

# **SEWC Schools Causing Concern Protocol**

## **2017-2018**

**Updated May 2016 following WG Guidance in March 2016**

**Updated April 2017 – Schools Causing Concern Register**

**Updated July 2017**

## Introduction

This Policy forms a part of, and is aligned with the National Model for School Improvement in relation to the informal support and challenge provided by the Local Authority (LA) to a school prior to any issuing of a warning notice or invocation of formal powers of intervention based on the six grounds for intervention. It also aligns with the Welsh Government (WG) Guidance on Schools Causing Concern (March 2016). The School Standards and Organisation (Wales) Act 2013 consolidated, clarified and reformed the law in relation to intervention in schools causing concern.

### WG Guidance on schools causing concern (March 2016)



WG Schools  
Causing Concern Gu

All parties are committed to reducing the number of schools identified as causing concern following inspection and to securing ongoing improvements in standards. To achieve this, senior management teams in schools and governing bodies need to ensure that there are robust and rigorous processes for self-evaluation and a commitment to the development and implementation of improvement planning. All schools should have effective development plans. School development plans have been a statutory requirement for all schools in Wales since September 2015.

Schools have the central role in driving improvements in the quality of learning and the standards achieved by young people. In addition to having a central role in delivering education they have a responsibility for their own improvement through school self-evaluation, performance management and target setting, and for making the best use of the challenge and support available to them. In particular, it is important that prompt and effective action is taken to both build on strengths and identify and address poor performance.

LAs have statutory responsibility for monitoring and intervening where there are concerns about school standards. However, in line with the national model for regional working, the EAS will deliver or broker school improvement strategies on behalf of the LAs. The EAS will monitor schools' progress systematically, identify at an early stage schools where there may be difficulties and act quickly to prevent these from escalating by providing effective targeted support to improve any shortcomings. Providing effective support and challenge therefore plays a key role in addressing low performance, raising standards and improving the quality of education. The EAS and LAs will work in partnership with schools to put in place effective mechanisms for performance monitoring, detailed within the intervention framework. Such mechanisms have a key role in providing early identification of issues that need to be addressed.

A key mechanism in this process will be the judgements reached through the National School Categorisation System which uses a three stage process to assign each primary and secondary school in Wales with an overall support category on an annual basis. This three step process uses available data at step one, then considers the quality of teaching and learning and the quality of leadership and management of a school, taking into account the school's context and performance to reach a judgement on the overall level of support required.

Making intelligent use of data to understand a school's needs and taking a proactive role in early intervention are central components of the EAS's role in supporting school improvement. Identifying and solving issues early will be less detrimental to pupils' outcomes and more cost effective than allowing a school to fall into deep rooted failure.

Local authorities will work in partnership with religious authorities where the school has a religious character, as they are charged with working with and supporting governing bodies and school management teams in securing ongoing improvements in standards.

The religious and voluntary bodies work in close partnership with local authorities and EAS in providing and supporting schools. The appropriate religious bodies are able to exercise a powerful influence over the schools they provide. They will be kept fully informed of any concerns as soon as they are identified so that they can be fully involved in their resolution. Working in close partnership in this way is more likely to bring about rapid and sustainable school improvement.

Particular attention will be given by local authorities, the EAS and religious authorities to support and where necessary intervene in schools where performance is unacceptably low or where other issues are having an adverse impact on the operation of the school.

Both local authorities and Welsh Ministers have powers to intervene where a school is causing concern. Local authorities are already responsible for managing school improvement. Through the EAS, local authorities provide support, monitor, challenge and intervene with the schools in their area. Ordinarily, local authorities are best placed to consider intervention for schools in their area. Therefore, if intervention is required the local authority will take action in the first instance.

The region implements a Schools Causing Concern Register which is used to regularly to review the actions taken by the EAS, LA and religious authority (if appropriate) for each school identified at risk in order to ensure that appropriate support and challenge has been provided to secure the necessary pace of improvement and to improve regional consistency, particularly in the use of statutory powers. Schools listed on the register are agreed with each LA. The Headteacher and Governing Body will be notified if their school is placed on the Schools Causing Concern Register. This will be via a joint email from the EAS Principal Challenge Adviser and the LA. Formal regional review sessions attended by EAS and LA Leaders are conducted on a termly basis.

The register considers a range of criteria to identify schools at risk including:

- Pace of progress against current EAS support or intervention plan;
- National categorisation outcomes (3-year period);
- Current Estyn category (e.g. statutory category / remaining in a category for a longer than anticipated period of time);
- Pupil Outcomes (Benchmarks over a 3-year period) for relevant age phase including a comparison to WG modelled estimates at KS4.
- Attendance (Benchmarks over a 3-year period);
- Exclusions;
- Any other LA specific concerns linked to: Finance, Safeguarding, HR, ALN.

Where a local authority/the EAS has concerns in relation to the quality of teaching, learning and standards achieved by pupils and/ or the leadership and management of a school, prompt action will be taken to support. Such concerns will be based on an appropriate range of available quantitative and qualitative evidence available including analysis of performance data, scrutiny of learners' work and progress, learning walks and evaluations of leadership and management. Where this is the case, a full review of the leadership and management of a school may be considered. The timetable for the review will be completed in full consultation with the school.

In such circumstances, the local authority acting with the EAS will, in discussion with the school's governing body and senior management team, take prompt and early action to identify areas for improvement and agree appropriate action and support. For schools with a designated religious character the appropriate religious authority will be kept informed of any concerns in relation to such schools and will work in partnership with the authority, the EAS and the school to ensure their early resolution. If matters are not resolved within a measurable period (to be determined by the local authority) the local authority will also consider whether it is appropriate to serve the governing body with a warning notice as provided under Section 3 of the 2013 Act.

## Schools Causing Concern

A local authority has the power to intervene in a maintained school where:

- one or more of the grounds 1-6 exist (see below);
- a warning notice has been issued to the governing body but it has not complied with that notice to the authority's satisfaction;
- the school has been deemed by Estyn to require significant improvement or special measures (no warning notice is required)
- or one or more of the grounds 1-6 for intervention exist and there is a related risk to the health or safety of any person that calls for urgent intervention (no warning notice is required).

Where schools are eligible for intervention, local authorities may exercise their powers to:

- require the governing body to secure advice or collaborate;
- appoint additional governors;
- suspend the delegated authority for the school's budget;
- appoint an IEB;
- give directions to the governing body or Headteacher;
- or take any other steps.

Where schools are eligible for intervention, the Welsh Ministers have the power to:

- require the governing body to secure advice or collaborate;
- appoint additional governors;
- appoint an IEB;
- direct the federation of the school;
- give directions or take any other steps.

Where HMCI is of the opinion that a school requires special measures the Welsh Ministers may direct the local authority to close the school.

## Establishing the grounds for a warning notice

Under section 3 of the 2013 Act. A warning notice may be given to the governing body of a maintained school in any one of the following circumstances:

<b>Ground 1</b>	The standards of performance of pupils at the school are unacceptably low.
<b>Ground 2</b>	There has been a breakdown in the way the school is managed or governed.
<b>Ground 3</b>	The behaviour of pupils at the school or any action taken by those pupils or their parents is severely prejudicing, or is likely to severely prejudice, the education of any pupils at the school.
<b>Ground 4</b>	The safety of pupils or staff at the school is threatened (whether by a breakdown of discipline or otherwise).
<b>Ground 5</b>	The governing body or head teacher has failed, or is likely to fail, to comply with a duty under the Education Acts.
<b>Ground 6</b>	The governing body or head teacher has acted, or is proposing to act unreasonably in the exercise of any of its or his or her functions under the Education Acts.

The definition of what constitutes low standards of performance in Ground 1 is where they are low by reference to one or more of the following:

- The standards that the pupils might in all the circumstances reasonably be expected to attain;
- Where relevant, the standards previously attained by them;

- The standards attained by pupils at comparable schools.

Local authorities will draw on a suitable range of quantitative and qualitative information to form a complete picture of the school's performance and take the advice of the EAS before deciding to issue a warning notice. This should include as a minimum the All Wales Core Data Sets, but will extend to the full range of relevant quantitative and qualitative evidence available.

### **Evidence of unacceptably low standards and levels of progress - Ground 1**

Quantitative evidence of 'unacceptably low standards' may take one of the following forms; usually a combination of several of these indicators will apply:

- The school's All Wales Core Data Set indicates that pupil progress is persistently and/or well below expectations;
- There is specific evidence, from close examination of contextual data or other sources that there are groups of pupils performing below expectations.
- Benchmarked data shows that the school is underperforming.

Qualitative evidence to confirm concerns about the school's standards indicated by the quantitative data will be available from sources such as Estyn reports, EAS intelligence and reviews including school categorisation judgments, feedback from parents, or analyses of pupils' work.

Information from a single academic year is unlikely to be sufficient to justify a warning notice, unless the problems it indicates are severe, or they appear in conjunction with weaknesses in leadership and management. In the majority of cases, local authorities will look at more than one year of data to establish whether standards are improving, declining or fluctuating.

### **Evidence of a breakdown in the way the school is managed or governed – Ground 2**

"Breakdown" implies problems such as the persistent underperformance by the management of the school, or a failure in key relationships including where a relationship lacks challenge and has become ineffective. Key sources of information to justify a warning notice under this criterion are the school's self-evaluation, target setting, value for money, capacity to improve and Estyn reports.

In addition, some data trends may indicate a breakdown in management and governance. Such data will be treated with caution, as they may also arise for reasons other than poor school leadership.

Data trends which might in some circumstances prompt local authorities to investigate a school's management and governance further include:

- Declining school popularity, possibly revealed through the school roll falling more rapidly than might reasonably be expected from demographic changes;
- High or increasing absence or truancy rates;
- High rates of staff turnover, numbers of staff grievances, or capability and disciplinary proceedings;
- Feedback from parents, or significant or increasing numbers of parental complaints; and,
- Evidence of a dysfunctional governing body including non-compliance with the school governance framework.

### **Evidence of a breakdown of discipline – Ground 3**

A warning notice will be justified under this criterion where the safety of pupils or staff of the school is threatened due to a breakdown of discipline or otherwise. "Breakdown" implies problems inhibiting / preventing the school from functioning in an orderly way.

This may be the result of a number of issues including:

- staff being unable to maintain discipline and as a consequence large numbers of pupils are truanting;
- pupils are being violent to other pupils and/or staff at the school;
- or parental behaviour is causing a problem on the school grounds, resulting in the safety or welfare of pupils or staff being put at risk.

It is accepted that such behaviour may occur in all schools from time to time, however, it is the degree to which such behaviour is occurring which is important. It must be to such an extent that it is affecting the orderly running of the school. Exclusion data may be a useful indicator of such a breakdown.

Schools have the main responsibility for maintaining discipline. Local authorities have for some years had a reserve power to take whatever steps they think necessary including giving directions to the governing body or Headteacher to prevent or put right a breakdown of discipline. The local authority will be prepared to use this power if they have reasonable grounds for believing that the school is unable or unwilling to take effective action within a reasonable timescale to address the problems at the school.

#### **Evidence that the safety of pupils or staff at the school is threatened – Ground 4**

In certain circumstances, evidence for ground 4 is similar to that of ground 3. However, a separate example could be where the school site or buildings are not physically safe, and therefore pupils and staff are exposed to increased risks of accidents occurring which is a danger to their health and safety. Appropriate policies need to be in place to ensure that both staff and pupils are not at risk whilst on school premises.

#### **Evidence of the governing body/Headteacher failing to comply with their duties - Ground 5**

Examples of failing to comply with this ground include:

- the governing body does not have appropriate policies and statutory plans in place;
- the governing body/Headteacher is failing to comply with education legislation;
- a failure to address underperforming teachers;
- and a failure to co-operate or work constructively with the EAS, in line with national model for regional working.

