

Annual Plan
2011–2012



BUDDSODDWYR | INVESTORS
MEWN POBL | IN PEOPLE



Rhagoriaeth i bawb – Excellence for all

Arolygiaeth Ei Mawrhydi dros Addysg
a Hyfforddiant yng Nghymru

Her Majesty's Inspectorate
for Education and Training in Wales

Every possible care has been taken to ensure that the information in this document/publication is accurate at the time of going to press. Any enquiries or comments regarding the content should be addressed to:

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The purpose of Estyn¹ is to inspect and report on the quality and standards in education and training provided in Wales, including:

- how far education and training meets the needs of learners and contributes to their development and wellbeing;
- standards achieved; and
- the quality of leadership and management.

Estyn inspects the following educational sectors:

- nursery schools and settings that are maintained by, or receive funding from local authorities;
- primary schools;
- secondary schools;
- special schools;
- pupil referral units;
- independent schools;
- further education;
- adult community learning;
- local authority education services for children and young people;
- teacher education and training;
- work-based learning;
- offender learning; and
- careers companies.

Estyn will continue to develop its joint working with the Wales Audit Office (WAO), Healthcare Inspectorate Wales (HIW) and the Care and Social Services Inspectorate for Wales (CSSIW) in taking forward the Welsh Assembly Government's policy statement on Inspection, Audit and Regulation (IAR)². We will use the Heads of Inspectorates Joint Working Group, IAR Strategic Collaboration Group and the Joint Inspectorate Project Manager to continue co-ordinating systematic joint planning between inspectorates, as well as taking part in joint inspection programmes and thematic review work.

In partnership with Ofsted, Estyn also has responsibility for inspecting learners in England who are funded by the Welsh Assembly Government and who attend independent special colleges, work-based learning courses, and provision for young people in youth offending teams. Estyn inspects, through joint working with HMI Probation and HMI Prisons, the education of offenders in secure estate and prisons in Wales.

¹ Estyn's principal functions are set out in Section 20 of the Education Act 2005 and Sections 75-78 of the Learning and Skills Act 2000.

² Inspection, Audit and Regulation in Wales, Welsh Assembly Government Policy Statement, September 2009

Estyn also:

- provides advice on the quality and standards of education and training in Wales to the Welsh Assembly Government and others; and
- promotes the spread of best practice in the delivery of education and training in Wales based on inspection evidence.

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Chief Inspector's foreword

I am pleased to present Estyn's Annual Plan for the financial year 2011-2012.

This coming year, as well as moving forward with a full programme of inspection work, we will strengthen our partnerships with stakeholders and work collaboratively with the Welsh Assembly Government to inform policy. We will also co-ordinate work with other inspection, audit and review bodies, in a range of joint inspections and thematic work as well as in a number of shared enterprises to benefit the people of Wales.

Following on from our landmark year in 2010, when we launched our new, more proportionate approach to inspection, we will embed our new arrangements and monitor their effectiveness, making any necessary refinements in light of that monitoring. At the same time, we will continue reviewing the impact of our recent internal re-organisation, to make sure that our business remains efficient and that it is flexible enough to meet new challenges.

As part of our ongoing programme of efficiency, Estyn has already succeeded in making significant savings to meet reductions in our budget over the next few years, in line with the Comprehensive Spending Review. We will plan our work more efficiently while ensuring that the quality of our core business is not compromised. We will retain a strong focus on identifying better ways to improve the quality of education and training for all learners in Wales.

While we have had to reduce spending on some areas of activity, we will continue to promote the spread of best practice in the delivery of education and training. We will monitor the effectiveness of our guidance to providers on self-evaluation, which is the starting point of our new inspection arrangements. We will liaise with the sectors we inspect to collate and disseminate evidence of sector-leading practice identified in the field.

I would like to thank all the staff at Estyn for their hard work in ensuring the delivery of business as usual over the past year, as well as for their pro-active and constructive thinking in streamlining working practices. Our programmed work and planned future projects continue to be strongly aligned with our mission and strategic objectives.

This year's Annual Plan is produced in accordance with Section 87 of the Learning and Skills Act 2000. We welcome comments on the contents. Your views are important to us and will inform our further planning.

Ann Keane

Her Majesty's Chief inspector
of Education and Training in Wales

Part one

Strategic overview

Our mission and vision

Our mission is to achieve excellence for all learners in Wales by providing an independent, high quality inspection and advice service. Our vision is to be recognised through the expertise of our staff as an authoritative voice on education and training in Wales.

Our values

Everything we do reflects our mission, vision and our values, which are to:

- keep **learners** and citizens **at the centre of our work**;
- act with **openness, integrity** and **objectivity**, demonstrating the highest standards of public service;
- work in **partnership** with others, whilst maintaining our **independence**;
- demonstrate effective **leadership** and **teamwork** at all levels;
- **value people** and the contributions they make;
- encourage **responsibility, initiative** and **innovation**; and
- foster an **engaging** and **healthy** working environment.

Our strategic objectives

Estyn has a unique role in supporting the drive for excellence in learning, through:

- providing **public accountability** to service users on the quality and standards of education and training provision in Wales;
- informing the **development of national policy** by the Welsh Assembly Government Ministers and officials; and
- promoting **the spread of best practice** in the delivery of education and training in Wales.

These are the core purposes of our work and it is vital that all are delivered as effectively as possible.

In doing so, it is equally important that Estyn continues to develop as a dynamic, **'best value' organisation and 'employer of choice'**.

This Annual Plan sets out what we will do specifically in 2011-2012 against each of our strategic objectives.

Delivery of strategic objectives

Strategic objective one: Providing public accountability to service users on the quality and standards of education and training provision in Wales

1.1 Maintain a streamlined framework of inspection arrangements that:

- has shorter notice periods;
- is more proportionate, focusing our efforts where they will have most impact; and
- is based firmly on analysis of the provider self-evaluation and any lines of inquiry arising from this and other data on performance.

