

# Public Document Pack



CYNGOR SIR  
YNYS MÔN  
ISLE OF ANGLESEY  
COUNTY COUNCIL

Mr Richard Parry Jones, MA.  
Prif Weithredwr/Chief Executive

CYNGOR SIR YNYS MÔN  
ISLE OF ANGLESEY COUNTY COUNCIL  
Swyddfeydd y Cyngor - Council Offices  
LLANGFNI  
Ynys Môn - Anglesey  
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| <b>RHYBUDD O GYFARFOD</b>                                    | <b>NOTICE OF MEETING</b>                              |
|--|---|
| <b>CYD-BWYLLGOR ANGHENION ADDYSGOL ARBENNIG</b>              | <b>SPECIAL EDUCATIONAL NEEDS JOINT COMMITTEE</b>      |
| <b>DYDD GWENER, 5 GORFFENNAF, 2013 am 10:30 y bore</b>       | <b>FRIDAY, 5 JULY 2013 at 10.30 am.</b>               |
| <b>YSTAFELL GLYDER FAWR, SWYDDFEYDD PENRALLT, CAERNARFON</b> | <b>GLYDER FAWR ROOM, PENRALLT OFFICES, CAERNARFON</b> |
| <b>Swyddog Pwyllgor</b>                                      | <b>Ann Holmes 01248 752518</b>                        |
|  | <b>Committee Officer</b>                              |

## **AELODAU/MEMBERS**

Cynghorwyr/ Councillors:

## **CYNGOR GWYNEDD COUNCIL**

Annwen Hughes, Elin Walker Jones, Beth Lawton, Peter Read, Caerwyn Roberts, Gareth Thomas, Eirwyn Williams

## **CYNGOR SIR YNYS MÔN/ISLE OF ANGLESEY COUNTY COUNCIL**

Jeff Evans, D.R Hughes, T.Lloyd Hughes, Llinos M. Huws, G.O.Jones, R. Meirion Jones  
R.Llewelyn Jones

## **YR EGLWYS/THE CHURCH**

Y Parch./Rev. Lloyd Jones (Yr Eglwys yng Nghymru/The Church in Wales)  
Gwag/Vacant (Yr Eglwys Babyddol Rufeinig/The Roman Catholic Church)  
Mr Rheinallt Thomas (Eglwysi Rhyddion/Free Churches)

## **AELOD HEB BLEIDLAIS/NON-VOTING MEMBER**

*Cynghorydd/Councillor Ieuan Williams (Aelod Portffolio Addysg Ynys Môn / Anglesey Portfolio Member for Education)*

## A G E N D A

### **1 CHAIRPERSON**

To elect a Chairperson for the Joint-Committee for the next year.

(The Joint-Committee's Constitution states that a member of one authority shall be appointed Chairperson and a member of the other authority Vice-Chairperson – these posts to be alternated the consecutive term so that the chairmanship and vice-chairmanship alternate between the two authorities)

*(The Chairperson as up to May, 2013 was elected for a 2 year period in October, 2012 from among the elected representatives of the Isle of Anglesey County Council on the Joint-Committee. The Vice-Chairperson was elected at the same time from among the elected representatives of Gwynedd Council).*

### **2 DECLARATION OF INTEREST**

To receive any declaration of interest by any Member or Officer in respect of any item of business.

### **3 THE SPECIAL EDUCATIONAL NEEDS JOINT-COMMITTEE - PRESENTATION FOR NEW MEMBERS** (Pages 1 - 12)

To receive a presentation on the role and function of the Special Educational Needs Joint-Committee.

### **4 MINUTES 16 OCTOBER, 2012 MEETING** (Pages 13 - 24)

To submit for confirmation, the minutes of the previous meetings of the Joint-Committee held on the dates noted below –

- 16 October, 2012
- 29 January, 2013 (extraordinary meeting)

### **5 SPECIAL EDUCATIONAL NEEDS PROVIDER UNIT** (Pages 25 - 30)

To present a report on the work of the SEN Provider Unit during the Autumn term, 2012 and the Spring term, 2013.

### **6 JOINT-COMMITTEE'S FINAL ACCOUNTS FOR THE YEAR ENDED 31 MARCH, 2013** (Pages 31 - 56)

- To present the SEN Joint Committee's final accounts for the year ended 31 March, 2013.
- To present an Annual Governance Statement for the SEN Joint-Committee.

7

**MEETINGS OF THE SEN JOINT-COMMITTEE FOR THE FORTHCOMING YEAR**

10:30 a.m., 20 September, 2013 in Llangefni (extraordinary meeting to receive the Joint-Committee's accounts)

10:30 a.m., 22 November, 2013 in Llangefni (ordinary meeting)

10:30 a.m., 14 March, 2014 in Caernarfon (ordinary meeting)

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**Cyd-Bwyllgor Angenion Addysgol  
Arbennig**

**Special Educational Needs  
Joint Committee**

- Penderfyniad Cyngor Sir Ynys Môn a Chyngor Gwynedd yn 1996 i barhau i gyflawni'r rhan helaethaf o'u dyletswyddau ym maes Anhenion Addysgol Arbennig ar y cyd.
- The Isle of Anglesey County Council and Gwynedd Council decided in 1996 to continue to carry out most of their duties in the field of Special Educational Needs collaboratively.

- Aelodaeth gyfartal o aelodau etholedig y ddau Gyngor.
- Equal membership of elected members from each Council.
- Cadeirydd o un Cyngor ac is-gadeirydd o'r llall
- Chair from one Council and the vice-chair from the other.

- Gwasanaeth cyllidol y Cyd-Bwyllgor yn cael ei ddarparu gan Gyngor Gwynedd.
- Finance services for the Joint Committee provided by Gwynedd Council.
- Gwasanaethau Personel a Chyfreithiol gan Gyngor Sir Ynys Môn.
- Personel and Legal services provided by the Isle of Anglesey County Council.



- Cynhelir cyfarfodydd dair gwaith yn y flwyddyn, yng Nghaernarfon a Llangefni am yn ail.
- Meetings are held three times a year, in Caernarfon and Llangefni alternatively.

- Prif ddyletswyddau Statudol y ddau Gyngor yn y maes yw:
- The main responsibilities of the two Councils in this field are:
- Datblygu a gweithredu strategaeth AAA gynhwysol.
- To develop and implement an inclusive SEN strategy.

- Cynllunio darpariaeth i ddiwallu anghenion disgyblion gydag AAA – mewn ysgolion prif-lif fel rheol ond weithiau, a phan fo’r rhieni’n dymuno hynny, mewn ysgol arbennig.
- To plan provision to meet the needs of pupils who have SEN – usually in main stream schools but sometimes, and when the parents so wish, in special schools.

- Rhoi sylw i'r Cod Ymarfer AAA Cymru, 2002.
- Have regard to the SEN Code of Practice for Wales, 2002.
- Gwneud yn siwr bod anghenion addysgol arbennig yn cael eu canfod a'u hasesu'n fuan fel bo'r disgybl yn derbyn ymyrraeth briodol yn gynnar.
- Ensure that special educational needs are identified and assessed early so that the pupil receives suitable early intervention.

- Rheoli'r drefn asesu statudol, a llunio a monitro datganiadau.
- Manage the statutory assessment procedure, and produce and monitor statements.

- Gwasanaethau yr Uned Ddarparu:
- Services of the Provider Unit:
- Gwasanaeth seicoleg Addysg/ Education psychology service.
- Athrawon Arbenigol/ Specialist teachers.
- Adran weinyddol – rheoli'r drefn asesu a darparu data/ Administrative department to manage the assessment procedures and provide data.

- Gweithredir y trefniadau trwy Gytundeb Lefel Gwasanaeth.
- Arrangements are implemented through a Service Level Agreement.
- Cyswllt gweithredol o ddydd i ddydd efo'r ddau Gyngor trwy'r Swyddogion Cleient.
- The day to day operational contact with the two Councils is through the Client Officers.

- Adrodd yn dymhorol ar waith yr Uned i'r Cyd Bwyllgor AAA.
- Termly reporting on the work of the Provider Unit to the SEN Joint Committee.
- Hyn yn caniatáu craffu ar waith yr Uned Ddarparu a sicrhau defnydd darbodus o adnoddau.
- This allows scrutiny of the Provider Unit's work and ensures the careful use of resources.



## EDUCATIONAL NEEDS JOINT COMMITTEE

### Minutes of the meeting held on 16 October, 2012

**PRESENT:** Councillor R. Dylan Jones (Isle of Anglesey County Council)  
(Chairman)  
Councillor Caerwyn Roberts (Gwynedd Council) (Vice Chairman)

#### **Gwynedd Council**

Councillors Elin Walker Jones, Beth Lawton, Peter Read,  
Gareth Thomas, Eirwyn Williams

#### **Isle of Anglesey County Council**

Councillors Mrs Fflur Hughes, Gwilym O.Jones, Eric Roberts,  
P.S.Rogers

**IN ATTENDANCE:** Principal Educational Psychologist (Mr Gareth Payne)  
Head of Education – Gwynedd Council (Mr Dewi R.Jones)  
Director of Lifelong Learning – Isle of Anglesey County Council (Dr  
Gwynne Jones)  
Special Educational Needs Officer – Isle of Anglesey County Council  
(Mrs Mair Read)  
Senior Educational Accountant – Gwynedd Council (Mrs Kathy Bell)  
Committee Officer (Ann Holmes)

**APOLOGIES:** Councillor Annwen Hughes (Gwynedd Council); Councillors  
G.O.Parry, MBE , Clive McGregor (Isle of Anglesey County Council)

**ALSO PRESENT:** Mr Trebor Roberts (Interim Chief Executive of Cwmni Cynnal)

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#### **1. CHAIRMAN**

Councillor R.Dylan Jones from Isle of Anglesey Council was elected Chairman of the Joint Committee for the next two years.

Councillor R.Dylan Jones thanked his fellow members for their trust in him and expressed his appreciation of the work and contribution of Councillor Selwyn Griffiths from Gwynedd Council as his predecessor in the Chair. He welcomed the new members to the Joint Committee. The Gwynedd members of the Joint Committee mentioned that Councillor Selwyn Griffiths had been unwell recently and had spent some time in hospital. On behalf of all the members of the Joint Committee ,the Chairman extended his best wishes to Councillor Selwyn Griffiths for a full and speedy recovery.

Councillor G.O. Jones referred to the bereavement suffered by Councillor R Dylan Jones in the loss of his mother. He extended his deepest sympathy to Councillor Jones and his family in their bereavement and was joined in those sentiments by the remaining members of the Joint Committee.

#### **2. VICE CHAIRMAN**

Councillor Caerwyn Roberts from Gwynedd Council was elected Vice Chairman of the Joint Committee for the next two years.

### **3. DECLARATIONS OF INTEREST**

No declaration of interest was received.

### **4. MINUTES**

The minutes of the previous meeting of the Joint Committee held on 30<sup>th</sup> March 2012 were submitted and confirmed as correct.

Matter arising –

The Special Education Officer of Isle of Anglesey County Council reported that the School Counselling Service, whose long term sustainability had been the subject of concern at the last meeting in March, had been restructured and that the team currently has a full complement of 5.5 counsellors working during the term in the secondary sector.

### **5. SPECIAL EDUCATIONAL NEEDS JOINT COMMITTEE**

The Chief Executive of Cwmni Cynnal gave the Members a visual presentation on the functions of the Joint Committee and the Special Educational Needs Provider Unit and the role of the members of the Joint Committee in holding the Provider Unit to account. In his presentation, the officer referred to the matters noted below –

- The background to the establishment of the Joint Committee in 1996 and how its administrative functions had been divided between both counties.
- The principal duties of both Councils in the area of Special Educational Needs namely -
  - developing and implementing an inclusive SEN strategy
  - planning provision to meet the needs of pupils with special educational needs in mainstream schools and, where appropriate and where parents so desire, in a special school
  - Addressing the SEN Code of Practice, 2002
  - Ensuring that special educational needs are identified and assessed at an early stage so that pupils receive appropriate interventions at an early stage
  - Managing the statutory assessment process and monitoring statements
- The Services of the Provider Unit encompassing the Educational Psychology Service, the Specialist Teacher Service and the Administrative Section responsible for managing the assessment process and data production.
- Procedures are implemented through a Service Level Agreement and daily contact is maintained with both Councils through the client officers.
- The work of the Provider Unit is reported to the Joint Committee every term for scrutiny purposes and to ensure prudent use of resources.

