

# Notice of Meeting

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## Schools Forum

**Monday, 14th October, 2019 at 5.00pm**  
At Shaw House Church Road Newbury  
RG14 2DR

Date of despatch of Agenda: Tuesday, 8 October 2019

For further information about this Agenda, or to inspect any background documents referred to in Part I reports, please contact Jessica Bailiss on (01635) 503124  
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Further information and Minutes are also available on the Council's website at  
[www.westberks.gov.uk](http://www.westberks.gov.uk)



**Forum Members:** Reverend Mark Bennet, Dominic Boeck, Jeff Cant, Jonathon Chishick, Catie Colston, Jackie Davies, Antony Gallagher, Keith Harvey, Alan Henderson, Jon Hewitt, Brian Jenkins, Hilary Latimer, Sheila Loy, Ian Nichol, Erik Pattenden, Janet Patterson, Chris Prosser, David Ramsden, Graham Spellman (Vice-Chairman), Bruce Steiner (Chairman), Suzanne Taylor and Charlotte Wilson

# Agenda

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Sarah Clarke  
Head of Legal and Strategic Support

If you require this information in a different format or translation, please contact Moira Fraser on telephone (01635) 519045.



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**Note: These Minutes will remain DRAFT until approved at the next meeting of the Committee**

## **SCHOOLS FORUM**

### **MINUTES OF THE MEETING HELD ON MONDAY, 17 JUNE 2019**

**Present:** Reverend Mark Bennet, Councillor Dominic Boeck, Catie Colston, Antony Gallagher, Keith Harvey, Alan Henderson, Jon Hewitt, Brian Jenkins, Hilary Latimer, Sheila Loy, Ian Nichol, Councillor Erik Pattenden, Janet Patterson, Chris Prosser, David Ramsden, Graham Spellman (Vice-Chairman), Suzanne Taylor and Charlotte Wilson

**Also Present:** Melanie Ellis (Chief Accountant), Ian Pearson (Head of Education Service), Andy Sharp (Executive Director (People)), Annette Yellen (Accountant for Schools Funding and the DSG) and Jessica Bailiss (Policy Officer (Executive Support))

**Apologies for inability to attend the meeting:** Councillor Jeff Cant, Jonathon Chishick, Jacque Davies, Lucy Hillyard, Michelle Sancho, Jayne Steele and Bruce Steiner

#### **PART I**

##### **1 Election of Chairman and Vice-Chairman**

Ian Pearson invited the Schools' Forum to nominate and vote on the positions of Chairman and Vice-Chairman for the coming year.

**RESOLVED that** no nominations were received and therefore election of Chairman would be deferred until the next meeting of the Schools' Forum on 15<sup>th</sup> July 2019.

**RESOLVED that** Graham Spellman would continue as Vice-Chairman of the Schools' Forum for the 2019/20 municipal year.

##### **2 Minutes of previous meeting dated 11 March**

*Graham Spellman in the Chair*

The minutes of the meeting held on the 11<sup>th</sup> March 2019 were approved as a true and correct record and signed by the Vice-Chairman.

##### **3 Actions arising from previous meetings**

Melanie Ellis referred to actions Ac1a and Ac1b from the previous meeting, detailed on page nine of the report.

A detailed explanation had been provided to all schools and members of the Schools' Forum setting out the funding allocations and why errors had been made. The final allocations would be considered by the Schools' Forum later on the agenda and required agreement.

A detailed explanation of errors that had occurred were also provided to the Heads' Funding Group (HFG) on the 5<sup>th</sup> June 2019. The funding allocations had been discussed and the actions that needed to take place to prevent the situation occurring in the future. The HFG were satisfied with the arrangements that had been put in place.

David Ramsden commented that a detailed discussion had taken place at the HFG. A thorough response had been received from Councillor Lynne Doherty following the last Schools' Forum meeting in March 2019 and Ian Pearson had attended the Secondary

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Heads Forum. The response that had been provided was considered to be robust and honest. Keith Harvey, on behalf of primary schools, concurred with David Ramsden.

Catie Colston stated that in the past useful finance training had been provided for Governors and schools' finance staff. It was felt that an introduction to the new system had been overlooked and it had been particularly difficult to get up to date with the new system in the short period of time available. Catie Colston asked if training could be provided going forward. Melanie Ellis agreed to ensure this would be organised

David Ramsden stated that the discussion at the HFG had covered two main areas, firstly the errors that had occurred and secondly the new software that had been used, which had compounded the situation.