During 2011-2012, we will:

- continue our programme of core inspections, based on analysis of performance data, providers' self-evaluations and on 'lines of inquiry' arising from those;
- inspect around one sixth of providers (Appendix 1: Table 2 provides details);
- continue to develop additional guidance on 'lines of inquiry' as needed;
- make use of information technology and the virtual inspection rooms (VIRs) to ensure the efficient transfer of information and consistent implementation and use by providers;
- identify post-16 inspection work which can be carried out by one inspection rather than separate inspections of further education institutions and adult community learning;
- monitor the implementation of the new inspection arrangements which began in September 2010, including the shorter notice period of four weeks in most sectors we inspect, in order to identify issues and agree any changes; and
- use the Inspection Policy and Conformance group to ensure that: the revised inspection arrangements are implemented consistently across sectors; matters to do with quality are addressed through agreed quality assurance policies and procedures; and emerging issues are discussed and resolved.

1.2 Introduce enhanced levels of follow-up activity for providers who are under-performing and need further support.

During 2011-2012, we will:

- undertake follow-up inspection activity for those providers identified as needing further support;
- monitor core inspections carefully including the judgements leading to follow-up activity;
- ensure that the Department for Children, Education, Lifelong Learning and Skills (DCELLS) is notified of any required 'follow-up' actions, and explore with key stakeholders, including local authorities, the degree to which they may be involved in 'follow-up' activities;
- amend, as necessary, guidance for inspectors on the nature of follow-up activity in the sector handbooks available on our website; and

- disseminate on our website case studies of the sector-leading practice identified in inspections.

1.3 Improve public confidence and assurance in the quality of inspections and reports through:

- bringing more school inspections in-house in line with expectations from our public consultation on the new inspection arrangements;
- the continuing provision of inspector guidance and training; and
- monitoring to secure consistency and high quality in inspections.

During 2011-2012, we will:

- further extend the proportion of Estyn-led inspections in the maintained school sector and retain inspections for all other sectors in-house;
- continue to work with school inspection contractors to ensure the high quality of inspections that are not Estyn-led;
- provide further guidance and update training for registered inspectors, additional inspectors, peer inspectors and lay inspectors in the school sectors, including implementing web-based training packages;
- provide training updates for additional inspectors and peer inspectors in the inspection framework for all post-16 sectors;
- use post-inspection questionnaires to assist our procedures for assessing the quality of inspections and reports;
- continue to monitor the quality of inspections and reports and use the outcomes from quality assurance to inform inspection training and updates; and
- operate and monitor the new quality assurance system for all additional, peer and lay inspectors.

1.4 Introduce new, shorter, more user-friendly and accessible inspection reports, focusing on the most important features identified.

During 2011-2012, we will:

- ensure that each inspection report contains clearer narrative and judgements suitable for providers and users of services;
- continue to publish reports on stakeholder satisfaction in an appendix to every inspection report; and
- develop the work of the Quality and Conformance Manager, whose role will be to check and quality assure Estyn inspection reports, to ensure that they are evidence-based and clear to readers.

1.5 Take greater account of the views of learners to provide an insight into the learning experience and to test learning.

During 2011-2012, we will:

- conduct questionnaires to obtain the views of learners and parents on aspects of education received in the school sectors;

- listen to learners and parents as appropriate during our inspections;
- use the DCELLS Learner Voice outcomes where available or conduct our own questionnaires to obtain the views of learners in post-16 settings;
- canvass the views of employers in the further education and work-based learning sectors; and
- include or prepare initial teacher training trainees and adult learners for inspections of their sectors, monitoring as appropriate.

1.6 Foster strong partnerships with our stakeholders, working collaboratively with the Welsh Assembly Government and with other inspection, audit and review bodies and providers to ensure that joint initiatives are delivered transparently, in an atmosphere of mutual trust and respect.

During 2011-2012, we will:

- work with the WAO and CSSIW to implement the Local Government (Wales) Measure;
- ensure the effective co-ordination by Estyn and CSSIW of inspections of schools and colleges which have residential provision;
- support HMI Prisons and HMI Probation in their inspections and their inspection and thematic work as appropriate;
- work jointly with other inspectorates, auditors and regulators, in particular CSSIW, the WAO and HIW in respect of the inspection of public services and thematic work;
- work with Ofsted on joint inspections of providers where appropriate;
- continue to work with the Quality Assurance Agency for Higher Education (QAA), where our areas of responsibility overlap, to share information and identify causes for concern; and
- work closely with the Welsh Assembly Government and the Higher Education Funding Council for Wales (HEFCW) on issues relating to standards for teachers, continuous professional development and the inspection of initial teacher training in Wales.

1.7 Take account of legislation and standards as they apply to education and training providers, such as safeguarding, bilingualism, sustainability, equality and diversity, health and wellbeing, human rights and inclusion.

During 2010-2011, we will:

- update and monitor the effectiveness of our Welsh language scheme through regular review;
- ensure that our policy on safeguarding children and vulnerable adults is firmly embedded in the organisation and that we work with other agencies as necessary;
- make sure that all inspections focus on providers' arrangements for safeguarding and report on them in each inspection report;
- work with the Welsh Assembly Government and others to secure a common understanding of how learners' wellbeing can best be identified and assessed;

- continue to take account of current and new equalities and human rights legislation in inspection arrangements, including impact assessments for any significant new developments; and
- work with the Welsh Assembly Government to consider any changes to legislation that may be required.

Estyn's budget and our performance measures

For details of our budget for this strategic objective, please see page 17, Table 1. Our performance measures related to this strategic objective are at Appendix 4.

Strategic objective two: Informing the development of policy by the Welsh Assembly Government

2.1 Devise and implement an approach to support the development of education and training policy in and for Wales and strengthen our knowledge-management capabilities through greater emphasis on thematic reviews.

During 2011-2012, we will:

- undertake thematic reviews as set out in the 'remit' letter for 2011-2012 to the Chief Inspector from the Minister for Children, Education and Lifelong Learning (see Appendix 2 for details);
- provide advice and support to DCELLS as required and including participation in a range of Welsh Assembly Government committees, working groups and advisory groups (see Appendix 3 for a list of working groups);
- work with DCELLS to produce a provisional list of advice for 2012-2013, by planning for some remit survey work that focuses on more strategic themes, to be completed over a longer period, so that a more longitudinal perspective is possible;
- link surveys more closely to national priorities, in order to increase their influence on policymakers; and
- communicate policy findings better to a wider audience through:
 - ▲ improving remit reports; and
 - ▲ developing channels of e-communication to help disseminate the reports to a wider audience.