#### **Evidence of the governing body/Headteacher acting unreasonably in the exercise of any of its functions - Ground 6**

An example of this ground would be that the school does have a staff disciplinary policy but the governing body/Headteacher are acting unreasonably as they have disregarded or are failing to comply with the policy and they have not provided any notice or an inadequate amount of notice for the disciplinary hearing to take place. Another example could include a governing body / Headteacher disregarding legal advice that has been provided by the local authority, and is failing to deliver the required number of school sessions.

In line with the national model for regional working, local authorities and the EAS will engage schools effectively through a professional dialogue and work in partnership. In the case of schools with a religious character, discussion will be undertaken with the appropriate religious body where necessary to address the issues causing the local authority concern. It is the job of governors, school leaders, teachers and other staff to set high expectations of pupils, constantly seek to improve the quality of teaching and learning, raise standards, share good practice and learn from one another through genuine partnerships and school-to-school support arrangements.

Where a school is refusing to engage constructively and at pace with the challenge and support commissioned or provided by the EAS, the local authority will consider issuing a warning notice in

order to bring the necessary support to bear before the issues of concern result in school failure if at least one of the grounds for intervention are satisfied.

Headteachers and teachers should be mindful that failure to engage with the local authority and the EAS, to improve the school's performance, could be considered to be an act of misconduct.

A warning notice can be issued to a school which is cooperating with the EAS and the local authority as outlined above in circumstances where the local authority believes that despite this cooperation a warning notice remains an appropriate course of action.

A warning notice must be given in writing to the governing body of the school and must set out:

- The grounds for intervention.
- The reasons why the authority is satisfied that the grounds exist. This should set out in some detail the matters on which the concerns are based and explain the facts in relation to the circumstances which are giving cause for concern.
- The action which the governing body is required to take in order to deal with the grounds for intervention.
- The period in which the action is to be taken by the governing body (this is 'the compliance period').
- The action the local authority is minded to take (under one or more of sections 5 to 9 of the 2013 Act or otherwise) if the governing body does not take the required action. (The local authority is not limited to taking the action it said it was minded to in the warning notice) should it decide to proceed with an intervention.

#### **\*Please refer to Appendix 1: Warning Notice Template**

In addition to giving the governing body the warning notice, the local authority will give a copy to the head teacher and in the case of a foundation or voluntary aided or voluntary controlled school the person who appoints the foundation governors and the appropriate religious authority (in the case of a school with a religious character). All warning notices must be copied to the Welsh Government at the same time using the e-mail address: [SMED1@wales.gsi.gov.uk](mailto:SMED1@wales.gsi.gov.uk). This is a requirement under section 3 of the School Standards and Organisation (Wales) Act 2013

The warning notice must set out the action which the local authority "requires" the governing body to take. The local authority and EAS will continue to support the school to take action. The governing body does not have discretion to decide whether or not to comply; it must comply. If it fails to, the local authority is likely to have grounds (although this will depend on the circumstances of each case) for proceeding to use its statutory powers or the local authority could put a complaint to the Welsh Ministers under Ground 6 asserting that the governing body is acting unreasonably in failing to comply, and seek a direction from the Welsh Ministers to the governing body under section 17 of the 2013 Act.

Where a warning notice has been given which has not been complied with to the satisfaction of the local authority within the compliance period, the school is eligible for intervention. If urgent intervention is required, this could be as little as one working day after the end of the compliance period. The local authority is not limited to taking the action it said it was minded to take in a warning notice.

#### **Inappropriate issue of warning notices**

The governing body may make a complaint to the Welsh Ministers if they feel that the local authority has issued a warning notice inappropriately. This enables the Welsh Ministers to make a direction, under sections 27 or 28 of the 2013 Act if expedient to do so, where all evidence has been considered and they are satisfied that a local authority has acted, or is proposing to act

unreasonably with respect to an education function, or where the local authority has failed to discharge a duty under the Education Acts (see grounds 1 to 3 of section 21 of the 2013 Act).

Following consideration of the evidence provided, if Welsh Ministers conclude that a warning notice has not been issued inappropriately, the complaint will not be upheld and Welsh Ministers will write to the school accordingly. If following consideration Welsh Ministers conclude that the warning notice has been issued inappropriately, Welsh Ministers will write to the local authority and direct the withdrawal of the warning notice.

### **Schools eligible for intervention because they have been judged as requiring significant improvement or special measures**

If, following an inspection by Estyn a school is identified as causing concern it will be placed in one of the following categories as defined by Section 44 of the Education Act 2005.

- Significant improvement – A school requires significant improvement if it is performing significantly less well than it might in all the circumstances reasonably be expected to perform and does not fall into the more serious category of special measures.
- Special measures – Special measures are required to be taken in relation to a school if the school is failing to give its pupils an acceptable standard of education and the persons responsible for leading, managing or governing the school are not demonstrating the capacity to secure the necessary improvement in the school.

If the school has already been given a warning notice by a local authority and it is subsequently found to be in need of special measures or significant improvement following an Estyn inspection, the judgement means the school is eligible for intervention whether or not the period of compliance in the warning notice has expired or the governing body has made/or intends to make representations to Welsh Ministers.

### **Removal of a Warning Notice where a school has complied**

If a local authority is satisfied that the grounds for intervention have been dealt with or that using its powers of intervention would not be appropriate for any other reason it must notify the governing body of its conclusion in writing. Where the local authority issues such a notice it should send a copy at the same time to the head teacher, and in the case of a foundation school, voluntary aided or voluntary controlled school, the person who appoints the foundation governors and the appropriate religious body if the school has a religious character. Welsh Ministers should also be notified using the following e-mail address: [SMED1@wales.gsi.gov.uk](mailto:SMED1@wales.gsi.gov.uk). This is a requirement under section 4 of the School Standards and Organisation (Wales) Act 2013

A school remains eligible for intervention by a local authority until one of the following events takes place:

- the authority gives notice that it is satisfied that the grounds for intervention have been dealt with or that using its powers of intervention would not be appropriate for any other reason.
- the Welsh Ministers determine that the power to intervene is no longer in effect and give notice in writing to the local authority and the governing body of their determination;
- the Welsh Ministers issue a warning notice to the governing body.

### **Powers and types of intervention – LAs**

Where a school is 'eligible for intervention' there are a number of powers the LA or Welsh Ministers may. These interventions are set out in sections 5 to 9 and 12 to 18 of the 2013 Act. LAs must give reasonable notice (the timing of the notice will be dependent on the particular issue that is to be addressed) in writing to the governing body that they propose to exercise their powers under any one or more of sections 5 to 9. Should a local authority decide that sufficient evidence exists to warrant the formal use of its powers of intervention, the Welsh Ministers should be notified of the type of intervention that the authority has put in place.



## **Local authority powers**

### **Requirement to secure advice or collaborate**

Section 5 enables a local authority to direct the governing body to enter into a contract or other arrangement to secure advice and/or collaborate where a school is eligible for intervention.

Collaboration is not a panacea, but it can be a powerful means to drive up school improvement. Collaborative arrangements should therefore be used wherever appropriate as part of packages of support for schools causing concern.

Collaborative working can offer schools causing concern access to new perspectives, support and expertise. As a result, some schools are turned around more rapidly than expected, with sustained capacity for future improvements, after working alongside a partner institution.

### **The appointment of additional governors**

Section 6 enables a local authority to appoint additional governors where a school is eligible for intervention. The local authority may appoint as many additional governors as they think fit.

Section 6(3) of the Act allows the local authority to **nominate** one of those additional governors to be the chair of a governing body **in place** of the person who has been elected as chair by the governors, and section 6(6) allows the local authority to determine the period of time that governor, if elected, should remain in post.

As the purpose of this Act is to give local authorities the power to intervene and support underperforming schools, the Act is clear in its intention that one of the additional governors nominated by the local authority to be the chair should replace the existing chair. It would be appropriate for a local authority to take this course of action where they consider that the governing body requires stronger leadership and direction than is being provided by the current chair, if the school is to improve its performance.

Therefore, whilst the power to appoint the chair ultimately rests with the governing body, in accordance with school governance regulations, a governing body should carefully consider the reasons why this has happened and which person is best suited to lead the governing body to improve pupil attainment and deliver better outcomes for pupils.

### **The suspension of delegated authority for the governing body to manage a school's budget**

Section 8 of the 2013 Act enables a local authority to suspend the governing body's right to a delegated budget, by giving the governing body of the school notice in writing. This applies where a maintained school is eligible for intervention and the school has a delegated budget within the meaning of Part 2 of the School Standards and Framework Act 1998. A copy of the notice to suspend the right to a delegated budget must be given to the governing body of the school and copied to the head teacher.

The local authority may suspend a governing body's right to a delegated budget in order to secure control of staffing and other spending decisions. This allows the local authority to remove poorly-performing teachers or Headteachers if necessary, or to take control of budget deficits. It also allows governors to focus their time and attention on other priorities for improvement.

If the local authority has appointed an IEB, it cannot suspend the school's right to a delegated budget. If the local authority removed the right to a delegated budget before appointing an IEB, it must reinstate the delegated budget when the IEB comes into effect.

### **The appointment of an Interim Executive Board (IEB)**

Section 7 of the 2013 Act enables the local authority to apply to the Welsh Ministers for consent to constitute the governing body as an IEB in accordance with Schedule 1 to the 2013 Act. An IEB is

a specially constituted governing body which replaces a school's existing governing body. For a Foundation or Voluntary School the Governing Body (corporate) is the charity. This power allows it to be reconstituted, but the IEB will be charity trustees in law and accountable accordingly. A local authority must obtain the consent of Welsh Ministers before it appoints an IEB. An IEB can be used to provide challenge to the leadership of the school to secure rapid improvement or where there has been a serious breakdown in the working relationships within the governing body of the school. When considering appointing an IEB, the local authority must determine that the existing governing body is unable to provide the necessary leadership to turn around the school as quickly as possible. Clear evidence should be presented to the governing body as to why this conclusion has been reached. The governing body may not agree with the local authority's judgement, which is why the power may only be used with the consent of Welsh Ministers.

### **Consultation**

Before exercising this intervention the local authority must consult the governing body, and in the case of a school with a religious character, the appropriate religious body or other appointing authority. A consultation must be undertaken when proposals are at a formative stage and include sufficient detail to allow those affected to give a considered response. The consultation should include the powers under which the action is being proposed, and include specific issues that are causing concern, i.e. details of how the governing body is failing to deliver its function effectively, and reasons why appointing an IEB is the most appropriate form of intervention regarding the matter. A minimum of 14 days should be allowed for parties to respond. When deciding on the appropriate length of time to consult the local authority should take into account Bank holidays and school holidays.

In determining whether to consent to the local authority's application to replace the governing body with an IEB the Minister must be satisfied on two counts:

- (i) That the local authority has complied with its statutory duties in the 2013 Act in respect of the issue of a warning notice and undertaken a fair consultation with those affected;
- (ii) That replacing the school's governing body with an IEB is appropriate and justified when taking into account all the relevant facts and circumstances.

The Minister looks to Estyn to provide advice on all matters within its remit and is likely to seek advice on all applications to appoint an IEB.

IEB applications should be made using the form (**\*Appendix 2 – Application form for Welsh Ministers' consent to appoint an IEB and guidance notes for completion**). An appropriately completed form will better enable the Welsh Ministers to make a timely determination, therefore it is important for the local authority to clearly set out the support and advice it has provided to the school before reaching the decision to apply for an IEB and be explicit in its reasons why an IEB is the only option to address the issues at the school. If consent in writing from the Welsh Minister is obtained, the local authority must write to the governing body to give them notice that the IEB will be established (a "notice of establishment"). This notice should specify a date when the IEB will commence and will usually give a date when the provision will be reviewed or cease.