Reverend Mark Bennet stated that schools business managers that he had spoken to would be in favour of a live model or an opportunity to view the formula in advance so that feedback could be provided. He added that some schools did not have a full time bursar and there was increased pressure on these schools.

Ian Pearson acknowledged the points that had been raised and suggested that a response regarding finance training be taken to the next HFG for discussion. He also stated that next year there could be a reality check run on the formula before the allocations were distributed to schools.

**RESOLVED that** a report be taken to the HFG regarding finance training for Governors and schools' finance staff.

### 4 **Declarations of Interest**

There were no declarations of interest received.

### 5 **Membership**

Jessica Bailiss provided the following updates regarding Membership:

- Catie Colston had been re-elected a Primary Governor Representative for a further three years.
- Patrick Mitchell had to stand down from the Forum as he had moved on to a new position. The Heads Association was seeking a replacement Primary School Business Manager representative for the Forum.
- Lucy Hillyard would be standing down from the Schools' Forum in August 2019 and a replacement member would be sought accordingly.
- There was still a secondary governor vacancy. An election would be run again in the coming weeks.

### 6 **Schools Funding Formula 2019-20 (Melanie Ellis)**

Melanie Ellis introduced the report (Agenda Item 7) which set out the final formula rates and allocations to schools. This required approval from the Schools' Forum and would then be submitted to the Council's Executive on 25<sup>th</sup> July 2019.

Keith Harvey proposed that the funding formula and allocations to schools for 2019/20 be approved and this was seconded by Ian Nichol. At the vote the motion was carried.

**RESOLVED that** the Schools' Forum approved the final formula rates and allocations to schools as set out in the report.

**7 2018/19 Dedicated Schools Grant: End of Year Outturn Report (Melanie Ellis)**

Melanie Ellis introduced the report (Agenda Item 8), which aimed to report on the outturn of the services funded by the Dedicated Schools Grant (DSG), highlighting any under or overspends, and to highlight the reserves deficit at 31<sup>st</sup> March 2019.

At year end, overall DSG funding received was £115k less than budgeted, but expenditure was underspent by £479k resulting in a deficit reserve of £100k.

The report highlighted each of the funding blocks and section 5.3 of the report outlined that approval was sought so that de-delegated surplus balances could be used to support future budgets.

Melanie Ellis reported that the High Needs Block (HNB) was detailed under section eight of the report, which showed a deficit reserve of £521k. This area was the main area of concern.

Catie Colston proposed that the de-delegated reserves be used to support future budgets and this was seconded by Chris Prosser. At the vote the motion was carried.

**RESOLVED that** the recommendation set out in section 2.1 of the report was approved by the Schools' Forum.

**8 Highwood Copse Funding (Ian Pearson/Melanie Ellis)**

Ian Pearson introduced the report (Agenda Item 9), which sought discussion on funding of Highwood Copse School.

A new school (Highwood Copse) had been due to open in September 2019 and funding was set aside for this purpose, which had been agreed by the Department for Education (DfE). The school would have been classed as a 'free school' and operated within the same framework as academy schools. The Academy Sponsor was Newbury College and Theale Primary School was a support partner. The process had been on schedule however, the construction company had gone into administration and the issue had not yet been resolved. The contract was currently out to tender.

The Education and Skills Funding Agency (ESFA) had awarded £88,682 in grant money for the new school for 2019/20 and had confirmed that they would not recoup the money but alternatively recommended that the funding should be moved to the Growth Fund and allocated out to the schools that had taken on the pupils (detailed in section 3.3 of the report).

Ian Pearson concluded that the recommendation was to use the funding that had been allocated to Highwood Copse to fund the schools that had taken on the pupils (set out in 4.1) and to fund Theale Primary School for the costs they would incur (set out in 4.2).

The report had been considered by the Heads' Funding Group (HFG) on 5<sup>th</sup> June 2019 and it had recommended that the allocation amounts set out in the report should be approved by the Schools' Forum. David Ramsden added that the HFG had discussed the shortfall faced by Theale Primary School and the reasons behind it.

Jon Hewitt proposed that the Schools' Forum approve the recommendation to use the funding to fund the schools that had taken on the pupils and to fund the costs incurred by Theale Primary School. This was seconded by Reverend Mark Bennet and at the vote the motion was carried.