2.2 Produce an Annual Report that summarises our views about the quality and standards of education and training provision in Wales and which helps inform the development of education and training policy.

During 2011-2012, we will:

- publish HMCI's Annual Report on the quality of education and training over the previous year (2010-2011);
- publish HMCI's Annual Report and a webcast on our website and design a media campaign to support its publication;
- review the way we present HMCI's Annual Report with a view to making useful improvements; and

- contribute to reports on joint inspections and surveys involving other inspectors, auditors and regulators.

2.3 Strengthen our internal capacity through developing specific roles that cover key policy education issues and sectoral responsibilities.

During 2011-2012, we will:

- continue to embed link roles as listed below:
 - ▲ local authority link inspectors;
 - ▲ post-16 link inspectors; and
 - ▲ regional co-ordinators;
- continue to embed lead roles in the following sectors:
 - ▲ Early Years;
 - ▲ primary;
 - ▲ secondary;
 - ▲ independent mainstream;
 - ▲ independent special;
 - ▲ maintained special and pupil referral units;
 - ▲ local authority education services for children and young people;
 - ▲ further education institutions;
 - ▲ work-based learning;
 - ▲ adult community learning;
 - ▲ careers;
 - ▲ offender learning; and
 - ▲ initial teacher education and training; and
- continue to embed educational policy lead roles in the following areas:
 - ▲ additional learning needs;
 - ▲ wellbeing;
 - ▲ equality and human rights;
 - ▲ the Foundation Phase;
 - ▲ religious education / faith schooling;
 - ▲ schools causing concern;
 - ▲ learning domains:
 - humanities (history, geography, sociology and ESDGC);
 - languages (modern foreign languages and classical);
 - creative arts (art, media, music and physical education);
 - pre-16 English (language, literacy and communications);
 - post-16 English (language, literacy and communications);
 - mathematics (mathematics and numeracy);
 - science;
 - technology and engineering, including land-based technology;
 - construction, planning and the built environment;
 - information and communication technology and business studies;
 - services to people (care & health, hair & beauty, catering & hospitality and tourism & leisure); and
 - PSE/Broader Skills;
 - ▲ youth and community work policy;
 - ▲ 14-19 co-ordination;

- ▲ Welsh language (schools); and
- ▲ Welsh language (post-16).

2.4 Strengthen our knowledge-management capabilities based on the evidence from our inspections and our understanding of education and training matters.

During 2011-2012, we will:

- continue developing our knowledge-management framework, focusing our attention and resources on matters that have the greatest effect on generating improvements for learners;
- further develop the way we analyse and use inspection evidence through improved management information systems;
- use our inspection intelligence to inform remit survey work;
- work jointly with CSSIW, HIW and the WAO to develop a common approach to data management and data hosting;
- further develop the work of our Statistical Unit to provide inspectors with relevant and timely data for use on inspection and remit activity; and
- build our research capacity to provide an easily accessible bank of specialist knowledge for inspectors.

2.5 Undertake joint working, where appropriate, on the basis of the principles outlined in the Welsh Assembly Government's policy statement on Inspection, Audit and Regulation (IAR) in Wales.

During 2011-2012, we will:

- strengthen existing mechanisms for planning and delivering external review work in a co-ordinated and proportionate manner;
- support the work of a Joint Inspectorate Project Manager in facilitating ongoing joint working between Estyn, the WAO, HIW and CSSIW in progressing the Assembly Government's policy statement;
- take part in joint inspection programmes with other inspectorates as set out in detail under Strategic Objective 1.6;
- use the Heads of Inspectorates Joint Working Group and the IAR Strategic Collaboration Group to co-ordinate systematic joint working between inspectorates;
- use the joint-inspectorate National Reviews Working Group to establish joint approaches to identifying and delivering thematic review work where joint working can add value;
- ensure that our Annual Plan and key strategies and policies are aligned, where appropriate, to the Welsh Assembly Government policy statement on IAR in Wales;
- work with CSSIW, HIW and the WAO to set up a joint website portal for IAR in Wales; and
- respond to and/or advise the Welsh Assembly Government and other stakeholders on consultations relating to education and training policy developments as required.

Estyn's budget and our performance measures

For details of our budget for this strategic objective, please see page 17, Table 1. Our performance measures related to this strategic objective are at Appendix 4.

Strategic objective three: Promoting the spread of best practice in the delivery of education and training in Wales
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3.1 Develop and implement an approach that sets out how we will share best practice and deliver an engagement programme with providers and other organisations that promotes collaborative working and debate on key education and training issues.

During 2011-2012, we will:

- use evidence from inspection and remit activity to identify best practice amongst practitioners;
- make case studies of sector-leading practice accessible on our website to inspectors, providers, partners and stakeholders;
- engage with providers to assist in disseminating best practice;
- ensure that our reports include comments on best practice to inform other providers when developing their own provision;
- highlight and disseminate best practice as part of our 'follow-up' activity;
- monitor our website and extranet to ensure that they continue to support and provide information on best practice and case studies; and
- through our work with others, widen the sharing of good practice across sector and IAR bodies.

3.2 Support the continuous development of provider self-improvement through high-quality professional dialogue during inspection and the introduction of a set of self-evaluation tools across all sectors.

During 2011-2012, we will:

- monitor the effectiveness of our guidance to providers on self-evaluation;
- share our decisions with stakeholders through our forums and through information-sharing sessions; and
- further develop effective links with professional networking bodies, such as teacher unions, ColegauCymru/CollegesWales, the National Training Federation for Wales and the National Institute of Adult Continuing Education Dysgu Cymru.

3.3 Work with the Welsh Assembly Government to ensure that its education and training policy, including the IAR Statement and our inspection and best practice work, are closely aligned.

During 2011-2012, we will:

- align our activities with the School Effectiveness Framework (SEF) and the Quality and Effectiveness Framework (QEF);

- work with DCELLS to improve the quality of education and training; and
- work in line with the principles outlined in the Welsh Assembly Government's policy statement on IAR in Wales.