A discussion ensued on the content of the presentation and Members asked several questions. The main subjects of discussion included the following –

- How it is ensured that the needs of children taught at home by their parents are met, particularly if they have special educational needs.
- The prospects for the continuation of the arrangements upon which the Joint Committee is based, where services are provided jointly, particularly in light of the increasing emphasis on devolving funds to schools and collaboration on a wider regional basis.
- The split of the Provider Unit's services between both counties.
- The provision for children with autism and whether there is a specific strategy/direction to that end.

The Head of the Education Service of Gwynedd Council reported that the direction of work in Gwynedd will see the Hafod Lon Centre being established as a centre of excellence for the whole county. As part of the centre's provisions, it will provide appropriate support for autistic children and a Welsh medium provision; this development is seen as one that sets an innovative direction. As part

of the Hafod Lon development it is hoped that two residential units will also be established. The Special Educational Needs Officer of Isle of Anglesey County Council stated that two teachers within these specialist teachers service specialize in autism and communication difficulties and that both have drawn up an educational strategy that feeds into the autism strategy. They also work with special schools to develop the provision in the area of autism.

## **6. THE SPECIAL EDUCATIONAL NEEDS PROVIDER UNIT**

6.1 A report was submitted outlining the work of the Provider Unit during the Spring term 2012.

The Principal Educational Psychologist referred to the following matters –

- Staff changes. In connection with the 3\* Co-ordinator, the Officer elaborated on the 3\* system and what it entailed.
- The day to day operation of the Specialist Childrens Service in terms of the number of school visits held; the guidance given and the reports and reviews produced across the specialist areas.
- The meetings attended including some local and multi-agency meetings, together with meetings in relation to national and regional professional networks, as well as the presentations and training sessions that staff had attended as participants.
- Opportunities for continuing professional development.
- The situation of the Educational Psychology Service including staff changes and the services' activities throughout the period.
- Data reflecting the workload of the Joint Committee in processing statutory assessments and drawing up statements over the past four years. Although the number of final statements published in 2011 has fallen in both counties, figures show that the number of statutory assessments have increased considerably in Gwynedd (57 in June 2012 compared to 18 in June 2011), but they have remained constant in Anglesey (21 in June 2012 and 17 in June 2011).
- Information on the number of final statements issued within the statutory timetable of 26 weeks in 2011 and performance against national performance indicators. In Gwynedd, the number of statements issued has fallen from 75 in 2010 to 44 in 2011 and the percentage issued within 26 weeks (including exceptions) has increased from 86.7% to 90.9%. Great efforts had been made in the Provider Unit to improve performance and the time taken to receive medical advice had reduced. In Anglesey, the number of statements issued had fallen from 41 in 2010 to 27 in 2011 and the percentage issued within 26 weeks (including exceptions) had increased considerably from 43.9% to 70.4%. Once again, efforts have been made within the Provider Unit to improve performance.

The Officer was thanked for the report and the presentation and the following matters were raised in the ensuing discussion on the content of the report –

- Expenditure per head on children with special educational needs in Anglesey.
- Producing new criteria documents and the possibility that doing so would place more responsibility on schools and teachers.
- The nature and breadth of the collaboration with other agencies such as Barnardos.

The Director of Lifelong Learning of Isle of Anglesey County Council confirmed that expenditure per head on children with special educational needs in Anglesey is high, and this is partly to be attributed to increased demand as a result of earlier identification of children's needs and because of individuals moving into the area who frequently have special needs. In addition, there are a number of smaller schools in Anglesey and provision is made for special educational needs in every school. This means that assistants are needed in all of the schools which leads to higher expenditure. The model in Anglesey is based on providing support for children in their communities. In terms of the implications for schools of revising the criteria, the Special Educational Needs Officer of Isle of Anglesey County Council stated that it is the individual school's responsibility to teach every child accepted at the school and that it is the Authority's responsibility, through the services of the Joint Committee, to provide support and guidance for the schools to enable them to deliver in this respect.

**It was resolved to accept the report and to note the information.**

6.2 A report was presented outlining the work of the Provider Unit during the Summer term 2012.

The Principal Educational Psychologist stated that the report on the Summer term's activities followed the same pattern as the report on the Spring term as regards the considerations and matters referred to within. The Officer referred specifically to the practice introduced by the Educational Psychology Service where every psychologist makes a judgement on the effectiveness of every school with regard to a number of aspects of their work within the service by means of a traffic light system. Five colours were used (blue, green, yellow, orange and red with the 3 first colours denoting a positive performance) to give an opinion on aspects such as how well does the school prepare specialist work to help a pupil, assessing the attainment level and proposing ideas to improve the situation etc. It was judged that 98% of the schools were in the blue, green or yellow category.

**It was decided to accept the report and note the information.**

## **7. CONSULTATION: "FORWARD IN PARTNERSHIP FOR CHILDREN AND YOUNG PEOPLE WITH EXTRA NEEDS"**

The Anglesey Special Educational Needs Officer gave a visual presentation to the Members which summarised the above consultation document which outlines the proposals for amending the legislative framework for special educational needs upon which the Joint Committee has been based. The Officer referred to the main considerations within the proposals in the consultation document as follows –

- The context including the fact that SEN legislation is by now over 30 years old.
- In 2007, Welsh Assembly Government noted its intention to legislate in the Additional Learning Needs area. This followed a review and an SEN report in 3 parts by the previous Education Lifelong Learning and Skills Committee. Pilot schemes were established including four pilot schemes regarding quality assurance, acute and complex needs, the role of the SEN coordinator and less acute needs.
- These changes are intended to be of an evolving rather than a revolutionary nature and there is a connection between the proposals and the schools improvement agenda along with the proposals incorporated in the Social Services Measure (Wales).
- According to the Education Minister's statement, the purpose of the proposal is to ensure that the system in Wales is more inclusive and that there are better outcomes for the most vulnerable children and young people in Wales.
- The proposed amendments include the following:
  - Introducing the concept of Additional Needs which will replace what have been labelled as Special Educational Needs with a view to establishing a procedure based on a full partnership between education, health and social services. The present situation where the education services are considered to be the lead body will come to an end.
  - Integrated planning – in order to simplify the present situation, integrated assessing and planning processes will be introduced. An Individual Development Plan bringing together all the contributions of the relevant agencies will be formed for the child/young person which will replace or integrate every other individual plan for the individual. The process will be coordinated by a person appointed as Support Coordinator and resources will be available on the internet which will be developed for the IDP so that all the relevant agencies can make a contribution.
  - Multi-agency work – multi agency support panels will be established to assess and agree on the package of services to be provided for children with the greatest needs. Working in regional consortia will be encouraged.
  - Extended age range – extending the age range from birth to 25 years in the case of children with serious and/or complex needs. The Early Support model should be adopted for children under 5 years old. Extending the age range for which individual development plans are relevant to 25 years old will improve transition arrangements be they transition arrangements to further education, higher education or adult services..
  - Dealing with concerns and grievances – the emphasis will change from dealing with grievances and complaints to a strategy of reducing concerns and grievances and their early resolution. It is intended is to include parents and carers throughout the process.

- Appeal to a Tribunal – the right to appeal to a Tribunal will remain but individuals will have to go through the process of resolving grievances in the first place. Extending the remit of the SEN Tribunal to include health and social services is being considered and the child or young person will also have a right of appeal.
- Family Partnership Services – it is proposed to extend the Parent Partnership Service to include children and young people with additional needs and their parents/carers.
- Quality Assurance – there will be a duty on Welsh Ministers to introduce an Additional Needs Code of Practice and there will be a provision mapping system which will be introduced in order to track results for learners, resources provided and parent and pupil feedback.
- Post 16 specialist placements – a proposal that local authorities should be responsible for assessing the need for a specialist further education provision and for ensuring that provision and its financing arrangements.

The Special Educational Needs Officer for Anglesey said that the full consultation document was available on the internet and that she would be providing a full response to the document on behalf of Anglesey whilst the Senior Educational Manager in Gwynedd would be providing a response on behalf of Gwynedd. Partners had already been consulted and schools had also been invited to present their views. The organisation SNAP conducted a consultation with parents. She also stated that members of the Joint Committee were welcome to present any comments either through her or through Gwynedd's Senior Educational Manager. The intention in this meeting was to raise the Joint Committee's awareness of the proposed changes in the field.

The Members recognised that there were aspects of the legislative changes which had far reaching implications and in the ensuing discussion on the matter, the following points were raised –

- That they were very concerned regarding how the authorities would finance the provision for specialist post 16 further education, especially in a climate where budgets are under pressure in the authorities.
- The document did not offer any guidance regarding a Welsh medium provision.
- They were concerned that moving to an all-inclusive additional needs system would mean losing sight of the educational dimension within special needs.
- It was very important that they as members of the Joint Committee disseminated the news regarding the changes which are afoot and their implications.

In response to comments by Members, the Officers said that the consultation document does not give any practical guidance regarding how it is intended to move into the new procedure. However, it is expected that the new terms of reference will expand on the requirements and there will be an opportunity to consult on the contents of the Code. As regards the proposal to lay the responsibility for funding post 16 specialist educational placements on the authorities, it was noted that the funding available for post 16 education is already tight, and finding the resources for meeting the need for specialist post 16 placement will be a huge challenge for local authorities. The Head of Education of Gwynedd Council stated that the changes, on the other hand, offered an opportunity for authorities to review and better understand what they are doing in relation to those children requiring additional help particularly with regard to matters such as training the workforce in the field and especially assistants who support the inclusive process. In Gwynedd, part of this work is being developed through a strategic review and, to run alongside the review, preparations are in hand for the new legislation. The final package will be a substantial one since the budget for this service area is considerable. One significant change under the proposals is to introduce a joint funding system between agencies and there will be a need for the three main agencies – Education, Health and Social Services, to have a joint discussion regarding the funding of the provision.

**It was decided to note the information and to thank the Officer for the presentation.**

## 8. FINANCIAL MATTERS

8.1 A report was provided by the Financial Manager of Gwynedd Council's Development Department including the Joint Committee's final accounts for 2011-12 the financial year.

Gwynedd County Council's Senior Education Accountant had reported to the Joint Committee in March 2012 that the Joint Committee's balances would be maintained at a level of circa £55,000 by the end of the 2011/12 financial year. The final accounts show savings of £17,267 on the 2011/12 budget, mainly to be attributed to additional income. The main variances between the budget and the final accounts are as follows –

Underspend against the budget :

- £17,302 : Psychologists – maternity leave, vacant posts and savings
- £17,313 : Support teachers – staff turnover and savings
- £ 6,637 : administrative staff – staff turnover
- £27,539 : income considerably higher than expected (work for Anglesey)

Overspend against the budget :

- £14,891 : 3\* Scheme Co-ordinator planned through using balances
- £10,334 : redundancy costs
- £ 2,144 : post – bulky reports but fewer than the past

The Senior Education Accountant summarised the situation by reporting that the SEN Joint Committee balances stood at £55,028 on 31 March, 2011 (which was 4.7% of the budget). The 2011/12 savings of £17,267+ bring the total balances on 31 March, 2012 to £72,295 (which is 5.9% of the budget). The main issues were staffing and the changes that occurred over the last financial year.