**RESOLVED that** the recommendation set out in section 2.1 of the report was approved.

**9 Schools: Deficit Recovery (Melanie Ellis)**

Melanie Ellis introduced the report (Agenda Item 10), which reported on the outturn position of the nine schools that had set a deficit budget in 2018/19 and provided an update on the work that had been carried out to support these schools.

Melanie Ellis reported that nine schools had a licensed Main School Budget deficit in 2018/19 totally £870k. At period nine, the forecast deficit for these nine schools was £640k and the final outturn position was a closing deficit balance of £212k.

Section 6.1 of the report detailed that three schools had ended the financial year with an unlicensed deficit however, each of the three schools had submitted a balanced budget for 2019/20.

Ian Pearson stated that schools needed to be congratulated for their hard work to balance budgets. Headteachers and Governing Bodies had been required to make difficult decisions. Ian Pearson reported that West Berkshire Council remained committed to helping schools and to early intervention.

Councillor Dominic Boeck commended the hard work that had been undertaken by schools. Councillor Boeck referred to the three schools with unlicensed deficits that would submit balanced budgets for 2019/20. He asked if these schools would continue to be supported despite submitting balanced budgets. Melanie Ellis confirmed that the Schools' Finance Team would continue to provide support to these schools as they were currently in deficit.

David Ramsden asked if support was being escalated for schools whose positions continued to worsen. Melanie Ellis confirmed that support would be provided to these schools by a dedicated accountant. David Ramsden commended the work taking place and commented that it needed to continue. Ian Pearson commented that if the relevant action was taken at the right time, schools could be prevented from falling into deficit.

Reverend Mark Bennet referred to schools that were struggling and where difficult decisions were having to be made. Some of these schools had newly recruited Headteachers, which in some circumstances had inherited a deficit. Reverend Mark Bennet asked if schools were improving the positions of their budgets without compromising the care of children. Ian Pearson stated that individual schools were able to speak for themselves however, schools, Headteachers and Governors prioritised the needs and care of children when making decisions. Difficult decisions were often made around staff or a reduction on particular periods. David Ramsden stated that other examples included increasing class sizes and curriculum adjustments. At Little Heath School difficult decisions had been made around its A Level offer. All decisions came at a cost however, most Headteachers and Governors were in agreement that children should be put first.

Ian Nichol as representative of Robert Sandilands School commented that there were many reasons that could cause a school to go into deficit. Changes were put in place and in the case of a school he represented, demographic issues had been addressed. On behalf of all three schools that he represented, he stated that the children were always put first.

Catie Colston noted that the schools listed under 6.1 as ending 2018/19 with an unlicensed deficit, were small rural schools. Such schools were often faced with demographic issues.

Councillor Erik Pattenden noted that in some cases it looked like school deficits would recover due to the extra income received. Ian Pearson reported that schools could receive incomes from a number of different places. All schools recognised that



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generating income supported budgets however, there was increased opportunity to do so for certain schools.

**RESOLVED that** the Schools' Forum noted the report.

### 10 School Balances 2018/19 (Melanie Ellis)

Melanie Ellis introduced the report (Agenda Item 11) which set out, for information purposes, the year-end balances for all maintained schools, highlighting those schools with a deficit or significant surplus.

Total balances had increased by £1.6m from 2017/18, mostly comprising of £802k in main school budgets (MSB) and £699k in capital. The majority of the MSB change was due to the nine deficit schools reducing their combined MSB deficits by £600k. All schools had been required to make tough decisions to improve their financial positions and national agreements of funding were invariably agreed for limited periods of time and therefore could not be relied upon for future budgeting purposes.

Regarding capital funding, Melanie Ellis added that extra funding was not received until February 2019 and therefore schools had not had much time to spend the allocation before the end of the year.

Ian Pearson drew attention to table 4.6 which showed the increase/decrease by school category and in particular highlighted a substantial increase for primary schools. It was important to understand the reason for the increase and added that much of this funding had come through specific routes and there were restrictions regarding how it could be spent.

It was highlighted that nursery Schools and iCollege had seen a reduction in balances.

Ian Pearson reported that it was vital that schools planned ahead and this was a consistent message being sent to schools to help prevent them falling into deficit. Hilary Latimer stated that this was particularly important for smaller schools as it was an economies of scale issue.

**RESOLVED that** the Schools' Forum noted the report.

### 11 Forward Plan

**RESOLVED that** the Schools' Forum noted the work programme.

### 12 Date of the next meeting

The next meeting would take place on 15<sup>th</sup> July 2019, 5pm at Shaw House.