### **Delegated budget**

An IEB has a right to a delegated budget. If the school's budget has previously been withdrawn from the governing body, then the local authority must restore the budget from the date when the IEB commences its work. If a notice has been given to the normally constituted governing body specifying a date when it is proposed to withdraw the right to a delegated budget, the notice will cease to be valid from the date of commencement of the IEB.

### **The role and duties of the IEB**

An IEB should be a temporary measure and its main functions are to secure a sound basis for future improvement in the school and to promote high standards of educational achievement. The

IEB should be considered as the governing body of the school and any reference in the Education Acts to a governor or foundation governor has effect as a reference to an interim executive board member.

Paragraph 13(1) of Schedule 1 to the School Standards and Organisation (Wales) Act 2013 provides that regulations made under section 19(2) and (3) of the Education Act 2002 do not apply in relation to IEBs. However, paragraph 13(2) of Schedule 1 to the School Standards and Organisation (Wales) Act 2013 does allow the Welsh Ministers to apply regulations made under those 2002 Act powers to IEBs except for regulations which make provision about the governing body constitution. Further paragraph 13(3) of Schedule 1 to the 2013 Act states that the Instrument of Government of the school does not have effect in relation to the IEB insofar as it relates to the constitution of the governing body. In other respects, the Instrument of Government does have effect.

The IEB will take on the responsibilities of a normally constituted governing body, including the management of the budget, the curriculum, staffing, pay and performance management and the appointment of the Headteacher and deputy Headteacher. An IEB may recommend to a local authority, or recommend that the Welsh Ministers should give a direction to the local authority, that a school should be closed. However, the IEB cannot itself publish proposals for closure. If, following the statutory consultation and other procedures, it is agreed that the school will be closed the IEB should continue to hold office until the implementation date of the proposal.

In addition, the members of an IEB appointed for a school with a religious character will take on the powers and responsibilities of charity trustees of that charity.

#### **Membership of the IEB**

As set out in Schedule 1 to the 2013 Act, the number of interim executive members must not be less than two; once the IEB has been established, further members can be appointed at any time. An IEB should be a small, focused group appointed for the full period which it is expected to take to turn the school around. Members of an IEB should be chosen on a case by case basis, depending on the needs of the school. Existing governors may be appointed to the IEB.

Interim executive board members may be removed in limited circumstances. This can be for incapacity or misbehaviour or where their written notice of appointment provides for termination by the appropriate authority on notice. The appropriate authority may be the local authority or Welsh Ministers depending on who made the appointment.

The local authority should produce a written notice of appointment for each member of the IEB. Copies of this notice should be sent to all other members of the IEB; the schools existing governing body; the Welsh Ministers; and, in the case of a school with a religious character, the appropriate religious authority or other appointing authority. A local authority or the Welsh Ministers may choose to pay interim executive members such remuneration and allowances as is considered appropriate.

All charity trustees can reclaim out of pocket expenses, but most are unpaid. Where there is a power to pay trustees (as in this case under the Schools Standards and Organisation (Wales) Act 2013), it must be exercised only in the interests of the charity. The level of payment must be justified in the interests of the charity (although in this case the local authority rather than the charity would be paying). The trustees must also manage their conflict of interest. This will mean:

- Trustees (governors or members of an IEB) must absent themselves from any decision affecting their payment;
- Usually, only a minority of trustees may be paid; there must always be enough unconflicted trustees to be able to make a valid decision.

#### **Transition from an IEB to a normally constituted governing body**

The transition from an IEB to a normally constituted governing body needs to be carefully managed. Schedule 1 to the 2013 Act, provides that arrangements for the transition may be prescribed by the Welsh Ministers in regulations.

Under the 'School Governance (Transition from an Interim Executive Board)(Wales) Regulations 2012, a local authority must make arrangements to establish a shadow governing body (SGB) at least 6 months before the IEB ceases. This enables the “shadow” governing body (SGB) to work alongside the IEB before assuming the full powers of a governing body. The SGB will be constituted in the same way as a schools governing body. The IEB may delegate functions to the SGB during this transition period. When the IEB steps down, the SGB is treated as if it were the normally constituted governing body of the school.

If the date when the IEB will cease was not given in the notice of establishment, the local authority must send a second notice to the shadow governing body specifying the date when the IEB will be discontinued. This notice should be copied to all members of the IEB, the Welsh Ministers and in the case of schools with a religious character the appropriate religious authority.

### **\*Appendix 3 – Further guidance on IEBs**

#### **Power to give directions and take steps**

Section 9 enables a local authority to give directions to the governing body or head teacher or take any other steps where a school is eligible for intervention. The Direction must be in writing and may be varied or revoked by a future direction.

#### **Schools requiring special measures or significant improvement**

The procedures and timescales in this Chapter apply to inspection of all maintained schools.

#### **When does a school require special measures or significant improvement?**

If, following an inspection under Section 28 of the Education Act 2005 or an area inspection under Section 83 of the Learning and Skills Act 2000, a Reporting Inspector considers a school to be causing concern a judgement will be given that the school requires ‘special measures’ or significant improvement’. Schools requiring special measures or significant improvement can also be identified through any inspection or monitoring visit carried out by Estyn under Section 24 of the Education Act 2005.

#### **What happens when it is judged that a school requires special measures or significant improvement?**

As part of oral feedback at the end of the inspection the Reporting Inspector will inform the head teacher that in view of serious deficiencies identified as a result of the inspection it is proposed that the school requires special measures or significant improvement. This meeting may include a representative from the school’s governing body or the appropriate authority for the school. The governing body must invite the local authority and where appropriate, the diocese to be present at all or part of the feedback meeting. The local authority may however wish to be represented by a EAS representative.

#### **Timescales for preparation of inspection report and action plans**

The Reporting Inspector has 35 working days from the date on which the Section 28 school inspection was completed to produce the final inspection report and summary. The inspection report and summary will be subject Estyn's quality assurance and moderation processes. Estyn will provide the school with a draft of the inspection report to help check the factual content. The school has 5 working days to consider the report and provide comments on factual accuracy. The inspection report will be submitted to Her Majesty’s Chief Inspector (HMCI) who will decide whether to support the inspection team's view on the need for special measures or significant improvement.

### **What happens if HMCI disagrees with the findings of a Reporting Inspector?**

The school only requires special measures or significant improvement if HMCI agrees with the Reporting Inspector's judgement. If HMCI disagrees with the findings, then HMCI's judgement takes precedence. HMCI may form the view that a school judged by the Reporting Inspector as requiring special measures is a cause for concern but decide to place the school in the lesser category of requiring significant improvement. The HMCI may also place the school in a more severe category if a school is initially identified as requiring significant improvement but needs special measures.

### **What happens when HMCI agrees that a school requires special measures or significant improvement?**

If a school requires special measures or significant improvement, in accordance with Section 37 of the Education Act 2005, HMCI has a duty to notify the Welsh Ministers and the local authority without delay. All inspection reports are published electronically on Estyn's website.

### **Action required by the school once found to require special measures or significant improvement**

#### **Action plan**

The governing body is required to prepare a written statement of the action it proposes to take in the light of the key issues identified in the inspection report. The written statement is usually known as the Post Inspection Action Plan (PIAP) and should also set out the period within which each action identified will be addressed. The local authority, and EAS will work closely with the head teacher and governing body of the school and where applicable, the appropriate religious authority to provide support in drawing up the action plan. It is expected that work on the action plan begin as soon as early warning of the school being identified as a cause for concern is provided by the Reporting Inspector or HMI at the end of the inspection.

Currently the Action Plan must be completed within **20** working days from the date the governing body received the final inspection report. However, Welsh Ministers may specify a shorter timescale if they are of the opinion that the urgency of the case requires a shorter period.

Schools should aim to make a draft of the Action Plan available to Estyn for comment at least 10 working days before the statutory deadline. This allows time for Estyn to write to the school with any suggested improvements to the Plan. However, the governing body must submit the Action Plan to Estyn by the statutory deadline.

#### **What if the school does not have a delegated budget?**

Where the school does not have a delegated budget the local authority is responsible for producing and submitting the Action Plan. The Action Plan must also be made available to the governing body in these circumstances.

#### **Destination of the final action plan**

A copy of the final action plan must be submitted to HMCI, the Welsh Ministers, the local authority and the school staff. In addition, the governing body is required to:

- make a copy of the Action Plan available for inspection by members of the public at such times and at such place as may be reasonable;
- provide a copy, free of charge to any person who asks for one or in those cases set out in the Education (School Inspection) (Wales) Regulations 2006 on payment of a small fee (not exceeding the cost of supply);

- take such steps as are reasonably practicable to secure that every parent of a registered pupil at the school receives a copy of the Action Plan or summary of the plan as soon as is reasonably practicable.
- With regard to foundation governors, the appropriate authority must also send a copy of the summary to the person or the appropriate religious authority who appoints the governors.

### **What should the Action Plan set out?**

The Action Plan should set out the work proposed to enable the school to make sufficient improvement to address the deficiencies identified by Estyn as soon as possible. Most schools are expected to make the required improvements within one year of being found to require significant improvement or within 2 years of requiring special measures. The format of the Action Plan is a matter for schools. As a minimum, however, for each area for improvement identified in the Inspection report the Action Plan we would expect the action plan to specify:

- the action the school proposes to take;
- the support the school will access to address the area for improvement;
- lead responsibility for the action proposed;
- the timescale for the work to be completed with key milestones;
- success criteria, including targets for improvements in learner outcomes, against which progress will be judged;
- resources to be applied to the work;
- how progress will be monitored e.g. who, when and how;
- how it will inform parents and carers about the actions planned for the school; and
- how it will ascertain parents' views on these actions and how it will take those views into account.

### **What action is required by local authorities and when?**

The local authority will work closely through or with the EAS with the head teacher and governing body of the school and, if appropriate, the religious authority, in drawing together the school's Action Plan. Under Section 40 of the Education Act 2005, the local authority is also required to prepare a written statement of any action it proposes to take in the light of the school inspection report that identifies a school as requiring special measures or in need of significant improvement. The written statement should also set out the period within which it is proposed to take such action. The written statement of support must be produced within 10 working days from the date that the local authority received a copy of the school's Action Plan or within 12 working days from the date by which the appropriate authority is required to have distributed the school's Action Plan (whichever is the earlier). If the local authority does not propose to take action it must still produce a written statement setting out its reasons.

The local authority must submit a copy of the statement to HMCI, the Welsh Ministers and, in the case of a voluntary aided school, to the person who appoints the foundation governors and, if different, also to the appropriate appointing authority (i.e. the religious body). Where the local authority is the appropriate authority for the school (i.e. where the school does not have a delegated budget), there is no requirement to prepare a written statement (as the local authority will have prepared the school's Action Plan).

Welsh Ministers may direct a shorter period for preparation of the written statement where they are of the opinion that the urgency of the case so requires. The time periods referred to in relation to the completion of written statements, exclude Saturdays, Sundays, Good Friday, Christmas Day and any other bank holidays but do not exclude any other school holidays. Best practice indicates that the school, local authority and, where appropriate, the appropriate religious body should work

closely to prepare complementary plans. It is important that the local authority's written statement is closely tailored to the specific needs of each school.

### **What should the local authority statement contain?**

The format for the written statement is a matter for each local authority. However, it is suggested that the statement should provide:

- an assessment of the governing body's Action Plan and the school's ability to implement the plan;
- detail on the action the local authority plans to take to address the areas for improvement identified in the inspection report;
- identified responsibilities for ensuring the action takes place;
- timescales with key milestones;
- success criteria including targets for improvements in learner outcomes against which progress will be judged;
- detail on how progress will be monitored e.g. who, when and how;
- resources to be applied to the work;
- whether the local authority intends to use its powers of intervention to require the governing body to secure advice or collaborate, give directions to the governing body or head teacher and take any other steps, appoint additional governors, withdraw the school's delegated budget or replace the governing body with an IEB; and
- how it will inform parents and carers about the actions planned for the school. How it will ascertain parents' views on these actions and how it will take those views into account.

