2.00 pm**. i ystyried materion a gynhwysir yn yr agenda canlynol. Gall cynghorwyr a'r cyhoedd sy'n dymuno siarad am unrhyw eitem wneud hynny drwy wneud cais i'r Cadeirydd. Mae croeso i chi hefyd ddefnyddio'r Gymraeg yn y cyfarfod. Mae'r ddau gais hyn yn gofyn am gyfnod rhybudd o 3 diwrnod gwaith, a bydd cyfieithu ar y pryd yn cael ei ddarparu os gofynnir amdano.

Mae pob cyfarfod Pwyllgor yn agored i'r Wasg a'r Cyhoedd. Gofynnir i arsylwyr a chyfranogwyr ymddwyn gyda pharch ac ystyriaeth at eraill. Sylwer y bydd methu â gwneud hynny yn golygu y gofynnir i chi adael y cyfarfodydd ac efallai y cewch eich hebrwng o'r safle.

Yr eiddoch yn gywir,

Christina Harrhy
PRIF WEITHREDWR DROS DRO

A G E N D A

Tudalennau

1 I dderbyn ymddiheuriadau am absenoldeb

A greener place Man gwyrddach

Correspondence may be in any language or format | Gallwch ohebu mewn unrhyw iaith neu fformat



2 Datganiadau o Ddiddordeb.

Atgoffi'r Cyngorwyr a Swyddogion o'u cyfrifoldeb personol i ddatgan unrhyw fuddiannau personol a/neu niweidiol mewn perthynas ag unrhyw eitem o fusnes ar yr agenda hwn yn unol â Deddf Llywodraeth Leol 2000, Cyfansoddiad y Cyngor a'r Cod Ymddygiad ar gyfer Cyngorwyr a Swyddogion.

I gymeradwyo a llofnodi'r cofnodion canlynol:-

3	Cabinet a gynhaliwyd ar 27ain Mehefin 2018	1 - 6
I dderbyn ac ystyried yr adroddiad(au) canlynol y mae angen penderfyniadau gweithredol arnynt		
4	Ffederasiwn Ysgolion.	7 - 36
5	Rhaglen Ysgolion ac Addysg yr 21ain Ganrif Band A- Diweddariad.	37 - 42
6	Monitro'r Gofrestr Risg Corfforaethol (C1 - 2018/19).	43 - 50

Cylchrediad:

Cyngorwyr

C.J. Cuss, N. George, C.J. Gordon, Mrs B. A. Jones, P.A. Marsden, S. Morgan, L. Phipps, D.V. Poole a Mrs E. Stenner,

A Swyddogion Priodol.



CABINET

**COFNODION Y CYFARFOD A GYNHALIWDYD YN NHŶ PENALLTA, TREDOMEN
AR DDYDD MERCHER, 27AIN MEHEFIN 2018 AM 11.00 A.M.**

YN BRESENNOL

Y Cyngorydd S. Morgan - Cadeirydd

Cynghorwyr:

C. Cuss (Gofal Cymdeithasol a Lles), N. George (Gwasanaethau'r Gymdogaeth), C. Gordon (Aelod Cabinet dros Wasanaethau Corfforaethol), B.A. Jones (Aelod Cabinet dros Gyllid, Perfformiad a Llywodraethu), P. Marsden (Addysg a Chyrhaeddiad), L. Phipps (Cartrefi a Lleoedd) ac E. Stenner (Yr Amgylchedd a Diogelwch y Cyhoedd).

Ar y cyd gyda:

C. Harrhy (Prif Weithredwr Dros Dro), M. S. Williams (Cyfarwyddwr Corfforaethol Dros Dro - Cymunedau), D. Street (Cyfarwyddwr Corfforaethol- Gwasanaethau Cymdeithasol a Thai), S. Harris (Dirprwy Swyddog Adran 151) a J. Reynolds (Rheolwr Chwaraeon a Chyfleusterau).

E. Sullivan (Uwch Swyddog Gwasanaethau Pwyllgor),

1. **YMDDIHEURIADAU DROS ABSENOLDEB**

Derbyniwyd ymddiheuriadau am absenoldeb oddi wrth y Cyngorydd D.V. Poole (Arweinydd y Cyngor).

2. **DATGANIADAU O DDIDDORDEB**

Ni chafwyd datganiadau o ddiddordeb ar ddechrau nac yn ystod y cyfarfod.

3. **COFNODION CABINET - 13EG MEHEFIN 2018**

Cymeradwywyd cofnodion cyfarfod y Cabinet a gynhaliwyd ar 13eg Mehefin 2018 a'u llofnodi fel cofnod cywir.

4. **BLAENRAGLEN WAITH Y CABINET**

Roedd yr adroddiad yn ceisio cadarnhad Blaenraglen Waith y Cyngor am gyfnod o Fehefin 2018 i Ionawr 2019.

Cynghorwyd y Cabinet bod y Flaenraglen Waith yn nodi'r adroddiadau allweddol a ddisgwyllir yn ystod misoedd y misoedd i ddod a'r gofyniad cyfreithiol ar gyfer cyhoeddi rhaglenni o'r fath. Mae'r rhaglen yn ddogfen fyw ac oherwydd hynny gellid ychwanegu adroddiadau brys ac annisgwyl i'r rhaglen sy'n bellach yn cynnwys naratif manylach ar y materion allweddol.

Trafododd y Cabinet y flaenraglen waith a gofynnwyd am eglurhad mewn perthynas â'r adroddiadau a nodwyd ar 25ain Gorffennaf 2018 gan fod hyn wedi bod yn destun newid. Cadarnhawyd bod yr adroddiad Rheoli Asedau wedi cael ei ail-enwi a byddai'n cael ei gyflwyno fel Strategaeth Ddrafft Rheoli Asedau Cartrefi Caerffili a'i symud i ddyddiad i'w gadarnhau ym mis Medi. Byddai adroddiadau'r Cynigion Adeiladau Newydd Llety Lloches a Chartrefi Fforddiadwy hefyd yn cael eu symud i ddyddiad i'w gadarnhau ym mis Medi.

Yn dilyn ystyriaeth a thrafodaeth, cynigiwyd ac eiliwyd bod, yn amodol ar yr uchod, yr argymhellion yn yr adroddiad yn cael eu cymeradwyo.

PENDERFYNWYD, yn amodol ar ail-drefnu'r Cynlluniau Tai Lloches, Cynigion Adeiladu Newydd Cartrefi Fforddiadwy a Strategaeth Ddrafft Rheoli Asedau Cartrefi Caerffili, bod Blaenraglen Waith y Cabinet yn cael ei gymeradwyo a'i gyhoeddi.

MATERION A OEDD PENDERFYNIADAU GWEITHREDOL

5. STRATEGAETH DDRAFFT CHWARAEON AC ADLONANT EGNÏOL 2019-29

Roedd yr adroddiad yn gofyn am gymeradwyaeth y Cabinet i gychwyn ymarfer ymgynghori deg wythnos gydag ystod o randdeiliaid ar Strategaeth drafft Chwaraeon a Hamdden Egnïol 2019-29.

Mae'r strategaeth ddrafft yn nodi pwrpas a chyfeiriad y dyfodol ar gyfer darparu chwaraeon a hamdden egnïol ym Mwrdeistref Sirol Caerffili; mae'n sefydlu'r egwyddorion a'r weledigaeth allweddol a fydd yn llywio penderfyniadau a chymau gweithredu yn y dyfodol dros y deng mlynedd nesaf. Mae'r manteision o gael dull byw egnïol yn gorfforol i drigolion y Fwrdeistref wedi eu cofnodi'n dda ac o ystyried yr hinsawdd ariannol bresennol y mae awdurdodau lleol yn gweithredu ynddo, mae cyfeiriad strategol clir yn hanfodol.

Dywedwyd wrth y Cabinet fod y strategaeth wedi'i chyflwyno i Bwyllgor Craffu Adfywio a'r Amgylchedd ar gyfer eu hystyriaeth a'u sylwadau a nodwyd bod y Cynghorydd Kevin Etheridge (Arweinydd y Blaid Annibynnol) hefyd wedi mynychu'r cyfarfod hwnnw i roi ei farn.

Cadarnhaodd y Swyddog fod sylwadau gan y Pwyllgor Craffu a'r Cynghorydd Etheridge wedi canolbwyntio ar y broses ymgynghori a oedd i fod i gychwyn ar 16eg Gorffennaf 2018. Roedd yr un ddiwethaf wedi cynnig y dylai'r broses ymgynghori gynnwys rhanddeiliaid Addysg ac Ysgolion, cyfarfod pwyllgor craffu ar y cyd â Phwyllgor Craffu Addysg Gydol Oes a Phwyllgor Craffu Iechyd, Gofal Cymdeithasol a Lles dylai ystyried galw refferendwm cyhoeddus ar y strategaeth. Gofynnodd y Cyng John Bevan am sicrwydd y byddai digon o gyfleoedd i'r rhai nad oeddent yn gallu cael mynediad at opsiynau cyfryngau cymdeithasol neu ar y we i fod yn ymwybodol o'r strategaeth a rhoi sylwadau arni.

Mewn ymateb i'r cynigion a nodwyd uchod, cadarnhawyd y byddai gohebiaeth yn cael ei hanfon at bob ysgol, cynhelir Seminar Aelodau ar 9^{fed} Gorffennaf 2018, a fyddai'n rhoi cyfle i bob Aelod adolygu a roi sylwadau ar y Strategaeth. Yn ymwneud â'r galw am Refferendwm i'r Cyhoedd, byddai hyn yn fater i'r Cabinet.

O ran y trigolion heb fynediad i'r rhyngwyd/cyfryngau cymdeithasol, cadarnhawyd bod rhaglen ymgynghori ddwys wedi'i chynllunio a byddai digon o gyfleoedd i'r rheini heb fynediad i'r cyfryngau cymdeithasol gael cynnig sylwadau, gan gynnwys Sesiynau Galw i Mewn a bydd

copïau o'r strategaeth a'r holiadur ar gael ym mhob adeilad cyhoeddus.

I gloi, cynghorwyd y Cabinet bod y Pwyllgor Craffu Adfywio a'r Amgylchedd wedi cymeradwyo'r argymhelliad i'r Cabinet eu bod yn cymeradwyo'r cynnig i gychwyn yr ymgynghoriad cyhoeddus ar y Strategaeth ddrafft.

Ystyriodd y Cabinet fater Refferendwm Cyhoeddus a daeth i'r casgliad y byddai'n anodd cynnwys y cynigion eang a chwmpasog a gynhwysir yn y strategaeth mewn un cwestiwn ac felly'n amau y gellid defnyddio refferendwm at y diben hwn.

Roedd y Cabinet yn falch o nodi nad oedd y strategaeth yn canolbwyntio'n unig ar ddarpariaeth canolfannau hamdden ond hefyd yn edrych ar y darlun ehangach o ran gweithgareddau sy'n ymwneud â mesurau iechyd ataliol a gofynnodd am eglurhad mewn perthynas â thrafodaethau â gwasanaethau gofal cymdeithasol ac iechyd. Yn dilyn hyn, holodd y Cabinet a oedd anghenion yr ardaloedd mwyaf difreintiedig yn y fwrdeistref, yn enwedig y rhai yn y gogledd, wedi cael eu hystyried.

Cadarnhaodd y Swyddog fod y ddogfen wedi edrych ar ddarpariaeth iechyd ataliol fel parciau gwledig, llwybr beiciau ac ati. Byddai'r cyfnod ymgynghori deg wythnos, a oedd yn gyfnod ymgynghori mwy helaeth nag a gynhaliwyd yn flaenorol, yn ymgorffori ystod o rhanddeiliaid a chynghorodd y byddent yn ceisio ymgysylltu â phob rhanddeiliad perthnasol yn y broses ymgynghori. Rhan o'r broses strategaeth oedd cwblhau Asesiad Effaith Cydraddoldeb. Roedd y ddogfen fyw hon, a oedd yn cynnwys nodweddion gwarchoddedig megis statws economaidd gymdeithasol, yn elfen allweddol. Byddai edrych ar ecwiti darpariaeth fel y byddai cyfle i gefnogi a galluogi darpariaeth gan sefydliadau eraill.

