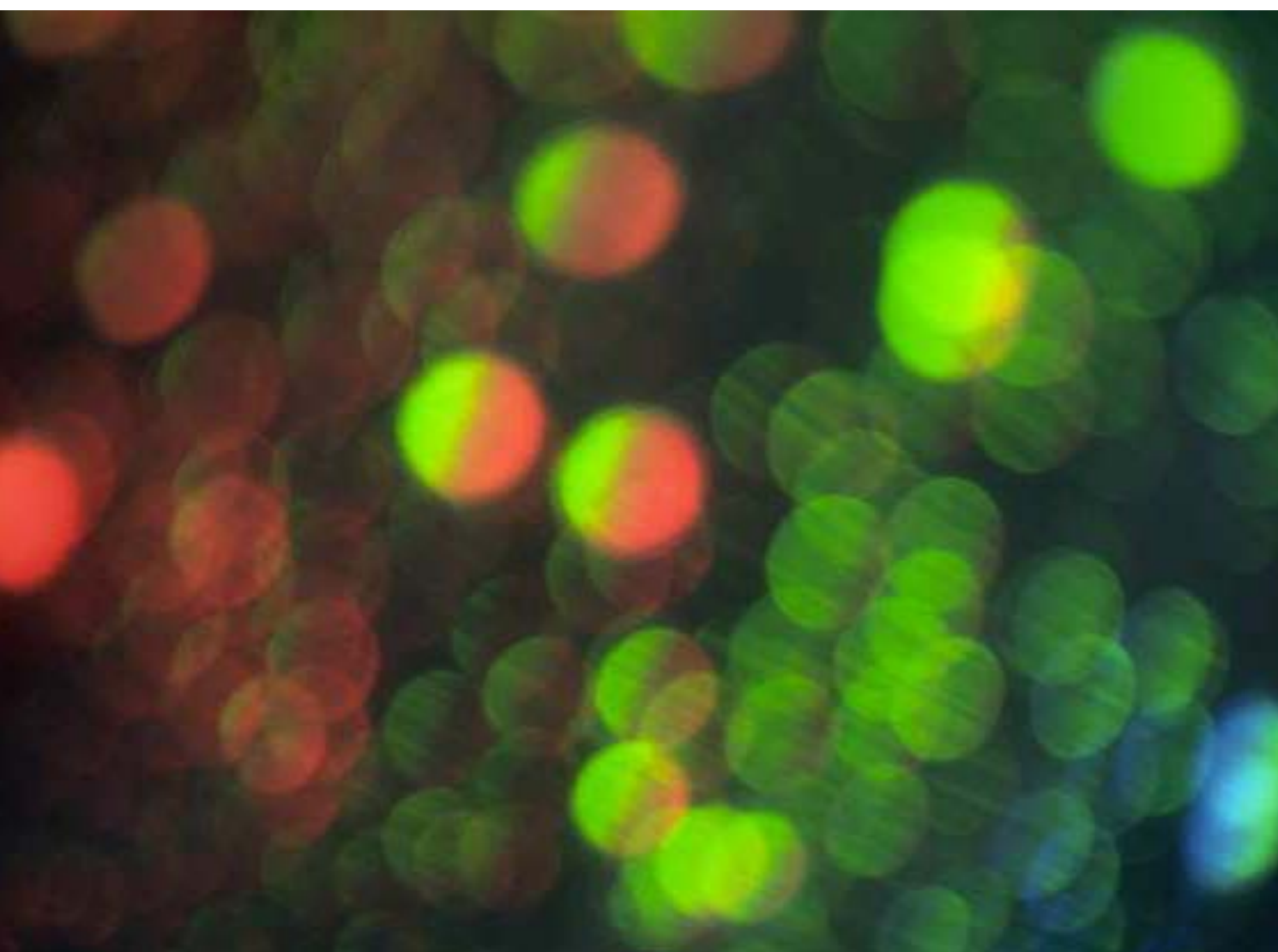




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# Guidance on the Federation process of maintained schools



## Guidance

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# Guidance on the Federation process of maintained schools

<b>Audience</b>	This guidance is aimed at schools, governing bodies of maintained schools and nurseries in Wales, local authorities, diocesan authorities and school staff unions.
<b>Overview</b>	This document contains guidance on the process schools (and local authorities) need to follow to federate school governing bodies under a single governing body. It offers step-by-step practical advice on the various stages of the federation process, including the development of proposals, consultation with stakeholders, composition of a federated governing body and action to be taken by the various stakeholders.
<b>Action required</b>	Schools and local authorities to have regard to the content of this guidance when considering federating governing bodies.
<b>Further information</b>	Enquiries about this document should be directed to: School Governance and Organisation Branch Welsh Government Cathays Park Cardiff CF10 3NQ  Tel: 029 2082 6051 e-mail: <a href="mailto:SMED2@wales.gsi.gov.uk">SMED2@wales.gsi.gov.uk</a>
<b>Additional copies</b>	This document can be accessed from the Welsh Government's website at <a href="http://www.wales.gov.uk/educationandskills">www.wales.gov.uk/educationandskills</a>
<b>Related documents</b>	The Federation of Maintained Schools and Miscellaneous Amendments (Wales) Regulations 2010 – No. 638 (W.64) Education (Wales) Measure 2011

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## Overview

This guidance provides advice and support to governing bodies of maintained schools and local authorities on the processes and practical aspects of establishing a federated school governing body.

The Welsh Government's policy objective is to promote collaboration between all parts of the education system. School federation is a more formal way of extending collaboration and promoting closer working relationships and is the principal initiative for achieving collaboration amongst schools.

Currently, school governing bodies can federate using the process set out in the Federation of Maintained Schools and Miscellaneous Amendments (Wales) Regulations 2010 (the 2010 Federation Regulations).

The Education (Wales) Measure 2011 gives local authorities the power to federate school governing bodies. Once the regulations come into force allowing this to happen, it is likely this will lead to an increase in the number of schools federating and operating under a single governing body.

The content of this guidance has been developed from the experience and information gained from a pilot project involving five local authorities and 13 schools across Wales in 2010 and 2011. The schools and local authorities were:

Blaenau Gwent	Briery Hill Primary School, Ebbw Vale and Willowston Primary School, Ebbw Vale
Carmarthenshire	Cilycwm Church in Wales Voluntary Controlled Primary School, and Ysgol Rhys Pritchard, Llandovery
Gwynedd	Ysgol Dyffryn Dulas, Corris and Ysgol Pennal Ysgol Babanod Coedmawr and Ysgol Glanadda, Bangor
Rhondda Cynon Taf	Ysgol Uwchradd Garth Olwg and Ysgol Gynradd Garth Olwg
Wrexham	Ysgol Cynddelw, Ysgol Llanarmon DC and Ysgol Pontfadog

The five pilot project groups provided a variety of contexts and a range of school types including:

- a mix of Welsh and English language schools (the schools in Gwynedd and Wrexham)
- solely English language schools (the schools in Blaenau Gwent)

- solely Welsh language schools (the schools in Rhondda Cynon Taf) which is a mix of secondary and primary schools.
- a mix of community and voluntary controlled schools (the schools in Carmarthenshire)
- schools in rural areas (the schools in Cilycwm, Carmarthenshire; and Corris and Pennal, Gwynedd)
- schools in urban areas (the schools in Bangor, Gwynedd and Ebbw Vale, Blaenau Gwent).