3.4 Increase our capacity to identify and record best practice as a result of bringing more maintained school inspection activities in-house.

During 2011-2012, we will:

- publish case studies of sector-leading practice as identified during inspection and remit activity and promote these through our website and the Annual Report.

3.5 Establish the means to collate, monitor and analyse best practice through the introduction of sector lead inspector roles.

During 2011-2012, we will:

- identify sector-leading practice and ensure that the information is collated by sector leads, regional inspectors and link inspectors for dissemination.

3.6 Enhance our technological capacity to improve the sharing of knowledge and best practice.

During 2011-2012, we will:

- analyse and interpret inspection outcomes, including examples of best practice, gathered through our cyclical and thematic inspection activities, and communicate outcomes on our website and by means of email alerts;
- maintain a statistical specialist to advise and support HMI in relation to relevant databases;
- make the best use of electronic records management and other IT systems in our development of knowledge management; and
- use the 'Best Practice' section of the new Estyn website to disseminate best practice to the education and training sectors.

3.7 Increase the involvement of current practitioners as peer inspectors and nominees on inspections to promote cross-fertilisation of good practice.

During 2011-2012, we will:

- train and update peer inspectors to facilitate their use as full members of an inspection team and ensure that they take new skills and expertise back to their organisations;
- monitor and review the terms and conditions for peer inspectors that clearly set out the roles and responsibilities of each party;
- increase the pool of peer inspectors for the schools, post-16 and local authority sectors incrementally by providing a rolling programme of assessed training;
- streamline the arrangements for deploying peer inspectors and evaluate the peer inspector programme to ensure that it continues to add value to the inspection process; and

- use a trained nominee (from the individual providers being inspected) to act as liaison for the provider and be a member of the inspection team.

Estyn's budget and our performance measures

For details of our budget for this strategic objective, please see page 17, Table 1. Our performance measures related to this strategic objective are at Appendix 4.

Strategic objective four: Developing Estyn as a 'best value' organisation and as an employer of choice

4.1 As an organisation, Estyn will promote:

- **bilingualism;**
- **sustainability;**
- **equality and diversity;**
- **health and wellbeing;**
- **human rights; and**
- **inclusion.**

During 2011-2012, we will:

- maintain our commitment to the Welsh Assembly Government's strategic vision and direction set out in *Better Wales*³ through the principles and standards set out in our Welsh Language Scheme;
- maintain our commitment to a sustainable future, as set out in national policies, including the Welsh Assembly Government's policy statement, through our work on the Green Dragon Standard and implementing our environmental action plan;
- further develop our approach to equality and diversity in all our activities, building on the duties in the Equality Act 2010;
- maintain our commitment to employee health and wellbeing through our work in implementing the Corporate Health Standard;
- build on the good practice recognised in the recent Investors in People (IIP) review, working in partnership with staff and trade unions to implement points of continuous improvement set out in our IIP action plan; and
- undertake impact assessments of our plans and policies in relation to equalities and human rights.

4.2 Continue to develop and implement our transformation plans, whilst ensuring safe delivery of our statutory obligations.

During 2011-2012, we will:

- implement our transformation projects, including through the operation of the BRISK⁴ working group;

³ <http://wales.gov.uk/news/archivepress/localgovculpress/locgovpress2000/754557/?lang=en>

⁴ The BRISK working group manages the delivery of projects in relation to Best Practice, Policy Advice and Remit Strategy, IS Strategy, and Knowledge Management.

- maintain the highest level of trust and co-operation between management and staff in matters affecting Estyn, with a view to enhancing both our business performance and the wellbeing of the people who work here, and to building on the successful working relationships established through the TUS/Management strategic and operational forums; and
- continue our programme of policy development and review by updating our Human Resources policies to reflect statutory changes and current and best practice.

4.3 Develop and embed a culture that reflects our new values and effectively communicates these both internally and externally.

During 2011-2012, we will:

- continue to develop a flexible workforce structure and organisation programme, maintaining business as usual whilst adjusting structures as appropriate;
- where appropriate to do so, recruit and retain staff, ensuring that they are fully engaged in all that they do in order to make our vision a reality;
- continue reviewing all job descriptions to focus on achieving strategic objectives and securing job satisfaction;
- embed the lead inspector and lead officer roles to secure strong distributed leadership and teamwork at all levels;
- respond appropriately to the findings of the 2010 Civil Service People Survey and work with staff to address any issues of concern, through Estyn's Training and Development Group;
- use our intranet system to engage with staff and develop new ways to involve and communicate with them; and
- continue to deliver an external communications strategy that underpins and supports our strategic objectives and values, and maximise the potential of our new website.

4.4 Develop a stronger staff deployment and workforce planning capability that delivers value for money and underpins our strategic objectives.

During 2011-2012, we will:

- continue to operate our workforce planning programme to reflect the reductions in our budget and to capitalise on natural wastage, offering a voluntary exit scheme while avoiding compulsory redundancy;
- base our workforce planning on project-management disciplines and encourage flexibility, responsibility, initiative and innovation; and
- strengthen internal capacity in the use of our business planning tool COBAS to design a work programme which deploys inspectors efficiently and which requires minimal intervention during the inspection year.

4.5 Provide training and development opportunities for our staff to ensure that they have the skills, knowledge and capability to carry out their tasks with confidence.

During 2011-2012, we will:

- implement the training and development strategy, maintaining and building upon our expertise;
- support and develop staff knowledge and skills by reviewing the skills of all our staff and maintaining our training development programme;
- continue to provide training and shadowing opportunities for all inspectors to develop a workforce that can inspect across multiple sectors;
- improve our talent pool and succession planning to enhance the organisational capacity necessary to deliver our strategic objectives;
- implement a programme of training for our line managers to provide them with the skills required to enable them to implement our revised Managing Attendance at Work Policy effectively;
- review our competency framework to ensure that we identify the right set of skills to enable us to satisfy our strategic objectives; and
- implement a corporate training programme to support continuing professional development.

