



Governance and Audit Committee

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15th March 2022



Gweithio dros Gaerdydd, gweithio gyda'n gilydd
Working for Cardiff, working together

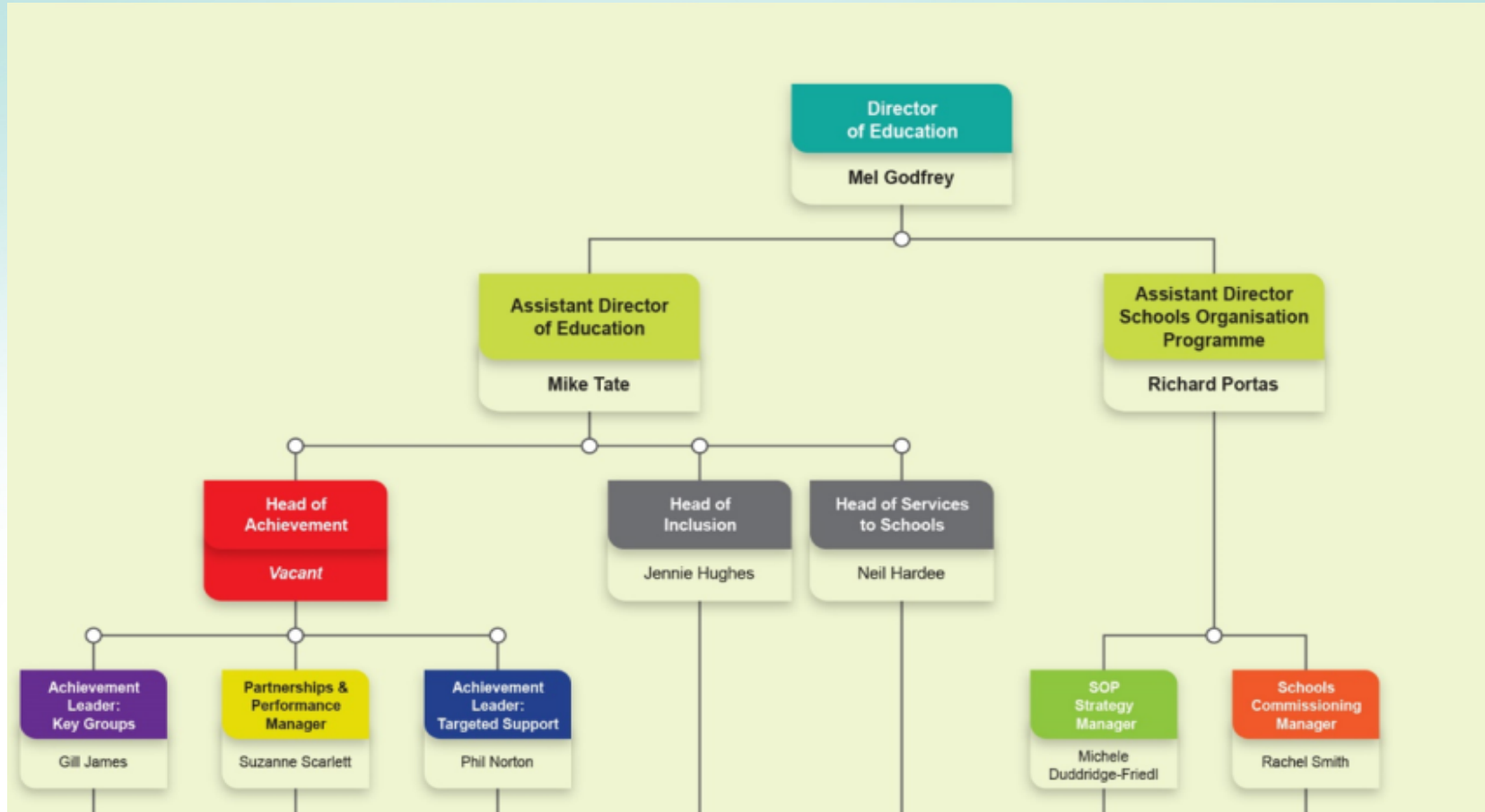


Areas to discuss with the Governance & Audit Committee

1. Directorate Management Structure
2. Achievements and Priorities
3. Governance (Senior Management Assurance Statements)
4. Directorate Risk Management
5. Internal Audit Assurance
6. Value for Money