The Welsh Government worked with the Welsh Local Government Association (WLGA) to identify a team to lead the pilot project. The role of the team was to work with governors, headteachers and local authority officers, and to provide guidance and advice on the:

- implications and potential of school Federation
- interpretation and application of the 2010 Federation Regulations
- preparation of governing body reports and proposals to federate
- consultation process
- analysis and collation of the consultation responses
- actions necessary where the individual governing bodies, following consultation, are dissolved and are incorporated as a new federated body on the Federation date.

In addition, the team were able to share ideas and developments in relation to the Federation process across the pilot groups.

Based on experiences from the pilot projects this guidance will provide information and advice to assist governing bodies who wish to consider and pursue the Federation process supported by local authority officers. It also provides local authorities with appropriate and helpful information about their role and relationship with governors in relation to Federation.

During the time the pilots were developing other governing bodies were taking the initiative to consider the benefits of federating. The governing bodies of two schools in the West of Cardiff – Glyn Derw High School and Michaelston Community College made this decisions with the support of the local authority. The Federation of Glyn Derw High School and Michaelston Community College was formed in 2006 to serve the communities of Caerau and Ely. This was the first Federation in Cardiff.

## Introduction

This guidance provides step-by-step advice on the Federation process, and includes a set of annexes which provides more detail on what Federation means; the formulation of a proposal; consultation requirements and establishing a federated school governing body.

The step-by-step approach in the annexes includes the following:

1. Characteristics of a school governing body federation ('Federation').
2. Actions to be taken by individual school governing bodies prior to federation.
3. Consultation requirements – the Federation of Maintained Schools and Miscellaneous Amendments (Wales) Regulations 2010.
4. Preparing a report for individual school governing bodies leading to a proposal for Federation (including summary content of the report).
5. Preparation of report to the joint school governing bodies on outcome of consultation.
6. Federation: Standards, well-being and school improvement
7. Federation: Risks and Risk Management
8. Proposed composition of governing bodies of a Federation taken from the 2010 Federation regulations
9. Suggested Instruments of Government for federated maintained schools
10. Federation – Local authority role and activity
11. Federation: Frequently asked questions (FAQs)
12. Federation pilot - case studies

## **Background**

A school governing body Federation ('a Federation') is created when the governing bodies of a group of schools, between two and five, decide to work together in formal partnership under a single governing body.

A Federation partnership needs to be based on a commitment to work as a group of schools and a willingness to do things differently for the added benefit of all pupils, their well-being and achievements. The development of all the schools and their communities within the Federation and the sharing of best practice will help drive up standards and improve performance.

Schools that federate will remain in their communities and will keep their individual identity. However the existing governing bodies will be dissolved and replaced by a new, single governing body which will have oversight of, and equal responsibility for, the work of all schools within the Federation. The membership of a federated school governing body is very similar to the membership of an ordinary governing body with all stakeholders being represented. Schools will also be able to maintain their own delegated budget, name, character, school uniform and ethos, but will be able to explore the advantages of sharing resources such as facilities, IT, staff, school buildings etc.

As such, establishing and developing a Federation requires a high degree of trust between governors, schools and their communities. Schools will also need to have a willingness to see the potential and benefits of a formal partnership, whilst at the same time realising and recognising that the partnership strengthens rather than threatens the characteristics and qualities of individual schools within the Federation.

## The regulations

A Federation can currently be established under The Federation of Maintained Schools and Miscellaneous Amendments (Wales) Regulations 2010 (Welsh Statutory Instrument W.64, April 2010). These regulations permit governing bodies to federate if they wish – they cannot be forced to do so.

The Regulations deal with the following aspects of Federations:

Parts 1–38

- Establishing or joining a Federation.
- Categories of governor.
- Composition of federated governing bodies.
- Qualifications and tenure of office.

Parts 39–72

- Instrument of Government, staffing, school councils and charitable status.
- Appointment, functions and removal of officers.
- Meetings and proceedings of governing bodies.
- Committees of governing bodies.
- Restrictions on persons taking part in proceedings of the governing body or its committees.

Parts 73–88

- Information and funding.
- Federated schools leaving Federations.
- Dissolution of Federations.
- Miscellaneous amendments to regulations

The Regulations also contain 10 Schedules relating to the constitution of temporary governing bodies of new schools intending to federate; procedures for the election and appointment of governors; qualifications and disqualifications.

In summary:

- the size of the membership of the governing body of a Federation must be at least 15 and no more than 25 governors;
- the Federation must be given a name;
- if the establishment of a Federation is agreed after consultation, the individual governing bodies of each school will be dissolved and replaced by a single governing body;



- within a Federation, each school will remain in its community and retain its individuality, name and identity and delegated budget (but with opportunity to share resources);
- each school will be inspected individually. However Estyn may consider the possibility of inspecting all schools within a Federation around the same time, regardless of where they are in the inspection cycle. Using the same inspectors would introduce a consistency of judgement during the inspection.

## **What is a maintained school governing body Federation?**

The term Federation describes a formal and legal agreement by which a number of schools share governance arrangements and have a single governing body. Federations can involve a mix of maintained nursery, primary, special and secondary schools of any type or size.

There are some distinct advantages to Federation. As it becomes more firmly established more and more schools will realise that working together and sharing resources through a Federation will provide a foundation for sustainable long term development and improvement.

The decision to federate lies with the governing bodies of the schools involved, following consultation with their key partners and school community. There will be a number of different reasons why schools decide to federate and some schools may benefit more than others, but our expectation is that all schools will consider whether federating with another school will offer improvements and benefits for the pupils and staff. Under existing arrangements Federation should be encouraged and supported by local authorities and/or dioceses, but they do not have the authority to impose a Federation.

There are no blueprints for Federation and the design or operational workings of a Federation will depend entirely on the circumstances of those individual schools and the focus or purpose of their wanting to work together. It is governors through a stepped planning process who work out the detail of their Federation. This guidance is designed to help governors in that process.

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

There is a formal consultation process to follow when schools propose Federation. The governors of each school are required to consult with parents, staff, the local authority, school unions and other appropriate stakeholders. Church schools will need to involve the Diocese.

A decision to federate will not override the need for a local authority to intervene or act on school improvement or school organisation issues.

A local authority has four functions. These are:

- To be formally consulted. The local authority will either support or oppose Federation of particular schools under current arrangements, but the decision remains one for governing bodies to make. There will be no blanket, one-size fits all policy. Any decision to either support or oppose will be made according to the individual circumstance and sustainability of such an arrangement.

- To give information and advice to those schools considering and implementing Federation.
- To issue the new Instrument of Government as a new governing body is formed, and
- To monitor the effectiveness and impact of Federations through its normal school improvement procedures.

### **Key points of Federation**

The following are issues which may act as a prompt for the further exploration of federating:

- There will be a single governing body with strategic oversight of all schools within the Federation.
- Each school retains its name, category, budget, staff and remains in its community.
- Each school can retain its headteacher if it wishes although some schools, especially the smaller ones, may wish to share a headteacher.
- Each school has its own Estyn inspection, though increasingly these are co-ordinated to happen at the same time for all schools within the Federation to minimise stress and disruption.
- The federated governing body can use budget, resources and staff across the Federation to best improve the educational outcomes for all pupils. An audit trail must be kept.
- The federated governing body cannot require existing staff to work across all schools within the Federation, but they can negotiate with the school staff unions over whether flexible contracts can be introduced. New staff can be appointed to work across schools in the Federation.
- Models for the constitution of the federated governing body are set out within the 2010 Federation Regulations and cover all combinations of school, ensuring a minimum representation from every school within the Federation.
- Statutory consultation on Federation proposals must take place and the Diocesan authority is a statutory consultee for all faith schools

### **Benefits of Federation**

- Consistency of teaching and learning methodology especially cross-phase.
- Reduced transitional dips in pupil performance.
- Streamlining of policies and structure.
- Sharing of best practice, preparation materials and resources.
- Enhanced opportunities for pupil activities – widens curriculum choice and options for students as schools come together to provide access to each

other's courses and facilities, leading to improvements to the quality of learning for staff and pupils.