*(The meeting commenced at 5.00 pm and closed at 5.43 pm)*

**CHAIRMAN** .....

**Date of Signature** .....

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# **SCHOOLS FORUM**

## **MINUTES OF THE MEETING HELD ON MONDAY, 15 JULY 2019**

**Present:** Reverend Mark Bennet, Dominic Boeck, Jonathon Chishick, Hilary Latimer, Ian Nichol, Erik Pattenden, Felix Rayner (as substitute for Keith Harvey) and Bruce Steiner (Chairman)

**Also Present:** Melanie Ellis (Chief Accountant) and Ian Pearson (Head of Education Service), Jessica Bailiss (Policy Officer (Executive Support)) and Michelle Sancho (Principal EP & Service Manager)

**Apologies for inability to attend the meeting:** Catie Colston, Jacquie Davies, Antony Gallagher, Keith Harvey, Alan Henderson, Jon Hewitt, Lucy Hillyard, Brian Jenkins, Sheila Loy, Janet Patterson, Chris Prosser, David Ramsden, Graham Spellman, Jayne Steele, Suzanne Taylor and Charlotte Wilson

### **PART I**

#### **13 Election of Chairman**

Due to the meeting not being quorate, the Schools' Forum were unable to elect a Chairman for the 2019/20 municipal year.

Bruce Steiner proposed that he would be Chairman for the meeting on 15<sup>th</sup> July 2019 and this was seconded by Reverend Mark Bennet. At the vote the motion was carried.

Ian Pearson used the opportunity to also welcome Felix Rayner to the meeting, who was the nominated substitute for Keith Harvey.

**RESOLVED that** Bruce Steiner would be the Chairman for the meeting on 15<sup>th</sup> July 2019 and the election of Chairman for the 2019/20 municipal year would be considered at the next meeting of the Schools' Forum in October.

#### **14 Minutes of previous meeting dated 17 June 2019**

Due to the meeting not being quorate the minutes of the meeting held on the 17<sup>th</sup> June 2019 could not be approved.

**RESOLVED that** the minutes from the meeting on 17<sup>th</sup> June 2019 would be deferred to the next meeting of the Schools' Forum in October 2019.

#### **15 Actions arising from previous meetings**

The Schools' Forum noted the actions from the last meeting which were either in hand or had been completed.

Jessica Bailiss referred to action Jan19-Ac1 and reported that an election had run for the position of secondary Governor representative however, there had not been any nominations. An election would be run again in the new academic year.

**RESOLVED that** an election for the position of secondary Governor representative on the Schools' Forum would be run again in the new 2019/20 academic year.

**16 Declarations of Interest**

There were no declarations of interest received.

**17 Membership**

There were no updates regarding membership.

**18 Schools' Forum Membership and Constitution from September 2019 (Jessica Bailiss)**

**RESOLVED** that this item was deferred to the next Schools' Forum meeting in October 2019, due to the meeting not being quorate.

**19 Schools in Financial Difficulty - Bids for Funding (Melanie Ellis)**

Melanie Ellis introduced the report (Agenda Item 8), which summarised bids that had been received from schools in deficit to access funding from the Primary Schools in Financial Difficulty de-delegated fund.

Bids had been received from three Primary Schools which were St Finian's, St Joseph's and Kintbury. The bids had been considered by the Heads' Funding Group (HFG) which had recommended that all three bids should be approved by the Schools' Forum.

Ian Pearson added that each of the bids had met the relevant criteria for the Primary Schools in Financial Difficulty Fund and had been interrogated regarding their bid by the HFG. The recommendation from the primary element of the HFG to approve the bids had been unanimous.

The Chairman invited Primary School members of the Schools' Forum to vote on whether to approve each of the bids.

Hilary Latimer proposed that the Schools' Forum approve the bid submitted by St Finian's for £35,500. This was seconded by Ian Nichol and at the vote the motion was carried.

Hilary Latimer proposed that the Schools' Forum approve the bid submitted by St Joseph's for £10,299. This was seconded by Ian Nichol and at the vote the motion was carried.

Hilary Latimer proposed that the Schools' Forum approve the bid submitted by Kintbury for £31,300. This was seconded by Ian Nichol and at the vote the motion was carried.