1. Senior Management



2. Achievements & Priorities

- Recent Positive Estyn Inspection [Inspection report Cardiff Council 2022 \(gov.wales\)](#)

Priorities & Areas of Focus

- **Cardiff 2030 – Retest and Refresh**
- **School Provision** (Buildings, general, ALN and NEET provision)
- **Governance** (measured via Senior Management Assurance Statements)
- **Risk Management** (via corporate and directorate risk registers)
- **Internal Control** (Internal and external assurances)
- **Budget Management** (inc. School Balances)



3. SMAS Summary Position (Q2 2021/22)

Risk Management – 1 mixed application out 5

- More work needs to be done to improve the application of integrated risk assessments across the Directorate including partners, stakeholders, boards and all relevant managers.

Future Generations Act – 4 out of 7 are mixed application

- Participation of vulnerable groups needs to be more evident
- Improved collaboration arrangements with Children’s Services needs to be built on for all safeguarding arrangements. Work to develop Children and Young Peoples partnership linked to Child Friendly Recovery
- Map out all boards and arrangements, formalise escalation processes
- Review of Child Friendly City governance is underway
- Child Friendly impact assessment due to be launched
- Build Issue Log into EMT arrangements

Compliance – 2 out of 3 are mixed application

- Improve operational governance arrangements to ensure compliance and support assurance and accountability. Including mapping of corporate policies etc. to improve knowledge of requirements. Central assurance process.
- Internal and school Audit reports – address ongoing issues.
- Improving compliance for mandatory training.

Project Initiation – 1 out 3 are mixed application

- Supporting consultation and planning re proposed ALN provision development. Year 1 roll out from January 2022.
- Further work to explore outcomes and benefits for School Organisation Programme.
- Commence key projects including review of alternative curriculum and review of Youth Services.

Budget Management – 2 mixed application

- Ensure more consistent and regular budget monitoring at manager level.
- Review of traded services.

Internal Control Environment – 2 out of 4 are mixed application

- Ensure strong processes are in place for more systematic internal control to provide assurance.
- Ensure safeguards are in place for physical and information assets.
- Improve knowledge of procurement policies.
- Continue to progress restructures in key areas.
- Ensure more consistent and regular budget monitoring at manager level.

Fraud & Financial Impropriety – 2 mixed application

- More work to be done to increase awareness of fraud prevention.
- Improve compliance to mandatory training.
- Drive improvements in other areas, e.g. control to assist in assurance against fraud.

Performance Management – 2 mixed application

- Progress any upcoming Estyn recommendations and Cardiff 2030 priorities review.
- Improve operational governance arrangements to ensure compliance and support assurance and accountability. Including mapping of corporate policies etc. to improve knowledge of requirements. Central assurance process.
- Internal and school Audit reports – address ongoing issues.
- Improving compliance for mandatory training.
- Support HR with establishment review.



4. Directorate Risk Management (Q3 2021/22)

(Highest Directorate residual risks)