- Enhanced opportunities for staff professional development.
- Increased opportunity for middle management development.
- Easier recruitment of staff, headteachers and governors particularly if there have been difficulties.
- Opportunities for school leadership beyond a single school.
- Opportunities for the creation of new roles that can be shared across schools ie bursar, ICT Technician, drama teacher, peripatetic teachers.
- Improved social opportunities for pupils.
- Opportunities to maximise resources and professional expertise particularly where there are financial difficulties or low pupil numbers, and achieve financial efficiencies from economies of scale.
- Builds knowledge – some schools are too small to be self-sufficient as effective learning institutions for the staff who teach in them.
- Adds capacity and supports efficiency by providing an economy of scale for undertaking key activities.
- Promotes the broader welfare of students by offering potential for bringing together pastoral, health, careers, youth and other services to meet their all-round needs.
- Support for schools in difficulty.
- Schools with strengths can contribute to the learning of others.
- Supports school improvement by enabling schools to draw on the resources of other schools to tackle problems, share expertise, raise expectations and address the needs of particular groups of pupils.
- Better work-life balance where the headteacher has a very high level of teaching commitment.

Small schools in particular can additionally benefit by:

- Developing networks for personal support.
- Sharing expertise and resources.
- Organising professional development.
- Arranging joint pupil activities.

### **Keys to success**

- Building of trust between governors and school communities.
- Commitment from all schools involved.
- Shared vision.

- Clear leadership structures.
- Sufficient time for all parties to be at ease with the proposed changes.
- All to feel like equal partners.
- Sense of ownership of process by the schools.
- Good communication.

### **Disadvantages of Federation**

- Increased workload for governors during inception and first year.
- Potential loss of experienced governors.
- Initial mistrust amongst governors – time needed for federation to bed down.
- Single headteacher not sharing time fairly amongst schools.

# Step-by-step guide to establishing a Federation

## Step 1: Exploration

- Expressions of interest from schools leads to a general agreement to explore Federation options.
- Agree drivers and purpose for Federation.
- Schools seek information and guidance from the local authority and hold early discussions.
- Inform staff of process and any implications. Keep unions informed.
- Set up a governor working group with representatives from all schools to lead the process as waiting for regular governing body meetings will make the process longer.
- Determine a date for the operative start of federation
- Consider talking to or visiting other schools that have federated.

## Step 2: Preparation

- Governors agree to prepare a report to consult with stakeholders (for consistency, the same report should be used for each school, with sections covering school specific issues).
- Governors decide on governance structure – membership and constitution of the federated governing body.
- Agree a name for the Federation.
- Explore staffing structure and longer term development of Federation structure.
- Investigate any financial and HR issues with the local authority.
- Helpful at this stage to also consider a timetable for election and appointment of governors of single governing body to facilitate progress later.

## Step 3: The report and consultation

- Seek help from the LA to prepare the report for consultation which must be at least 6 weeks - Though not explicit in Regulations, it is good practice to exclude holidays from the 6 weeks but this could extend the consultation time.
- Draft reports to be considered by governing bodies at their next meeting.
- The draft report must be an agenda item at a meeting for which at least five clear days notice has been given – extraordinary meeting could be arranged for discussion on this issue alone. Each governing body must decide if it wishes to proceed.
- The Report should:

- include full details of proposal including the size/composition of single governing body, staff arrangements and structure, admissions, authority(ies) deadline for comments – at least 6 weeks
- explain reasons for Federation and benefits (and how potential challenges would be met)
- include the date for when Federation takes place – must be at least 125 days from the date proposals are published, i.e. sent to stakeholders.
- Consultation with stakeholders – LA, parents, staff of all schools, school staff unions; diocese or other relevant body if religious character, foundation governors or trustees where relevant – wider the circulation the better (for example local schools not in the federation) so that the community is involved in the exercise.

#### **Step 4: Defining**

##### **In consultation with the local authority:**

- start to consider and define leadership roles across the Federation.
- start to prepare job descriptions and contracts for any new posts and roles.
- include proposed staffing structure in the consultation report.

#### **Step 5: Post-consultation**

- Joint meeting of governing bodies to consider responses - Plan the meeting at the start of the consultation process so that it can take place with full attendance as soon as possible thereafter.
- Provide summary report of responses for each governing body to consider.

#### **Step 6: Implementation**

- Individual governing bodies meet to make the final decision on whether they wish to proceed – an option may be for the individual governing bodies to meet at the same time in separate rooms of a neutral venue then come together if all agree to proceed.
- Governors inform stakeholders of decision.
- Governors liaise with LA and diocese (if appropriate) over new Instrument of government and election and appointment of new governors.
- Consider making arrangements for governor support for the federating schools in the interim before the joint governing body is in place.
- Senior leadership roles and responsibilities formalised.

- Governor working group is established and provides strategic planning and roll out of the Federation.
- Agreement with governor support in LA to provide continuity across the federated schools.

### **Step 7: Evolution**

- Single governing body meets to elect chair and vice chair.
- New staff roles operating (Performance Management structure and process).
- School Improvement Plan targets resources and expertise at raising standards across the Federation.
- Calendars and professional processes aligned.
- Look at how new technologies can support Federation development.

### **Step 8: Embedding**

- Resources and staffing used flexibly to raise standards in Federation schools.
- Headteachers build overview of Federation effectiveness through monitoring systems. A single headteacher may be responsible for this.
- Governors review Federation to have systems and structures in place to ensure a good knowledge of individual schools.
- Governors agree committee structures and meeting calendar.

### **Step 9: Strategic Development**

- Key LA officers are able to offer well informed support. There are clear advantages if there is one officer who is the main link.
- Overview of Federation arrangements and impact on standards and school improvement capacity.
- Wider opportunities for the professional development for all staff are implemented.
- Model practices, processes, policies and documentation in place.



## **The role of school governors in the Federation process**

Under the 2010 Federation Regulations the initiative to undertake the process of establishing a Federation is taken by the individual governing bodies of the schools interested in working together as part of a Federation partnership. The decision whether or not to federate is made by the governing bodies, jointly, following consultation with parents; staff; the local authority (or local authorities if schools from different local authorities are involved); all school staff unions; all foundation governors (if applicable) and anyone else in the school community.

As such, governors are central to establishing a Federation. In discussing and making decisions as to whether they pursue Federation it is crucial that governing bodies:

- consider in depth the benefits and risks of establishing a Federation in relation to the impact on children and young people's achievements and the quality of education in/across the schools involved in the discussions;
- seek and consider information about each school involved in the discussions, particularly in relation to school performance, funding, facilities and buildings, so that decisions are taken openly and on the basis of sound evidence;
- ensure that local authorities are kept informed of and involved in developments;
- ensure the consultation and decision making process complies with the 2010 Federation Regulations.

## **The role of the local authority in the Federation process**

A local authority has statutory responsibility for the planning of school provision. In undertaking this responsibility it is important that the local authority has a full knowledge and awareness of any developments in relation to federation within its area.