**It was decided to accept the report and the 2011/12 accounts.**

8.2 A report was presented by the Head of Finance, Gwynedd Council reviewing the current budget for 2012/13.

The Senior Education Accountant – Gwynedd Council reported that the report reflected the current position in relation to the Joint Committee's Accounts for 2012/13. He drew attention to the fact that staff turnover had lead to a significant reduction in employment costs as per the following figures –

- -£39,610 : Psychologists– supply arrangements and unpaid periods
- -£ 2,500 : Support teachers – supply arrangements
- -£9,790 : administrative staff, vacant posts and supply arrangements
- -£51,900 : current estimate of staff savings for 2012/13
- +£14,840 : continue to employ Scheme 3\* Coordinator from balances/savings

The Senior Education Accountant reported that no big variances are anticipated in the Joint Committee's budget by the end of the present financial year. If the staffing savings are realised in their entirety, then the Joint Committee's balances would stand at around £109,000 by 31 March, 2013. The main issue that emanates from this information and requires consideration, is the effect on schools; if the Joint Committee can deliver a cheaper provision, would there be any side effects as regards the supply.

The Chief Executive of Cwmni Cynnal stated that the report suggested that the Joint Committee's financial situation was healthy but it should be borne in mind that this situation had arisen due to staff turnover during the 3 previous years and one of the reasons for the positive financial situation is that the organisation at times is dependent on staff in providing cover during periods of absence and in bridging any gaps. It is believed that it would be worthwhile to carry out a piece of work to identify the turnover trends in order to ensure that the level of provision is planned in accordance with those trends.

The Senior Education Accountant asked whether the report actually conveys the message that the Joint Committee wishes it to convey, i.e. is there a risk that the authorities, when they see that the provision can be delivered for less, will consider this area as one where further cuts could be earmarked. He stressed that the financial situation of the Joint Committee as presented above had arisen due to unique circumstances.

**It was resolved to accept the report and note that there is a case for undertaking work to look at the trends in relation to staff turnover over the last few years with a view to tailoring the level of the provision to correspond with those trends.**

#### **9. NEXT MEETING OF JOINT COMMITTEE**

**It was noted that the next meeting of the Joint-Committee would be held at 10.30am on Friday 15 March 2013 in Llangefni.**

Gwynedd's Head of Education Gwynedd welcomed the good attendance and representation at this meeting of the Joint Committee.

**Councillor R.Dylan Jones  
Chair**

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# SPECIAL EDUCATIONAL NEEDS JOINT-COMMITTEE

## Minutes of the extraordinary meeting held on 29 January 2013

**PRESENT:** Councillor R.Dylan Jones(Isle of Anglesey County Council)  
(Chairman)  
Councillor Caerwyn Roberts(Gwynedd Council)(Vice-Chairman)

### **Gwynedd Council**

Councillors Elin Walker Jones, Beth Lawton, Peter Read,  
Eirwyn Williams

### **Isle of Anglesey County Council**

Councillors Mrs Fflur Hughes, G.O.Jones, Clive McGregor,  
G.O.Parry, MBE, Peter S.Rogers

**IN ATTENDANCE:** Principal Educational Psychologist (Mr Gareth Payne)  
Director of Lifelong Learning – Isle of Anglesey County Council (Dr  
Gwynne Jones)  
Senior Education Manager (Pupils and Inclusion) (Mrs Delyth  
Molyneux) (Gwynedd Council)  
Senior Education Manager (Resources) (Mr Owen Owens) (Gwynedd  
Council)  
Committee Officer (ATH)

**APOLOGIES:** Councillors Annwen Hughes (Gwynedd), Eric Roberts (Anglesey)  
Mr Rheinallt Thomas (Free Churches) Mr Dewi Jones (Head of  
Education) (Gwynedd Council)

**ALSO PRESENT:** Mr Trebor Roberts (Interim Chief Executive of Cwmni Cynnal) Mr  
Elfyn Vaughan Jones (Cwmni Cynnal Senior Advisor)

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The Chairman extended a warm welcome to all who were present to this special meeting of the Special Educational Needs Joint Committee.

### **1. DECLARATIONS OF INTEREST**

No declaration of interest was received.

### **2. ENGAGEMENT IN RESPECT OF THE ESTYN INSPECTION 2013**

The Gwynedd Council Self-Evaluation Summary Document in preparation for the Estyn Inspection in 2013 was submitted for consideration.

The Senior Education Manager (Resources) of Gwynedd Council set the context for the submission of the Gwynedd Council self-evaluation summary document by reporting that the Education Services of Gwynedd Council would be the subject of an inspection by Estyn in the week beginning 11 March 2013. The inspection would entail interviewing relevant officers and elected members, as well as visits to verify evidence. Estyn will have a particular interest in the role of the County Council and the quality of the leadership provided in the area of education and the way in which it engages and works with partners including the Special Educational Needs Joint-Committee. The Officer reported that the Self-Evaluation is currently being fine-tuned and that the above report comprises a summary of some of the main quality indicators under the three key questions, and particularly the quality indicator that

relates to the Joint-Committee. The Senior Education Officer (Resources) reminded the Joint-Committee of the three key questions in the Common Inspection Framework relating to outcomes, provision and leadership, and clarified that there was a series of quality indicators under the three key questions with a number of sub-indicators supporting the main indicator. The inspectors are able to award one of four grades of opinion in relation to the key questions, namely – outstanding, good, adequate and unsatisfactory, There are also two summative conclusions they note in relation to the provider's current performance and the prospects for improvement.

Mr Elfyn Vaughan Jones, the Principal Secondary Advisor for Cwmni Cynnal proceeded to elaborate on the contents of the summary document in connection with the main quality indicators under Key Question 1 (How good are Outcomes) relating to standards; standards achieved by learner groups; skills and the Welsh language, together with the quality sub-elements supporting the main indicator. In the case of every sub-element, the self-evaluation summary document contains a reference to the observations made in the previous Inspection in 2009 where applicable, evidence for the forthcoming inspection in 2013 together with further actions. The Principal Secondary Advisor explained that Estyn would be considering the absolute performance of the Authority and would subsequently place the performance in hierarchical order with the other authorities in Wales. It would also look at performance against a benchmark and against a Free School Meals indicator. Gwynedd is fourth in respect of Free School Meals which suggests that it should also be 4<sup>th</sup> or better in terms of its performance. Estyn also considers the performance of individual schools within the Authority's general performance and particularly those schools in the free school meal quartiles, with a view to identifying whether any schools have been in the 4<sup>th</sup> quartile for a sustained period. In terms of absolute performance, evidence shows that Gwynedd's performance in KS1, KS2, KS3 and KS5 is good and robust in KS4. However, absolute performance in KS4 conceals a polarization amongst individual schools with an excessive gap between the best schools and the weakest. The self-evaluation acknowledges the delay in addressing some of the weakest schools. Due to the underperformance of some schools, the self-evaluation opinion on Performance Indicator 1.1 is Adequate. The officer subsequently proceeded to go through the same clarification process for each of the other sub-elements for the Standards Quality Indicator under Key Question 1 and noted the evidence and opinion to which the evidence leads in the self-evaluation.

The Senior Education Manager (Resources) reported that the intention in pausing at this section of the self-evaluation is to highlight the function of the Joint-Committee as a partner within the wider picture and to demonstrate that it is a fruitful partnership. This is relevant to the function of the Authority in the context of leadership.

The Interim Chief Executive of Cynnal referred the Members to Key Question 2 relating to how good the provision is and to quality indicator 2.2 which explores the support provided for Additional Learning Needs and Educational Inclusion together with a number of sub-elements under this indicator as follows –

- 2.2.1 Work to meet its statutory responsibilities towards children and young people with additional learning needs
- 2.2.2 Work to raise standards for children and young people with ALN
- 2.2.3 Provision for children and young people with ALN, including provision that is commissioned and/or provided by other agencies with them
- 2.2.4 Work with parents and carers of children and young people with ALN

The Interim Chief Executive of Cwmni Cynnal and the Senior Education Manager (Pupils and Inclusion) of Gwynedd Council elaborated on the highlighted evidence supporting the opinion that the Authority had reached for each of the above sub-elements and referred to the following points –

- In relation to 2.2.1, the low number of cases that have been referred to the SEN tribunal; the stability of the percentage of statemented pupils and the fact that the percentage of SEN children educated in the mainstream is higher than the Welsh average.
- In relation to 2.2.2, the performance of children and young people with ALN had improved in most indicators; restructuring some of the central support services has led to raising standards and an improvement in pupils' access and achievements and the changes, following a review of the inclusion provision and basing most of the human resources with the secondary schools, had led to a considerable reduction in the number of specific exclusions this year.

- In relation to 2.2.3, the findings of the questionnaire for heads of primary and secondary schools show that it is believed that the curricular guidance for schools is good or outstanding when establishing effective provision and intervention in every SEN area; the Authority identifies ALN learners at an early stage by means of a partnership between health, social services, Derwen (Specialist Children Services), the SEN Joint-Committee and the Authority; that 73% of SEN funding has been devolved to schools in Gwynedd, which is the 4<sup>th</sup> highest in Wales and that expenditure per head has stabilized and, in addition, the Authority collaborates effectively with the school improvement service, the SEN Joint-Committee and other partners such as health, social services, SNAP and charities such as Autism Wales, NAS and Afasic to target resources appropriately.
- In relation to 2.2.4, that the Authority works well with parents and carers by offering good quality support according to the findings of the support services questionnaires completed by parents, together with data received annually from SNAP; SNAP has been commissioned to consult with parents and other stakeholder groups for some years when reviewing the structure of services; that the Derwen Specialist Children Service includes an education liaison officer who serves as a strong link between parents /carers; establishing a Together Team as a front line prevention service to support vulnerable families; forums for parents of children with specific language difficulties and joint workshops / clubs between charitable partners and health for the parents of children with sensory impairments; promoting the Early Support scheme.

The Senior Education Officer (Resources) referred briefly to Key Question 3 (Leadership) and to the relevance of this section for the Joint-Committee in that there is a formal agreement with the Joint-Committee as a partner and that the Joint-Committee receives regular progress reports on activities and developments in the field.

The Members of the Joint-Committee were given an opportunity to question the officers on the contents of the self-evaluation summary documents and in the subsequent discussion the following matters were raised –

- Reference was made to the national emphasis on raising standards of literacy and it was stated that it must be ensured that children with ALN are included in the drive to improve attainment in English and Welsh.
- In the context of devolved funding for schools, clarification was sought of the actions available to a school that has several pupils with ALN and whose needs have to be met, and whether that school would be expected to reallocate funding from one heading to the other or apply for additional funding centrally.
- The bulk of evidence reflecting the scale and quality of the drive to meet the needs of children with ALN in a proportionate and appropriate manner was welcomed, particularly plans to seek to address problems at an early stage through partnership – the importance of early intervention and support was particularly emphasized for the development of children with ALN.
- In the context of multi-agency work, reference was made to the importance of ensuring that there are suitable homes and houses for families in the context that the suitability of the home can influence the progress made by children and impact on social problems.
- Reference was made to the possible impact of reforming the welfare system on vulnerable families.
- In the context of the increasing move to deliver services on a regional basis, it was enquired as to the long term prospects for the Joint-Committee's partnership and whether there were any concerns.
- Reference was made to the concept of a Together Team and clarification was sought of the work of this team and its role in the network of provisions for children with ALN.
- It was noted that the strategic review commissioned by Gwynedd Council in relation to Additional Learning Needs could have a side effect on the future terms of reference of the Joint Committee. It was agreed that it would be useful for members of the Joint-Committee to receive information on the status of the Review and an update with regard to Stage 1.
- Information with regard to the intention to build a new SEN centre of excellence to serve the Dwyfor and Meirion areas and that would also offer innovative bilingual respite provision with the potential to serve a wider area was welcomed.

The officers responded to the points raised by providing further clarification as appropriate. In closing the meeting, the Chairman, on behalf of the members of the Joint-Committee, thanked the officers for the self-evaluation summary document and the clarifications thereon.

**It was resolved to accept the Gwynedd Council Self-Evaluation Summary Document and to note its contents.**

**ACTION POINT ARISING: Members of the Joint-Committee to receive information on the Gwynedd Council Strategic Review of ALN, its current status and an update on Stage 1.**

**Councillor R.Dylan Jones  
Chairman**

DRAFT

**COMMITTEE:** Joint Committee on Special Educational Needs

**DATE:** 5<sup>th</sup> July 2013

**TITLE:** Report of the SEA Provider Unit

**ACTION:** To consider the report

**BACKGROUND:** Description of the work of the Joint Committee's SEA Provider Unit during the Autumn Term 2012 and Spring Term 2013.