Yna gofynnwyd am eglurhad mewn perthynas â Sesiynau Galw i Mewn a chynghorwyd y Cabinet y dylid trefnu lleoliadau ond byddent yn rhan annatod o'r broses ymgynghori. Gofynnwyd am eglurhad pellach o ran cymunedau anodd eu cyrraedd a sut y byddent yn cael eu cynnwys. Nodwyd yn ogystal â'r Sesiynau Galw i Mewn, byddai copïau caled o'r holiadur a'r strategaeth ar gael ym mhob adeilad cyhoeddus a byddai sefydliad arall yn cael ei ddefnyddio er mwyn cyrraedd ardaloedd anodd eu cyrraedd.

Croesawodd y Cabinet y strategaeth fel un o'r rhai pwysicaf i'w chyflwyno gerbron yr Aelodau a chydabod na allai dulliau hanesyddol o ddarparu gwasanaethau barhau o dan bwysau ariannol cyfredol ac yn y dyfodol. Pwysleisiwyd rôl y Cynghorwyr wrth roi'r neges i'r cyhoedd ynglŷn â phwysigrwydd cwblhau holiaduron pe bai cyfraddau ymateb da i'w cyflawni.

Cynghorwyd y Cabinet y byddai'r Uned Cyfathrebu yn archwilio pob sianel sydd ar gael er mwyn tynnu sylw at y strategaeth gan gynnwys ymgysylltiad wyneb yn wyneb a gohebiaeth uniongyrchol er mwyn casglu'r data ansoddol, data defnydd a data daearyddol hanfodol hwnnw a fydd yn caniatáu i'r Aelodau i wneud penderfyniad gwybodus. Nodwyd bod gan Gaerffili y nifer uchaf o ddilynwyr ar gyfryngau cymdeithasol yng Nghymru (30,000) a byddai'r llwyfan hwn yn cael ei ddefnyddio'n llawn. Rhoddwyd sicrwydd y gwneir pob ymdrech i geisio ymgysylltu â phob aelod o'r gymuned.

Yn dilyn ystyriaeth a thrafodaeth, cynigiwyd ac eiliwyd bod yr argymhellion yn yr adroddiad yn cael eu cymeradwyo. Cytunwyd ar hyn yn unfrydol drwy godi dwylo.

PENDERFYNWYD cefnogi'r cynnig i gynnal ymgynghoriad cyhoeddus ar Strategaeth ddrafft Chwaraeon a Hamdden Egniol 2019-29 am y rhesymau a gynhwyswyd yn Adroddiad y Swyddog.

MATERION ROEDD ANGEN ARGYMHELLION I'R CYNGOR

6. ALLDRO DROS DRO AR GYFER 2017/18

Roedd yr adroddiad yn diweddarau'r Cabinet gyda manylion yr alldro dros dro ar gyfer blwyddyn ariannol 2017/18.

Cyfeiriwyd y Cabinet at Atodiad A, sy'n crynhoi'r sefyllfa referniw alldro dros dro sydd yn danwariant net o £10.304miliwn. Roedd hyn yn cynnwys tanwariant o £4.07milwin ar y Cyfrif Referniw Tai a gorwariant o £293mil ar gyfer Ysgolion.

Yn ystod y flwyddyn mae Swyddogion wedi parhau i fod yn ymwybodol o'r rhaglen barhaus o gynt ac mae gwariant wedi ei gwtogi mewn nifer o feysydd er mwyn cefnogi'r Cynllun Ariannol Tymor Canolig. Mae'r dull pwylllog hwn wedi arwain at nifer o arbedion yn cael eu cyflawni o flaen llaw ac felly cafwyd tanwariannau uwch nag y byddai'n digwydd fel arfer. Mae manylion yr amrywiadau mwy arwyddocaol yn erbyn y gyllideb yn cael eu darparu yn yr adroddiad ar gyfer pob Cyfadran.

Cyfeiriwyd y Cabinet wedyn at Atodiad B sy'n dangos symudiadau ar falans y Gronfa Gyffredinol o 1^{af} Ebrill 2017 tan 31^{ain} Mawrth 2018 ynghyd ag ymrwymadau y cytunwyd arnynt sydd yn gyfredol ar gyfer 2018/19. Y rhagolwg ar gyfer balans y Gronfa Gyffredinol fel yr adroddwyd i'r Cyngor ar yr 22^{ain} Chwefror oedd £10 miliwn. Mae'r sefyllfa ddiweddaraf yn falans rhagamcanedig o £11.8miliwn ac mae'r tabl ym mharagraff 4.4 o'r adroddiad yn rhoi manylion y cynnydd hwn o £1.8miliwn.

Fel arfer, mae'r Swyddog Adran 151 yn argymhell balans lleiaf y Gronfa Gyffredinol o £10miliwn sydd tua 3% o'r gyllideb referniw net. Roedd y Cabinet yn cofio y byddai angen arbedion a ragwelir o £34milwin ar gyfer y cyfnod pedair blynedd o 2019/20 i 2022/23. Mae hyn yn amlwg yn heriol iawn ac mae'n anochel y bydd angen gwneud rhai penderfyniadau anodd iawn. Gyda hyn mewn golwg, gofynnir i'r Cabinet gefnogi argymhelliad i'r Cyngor i drosglwyddo £1.8miliwn o'r Gronfa Gyffredinol i Gronfa Wrth Gefn wedi'i Chlustnodi i ddarparu cyllid ar gyfer costau untro sy'n gysylltiedig â chyflawni arbedion i gefnogi'r Cynllun Ariannol Tymor Canolig.

O ran gwariant cyfalaf, cyfanswm y gwariant ar Raglen Cyfalaf SATC ar gyfer 2017/18 oedd £42.2 miliwn. Arweiniodd Rhaglen Gyfalaf y Gronfa Gyffredinol ar gyfer 2017/18 at gyfanswm cyllid ar gael o £55.5 miliwn gan gynnwys yr holl ddyraniadau grant yn ystod y flwyddyn ac arian Adran 106. Roedd swm o £27.4miliwn heb ei wario ar ddiwedd y flwyddyn ariannol, mae'r mwyafrif ohono yn cynrychioli llithriant sydd wedi cael ei drosglwyddo i flwyddyn ariannol 2018/19.

Diolchodd y Cabinet i'r Swyddog a'i dîm am baratoi adroddiad alldro'r ddarpariaeth a gofynnwyd am eglurhad mewn perthynas â gorwariant a nodwyd yn y Gyfadran Addysg mewn perthynas â darpariaeth Addysg Heblaw yn yr Ysgol. Cadarnhawyd y byddai adroddiad manwl yn dod i'r Cabinet cyn bo hir ar y mater hwn. Croesawodd y Cabinet yr adroddiad a nodwyd uchod a chydabod yr angen i gefnogi dysgwyr mwyaf agored i niwed yn y fwrdeistref.

Yn dilyn ystyriaeth a thrafodaeth, cynigiwyd ac eiliwyd bod yr argymhellion yn yr adroddiad yn cael eu cymeradwyo. Cytunwyd ar hyn yn unfrydol drwy godi dwylo.

ARGYMHELLWYD i'r Cyngor am y rhesymau a gynhwysir yn adroddiad y Swyddog:

(i) nodi sefyllfa alldro dros dro 2017/18;

(ii) trosglwyddo £1.8miliwn o'r Gronfa Gyffredinol i Gronfa Wrth Gefn a Chlustnodwyd i ddarparu cyllid ar gyfer costau untro sy'n gysylltiedig â chyflawni arbedion i gefnogi'r cynllun Ariannol Tymor Canolig i gael ei gymeradwyo.

Terfynwyd y cyfarfod am 11.30 am.

Cymeradwywyd a llofnodwyd fel cofnod cywir yn amodol ar unrhyw gywiriadau a wneir yn y cyfarfod a gynhelir ar y 11eg Gorffennaf 2018.

CADEIRYDD

Gadewir y dudalen hon yn wag yn fwriadol



CABINET– 11TH JULY 2018

SUBJECT: FEDERATION OF SCHOOLS

REPORT BY: CORPORATE DIRECTOR FOR EDUCATION AND CORPORATE SERVICES

1. PURPOSE OF REPORT

- 1.1 To seek Cabinet approval to move to formal consultation, in partnership with each Governing Body, for the federation of the following schools:

Park Primary School and Gilfach Fargoed Primary School
Fleur de Lys Primary School and Pengam Primary School
Bedwas Junior School and Rhydri Primary School
Ynysddu Primary School and Cwmfelinfach Primary School.

2. SUMMARY

- 2.1 The report provides a background to the Welsh Government's Federation of Maintained School in Wales Regulations introduced in 2014. It outlines processes and practical aspects of establishing a federated school governing body.
- 2.2 The report identifies the Schools and Governing Bodies who wish to proceed to formal consultation in partnership with the Local Authority.

3. LINKS TO STRATEGY

- 3.1 The report links directly to the Authority's Corporate Plan and specifically Well-being Objective 2018 – 2023, Improving Education Opportunities for All.
- 3.2 The report contributes to the Well-being Goals within the Well-being of Future Generations Act (Wales) 2015. In particular, as follows:
- **A healthier Wales** – In supporting vulnerable learners to improve their well-being and educational achievement by pooling resources, experience and knowledge of both schools. Education is our greatest long term lever for improving the life chances of our learners.
 - **A more equal Wales** – By ensuring our learners fulfil their potential irrespective of backgrounds. Underpinning all of our work is a belief that someone's ability to benefit from education should not be determined by where they live. We will continue our drive to reduce inequalities and remove barriers to Education. Schools would work together formally to improve opportunities for all.

- **A Wales of cohesive communities** – By encouraging stakeholders to contribute to school planning and direction by a thorough and comprehensive consultation process.
- **A globally responsible Wales** – By contributing to the continued improvement of the Economic, Social, Environment and Cultural Well-being of the Borough.

4. THE REPORT

Background

- 4.1 The term “Federation” describes a formal and legal agreement by which a number of schools share Governance arrangements.
- 4.2 The Welsh Government’s Federation policy objective is to promote collaboration between all parts of the education system to improve outcomes. School federation is a more formal way of extending collaboration and promoting closer working relationships and is the principal initiative for achieving formal partnership working amongst schools to improve performance and narrow the attainment gap for deprived pupils.

Summary of Federation Regulations

- 4.3 The federation of schools is a legal process which enables schools to work together through a formal structured process by sharing a governing body that will make decisions in the best interest of all the schools, staff and pupils in that federation.
- 4.4 The term federation describes a formal and legal agreement by which a number of schools (between two and six) share governance arrangements and have a single governing body.
- 4.5 The most important reason for considering federation must be the benefits such an arrangement would bring for children and young people in the federating schools by enhancing educational provision through working together efficiently to raise standards, improve services and increase opportunities.
- 4.6 A federation can provide a foundation for sustainable long term development and improvement.
- 4.7 To be successful, federation needs to be based on a commitment to work as a group of schools and a willingness to do things differently for the added benefit of all pupils, their well-being and achievements.
- 4.8 One of the advantages of federation is that schools that federate remain in their communities and keep their individual identity. However the existing governing bodies will be dissolved and replaced by a new, single governing body which will have oversight of, and equal responsibility for, the work of all schools within the federation.
- 4.9 The membership of a governing body for a federation of schools is almost identical to the membership of an ordinary governing body with all stakeholders being represented although there is more flexibility in the proportions of representation of each category of governor. This means that a governing body of a federation can choose a constitution and membership which suits their particular circumstances as long as they have a minimum of 15 governors and no more than a maximum of 27 governors and adhere to the minimum and maximum numbers of governors set out in the regulations.