### **Who approves the school action plan and local authority statement?**

Estyn will evaluate the school's Action Plan and local authority's written statement and write to the governing body, local authority and Welsh Ministers to advise whether the action plan and statement are considered fit for purpose to secure the necessary improvements within a reasonable timescale. If Estyn does not consider the school's Action Plan and local authority's statement of support to be fit for purpose, it will require them to be amended and resubmitted until Estyn is satisfied that plans are appropriate to bring about the necessary improvements within a reasonable timescale. In this context it is anticipated that in most instances schools should aim to make sufficient progress to be removed from special measures within 2 years and to be removed from requiring significant improvement within 1 year, but each case must be taken on merit.

### **Monitoring of schools causing concern**

#### **Schools requiring special measures**

For schools requiring special measures, in most instances Estyn will carry out termly monitoring visits to the school starting the term following publication of the inspection report. Estyn will assess the progress made by the school and the local authority in implementing the action plan and the written statement to address the issues identified in the school inspection report. Estyn will write to the Chair of the governing body, the local authority and the Welsh Ministers following each monitoring visit to report the progress made by the school since the initial inspection.

The letter will include HMCI's judgement as to whether the school still requires special measures. Estyn will continue to carry out monitoring visits until such time as HMCI is of the opinion that the school has improved sufficiently to be removed from special measures.

Where progress is assessed as insufficient local authorities and the Welsh Ministers may consider the need to invoke their statutory powers of intervention in respect of the school.

#### **Schools requiring significant improvement**

For schools requiring significant improvement, in most instances, Estyn will re-inspect the school approximately twelve months after publication of the inspection report. Estyn will assess the progress made by the school and local authority in implementing the action plan and written

statement to address the issues identified in the school inspection report. A report of the visit will be sent to the Chair of the governing body, the local authority and to the Welsh Ministers. The letter will include HMCI's judgement as to whether the school should be removed from the list of schools requiring significant improvement.

Where Estyn considers that good progress has been made to address the areas of concern identified in the inspection HMCI may judge that the school can be removed from the list of schools requiring significant improvement. If progress is insufficient, HMCI will give consideration to the school requiring special measures. In exceptional cases, where a school has made some progress and is nearly, but not quite, at a point where it can be removed from the list of schools requiring significant improvement, HMCI will consider one further monitoring visit after a further 6 months. If the school has made suitable progress, Estyn will report as above.

### **Parental engagement**

Strong parental engagement can have a positive impact on the morale of the school and its community, the school's overall performance, and the educational achievements of individual pupils. The Welsh Government expects local authorities to ensure that parents are properly informed and engaged when their child's school is causing concern. The school action plan and local authority statement of support for a school requiring significant improvement or special measures will set out how they will communicate with and ascertain the views of parents at the school.

**\*Appendix 4: Process for schools requiring special measures or significant improvement**

**\*Appendix 5: LA Statement of Action template**

**\*Appendix 6: EAS Progress Report Template for schools requiring Significant Improvement or Special Measures**

### **SEWC Intervention Framework (linked to National Categorisation of schools)**

School intervention plans and support plans are central to the EAS strategy for ensuring that schools make required improvement. They are used to support the stages of informal support to the school under the National School Improvement Model / SEWC Intervention Framework (**\*Appendix 7 - Intervention Framework Amber and Red Schools**) or following the issuing of a warning notice based on the six grounds for intervention, to support the formal intervention process.

School Intervention Plans (**\*Appendix 8 – Intervention Plan / Support Plan template**) are required when the school's overall support category is judged as Red using the National Model for Categorisation. Schools that are judged to require a Red level of support will require the plans to be formally agreed by the LA by the process identified below.

Schools that are judged to require an Amber level of support will require a support plan. These will be agreed with the CA and shared formally with each Governing Body. Progress towards the actions in the Support Plan will be monitored through the Education Improvement Board (EIB) process identified below.

The Challenge Adviser (CA) is responsible for the development, coordination and implementation of the Intervention Plan. They are supported by a Principal Challenge Adviser (PCA) (1 in each LA) who is responsible for ensuring that plans are fit for purpose and progressing appropriately. The Assistant Director, CAs has oversight of progress in intervention schools. The PCA provides the link between the EAS and the LA in making the final decision about the schools that require intervention and to coordinate formal meetings as explained below.



## Intervention Plans / Support Plans

Within the informal intervention process, the intervention plan will focus upon improvements within the Step 2 Criteria from the National Categorisation System.

The intervention plan / support plan will consider the following:

- What does the school need to do and by when? This outlines the actions which the school itself will take.
- How does the EAS ensure this happens? This relates to the EAS role in supporting the school in developing its action plan and monitoring and evaluating its progress.
- What specific support will the EAS and/or LA provide to support the school in implementing its actions? This relates to specific actions undertaken by the CA or by members of the EAS team and / or LA Officers (e.g. literacy/numeracy/ foundation phase / health and safety/ ALN / Finance.) to support school actions specified in the intervention plan. However, support for e.g. Literacy / numeracy will only be allocated when the capacity within the leadership of the school is deemed to be sufficient in order to maximise the input.
- How will progress be evaluated and outcomes reported? This relates to role of the CA in evaluating progress and arranging evaluation meetings between the Headteacher, Chair of Governors and where appropriate (amber and red schools) the Director of Education, Diocesan Director (as appropriate) or their representative and the Cabinet Member. The PCA will be involved in these meetings and will be the key person who makes arrangements with the LA.
- How will performance be monitored and evaluated? Particular attention will be given to key outcome milestones such as end of key stage assessments, national tests and external examinations.

Following the issuing of a warning notice or a school being deemed as requiring Significant Improvement or Special Measures following an Estyn inspection, the content of the intervention plan will need to conform to the requirements of the WG Guidance for schools causing concern, although the format and key sections of the plan will be similar. This plan is then referred to as the LA Statement of Action. **(Appendix 5 – LA Statement of Action template)**

The school is responsible for developing and implementing an action plan to achieve the required improvements and will be supported to ensure this occurs by the EAS and the LA as required. It is, however, primarily the school which needs to take responsibility for securing its own improvement, with its capacity to self-improve determining the degree of intervention by the EAS and the LA.

The CA is responsible for ensuring the development and implementation of the intervention plan (schools in overall support category Red) or the support plan (schools in overall support category Amber) in order to secure the improvements required. In particular, the CA will:

- Support the school in developing its action plan (School Development Plan).
- Produce the intervention plan in partnership with EAS and LA colleagues to secure actions to support the school in implementing specific actions.
- Meet with the governing body to outline the issues facing the school and improvements required, and with the Headteacher to present the intervention plan (including school action plan) to the governing body.

- Provide specific support to the school to assist in implementation of its actions as detailed in the intervention plan / support plan.
- Regularly monitor the school's progress in implementing the action plan and the progress made by the EAS/LA in supporting the school and produce evaluation reports as required.
- Evaluate the school's progress towards achieving the improvements required and produce impact updates as required.
- Attend regular progress review meetings with the LA to provide updates (in the case of Red schools) and attend EIB meetings in the case of Amber schools.

The PCA is responsible for supporting the CA in developing and implementing the intervention plan / support plan and ensuring that they are fit for purpose, implemented within agreed timescales and effective in delivering outcomes.

The PCA has oversight of the progress made in implementing the intervention plan and the progress made by the school in terms of actions and outcomes. The PCA is responsible for liaising with the LA in setting up formal meetings within the intervention process.

The extent to which the school has been successful in achieving the required improvement will determine future actions by the LA and EAS in line with National Categorisation Framework. This may encompass:

1. The school has made strong / very good progress and will be removed from the intervention/support plan.
2. The school has made satisfactory/strong progress but will need to remain on the intervention/support plan for a further period of time to enable the improvements to become consistent and embedded.
3. The school has made satisfactory/strong progress but still requires additional support and the support plan / intervention plan requires revision and updating.
4. The school demonstrates limited progress which lacks pace. It is advised that the Local Authority determine appropriate next steps of action in line with the agreed policy.

## Intervention Plan process (for school requiring an overall support category of Red)

CA determines the overall categorisation of the school in conjunction with the PCA for the LA. The CA will identify the key issues to be addressed. The LA will formally agree the overall support category. If this is Red then the formal process below will begin. The school will receive the letter notifying them the category they have been placed. **(Appendix 9)**

The CA will create an intervention plan in close collaboration with the Headteacher and the LA (where appropriate). The intervention plan will focus upon leadership development in the first instance. The plan will be quality assured by the PCA. In the case of Schools Challenge Cymru schools, the agreed school plan will act as the intervention plan.

The PCA will link with the key LA Officer who will arrange the meetings between the Director of Education / Chief Education Officer/ Diocesan Director or their representative, CA, PCA, Headteacher, Chair of Governors and Elected Member to formally agree the plan and the improvements required. Agreement is reached around the timescales for the first progress meeting. **(Appendix 10)**

School implements the agreed actions.

CA monitors and supports the school progress in implementing actions.

The LA Officer will invite the Headteacher and the Chair of Governors to a review meeting within at least a term of the initial agreement of the intervention plan **(Appendix 11)**. The LA Officer will take responsibility for taking minutes of the meetings in line with the LA protocol.

The school will be asked to complete the impact evaluation column on the Intervention Plan. The school will send this to the LA within 5 days of the meeting. The CA will also complete the impact evaluation column on the Intervention Plan and will send to the LA within 5 days of the meeting.

The Director of Education / Chief Education Officer / Diocesan Director or their representative, CA, PCA, Headteacher, Chair of Governors and Elected Member will discuss the progress towards the key actions and will evaluate progress. The LA will inform the Headteacher and Chair of Governors the outcome of the meeting, using the agreed template letter within 5 working days of the meeting. The PCA will be copied into the letter. One of the choices below will be chosen following the intervention panel meeting **(Appendix 12)**

The school has made strong / very good progress and will be removed from the intervention plan.

The school has made satisfactory/strong progress but will need to remain on the intervention plan for a further period of time to enable the improvements to become consistent and embedded.

The school has made satisfactory/strong progress but still requires additional support and the intervention plan requires revision and updating.

The school demonstrates limited progress which lacks pace. It is advised that the Local Authority determine appropriate next steps of action in line with the agreed policy.

## Support Plan process (for school requiring an overall support category of Amber)

CA determines the overall categorisation of the school in conjunction with the PCA for the LA. The CA in discussion with the Headteacher will identify the key issues to be addressed. The LA will formally agree the overall support category. If this is Amber then the formal process below will begin.

The CA will create a support plan in close collaboration with the Headteacher and the LA (where appropriate). The support plan will focus upon leadership development in the first instance. The plan will be quality assured by the PCA.

School implements the agreed plan.

CA monitors the school progress in implementing actions. CA will write an impact report on at least a termly basis.

The support plan will be monitored through an Education Improvement Board (EIB) every 6 weeks. The CA and HT will agree and issue dates in advance. The CA will invite the LA / Diocesan Director (as appropriate) and the HT will invite the Chair of Governors. The EIB meetings will take place in the school. Details of the EIB can be found in the SEWC EIB Protocol document.

The Head teacher and CA will update the Impact and Next Steps section on the Support Plan

All documents to be distributed to all attendees at least 3 working days in advance of the meeting.

The CA, Headteacher, Chair of Governors and LA Officer (Diocesan Director as appropriate) \* will discuss the progress towards the key actions and will evaluate progress.

\* The Elected Member for Education will attend a sample of meetings across the LA at their discretion.