## **SEA Provider Unit Report October Term 2012**

### **1.0 Administration of assessment and review processes**

There have been a number of changes to the arrangements and staffing of the administrative team. The Senior Administrative Officer took secondment for three years in April last year, and arrangements were made for two of the clerical officers to undertake some of her duties, and receive remuneration for doing so. Also, some other duties were taken up by the principal psychologist.

At the end of the summer term the 3\* officer left her post. It was decided, rather than employ someone else to this work, it would be more appropriate to share the 3\* duties between three of the clerical officers, again with appropriate remuneration.

Mr Trebor Roberts came to work with the Joint Committee as Supervisory Officer.

### **2.0 Specialist Teachers Service**

Since it was felt strongly that the present provision was not sufficient to meet the needs of all the children, during the term discussions were begun on how the service could be expanded and developed into the future.

There was also concern that a number of our teachers are nearing retirement age, and it may be difficult to obtain appropriately qualified Welsh teachers to take their place. After detailed discussion, an 'ideal' plan was drawn up, that would entail increasing the present team in terms of teachers, and employing a number of assistants in addition. This was discussed in the Liaison Group. Although it would not be possible to make all the changes, it was possible to consider making some temporary additions within the budget of the Joint-Committee, and it was decided in principal to do this.

At the beginning of the term one of the teachers of children with visual difficulties was absent for several weeks with illness, and another teacher needed to take over some of her her duties. This is particularly difficult with children with visual difficulties, considering the need to teach Braille to some children, and produce materials in Braille.

From October 2012 one of the teachers of children with hearing difficulties was absent long-term due to an injury to her leg.

The teaching team has received training including in 'apps' useful to children with special needs, and have been liaising with specialist teachers in Conwy.

### 3.0 Educational psychology service

The term began with the psychology team at full strength, i.e. equivalent to 8.1 psychologists, 10 individuals with several working part-time.

During the term one of the psychologists, who worked part-time (0.4 full time), retired. The psychologists helped Ysgol y Parc, Holyhead, to set up a ‘Nurture’ group, i.e. a group which provides children with a lot of attention and positive experiences, to help improve their behaviour. Also the psychologists have been providing courses in Webster Stratton, again an approach to help improve behaviour. A course in Solution Focused Therapy was provided by some of the psychologists to staff of the Gwynedd team Around the Family.

The team began to take up the duties previously fulfilled by the Special Educational Needs Adviser in Cynnal, i.e. preparing a more general advisory service to schools in the area of special needs, including arranging training courses.

One school made additional arrangements with one of the psychologists to work with them individually on projects.

Towards the end of the term it was learnt that two of our psychologists, who each worked 0.5, and therefore together were equivalent to a full time psychologist, had obtained new posts. The results of the questionnaire for schools were received. The response to the questionnaire has been consistently favourable over the years, and the response this time was also good, the answers to most of the questions being better than they have been in the past, and therefore showing improvement.

| Question  | Former response | This year's response | Improvement? |
|---|-----------------|----------------------|--------------|
| The service was as expected                                       | 83% - 91%       | 97%                  | Yes          |
| Received a courteous and professional service                     | 95% - 98%       | 100%                 | Yes          |
| The psychologist made a positive difference                       | 74% - 83%       | 91%                  | Yes          |
| It is easy to contact the psychologist on the phone               | 92%             | 97%                  | Yes          |
| The psychologist succeeded in the agreed work                     | 89%             | 97%                  | Yes          |
| The psychologist helped to understand and clarify issues          | 80%             | 100%                 | Yes          |
| The psychologist helped to create a plan for the pupil to improve | 74%             | 88%                  | Yes          |
| The psychologist gives practical advice to help children          | 81%             | 97%                  | Yes          |
| The psychologist's records are clear and easy to understand       | 99%             | 100%                 | Yes          |
| The psychologist is useful when working with parents              | 81%             | 89%                  | Yes          |
| Effective with pupils with behavioural difficulties               | 89%             | 80%                  | No           |
| Effective with emotionally vulnerable pupils                      | 93%             | 85%                  | No           |
| Effective with children with complex difficulties                 | 98%             | 97%                  | No           |

|   |     |     |     |
|---|-----|-----|-----|
| Effective with pupils with low attainment               | 92% | 92% | No  |
| Effective with pupils with communication difficulties   | 89% | 96% | Yes |
| Effective where there is multi-agency input             | 92% | 96% | Yes |
| Effective in supporting the emotional welfare of pupils | 86% | 91% | Yes |

We worked especially on these targets:

|  |     |     |     |
|--|-----|-----|-----|
| Good in the provision of training for schools    | 64% | 72% | Yes |
| Good in the provision of therapeutic counselling | 54% | 66% | Yes |
| Contribution to projects re. policies            | 42% | 79% | Yes |

#### 4.0 Additional Information

The tables below show the number of final statements issued within the statutory timeframe of 26 weeks during 2012 (National Performance Indicators).

| 26 weeks Performance Indicators, Gwynedd 2012  |       |
|--|-------|
| Total number of new final statements   | 49    |
| Number of final statements <b>within a 26 weeks <u>with</u> exceptions</b>   | 25    |
| Number of final statements <b>within 26 weeks <u>without</u> exceptions</b><br>i.e. within the time limit and no exceptions have been recorded   | 18    |
| Number of final statements <b>over 26 weeks <u>with</u> exceptions</b><br>i.e. over the time limit because, or partly because, of external factors   | 6     |
| Number of final statements <b>over 26 weeks <u>without</u> exceptions</b><br>i.e. beyond the time limit and no exceptions have been recorded (no one late in presenting advice from outside agencies and no factors beyond the control of the education department and / or the Joint SEA) | 0     |
| Performance Indicator 15a:<br>Of the total cases for the year, what was the percentage <b>within</b> the 26 weeks, whether there was an exception or not? (i.e. 40 as a percentage of 44)  | 87.8% |
| Performance Indicator 15b:<br>Of those cases where there were no exceptions, what was the percentage of the ones completed within the 26 weeks? (i.e. 4 as a percentage of 4)  | 100%  |

Given the increase in the number of statements issued in 2012, the percentage issued within 26 weeks, including exceptions, is a positive reflection of the conscientious work of the Provider Unit.

| 26 weeks Performance Indicators, Anglesey 2012   |    |
|--|----|
| Total number of new final statements   | 22 |
| Number of final statements <b>within a 26 weeks <u>with</u> exceptions</b>   | 12 |
| Number of final statements <b>within 26 weeks <u>without</u> exceptions</b><br>i.e. within the time limit and no exceptions have been recorded     | 6  |
| Number of final statements <b>over 26 weeks <u>with</u> exceptions</b><br>i.e. over the time limit because, or partly because, of external factors | 4  |
| Number of final statements <b>over 26 weeks <u>without</u> exceptions</b>  | 0  |



|   |              |
|---|--------------|
| i.e. beyond the time limit and no exceptions have been recorded (no one late in presenting advice from outside agencies and no factors beyond the control of the education department and / or the Joint SEA) |              |
| Performance Indicator 15a:<br>Of the total cases for the year, what was the percentage <b>within</b> the 26 weeks, whether there was an exception or not? (i.e. 19 as a percentage of 27)                     | <b>81.8%</b> |
| Performance Indicator 15b:<br>Of those cases where there were no exceptions, what was the percentage of the ones completed within the 26 weeks? (i.e. 7 as a percentage of 7)                                 | <b>100%</b>  |

In Anglesey the number of statements issued fell slightly from 27 in 2011 to 22 in 2012. The percentage issued within 26 weeks, including exceptions, increased substantially from 70.4% to 81.8%. A special effort was made within the provider unit to improve the performance.

## **Spring 2013 Term**

### **1.0 Administration assessment and review processes**

In March, one of the clerical officers retired, and arrangements were made to fill her post on a temporary basis.

The work continued with the clerical officers undertaking some of the duties of the Senior Administration Officer, and the principal psychologist undertaking others, and the clerical officers also fulfilling 3\* duties.

By the end of the term, this was reconsidered, it being thought that these duties might be shared out in a different way. However eventually it was decided that the current arrangements would continue, since it would be easier to ensure that as many as possible of the duties would be carried out if those doing so were familiar with the usual arrangements.

By the end of the term, also, Mr Gwilym Ellis Jones was appointed as Chief Executive of Cynnal, and Supervisory Officer to the Joint Committee.

### **2.0 Specialist Teachers Service**

The teacher of children with hearing difficulties continued to be absent at the start of the Spring Term, and another had reduced her hours significantly 0.2 from 0.7, and it was therefore becoming difficult to provide a service at the usual level.

The discussion regarding ensuring the development of the service continued. It was decided that funds should be earmarked for the appointment and training of new teachers and assistants. This was possible as a temporary measure within the budget of the Joint Committee at the time.

There have been difficulties in the past where training was offered to teachers without the promise of employment following this, and it was agreed that assistant teachers should be appointed, and training provided while they were working, rather than following the previous pattern.

The teachers continued with their training work, for example the teachers of children with visual difficulties arranging training in using Braille for assistants.

### 3.0 Educational psychology service

Soon after the beginning of the term, the service was operating with three psychologists fewer than usual. It was necessary to adapt the level of service we were able to offer to the schools as a result of this.

Advertisements were issued for psychologists to take their place. An appointment to the 0.4 post was made, but it was not possible to appoint anyone for the other posts. Towards the end of the term, in addition, it was learnt that another of our psychologists would shortly be absent due to health reasons.

Due to this, providing a sufficient level of service has been challenging.

Despite these difficulties, we have succeeded in visiting every school where needed, and responded to any problems that have arisen. Some of us have attended courses; especially, one psychologist has followed work on ‘Mindfulness’, which brings a new aspect to our therapeutic work, and we are all looking forward to feedback from her in the near future.

### 4.0 Additional Information

#### Statutory Processes:

The table below gives an overview of the workload of the Joint SEA in processing statutory assessments, statements etc..They show, in particular, the workload of the statements coordinators (1½ posts).

| <b>Number of final statements of special educational needs issued for the first time, Gwynedd and Ynys Môn 2008-2012 (i.e. excluding reassessments/ statutory assessments that do <u>not</u> lead to issuing a statement)</b> |                          |                           |
|---|--------------------------|---------------------------|
| <b>Calendar year</b>  | <b>Number in Gwynedd</b> | <b>Number in Ynys Môn</b> |
| 2008  | 53                       | 34                        |
| 2009  | 42                       | 38                        |
| 2010  | 75                       | 41                        |
| 2011  | 44                       | 27                        |
| 2012  | 49                       | 22                        |

| <b>The number of statutory assessments in progress, Gwynedd and Ynys Môn, June 2008-2013</b> |                          |                           |
|--|--------------------------|---------------------------|
| <b>Date of snapshot</b>  | <b>Number in Gwynedd</b> | <b>Number in Ynys Môn</b> |
| June 2008  | 34                       | 23                        |
| June 2009  | 39                       | 38                        |
| June 2010  | 36                       | 39                        |
| June 2011  | 18                       | 17                        |
| June 2012  | 57                       | 21                        |
| June 2013  | 67                       | 37                        |

It can be seen that the number of statutory assessments which are in progress has increased significantly in Gwynedd and Ynys Môn.