- 4.10 Schools in a federation will also be able to maintain their own delegated budget, name, character, school uniform and ethos, but will be able to explore the advantages of sharing resources such as facilities, IT, staff, school buildings, etc.
- 4.11 A decision to federate by either schools or LAs will not override the need for a LA to intervene or act on school improvement or school organisation issues.
- 4.12 Each school can retain its headteacher if it wishes although if a single headteacher and deputy headteacher post is created to manage all of the schools in the federation, those posts do not have to be advertised nationally if one of the headteachers or deputy headteachers expresses an interest in the post.
- 4.13 Each school has its own Estyn inspection, though increasingly these are co-ordinated to happen at the same time for all schools within the federation to minimise stress and disruption.
- 4.14 The governing body of a federation can use budget, resources and staff across the federation to improve the educational outcomes for all pupils.
- 4.15 An audit trail must be kept and separate accounts produced for each school in the federation.
- 4.16 The governing body of a federation cannot require existing staff to work across all schools within the federation, but they can negotiate with the school staff unions over whether flexible contracts can be introduced.
- 4.17 New staff can be appointed to work across schools in the federation.
- 4.18 It is a statutory requirement to seek the views of stakeholders on federation proposals, whether the federation has been proposed by the respective school governing bodies or the LA or in joint partnership.
- 4.19 Local authorities must allow the governing bodies 20 school days (excluding inset days) to respond to proposals and cannot establish a federation until a period of at least 100 days has expired from the date they publish proposals.

4.20 **What are the benefits of Federation?**

By entering into a Federation, the schools will agree to work together for the benefit of all pupils in the local area. There will be a formal arrangement where the schools share a single governing body. The schools retain their separate legal status and have their own budget allocations and Estyn inspections.

The shared governance structure will allow the schools to:

- Work together efficiently and sustainably to raise standards, improve services and increase opportunities for pupils and staff;
- Share resources, expertise and facilities;
- Federations do not bring cashable savings to the Local Authority but they may ease financial pressure within schools because resources can be shared and deployed across the Federation;
- A single strategic Federation Governing Body means that the schools can work formally together to improve opportunities for children. This may lead to:
 - Broader learning and social experiences for children;
 - Better continuity of provision from early years to the end of the primary schooling;

- Strong leadership using more strategic leadership and management structures, allowing school-based leaders to focus on teaching, learning and raising standards;
- Opportunities to develop future leaders;
- An aligned and coherent curriculum, increasing the opportunity to fulfil individual pupils' needs, extending curriculum entitlement and giving the potential to share resources;
- A single Federation Development Plan, single school policies, reducing duplication;
- More opportunities to share resources, particularly for arts, music and sport.
- A Federation would allow each school to keep its own individual character within a strong overarching partnership and each school will be able to learn from each other. There is no blueprint for a Federation but schools will have the opportunity to work together to shape their Federation, so that it is able to meet the needs of the pupils and communities.

4.21 **What are the challenges of Federation?**

Some of the challenges to taking forward a Federation are as follows:

- Building trust between governors and school communities;
- Need to ensure full commitment from all schools involved;
- Need to develop and agree a shared vision for the school;
- Need to ensure clear governance and leadership structures;
- Need to ensure sufficient time for all parties to be at ease with the proposed changes;
- All partners should feel equally valued;
- Increasing the workload of governors, particularly during inception and first year of establishing a Federation;
- Potential loss of experienced governors;
- Operational issues - increased workload for a single headteacher;
- Estyn inspections – currently, Estyn inspects each school within a Federation separately.

For a Federation to succeed, it is imperative that trust is developed between the governors and individual school communities. It also requires full commitment from the schools involved and a shared vision for the development of the Federation.

4.22 Due to the successful informal collaboration already established at the 4 groups of schools the majority of the challenges identified in 4.21 have already been successfully addressed

4.23 **Composition of the Governing Body**

The regulations stipulate that each federated governing body should have a minimum of 15 Governors and a maximum of 27 with a proposed composition made up as follows for each federated school:

- at least one but no more than two parent governors elected or appointed to represent the interests of parents of registered pupils at that school;
- at least one but no more than two teacher governors;
- at least one but no more than two staff governors;
- at least two but no more than four LA governors;
- at least two but no more than four community governors;
- the head or acting head of the federation, if one is appointed or the headteacher or acting headteacher of each school in the federation unless those persons resign as a governor.

4.24 The present position with all 8 governing bodies is as follows:

Bedwas Junior/Rhydri Primary

The schools have been informally “collaborating” since September 2014.
There are 18 Governors in total on each of the Governing Bodies.

The Governing Body of both schools have agreed to proceed to formal consultation for federation status in partnership with the Local Authority, subject to Cabinet approval. A draft consultation document has been produced. This is attached as Appendix 1.

Pengam/Fleur De Lis Primary Schools

The schools have been informally “collaborating” since September 2007.
There are 24 Governors in total on each of the Governing Bodies.

The Governing Body of both schools have agreed to proceed to formal consultation for federation status in partnership with the Local Authority, subject to Cabinet approval. A consultation document will be produced mirroring that attached at Appendix 1.

Cwmfelinfach/Ynysddu Primary Schools

The schools have been informally “collaborating” since September 2013.

There are 23 Governors in total on each of the Governing Bodies.

The Governing Body of both schools have agreed to proceed to formal consultation for federation status in partnership with the Local Authority, subject to Cabinet approval. A consultation document will be produced mirroring that attached at Appendix 1.

Park/Gilfach Primary Schools

The schools have been informally “collaborating” since September 2016.

There are 24 Governors in total on each of the Governing Bodies.

The Governing Body of both schools have agreed to proceed to formal consultation for federation status in partnership with the Local Authority, subject to Cabinet approval. A consultation document will be produced mirroring that attached at Appendix 1.

4.25 Given the composition of the Federated Governing Body outlined in 4.23 all Governors of the 8 individual schools could be accommodated on the new Federated Governing Bodies.

4.26 The categorisation of the schools is very positive with 6 categorised as green, 1 as yellow and 1 as amber.

4.29 **The Federation process**

In establishing a Federation the following steps need to be noted:

Step 1: Exploration and Preparation

This phase involves:

- Report specified as an item on Governing Body agenda;
- Governing Body to give preliminary consent to an agreement to explore Federation options from School(s) involved and the Local Authority;
- The co creation of an initial briefing paper for consideration of staff and governing bodies;
- Agreement of the key drivers and purpose for Federation;
- Informing staff in both schools of the process and any implications and keeping unions informed;
- Setting up a working group with representatives from both schools to draft a formal Proposal Report;
- Determining a date for the operative start of Federation.

Step 2: The report and consultation

- The governing bodies in partnership with the Local Authority to prepare a formal Proposal report to consult with all stakeholders.

This report will:

- Include full details of proposal including the size/composition of single governing body, senior staff arrangements and management arrangements, admissions, authority (ies) deadline for comments – 20 days from publication;
- Explain reasons for Federation and benefits (and how potential challenges would be met);
- Include the date for when Federation takes place – must be at least 100 days from the date proposals are published, i.e. sent to stakeholders;
- Consultation with stakeholders – Local Authority, parents/carers, staff of all schools, school staff unions.

Step 3: Post consultation

- Governing bodies and local authority to consider responses;
- Provide a summary report of responses for each governing body to consider.

Step 4: Implementation

- Governing bodies and local authority meet to make the final decision on nature and timing of Federation;
- Governing bodies and local authority inform stakeholders of decision;
- Local Authority in consultation with the governing bodies liaise over the new Instrument of government and election and appointment of new governors;
- Consider making arrangements for governor support for the Federating schools in the interim before the joint governing body is in place;
- Senior leadership roles and responsibilities formalised;
- Joint Committee of governors is established and provides strategic planning and roll out the Federation;
- Single governing body meets to elect chair and vice chair;
- Calendars and professional processes aligned;
- Look at how new technologies can support Federation development.

Step 5: Evolution

- Implementing new systems and structures, policies and practice;
 - New staff roles operating (Performance Management structure and process);
 - School Development Plan targets resources and expertise at raising standards across the Federation;
 - Monitoring and review by governing body, staff and the local authority.
- 4.30 Officers have met with all Governing Bodies concerned who have formally agreed to proceed to formal consultation on the proposal. Although the Governing Bodies could proceed in isolation each Governing Body have requested the Local Authority consider the proposal and agree to proceed in partnership with the individual schools to formal consultation.
- 4.31 The next stage of the process, subject to Cabinet approval, would be to commence the consultation process for all 4 groups of schools. It is expected that this process will commence early in the Autumn term, subject to the detailed timeline, being agreed by each Governing Body.
- 4.31 A draft consultation document is attached at Appendix 1 which will be adapted for each of the school federations outlined above should the proposals be endorsed.

5. WELL-BEING OF FUTURE GENERATIONS

- 5.1 This proposal contributes to the Well-being Goals as set out in Links to Strategy above. It is consistent with the five ways of working as defined within the sustainable development principle in the Act in that:
- **Long Term** - The Federation principle will allow schools to formally work together effectively to raise standards, improve service and increase opportunities. This will allow for the sharing of expertise, resources and facilities.
 - **Prevention** - Improving the use of Education resources across the schools will support pupils in their long term education and skills outcome in that they are more likely to succeed if their Educational experience is positive.
 - **Integration** – An aligned and coherent curriculum increasing the opportunities to fulfil individual pupil needs, extending curriculum entitlement and giving the potential to share resources. This will allow for better continuity of provision from early years to the end of Primary schooling
 - **Collaboration** – A single development plan, single school policies, reducing duplication and also providing the opportunity to share resources but at the same time allowing each school to retain its own individual character within a strong overarching partnership where each school will be able to learn from each other.
 - **Involvement** – Through the consultation process the Council will ensure that there is full engagement with all relevant stakeholders, e.g. parents, pupils and the local community.

6. EQUALITIES IMPLICATIONS

- 6.1 The Equality impact assessment is not needed because the report is formalising a partnership that is already in existence, therefore the Council's full EIA process does not need to be applied.

7. FINANCIAL IMPLICATIONS

- 7.1 The Federation process does not bring any savings to the Local Authority but may ease financial pressures within schools by sharing resources which can be deployed across the federation.

8. PERSONNEL IMPLICATIONS

- 8.1 Due to collaboration arrangements already being in place, in all 4 groups of schools, for a number of years there are no personnel implications anticipated directly resulting from this proposal.
- 8.2 Governing Bodies have the responsibility for the management of staffing within schools.

9. CONSULTATIONS

- 9.1 The draft report was distributed as detailed below. All comments received have been reflected in the report.

10. RECOMMENDATIONS

- 10.1 To seek Cabinet approval to proceed to formal consultation on the proposal to federate the following groups of schools:

Park Primary School and Gilfach Fargoed Primary School
Fleur de Lys Primary School and Pengam Primary School
Bedwas Junior School and Rhydri Primary School
Ynysddu Primary School and Cwmfelinfach Primary School.

- 10.2 Following the consultation exercise a further report will be presented to cabinet for final determination on the proposal.

11. REASONS FOR THE RECOMMENDATIONS

- 11.1 To work in partnership and support the groups of schools identified in 1.1 in undertaking a consultation exercise on federation which if approved will formalise the successful collaboration that has been in place for a number of years.

12. STATUTORY POWER

- 12.1 Federation of Maintained Schools (Wales) Regulations 2014
School Organisation Code 2013 (Welsh Government)
School Standards & Organisation (Wales) Act 2013

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Anwen Cullinane, Senior Policy Officer (Equalities and Welsh Language)
Lisa Lane, Interim Monitoring Officer
Ros Roberts, Performance Manager
Steve Harris, Deputy Section 151
Jane Southcombe, Education Finance Manager

Appendix 1 - Draft consultation document re Federation of Bedwas Junior and Rhydri Primary Schools.

Background Papers: Welsh Government Federation Process of Maintained Schools in Wales May 2014.

Gadewir y dudalen hon yn wag yn fwriadol

Proposal to Establish a School Federation

Incorporating Bedwas Junior and Rhydri Primary schools

Consultation Document



Caerphilly County Borough Council

Governing Body, Bedwas Junior School

Governing Body, Rhydri Primary School

September 2018

FOREWORD

Both Bedwas Junior and Rhydri Primary schools have worked on a collaborative basis since 2014 and have shared a headteacher.

This collaborative approach continues to impact positively on both schools.

This arrangement is fully supported by the Local Authority (Caerphilly County Borough Council).

The Governors and Local Authority are working in partnership to establish a formal federated arrangement for both schools for the future.

Whilst both schools will continue to have their individual identities as regards name and continue to manage their own budgets, the process involves establishing a single governing body.

Caerphilly County Borough Council is responsible for promoting high educational standards and for delivering efficient primary and secondary education. Having effective leaders in our schools is considered central to this and is a challenge facing councils across Wales.

This consultation document sets out the case for a change to the leadership and governance arrangements at Bedwas Junior and Rhydri Primary schools.