\*\*Additional relevant staff can be invited to present directly to the EIB.

Minutes of the EIB will be taken on the agreed template. The agreed progress of the school will be recorded by the CA from one of the four options below. The CA will send the agreed minutes to Learning Intelligence.

The school has made strong / very good progress and will be removed from the intervention plan.

The school has made satisfactory/strong progress but will need to remain on the intervention plan for a further period of time to enable the improvements to become consistent and embedded.

The school has made satisfactory/strong progress but still requires additional support and the intervention plan requires revision and updating.

The school demonstrates limited progress which lacks pace. It is advised that the Local Authority determine appropriate next steps of action in line with the agreed policy.

## Appendices

Appendix	Title
1	Warning Notice Template Letter
2	Application form for Welsh Ministers' consent to appoint an IEB and guidance notes for completion
3	Further guidance on IEBs.
4	Process for schools requiring special measures or significant improvement (Flowchart)
5	LA Statement of Action template
6	EAS Progress Report Template for schools requiring Significant Improvement or Special Measures
7	SEWC Intervention Framework (Amber and Red)
8	Intervention Plan / Support Plan template
9	Template for letter from the LA to schools in overall support category Red
10	Sample structure of an intervention meeting
11	Sample invitation letter to an intervention meeting
12	Sample letter following an intervention meeting
13	Schools Causing Concern Register - Protocol

## Appendix 1: Warning notice template

Name of Chair  
Address of School

Dear Chair of Governors,

### Warning Notice - [insert school name]

In accordance with the provisions of Part 2 of the *School Standards and Organisation (Wales) Act 2013 (hereinafter referred to as "the Act")* and Welsh Government Statutory Guidance Document (202/2016) *Schools Causing Concern* I hereby serve upon you this formal **Warning Notice** outlining the required improvement as set out below.

Following [insert evidence] I am satisfied that the following grounds, as set out in the Act and Statutory Guidance, exist to warrant the serving of this formal Warning Notice to secure immediate improvement in the specified aspects of the school *[remove as necessary]*:

**Ground 1:** the standards of performance of pupils at the school are unacceptably low – in that:

- [insert evidence]

**Ground 2:** there has been a breakdown in how the school is managed or governed –in that:

- [insert evidence]

**Ground 3:** the behaviour of pupils at the school or any action taken by those pupils or their parents is severely prejudicing, or is likely to severely prejudice, the education of any pupils at the school.

- [Insert evidence]

**Ground 4:** the safety of pupils or staff at the school is threatened (whether by a breakdown of discipline or otherwise - in that:

- [Insert evidence]

**Ground 5:** the governing body or Headteacher has failed, or is likely to fail, to comply with a duty under the Education Acts in that:

- [Insert evidence]

To address the shortcomings identified the following actions are required of your governing body.

The school needs to fully engage with the local authority immediately to produce a detailed plan to ensure that the following concerns are addressed within the specified timeline:		
Action	Timeline	Update
A1. (What is required by whom, it is good practice to provide guidance to governing bodies on how they might comply.)	(Insert timelines and include how this will be monitored and by whom.)	(any updates to be added here)
A2.		
A3.		
B. Implement the agreed action plan immediately and report weekly to the local authority on progress		
C. Confirm to the local authority by the end of the specified compliance periods that all actions have been successfully concluded.		

Whilst responsibility for undertaking the requirements of this Warning Notice rests with the governing body the local authority will offer all support reasonably practicable through a 'team around the school' approach, including input from the school challenge adviser and regional consortium.

Responsibility for overseeing the action plan for xx on behalf of the local authority will rest with [insert individual name and title within the LA]. I am obliged, by the terms of the Act and Statutory Guidance, to notify you that should you fail to comply with the requirements of this Warning Notice within the specified time periods that I will use the statutory powers of intervention available to me.

This intervention could take the form of the appointment by the local authority of additional governors or ultimately, should the circumstances warrant it, the local authority making an application to the Welsh Ministers to establish an Interim Executive Board to replace the existing governing body. Through your prompt cooperation with the requirements with this Warning Notice I very much hope to avoid having to take any such formal intervention. In satisfaction of the terms of Section 3(3) of the Act a copy of this Warning Notice is being sent to the Headteacher and to the Welsh Government.

Yours sincerely

Director of Education and Children's Services

Copy: Welsh Government

Headteacher

Regional Consortium

(in the case of a foundation or VA / VC school the person who appoints foundation governors)

(appropriate religious body where applicable)

**Appendix 2: Application form for Welsh Ministers' consent to appoint an IEB and guidance notes for completion**

**Application to Welsh Ministers to replace a School Governing Body with an Interim Executive Board**

LA School
1. Brief description of the school, including status (community, foundation, aided), location number on roll.
2. Date of Warning Notice to governing body/Report from Estyn placing the school in the category of special measures/significant improvement
3. Background and reasons for application, to include details of all offers of support to the school/consultation taken prior to application for IEB.
4. Date the Governing Body was first informed of application for IEB, including dates of appropriate consultation meetings and minutes of relevant meetings.
5. Governing Body's response to IEB proposal (or attach separately).



6. Religious authority's response to IEB proposal (in the case of a foundation or voluntary school which is a Church in Wales school or a Roman Catholic Church school) (or attach separately).

7. In the case of all foundation or voluntary schools, the reaction to the proposal of the person or persons by whom the foundation governors are appointed.

8. List of proposed members of the IEB, with a brief outline of their suitability, skills and experience (or attach separately).

9. Proposed support to be provide by / on behalf of local authority.

10. Planned life of IEB and plans for exit strategy (or attach separately):

Signed Dated Full Name: Position

**Part 2 – for Chair of Governors to Complete**

Do you support the application for an IEB? Yes/No  
If no please state reasons below (or attach separately):

Signed:  
Dated:  
Name:  
Position:

**Part 3 – For a representative of the appointing authority to complete  
(where applicable)**

Do you support the application for an IEB? Yes/No  
If no please state reasons below (or attach separately):

Signed:  
Dated:  
Name:  
Position:

**Guidance notes for completion**

The background and reasons for the application should outline: The brief history of the improvement issues facing the school and the key steps taken by local authorities over last 3 years to tackle them/details of partnership working with the religious body if appropriate to address weaknesses.

The local authorities' view of the governing body's commitment and capacity to tackle issues and take advice, for example, identifying whether it is a block to school improvement (and if this is intentional), and why the local authority feels it should be replaced. Questions 4 & 5, 6, 7 – In answering these questions, the local authority should set out what steps it has taken to inform governing body/religious body appointing authority of its intention to replace it with an IEB. It should record the reaction/response of governing body/religious body to the IEB proposal; including the nature and extent of formal consultation (this should include evidence that the local authority has informed each member of the governing body of their intention to establish an IEB and allowed a reasonable time for the governing body to respond). If there is no formal response from the governing body, the local authority must endeavour to include a letter from the Chair of Governors to the effect that consultation has occurred. If the Chair of Governors does not respond to this request, the local authority must state explicitly why they are not able to provide evidence of consultation, for example, that the governing body are refusing to discuss the issue. Question 8 – The answer to this question should give the reasons why the proposed membership has sufficient capacity to allow Welsh Ministers to feel confident that the school will make the necessary progress in a timely manner. The proposed membership should reflect a range of expertise and

represent different stakeholders' interests. The local authority should give reasons for the choice of the IEB Chair; ideally this should be someone independent from the school and local authority.

### **Further advice**

Local authorities should note that applications cannot be processed unless the necessary statutory processes have been followed correctly, which includes the processes for issuing a warning notice (where relevant), and undertaking consultation before applying for an IEB.

In addition, the following should be noted:

1. Applications should be succinct and with specific evidence presented as referenced annexes.
2. The local authority should be able to demonstrate: that recovery/improvement is more likely as a result of the IEB being established proper and timely steps have been taken to support the school to address its improvement needs proper and timely consultation has occurred with the Governing Body and other relevant authorities e.g. the appropriate religious authority.
3. Where the local authority sees the establishment of an IEB as a means of successfully establishing a collaborative arrangement to improve the school, it will be expected that the local authority has fully outlined the advantages of the collaborative arrangement to the Governing Body, and it is clear that governors are not prepared to take the steps necessary to implement this solution.

## **Appendix 3: Further guidance on IEBs.**

### **Interim Executive Boards (IEBs) – Questions and answers**

1. The 2013 Act gives local authorities and the Welsh Ministers powers to provide for a school governing body to consist of an IEB. The powers to appoint an IEB are intended to be used in circumstances where a governing body is judged to be incapable of improving performance and turning a school around even with support. IEBs are governed by provisions set out at Sections 7 and 14 of and Schedule 1 to the 2013 Act. The effect of appointing an IEB is that all existing governors cease to hold office from the date appointed.

#### **What is the procedure for a local authority to appoint an IEB?**

2. The local authority must obtain the consent of the Welsh Ministers before it can appoint an IEB. The local authority should give a written explanation to the governing body (and where appropriate other relevant bodies including the religious authority) on the intention to apply for an IEB and maintain details of their response.

3. A local authority may apply to the Welsh Ministers for permission to replace the school's governing body with an IEB where specific grounds of intervention exist and this is deemed as the most appropriate form of intervention. The local authority must obtain the consent of the Welsh Ministers before serving notice on the governing body that an IEB will be appointed.

4. The IEB is appointed by the local authority and assumes all of the responsibilities of a governing body. With regard to foundation and voluntary schools, the local authority is required to consult the diocese or other appointing authority before applying to the Welsh Ministers for permission to put an IEB in place.

5. The IEB is charged with overseeing the development and implementation of work to ensure that pupils are provided with an acceptable standard of education. The local authority needs to be clear what the issues are within the school and relay them to the IEB to ensure that the IEB is clear of its role and purpose. The local authority also needs to consider what level of support and advice is appropriate to be provided to IEB members before establishing the IEB. The IEB will require additional resources from the local authority to deal with queries, issues, meetings and the authority may consider setting up a service level agreement to support this resource. After a period the IEB is replaced by a normally constituted governing body which acts in a shadow capacity before assuming the full powers of a governing body.

#### **Key facts**

##### **What is the role of an IEB?**

6. The IEB should be considered to be the governing body of the school for the time it is in place. It will take on all the responsibilities of a governing body, including the management of the budget, the curriculum, staffing, pay and performance management and the appointment of the head teacher and deputy head teacher. The IEB's main functions are to secure a sound basis for future improvement in the school and promote high standards of educational achievement. It is important that the school's Headteacher fully understands the role and purpose of the IEB. The IEB may determine its own procedures and make such arrangements as it thinks fit for the discharge of its functions.

7. Schedule 1 of the Schools Standards and Organisation (Wales) Act 2013 provides that Regulations made under section 19 (2) and (3) of the Education Act 2002 do not apply in relation to IEBs. However, paragraph 13 (3) of Schedule 1 to the School Standards and Organisation (Wales) Act 2013 does allow the Welsh Ministers to apply regulations made under those 2002 Act powers to IEBs except for regulations which make provision about the governing body constitution. Further, paragraph 13(3) of Schedule 1 to the 2013 Act states that the Instrument of Government of the school does not have effect in relation to the IEB insofar as it relates to the constitution of the

governing body. In other respects the Instrument of Government does not have effect.

#### **What will be the composition of the IEB?**

8. An IEB will be made up of a number of Interim Executive Members (IEMs). There is no maximum number of IEMs for an IEB but there must be at least two. However, in applying to the Welsh Ministers to establish an IEB the local authority will need to set out the range of expertise that will be drawn together and why the authority believes that the IEB will be better placed than the current governing body to secure improvement. Applications will need to be supported by a brief outline of the skills and experience of the proposed IEMs. An existing governor may be appointed as an IEB member. The appropriate authority may nominate one of the IEMs to be chair of the IEB. Every appointment of IEM must be made in writing setting out the terms of the appointment. The document needs to be clear what the role of the IEM will be. An IEM may be removed from office at any time by the appropriate authority for misbehaviour or for incapacity and the appropriate authority shall also be able to terminate his or her appointment by notice.