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|-----------------------|--|
| <b>MEETING</b>        | Special Educational Needs Joint Committee<br>(Isle of Anglesey County Council and Gwynedd Council)   |
| <b>DATE</b>           | 5 July 2013  |
| <b>TITLE</b>          | The Joint Committee's Final Accounts for the year ended<br>31 March 2013   |
| <b>PURPOSE</b>        | To submit – <ul style="list-style-type: none"> <li>• The Revenue Income and Expenditure Account Report for 2012/13, and</li> <li>• The Statement of Accounts, in the 'statutory' format, duly certified, but pre-Audit.</li> </ul> |
| <b>RECOMMENDATION</b> | To receive and note the information  |
| <b>AUTHOR</b>         | Dafydd L Edwards, Head of Finance, Gwynedd Council   |

## 1. NEW FINANCIAL REPORTING REQUIREMENTS

- 1.1 During 2012/13, it became apparent that there are specific accounting and audit reporting requirements for Joint Committees.
- 1.2 Section 12 of the Public Audit (Wales) Act 2004 states that a joint committee of two or more (local) authorities is a local government body, and Section 13 of the Act requires such bodies to maintain accounts subject to audit by an external auditor approved by the Auditor General for Wales.
- 1.3 Although they are not independent legal entities, for the purposes of keeping accounts and being audited, a joint committee is separately subject to the same regulations as other local councils.
- 1.4 Gwynedd Council is the 'lead' Council responsible for meeting the accounting and financial reporting responsibilities of Anglesey and Gwynedd's Special Educational Needs Joint Committee.
- 1.5 The Accounts and Audit (Wales)(Amendment) Regulations 2010 require all Joint Committees to prepare year-end accounts, i.e. an income and expenditure account, and where the turnover exceeds £1m, a statement of accounts must be prepared in accordance with the CIPFA code for the Joint Committee.
- 1.6 That Statement of Accounts will be subject to a separate audit by the Wales Audit Office.

## **2. ACCOUNTS FOR 2012/13**

- 2.1 **The Revenue Income and Expenditure Account for 2012/13 is submitted herewith as Appendix A(i)** as well as commentary on the major variances between the budget and actual expenditure for information “as usual”. Also submitted herewith are the equivalent accounts for 2011/12, which facilitate comparisons (Appendix A(ii)). All of these are in simple “outturn” format. The original final accounts report for 2011/12 as well as commentary on the major variances was presented to the Special Educational Needs Joint Committee on 16 October 2012.
- 2.2 **The Statement of Accounts for 2012/13 (prior to audit) is submitted herewith as Appendix B, duly completed and certified by the Responsible Financial Officer**, namely Gwynedd Council’s Head of Finance (Dafydd L Edwards) as the Statutory Finance Officer for the Joint Committee.
- 2.3 These will be subject to imminent audit by the Wales Audit Office, and the Appointed Auditor (Anthony Barrett) will produce an “ISA 260” report (detailing the Wales Audit Office’s main findings) for submission to the Joint Committee on 20 September 2013.

## **3. RECOMMENDATION**

- 3.1 **The Special Educational Needs Joint Committee is asked to receive and note the information in the appendices, i.e. –**
- Revenue Income and Expenditure Account for 2012/13 – Appendix A(i)
  - Revenue Income and Expenditure Account for 2011/12 – Appendix A(ii)
  - The Statement of Accounts for 2012/13 (pre-audit) – Appendix B

**SPECIAL EDUCATIONAL NEEDS JOINT COMMITTEE  
(GWYNEDD AND ANGLESEY COUNCILS)  
REVENUE INCOME AND EXPENDITURE ACCOUNT 2012/2013**

|  | <u>FTE</u><br>staffing<br>structure | Budget<br>2012/2013<br>£ | Final<br>Accounts<br>2012/13<br>£ | Variance<br>Over/(Under)spend<br>£ |
|--|-------------------------------------|--------------------------|-----------------------------------|------------------------------------|
| <b>Expenditure</b>                               |                                     |                          |                                   |                                    |
| Employees  | April                               |                          |                                   |                                    |
| Salaries   | 2012                                |                          |                                   |                                    |
| - Psychologists                                  | (8.1)                               | 511,670                  | 454,857                           | (56,813)                           |
| - Support Teachers                               | (7.6)                               | 377,350                  | 357,910                           | (19,440)                           |
| - Administration                                 | (6.4)                               | 182,890                  | 164,208                           | (18,682)                           |
| - 3* Co-ordinator (to fund from balances)        |                                     | 0                        | 13,055                            | 13,055                             |
| - Supporting the Counselling Service             |                                     | 0                        | 8,275                             | 8,275                              |
| Training   |                                     | 9,520                    | 8,444                             | (1,076)                            |
| Advertising for Staff                            |                                     | 0                        | 3,202                             | 3,202                              |
| Liability Insurance                              |                                     | 2,660                    | 2,713                             | 53                                 |
| <br>Building                                     |                                     |                          |                                   |                                    |
| Rates  |                                     | 5,090                    | 5,085                             | (5)                                |
| Rent and Services                                |                                     | 10,770                   | 10,873                            | 103                                |
| <br>Transport                                    |                                     |                          |                                   |                                    |
| Travelling Expenses                              |                                     | 50,780                   | 45,747                            | (5,033)                            |
| <br>Supplies and Services                        |                                     |                          |                                   |                                    |
| Resources / Office Supplies                      |                                     | 17,480                   | 10,449                            | (7,031)                            |
| Telephone  |                                     | 8,600                    | 2,363                             | (6,237)                            |
| Post   |                                     | 1,800                    | 4,269                             | 2,469                              |
| Central Charges Anglesey                         |                                     | 1,630                    | 1,630                             | 0                                  |
| Central Charges Gwynedd                          |                                     | 4,810                    | 4,810                             | 0                                  |
| Audit Fee (to meet the current reporting period) |                                     | 0                        | 8,300                             | 8,300                              |
| <br><b>Total Expenditure</b>                     |                                     | <b>1,185,050</b>         | <b>1,106,190</b>                  | <b>(78,860)</b>                    |
| <br><b>Income</b>                                |                                     |                          |                                   |                                    |
| External Income                                  |                                     | (8,740)                  | (22,647)                          | (13,907)                           |
| Gwynedd Council Contribution                     |                                     | (721,900)                | (721,900)                         | 0                                  |
| Anglesey County Council Contribution             |                                     | (454,410)                | (454,410)                         | 0                                  |
| <br><b>Total Income</b>                          |                                     | <b>(1,185,050)</b>       | <b>(1,198,957)</b>                | <b>(13,907)</b>                    |
| <br><b>Total Net Underspend</b>                  |                                     | <b>0</b>                 | <b>(92,767)</b>                   | <b>(92,767)</b>                    |

|   |                  |
|---|------------------|
|   | £                |
| SEN Joint Committee Reserve Balance 31/03/2012        | (72,295)         |
| Add net underspend 2012/13                            | (92,767)         |
| <b>SEN Joint Committee Reserve Balance 31/03/2013</b> | <b>(165,062)</b> |

**Final Accounts 2012/2013 – Main variances**

- The final accounts show a net underspend of (£92,767) for the year 2012/2013, and the following table summarises the main variances.

| <b>Expenditure Heading</b>                         | <b>Net Over / (Under) spend</b> |                 |
|--|---------------------------------|-----------------|
|  | <b>(£)</b>                      | <b>(£)</b>      |
| <b>Employees</b>                                   |                                 |                 |
| Psychologists (vacant posts)                       | (56,813)                        |                 |
| Support teachers (staff turnover)                  | (19,440)                        |                 |
| Administrative staff (vacant posts)                | (18,682)                        |                 |
| 3* Co-ordinator (planned expenditure from reserve) | 13,055                          |                 |
| <b>Underspend - Employees</b>                      |                                 | <b>(81,880)</b> |
| <b>Transport and Supplies</b>                      |                                 |                 |
| Travelling Costs (due to vacant posts)             | (5,033)                         |                 |
| Resources / office supplies                        | (7,031)                         |                 |
| Reduction in Central Recharges                     | (6,237)                         |                 |
| Audit Fee  | 8,300                           |                 |
| <b>Underspend – Transport and Supplies</b>         |                                 | <b>(10,001)</b> |
| <b>Underspend - Other</b>                          |                                 | <b>(886)</b>    |
| <b>Net Underspend 2012/13</b>                      |                                 | <b>(92,767)</b> |

**SEN Joint Committee Reserve Balance**

- It was reported in the meeting in October 2012, that the Joint Committee's reserve balance was expected to increase to approximately £109,000 by 31/03/2013 due to staff turnover and vacant posts.
- It was anticipated at the time that these posts would be filled by the end of the financial year. But this was not the case, and the relevant underspend level increased, and as result, there was a balance of £165,062 in the reserve by the end of the 2012/13 financial year.

| <b>Movement in reserve</b>                               | <b>Reserve balance</b> | <b>% of budget</b> |
|--|------------------------|--------------------|
|  | <b>(£)</b>             |                    |
| SEN Joint Committee Reserve Balance 31 March 2012        | (72,295)               | 5.9                |
| Net Underspend 2012/2013                                 | (92,767)               |                    |
| <b>SEN Joint Committee Reserve Balance 31 March 2013</b> | <b>(165,062)</b>       | <b>14.0</b>        |



**CYD-BWYLLGOR ANGHENION ADDYSGOL ARBENNIG  
(CYNGHORAU GWYNEDD A MÔN)**

**CYFRIF INCWM A GWARIANT REFENIW 2011/2012**

|                                    | <u>CLIA</u><br>strwythur | Cyllideb<br>2011/2012<br>£ | Cyfrifon<br>Terfynol<br>2011/12<br>£ | Gwahaniaeth<br>Gor/(Tan)wariant<br>£ |
|------------------------------------|--------------------------|----------------------------|--------------------------------------|--------------------------------------|
| <b>Gwariant</b>                    | staffio                  |                            |                                      |                                      |
| Gweithwyr                          | Ebrill                   |                            |                                      |                                      |
| Cyflogau                           | 2011                     |                            |                                      |                                      |
| - Seicolegwyr                      | (8.7)                    | 529,950                    | 512,648                              | (17,302)                             |
| - Athrawon Cynhaliol               | (7.8)                    | 395,170                    | 377,857                              | (17,313)                             |
| - Gweinyddol                       | (6.0)                    | 174,380                    | 167,743                              | (6,637)                              |
| - Cydlynnu 3* (cyllido o balansau) |                          | 0                          | 14,891                               | 14,891                               |
| - Gwasanaeth CWNSELA               |                          | 0                          | 10,039                               | 10,039                               |
| Hyfforddiant                       |                          | 9,520                      | 4,619                                | (4,901)                              |
| Yswiriant Atebolrwydd              |                          | 2,600                      | 2,540                                | (60)                                 |
| Costau Di-swyddo                   |                          | 0                          | 10,334                               | 10,334                               |
| Adeilad                            |                          |                            |                                      |                                      |
| Trethi                             |                          | 4,820                      | 4,815                                | (5)                                  |
| Rhent a Gwasanaethau               |                          | 10,770                     | 12,340                               | 1,570                                |
| Cludiant                           |                          |                            |                                      |                                      |
| Costau Teithio                     |                          | 54,160                     | 53,738                               | (422)                                |
| Cyflenwadau a Gwasanaethau         |                          |                            |                                      |                                      |
| Adnoddau / Deunydd Swyddfa         |                          | 17,480                     | 14,901                               | (2,579)                              |
| Ffôn                               |                          | 8,600                      | 8,600                                | 0                                    |
| Post                               |                          | 1,800                      | 3,944                                | 2,144                                |
| Costau Canolog Ynys Môn            |                          | 1,630                      | 1,630                                | 0                                    |
| Costau Canolog Gwynedd             |                          | 4,850                      | 5,150                                | 300                                  |
| <b>Cyfanswm Gwariant</b>           |                          | <b>1,215,730</b>           | <b>1,205,789</b>                     | <b>(9,941)</b>                       |
| <b>Incwm</b>                       |                          |                            |                                      | <b>(27,539)</b>                      |