4.6 Develop and implement policies and planning processes to make sure we deliver our strategic objectives.

During 2011-2012, we will:

- continue to implement the Information Systems Strategy that will support the delivery of Estyn's strategic objectives and enable more agile and flexible working;
- use our business planning system as a tool to allocate workloads flexibly, to ensure the most efficient and effective use of our resources;
- take advantage and account of reductions in accommodation and facilities when introducing new policies and processes;
- use our Information Governance Group to develop and embed good practice in information management;
- embed sustainable practices to reduce environmental impact and minimise costs; and
- promote an appropriate work-life balance for our staff by supporting those who have moved to home-working through a 'keeping in touch' strategy, including monitoring the continued efficiency and effectiveness of these arrangements.

4.7 Develop and implement financial planning processes that deliver value for money and underpin our strategic objectives.

During 2011-2012, we will:

- continue to link our budgeting to the resource planning system to cost our strategic objectives comprehensively;

- review our budget management processes and improve guidance and support for managers who are responsible for budgets, and ensure that internal processes are in place to safeguard against the misuse of funds;
- ensure that staff who are responsible for finance are aware of and understand our duty to publish an Annual Report and Accounts, operating a project management process to streamline processes and quality assurance tasks; and
- continue to provide consistent controls and standards for our procurement practices, extending further our use of e-procurement, particularly in relation to inspection contracts, and thereby helping to reduce costs and lower the environmental impact of paper-based systems.

Estyn's budget and our performance measures

For details of our budget for this strategic objective, please see page 17, Table 1. Our performance measures related to this strategic objective are at Appendix 4.

Part two

Estyn's way of working

Corporate governance and risk management

Estyn is committed to the good practice principles of Corporate Governance published by HM Treasury⁵.

Her Majesty's Chief Inspector of Education and Training in Wales (HMCI) is the Accounting Officer for Estyn. The Chief Inspector has personal responsibility for allocating the annual budget within Estyn to carry out its functions and is also responsible for ensuring propriety in the use of public funds made available to the Inspectorate.

The Estyn Strategy Board⁶ consists of HMCI, two Strategic Directors (executive) and non-executive directors (who are external parties appointed through open competition for a term of up to three years). The Board meets every quarter and monitors and challenges our strategic agenda. It has a particular emphasis on ensuring effective corporate governance and continued improvement as an 'employer of choice' and high profile public service.

The Audit Committee, comprising non-executive directors of Estyn's Strategy Board, is chaired by one of the non-executive directors. The Committee acts to support the Accounting Officer in carrying out her responsibilities in terms of risk control and governance by providing added scrutiny and assurance of the systems in place.

A risk management framework is in place at both strategic and operational levels across Estyn. We will use horizon scanning and take account of all factors presented by our environment when managing risks to ensure that we achieve our objectives. We will manage risks associated with maintaining high standards of secure information governance.

Finance

Estyn will continue to improve its systems of financial control by supporting managers with financial and management information and guidance.

We will liaise closely with our external auditors to achieve the prompt publication of an unqualified annual report and accounts for 2010-2011.

We will operate systems of internal control which will continue to be underpinned by signed annual statements provided to the Accounting Officer by staff at Assistant Director level. These arrangements will support the Accounting Officer's completion of an organisational statement of internal control as part of the annual accounts process. The

⁵ www.hm-treasury.gov.uk/media/4/8/daocorp-governance-code.pdf

⁶ For a full list of Board members, please see Appendix 6.

work of internal and external auditors also informs the Accounting Officer's statement of internal control.

Estyn's budget

Table 1: Estyn revenue budget for 2011-2012 (£'000s)					
Strategic objective	Staff costs	Non-staff costs	Finance charges	Total revenue budget	Percentage of total
1	3,300	4,000	200	7,500	55.8%
2	1,500	500	70	2,070	15.4%
3	1,500	450	70	2,030	15.1%
4	1,200	587	60	1,837	13.7%
Total	7,500	5,537	400	13,437	100%

The total sum in Table 1 represents our revenue budget for 2011-2012. As our revenue budget decreases year-on-year over the next three years, in line with the Assembly Government's review of public expenditure, we shall continue to implement our efficiencies programme to achieve savings at the earliest opportunity.

During the course of the year, we will closely monitor the resources that we allocate to each of our strategic objectives, to ensure that the distribution of funds is in line with the available budget.

In 2011-2012, we have £339,000 available from the Assembly Government for capital purposes. We shall develop appropriate business cases for any capital projects and other capital items that may be necessary.

Notes:

- Staff costs include permanent, temporary, agency and seconded staff. Costs are allocated on the basis of estimated staff time against each strategic objective.
- Non-staff costs include general running costs (office accommodation and services), programme costs (costs of contracted-out inspection work, publications, translation services etc) and staff-related costs (travel and subsistence, recruitment, training and development etc).
- Finance charges relate to notional charges (non-cash) in respect of cost of capital and depreciation.
- Where a cost cannot be allocated directly to a strategic objective, eg the cost of office accommodation, it is allocated to strategic objectives pro-rata as per the allocation of staff costs.

Measuring our success

Estyn has key performance measures against which we assess our success in delivering each of our strategic objectives. Our key performance measures and targets are set out at Appendix 4.

Appendix 1: Inspection activity 2011-2012

Table 2 provides information on the number of inspections Estyn plans to carry out in 2011-2012.

Table 2: Planned inspection activity by Her Majesty's Inspectors (HMI) and independent inspectors 2011-2012⁷	
Unit of inspection	Annual planned numbers of inspections leading to reports
	2011-2012
Non-maintained nurseries	100
Primary schools and nursery schools	234
Secondary schools	31
Special schools	7
Independent schools including independent special schools	16
Pupil referral units	9
Local authority education services for children and young people (LAESCYP)	8
Initial teacher education and training (ITET)	1
Further education institutions	3
Work-based learning (WBL) providers	6
Careers Wales companies	0
Adult community learning	3
Area inspections	0
Total number of inspections	418

⁷ In the number of inspections shown above, there are changes to those in Estyn's Corporate Plan for 2009-2012 due to the opening or closure of establishments and/or the re-inspection of provision.