The main purpose of this document is to provide information and to gather the views of identified stakeholders. Page 20 includes a response pro-forma which can be returned to either Bedwas Junior School, Rhydri Primary School, or the local authority.

We look forward to receiving your views on the proposal.

Samantha Graf
Chair of Governors
Bedwas Junior School

Judith Wright Rees
Chair of Governors
Rhydri Primary School

Keri Cole
Chief Education Officer
Caerphilly County Borough Council

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The Proposal

The Governing Bodies of Bedwas Junior and Rhydri Primary schools propose to use the powers granted to it by the Federation of Maintained Schools (Wales) Regulations 2014 to establish The Federation of Bedwas Junior and Rhydri Primary schools.

The governors of both Bedwas Junior and Rhydri Primary schools have consulted with the Local Authority (Caerphilly County Borough Council) and all parties are in support of the proposal.

The aim of the Federation is for the schools to work in partnership to:

- develop the excellent shared practice that guarantees outstanding experiences and increased opportunities for pupils and staff
- develop the common goals and reflective approaches to teaching and learning that will ensure that both communities benefit from a quality education.

This will ensure significant positive outcomes and improved standards for all.

The term 'Federation' describes a formal and legal agreement by which the schools involved work together in formal partnership under a single governing body. The existing governing bodies will be dissolved and replaced by a new, single governing body with strategic oversight of both schools.

The proposed name of the Federation is 'The Federation of Bedwas Junior and Rhydri Primary Schools'.

If the proposal is accepted, the Federation will come into being on April 2019.

Background

Attainment and achievement at Bedwas Junior School has steadily improved in recent years. There is an established, effective leadership team and a committed staff with a shared vision for the school. This has impacted positively on standards in teaching and learning.

In September 2013, Rhydri Primary School was placed in special measures by Estyn following an unsatisfactory inspection. During this period, standards of learning and the quality of provision continued to decline. In addition, the school was faced with a number of challenges with regards to staffing which resulted in high absenteeism for teachers and the school leadership team. The school was also faced with an increasing deficit budget.

As a result of the above, both schools have worked on a collaborative basis since 2015 and have shared a Headteacher. This resulted in a successful Estyn inspection in July 2015 where Rhydri Primary was considered to have made significant progress and therefore no longer needed to be identified as a school in special measures.

This collaborative approach remains in place and continues to impact positively on both schools.

Bedwas Junior School is an English Medium, 7-11, mixed, community school.

The school characteristics (2017) are as follows:

Capacity	173
Admission Number	43
Pupils on roll (September 2017)	157
School budget per pupil	£2816
Free School Meals (FSM) – 3 year average (2015-2018)	15.4%
Pupil Teacher ratio	22.0
Attendance during the year	95.2%
Pupils achieving the expected level in the core subjects at key stage 2	95.9%
Support Category (2018)	Green

Bedwas Junior School is a categorisation green support category. This means it is a highly effective school which is well run, has strong leadership and is clear about its priorities for improvement. This school has a track record in delivering excellent outcomes for their pupils and have the capacity to support other schools to do better.

Rhydri Primary School is an English Medium, 3-11, mixed, community school.

The school characteristics (2017) are as follows:

Capacity	91
Admission Number	13
Pupils on roll (September 2017)	75 (plus 13 nursery)
School budget per pupil	£3565
Free School Meals (FSM) – 3 year average (2015-2018)	2.1%
Pupil Teacher ratio	17
Attendance during the year	96.7%
Pupils achieving the expected level in the core subjects at key stage 2	100%
Support Category (2018)	Yellow

Rhydri Primary School is now categorised in the yellow category, showing significant progress.

The two schools are located only 2.9 miles apart.

The two schools are moving towards a shared ethos, the leadership team has the support of the staff of both schools who are working to raise standards.

By entering into a federation, the two schools can work together under shared leadership to utilise their strengths to improve standards across the federation and together address areas in need of improvement.

By federating under one governing body, the climate of trust, openness and willingness to work together that already exists can be further enhanced. The governing body will ensure there is fairness in the share of the budget allocated to each school.

Federation (Wales) : A Summary

Policy :

The Welsh Government's policy objective is to promote collaboration between all parts of the education system to improve outcomes. School federation is a more formal way of extending collaboration and promoting closer working relationships.

Legislation :

The Federation of Maintained Schools (Wales) Regulations 2014.

Summary :

The federation of schools is a legal process which enables schools (between two and six) to work together through a formal structured process by sharing a governing body that will make decisions in the best interest of all the schools, staff and pupils in that federation.

The most important reason for considering federation must be the benefits such an arrangement would bring for children and young people in the federating schools by enhancing educational provision.

A federation can provide a foundation for sustainable long term development and improvement.

To be successful, federation needs to be based on a commitment to work as a group of schools and a willingness to do things differently for the added benefit of all pupils, their well-being and achievements.

One of the advantages of federation is that schools that federate remain in their communities and keep their individual identity. However the existing governing bodies will be dissolved and replaced by a new, single governing body which will have oversight of, and equal responsibility for, the work of all schools within the federation.

The membership of a governing body for a federation of schools is almost identical to the membership of an ordinary governing body with all stakeholders being represented although there is more flexibility in the proportions of representation of each category of governor. This means that a governing body of a federation can choose a constitution and membership which suits their particular circumstances as long as they have a minimum of 15 governors and no more than a maximum of 27 governors and adhere to the minimum and maximum numbers of governors set out in the regulations.

Schools in a federation will also be able to maintain their own delegated budget, name, character, school uniform and ethos, but will be able to explore the advantages of sharing resources such as facilities, IT, staff, school buildings etc.

A decision to federate by either schools or LAs will not override the need for a LA to intervene or act on school improvement or school organisation issues.

Key facts:

There will be a single governing body with strategic oversight of all schools within the federation.

Each school retains its name, category, budget, staff and remains in its community.

Each school can retain its headteacher if it wishes although if a single headteacher and deputy headteacher post is created to manage all of the schools in the federation, those posts do not have to be advertised nationally if one of the headteachers or deputy headteachers expresses an interest in the post.

Each school has its own Estyn inspection, though increasingly these are co-ordinated to happen at the same time for all schools within the federation to minimise stress and disruption.

The governing body of a federation can use budget, resources and staff across the federation to improve the educational outcomes for all pupils.

An audit trail must be kept and separate accounts produced for each school in the federation.

The governing body of a federation cannot require existing staff to work across all schools within the federation, but they can negotiate with the school staff unions over whether flexible contracts can be introduced.

New staff can be appointed to work across schools in the federation.

Consultation Process

It is a statutory requirement to seek the views of stakeholders on federation proposals, whether the federation has been proposed by the respective school governing bodies or the LA.

This document represents the responsibility under The Federation of maintained Schools (Wales) Regulation 2014 to consult with appropriate stakeholders.

The main purpose of this document is to provide information and to gather the views of identified stakeholders.

The Governing Bodies will seek the views of the following stakeholders :

- Pupils, staff, governors and parents/guardians of both schools
- Parents/guardians of Bedwas Infants School
- Teaching and support staff associations

The consultation document will also be distributed to the following :

- Bedwas High and St Martins Comprehensives and their feeder Primary schools
- Local CCBC Members *
- Local Town and Community Councils *
- Local and Regional Assembly Members *
- Member of Parliament (Caerphilly constituency)
- Local CCBC Libraries *
- CCBC Youth Forum
- ESTYN
- Catholic Diocesan Board of Education
- Community groups using either school premises.

A copy of the proposal will also be published on the Council's website.

A copy of the proposal will also be available for inspection at all reasonable times at both schools in the proposed federation.

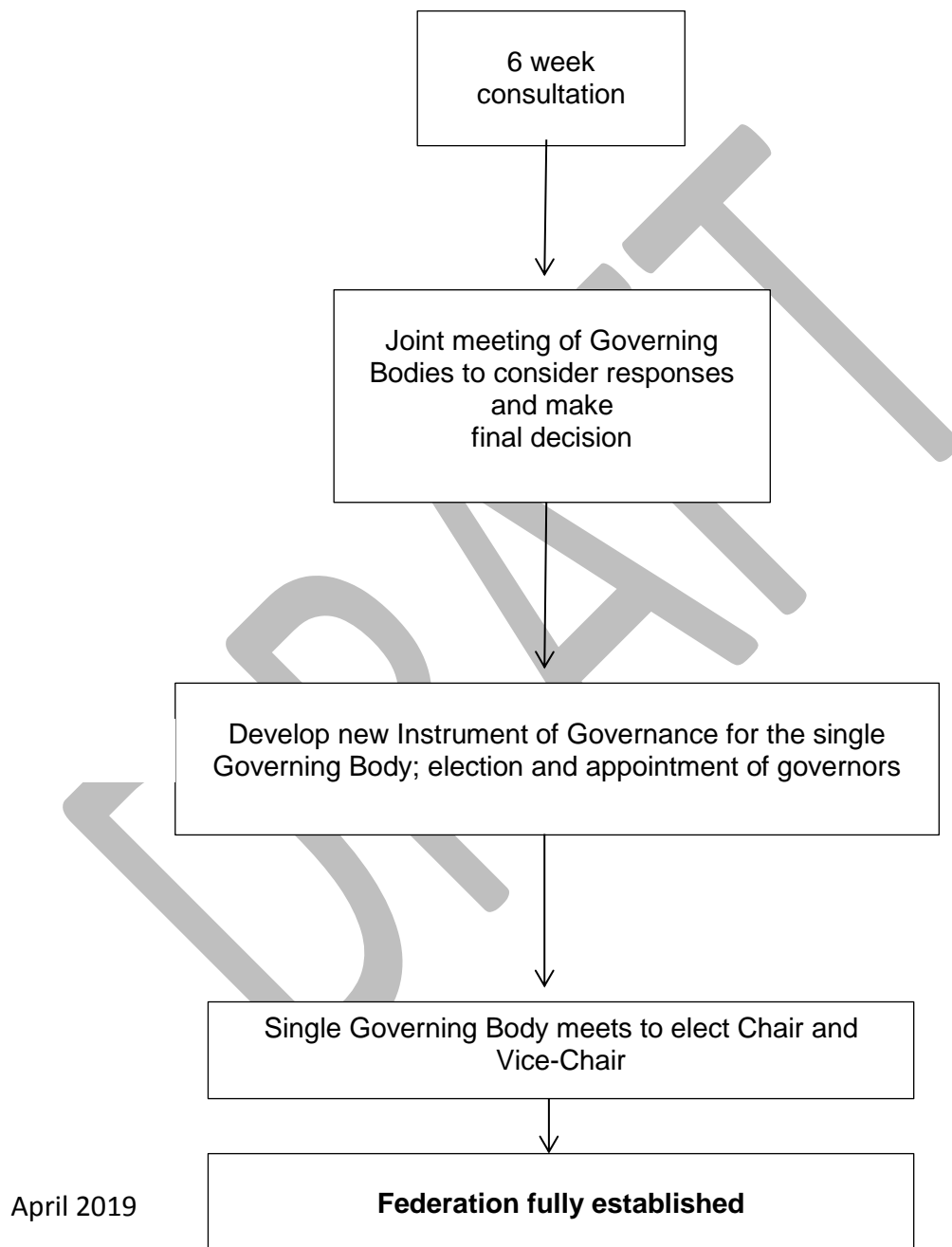
The comments received from the consultation process will be reported to the governing bodies and local authority for determination.

The consultation period for this proposal will be 6 weeks from XXXXXXXX (to be agreed by each governing Body)

During this period, you may express your views in writing to Keri Cole, Chief Education Officer, Caerphilly County Borough Council, Ty Penallta, Ystrad Mynach, Hengoed, CF82 7PG, or by completing the response form on page 20 and returning to the above address or e-mail to spraggj@caerphilly.gov.uk

The timeline for the proposed Federation is shown in the following diagram:

(Timeline to be agreed with Governing Body)



Admission Arrangements

The admission arrangements for each school will remain unchanged. The Local Authority is the admissions authority for each school. Parents will apply for a place for their child at the school of their choice, not at the Federation, as each school in the federation is a separate school. If the child is not given a place in the school they choose, a separate application will have to be made to attend a different school. This is the case even if the second school applied for is the other school in the federation.