**SPECIAL EDUCATIONAL NEEDS JOINT COMMITTEE**  
**(GWYNEDD AND ANGLESEY COUNCILS)**  
**REVENUE INCOME AND EXPENDITURE ACCOUNT 2011/2012**

|   | <u>FTE</u> | Budget           | Final Accounts   | Variance          |
|---|------------|------------------|------------------|-------------------|
|   | staffing   | 2011/2012        | 2011/12          | Over/(Under)spend |
|   | structure  | £                | £                | £                 |
| <b>Expenditure</b>                        |            |                  |                  |                   |
| Employees                                 | April      |                  |                  |                   |
| Salaries                                  | 2011       |                  |                  |                   |
| - Psychologists                           | (8.7)      | 529,950          | 512,648          | (17,302)          |
| - Support Teachers                        | (7.8)      | 395,170          | 377,857          | (17,313)          |
| - Administration                          | (6.0)      | 174,380          | 167,743          | (6,637)           |
| - 3* Co-ordinator (to fund from balances) |            | 0                | 14,891           | 14,891            |
| - Supporting the Counselling Service      |            | 0                | 10,039           | 10,039            |
| Training                                  |            | 9,520            | 4,619            | (4,901)           |
| Liability Insurance                       |            | 2,600            | 2,540            | (60)              |
| Termination Costs                         |            | 0                | 10,334           | 10,334            |
| Building                                  |            |                  |                  |                   |
| Rates                                     |            | 4,820            | 4,815            | (5)               |
| Rent and Services                         |            | 10,770           | 12,340           | 1,570             |
| Transport                                 |            |                  |                  |                   |
| Travelling Expenses                       |            | 54,160           | 53,738           | (422)             |
| Supplies and Services                     |            |                  |                  |                   |
| Resources / Office Supplies               |            | 17,480           | 14,901           | (2,579)           |
| Telephone                                 |            | 8,600            | 8,600            | 0                 |
| Post                                      |            | 1,800            | 3,944            | 2,144             |
| Central Charges Anglesey                  |            | 1,630            | 1,630            | 0                 |
| Central Charges Gwynedd                   |            | 4,850            | 5,150            | 300               |
| <b>Total Expenditure</b>                  |            | <b>1,215,730</b> | <b>1,205,789</b> | <b>(9,941)</b>    |
| <b>Income</b>                             |            |                  |                  |                   |
| External Income                           |            | (8,430)          | (35,969)         | (27,539)          |

**Special Educational Needs Joint  
Committee  
(Gwynedd and Anglesey Councils)**

**STATEMENT OF  
ACCOUNTS  
2012/13**

**SUBJECT TO AUDIT**

Finance Department  
Gwynedd Council  
[www.gwynedd.gov.uk](http://www.gwynedd.gov.uk)

# INDEX

## Appendix B

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## EXPLANATORY FOREWORD

### Introduction

The Special Educational Needs (SEN) Joint Committee is a partnership between Gwynedd Council and the Isle of Anglesey County Council. It is responsible for the statutory work in the area of Special Educational Needs on behalf of the two Local Authorities' schools and client officers. Additionally, the Educational Psychology Service and Specialist Teachers Team for both Local Authorities are within the SEN Joint Committee. They advise schools and support pupils with special educational needs due to sight, hearing, autism, communication difficulties, language and physical or medical needs.

The Special Educational Needs Joint Committee accounts for the year 2012/13 are presented here on pages 5 to 15. The Statements of Accounts are prepared in accordance with CIPFA's *Code of Practice on Local Authority Accounting in the United Kingdom 2012/13*.

The Accounts consist of:-

- **Movement in Reserves Statement** – This statement shows the movement in year on the different reserves held by the Joint Committee, analysed into 'usable reserves' and 'unusable reserves'.
- **Comprehensive Income and Expenditure Statement** - This statement shows the accounting cost in the year of providing services in accordance with generally accepted accounting practices. The income and expenditure has been split between Gwynedd Council (61.4%) and the Isle of Anglesey County Council (38.6%).
- **The Balance Sheet** - Sets out the financial position of the Joint Committee on 31 March 2013.
- **The Cash Flow Statement** - This statement summarises the flow of cash to and from the Joint Committee during 2012/13 for revenue and capital purposes.

These accounts are supported by this Foreword, the Accounting Policies and various notes to the accounts. The accounting policies adopted by the Joint Committee comply with all relevant recommended accounting practices and are fully explained in the Accounting Policies set out in Note I of the Accounts on page 9.

**FURTHER INFORMATION**

The Statement of Accounts is available on Gwynedd Council's website [www.gwynedd.gov.uk](http://www.gwynedd.gov.uk).

Further information relating to the accounts is available from:

William E Jones  
Senior Finance Manager  
01286 679406

or

Caren Rees Jones / Sian Pugh  
Central Accountancy Unit, Finance Department  
01286 679134

Finance Department  
Gwynedd Council  
Council Offices  
Caernarfon  
Gwynedd  
LL55 1SH

This is part of the Council's policy of providing full information relating to the Council and the Joint Committees' affairs. In addition, interested members of the public have a statutory right to inspect the accounts before the audit is completed. The availability of the accounts for inspection is advertised in the local press at the appropriate time.

**SPECIAL EDUCATIONAL NEEDS JOINT COMMITTEE****STATEMENT OF ACCOUNTS****STATEMENT OF RESPONSIBILITIES FOR THE STATEMENT OF ACCOUNTS****THE JOINT COMMITTEE'S RESPONSIBILITIES**

Gwynedd Council bears the responsibility for the arrangements and administration of the Joint Committee's financial affairs and the Responsible Financial Officer is the Head of Finance.

It is the Joint Committee's responsibility to manage its affairs to secure economic, efficient and effective use of its resources to safeguard its assets, and to approve the Statement of Accounts.

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**THE HEAD OF FINANCE'S RESPONSIBILITIES**

The Head of Finance is responsible for the preparation of the Special Educational Needs Joint Committee Statement of Accounts in accordance with proper practices as set out in the CIPFA/LASAAC *Code of Practice on Local Authority Accounting in the United Kingdom* ("the Code").

In preparing the statement of accounts, the Head of Finance has selected suitable accounting policies and then applied them consistently; has made judgements and estimates that were reasonable and prudent and complied with the Code of Practice.

The Head of Finance has also kept proper accounting records which were up to date and has taken reasonable steps for the prevention and detection of fraud and other irregularities.

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**RESPONSIBLE FINANCIAL OFFICER'S CERTIFICATE**

I certify that the Statement of Accounts has been prepared in accordance with the arrangements set out above, and presents a true and fair view of the financial position of the Special Educational Needs Joint Committee at 31 March 2013 and its income and expenditure for the year then ended.



**Dafydd L. Edwards B.A., C.P.F.A., I.R.R.V.**  
**Head of Finance, Gwynedd Council**

**27 June 2013**

## MOVEMENT IN RESERVES STATEMENT

This statement shows the movement in the year on the different reserves held by the Joint Committee, analysed into 'usable reserves' (i.e. those that can be applied to fund expenditure) and 'unusable reserves'. The Surplus or (Deficit) on the Provision of Services line shows the true economic cost of providing the Joint Committee's services, more details of which are shown in the Comprehensive Income and Expenditure Statement. The Net Increase /Decrease before Transfers to Earmarked Reserves line shows the statutory General Fund Balance before any discretionary transfers to or from earmarked reserves undertaken by the Joint Committee.

| Note   | General Fund<br>Balance | Earmarked General<br>Fund Reserves | Capital Receipts<br>Reserve | Capital Grants<br>Unapplied | Total Usable<br>Reserves | Unusable<br>Reserves | Total Joint<br>Committee's<br>Reserves |
|--|-------------------------|------------------------------------|-----------------------------|-----------------------------|--------------------------|----------------------|--|
|  | £'000                   | £'000                              | £'000                       | £'000                       | £'000                    | £'000                | £'000                                  |
| <b>Balance 1 April 2011</b>  | 0                       | (55)                               | 0                           | 0                           | (55)                     | 0                    | (55)                                   |
| <b>Movement in reserves during 2011/12</b>                               |                         |                                    |                             |                             |                          |                      |  |
| (Surplus)/Deficit on provision of services                               | (17)                    | 0                                  | 0                           | 0                           | (17)                     | 0                    | (17)                                   |
| Other Comprehensive Income and Expenditure                               | 0                       | 0                                  | 0                           | 0                           | 0                        | 0                    | 0                                      |
| <b>Total Comprehensive Income and Expenditure</b>                        | (17)                    | 0                                  | 0                           | 0                           | (17)                     | 0                    | (17)                                   |
| Adjustments between accounting basis and funding basis under regulations | 0                       | 0                                  | 0                           | 0                           | 0                        | 0                    | 0                                      |
| <b>Net (Increase)/Decrease before Transfers to Earmarked Reserves</b>    | (17)                    | 0                                  | 0                           | 0                           | (17)                     | 0                    | (17)                                   |
| Transfers to/from Earmarked Reserves                                     | 2 17                    | (17)                               | 0                           | 0                           | 0                        | 0                    | 0                                      |
| <b>(Increase)/Decrease in 2011/12</b>                                    | 0                       | (17)                               | 0                           | 0                           | (17)                     | 0                    | (17)                                   |
| <b>Balance 31 March 2012 carried forward</b>                             | 0                       | (72)                               | 0                           | 0                           | (72)                     | 0                    | (72)                                   |
| <b>Movement in reserves during 2012/13</b>                               |                         |                                    |                             |                             |                          |                      |  |
| (Surplus)/Deficit on provision of services                               | (93)                    | 0                                  | 0                           | 0                           | (93)                     | 0                    | (93)                                   |
| Other Comprehensive Income and Expenditure                               | 0                       | 0                                  | 0                           | 0                           | 0                        | 0                    | 0                                      |
| <b>Total Comprehensive Income and Expenditure</b>                        | (93)                    | 0                                  | 0                           | 0                           | (93)                     | 0                    | (93)                                   |
| Adjustments between accounting basis and funding basis under regulations | 0                       | 0                                  | 0                           | 0                           | 0                        | 0                    | 0                                      |
| <b>Net (Increase)/Decrease before Transfers to Earmarked Reserves</b>    | (93)                    | 0                                  | 0                           | 0                           | (93)                     | 0                    | (93)                                   |
| Transfers to/from Earmarked Reserves                                     | 2 93                    | (93)                               | 0                           | 0                           | 0                        | 0                    | 0                                      |
| <b>(Increase)/Decrease in 2012/13</b>                                    | 0                       | (93)                               | 0                           | 0                           | (93)                     | 0                    | (93)                                   |
| <b>Balance 31 March 2013 carried forward</b>                             | 0                       | (165)                              | 0                           | 0                           | (165)                    | 0                    | (165)                                  |



## COMPREHENSIVE INCOME AND EXPENDITURE STATEMENT – 2012/13

This statement shows the accounting cost in the year of providing the special educational needs service in accordance with generally accepted accounting practices.

| 2011-12           |                |                 |   | 2012-13           |                |                 |
|-------------------|----------------|-----------------|---|-------------------|----------------|-----------------|
| Gross Expenditure | Gross Income   | Net Expenditure |   | Gross Expenditure | Gross Income   | Net Expenditure |
| £'000             | £'000          | £'000           |   | £'000             | £'000          | £'000           |
| 1,101             | 0              | 1,101           | Employees   | 1,012             | 0              | 1,012           |
| 17                | 0              | 17              | Property  | 16                | 0              | 16              |
| 54                | 0              | 54              | Transport   | 46                | 0              | 46              |
| 34                | 0              | 34              | Supplies and Services                               | 32                | 0              | 32              |
| 0                 | (1,223)        | (1,223)         | Income  | 0                 | (1,199)        | (1,199)         |
| <b>1,206</b>      | <b>(1,223)</b> | <b>(17)</b>     | <b>Cost of Services</b>                             | <b>1,106</b>      | <b>(1,199)</b> | <b>(93)</b>     |
| 0                 | 0              | 0               | Other Operating Expenditure                         | 0                 | 0              | 0               |
| 0                 | 0              | 0               | Financing and Investment Income and Expenditure     | 0                 | 0              | 0               |
| 0                 | 0              | 0               | Taxation and non-specific grant income              | 0                 | 0              | 0               |
| <b>1,206</b>      | <b>(1,223)</b> | <b>(17)</b>     | <b>(Surplus) / Deficit on Provision of Services</b> | <b>1,106</b>      | <b>(1,199)</b> | <b>(93)</b>     |

|                                      |
|--------------------------------------|
| <b>BALANCE SHEET – 31 MARCH 2013</b> |
|--------------------------------------|