#### **What will be the term of appointment for IEMs?**

9. It is anticipated that members will be appointed for the full period which it is expected to take to turn the school around.

#### **What will be the selection criteria for IEMs?**

10. IEMs should be chosen on a case by case basis depending on the school's needs. Existing governors may be appointed to the IEB. Once the IEB has been established, further IEMs can be appointed at any time. IEMs may be removed by the local authority. The local authority should produce a notice of appointment for each IEM. Copies of this notice should be sent to all other members of the IEB, the school's governing body, the Welsh Ministers, and - in the case of schools with a religious character – the appropriate appointing religious authority. The local authority may also nominate an IEM to be chair of the IEB.

#### **Remuneration**

11. Local authorities may choose to pay IEMs whatever amount they consider appropriate.

12. IEMs appointed for Foundation or Voluntary Schools are automatically charity trustees. All charity trustees can reclaim out of pocket expenses, but most are unpaid. Where there is a power to pay trustees (as in this case under the Schools Standards and Organisation (Wales) Act 2013), it must be exercised only in the interests of the charity. The level of payment must be justified in the interests of the charity (although in this case the local authority or Welsh Ministers rather than the charity would be paying). The trustees must also manage their conflict of interest. This will mean:

- Trustees (governors or members of an IEB) must absent themselves from any decision affecting their payment;
- Usually, only a minority of trustees may be paid; there must always be enough unconflicted trustees to be able to make a valid decision.

#### **Delegated budget**

13. An IEB has a right to a delegated budget. If the school's budget has previously been withdrawn from the governing body, then the local authority must restore the budget from the date when the IEB commences its work. If a notice has been given to the normally constituted governing body specifying a date when it is proposed to withdraw the right to a delegated budget, the notice will cease to be valid from the date of commencement of the IEB.

#### **Can an IEB recommend closure of a school?**

14. An IEB may recommend to a local authority that a school should be closed. However, the IEB cannot itself publish proposals for closure. If, following the statutory consultation and other procedures, it is agreed that the school will be closed, the IEB should continue to hold office until the implementation date of the proposal.

### **Appointment of an IEB at a foundation or voluntary school**

15. Where a local authority seeks to appoint an IEB at a foundation or voluntary school, it must consult the appropriate religious body or other appointing authority before applying to the Welsh Ministers. Ministers will expect to see evidence of the full involvement of the religious body or appointing authority in any decision to establish an IEB.

16. The members of an IEB appointed for a Foundation or Voluntary School will automatically be charity trustees. The governing bodies of Foundation and Voluntary Schools are exempt charities; they do not register with the Commission; the Welsh Ministers are their principal (i.e. charity regulator).

17. IEMs will be required to respect the religious ethos of the school and ensure that the character of the school is maintained.

### **Transition from an IEB to a normally constituted governing body**

18. The transition from an IEB to a normally constituted governing body needs to be carefully managed. Schedule 1A to the School Standards and Framework Act 1998, as amended by the Education Act 2002, provides that arrangements for the transition may be prescribed by the Welsh Ministers in regulations. Under the School Governance (Transition from an Interim Executive Board)(Wales) Regulations 2012, the process will begin with a period when a “shadow” governing body works alongside the IEB before assuming the full powers of a governing body. The LA needs to be clear what action will be undertaken by which party during this period.

19. If the date when the IEB will cease work was not given in the notice of establishment, the local authority must send a second notice to the shadow governing body specifying the date when the IEB will be discontinued. This notice should be copied to all members of the IEB, the Welsh Ministers and in the case of foundation or voluntary schools the diocese or other appropriate appointing authority.

### **How long before the shadow governing body assumes full powers of a governing body?**

20. The “shadow” governing body should work alongside the IEB for a minimum of six months before taking full responsibility as the governing body of the school. In some cases, it may be necessary for a shadow governing body to work alongside an IEB for longer than six months. For example, a full academic year would allow the shadow governing body to experience a complete year of the planning and management cycle.

21. Members of the shadow governing body should attend IEB meetings as observers to help smooth the school's return to normal governance arrangements.

### **Application to Welsh Ministers to establish an IEB**

22. A local authority must obtain the consent of the Welsh Ministers before it can appoint an IEB (using the application form at annex 2). When a local authority wishes to replace a governing body with an IEB, it must:

(i) consult the existing governing body and, in the case of a foundation or voluntary school, the diocese or other appointing authority; A fair consultation must be undertaken when proposals are at a formative stage and include sufficient detail to allow those affected to give a considered response. The consultation needs to set out clearly the issues at the school and provide sufficient reasons why the local authority considers that establishment of an IEB is the most appropriate form of intervention to address the issues at the school. A minimum of 14 days should be allowed for parties to respond, but each case may be different and the length of time for consultation may vary.”

(ii) Complete and send an application to establish an IEB to the Welsh Government – using the application form at Annex 2. In the application, it is important for the local authority to clearly set out the support and advice it has provided to the school before reaching the decision to apply for

an IEB and to be explicit in its reasons and have strong grounds why an IEB is the most appropriate intervention to address the issues at the school and, after obtaining approval from Welsh Ministers.

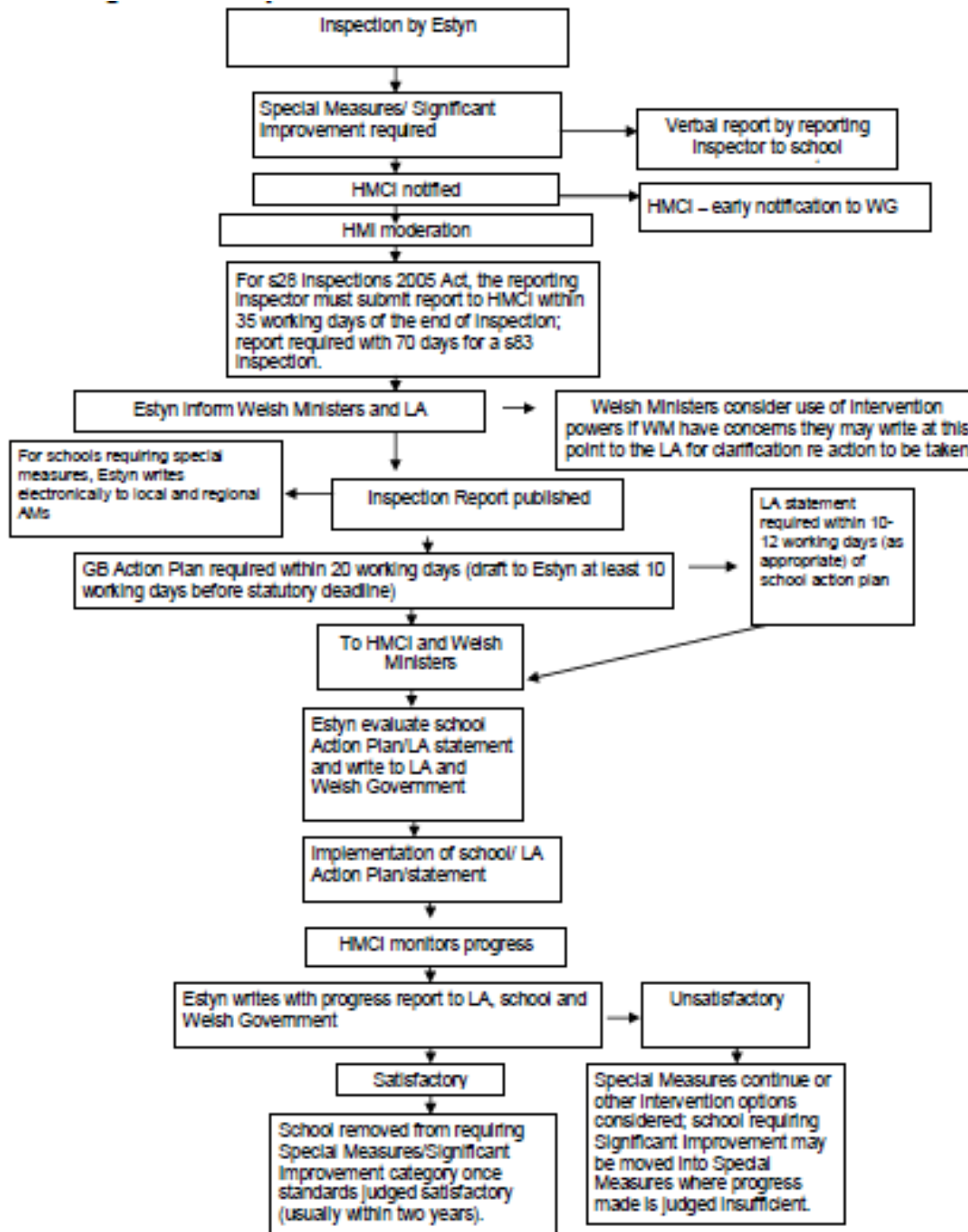
(iii) write to the governing body to provide notice that the IEB will be established (a “notice of establishment”). This letter should state when the IEB will commence, and should indicate when it is anticipated that the IEB will cease to function. In the case of foundation or voluntary schools, this letter should be copied to the diocese or other appropriate appointing authority.

23. For further guidance please contact:

Head of Schools Management and Effectiveness Division  
Department for Education and Skills,  
Welsh Government  
Crown Buildings  
Cathays Park  
Cardiff  
CF10 3NQ

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**Appendix 4: Process for schools requiring special measures or significant improvement (Flowchart)**





## Appendix 5: LA Statement of Action template

Education Achievement Service

For South East Wales

### LA Statement of Action

School:

Date of Commencement of Plan:

#### Context for the Intervention

Current Categorisation	Standards	Capacity - Leadership, T&L	Overall support category

- The school was inspected by Estyn in ... and placed into the category of ...

#### Key Issues

The Estyn Inspection noted that:

##### Current performance

The school's current performance is .... because:

- 
- 

##### Prospects for improvement

The school's prospects for improvement are ... because:

-

<b>Recommendation 1:</b>					
<b>Key Issues:</b>					
•					
<b>Responsibility</b>	<b>Action to be taken</b>	<b>Resources (Specific no. of days/costs)</b>	<b>Timescale (Start/End)</b>	<b>Success Criteria (Measurable Outcomes)</b>	<b>Monitoring and evaluation arrangements for actions (date)</b>
EAS					
LA					

<b>Recommendation 2:</b>					
<b>Key Issues:</b>					
•					
<b>Responsibility</b>	<b>Action to be taken</b>	<b>Resources (Specific no. of days/costs)</b>	<b>Timescale (Start/End)</b>	<b>Success Criteria (Measurable Outcomes)</b>	<b>Monitoring and evaluation arrangements for actions (date)</b>
EAS					
LA					

<b>Recommendation 3:</b>					
<b>Key Issues:</b>					

•					
Responsibility	Action to be taken	Resources (Specific no. of days/costs)	Timescale (Start/End)	Success Criteria (Measurable Outcomes)	Monitoring and evaluation arrangements for actions (date)
EAS					
LA					

Recommendation 4:					
Key Issues:					
•					
Responsibility	Action to be taken	Resources (Specific no. of days/costs)	Timescale (Start/End)	Success Criteria (Measurable Outcomes)	Monitoring and evaluation arrangements for actions (date)
EAS					
LA					

Recommendation 5:					
Key Issues:					
•					

Responsibility	Action to be taken	Resources (Specific no. of days/costs)	Timescale (Start/End)	Success Criteria (Measurable Outcomes)	Monitoring and evaluation arrangements for actions (date)
EAS					
LA					

### Plans for parental engagement

#### The LA will;

- hold a meeting for parents to explain the inspection findings and outlining the plans for improvement – include date and time.
- produce a regular newsletter to update parents on the progress the school is making include dates.
- hold a regular parents' forum where parents can talk to one another and to a senior member of staff or a governor about making things better at the school on include dates and times.
- organise for groups to involve parents on particular issues which the school needs to address; for example, a group of parents, staff governors and an education welfare officer meeting together to work on raising school attendance. This will be discussed on the include date and time.