**RESOLVED** that the Schools' Forum approved each of the bids as set out in section 2.1 of the report.

**20 Schools: Deficit Recovery (Melanie Ellis)**

Melanie Ellis introduced the report (Agenda Item 9) that was previously presented on 17<sup>th</sup> June 2019. It reported on the outturn position of the nine schools that set a deficit budget in 2018/19, provided an update on the work that had been carried out to support these schools and now at request of the members of the Schools Forum included a breakdown of the total income variance.

Melanie Ellis referred to the table on page 28 of the report and highlighted that a large amount of income was generated through reimbursements.

Councillor Erik Pattenden asked how parental contributions were raised. Ian Pearson confirmed that this was raised through a variety of forms. In some cases parents agreed to make a contribution to the schools and another way of raising this money was through school events. Hilary Latimer stated that at her school a pledge giving scheme had been set up for parents. A lot of money was also raised by the Schools' Parent Teacher

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Association (PTA). Felix Rayner added that funding raised by the PFTA was normally used to fund luxuries that could not otherwise be afforded.

Jonathon Chishick referred to primary schools in deficit and asked officers what the situation looked like for the following year. When submitting budgets many schools were projecting deficits and steps were then required to mitigate the issue. Jonathon Chishick asked if there was any knowledge regarding employee pension contributions and to what extent these would be funded. Ian Pearson stated that the model Jonathon Chishick had referred to was one most schools used and that many schools were projecting year on year deficits. Schools then need to think about how this deficit could be reduced.

Jonathon Chishick was concerned that when submitting three year budgets, deficits seemed to worsen year on year. Ian Pearson acknowledged that costs were imposed on schools overtime due to changes enforced by Central Government. The Government normally tried to subsidise such changes for a time limited period. Sometimes the funding provided by Government did not cover all of the cost to schools due to the funding formula used. Melanie Ellis stated that when schools submitted budgets they allowed for increases in cost but not increases in funding.

Jonathon Chishick queried the situation going forward. Melanie Ellis reported that positively the number of schools in deficit had been reduced down to three. Melanie Ellis stated that she could provide some information on the number of schools predicting a deficit in year two and add this in to the next schools deficit report that was brought to the Schools' Forum.

Reverend Mark Bennet queried the extent of parental contributions and was concerned that some parents might not be able to afford to commit to this. It was important to recognise how this might privilege some schools.

Ian Pearson reported that there was a deprivation element to the funding formula. It was however appreciated that it was more complicated than this and some schools were feeling squeezed financially.

The Chairman commented that it was not helpful that Central Government had postponed decisions concerning funding six times, which had led to further frustration. There was no confirmation yet as to whether pension contributions would continue to be subsidised. It was important that Schools and Local Authorities continued to put pressure on Central Government.

**RESOLVED** that Melanie Ellis would add a section to the Schools Deficit report on the number of schools predicting a deficit in year two, in time for the next Schools' Forum meeting in October 2019.

### 21 **Vulnerable Children's Fund - Annual Report for 2018/19 (Michelle Sancho)**

Michelle Sancho introduced the report (Agenda Item 10), which sought a review of the Vulnerable Children's Fund (VCF) for 2018/19.

The report compared how funding was used two years previously. The VCF had been reduced from £60k to £50k from the previous year in order to contribute savings in the High Needs Block. The money was mainly used by primary schools for Teaching Assistant support in unexpected circumstances, for example if a new child joined a school and the necessary support required for the child was not in place.

Michelle Sancho reported that the number of schools accessing the fund had remained fairly constant. Reverend Mark Bennet noted that although the number of schools accessing the fund had remained constant the number of requests for funding had reduced. Michelle Sancho explained that this was because the level of funding had

reduced therefore depleted sooner. Schools were also aware that the funding was only short term.

**RESOLVED that** the Schools' Forum noted the report.

## **22 Trade Union Facilities Time - Annual Report for 2018/19 (Gary Upton)**

Gary Upton introduced his report (Agenda Item 11) that informed the Schools' Forum of the activities undertaken by teacher trade unions.

Gary Upton explained that a pot of money was put aside by schools that used the facility. The money enabled Gary Upton and other Union members to be released to conduct trade union duties with schools.

Sometimes Headteachers used the services more than others and useful relationships had been formed with Headteachers, which had resulted in reduced need for face to face meetings. Efficient phone call and email conversations resulted in a reduction in one to one case work.

A lot of good work had taken place with the Local Authority regarding policy and guidance. Gary Upton used the opportunity to thank Headteachers who had been receptive to policy changes.