Appendix 2: Remit report activity 2011-2012

The specific advice required by DCELLS in 2011-2012

Items requiring detailed reports drawing on inspection evidence

Literacy

1. The impact of family learning programmes on raising literacy/numeracy levels of children and adults [two years: 2011-2013]. *This item will look at a range of accredited family literacy programmes with a view to identifying how to improve the consistency and quality of delivery and improving monitoring of progress.*
2. Literacy Continuing Professional Development (CPD) training and impact on learning and achievement in the classroom – the impact of three and five day action research based literacy training programmes on teaching and learning in the classroom [three years: 2011-2014]. *This item will review the revised current CPD programmes with a greater emphasis on measuring the impact and monitoring progress.*

Numeracy

3. The effectiveness of the numeracy intervention programmes at key stage 2 and key stage 3, tracking the progress and implementation of additional support necessary [three years: 2011-2014]. *This will build on evidence of what constitutes most effective support for those falling behind in numeracy learning and will provide a basis for future planning and delivery of training.*

Poverty

4. The effectiveness of DCELLS Skill Build and successor youth and adult employability programmes from 2011 to systematically build an individual's employability skills leading to sustained employment [two years: 2011-2013]. *This item will help inform work based learning tendering arrangements from July 2013 with a view to implementation of effective measures in contracts beginning August 2014.*
5. Issues for schools in tackling disadvantage and poverty – to be expanded to include assessments of the impact of community focused schools [three years: 2010-2013]. *This item will also now include a look at the role and integration of the school in the community.*

Curriculum

6. Contribution to DCELLS' wider evaluation of the Foundation Phase in schools and non-maintained settings by completing a report on five-year-olds and reporting on the Welsh language element of the Foundation Phase [three years: 2010-2013] .

7. The use of the skills framework 7-14, focusing on key stage 3 provision [two years: 2010-2012].

8. Welsh Baccalaureate Qualification Provision at Level 3 in secondary schools [one year: 2011-2012]. *This item will help identify models of good practice and centres of excellence.*

Additional learning needs

9. The effectiveness of school strategies for supporting and challenging more able and talented pupils in secondary schools [two years: 2010-2012].

Effectiveness

10. The size of schools and how this affects educational outcomes and how surplus places affect the resources available for expenditure on improving outcomes for pupils [one year: 2011-2012]. *This item will complement evidence already available that supports positive action to organise schools strategically.*

11. The effective and efficient use of ICT resources to support teaching and learning and whole school effectiveness [one year: 2011-2012]. *This item will help provide feedback to schools and authorities on their performance and inform future dialogue and inform decisions on future use of Becta ICT Self Review Framework in Wales and provide baseline evidence to inform the development and use of ICT standards via the 21st Century Schools programme.*

12. The effectiveness of strategies for learner involvement in post-16 learning [three years: 2011-2014]. *This item will help inform the review and further development of DCELLS' Learner Involvement Strategy guidance for post-16 learning providers and disseminate 'best practice' case studies across the post-16 network.*

Monitoring

13. Effective use of data in self evaluation [one year: 2011-2012]. *This item will help inform further development of the Ffynnon product, update guidance on self-evaluation and share best practice.*

Collaboration

14. Estyn is also asked to work with lead policy officials to agree the parameters for an item looking at outcomes from local authority collaboration by March 2011 [one year: 2011-2012]. *This work will help inform the work of the Frontline Resources Review Working Group 1 on Local Authorities and Schools.*

15. The Implementation of the Careers and the World of Work framework should be inspected on a thematic basis by Estyn, paying particular attention to the comprehensiveness and quality of schools' delivery [two years: 2011-2013]. *This item will help clarify roles and develop models of good practice that can help design a more effective service. It will also establish whether a need exists to improve the relationships between schools and employers to better equip learners for the world of work.*

Reserve Item

The support and challenge function that local authorities provide to schools as a central theme to the School Effectiveness Framework [one year]. *This item could help inform DCELLS policy on the key local authority school improvement and strategic management role in providing support to schools and their governing bodies to improve educational outcomes.*

Ongoing areas on which DCELLS may require advice and support

Estyn also provides ad hoc advice and ongoing support for decision making in a range of areas. In 2011-2012, it is anticipated that advice will be required in the following areas:

- school closure and re-organisation proposals;
- placements for children and young people with special education needs (s.347s);
- SEN Consents;
- annual monitoring of section 163 special schools;
- registration of section 163 special schools;
- Better Schools Fund applications;
- development of qualifications and inspection arrangements for any proposed new initial teacher training and continuing professional development requirements for teachers, tutors and trainers in the Lifelong Learning Sector;
- schools causing concern;
- follow-up work on any local authorities found to be failing;
- Children and Young People's Plans;
- School Effectiveness Framework – as part of 'Tri-level reform';
- Quality Effectiveness Framework – as part of 'Tri-level reform';
- initial teacher education and training standards – through a tri-partite arrangement with DCELLS and HEFCW;
- honours nominations; and
- ad hoc issues as they arise, including Assembly Questions, appointments to committees of AGSBs, and background information for Ministerial visits to schools.

Appendix 3: Working groups

Contributions to working groups

Estyn is also asked to provide advice and support to the working groups through representation and through contributions to papers where appropriate.

- Foundation Phase Working and Advisory Groups
- Inclusion Policy and Performance Framework (support to four separate groups)
- National Review of Behaviour and Attendance Action Plan
- Immersion & Intensive Language Teaching Steering Group
- Linguistic Continuity Project
- Education for Sustainable Development and Global Citizenship Panel
- School Effectiveness Framework Programme Board and External Stakeholder Group
- Learning Pathways 14-19 Working Group (three groups)
- National Grid for Learning (NGFL) Cymru Working Group
- Safer Recruitment in Schools Steering Group
- Professional Headship Programme/Leadership Implementation Group
- Resource Commissioning Branch Subject Panels
- Welsh Language Sabbaticals Scheme
- Training Advisory Panel (Welsh language)
- Welsh Financial Education Unit (WFEU) Advisory Group
- Developing Thinking and Assessment for Learning Advisory Group
- Basic Skills Strategy Steering Group
- Offender Learning Advisory Group
- Youth Justice Board Learning and Skills Reference Group
- Youth Justice Committee for Wales
- Key Skills Support Programme Cymru Steering Group
- FE Data Steering Groups
- WBL Data Steering Groups
- Bilingual Champions Project
- Wales Employment and Skills Stakeholder Forum
- Wales Participation Consortium for Children & Young People 0-25
- Quality and Effectiveness Framework Sector Reference Group
- Use of Data: Benchmarking Project Board