In particular, a local authority should:

- consider Federation as an option within their strategic plans for effective and efficient school provision in/across communities;
- ensure that school organisation plans are sufficiently detailed and transparent to inform decisions about Federation within and across school governing bodies;
- maintain officer contact, preferably one, with governing bodies who are considering and pursuing the Federation process;
- assist in the provision of information requested by governing bodies to support the Federation process;
- include federated school governing bodies in governor support arrangements and governor training programmes.

The Education (Wales) Measure 2011 also gives local authorities the power to make proposals for Federation. However, local authorities will not be able to establish Federations until the Welsh Government has made regulations. The regulations are expected to come into force in the 2012-13 academic year. When the regulations are made local authorities will be able to propose a Federation of:

- two or more maintained schools
- an existing Federation and one or more maintained schools
- two or more existing Federations.

Local authorities would be expected to consult on proposals in the same way as governing bodies.

However the Measure also allows Welsh Ministers to make a Small Schools Order (SSO) setting out the number of registered pupils at a given date which would constitute a small school. Any school falling into this criteria can be federated, but the local authority would only be required to carry out a limited consultation with the governing body of the school involved.

## **Powers of Welsh Ministers to direct Federation**

The Education (Wales) Measure 2011 provides for Welsh Ministers to direct the Federation of schools causing concern, where the Welsh Ministers are satisfied:

- (i) the standards of performance of pupils at the school are unacceptably low and are likely to remain so unless they exercise their powers under this section; or
- (ii) there has been a serious breakdown in the way the school is managed or governed which is prejudicing, or likely to prejudice, such standards of performance; or
- (iii) the safety of pupils or staff of the school is threatened (whether by a breakdown of discipline or otherwise); or
- (iv) the governing body has failed to comply with a provision of an order under section 122 of the Education Act 2002 (teachers' pay and conditions) that applies to a teacher at the school; or
- (v) the governing body has failed to secure that the headteacher of the school complies with such a provision.
- (vi) Estyn has judged it to be in need of significant improvements; or
- (vii) Estyn has judged it to be in need of special measures.

In each of the circumstances listed above a local authority may have issued or be considering issuing a Warning Notice to the governing body.

Further guidance on the Federation provisions contained in the Education Measure will be issued when the revised Federation regulations are made.

### **Enquiries about this Guidance or Federation Matters**

Any questions or enquiries about this guidance, or about any aspect of the Federation process should be sent to [SMED2@wales.gsi.gov.uk](mailto:SMED2@wales.gsi.gov.uk) or telephone 02920 826051.

## Annex 1: Characteristics of a school governing body Federation ('Federation')

Characteristics of a Federation	
Statutory	Federations of maintained school governing bodies are established using The Federation of Maintained Schools and Miscellaneous Amendments (Wales) Regulations 2010 (2010 Federation Regulations). Governing bodies decide whether or not to federate.
Single Governing body	Shared by all schools in the Federation.
Federated School	School that shares a governing body with other schools in the Federation but remains open in its community; maintains its own character, name, ethos, budget and school uniform.
Common goals and plans	All schools share common goals. Having a single governing body allows for sharing best practice and efficient, streamlined decision making in all areas.
Common budget	No, but whilst each school receives and must account for its own separate budget, there is scope, through the single governing body, to use pooled budgets across the schools in the Federation.
Shared staff and facilities	Common management positions and appointments agreed by single governing body in a simple and effective manner. Schools can agree to have a single headteacher responsible for the schools in the Federation. Schools share other resources such as IT, buildings, sports facilities.
School inspection	Regulations relating to the intervals for school inspections Estyn ensures that every maintained school is inspected within six years from when the school was last inspected. This applies to schools in a Federation. Even though they are legally federated, these schools remain separate legal entities. Estyn will inspect each school separately and produce a separate report on each school. Estyn cannot move a school inspection to later than six years but would consider requests to inspect a school early. Estyn will also try to ensure that the inspection teams for the schools in a Federation have overlapping membership.

## **Annex 2: Actions to be taken by individual school governing bodies prior to Federation**

A governing body has three main roles:

- The Strategic Role - working with the headteacher to set the aims and objectives for the school; agree policies, targets and priorities for achieving the objectives and continually monitor and evaluate the aims and objectives and whether the policies and targets are met.
- The “Critical” Friend - who will provide support and constructive advice to the headteacher and act as a forum for discussing ideas and initiatives. Governors also request information, seek clarification and ask challenging questions in order to arrive at the best decisions for all concerned.
- The Accountable Role - the governing body must be prepared to explain its decisions and actions to anyone who has a legitimate interest. This may include staff, pupils, parents and the press as well as the local authority and the Welsh Government.

In preparation for Federation an individual governing body should consider whether the following are in place:

- school aims and policies, in relation to the curriculum; pupil admissions; pupil discipline; Additional Learning Needs (ALN) and pastoral care including welfare and behaviour, have been set;
- the curriculum is being delivered and pupils are striving to achieve success at the school;
- decisions on the school’s budget have been made;
- sufficient staff has been appointed and Human Resources (HR) policies are complied with;
- good relations between the school and the community are being actively promoted;
- parents are being kept fully informed;
- an Annual Report is produced by the governors that summarises the steps taken to discharge their duties.

This information should then be included in the report that is prepared for consultation with stakeholders.

### **Annex 3: Consultation requirements – The Federation of Maintained Schools and Miscellaneous Amendments (Wales) Regulations 2010**

If the governing bodies of between 2–5 schools decide to pursue the process of establishing a Federation, the governing bodies will need to prepare a formal proposal together.

Within the 2010 Federation Regulations the formal proposal must provide the following information:

- (a) the name or names of the governing body or bodies with which the governing body propose to federate and confirmation that the governing body, or those governing bodies, have resolved likewise to federate;
- (b) the proposed size of the governing body of the Federation;
- (c) the proposed number of governors for each category of governor (the categories and prescribed range of numbers are set within the 2010 Federation Regulations);
- (d) the proposed arrangements for staffing the schools within the Federation;
- (e) the proposed Federation date (the date must not be less than 125 days following publication of the formal proposal);
- (f) the identity of the admission authority for the schools within the Federation;
- (g) the date, not less than six weeks after the publication of the proposal, by which written representations may be made to the governing body regarding the proposals and the address to which they should be sent;
- (h) such other matters as the governing bodies may consider appropriate.

The governing body must publish the proposals by sending them to:

- (a) the local authority;
- (b) the head teacher of each school;
- (c) all staff paid to work at any of the schools;
- (d) every person known to the governing body to be a parent of a registered pupil at any of the schools;

- (e) every trade union known to them to have members paid to work at any of the schools;
- (f) such other persons as the governing bodies consider appropriate;
- (g) every foundation governor and trustee in schools with a foundation;
- (h) the relevant diocesan authority for schools having a religious character .