Composition of the Current Governing Bodies:

	Bedwas Junior School	Rhydri Primary School
LA Appointed	3	0
Headteacher	← 1 →	
Teacher	1	1
Staff	1	1
Parent Governor	4	3
Community Governor Appointed by Community	1	2
Appointed by GB	1	0
Total	11	7

The benefits of federation:

- Consistency of teaching and learning methodology, especially cross-phase.
- Streamlining of policies and structures.
- Sharing of good practice, preparation materials and resources.
- Enhanced opportunities for pupil activities.
- Enhanced opportunities for staff professional development.
- Increased opportunity for middle management development.
- Schools have options to choose a senior leadership structure to suit their circumstances leading to easier recruitment of staff and headteachers particularly if there have been difficulties.
- Opportunities for school leadership beyond a single school.
- Opportunities to maximise resources and professional expertise and achieve financial efficiencies from economies of scale.
- Promotes the broader welfare of students by offering potential for bringing together pastoral, health, careers, youth and other services to meet their all-round needs.
- Support for schools in difficulty. Schools with strengths can contribute to the learning of others.
- Supports school improvement by enabling schools to draw on the resources of other schools to tackle problems, share expertise, raise expectations and address the needs of particular groups of pupils.
- Possible easier recruitment of governors with fewer governor vacancies.
- Small schools in particular can additionally benefit by: Developing networks for personal support. Sharing expertise and resources. Organising professional development. Arranging joint pupil activities

Keys to a successful federation

- Building of trust between LAs, governors and school communities which is fundamental to the success of federations and must be fostered at every level of management.
- Commitment of time and resources from all schools involved.
- Shared vision and a common purpose of what needs to be done and how for improving attainment and achievement at all level.
- Shared identity between schools e.g. geographical proximity and having common aims on curricular and non-curricular activities
- Clear leadership and management structures.
- Sufficient time for all parties to be at ease with the proposed changes.
- All to feel like equal partners.
- Sense of ownership of process by the schools.
- Good communication with parents and staff over the changes brought by federation.

Challenges of federation

Some of the challenges to taking forward a Federation are as follows:

- Building trust between governors and school communities;
- Need to ensure full commitment from all schools involved;
- Need to develop and agree a shared vision for the school;
- Need to ensure clear governance and leadership structures;
- Need to ensure sufficient time for all parties to be at ease with the proposed changes;
- All partners should feel equally valued;
- Increasing the workload of governors, particularly during inception and first year of establishing a Federation;
- Potential loss of experienced governors;
- Operational issues - increased workload for a single headteacher;
- Estyn inspections – currently, Estyn inspects each school within a Federation separately.

For a Federation to succeed, it is imperative that trust is developed between the governors and individual school communities. It also requires full commitment from the schools involved and a shared vision for the development of the Federation.

Frequently Asked Questions

Q1. What is a Federation?

A federation is a legal governance structure where between two and six schools share a single governing body. The schools will retain their individuality, their own name, ethos, budget and school uniform but could share resources, facilities and good practice.

Q2. Why should schools federate?

Working together through a single governing body structure enables schools to raise standards and maintain local education provision by sharing resources, staff, expertise, and facilities and sharing best practice. A single governing body also provides an effective and accountable mechanism for schools to pool resources, including staff and budgets, release capacity in the senior management team and gain economies of scale and efficiencies.

Q3. What are the benefits of federation?

Federation will allow schools to more easily :

- extend the breadth and quality of provision
- respond to pupils' wider needs
- facilitate the release of our strongest school leaders teachers and governors to assist poorer performing schools
- widen opportunities for staff professional development
- deliver greater value for money.

Q4. Why might small schools benefit from federation?

Federation can help small rural primary schools to remain sustainable within their communities. The shared governing body provides an effective and accountable mechanism for schools to pool resources and staff, gain economies of scale and efficiencies that enable them to remain viable. Smaller schools in more rural and isolated areas could also gain as federation could open up opportunities to share management, governing body responsibility and curriculum expertise. For small primary it would allow them to deliver an enriched primary education by for example, sharing a specialist language teacher or drama teacher.

Q5. What are the benefits and risks of Federation?

There are a number of benefits for schools from being within a federation including broader learning and social experiences for children leading to improvement in pupil performance. Schools will be able to share resources, best practice, facilities and expertise. There can be further emphasis on strategic leadership and management structures, and staff will have new opportunities to work together and reduce isolation. Duplication of effort can be avoided and there is an opportunity to promote better economies of scale.

Some of the risks include the potential organisational difficulties in providing a curriculum across a number of schools. Communication with parents and staff at different schools may present a challenge. Travel costs may be higher if staff and pupils move between schools to meet curriculum needs. There may also be relationship and trust issues for governors, headteachers and staff working across schools. The federated governing body should be aware of the potential risks and have strategies and actions to mitigate them.

Q6. Will my school lose its identity within a Federation?

Schools within a federation will not lose their individual identity though they will share a single governing body. The schools retain their separate legal status and have their own budget allocations and will be subject to their own Estyn Inspection. The schools will also remain in their community and retain their own character, name, ethos and school uniform. Whilst each school receives and must account for its own separate budget, there is scope, through the single governing body, to use pooled budgets across the schools in the federation. Federation works on the basis that all schools have their own particular strengths and advantages, whether it is facilities, staff or resources.

Q7. What are the Inspection arrangements for Federated Schools?

Estyn's document 'When will the next school inspection take place?' sets out guidance on inspecting federated schools. The Education (School Inspection) (Wales) Regulations 2006 require Estyn to inspect maintained schools every six years and produce an individual report for each school. This would also apply to schools in the federation. Estyn cannot move a school inspection to later than six years but may carry out inspections in a way that the schools in a federation are inspected in the same term, especially where the schools have the same headteacher. Estyn would also consider requests from a governing body or LA to inspect schools in the same term. Estyn would also try to ensure that the inspection teams for the schools in a federation have overlapping membership.

Q8. What happens to staff within a federation? Will their Conditions of Service change?

In a federation, all staff would be employed on the same conditions of service as now and by the same employer. Whoever is the employer of staff will continue to be the employer under the contract of employment. For community, voluntary controlled, community special schools and maintained nursery schools, the LA is the employer under the contract of employment although the governing body of the federation retains responsibility for certain staffing functions i.e. staff grievance, capability, redundancy, staff disciplinary and dismissal matters and appointments. The governing body is the employer under the contract of employment for staff in voluntary aided and foundation schools.

Combined strategic and financial planning should mean that jobs can be better protected in any combined period of contraction and that specialist staff can be used to best effect, recognising that all support and teaching staff have specialist skills and knowledge. Staff would be able to learn from each other within a coherent approach to deliver professional learning communities that use data and the National Model to focus on school improvements that link to national priorities and their school development plans.

The governing body of a federation would also be able to appoint new staff to work within all schools in the federation. This could include the appointment of a single headteacher with responsibility for all the schools in the federation, or the appointment of a Bursar or person with financial management skills and/or business management skills to oversee the non teaching aspects of the federation business.

Q9. Can a federation have a single headteacher with responsibility for all the schools in that federation?

Yes, if that is what the schools wish to have and this might be a viable option in a federation of small rural primary schools. Where this option is chosen for a larger federation of up to six schools, i.e. a secondary school and its feeder primary schools where each of those schools has a large number of pupils, governing bodies and local authorities should consider how this arrangement could be managed and any support structure a single headteacher might require. For example, consideration could be given to implementing a management structure that addresses the individual needs of each of the schools whilst also supporting curriculum continuity across the federation. This could mean having staff in each school whose purpose is to focus on teaching and learning supplemented by a structure of posts that work across the federation, all of which would be managed by a single headteacher.

Another option governing bodies and local authorities may consider is for the federating schools to retain headteachers in each of the schools instead of appointing a single headteacher.

From a day to day operational perspective schools may wish to adopt a third option which would be to appoint a head of the federation and retain a headteacher in each of the schools. If this arrangement was agreed, from a governance perspective only, the overarching headteacher in charge of the federation, if such an appointment is made, would be a member of the governing body. If no such appointment is made the headteachers of all the schools may be governors.

Q10. Would the 'headteacher' with overall responsibility for the federation be responsible for managing headteachers of each school in the federation if that is the agreed structure? .

The governing body may choose to appoint a single head of the federation with full responsibility for all of the schools in the federation and have only a senior teacher or deputy headteacher in charge of each school. If the teacher in charge is not a qualified headteacher carrying out the full range of statutory duties of a headteacher, then the head of the federation would be responsible for the performance management of those staff. The governing body would be responsible for the performance management of the head of the federation.

Q11. How should heads of federations be paid?

Following a recommendation from the School Teachers' Review Body (STRB) the Department for Education in England is currently updating the Teachers' Pay and Condition document to reflect interim payments for head teachers who take responsibility for more than one school.

Q12. Are parent governors elected by the parents from their school only or from parents across all schools in the federation?

The proposal for federation should state the number of parent governors from each school which in law is that every school must have at least one parent governor elected by the parents (or appointed by the governing body if no parent stands for election), at that school but no more than two parent governors per school. It is reasonable therefore that once a decision has been made as to how many parent governors each school would have, the parents of only that school should vote in the parent governor elections. If the decision is that a school should have two parent governors each, and no parents in a particular school stand for election or only one parent stands for election, the federated governing body may appoint parent governors in accordance with Schedule 2 of the 2014 Federation Regulations. This means that the governing body could appoint a parent of a registered pupil at the school; or the parent of a registered pupil from another school in the federation; or the parent of a child of compulsory school age (or under compulsory school age for a nursery school).

Q13. Can a Federation be time-limited?

A federation should be seen as a long term commitment and not as a quick fix. The LA or respective governing bodies will have considered in depth the benefits and risks of establishing a federation in relation to the impact on children and young people's achievements. A federation would put in place strategic and operational plans to insure the sustainability and development of the schools. That will require medium to long term planning. Nonetheless, the 2014 Federation Regulations do allow individual schools to leave a federation and for a federation to be dissolved.

Q14. What are the differences between school federation and school mergers?

If two schools merge they may remain open in their community but they become one multiple site school with a single name, governing body, headteacher, ethos, budget, character and school uniform. In a merger there would only be one headteacher and it is possible there would be redundancies or staff would have to re-apply for posts in the new single school. In a multi site schools the LA could also close one of the school sites and transfer the pupils to the other sites without the need to go through statutory proposals.

In a federation, the schools remain open in their communities but they also retain their own individuality, name, ethos, character budget and school uniform. Staff would also keep their jobs and may have wider opportunities for further professional development by working across the schools in the federation. Headteachers may also remain in post although some federations may only have a single headteacher. Schools in a federation can be closed as part of school organisation proposals but the LA would have to apply the statutory proposals process to do this.

Q15. What may influence schools in deciding whether to merge and become a single school or federate?

The LA may have long term plans for school organisation within their area and schools would need to consider these and discuss with their LA, which option is more beneficial for them and fits in with the LA's overall plans.

Q16. Should we be working collaboratively as a first step with schools we may be thinking of federating with?

If you work collaboratively with other schools it may help you to create trust between the schools and will enable you to foster a good working relationship which will make it easier for the schools to take the next step and federate. Federation will be successful where the staff and governors are committed to working together for the benefit of the school communities.

Q17. Can schools establish a joint governing body before formally federating?

No – the governing body of the federated schools comes into being on the date the federation comes into force which must be at least 125 days from the date the federation proposals are published (or 100 days if small schools are being federated). This means that the governing bodies of the schools that are federating will have to have held elections for the core governors i.e. parents, teacher and staff and the LA will have to have appointed their LA governors. On the date the federation comes into force the newly constituted single governing body can meet and appoint their community governors. The schools may however set up a joint working group or committee of governors to oversee the federation process if they wish.

Q18. Can we change the name of the school and or give all the schools in the federation the same name?

One of the key drivers and benefits for federation is that schools do not lose their individuality, name and identity and remain as separate establishments. The names of all the schools in the federation will appear on the new instrument of government as well as the name of the federation. The process for revising the instrument of government and changing details such as the names of the schools is set out in the Government of Maintained Schools (Wales) Regulations 2005. The LA and the governing body should reach an agreement on the proposed changes. If they cannot the final decision rests with the LA who will want to ensure that any changes are not misleading.