The Balance Sheet shows the value as at the Balance Sheet date of the assets and liabilities recognised by the Joint Committee. The net assets of the Joint Committee (assets less liabilities) are matched by the reserves held by the Joint Committee.

| 1 April<br>2011<br>£'000 | 31 March<br>2012<br>£'000 |                              | Note | 31 March<br>2013<br>£'000 |
|--------------------------|---------------------------|------------------------------|------|---------------------------|
| 0                        | 0                         | <b>Long Term Assets</b>      |      | 0                         |
| 97                       | 94                        | Short Term Debtors           | 3    | 189                       |
| <b>97</b>                | <b>94</b>                 | <b>Current Assets</b>        |      | <b>189</b>                |
| (42)                     | (22)                      | Short Term Creditors         | 4    | (24)                      |
| <b>(42)</b>              | <b>(22)</b>               | <b>Current Liabilities</b>   |      | <b>(24)</b>               |
| 0                        | 0                         | <b>Long Term Liabilities</b> |      | 0                         |
| <b>55</b>                | <b>72</b>                 | <b>Net Assets</b>            |      | <b>165</b>                |
| (55)                     | (72)                      | Usable Reserves              |      | (165)                     |
| 0                        | 0                         | Unusable Reserves            |      | 0                         |
| <b>(55)</b>              | <b>(72)</b>               | <b>Total Reserves</b>        |      | <b>(165)</b>              |

|                                      |
|--------------------------------------|
| <b>CASH FLOW STATEMENT – 2012/13</b> |
|--------------------------------------|

The Cash Flow Statement shows the changes in cash and cash equivalents of the Joint Committee during the reporting period.

| 2011-12<br>£'000 |   | 2012-13<br>£'000 |
|------------------|---|------------------|
| 0                | Net (Surplus) or Deficit on the Provision of Services   | 0                |
| 0                | Adjustments to net surplus or deficit on the provision of services for non-cash movements   | 0                |
| 0                | Adjustments for items included in the net surplus or deficit on the provision of services that are investing and financing activities | 0                |
| 0                | Net cash flows from Operating Activities  | 0                |
| 0                | Investing Activities  | 0                |
| 0                | Financing Activities  | 0                |
| 0                | Net increase in cash and cash equivalents   | 0                |
| 0                | Cash and cash equivalents at the beginning of the reporting period  | 0                |
| <b>0</b>         | <b>Cash and cash equivalents at the end of the reporting period</b>   | <b>0</b>         |

\* The Joint Committee does not have its own bank account and cash is administered by Gwynedd Council within its own accounts. Any cash owed to the Joint Committee at the year end is included in the short term debtors figure.

## **NOTES TO THE ACCOUNTS**

### **NOTE I – ACCOUNTING POLICIES**

#### **1.1 General Principles**

The Statement of Accounts summarises the Joint Committee's transactions for the 2012/13 financial year and its position at the year-end of 31 March 2013. The Authority is required to prepare an annual Statement of Accounts by the Accounts and Audit (Wales) Regulations 2005, which those Regulations require to be prepared in accordance with proper accounting practices. These practices primarily comprise the *Code of Practice on Local Authority Accounting in the United Kingdom 2012/13* and the Service Reporting Code of Practice 2012/13, supported by International Financial Reporting Standards (IFRS) and statutory guidance issued in the 2005 Act.

The nature of the Joint Committee's transactions is limited and only the relevant policies can be seen below.

#### **1.2 Accruals of Expenditure and Income**

Activity is accounted for in the year that it takes place, not simply when cash payments are made or received.

- Revenue from the sale of goods is recognised when the Joint Committee transfers the significant risks and rewards of ownership to the purchaser and it is probable that economic benefits or service potential associated with the transaction will flow to the Joint Committee.
- Revenue from the provision of services is recognised when the Joint Committee can measure reliably the percentage of completion of the transaction and it is probable that economic benefits or service potential associated with the transaction will flow to the Joint Committee.
- Supplies are recorded as expenditure when they are consumed – where there is a gap between the date supplies are received and their consumption, they are carried as inventories on the Balance Sheet where such balances are considered material.
- Expenses in relation to services received (including services provided by employees) are recorded as expenditure when the services are received rather than when payments are made.
- Where revenue and expenditure have been recognised but cash has not been received or paid, a debtor or creditor for the relevant amount is recorded in the Balance Sheet. Where debts may not be settled, the balance of debtors is written down and a charge made to revenue for the income that might not be collected.

#### **1.3 Cash and Cash Equivalents**

The Joint Committee does not have its own bank account and cash is administered by Gwynedd Council within its own accounts.

#### **1.4 Contingent Assets**

A contingent asset arises where an event has taken place that gives the Joint Committee a possible asset whose existence will only be confirmed by the occurrence or otherwise of uncertain future events not wholly within the control of the Joint Committee.

Contingent assets are not recognised in the Balance Sheet, but disclosed in a note to the accounts where it is probable that there will be an inflow of economic benefits or service potential. The Joint Committee has no contingent assets.

#### **1.5 Contingent Liabilities**

A contingent liability arises where an event has taken place that gives the Joint Committee a possible obligation whose existence will only be confirmed by the occurrence or otherwise of uncertain future events not wholly within the control of the Joint Committee. Contingent liabilities also arise in circumstances where a provision would otherwise be made but either it is not probable that an outflow of resources will be required or the amount of the obligation cannot be measured reliably.

Contingent liabilities are not recognised in the Balance Sheet, but disclosed in a note to the accounts.

## **1.6 Employee Benefits**

### **1.6.1 Benefits Payable during Employment**

Short-term employee benefits are those due to be settled within 12 months of the year-end. They include such benefits as wages and salaries, paid annual leave and paid sick leave for current employees and are recognised as an expense for services in the year in which employees render service to the Joint Committee. Because of its materiality, the Joint Committee accounts does not include recognition regarding accumulated absences costs, however the sum is included as part of the host authority's accounts.

### **1.6.2 Termination Benefits**

Termination benefits are amounts payable as a result of a decision by the Joint Committee to terminate an officer's employment before the normal retirement date or an officer's decision to accept voluntary redundancy. The Comprehensive Income and Expenditure Account will include the actual costs, but all other relevant transactions are included within the host authority's accounts.

### **1.6.3 Post Employment Benefits**

Employees of the Joint Committee are members of two separate pension schemes:

- The Teachers' Pension Scheme, administered by Capita Teachers' Pensions on behalf of the Westminster Government's Department for Education.
- The Local Government Pensions Scheme, administered by the Gwynedd Pension Fund at Gwynedd Council.

Both schemes provide defined benefits to members (retirement lump sums and pensions), earned as employees when they worked for the Joint Committee. However, the arrangements for the teachers' scheme mean that liabilities for these benefits cannot be identified to the Joint Committee. The scheme is therefore accounted for as if it were a defined contributions scheme and no liability for future payment of benefits is recognised in the Balance Sheet. The Comprehensive Income and Expenditure Statement is charged with the employer's contributions payable to Teachers' Pensions in the year.

### **1.6.4 The Local Government Pension Scheme**

All other staff, subject to certain qualifying criteria, are entitled to become members of the Local Government Pension Scheme. The pension costs charged to the Joint Committee's accounts in respect of this group of employees is determined by the fund administrators and represents a fixed proportion of employees' contributions to this funded pension scheme. See paragraph 1.13 below for more information.

### **1.6.5 Discretionary Benefits**

The Joint Committee also has restricted powers to make discretionary awards of retirement benefits in the event of early retirements. Any liabilities estimated to arise as a result of an award to any member of staff (including teachers) are accrued in the year of the decision to make the award and accounted for using the same policies as are applied to the Local Government Pension Scheme.

## **1.7 Events after the Balance Sheet date**

Events after the Balance Sheet date are those events, both favourable and unfavourable, that occur between the end of the reporting period and the date when the Statement of Accounts is authorised for issue. Two types of events can be identified:

- those that provide evidence of conditions that existed at the end of the reporting period – the Statement of Accounts is adjusted to reflect such events.
- those that are indicative of conditions that arose after the reporting period – the Statement of Accounts is not adjusted to reflect such events, but where a category of events would have a material effect, disclosure is made in the notes of the nature of the events and their estimated financial effect (where it is possible to estimate the cost).

Events taking place after the date of authorisation for issue are not reflected in the Statement of Accounts.

**1.8 Exceptional Items and Prior Period Adjustments**

When items of income and expense are material, their nature and amount is disclosed separately, either on the face of the Comprehensive Income and Expenditure Statement or in the notes to the accounts, depending on how significant the items are to the understanding of the Joint Committee's financial performance.

Prior period adjustments may arise as a result of a change in accounting policies or to correct a material error. Changes in accounting estimates are accounted for prospectively, i.e. in the current and future years affected by the change and do not give rise to a prior period adjustment.

Changes in accounting policies are only made when required by proper accounting practices or the change provides more reliable or relevant information about the effect of transactions, other events and conditions on the Joint Committee's financial position or financial performance. Where a change is made, it is applied retrospectively (unless stated otherwise) by adjusting opening balances and comparative amounts for the prior period as if the new policy had always been applied.

Material errors discovered in prior period figures are corrected retrospectively by amending opening balances and comparative amounts for the prior period.

**1.9 Overheads and Support Services**

Charges for services provided by the Central Support Departments within Gwynedd Council and the Isle of Anglesey County Council are derived from a combination of pre-determined fixed charges, actual recorded staff time, transaction logging and pre-determined formulae.

**1.10 Reserves**

Specific reserves are created to set aside amounts for future spending schemes. This is done through transfers out of the General Fund Balance in the Movement in Reserves Statement.

**1.11 Value Added Tax**

Only in a situation when VAT is irrecoverable, will VAT be included or charged as 'irrecoverable VAT'. Since the Joint Committee has not registered for VAT, the VAT is recovered through Gwynedd Council's VAT registration.

**1.12 Debtors and Creditors**

The Joint Committee's Accounts are maintained on an accruals basis in accordance with the Code of Accounting Practice. The accounts reflect actual expenditure and income relating to the year in question irrespective of whether the payments or receipts have actually been paid or received in the year.

**1.13 Pensions**

International Accounting Standard (IAS) 19 governs how the long term liabilities which exist in relation to pension costs should be reported. The Joint Committee's accounts includes payments that were made towards the officers' pensions during the year. It is not feasible to recognise the assets and liabilities relevant to the Joint Committee's officers, thus no liability has been included on the balance sheet for future benefit payments. The assets and liabilities relating to the Joint Committee have been included within the host authority's accounts.

**1.14 Jointly Controlled Operations**

Jointly controlled operations are activities undertaken in conjunction with other ventures that involve the use of assets and resources of the ventures rather than the establishment of a separate entity.

The SEN Joint Committee has been categorised as a Joint Controlled Operation.

**NOTE 2 – TRANSFERS TO/FROM EARMARKED RESERVES**

The note below sets out the amounts set aside from the General Fund in earmarked reserves to provide financing for future expenditure plans.