## Annex 4: Preparing a report for individual school governing bodies leading to a proposal for Federation

Headings	Suggested detail
Proposal	Stating the requirement to federate under the 2010 Federation Regulations and the proposed name of the Federation, if agreed
Background	A brief history of the situation in the schools concerned.  Any detail of the drivers for change
What does it mean for your school	Enhancing what is already in place  Pupil Improvement – improvement in school performance  All the benefits  Any concerns and how they will be addressed
The Federation process	Detail of the process as set out in the Regulations
Consultation process	Who will be consulted and the timetable of Federation to include the timescale for responses to the consultation. Any arrangements for meetings especially for staff, trade unions and parents.
Composition of governing body	Define composition of the new governing body as identified in the Regulations



<p>Conditions for a successful Federation of schools</p>	<ul style="list-style-type: none"> <li>• Shared identity (ie geography or faith based schools).</li> <li>• Common purpose (ie shared ethos; joint vision of what needs to be done to improve attainment).</li> <li>• Cohesive leadership.</li> <li>• Developing and improving a strong management culture.</li> <li>• Creating a climate of trust, openness and willingness to work together.</li> <li>• Commitment of time and resources to sustain and develop the Federation.</li> </ul>
<p>Benefits and advantages of the opportunities presented by Federation</p>	<p>Building on successes the Federation will:</p> <ul style="list-style-type: none"> <li>• Develop a strong and consistent focus on raising standards and improving school performance.</li> <li>• Ensure adequate governor support and development.</li> <li>• Create opportunities to extend the curriculum and extra- curricula activities.</li> <li>• Share and develop knowledge and skills.</li> <li>• Have a culture of networked learning.</li> <li>• Distributed leadership.</li> <li>• Share accommodation, facilities and equipment.</li> <li>• Avoid duplication.</li> </ul>

	<ul style="list-style-type: none"> <li>• Achieve economies of scale.</li> <li>• Build capacity.</li> <li>• Have single policies.</li> </ul>
Leadership and Staffing	<ul style="list-style-type: none"> <li>• Scope for improving Leadership and Management structures.</li> <li>• Review all aspects of staffing including teaching and ancillary staff.</li> </ul>
Admissions	Current policies.

## Content of Consultation Report – Summary

1. Brief outline of the school and the governing body.
2. School aims and policies:
  - Confirmation that the school has a statement of aims and policies in relation to the curriculum; pupil admissions; pupil discipline; ALN and pastoral care including welfare and behaviour
  - Any significant gaps and areas for policy development.
3. Confirmation that the requirements of the national curriculum (NC) are being met and significant comments in relation to pupil attainment and achievement based, for example, on teacher assessments and recent inspection reports.
4. Key matters in relation to the school budget including, for example, current financial situation/statement and pupil number projections.
5. Compliance with HR policies and any staffing issues as relevant and appropriate to this report.
6. Any significant items in relation to the condition of the building and premises that may need to be addressed in the future.
7. Brief description on the nature and quality of relations between the school and the community.
8. Confirmation that the governing body has discharged its duties in relation to the production of an Annual Report.
9. Any other items and information that the school's governing body considers important to record prior to dissolution and the federation date.

If a school is joining an existing Federation, a brief statement confirming that all minutes and papers of the school's governing body will be made available to the federated school governing body.

Signed:.....(Chair of Governors)

Signed: .....(Headteacher)

Date:.....

## **Annex 5: Preparation of report to the joint school governing bodies on outcome of consultation**

It is recommended that this report should include the names of the schools and cover the following items:

### **Introduction**

- Date of the publication of the proposal, the date for the receipt of the responses and the length of the consultation period.
- The date of the meeting to consider and analyse responses to the proposal.
- Record of those present at the meeting to consider/analyse the responses.

### **Analysis of consultation responses**

A working group can be set up to consider the responses to the proposal and prepare a summary for the respective governing bodies. This can be the same group which has prepared the initial report on the proposal to federate.

### **Number of responses received**

<b>Persons/organisation</b>	<b>Number of responses</b>
Local authority	
School staff	
Parents	
Trade unions	
Other persons/organisations	
<b>Total</b>	

### **Summary of comments received**

It is recommended that this section should summarise:

- significant comments in support of the proposal
- issues of concern and comments against the proposal
- the balance of views expressed overall.

Where no responses have been received this should be stated. However, a comment indicating the reason why there have been no responses should also be included, if this is known.

If a working group has been set up to consider and analyse consultation responses it must report back to a joint meeting of the governing bodies involved, as the Federation of Maintained Schools and Miscellaneous Amendments (Wales) Regulations 2010 requires that the governing bodies of the schools proposing to federate meet **jointly** to consider the responses. If no responses are received in relation to the proposal, a joint meeting must take place to determine whether or not the schools wish to continue with Federation.

## **Decision**

At the joint governing body meeting, as well as considering any responses to the consultation the governing body must also determine whether:

- a. to proceed with proposals for Federation as published
- b. to proceed with the proposals for Federation with such modifications as the governing body consider appropriate
- c. not to proceed with the proposals for Federation.

All the governing bodies that have determined to proceed with the Federation must **jointly** inform the local authority of their decision.

The report should be signed and dated and the decision, and all joint and individual governing body discussions, must be recorded in the minutes.

## Annex 6: Federations – standards, well-being and school improvement

In considering Federation, governing bodies should give first priority as to **how** federating their schools can support children and young people’s progress and development and improve their standards of achievement.

Key aspects	Key benefits
<p>Children and young people’s progress and development. Raising their standards of achievement</p>	<p>Effective Federations can:</p> <ul style="list-style-type: none"> <li>• drive school improvement:</li> <li>• provide children and young people with a wider range of educational options and experiences:</li> <li>• benefit pupils by bringing them together to be taught within a narrow age band;</li> <li>• organise a wider range of out-of-school activities for their pupils;</li> <li>• broaden children and young people’s social experiences;</li> <li>• offer children and young people access to a wider range of materials, equipment and facilities;</li> <li>• develop common policies and schemes of work and promote consistency and continuity in teaching, learning and assessment across the federated schools;</li> <li>• avoid duplication of effort;</li> <li>• utilise staff expertise across all schools within the Federation;</li> <li>• provide opportunities for staff professional development; and</li> <li>• create a clearer focus on strategic leadership and management.</li> </ul>

## Annex 7: Federations – risk and risk management

Risk - Establishing the Federation	Control Measures to Mitigate Risk
<p>Not all consultees are aware of the consultation</p> <p>Communication not strong enough during period of change leading to uncertainty</p> <p>Staff and families at the schools do not buy into the new arrangements and improvement is not effected fast enough</p> <p>Lack of trust between schools because of a concern that a school would be a “loser” in the arrangement</p>	<ul style="list-style-type: none"> <li>• Consultees - all parents, staff, school staff unions foundation governors and trustees (where applicable), the local authority, diocesan authority and others in the school community will be sent letters and a copy of the proposal to federate, and be invited to attend meetings where they will be able to raise any questions or concerns.</li> <li>• Governing body establishes a Federation Strategic Team/ Working Group to ensure that all staff are aware of how the Federation would affect them and keep parents, staff and pupils aware of benefits and opportunities.</li> <li>• Extensive consultation with stakeholders and whole school community giving explanation and examples of the benefits that can be achieved so that all feel ownership and understand the positive outcomes.</li> <li>• Open discussion about the benefits that may have already been established through any informal collaboration. Clear explanation and examples about future benefits e.g. improved opportunities for staff leading to improved retention and recruitment; benefits of collaborative working for staff and children.</li> <li>• the membership of a federated governing body may have equal representation from schools to ensure the needs of schools are fairly met. Transparency of decision making at governing body meetings and careful recording of decisions on use of resources including budgets and staff.</li> <li>• Senior staff working closely with parents and families. A single headteacher should distribute their time fairly between the schools in the Federation.</li> </ul>