All schools in a federation must retain their individual reference number and budget and it could become quite complex and confusing if all the schools decided to change their name and adopt a single name when they have to account for separate budgets.

DRAFT

Response Form

Proposal to Federate Bedwas Junior and Rhydri Primary Schools

Please note that we will make any comments that you make publicly available as part of the subsequent report. You are not required to provide your personal details. All the information you provide will be handled in accordance with the Data Protection Act 2018.

Please provide your comments on the proposal to federate Bedwas Junior and Rhydri Primary schools:

Alternatively, you may wish to indicate which of the following most accurately reflects your views:

- I do not feel strongly one way or the other
- I support the proposal
- I do not support the proposal

Print Name: _____

Category of respondent (e.g. parent) _____

Address: _____

Postcode: _____ E-mail: _____

Once completed, please return to:

- Keri Cole, Chief Education Officer, Caerphilly County Borough Council, Ty Penallta, Ystrad Mynach, Hengoed, CF82 7PG. Email Spraggj@Caerphilly.gov.uk

The closing date for responses is XXXXXX



CABINET – 11TH JULY 2018

SUBJECT: 21ST CENTURY SCHOOLS AND EDUCATION BAND A PROGRAMME – UPDATE AND PROPOSED ALLOCATION OF UNDERSPEND

REPORT BY: CHIEF EDUCATION OFFICER

1. PURPOSE OF REPORT

- 1.1 The purpose of this report is to update Members on the financial position of the Band A programme and to seek agreement for the projected underspend to be allocated to a refurbishment project at Trinity Fields Special School, subject to approval of the business case by Welsh Government.

2. SUMMARY

- 2.1 The report provides an update to Members on the current financial position of the Band A 21st Century School and Education Programme (£56.5 million).
- 2.2 Based on the projected outturn figures identified in 4.3 below, the current projected underspend within the Band A programme is £940,120. This is subject to change until the outturn figures are confirmed for each scheme.
- 2.3 The report proposes that the projected underspend is allocated to a refurbishment project at Trinity Fields Special School.
- 2.4 Subject to Member approval for use of this underspend a detailed business case, incorporating full costings, will be compiled and submitted to Welsh Government for consideration.

3. LINKS TO STRATEGY

- 3.1 The Band A 21st Century School and Education Programme contributes to the Well-being Goals within the Well-being of Future Generations Act (Wales) 2015. In particular, as follows:
- **A prosperous Wales** – By providing fit for purpose schools in order to support the development of a skilled and well educated population, which provides employment opportunities which will equip our learners in securing appropriate employment. Through better education and providing skills for life we can help to break the cycle of disadvantage and inequality over the longer term.

- **A resilient Wales** – By developing an eco friendly school environment to provide a better sustainable environment for our current and future generations.
- **A healthier Wales** – By providing community schools that can be used to provide health, physical and community services, as well as promoting healthy lifestyle choices amongst pupils, parents and child care providers. Education is our greatest long term lever for improving the life chances of our learners. Ensuring young people particularly vulnerable learners have the environments that can improve and support their well being.
- **A more equal Wales** – By ensuring our learners fulfil their potential irrespective of backgrounds, circumstances and individual needs. Underpinning all of our work is a belief that someone’s ability to benefit from education should not be determined by where they live or their individual requirements. We will continue our drive to reduce inequalities and remove barriers to Education.
- **A Wales of cohesive communities** – By improving the quality of life for our most vulnerable learners with attractive, viable, safe and well connected communities
- **A Wales of vibrant culture and thriving Welsh language** – By ensuring there are 21st Century sports and specialist facilities within our schools for both Community and school use.
- **A globally responsible Wales** – By contributing to the continued improvement of the Economic, Social, Environment and Cultural Well-Being of the Borough.

3.2 The report links directly to the Education, sustainability and regeneration strategies, particularly in the context of provision of modern fit for purpose teaching and learning environments.

3.3 The report links directly to the Authority’s Corporate Plan and specifically Well-being Objectives 2018-2023, Improving Education Opportunities for All.

4. THE REPORT

4.1 The Band A 21st Century Schools and Education Programme (2014-2019) approved an allocation of £56.5 million for improvement/new build schemes at the schools identified in 4.3 below.

4.2 As Members are aware the funding is on a 50/50 basis with Welsh Government and CCBC has already set aside its share of the £56.5 million sum.

4.3 The current projected outturn for each of the schemes within the Band A 21st Century Schools and Education programme is shown below:-

- Y Gwyndy - £19,235,189
- Islwyn High School - £22,580,329
- Blackwood Comprehensive School refurbishment plus 3G pitch - £2,810,000
- Idris Davies 3-18 £7,854,362
- Newbridge School extension and Cwmcarn High demolition - £3,080,000

4.4 Based on the outturn figures in 4.3 above the projected underspend on the programme is currently estimated at £940,120.

- 4.5 Whilst the projected underspend is an estimate only, Members are asked to note that in respect of Blackwood Comprehensive School refurbishment plus 3g pitch, the projected costs are currently more fluid than the other projects listed in paragraph 4.3 above as the tender process has not yet been concluded.
- 4.6 As the programme is nearing completion Welsh Government has requested all Authorities to identify alternative usage of any projected underspend.
- 4.7 During the annual exercise undertaken each year to identify priority areas for School Capital investment it became apparent that Trinity Fields School required significant investment to meet the changing needs of the current and future school population. In the main this has arisen by the increasing complex needs of the pupils being admitted to the school.
- 4.8 A number of meetings have already taken place involving officers across the Authority and School based staff which has initially identified the following areas of priority for spend at the School:
- The installation of new “through room” hoist systems within classrooms that go directly into bathroom areas from classes.
 - The adaption of toilet facilities to become more accessible to need.
 - Upgrading of withdrawal rooms to create safe and welcoming environment to include the provision of natural lighting.
 - Improvement and relocation of pupil kitchen area.
 - The creation of a home living environment to increase the Independent Living Skills of pupils.
 - Creation of a new ball pit area.
 - Hydrotherapy pool improvements and adaptations which will increase the lifespan and accessibility of the provision for all pupils and the wider Community.
 - Increasing storage facilities to allow for the more complex needs of pupils i.e. increase in wheelchairs, medical equipment.
 - Improvement to the outdoor learning area.
 - Upgrade IT facilities.
 - Improve ventilation within the school.
 - The creation of independent living areas within classrooms.
- 4.9 The Authority in partnership with the School through Capital investment has already extended the provision available by providing two additional classrooms. This has allowed the LA to accommodate the increasing number of pupils requiring specialist educational provision.
- 4.10 The improvements to Trinity Fields, outlined above, will align with the further expansion of the School proposed within the 21st Century Band B programme and will also assist the Authority in meeting the requirements of the new ALN Reform Bill.
- 4.11 Subject to Member approval for use of this underspend a detailed business case, incorporating full costings, will be compiled and submitted to Welsh Government for consideration.
- 4.12 The works identified in 4.7 above will be prioritised according to affordability. The budget that is available for the project will be restricted to a maximum of the confirmed underspend on the Band A programme.

5. WELL-BEING OF FUTURE GENERATIONS

5.1 This proposal contributes to the Well-being Goals as set out in Links to Strategy above. It is consistent with the five ways of working as defined within the sustainable development principle in the Act in that:

- **Long Term** - Assist the LA in meeting the requirement of the Additional Learning Needs Reform Bill.
- **Prevention** - Improving the quality of the Education estate generally will support our most vulnerable pupils in their long term education by ensuring their Educational experience is positive.
- **Integration** - The 21st Century Schools Programme is subject to Community Benefits; individual proposals are assessed and monitored for their impact on the Welsh economy.
- **Collaboration** – The 21st Century Schools Programme is collaboration between the Council and Welsh Government to improve the quality of the Education estate.
- **Involvement** – Ensuring that there is full engagement with all relevant stakeholders, e.g. school, LA, Various Health Care professionals and the School Governors.

6. EQUALITIES IMPLICATIONS

6.1 Equality Impact Assessments were produced as part of the statutory process for the Band A schemes.

6.2 The LA has an obligation under section 88 and Schedule 10 of the Equality Act 2010 to prepare an accessibility strategy. This is a strategy for increasing the extent to which disabled pupils can participate in the schools' curriculum; improving the physical environment of the school for the purpose of increasing the extent to which disabled pupils are able to take advantage of education benefits, facilities or services provided or offered by the school and improving the delivery to disabled pupils which is readily accessible.

7. FINANCIAL IMPLICATIONS

7.1 The Band A 21st Century Schools and Education Programme (2014-2019) approved an allocation of £56.5 million for improvement/new build schemes at the schools identified in 4.3 above.

7.2 As Members are aware the funding is on a 50/50 basis with Welsh Government and CCBC has already set aside its share of the £56.5 million sum.

7.3 The current projected underspend on the Band A programme is currently estimated at £940,120, this may be subject to change as outlined in the report.

7.4 Subject to Member approval for use of this projected underspend a detailed business case, incorporating full costings, will be compiled and submitted to Welsh Government for consideration.

7.5 The works identified in 4.7 above will be prioritised according to affordability. The budget available for the project will be restricted to a maximum of the confirmed underspend on the Band A programme.

8. PERSONNEL IMPLICATIONS

8.1 There are no personnel implications associated with this report.

9. CONSULTATIONS

9.1 As detailed below. All comments received have been reflected in the report.

10. RECOMMENDATIONS

10.1 To seek Cabinet approval for the projected underspend on the Band A 21st Century Schools Programme (currently estimated at £940,120) to be used for improvement works at Trinity Fields Special School.

10.2 Subject to Member approval for use of this underspend a detailed business case, incorporating full costings, will be compiled and submitted to Welsh Government for consideration.

11. REASONS FOR THE RECOMMENDATIONS

11.1 To ensure the Band A 21st Century School and Education funding is maximised and targeted at the highest priority of need.

12. STATUTORY POWER

12.1 School Organisation Code 2013 (Welsh Government)
School Standards & Organisation (Wales) Act 2013.

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E-mail: richase@caerphilly.gov.uk

Consultees: Christina HARRY, Interim Chief Executive
Keri Cole, Chief Education Officer
Dave Street, Corporate Director, Social Services
Mark S. Williams, Corporate Director Communities
Councillor Philippa Marsden, Cabinet Member, Education and Achievement
Councillor Derek Havard, Chair of Education Scrutiny Committee
Councillor Carol Andrews, Vice Chair of Education Scrutiny Committee
Nicole Scammel, Head of Corporate Finance
Lynne Donovan, Head of People Services
Anwen Cullinane, Senior Policy Officer (Equalities and Welsh Language)
Lisa Lane, Interim Monitoring Officer
Ros Roberts, Performance Manager
Mark Williams, Interim Head of Property Services
Steve Harris, Deputy Section 151
Ian Elliott, Headteacher Trinity Fields Special School
Jane Southcombe, Education Finance Manager

Gadewir y dudalen hon yn wag yn fwriadol



CABINET 11TH JULY 2018

SUBJECT: CORPORATE RISK REGISTER MONITORING (Q1 - 2018/19)

REPORT BY: CORPORATE DIRECTOR FOR EDUCATION AND CORPORATE SERVICES

1. PURPOSE OF REPORT

- 1.1 To provide an update of the Corporate Risk Register (CRR) in accordance with the Council's Risk Management Strategy.
- 1.2 To note that the updated Corporate Risk Register will also be presented to Audit Committee so there is opportunity for the committee to satisfy itself, that appropriate arrangements are in place for the council's risk management processes to be regularly and robustly monitored and scrutinised.
- 1.3 Members have a critical role to play in evaluating the Council's Risk Management arrangements and in particular understanding how the Council identifies, manages and, where possible, mitigates/removes risk. Risk Management is crucial to the effective delivery of Council services.

2. SUMMARY

- 2.1 Under the Council's Risk Management Strategy, the Corporate Management Team (CMT) monitors the Council's Corporate Risks, and Audit Committee have the role of reviewing and challenging the risk register and where relevant, resultant action plans, for the Council's key strategic and corporate risks. The role of Cabinet is to receive six monthly progress reports on the Corporate Risk Register. The Risk Register has been reviewed and updated by CMT on the 14th June 2018 and the changes made are summarised in the table in 4.4.