Appendix 4: Estyn's key performance measures

Strategic objective 1: Providing public accountability to service users on the quality of education and training provision in Wales

Critical Success Factor⁸1: Ensure public confidence in the reliability and independence of our judgements

Performance objective	KPI ⁹ / PI ¹⁰	ID Ref	Performance measure	Monitored by	Measured	Target 2010-11	Progress to third quarter	Target 2011-12
To ensure that inspections and their reports meet the quality requirements set out in Estyn's published frameworks for inspection and guidance	KPI	1	Percentage of Estyn-led inspection reports that are not amended after publication as a result of substantiated challenge	Executive Board ¹¹	Quarterly	100%	100%	100%
	KPI	2	Percentage of contracted-out inspection reports reviewed that meet the quality standards set out in Estyn's guidance	Executive Board	Quarterly	90%	100%	95%
	PI	3	Percentage of monitored contracted-out inspections meeting the quality standards set out in Estyn's guidance	ELG ¹²	Quarterly	90%	94%	95%
To ensure that inspections are experienced by providers as a positive process that promotes improvement	PI	7	Percentage of providers whose questionnaire responses fall into the disagree or strongly disagree category across the range of questions posed	Executive Board	Quarterly	< 10%	New PI for 2011-2012	< 8%
	PI	8	Percentage of providers who indicate their dissatisfaction with the reliability and independence of Estyn's judgements in the post-inspection questionnaire	ELG	Quarterly	< 5%	New PI for 2011-2012	< 4%
To ensure that inspection reports are published in a timely manner	KPI	9	Percentage of reports published within statutory or agreed deadlines	Executive Board	Quarterly	100%	100%	100%

⁸ Critical Success Factors – the things we must get right in order to achieve our Strategic Objective

⁹ KPI: a high-level measurement of how well Estyn is doing in achieving critical success factors and strategic objectives

¹⁰ PI: a lower-level measurement of how well Estyn is doing in achieving critical success factors and strategic objectives

¹¹ The Executive Board includes the Chief Inspector, her Strategic Directors and the Assistant Director for Corporate Services.

¹² The Estyn Leadership Group (ELG) includes Estyn's Strategic Directors and Assistant Directors.

Strategic objective 2: Informing the development of national policy by the Welsh Assembly Government Ministers and officials

Critical Success Factor 2: Ensure that Ministers, their officials and other policymakers have confidence in the reliability and independence of our judgements and advice

Performance objective	KPI /PI	ID Ref	Performance measure	Monitored by	Measured	Target 2010-11	Progress to third quarter	Target 2011-12
To ensure that Welsh Ministers have regular, independent feedback on the standards and quality of education and training provision in Wales in an annual report	KPI	12	HMCI's Annual Report to be produced in-year on schedule	Executive Board	Annually	Publication of 2009-10 AR by 31 January 2011	Published on 25 January 2011	Publication of 2010-11 AR by 31 January 2012
To ensure that the independent advice requested by the Welsh Assembly Government remit informs the development of education and training policy in Wales	PI	13	Percentage of advice work that meets the timescales as agreed between the relevant Estyn Reporting Inspector and the Assembly representative, as notified to the Publications team in completed progress schedules	ELG	Quarterly	98%	100%	100%

Strategic objective 3: Promoting the spread of best practice in the delivery of education and training in Wales

Critical Success Factor 3: Ensure that we are perceived by education and training providers as a highly authoritative source of contemporary best practice

Performance objective	KPI /PI	ID Ref	Performance measure	Monitored by	Measured	Target 2010-11	Progress to third quarter	Target 2011-12
To ensure that Estyn-hosted best practice conferences meet the expectations of delegates	PI	17	Percentage of delegates indicating satisfaction in evaluations of Estyn training events and best practice conferences	ELG	Six-monthly	85%	New PI for 2011-2012	90%

Strategic objective 4: Developing Estyn as a 'best value' organisation and employer of choice

Critical Success Factor 4: Ensure that we have staff who express high levels of positive engagement in the work of the organisation

Performance objective	KPI /PI	ID Ref	Performance measure	Monitored by	Measured	Target 2010-11	Progress to third quarter	Target 2011-12
To ensure Estyn staff exhibit high levels of engagement in staff surveys	KPI	21	Estyn's staff engagement index percentage in the Civil Service People Survey, benchmarked against other civil service departments	Executive Board	Annually	62%	New KPI for 2011-2012	65%
To ensure staff absence levels are at an acceptable level	KPI	23	Total annual sickness absence rate	Executive Board	Monthly	< 4%	New PI for 2011-2012	< 4%