Risk – after the Federation is Established	Control Measures to Mitigate Risk
<p>Senior management team is spread too thinly across both schools</p> <p>Lack of a sense of shared identity between the schools</p> <p>Resource sharing not properly managed or budget insufficient</p>	<ul style="list-style-type: none"> <li>• Federation Strategic Team/ Working Group give clearly defined roles for senior staff.</li> <li>• Create a structure for senior staff working across the federation to ensure capacity to respond to all eventualities.</li> <li>• Clear systems and expectations need to be in place from the outset to allay concerns.</li> <li>• Clear planning in place to ensure that the best use is made of staff time where staff are moving regularly between schools.</li> </ul> <ul style="list-style-type: none"> <li>• The proposed structure would provide strong leadership with clearly defined objectives and roles for schools and senior staff at all schools in the Federation.</li> <li>• Plans for school staff and pupils to work closely together and pupils to visit.</li> <li>• Parents and families involved in events at all schools.</li> </ul> <ul style="list-style-type: none"> <li>• The envisaged structure for financial responsibility should be fully documented at the outset of the Federation.</li> <li>• Need to create a strategic financial planning tool to include overview of finance systems &amp; procedures.</li> <li>• Clear audit trail kept for all budgetary planning and decisions.</li> <li>• Strategic decision making across school budgets would provide greater flexibility to respond to changing circumstances.</li> <li>• Staffing costs could be shared across budgets.</li> <li>• Governing body to review budgets at regular intervals.</li> </ul>



<p>The time of the governing body is stretched through overseeing more than one school</p>	<ul style="list-style-type: none"><li>• Governing body should agree clearly defined objectives and roles from the outset to ensure organisation and focus is sound.</li><li>• Local authority to work closely with the governing body, offering appropriate support advice and training.</li><li>• Well prepared and structured agendas and meetings.</li></ul>
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## Annex 8: Proposed composition of governing bodies of a Federation taken from the 2010 Federation Regulations

*The instrument of government for a Federation must specify the size of the membership of the governing body of the Federation being no fewer than 15 and no more than 25 governors - Paragraph 21 of the 2010 Federation Regulations*

<b>Federation comprising only community, community special and maintained nursery schools</b>	<b>Federation comprising only foundation or foundation special schools</b>	<b>Federation comprising voluntary controlled schools</b>
<p>(a) for each federated school at least one parent governor elected or appointed in accordance with the regulations to represent the interests of parents of registered pupils at that school;</p> <p>(b) at least one but no more than two teacher governors;</p> <p>(c) at least one but no more than two staff governors;</p> <p>(d) at least two local authority governors;</p> <p>(e) at least two community governors</p> <p>(f) at least one representative governor - where the Federation contains at least one community special school, to take the place of an equal number of community governors required by (e), above;</p> <p>(g) the head teacher or acting head teacher of each federated school unless he or she resigns the position</p>	<p>(a) for each federated school at least one parent governor elected or appointed in accordance with the regulations to represent the interests of parents of registered pupils at that school;</p> <p>(b) at least one but no more than two teacher governors;</p> <p>(c) at least one but no more than two staff governors;</p> <p>(d) at least two local authority governors;</p> <p>(e) at least two community governors;</p> <p>(f) at least two foundation governors (or partnership governors, as appropriate in respect of any school without a foundation); and</p> <p>(g) the head teacher or the acting head teacher, unless he or she resigns the position</p>	<p>(a) for each federated school at least one parent governor to be elected or appointed in accordance with the regulations to represent the interests of parents of registered pupils at that school;</p> <p>(b) at least one but no more than two teacher governors;</p> <p>(c) at least one but no more than two staff governors;</p> <p>(d) at least two local authority governors;</p> <p>(e) at least two community governors;</p> <p>(f) at least two foundation governors; and</p> <p>(g) the head teacher or acting head teacher of each federated school, unless he or she resigns the position</p>

<p>For any primary or nursery school in a Federation which is situated in a community council area, the governing body must include an additional community governor in addition to those listed above.</p> <p>The governing body may in addition-</p> <ul style="list-style-type: none"> <li>a. appoint up to two sponsor governors; and</li> <li>b. appoint up to two associate pupil governors where the Federation contains secondary schools.</li> </ul>	<p>For any primary or nursery school in a Federation which is situated in a community council area, the governing body must include an additional community governor in addition to those listed above.</p> <p>The governing body may in addition-</p> <ul style="list-style-type: none"> <li>a. appoint up to two sponsor governors; and</li> <li>b. appoint up to two associate pupil governors where the Federation contains secondary schools.</li> </ul>	<p>For any primary or nursery school in a Federation which is situated in a community council area, the governing body must include an additional community governor in addition to those listed above.</p> <p>The governing body may in addition-</p> <ul style="list-style-type: none"> <li>a. appoint up to two sponsor governors; and</li> <li>b. appoint up to two associate pupil governors where the Federation contains secondary schools;</li> </ul>
<p><b>Federation comprising voluntary aided schools only</b></p>	<p><b>Federation comprising voluntary controlled schools and community, community special or maintained nursery schools</b></p>	<p><b>Federation comprising more than one category of school including at least one foundation or foundation special or voluntary aided school</b></p>
<ul style="list-style-type: none"> <li>a. for each federated school at least one parent governor elected or appointed in accordance with the regulations to represent the interests of parents of registered pupils at that school;</li> <li>b. at least one but no more than two teacher governors;</li> <li>c. at least one but no more than two staff</li> </ul>	<p>The governing body of a Federation containing at least one voluntary controlled school and at least one community school, community special school or maintained nursery school and no other category of school-</p> <ul style="list-style-type: none"> <li>a. for each federated school at least one parent governor elected or appointed in accordance with the regulations to represent the interests of parents of</li> </ul>	<p>The governing body of a Federation containing more than one category of school including at least one foundation, foundation special, or voluntary aided school, is to be constituted as follows:</p> <ul style="list-style-type: none"> <li>a. for each federated school at least one parent governor elected or</li> </ul>

<p>governors;</p> <p>d. at least two local authority governors;</p> <p>e. such number of foundation governors as out number all the other governors listed in (a) to (d) by two; and</p> <p>f. the head teacher or the acting head teacher of each federated school, unless he or she resigns the position</p> <p>For any primary or nursery school in a Federation which is situated in a community council area, the governing body must include an additional community governor in addition to those listed above.</p> <p>The governing body may in addition appoint:</p> <p>(i) up to two sponsor governors; and</p> <p>(ii) up to two associate pupil governors where the Federation contains secondary schools.</p> <p>The persons who are entitled to appoint foundation governors may appoint such number of foundation governors as are required to preserve their majority but no more than two.</p>	<p>Registered pupils at that school;</p> <p>b. at least one but no more than two teacher governors;</p> <p>c. at least one but no more than two staff governors</p> <p>d. at least two local authority governors;</p> <p>e. subject to (g) at least two community governors;</p> <p>f. at least one foundation governor;</p> <p>g. at least one representative governor where the federation contains at least one community special school to take the place of one of the community governors required by (e); and</p> <p>h. the head teacher or acting head teacher of each federated school, unless he or she resigns the position</p> <p>For any primary or nursery school in a Federation which is situated in a community council area, the governing body must include an additional community governor in addition to those listed above.</p> <p>The governing body may in addition-</p>	<p>appointed in accordance with the regulations to represent the interests of parents of registered pupils at that school;</p> <p>b. at least one but no more than two teacher governors;</p> <p>c. at least one but no more than two staff governors;</p> <p>d. at least two local authority governors;</p> <p>e. subject to (g), at least two community governors;</p> <p>f. at least two foundation governors (or partnership governors as appropriate in respect of any school without a foundation);</p> <p>g. at least one representative governor where the federation contains at least one community special school to take the place of one of the community governors required by (e); and</p> <p>h. the head teacher or acting head teacher of each federated school, unless he or she resigns the position</p>
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	<ul style="list-style-type: none"> <li>a. appoint up to two sponsor governors; and</li> <li>b. appoint up to two associate pupil governors where the Federation contains secondary schools.</li> </ul>	<p>For any primary or nursery school in a Federation which is situated in a community council area, the governing body must include an additional community governor in addition to those listed above.</p> <p>The governing body may in addition -</p> <ul style="list-style-type: none"> <li>a. appoint up to two sponsor governors; and</li> <li>b. appoint up to two associate pupil governors where the Federation contains secondary schools.</li> </ul>
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## Annex 9: Suggested instruments of government for Federated maintained schools

### Example

The name of the Federation is: .....