Ref.	Risk Description	Potential Impact	Current Controls	Proposed Actions
1.	Discontinuation of grant funded posts. A number on services delivered by the education directorate are grant funded, some with over 50% of total budget dependent on grant funding.	Core services cannot be delivered, important staff are lost and there is significant financial and reputation cost to the council. Vulnerable young people lose vital support and do not transfer into EET. Recruitment to key posts is negatively impacted due to uncertain futures.	A review of contracts is underway within key affected areas.	To manage the risk the Education Directorate will be undertaking a full review of all staffing and provision funded by grant during the 2022/23 financial year.
2.	There are not sufficient secondary school places (year 7 and in-year) for pupils to meet the local requirements of parents, ahead of the delivery of additional places through Band B schemes and section 106 schools.	Children not in education whilst parents attempt to secure places of choice. Financial impact of providing temporary accommodation.	There are ongoing communications regarding the need for families and carers to select multiple preferences and in time applications. 151 extra secondary places added for September 2022.	Longer term plans are needed to rebalance catchments following the delivery of Band B capacity.
3.	There are not sufficient ALN places. However, the deficit will continue to impact the out of county spend in the short to medium term.	Increase in OOC spend. Children not in education pending identification of suitable ALN provision.	Proposals to Cabinet in October 2021: <ul style="list-style-type: none"> • 136 additional Secondary and post -16 EWHB places • 139 additional Secondary Complex Learning and Autism Spectrum Condition places • 42 additional Age 3-19 Complex Learning and Autism Spectrum Condition places • 150 additional Primary Complex Learning and Autism Spectrum Condition places. <p>Ahead of the inception of Band B, several ALN developments have been delivered, such as extensions of Ty Gwyn, and the expansion of places in other Specialist Resource Bases (SRBs).</p>	Continue to progress schemes for additional ALN places. Develop further plans for provision, particularly in secondary.

4. Directorate Risk Management (Q3 2021/22)

4.	Increasing numbers of children and young people who are not in receipt of appropriate full time education that meets their individual needs, often spending prolonged periods in EOTAS provision on a reduced timetable, or 'out of education'.	Children and young people who are not in an environment where they can be safeguarded could be at risk of significant harm. Young people with complex mental health needs do not receive psychological support.	Strong referral processes exist for EOTAS and quality assurance and monitoring of learners has improved and is now strong. Destination tracking of young people is clear and works across services. The fresh start panel works well with good contributions from most high schools. Knowledge of EOTAS needs and support by youth mentors is strong. Mentors in place for post 16, ALN, EOTAS and LACE but a gap exists in support for sixth form learners EOTAS lead officer appointed .	Plans for joint working with YJS/LACE and EOTAS are improving. ALN identification and support/training requirements - proposed ALN lead working across Directorates will strengthen knowledge of and therefore support for YP. Too many learners with ALN are placed in EOTAS in lieu of special school places but this is acknowledged in the EOTAS plan and included in Band B proposals. The Ensuring Access Group has been re-established to ensure that appropriate actions are put in place around provision, practice and process to ensure all learners are accessing appropriate education.
5.	The number of children and young people receiving face to face counselling was very low compared to the Welsh average.	Issues around capacity and consistency could impact the wellbeing of children and young people	SBC service has been brought in house and a management post created to strengthen capacity.	Work with schools and settings to provide an effective counselling space and to improve the referral process; Improve the availability and quality of clinical supervision; Continue to assess and improve capacity to provide counselling for particular groups.



5. Internal Audit Assurance

We work closely with colleagues in Internal Audit to:

- Discuss emerging risks, issues and assurance matters
- Discuss, understand and act upon recommendations raised
- Track and coordinate our response to recommendations raised

As a Management Team we have established:

- Weekly EMT Assurance with a standing item on Audit Reports
- A mechanism for Internal Audit assurances to feed into our Schools Causing Concern Process – move to risk based approach for all schools

The timely response to school audit recommendations is a continued focus of EMT.

Details of audits received, the assurance rating and the management response are contained in my covering report.



6. Value for Money

- Estyn noted in the February 2022 report that in recent years, Cardiff Council has demonstrated a sustained and incremental improvement in the quality and effectiveness of its education services.
- We fully support the 'Cardiff 2030' vision and strategic priorities and the drive towards the Child Friendly City strategy.
- In general, inspection outcomes between 2017 and March 2020 have been strong especially in the primary sector.
- We have established strong working relationships with the regional consortium and there are robust processes for the support and challenge to schools causing concern.
- The School Organisation Programme continues to deliver targeted value for money investment through Band B and investment in the existing estate