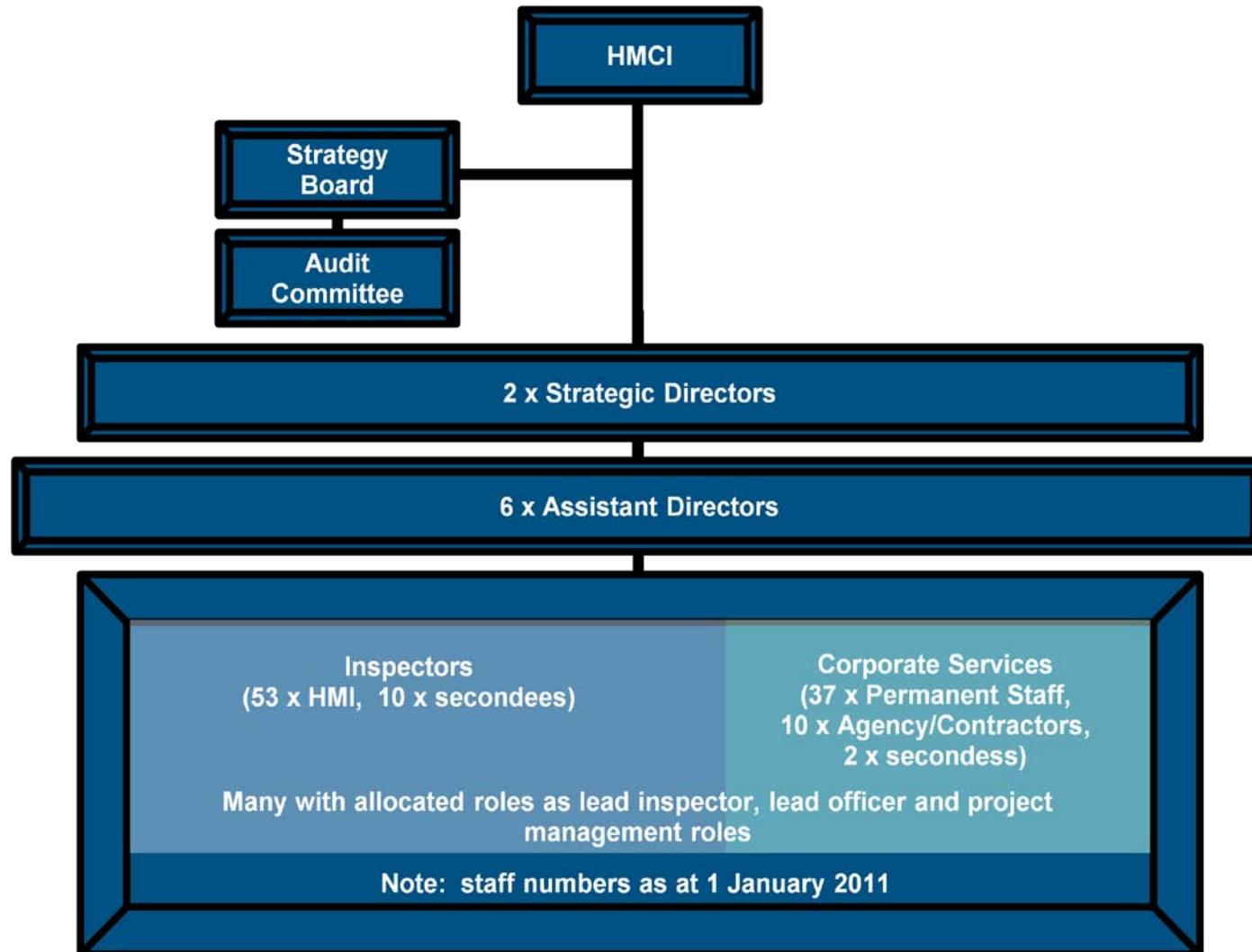
Critical Success Factor 5: Ensure that we are seen as an attractive, highly respected employer

Performance objective	KPI /PI	ID Ref	Performance measure	Monitored by	Measured	Target 2010-11	Progress to third quarter	Target 2011-12
To ensure that Estyn exhibits best practice in investing in people	KPI	25	liP accreditation awarded to the desired level or higher	Executive Board	Triennially	To regain three year accreditation by 31/03/2011	Currently awaiting assessment	N/A
	KPI	30	Achievement of Corporate Health Standard accreditation, at the planned level	Executive Board	Annually	Bronze level by 31/03/2011	Currently awaiting assessment	Silver level by 31/03/2012
To ensure that Estyn has a positive approach to sustainability issues, through an achievement of Green Dragon accreditation to a planned level	PI	31	Achievement of Green Dragon accreditation at the planned level	ELG	Annually	Maintain level 3 by 31/03/2011	Level 3 maintained	Maintain level 3 by 31/03/2012
To ensure that Estyn has sufficient Welsh-speaking staff to deliver a fully bilingual service	PI	32	Percentage of inspectors able to inspect and report in school settings in Welsh	ELG	Six-monthly	30%	32%	35%
	PI	33	Percentage front-line support staff in Corporate Services who can speak Welsh	ELG	Quarterly	30%	New PI for 2011-2012	30%

Critical Success Factor 6: Implement sound governance processes

Performance objective	KPI /PI	ID Ref	Performance measure	Monitored by	Measured	Target 2010-11	Progress to third quarter	Target 2011-12
To ensure that we produce: <ul style="list-style-type: none"> an Annual Plan that meets the requirements of the Learning and Skills Act 2000; and an Annual Report and Accounts. 	KPI	34	Annual Plan to be produced on schedule	Executive Board	Annually	Forward to Assembly by 31/03/2011	On schedule	Forward to Assembly by 31/03/2012
	KPI	35	Annual Report and Accounts produced within statutory timescales	Executive Board	Annually	Publish by 31/08/2010	Published in August 2010	Publish by 31/08/2011
To ensure that Estyn activities reflect national and public sector policies and guidance	KPI	41	Estyn's annual resource accounts are not qualified by external audit	Executive Board	Annually	Unqualified accounts for 2009-2010	Information available from April 2011	Unqualified accounts for 2010-2011
To ensure that Estyn processes invoices in a timely manner	KPI	45	Percentage of undisputed invoices paid within 30 days	Executive Board	Monthly	100%	100%	100%

Appendix 5: Estyn's organisation chart



Appendix 6: Estyn Strategy Board members

During 2011-2012, the following persons will be non-executive directors in Estyn for the full year unless indicated otherwise.

Non-executive directors	
Mrs Julie James	Former Director of Personnel, Monarch Airlines
Dr Haydn Edwards	Former Principal and Chief Executive of Coleg Menai
Mr Andrew Bellamy	Former Chief Executive of Glan Y Mor NHS Trust / Executive Director Swansea NHS Trust

Senior officers	
Mrs Ann Keane	Her Majesty's Chief Inspector of Education and Training in Wales and Accounting Officer
Mr Simon Brown	Strategic Director
Mr Meilyr Rowlands	Strategic Director

Estyn maintains a register of interest for Board members and a register of interest for all permanent employees, secondees and temporary staff. No member of Estyn's Strategy Board holds a directorship or has other significant interests which may conflict with their Board responsibilities.