The names and categories of the schools in the Federation are:

Name	Category
1. [enter school name]	[Enter school category]
2. [enter school name]	[Enter school category]
3. etc	

The name of the governing body is.....

4. The governing body shall consist of the following depending on the number and categories of schools in the Federation.

Category of governor	No. in each category
Total Parent Governors Name of School and number per school	
Headteachers	
Staff Governors Teaching Non Teaching	
LA governors	



14 This instrument was made by order of xxxxxxxxxx LA  
on.....

15 A copy of the instrument must be supplied to every member of the governing  
body (and the headteacher if not a governor), any trustee and to the appropriate  
religious body if applicable

16 The instrument must comply with any trust relating to a federated school



## Annex 10: Federation – local authority role and activity

Area	Role and activity
Planning of School places	<ul style="list-style-type: none"> <li>• Provide a strategic view on School Organisation, including federation, across the Authority and plan the use of resources to support that strategic view.</li> <li>• Ensure any review will encompass the effects of pupil numbers and surplus spaces as well as any proposed amalgamations and school closures.</li> </ul>
School Improvement Services	<ul style="list-style-type: none"> <li>• Provide advice and support in developing a clear focus on school and pupil improvement as part of the reporting stages in the Federation process</li> <li>• Be available for meetings with the headteachers and governing bodies to ensure that School Improvement is a key component of Federation.</li> <li>• Assist governing bodies in looking at school curriculum organisation across the Federation.</li> </ul>
Governor Support	<ul style="list-style-type: none"> <li>• Governor Support Officers in each local authority are aware of provisions in the 2010 Federation Regulations and the Education Wales Measure 2011</li> <li>• Be the first line of communication with any groups of governors considering Federation.</li> <li>• Act as a co-ordinator for the proposed federation to ensure all the activities of the authority are available at the appropriate time</li> <li>• Provide on-going support and training for a federated governing body recognising the additional responsibilities undertaken by governors.</li> </ul>

Data Services	<ul style="list-style-type: none"> <li>• LA held data on schools ought to be brought together in an easily understood composite document</li> <li>• That data should include pupil attainment; school profiles; resources including staff numbers; school condition survey etc</li> <li>• Sharing of data across schools</li> </ul>
Human Resources	<ul style="list-style-type: none"> <li>• Governors will need help to understand the personnel policies and implications for their schools</li> <li>• HR will need to provide advice and support on any proposed changes to the individual structures and staff organisation within the Federation.</li> </ul>
Finance	<ul style="list-style-type: none"> <li>• Arrangements need to be made to ensure that the accounts of each school within the Federation are kept separate whilst enabling the resources to be pooled if the federated governing body requires it.</li> <li>• LAs to review and keep up to date their funding formula as well as providing 3 year budgets</li> <li>• Consider whether Federation has additional costs and whether changes in the formula should reflect those costs</li> </ul>
Property Services	<ul style="list-style-type: none"> <li>• LA to keep an up-to-date condition survey of the federated schools' respective premises together with any planned works needed and/or proposed.</li> </ul>
Legal Services	<ul style="list-style-type: none"> <li>• Need to check that the process and documentation meets statutory requirements</li> <li>• Assistance in drafting the Instrument of Government.</li> </ul>
Translation Services	<ul style="list-style-type: none"> <li>• Governing body may need access to translation facilities.</li> </ul>

## **Annex 11: Federation – frequently asked questions**

### **Q1. Can different categories/types join the same Federation or form a Federation?**

Yes, the 2010 Federation Regulations set out the rules concerning the principles and membership of a governing body of mixed Federations.

### **Q2. Could there be a Federation between two faith schools of different faiths?**

In principle yes. If any schools are considering this they should discuss their ideas with the relevant local authorities and diocesan authorities?

### **Q3. Could schools in different local authorities in Wales federate?**

In principle yes. Any schools considering this would wish to discuss their plans with both local authorities to avoid burdening themselves with two sets of reporting arrangements. Schools will need to know which local authority will 'take the lead' for responsibility of the Federation and what the funding and budgetary arrangements will be.

### **Q4. Could two schools federate just to address a single issue, for example, two secondary schools wanting to work together only on 14-19 issues?**

No, this is not the purpose of Federation which is schools coming together under a single governing body. Schools wanting to work closely with another school or schools on specific issues should consider doing so formally by collaborating under the Collaboration of Maintained Schools (Wales) Regulations 2008.

### **Q5. Can independent schools join a Federation?**

No, these schools may work collaboratively with maintained schools but they cannot join a Federation.

### **Q6. Can FEIs join a Federation?**

No, but they can work together under formal collaborative arrangements particularly to deliver the 14-19 curriculum to give pupils more opportunity to access a broader curriculum.

### **Q 7. What are the benefits and risks of Federation?**

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

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

**Q 8. Will my school lose its identity within a Federation?**

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

**Q 9. What are the Inspection arrangements for Federated Schools?**

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

**Q 10. What happens to staff within a Federation? Will their Conditions of Service change?**

In a Federation, all staff would be employed on the same conditions of service as now and by the same employer. Whoever is the employer of staff will continue to be the employer under the contract of employment. For community, voluntary controlled, community special schools and maintained nursery schools, the local authority is the employer under the contract of employment. The governing body is the employer under the contract of employment for staff in voluntary aided and foundation schools.

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

The federated school governing body may appoint new staff to work within all schools in the Federation. This could include the appointment of a person (sometimes referred to as an Executive Headteacher) to oversee the management of the federation.

**Q 11. Would this ‘Executive headteacher’ be responsible for managing the headteachers of the schools?**

It depends on what are the responsibilities of the ‘Executive headteacher’ as there is no statutory definition of an ‘Executive headteacher’ and what arrangements the governing body have agreed.

It may be that the role of the ‘Executive headteacher’ is to take over responsibility for managing the federation and its relationship with the schools, and any non teaching function of a headteacher such as budget control and management. If the governing body agrees to retain headteachers in the school who are headteachers in statutory terms ie they are responsible for the day to day organisation and management of the school; staffing issues and teaching and learning and raising standards, then the ‘Executive headteacher’ would not have managerial responsibility for those headteachers.

However if the ‘Executive Headteacher’ is the statutory headteacher of all the schools in the Federation, that person would be responsible for managing all staff in the federated schools.

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

The proposal for federation should state the number of parent governors from each school (at least one from each); they would be elected by the parents from their own school only.