**Earmarked Reserves**

| <b>SEN Joint Committee<br/>Reserve<br/>£'000</b> |            |
|--|------------|
| <b>Balance 1 April 2011</b>                      | <b>55</b>  |
| <u>Transfers:</u>                                |            |
| Between Reserves                                 | 0          |
| In   | 17         |
| Out  | 0          |
| <b>Balance 31 March 2012</b>                     | <b>72</b>  |
| <u>Transfers:</u>                                |            |
| Between Reserves                                 | 0          |
| In   | 93         |
| Out  | 0          |
| <b>Balance 31 March 2013</b>                     | <b>165</b> |

**NOTE 3 – SHORT-TERM DEBTORS**

|                                | <b>1 April<br/>2011<br/>£'000</b> | <b>31 March<br/>2012<br/>£'000</b> | <b>31 March<br/>2013<br/>£'000</b> |
|--------------------------------|-----------------------------------|------------------------------------|------------------------------------|
| Other Local Authorities        | 97                                | 94                                 | 188                                |
| Other Entities and Individuals | 0                                 | 0                                  | 1                                  |
| <b>Total</b>                   | <b>97</b>                         | <b>94</b>                          | <b>189</b>                         |

**NOTE 4 – SHORT-TERM CREDITORS**

|                                 | <b>1 April<br/>2011<br/>£'000</b> | <b>31 March<br/>2012<br/>£'000</b> | <b>31 March<br/>2013<br/>£'000</b> |
|---------------------------------|-----------------------------------|------------------------------------|------------------------------------|
| Other Local Authorities         | 0                                 | 1                                  | 0                                  |
| Public Corporations and Trading | 0                                 | 0                                  | 8                                  |
| Other Entities and Individuals  | 42                                | 21                                 | 16                                 |
| <b>Total</b>                    | <b>42</b>                         | <b>22</b>                          | <b>24</b>                          |

**NOTE 5 – EXTERNAL AUDIT COSTS**

The Joint Committee has incurred the following costs relating to external audit.

| <b>2011-12</b>                              | <b>2012-13</b> |
|---|----------------|
| <b>£'000</b>                                | <b>£'000</b>   |
| <b>0</b> Fees for External Audit Services * | <b>8</b>       |

\* As part of this year's audit requirements, two financial years will need to be audited.

**NOTE 6 – RELATED PARTIES**

The Joint Committee is required to disclose material transactions with related parties – bodies or individuals that have the potential to control or influence the Joint Committee or to be controlled or influenced by the Joint Committee. Disclosure of these transactions allows readers to assess the extent to which the Joint Committee might have been constrained in its ability to operate independently or might have secured the ability to limit another party's ability to bargain freely with the Joint Committee.

**Members**

Members of the Joint Committee have an influence over the Joint Committee's financial and operating policies.

Members have declared an interest or relationship (as defined) in companies or businesses which may have dealings with the Joint Committee. A breakdown of the payments and balances at 31 March 2013 made to these companies under this heading during 2012/13 is as follows:

| <b>Payments made</b> | <b>Amounts owed by the<br/>Authority</b> | <b>Amounts owed to the<br/>Authority</b> |
|----------------------|--|--|
| £1,128               | £0                                       | £0                                       |

The figures are based on returns received from Councillors.



**NOTE 7 – EXIT PACKAGES**

The number of exit packages with total cost per band and total cost of the compulsory and other redundancies are set out in the table below. The cost in the table below reflects the related cost to the employer rather than the actual cost of the payments to the individuals.

| (a)<br>Exit package<br>cost band<br>(including<br>special<br>payments) | (b)<br>Number of<br>compulsory<br>redundancies |                   | (c)<br>Number of other<br>departures<br>agreed |                   | (d)<br>Total number of<br>exit packages by<br>cost band |                   | (e)<br>Total cost of<br>exit packages in<br>each band |                  |
|--|--|-------------------|--|-------------------|---|-------------------|---|------------------|
|  | 2011/12<br>Number                              | 2012/13<br>Number | 2011/12<br>Number                              | 2012/13<br>Number | 2011/12<br>Number                                       | 2012/13<br>Number | 2011/12<br>£'000                                      | 2012/13<br>£'000 |
| £  |  |                   |  |                   |   |                   |   |                  |
| 0 - 20,000   | 1  | 0                 | 0  | 0                 | 1   | 0                 | 10  | 0                |
| 20,001 - 40,000  | 0  | 0                 | 0  | 0                 | 0   | 0                 | 0   | 0                |
| 40,001 - 60,000  | 0  | 0                 | 0  | 0                 | 0   | 0                 | 0   | 0                |
| 60,001 - 80,000  | 0  | 0                 | 0  | 0                 | 0   | 0                 | 0   | 0                |
| 80,001 - 100,000   | 0  | 0                 | 0  | 0                 | 0   | 0                 | 0   | 0                |
| 100,001 - 150,000  | 0  | 0                 | 0  | 0                 | 0   | 0                 | 0   | 0                |
| <b>Total</b>   | <b>1</b>                                       | <b>0</b>          | <b>0</b>                                       | <b>0</b>          | <b>1</b>  | <b>0</b>          | <b>10</b>   | <b>0</b>         |

**NOTE 8 – PENSIONS SCHEMES ACCOUNTED FOR AS DEFINED CONTRIBUTION SCHEMES**

Teachers employed by the Joint Committee are members of the Teachers' Pension Scheme, administered by Capita Teachers' Pensions on behalf of the Westminster Government's Department for Education. The scheme provides teachers with specified benefits upon their retirement, and the Joint Committee contributes towards the costs by making contributions based on a percentage of members' pensionable salaries.

The scheme is technically a defined benefit scheme. However, the scheme is unfunded and the Department for Education uses a notional fund as the basis for calculating the employers' contribution rate paid by joint committees and local authorities. The Joint Committee is not able to identify its share of underlying financial position and performance of the scheme with sufficient reliability for accounting purposes. For the purposes of this Statement of Accounts, it is therefore accounted for on the same basis as a defined contribution scheme.

In 2012/13 the Joint Committee paid £41,177 (£42,792 in 2011/12) in respect of teachers' pension costs, which represented 14.08% (13.91% in 2011/12) of teachers' pensionable pay.

**NOTE 9 – PENSION COSTS**

As part of the terms and conditions of employment of its officers who are members of the Local Government Pension Scheme, the Joint Committee makes contributions towards the cost of post employment benefits.

In 2012/13 the Joint Committee paid £99,943 (£116,637 in 2011/12) representing officer pension costs to the Local Government Pension Scheme of 21.9% of each member officer's pensionable pay (21.4% in 2011/12).

Further related financial transactions regarding the Joint Committee have been included within Gwynedd Council's accounts, having a zero net effect on the Council Tax.

**COMMITTEE:** Special Educational Needs Joint-Committee

**DATE:** 5 July 2013

**TITLE OF REPORT:** Annual Governance Statement

**ACTION:** To accept the Annual Governance Statement

**BACKGROUND:**

The Accounts and Audit Regulations (Wales) (Amendment) (2010) require every Joint-Committee to prepare annual accounts. In accordance with Part 4 of the Accounts and Audit Regulations (Wales) 2005 it is necessary to produce a Statement of Internal Control and to this end, an Annual Governance Statement has been prepared. A draft statement has been prepared by the Finance Department of Gwynedd Council (as Gwynedd provides finance support to the Joint-Committee) and the document has been endorsed by the Isle of Anglesey County Council's Legal Department.

The Joint-Committee is asked to accept the statement which it is intended will be combined with the Joint-Committee's accounts to form one composite document to be presented to the Joint-Committee for approval at the end of September, 2013.

## **ANNUAL GOVERNANCE STATEMENT**

This statement meets the requirement to produce a Statement of Internal Control pursuant to Regulation 4 of the Accounts and Audit (Wales) Regulation 2005.

### **Part 1: SCOPE OF RESPONSIBILITY**

The Special Educational Needs Joint Committee was established by Gwynedd Council and Isle of Anglesey County Council in 1996 for the purpose of providing a special educational needs service by discharging the functions detailed in a service level agreement between the Joint Committee and the authorities.

The Special Educational Needs Joint Committee is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively.

In discharging this overall responsibility, the Special Educational Needs Joint Committee is also responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk and adequate and effective financial management.

### **Part 2: THE PURPOSE OF THE GOVERNANCE FRAMEWORK**

The governance framework comprises the systems and processes, and culture and values, by which the Special Educational Needs Joint Committee is directed and controlled and its activities through which it accounts to, engages with and leads the community. It enables the authorities that are part of the Special Educational Needs Joint Committee to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost effective services.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level rather than to eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Special Educational Needs Joint Committee's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

The governance framework described above has been in place at the Special Educational Needs Joint Committee for the year ended 31 March 2013 and up to the date of approval of the statement of accounts.

## **Part 3: THE GOVERNANCE FRAMEWORK**

### **3.1 Membership**

The Special Educational Needs Joint Committee has been established in accordance with requirements set out in the Local Government Act 1972 under section 101, section 102(1) (b) (power for two or more authorities to appoint a joint committee), section 103 (expenses incurred by a joint committee defrayed between the authorities), section 104 (disqualification for membership of a joint committee as per normal local authority rules) and section 105 (disability for voting on account of interests in contracts etc.).

Membership of the Joint Committee consists of 7 elected members of Gwynedd Council and 7 elected members of Isle of Anglesey County Council. Members are appointed by the Authority in accordance with the rules of political balance relevant to that Authority. In addition, membership of the Joint Committee will include 1 member nominated by the Bangor Diocesan Board of Finance with a right to vote, 1 member nominated by the Catholic Church with a right to vote, and one member nominated by the free churches with no right to vote.

The term of Membership, as well as arrangements for the appointment of a Chair and Vice Chair, are defined within the Constitution.

The Joint Committee is a permanent arrangement, and in accordance with the Constitution, if either authority desires to withdraw from the Joint Committee twelve months' notice must be given terminating at the end of the financial year.

### **3.2 Functions**

The Special Educational Needs Joint Committee fulfils the following on behalf of Gwynedd Council and Isle of Anglesey County Council:

- Providing a special educational needs service by discharging the functions detailed in a service level agreement between the Joint Committee and the authorities.

### **3.3 Structure, Roles and Responsibilities**

A Constitution is in place for the Joint Committee, dated 30 January 2004. The Constitution outlines the following roles:

- All activities of the Joint Committee are in accordance with the Council Procedure Rules of Isle of Anglesey County Council.
- Administrative and secretarial facilities shall be provided by Director of Legal Services for Isle of Anglesey County Council; the cost being shared between the two authorities.
- Staff are jointly employed by the two authorities for the purposes of discharging the functions delegated to the Joint Committee. Staff are employed in accordance with the conditions of service of Isle of Anglesey County Council together with any additional conditions imposed by the Joint Committee. The Constitution defines the Joint Committee's power to act in relation to all matters regarding staff employment.
- A personnel service is provided for the Joint Committee by Isle of Anglesey County Council; the cost being shared between the two authorities.
- The financial rules of Gwynedd Council are relevant to all of the joint committee's financial activity. The Joint Committee must report to the two authorities annually upon its financial position.
- All financial services are provided to the Joint Committee by the Head of Finance of Gwynedd Council; the cost being shared between the two authorities.

- The Joint Committee has the right to establish one or more sub-panels and to delegate some of its functions to the Sub-panel(s) provided that that delegation does not prevent the Joint Committee’s own ability to exercise those functions.

**Part 4: EFFECTIVENESS OF THE GOVERNANCE FRAMEWORK**

The Special Educational Needs Joint Committee has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of the executive managers who have responsibility for the development and maintenance of the governance environment, any reference within the head of internal audit’s annual report, and also by comments made by the external auditors and other review agencies and inspectorates.

- In accordance with the Constitution of the Joint Committee, all of its activities are in accordance with the Council Procedure Rules of Isle of Anglesey County Council. As a result, therefore, reviews of the effectiveness of the Local Code of Governance, the Constitution and the system of internal control of that authority will also incorporate the basis of the Joint Committee’s governance.

We have been advised on the implications of the result of the **review of the effectiveness of the governance framework** by the Special Educational Needs Joint Committee, and that the arrangements **continue to be regarded as fit for purpose in accordance with the governance framework**.

**Part 5: SIGNIFICANT GOVERNANCE ISSUES**

The processes outlined in previous sections of this statement describe the methods used by the Council to identify the most significant governance issues that need to be addressed.

The Special Educational Needs Joint Committee does not believe that any such issues have arisen during the assessment of its governance arrangements that warrant attention in this Annual Governance Statement.

**Part 6: OPINION**

We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

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XXXXXXXXXXXXXXXXX Councillor XXXXXXXXXXXXXXXXXXXX

LEAD OFFICERS LEAD MEMBER

DATE

DATE