Attached at Appendix 1 is the updated version of the Council's Corporate Risk Register.

3. LINKS TO STRATEGY

- 3.1 Management of risk is a crucial element in delivering Council Priorities and ensuring contribution to, the Well-being Goals as set out in the Well-being of Future Generations (Wales) Act 2015 [WBFGA]:

- A prosperous Wales
- A resilient Wales
- A healthier Wales
- A more equal Wales
- A Wales of cohesive communities
- A Wales of vibrant culture & thriving Welsh language
- A globally responsible Wales

4. THE REPORT

4.1 Part of Cabinet’s role (as noted in the Council Risk Management Strategy 2017) is to:

- Approve the “risk appetite” of the Council i.e. the definition of high (red) risk, medium (amber) risk and low (green) risk as recommended by the Corporate Management Team.
- Approve the risk “appetite” in light of the new way to view risk through the lens of the sustainable development principles, the short/medium/long term, and the 7 Well-being Goals - Well-being of Future Generations (Wales) Act 2015.
- Hold the Corporate Management Team accountable for the effective management of risk.
- Monitor the arrangements for managing the Council’s Corporate (Whole Authority) Risks, through six-monthly progress reports.
- Receive and review the risk register and resultant action plans for the top corporate risks.
- Make an appropriate allocation of resources to address identified risks and risk management framework.
- Ensure that appropriate and effective communication reporting lines are in place in the context of risk management.

4.2 The Corporate Risk Register is compiled generally in the following ways:

- Corporate Management Team (CMT) collectively identify organisational risks that arise from such sources; as national/regional agendas, changing legislation, budget settlements, partnership risks, project risks.
- CMT collectively identify whole authority operational risks that could result from regulatory inspections/reviews, political influences, work-force planning, performance management and from risks escalating from Directorate Risk Registers.
- Directors escalate operational risks that, in their opinion, require a corporate approach to their management.
- Strategic risks suggested by members.

4.3 The Corporate Risk Register is a ‘living document’ and may change when periodically reviewed and assessed. New risks introduced, existing risks closed, risk levels change (RAG-red/amber/green), mitigating actions and progress comments updated. See Appendix 1.

4.4 The Risk Management Strategy has been updated and approved (June 2017) and moving forward, Cabinet will receive six monthly progress reports on the Corporate Risk Register. A summary of the main changes in the Risk Register since the last report is provided in the table below:

Risks Removed	Risks Added	Risks Amended
CMT17 – Subsumed into CMT01	None	CMT01 - Actual Risk, Mitigating Actions and Comment.
CMT41 – Local Climate Impacts Profile		CMT16 - Mitigating Actions and Comment
CMT42 – Exit from EU		CMT29 - Comment
CMT46 – Cardiff Capital Region City Deal		CMT12/37 - Mitigating Actions and Comment
		CMT39 - Comment
		CMT44 - Background, Actual Risk and Mitigating Actions
		CMT45 - Background, Actual Risk, Mitigating Actions and Comment

Risks Removed	Risks Added	Risks Amended
		CMT47 - Comment

4.5 The attached register has been updated to reflect changes in the way risk is identified and assessed in light of the ‘duty’ to act sustainably (paragraph 5.2) which emphasises a long term and prevention aspect in the way we view risk, particularly its affects on citizens or their communities. The WBFGA legislation states in its guidance that a public body will need to change the way it manages risk. Under section 3 of ‘where change needs to happen’ of the Welsh Government Guidance, it states that:
“There will be long term risks that will affect both the delivery of your services but also the communities you are enabling to improve. Use the well-being goals and five ways of working to frame what risks you may be subject to in the short, medium and long term and together with the steps you will take to ensure they are well managed”.

4.6 Looking to the long term, does not mean short term risks go away, or that operational risks for example, are less important. It means we have to broaden our scope to include risks to the public, risks to services for those with protected characteristics and recognising strengths of communities as opportunities. The register template (Appendix 1) reflects this.

5. WELL-BEING OF FUTURE GENERATIONS

5.1 The Well-being of Future Generations (Wales) Act 2015 [WBFGA] identifies a core set of activities that are common to the corporate governance of public bodies where change needs to happen:

- Corporate Planning
- Financial Planning
- Workforce Planning
- Procurement
- Assets
- **Risk Management**
- Performance Management

5.2 The Corporate Risk Register incorporates the five ways of working (ICLIP) identified within the sustainable development principle in the WBFGA. These are:

- **Involving** a diversity of the population in the decisions that affect them.
- Working with others in a **Collaborative** way to find shared sustainable solutions.
- Looking to the **Long-term** so that we do not compromise the ability of future generations to meet their-own needs.
- Taking an **Integrated** approach so that public bodies look at all the well-being goals in deciding on their well-being objectives.
- Understanding the root causes of issues to **prevent** them from occurring.

5.3 Risks are assessed in terms of their implications for the wellbeing of future generations.

6. EQUALITIES IMPLICATIONS

6.1 The Local Government Measure defines fairness and access as one of the criteria that constitutes ‘improvement’ within the Wales programme for Improvement 2009.

6.2 Promoting equalities is a fundamental requirement of the Future Generations Legislation, with specific resonance for meeting the Well-being Goals of: *A More Equal Wales*, and *A Wales of Cohesive Communities*.

7. FINANCIAL IMPLICATIONS

7.1 There are no financial implications associated with this report.

8. PERSONNEL IMPLICATIONS

8.1 There are no personnel implications associated with this report.

9. CONSULTATIONS

9.1 This report has been sent to the Consultees listed below and all comments received are reflected in this report.

10. RECOMMENDATIONS

10.1 That Cabinet provides their views on the Corporate Risk Register and having done so endorse the update prior to presentation to the Audit Committee.

11. REASONS FOR THE RECOMMENDATIONS

11.1 To be assured that the Council is managing its risks effectively and in compliance with the Council's Risk Management Strategy.

12. STATUTORY POWER

12.1 Local Government Measure 2009. Wales Programme for Improvement 2010. Well-being of Future Generations (Wales) Act 2015.

Author: Ian Raymond Performance Officer

Consultees: Cllr Barbara Jones Deputy Leader and Cabinet Member for Finance, Performance and Governance

Christina Harrhy Interim Chief Executive
Richard Edmunds Corporate Director for Education and Corporate Services
Mark S Williams Interim Corporate Director of Communities
Dave Street Corporate Director Social Services and Housing

Nicole Scammell Head of Corporate Finance / S151 Officer
Lynne Donovan Head of People Services
Robert Hartshorn Head of Policy and Public Protection
Kathryn Peters Corporate Policy Manager
Ros Roberts Performance Manager
Lisa Lane Interim Monitoring Officer
Anwen Cullinane Senior Policy Officer- Equalities & Welsh Language

Appendices: Appendix 1 - Corporate Risk Register (June 2018)

Background Reports: Cabinet Report 7th June 2017 – Corporate Revised Risk Strategy and Guidance

Ref	Area	Background information	Actual Risk	Mitigation actions - what we are doing to reduce the risk and by when. Have we considered the five ways of working to help with a solution? (see ICLIP key)	Additional Resources Required	Risk Level 2017-18 Q4	Risk Level 2018-19 Q1	Comments from latest risk review	Does this effect the Well-being of Future Generations in our Communities?	Long term (20-25 years) / medium / or short-term risk	FGA Risk Level	Risk Owner
CMT01	Medium Term Financial Planning (MTFP): MTFP Strategy 2018/23 Capital Budget Pressures Grant Funding	Budget pressures will potentially have a negative effect on service delivery across all services. Inadequate funds to maintain assets. Need to rationalise.	<ol style="list-style-type: none"> 1. Workforce Planning: less staff to deliver services. 2. Failure to maintain and/or improve service delivery. 3. Failure to take early decisions on which services should be cut could limit planning for changes. 4. Managing staff morale in light of cuts. 5. Revenue Support Grant (RSG) formula change. 6. National living wage. 7. Member/public expectation levels and reputation risk. 8. CCBC priorities moving forward. 9. National and Regional change agenda. 10. Inability to invest in assets e.g. progress 'Band B' of the 21st Century Schools Programme. 11. There is lack of security or sustainability in maintaining grant funded programmes 	<ol style="list-style-type: none"> 1. Human Resources (HR) have a suite of policies agreed by Cabinet/Council to help downsize the workforce, although these will need to be kept under review. 2. Decisions taken so far have aimed to reduce rather than remove services. This will not be possible in the light of future projections. The Council has adopted a new Corporate Plan 2018-23 with revised MTFP Savings Principles. 3. The 2018/19 budget and an updated Medium Term Financial Plan were approved by Council on the 22nd February 2018. 4. Development of an appropriate communication strategy. 5. Consultation with the public, and affected service users. 6. Ongoing Asset rationalisation programme. 7. 4-year savings targets have been allocated to Heads of Service. 8. Business Improvement Board has been established and will oversee major projects focussing on service change. 11. Grant funded staff are appointed on fixed term contracts 	1-4 None	High	High	Updated Medium-Term Financial Plan covering the period 2018/19 to 2022/23. Indicative savings requirement has been established for the four-year period 2019/20 to 2022/23. Heads of Service have been asked to identify further potential savings proposals for consideration.	Yes, the financial resources available will impact on the services we deliver and the way we deliver them. This will affect the community.	Medium-term	High	Corporate Management Team
CMT16	School Attainment	School attainment levels are still below the all Wales average, along with pupil attendance. Low levels of attainment and relative achievement are continual risks for the borough.	<ol style="list-style-type: none"> 1. Attainment levels are below the Welsh average. 2. There is a gap between the attainment of Free School Meals pupils and Non-Free School Meals pupils which must be addressed. 	<ol style="list-style-type: none"> 1. Standards of attainment are monitored and reported to the; Senior Management Team (SMT) / Corporate Management Team (CMT) / Scrutiny Committee, through an annual programme of reporting described in the Directorate Plan Handbook. A new Corporate Director has been appointed with responsibility for Education. An Education Board is to be set up in late 2018, regular updates to WG take place. 2. An EAS joint action plan has been developed and agreed, and the LA will continue to work closely with the EAS to ensure that schools are challenged and supported effectively. 3. Schools most at risk of underperformance will be monitored on the regional Schools Causing Concern process. 4. Where schools fail to make the expected programme at the expected rate, in consultation with the EAS, the LA will consider the use of statutory powers. 	1 None	High	High	Improvement has been continuous in the majority of key indicators for several years but remains a priority, especially at L2+ KS4. The Chief Executive and Chief Education Officer are working with the Education Achievement Service (EAS) and Head teachers to develop a comprehensive strategy for improvement has been developed and agreed. A new Corporate Director has been appointed with responsibility for Education. An Education Board is to be set up in late 2018. Regular updates to WG take place. Regular updates to CMT, Cabinet, and WG take place.	Yes, this limits contribution to 'Prosperous and More Equal Wales'. Standards of attainment and gaps in inequality can result in a low skilled, low paid workforce, and higher levels of unemployment leading to poverty. Over the long-term (25 years) in the life of a young child to adult the potential outcome of the attainment gap makes this a high risk.	Long-term	High	Interim Chief Executive
CMT29	Welsh Housing Quality Standard (WHQS) programme	Everyone in Wales should have the opportunity to live in a good quality home within a safe and secure community. To help achieve this, the physical standard and condition of existing housing must be maintained and improved to the Welsh Housing Quality Standard (WHQS).	<p>Failure to meet WHQS for all our social housing stock by 2020.</p>	<p>The WHQS programme has its own specific risk register which is reviewed and updated by the Project Board quarterly.</p> <p>The last update was June 2017. The highest risks are:</p> <ul style="list-style-type: none"> • Failure to achieve programme objectives - the probability level has increased due to one of the main internal works contractors having ceased trading and still high risk in relation to the external works. Contingency arrangements have been implemented as identified below. There is also contingency built into the programme for the final year (2019/20) in relation to the internal works where there is currently no work allocated to the external contractors appointed to the internal works contracts. • Capacity -Staff resources, especially amongst front line roles such as Surveyors, Clerk of Works, Quantity Surveyors, etc. are critical to cope with the volume of work within a fixed timetable. The addition of the Sheltered schemes to the programme for 2017/18 has slightly increased the resource requirements in the immediate and short term. However, a business case to increase resources as and when required to deal with peaks and troughs has been approved and is in place to be used when necessary. New contract arrangements for the south of the borough have been put in place for the external works. This Dynamic Purchasing System (DPS) arrangement also provides opportunity to undertake both internal and external works around the authority should the need arise as a further contingency measure. As a result of one of the main internal works contractors having ceased trading, alternative arrangements are in the process of being implemented whereby the in-house workforce will pick up the majority of this workload by moving resources from other contract areas, with additional support being provided by external contractors via the DPS as and when required. A new programme is being developed based on more accurate cost information in place of previous Savill's estimates and the anticipated work that is being projected to 2020. Monthly Project Board meetings will continue to be held to monitor ongoing performance and to assist with the decision making process. 	None	Medium	Medium	<p>Following the WAO Review undertaken in March/April 2017 a commitment was made to WG to demonstrate the progress that was being made in relation to the delivery of the programme. It was stated that 40% of external and 75% of internal works would be completed to the housing stock by March 2018. At March 2018 external completions amount to 44% and internal completion 76% with overall compliance of the housing stock being 35%.</p> <p>Significant improvements in performance have been realised in the last 12 months aided by a procurement process (Dynamic Purchasing System) which has been initiated for the LRV to establish a new framework for external and internal works to act as a general contingency. The procurement process will be based on a Bill of Quantities in an attempt to improve value for money.</p> <p>A significant percentage of work to the sheltered housing schemes will be undertaken by the in- house workforce. The programme is progressing with works on track to be completed within the planned programme.</p> <p>Projected expenditure against the budget continues to be monitored, which indicates that 2017/18 has seen the largest annual spend since the inception of the programme at £39m. This information has been projected forward and used to review our delivery programme up to 2020, which demonstrates that this is still deliverable within the timescales and projected budget, although borrowing is likely to be required for 2018/19. While there are risks that require appropriate mitigation measures there is an increased momentum and more confidence about the 2020 deadline. WG have recently confirmed that the deadline for the WHQS programme is December 2020</p> <p>We are awaiting the outcome of the WAO's follow up review.</p>		Medium-term	Medium	Corporate Director Communities