#### Powers of intervention

Consideration has been given to;

- to use powers of intervention to appoint additional governors
- suspend the right to a delegated budget or
- appoint an Interim Executive Board.

#### Statement

#### Commencement of plan:

#### Monitoring and Evaluating arrangements:

- The monitoring and evaluation arrangements will be in line with the agreed SEWC regional policy on Intervention in Schools Causing Concern.
- Following Estyn Feedback on the School's PIAP and LA/EAS Intervention plans, both plans will be presented to the Director of Education for

formal agreement and dates for monitoring progress by the Education Director, Chair of the Recovery Board and Cabinet Member will also be agreed.

- The CA will monitor the school's overall progress towards meeting the PIAP actions on a monthly basis and with specific focus on review of key elements at specified times as identified in the plan.
- A Principal Challenge Adviser is attached to the school as a part of the intervention to support the CA and to quality assure the intervention plan and its implementation. The CA will meet with the PCA on a regular basis to consider the progress made by the school and the EAS in implementing their plans and to verify the evidence available to support CA judgement.
- The Principal Challenge Adviser will report progress to the Director of Education and LA officers at scheduled LA monitoring meetings focusing on schools with concern. In line with the SEWC policy on Intervention in Schools Causing Concern, the School (Headteacher and Chair of Governors) and the EAS will present a summary evaluation of progress to the Director of Education at dates agreed in the initial meeting. (Normally within three months following the commencement of the action and at three-monthly intervals following this until such time that the LA considers that the school has made sufficient progress. The evaluations of progress will form the basis of any reports required by Estyn.
- The CA will present updates on progress to the GB at a three-monthly interval.
- The LA Intervention Panel will meet with the Headteacher and Chair of Governors to monitor school progress in implementing the action plan and achieving required outcomes at half-termly intervals.

**Reporting arrangements:**

- The action plan and progress evaluations by the school and the EAS/LA will be posted to School Secure
- All impact reports will be shared with the HT, GB, Director of Education, Chair of the Recovery Board and Elected member.

## Appendix 6: EAS Progress Report Template for schools requiring Significant Improvement or Special Measures

Education Achievement Service for South East Wales



Schools identified as requiring **Special Measures / Significant Improvement (delete as appropriate)** following a **Section 28 Inspection**.

**Please delete all red font before submitting this report and also delete the table below. This is designed to assist you in making your judgments on the progress made.**

**Your judgements must be based on a range of first hand evidence.**

**Please ensure that you delete any unnecessary boxes, spaces etc.**

**It all needs to be in Myriad Web size 12.**

**Report on the progress made by .....school**

**Date of report:**

..... was inspected in ..... and identified as requiring monitoring by the local authority. Since that time the authority has, through link officer visits and other officers' visits, supported and monitored the progress the school has made in addressing the recommendations contained in the Estyn report.

**Local authority's view of progress  
Progress on the recommendations in the Section 28 report**

A brief evaluation of the progress made on **each** recommendation is set out below.

	<b>Addressing the recommendation</b>	<b>Aspects still requiring attention</b>	<b>Impact on standards and / or quality of provision</b>	<b>Work required on the next monitoring visit</b>
<b>Limited progress</b>	Does not meet the recommendation	All or many important aspects still awaiting attention	No impact on standards and/or quality of provision (e.g. standards have declined since core inspection in key indicators)	Much work still to do and many aspects still to consider
<b>Satisfactory progress</b>	Addresses the recommendation in many respects	A few important aspects still require significant attention	Limited impact on standards and/or quality of provision	Many aspects addressed but still significant work to do in important areas

<b>Strong progress</b>	Addresses the recommendation in most respects	Only minor aspects still require attention	Positive impact on standards and / or quality of provision	Most aspects covered already with little significant work left to do
<b>Very good progress</b>	Addresses the recommendation in all aspects	No aspects require further attention	Very good impact on quality of provision	School to maintain and build on improved practice

**Recommendation 1: Type the recommendation in here.**

Please note the actions and the impact that the school has made towards meeting the recommendation.

**Summary**

The school has made (Limited progress / Satisfactory progress / strong progress / very good progress) towards meeting this recommendation.

**Aspects that still require attention:**

Please note the areas that the school will need to address to ensure that the recommendation makes very good progress.

**Recommendation 2: Type the recommendation in here.**

Please note the actions and the impact that the school has made towards meeting the recommendation.

**Summary**

The school has made (Limited progress / Satisfactory progress / strong progress / very good progress) towards meeting this recommendation.

**Aspects that still require attention:**

Please note the areas that the school will need to address to ensure that the recommendation

makes very good progress.

**Recommendation 3: Type the recommendation in here.**

Please note the actions and the impact that the school has made towards meeting the recommendation.

**Summary**

The school has made (Limited progress / Satisfactory progress / strong progress / very good progress) towards meeting this recommendation.

**Aspects that still require attention:**

Please note the areas that the school will need to address to ensure that the recommendation makes very good progress.

**Recommendation 4: Type the recommendation in here.**

Please note the actions and the impact that the school has made towards meeting the recommendation.

**Summary**

The school has made (Limited progress / Satisfactory progress / strong progress / very good progress) towards meeting this recommendation.

**Aspects that still require attention:**

Please note the areas that the school will need to address to ensure that the recommendation makes very good progress.

**Recommendation 5: Type the recommendation in here.**

Please note the actions and the impact that the school has made towards meeting the recommendation.



### Summary

The school has made (Limited progress / Satisfactory progress / strong progress / very good progress) towards meeting this recommendation.

### Aspects that still require attention:

Please note the areas that the school will need to address to ensure that the recommendation makes very good progress.

### Recommendation 6: Type the recommendation in here.

Please note the actions and the impact that the school has made towards meeting the recommendation.

### Summary

The school has made (Limited progress / Satisfactory progress / strong progress / very good progress) towards meeting this recommendation.

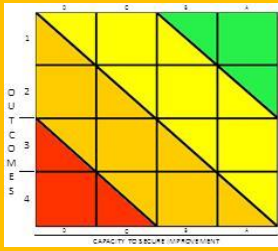
### Aspects that still require attention:

Please note the areas that the school will need to address to ensure that the recommendation makes very good progress.

### Conclusion

Provide a brief evaluative statement about the school's progress and prospects for improvement.

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### Amber support category

A school in this category may receive **up to 15 days** of Challenge Adviser time.

#### Level of support

Each Challenge Adviser will determine the nature of the bespoke support package to be provided to each school according to need which may result in the allocation of additional days support. This additional support could be delivered by a range of providers.

Each school will receive a bespoke support package from the CA linked directly to need. This will be a differentiated support of up to 15 days. Schools will receive either a high, medium or low support package within this support category.

A Support Plan to support and challenge improvement will be agreed through the protocol detailed in the SEWC Education Improvement Board Protocol.

The Support Plan details the nature and level of support, timetable for action and expected outcomes. The programme will dovetail with the school's own improvement programme (if appropriate).

#### Core Entitlement

Core entitlement from CAs for **Amber** schools:

1. Categorisation visit and setting of bespoke actions for improvement.
2. Agreement of target setting, EIG and PDG
3. Creation of a Support Plan that details the nature and level of support, timetable for action and expected outcomes. The programme will dovetail with the school's own improvement programme (if appropriate).
4. Report to the Governing Body on the National Categorisation of the school.
5. Headteacher Performance Management process.
6. Writing of Estyn Pre-inspection Evaluation report (if applicable).
7. A rolling programme of a 1 day visit to identify best practice (over a 2-year period).
8. Support for Headteacher / Deputy Headteacher appointment process (if applicable)
9. Regular Education Improvement Board (EIB) meetings (as detailed in SEWC Education Improvement Board Protocol) to monitor progress towards the Support Plan actions and outcomes.

#### Brokerage, Intervention and Support;

- Schools will be entitled to the Core Offer for all BIS Services \*

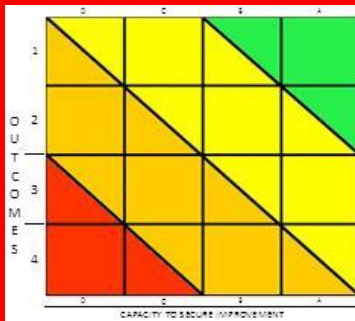
\*schools will incur the supply cover costs and travel (where applicable)

#### Intervention activity

1. All schools in this category will follow the SEWC Education Improvement Board Protocol.
2. A Support Plan will be created and closely monitored through the stages in the above protocol.
3. Grant plans will be signed off and agreed by the CA.
4. Where it is deemed necessary further specific leadership support will be considered on a case by case basis.
5. Schools may have Responsive BIS intervention, dependent on areas requiring improvement. School to fund if this is required. If required, this will be detailed in the Support Plan.

### Capacity building / development

1. Schools in this category may benefit from being linked with a 'Lead' school through structured school to school support package. This will be clearly defined in the Support Plan.
2. Schools may have Lead departments for the Brokerage, Intervention and Support (BIS) school to school support programmes on offer.
3. Schools have options to use the discretionary programmes on offer from Brokerage, Intervention and Support service.
4. Schools that are unable to improve outcomes for learners over a reasonable period, or who fail to manage their improvement effectively, will, by default become a school causing concern.



### Red support category

A school in this category may receive **up to 25 days** of Challenge Adviser time.

The school will automatically receive a letter from the Local Authority. Where appropriate statutory powers may be invoked.

## Level of support

Each Challenge Adviser will determine the nature of the bespoke support package to be provided to each school according to need which may result in the allocation of additional days support. This additional support could be delivered by a range of providers.

Each school will receive a bespoke support package from the CA linked directly to need. This will be a differentiated support of up to 25 days. Schools will receive either a high, medium or low support package within this support category.

An Intervention Plan to support and challenge improvement is agreed through the protocol detailed in the SEWC Schools Causing Concern Policy.

The Intervention Plan details the nature and level of support, timetable for action and expected outcomes.

## Core Entitlement

Core entitlement from CAs for **Red** schools:

1. Categorisation visit and setting of bespoke actions for improvement.
2. Agreement of target setting, EIG and PDG
3. Creation of an Intervention Plan that details the nature and level of support, timetable for action and expected outcomes.
4. Report to the Governing Body on the National Categorisation of the school.
5. Headteacher Performance Management process.
6. Writing of Estyn Pre-inspection Evaluation report (if applicable).
7. Support for Headteacher / Deputy Headteacher appointment process (if applicable).
8. Regular Intervention Meetings (as detailed in SEWC Schools Causing Concern Policy) to monitor progress towards actions in the Intervention plan.

### **Brokerage, Intervention and Support;**

- Schools will be entitled to the Core Offer for all BIS Services \*

\*schools will incur the supply cover costs and travel (where applicable)

## **Intervention activity**

1. All schools in this category will follow the protocol within the SEWC Schools Causing Concern Policy.
2. An Intervention Plan will be created and closely monitored through the stages in the above policy. All Intervention Plans must be approved by the Managing Director EAS and the Director of Education / Chief Education Officer , Diocesan Director (as appropriate) and Elected Member through the agreed protocol in the SEWC Schools Causing Concern Policy.
3. SDPs, SER and grant plans will need to be agreed by the Principal CA within each LA.
4. Where it is deemed necessary further specific leadership support will be considered on a case by case basis.
5. Schools may have Responsive BIS intervention, dependent on areas requiring improvement. School to fund if this is required. If required, this will be detailed in the Intervention Plan.