**Q 13. Can a Federation be time-limited?**

The Regulations do allow individual schools to leave a Federation and for a Federation to be dissolved. These processes will require detailed procedures and specific guidance. However a Federation is seen as a long term commitment. It should not be seen as a quick fix. The respective governing bodies will have considered in depth the benefits and risks of establishing a Federation in relation to the impact on children and young people’s achievements. A Federation would put in place strategic and operational plans to insure the sustainability and development of the schools. That will require medium to long term planning.

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

If two schools merge with each school they may remain open in their community but they become one multiple site school with a single name, ethos, budget, character and school uniform.

In a Federation, the schools remain open in their communities but they also retain their own individuality, name, ethos, character budget and school uniform.

In an amalgamation, there would only be one headteacher and it is likely that there would be redundancies or staff would have to re-apply for posts in the new school. In a Federation, staff keep their jobs and may have wider opportunities for further professional development by working across the schools in the Federation.

Headteachers may also remain in post although some federations may only have a single headteacher.

**Q15. What may influence schools in deciding whether to amalgamate or federate?**

Schools would need to consider, and would wish to discuss with their local authority, which option is more beneficial for them.

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

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

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

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

**Q18. If two small rural primary schools federate could they be re-organised so that all the pupils in one key stage attend school X whilst the others attend school Y?**

Depending on the category of schools it would be for the local authority (in respect of community schools) and the governing body (in respect of voluntary and foundation schools) to make proposals to change the age range of a school, following consultation with the parents and other interested parties. This would entail the schools going through a statutory process in order to make such a change.

**Q19. What happens if a pupil is excluded from one school in a Federation? Could they be placed in another school in the same Federation?**

Yes – although schools are federated and share a governing body the schools remain as separate entities so a pupil could not be turned away by one school because he/she had been excluded from another school in the same federation. If the pupil is subsequently permanently excluded from the second school within the federation it is recommended that the pupil discipline committee that meets to consider the exclusion consists of members of the governing body un-associated with the consideration of the first exclusion.

This recommendation is in order to avoid possible bias that could be considered with relation to the first exclusion. Whilst it may not always be possible to provide a complete discipline committee of new governing body members any such circumstances should be discussed with the local authority in the first instance.

**Q20. Can we change the name of the school and or give all the schools in the Federation the same name?**

The names of all the schools in the federation will appear on the new instrument of government. The process for revising the instrument of government and changing details such as the names of the schools is set out in the Government of Maintained Schools (Wales) Regulations 2005. The local authority and the governing body should reach an agreement on the proposed changes. If they cannot the final decision rests with the local authority who will want to ensure that any changes are not misleading.

In considering any such changes the schools should consider the views of pupils, staff and parents. One of the key drivers for Federation is that schools do not lose their individuality and identity and remain as separate establishments. However, the schools and the governing body have to create a name and identity for the Federation as well as their school names which they may wish to use on publications, websites, stationery and school uniform is desired.

## **Annex 12: Federation pilot – case studies**

**Local authority:** Blaenau Gwent County Borough Council

**Schools:** Brierly Hill Primary School  
Willowtown Primary School

Brierly Hill Primary School is situated about a mile from the town centre of Ebbw Vale. At the last inspection had 108.5 full time equivalent pupil population. Willowtown Primary School has an adjacent catchment area to Brierly Hill is situated about half a mile from the town centre. Its number on roll (at the last inspection) was 343 full time equivalent pupils.

Both schools provide education for 3-11 years of age. Most of the area that both schools serve is categorised as being in the 10% most deprived in Wales. The schools are maintained by Blaenau Gwent Council

### **Background to Federation**

Following a critical report at Brierly Hill Primary School in late 2008, where the School was placed in Special Measures, the Local Authority and the Governing Body considered several options to move the school forward. In 2010 the Governors were aware that Regulations on Federation were being published and saw this as a possible solution to improving the school by Federation with Willowtown, its neighbouring school.

The Headteacher of Willowtown Primary School was appointed Acting Headteacher at Brierly Hill to move the Action Plan forward especially in progressing standards and securing the future of the school. A HMI visit in March 2010 provided further impetus for the Local Authority and the School to consider Federation as the preferred option.

Since the appointment of the Acting Headteacher the two schools began working together. Children were moving between the two schools for enrichment activities and staff had begun working in both cohort and subject teams.

The Acting Headteacher and the Local Authority Governor Support Officer were keen to follow the 2010 Regulations in achieving Federation. They wanted to be part of the Federation pilot project that was just commencing.

Both sets of Governing Bodies had positive feelings of “want and willingness”. Their aim was a successful outcome. There was a significant input of time and effort by the Headteacher. He was supported by committed staff in both schools particularly the Deputy Headteacher at Willowtown Primary School.

The Inspectorate and the Local Authority saw this as a key factor in moving Brierly Hill School out of Special Measures.

### **Progress to date**

The schools were federated on 1<sup>st</sup> November 2010



**Further information**

If you require further information on these federated schools and their planning and implementation of the federation process please contact Robert Gardner (Headteacher) and/or Councillor Mrs Jen Morgan J.P. (Chair of Governors) at [Willowtown.Primary@blaenau-gwent.gov.uk](mailto:Willowtown.Primary@blaenau-gwent.gov.uk) or 01495 304292 (Brierly Hill Primary School) or 01495 302436 (Willowtown Primary School). The contact within the Local Authority is Mrs Hannah Meyrick [hannah.meyrick@blaenau-gwent.gov.uk](mailto:hannah.meyrick@blaenau-gwent.gov.uk) or 01495 355456.

**Local authority:** Gwynedd Council

**Schools:** Ysgol Babanod Coedmawr  
Ysgol Glanadda

Ysgol Babanod Coedmawr and Ysgol Glanadda are community schools situated on the outskirts of the city of Bangor. Each school is on a separate site but both are within reasonable walking distance of each other. The schools are maintained by Gwynedd Council.

Ysgol Babanod Coedmawr provides for the education of children from three to seven years of age and currently has 67 pupils on register.

Ysgol Glanadda provides for the education of children age eight to eleven and currently has 40 pupils on roll.

### **Background to Federation**

Since January 2010, both schools have been led and managed by a single headteacher. Over the past two years the governing bodies of the two schools have been meeting jointly and there has been increased collaboration between the schools in planning the curriculum, teaching and learning.

### **Progress to date**

The governing bodies of the two schools initiated the Federation process. During the second half of the autumn term 2010, a presentation on the 2010 Federation Regulations and the federation process was made to the governing bodies, jointly, with a local authority officer present. A similar joint presentation was made to the combined staff of both schools.

In January 2011 a small working group, comprising governors from each school and a local authority officer, was set up to prepare a report on Federation for the consideration of the governing bodies, individually and jointly. This working group also completed the proposal for consultation following the approval of the report by the governing bodies.

Consultation on the proposal was completed during the summer term 2011. Federation completed from September 2011.

### **Contact details**

If you require further information on these federated schools and their planning and implementation of the Federation process please contact

Chair of governors - John Wynn Jones at [johnwynnjones@hotmail.co.uk](mailto:johnwynnjones@hotmail.co.uk)

Headteacher - Len Brookes (Headteacher at [LenBrookes@gwynedd.gov.uk](mailto:LenBrookes@gwynedd.gov.uk) or on 01248 352 464 (Ysgol Babanod Coedmawr) or 01248 352 821 (Ysgol Glanadda)

Local authority officer - Tony Bate (Leading Manager Primary Schools' Re-organisation-Gwynedd Council) at [TonyBate@Gwynedd.gov.uk](mailto:TonyBate@Gwynedd.gov.uk) or on 01286 679 247