Ref	Area	Background information	Actual Risk	Mitigation actions - what we are doing to reduce the risk and by when. Have we considered the five ways of working to help with a solution? (see ICLIP key)	Additional Resources Required	Risk Level 2017-18 Q4	Risk Level 2018-19 Q1	Comments from latest risk review	Does this effect the Well-being of Future Generations in our Communities?	Long term (20-25 years) / medium / or short-term risk	FGA Risk Level	Risk Owner
CMT12 & CMT37	Waste Management Service Continuity & Target Achievement	The Welsh Government (WG) drive for source segregated collections and substantial change to the recycling Material Recovery Facility (MRF) market and restrictions on exporting low grade recyclate could potentially affect service delivery to the public and/or target achievement if mitigation measures are not put in place.	The ability to meet future recycling and landfill diversion targets with our current collection, disposal and treatment framework. Specific areas that need to be considered are: i. Levels of contamination in our recycling; ii. Loss of food waste within residual waste; iii. Type of collection (WG blueprint or alternative); iv. Contractual arrangements for recycling and organics v. Appropriate levels of budget and staffing structure to support daily front line collection services and our future strategy, and vi. Insufficient community participation in food recycling	A Waste Board has been established, Chaired by the Director and including relevant senior officers. i. WG targets continue to be exceeded (2016/17 outturn was circa 65%) as result of some intervention put in place in the last 2-3 years. iii. Deliver 3rd annual door stepping communications campaign with every household in the county borough being visited with a focus on reducing contamination levels in the recycling stream and using the food waste service. iii. Continue delivery of Project Gwyrdd to further reduce reliance on landfill. iv. CCP modelling work with WG consultants nearing completion with the result that member decisions will be required on future service strategies over the coming 3-6 mths. The collection modelling is complete but we are awaiting further costed option on an alternative WTS/HWRC site. iv. New 2 year MRF contract commenced in July 2017 and long term organics contract in place. vi. Slight amendments being made to dry recycling collection service to reduce contamination and black bag issues in light of new MRF contract now being operational		Medium	Medium	Although the Authority is performing well against WG Targets, many of the risks (e.g.: budget, staffing, etc.) remain going forward. Regeneration and Environment Scrutiny Committee has established a Waste Review Scrutiny Working Group to consider financial implications, service delivery options, projected performance, risk analysis, capital investment, consultation and public engagement, and timescales. Working Group Meetings are in progress with the aim of reporting back to Committee in October 2018.	Yes - the purpose of the landfill directive is to divert biodegradable waste away from landfill to reduce pollution. A diverse natural environment with healthy functioning ecosystems contributes to a 'Resilient Wales'. Failure to deal with waste properly affects future generations.	Long-term	Medium	Corporate Director Communities
CMT39	Fragility of the Social Care market	The independent sector social care market across Wales is in an unprecedented position in terms of its fragility and this is starting to be felt in Caerphilly.	1. Providers unable to sustain existing packages of care. 2. National Minimum Wage and National Living Wage creating additional financial strain which providers are expecting LA's to resolve. 3. Little additional capacity to take on new packages of care. 4. Ongoing Judicial Review across Wales re responsibility for Funded Nursing Care Payments 5. Potential Financial impact on the Directorate & authority 6. Introduction of RISCA from 01.04.18 could have significant implications for recruitment and retention of staff.	Fee levels for 2017/18 agreed at 3.1%. This was funded via a mix of core funding and CCBC's element of the Social Care Workforce grant paid by Welsh Government. A further element of workforce funding has recently been released by WG. Discussions are ongoing with commissioned providers to determine how these monies should be allocated. Fee levels for 18/19 agreed at 2%	Yes	High	High	No change in risk level. 2018/19 fees agreed. Further concerns with regard to stability. Largest Provider of domiciliary care in the UK in financial difficulty. Further representations from Providers in relation to fee levels. Debates at a national level re sustainability of funding levels.	Yes - reducing help that can be provided for the most vulnerable in our society will affect our ability to contribute to a 'Healthier Wales' which requires peoples mental and physical well-being to be maximised. Whilst this may be a medium risk operationally from a FGA perspective this would be high as it directly affects those most in need.	Medium-term	High	Corporate Director Social Services
CMT44	Local Development Plan	The Adopted LDP is due to expire on 31st December 2021. The Replacement Local Development Plan was well advanced, however, the Council withdrew that plan in July 2016 following local opposition to a number of development sites contained within the document. The Council has resolved to progress the preparation of a Strategic Development Plan and a new LDP in parallel.	The adopted LDP allocates land for the development of 8625 houses to be built over a 15 year period. The annual Joint Housing Land Availability Study indicates that many of the allocated sites are not available or viable within the required 5 year period, and there is therefore a shortfall of housing land. Housing developers will therefore submit applications to develop land that is not allocated in the LDP. The Council will consider the applications, but the lack of a five-year housing land supply will be a material planning consideration which could outweigh other policies in the plan. A refusal of planning permission may lead to an increase in appeals and award of costs if the Council is considered to have behaved unreasonably, e.g. where a reason for refusal is not based on any sound evidence.	The Adopted LDP remains in force until 2021. In the interim, officers are working closely with Welsh Government officials to agree the appropriate footprint for strategic planning for the Cardiff Capital Region. On 29th January 2018 the Cardiff Capital Region Cabinet agreed that work should commence on a Strategic Development Plan (SDP) for the area. Chief Planning Officers and Planning Policy lead officers have met monthly as a Project Group to progress various work streams necessary to establish the project in advance of the formal commencement of plan preparation. It is unlikely that the 5 year land supply can be addressed in the short term. In the medium to long term a replacement plan will increase the land supply position.		High	High	A number of significant applications have been submitted and approved by Welsh Government on appeal. Resulting in significant cost to the authority. Having regard to the number of potential future developments there are concerns that existing infrastructure such as transport, schools, and other services is inadequate. Due to the number of impending developments being agreed by the WG Planning Inspector we have moved this into a high risk category.	Yes - the lack of an LDP threatens the timely delivery of land for development, particularly housing, making it more difficult to achieve the goal of prosperity.	Medium Term	Medium	Corporate Director of Communities
CMT45	Local Government Reform	Latest Green Paper: Strengthening Local Government: Delivering for People 20th March 2018- Introduces a new footprint combining CCBC with NCC. 3 options- voluntary mergers by 2022. Voluntary mergers by 2022 and the rest mandated by 2026. Mandated mergers by 2022.	1. Latest proposal mandates a merger with Newport City Council. Through either of three options, voluntarily by 2022, voluntarily by 2022 and mandated by 2026, mandated by 2022. All three options present risk as below. 2. CCBC maintains the position that it is large enough to stand alone. This may be rejected by WG however there seems to be no realistic timeline for agreement on reorganisation within this Assembly term. 3. Newport CC is not a natural fit for CCBC. Community differences, demographics, geographical separation. Priorities for the communities in Newport will be very different to semi-rural valleys communities. 4. Costs will be significant with 2015 estimates suggesting over £200 for local government across Wales. Given savings that have been taken since then WG anticipated savings over 10 years are unlikely to materialise. 5. Shadow authorities and preparation for vesting day would significantly detract strategic capacity from dealing with current challenges.	1. Report to Council - 5th June 2018: approved Caerphilly County Borough Council response to the consultation on the Welsh Government Green Paper: 'Strengthening Local Government: Delivering for People'. 2. Collaborative working not recognised in the Green Paper. WLGA preference is for continued collaboration where business case makes sense.		Low	Low	New risk. Await the result of the Local Government Reform Green Paper.	Yes - However, impacts are not yet fully understood.	Medium and Long term	Medium	Corporate Management Team

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CMT47	Asset Management.	Insufficient budget to manage existing assets or pursue necessary development. The authority has too many buildings and insufficient capital programme allocation to maintain them. Additionally revenue budgets for building maintenance are being diverted to meeting the demands of the necessary legal standards, in particular health and safety legislation and that might well mean that normal building maintenance will suffer.	<ol style="list-style-type: none"> Maintenance of existing sites will not be to a required standard Disposal of assets must be managed carefully to minimise community and service impacts Community Asset Transfer as an option brings risks in relation to continued liability Asset disposal may not realise expected returns Inability to pursue issues that we would wish, to improve service provision and community outcomes e.g. Band B of 21st Century Schools 	<ol style="list-style-type: none"> Development of asset management and rationalisation programmes Cost benefit assessment before planned expenditure supported by business case where relevant Early stakeholder and community consultation before asset disposal Support for recipient organisations accepted for Community Asset Transfer Long term view of the needs of local communities balanced against the need to secure budget savings in the short to medium term. Services to identify what buildings they can realise as a consequence of Medium Term Financial Plan (MTFP) savings. 		Medium	Medium	The Property Review Report 2018 has been issued for comment and includes a complete schedule of Council buildings by service area. The schedule highlights the size of the Council's property portfolio and will assist the production of Service Area Asset Management Plans (SAAMP). Many service areas are stretched and in many cases the production of the SAAMPs is taking too long. CMT therefore took the decision to bring in an additional central Asset Management Co-ordinator to assist with the development of SAAMPs. The post has been approved on a two year fixed term basis and will be advertised in May 2018. Notwithstanding the foregoing the Ty Dyffryn building has been marketed via an agent for sale or let and interest has been high. Furthermore the demolition of the Pontllanfraith Civic Centre is all but complete and the demolition of Oakdale Comprehensive School is underway. Both will release large sites for residential redevelopment. Options for the sale or redevelopment of Ty Darren are also being formulated.	Potentially disposal of assets across the authority may affect some communities disproportionately in the short to medium term. However, this has to be balanced against the need to manage a 'fit for use' portfolio to secure provisions for future generations over a longer timeframe.	Medium-term	Medium	Corporate Management Team

ICLIP Key:

Involving a diversity of the population in the decisions that affect them;

Working with others in a **collaborative** way to find shared sustainable solutions;

Looking to the long term so that we do not compromise the ability of future generations to meet their own needs;

Taking an integrated approach so that public bodies look at all the well-being goals in deciding on their well-being objectives;

Understanding the root causes of issues to **prevent** them from occurring.

Gadewir y dudalen hon yn wag yn wrthodol