## **Capacity building / development**

1. The EAS in close collaboration with the LA (and Diocesan Director as appropriate) will closely monitor to ensure that sufficient progress is being made to bring about a rapid improvement in outcomes and leadership capacity. A key indicator of this will be the urgency and rigour with which the head, SLT and governing body implement actions for improvement.
2. Schools in this category may benefit from being linked with a 'Lead' school through structured school to school support package. This will be clearly defined in the Intervention Plan.
3. Where a warning notice has been given which has not been complied with to the satisfaction of the local authority within the compliance period, the school is eligible for intervention as stated in the SEWC Schools Causing Concern Policy.
4. Failure to secure improvement will result in further intervention processes being applied, including, where necessary, application to Welsh Ministers to direct the federation of a school causing concern or that a school in special measures be closed.

**Appendix 8: Intervention Plan / Support Plan template**

**Education Achievement Service for South East Wales**

**Intervention/Support Plan (Red and Amber Schools)**

**School:**

**Date:**

**Principal Challenge Adviser (PCA):**

**Challenge Adviser (CA):**

<b>Current Categorisation</b>	<b>Step 1</b>	<b>Step 2</b>	<b>Step 3</b>	<b>Support Level</b>

<b>Expected Categorisation September 2016</b>	<b>Step 2</b>	<b>Step 3</b>

**Date of commencement of plan:**

<b>Key Areas for Development</b>	
1	
2	
3	
4	
5	

**Key Area for Development 1:**

<b>Actions (School/EAS/LA)</b>	<b>Success Criteria</b>	<b>Resources (Specific no. of days / costs)</b>	<b>Timescales (Start and end date)</b>	<b>Impact and Next Steps (updated every 6 weeks)</b>
1.				
2.				
3.				
4.				
5.				

**Key Area for Development 2:**

<b>Actions (School/EAS/LA)</b>	<b>Success Criteria</b>	<b>Resources (Specific no. of days / costs)</b>	<b>Timescales (Start and end date)</b>	<b>Impact and Next Steps (updated every 6 weeks)</b>
1.				
2.				
3.				
4.				



5.				
----	--	--	--	--

<b>Total number of allocated CA days identified in plan</b>	
---	--

\*Please delete evaluation and reporting arrangements as appropriate for Intervention / Support Plan

**Intervention Plan (Red Schools)**

**Evaluation arrangements: (By the EAS)**

The CA will evaluate overall progress against all actions on a termly basis or sooner if deemed necessary. Details of this process are found in the SEWC Schools Causing Concern Policy. Progress will be monitored through Intervention Meetings.

**This intervention plan has been agreed by:**

	<b>Signed</b>	<b>Date</b>
<b>Headteacher</b>		
<b>Chair of Governors</b>		
<b>Challenge Adviser</b>		
<b>Principal Challenge Adviser</b>		
<b>Director of Education / Chief Education Officer</b>		
<b>Elected Member</b>		

**Support Plan (Amber Schools)**

**Evaluation arrangements: (By the EAS)**

The CA will evaluate overall progress against all actions on a termly basis or sooner if deemed necessary. Details of this process are found in the SEWC Schools Causing Concern Policy. Progress will be monitored through Education Improvement Board Meetings.

This support plan has been agreed by:

	Signed	Date
Headteacher		
Chair of Governors		
Challenge Adviser		
Director of Education / Chief Education Officer		

**Termly Overall Recommendation for Intervention and Support Plans**

1. The school has made strong / very good progress and will be removed from the intervention/support plan.
2. The school has made satisfactory/strong progress but will need to remain on the intervention/support plan for a further period of time to enable the improvements to become consistent and embedded.
3. The school has made satisfactory/strong progress but still requires additional support and the support plan / intervention plan requires revision and updating.
4. The school demonstrates limited progress which lacks pace. It is advised that the Local Authority determine appropriate next steps of action in line with the agreed policy.

Autumn 1	
Autumn 2	
Spring 1	
Spring 2	
Summer 1	
Summer 2	

## Appendix 9

### Template letter to be sent to schools in overall Red support category

Dear Headteacher (Name) and Chair of Governors (Name),

I am writing about the Overall Support Category assigned to your school for 2015-2016.

As you are aware, in September 2014, the Minister for Education and Skills announced the introduction of the National School Categorisation System.

Following discussions with your Challenge Adviser and final agreement with the Local Authority, the outcomes from this process of categorisation for your school are:

Step 1: Standards	Step 2: Leadership Capacity	Step 3: Overall Support Category

As a consequence of your school being placed in the Overall Support Category of Red this will require the Local Authority (LA) in conjunction with the EAS to closely monitor the pace and progress of the school in meeting the identified areas requiring improvements.

The identified aspects that require immediate improvements are;

- 1.
- 2.
- 3.
- 4.

Your CA in collaboration with yourselves and the LA will have already written an Intervention Plan. The Intervention Plan details the nature and level of support, timetable for action and expected outcomes. The School Development Plan (SDP) and grant spend allocations will also be approved and signed off by your CA when appropriate.

Regular impact reports will be required from your CA and also yourselves, these will be submitted to the Director of Education / Chief Education Officer. Progress will be discussed through scheduled Schools Causing Concern meetings.

Further details of the process noted above can be found in the SEWC Schools Causing Concern Policy (attached).

I look forward to meeting with you both in the first meeting to agree and sign off the Intervention Plan and in subsequent meetings to discuss the impact and progress you are making.

## Appendix 10

Exemplar schedule for an intervention plan 'day' with the LA

### Intervention Plan meeting

**Date:**

**Present:** Cllr\*\*\*\*\*  
 Director / Chief Officer or Representative  
 PCA  
 CA (per school)  
 Headteacher & Chair

**Venue:** \*\*\*\*\*

08.45 am – 09.00 am	Preparation for ***** Primary
09.00 am – 09.30 am	***** Primary School
09.30 am – 09.45 am	Preparation for ***** Primary
09.45 am – 10.15 am	***** Primary School
10.15 am – 10.30 am	Preparation for ***** School
10.30 am – 11.00 am	***** School
11.00 am – 11.30 am	Preparation for ***** School
11.30 am – 12.00 noon	***** School
<b>12.00 – 12.30 pm</b>	<b>L U N C H / Refreshments</b>
12.30 pm – 1.00 pm	Preparation for ***** School
1.00 pm – 1.30 pm	***** School
1.30 pm - 1.45 pm	Preparation for ***** Primary School
1.45 pm - 2.15 pm	***** Primary School
2.30pm – 3.00pm	Debrief with the Cabinet Member, LA Officer and PCA Agree outcomes and dates for the LA to send the letters Agenda for the next meeting, agree dates Any improvements to be made to the process?

## Appendix 11

Exemplar letter sent by the LA inviting the Headteacher and chair of governors to attend the intervention plan meeting with the LA

Dear

As previously advised, we would like to invite you and your Chair of Governors to the next Intervention Plan Monitoring meeting or a meeting to agree and sign off the new Intervention Plan that will take place on xxxxxxxx at xxxxxx. The meeting should last no longer than 45 minutes.

As previously described, following the review of progress meeting the panel will make a decision about which option from the list below the school best fits;

1. The school has made strong / very good progress and will be removed from the intervention/support plan.
2. The school has made satisfactory/strong progress but will need to remain on the intervention/support plan for a further period of time to enable the improvements to become consistent and embedded.
3. The school has made satisfactory/strong progress but still requires additional support and the support plan / intervention plan requires revision and updating.
4. The school demonstrates limited progress which lacks pace. It is advised that the Local Authority determine appropriate next steps of action in line with the agreed policy.
- 5.

You will have an opportunity in the meeting to present your evidence of progress against the priorities of the Intervention Plan. You will need to complete the 'impact column' on the Intervention Plan in preparation for the meeting and send this through 5 days prior to the meeting to ensure all members of the meeting have a chance to read this. Your Challenge Adviser will also provide their view of progress and impact to the Local Authority as part of the preparation for the meeting and they will share this with you.

Please let me know if you require any further information in advance of the session.

Yours sincerely,

Director of Education

Copy to:     Chair of Governors  
                  Headteacher  
                  Councillor \*\*\*\*\*  
                  PCA \*\*\*\*\*

## Appendix 12

Exemplar letter following a review meeting with the LA

Dear \*\*\*\*\*,

We would like to take this opportunity to say thank you for attending the Intervention Plan Monitoring meeting on \*\*\*\*\*.

As previously described, the outcome of the meeting can be placed into three categories;

1. The school has made strong / very good progress and will be removed from the intervention/support plan.
2. The school has made satisfactory/strong progress but will need to remain on the intervention/support plan for a further period of time to enable the improvements to become consistent and embedded.
3. The school has made satisfactory/strong progress but still requires additional support and the support plan / intervention plan requires revision and updating.
4. The school demonstrates limited progress which lacks pace. It is advised that the Local Authority determine appropriate next steps of action in line with the agreed policy.

Following the meeting the Local Authority has decided that \*\*\*\*\* School (note which option has been chosen).

As a result, you will be asked to attend a further Intervention Plan Monitoring meeting on (Date).

Your Challenge Adviser will work with you in order to make any necessary adjustments to the plan.

I look forward to meeting with you again to discuss the progress of the school.

Yours sincerely,

Director of Education

Copy to:     Chair of Governors  
                  Headteacher  
                  Councillor \*\*\*\*\*  
                  PCA \*\*\*\*\*

## Appendix 13

Across the region, there has been an overall improvement in categorisation over the last 3 years. More schools across the EAS region are now requiring less support. There are now fewer primary schools in the region in the categories requiring the highest level of support (amber and red) and there continues to be a focus to secure further improvement so that fewer secondary schools require the higher levels of support.

The number of red and amber primary, Infant and Junior schools across the region has decreased from 35 schools (18%) in 2015-2016 to 23 schools (12%) in 2016-2017. The number of red and amber secondary schools has decreased from 24 schools (67%) in 2015-2016 to 18 schools (50%) in 2016-2017. 4 secondary schools are red and the region has two 3-16 schools who for 2016-2017 require red levels of support which are included in this figure. 3 of these secondary schools have remained in this support category for 2 consecutive years.

**The purpose of the Schools Causing Concern Register is to review the actions taken by the EAS and LA for each school identified at risk in order to ensure that appropriate support and challenge has been provided to secure the necessary pace of improvement (SEWC Intervention Framework) and to improve regional consistency, particularly in the use of statutory powers (Schools Causing Concern Protocol).**

The register considers a range of criteria to identify schools at risk including:

- Pace of progress against current EAS support or intervention plan;
- National categorisation outcomes (3-year period);
- Current Estyn category (e.g. statutory category / remaining in a category for a longer than anticipated period of time);
- Pupil Outcomes (Benchmarks over a 3-year period) for relevant age phase including a comparison to WG modelled estimates at KS4.
- Attendance (Benchmarks over a 3-year period);
- Exclusions;
- Any other LA specific concerns linked to: Finance, Safeguarding, HR, ALN.

Based on these criteria, EAS Learning Intelligence developed a spreadsheet for all schools which enables filtering facilities to flag schools at risk but can also be used as a tool for reviewing the performance of all schools, for example, aiding the identification and sharing good practice.

Schools listed on the register are agreed with each LA. The Headteacher and Governing Body will be notified if their school is placed on the Schools Causing Concern Register. This will be via a joint email from the EAS Principal Challenge Adviser and the LA. The register of schools causing concern is shared during every SEWC Directors' meeting, providing a regular opportunity to review EAS and LA actions. A formal review session is conducted on a termly basis.