Ian Pearson added that Facilities Time was a de-delegated service that was available to all maintained primary and secondary schools. Academies were also able to buy in to the service. Gary Upton stated that efforts were made to encourage academy schools to buy into the service. He commented that it was particularly useful for the large scale academy trusts to use the service as they gained access to local trade union representatives.

**RESOLVED that** the Schools' Forum noted the report.

## **23 School Meals Contract**

Ian Pearson introduced the item that aimed to update members of the Schools' Forum on the situation with the Schools' Meal Contract.

An oversight had been made and certain contracts had not been brought to the Schools' Forum. The necessary conversations had taken place to ensure this issue would be resolved going forward.

Ian Pearson referred to the paperwork that had been circulated with the agenda, which included a letter from Andy Sharp, Executive Director - People and a presentation that had been provided to Headteachers over two meetings proposing a way forward with the schools meal contract situation.

The process was being led on by the Commissioning Team at West Berkshire Council. The contract had been due to end and a retendering process was conducted. Unfortunately, part of the way through, this process had gone wrong and subsequently abandoned due to the exploitation of legal challenge by other contractors.

Communications had been sent to schools to extend the current contract with an option to depart from the contract. Some schools had chosen to depart from the contract however, most had remained or were unsure. The issue was that Free School Meals had increased in cost by 40 pence per meal per day and schools had felt the increase was too steep to bear.

Following the push back from schools a new price increase of 5 pence per child was negotiated however, schools' were still not satisfied with the increase as it would cost individual schools thousands of pounds. At this stage the Council offered to subsidise the cost from September 2019 for a year. 41 schools had remained in the contract and seven had taken the decision to leave.

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Many schools had expressed an interest in being involved in the re-tendering process. Ian Pearson stated that an acceptable way forward had been reached however, it was important to ensure the situation did not re-occur. The necessary contracts would be brought to the Schools' Forum for discussion in future.

Reverend Mark Bennet thanked Ian Pearson for his explanation. He commented that for a fortnight many schools had felt angry and challenged about the situation. The timescale for Governors to make a decision had been particularly tight. Reverend Mark Bennet however, expressed that the position reached was acceptable.

Reverend Mark Bennet felt that confidence in the contract might have diminished and effort to rebuild this confidence was required. There was the potential for costs to rise if this was not overcome. Ian Pearson agreed with this point. A survey had gone out to schools to collect information on the matter and the Executive Director – People, had offered face to face meetings with schools to obtain views.

Ian Nichol echoed the comments made by Reverend Mark Bennet and was conscious of the point that costs for schools could rise if confidence was not regained. He welcomed Governor and Headteacher involvement going forward.

Ian Nichol referred to the cleaning contract and noted that it would come to an end in July 2019. There had been a lack of clarity over re-provision and he asked for an update on the situation. Ian Pearson reported that the key point was there had been the ability to extend the school meals contract however, this was not the case with the cleaning contract. The previous provider had left and therefore an interim provider had been put in place. The Commissioning Team had advised that the interim provider would remain in place until the contract process went through the necessary cycle to find a successful bidder. Ian Pearson added that there was a smaller number of schools involved in the cleaning contract and there would also be the option to opt out.

Ian Nichol expressed that he was still unsure about the contractual process and so were schools. He welcomed further information from Commissioning colleagues. Ian Pearson confirmed that Commissioning colleagues were currently working with the current provider on the cost. Contact would be made with schools once more details were available.

Councillor Erik Patterson noted that other contracts besides the schools meals contract were not on the forward plan for the Schools' Forum. Ian Pearson confirmed that this would be updated in time for the next meeting.

Councillor Pattenden asked if changes to the way commissioning was conducted at the Local Authority in that there was a central team, had complicated matters. Ian Pearson stated that a restructure had placed commissioning expertise in one team to help add robustness. A further restructure was not required however, the approach to commissioning required further focus, particularly the interface between the people doing the work and schools. These issues would be picked up as part of the review being conducted by the Executive Director – People.

**RESOLVED that** the Forward Plan be updated with the relevant contracts that needed to be considered by the Schools' Forum in October 2019.

### 24 Forward Plan

**RESOLVED that** the Schools' Forum noted the Forward Plan.

### 25 Date of the next meeting

The next meeting would take place on 14<sup>th</sup> October 201, 3- 5pm at Shaw House.

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*(The meeting commenced at 5.00 pm and closed at 5.51 pm)*

**CHAIRMAN** .....

**Date of Signature** .....



# Agenda Item 4

## Actions from previous meeting

| Ref No.   | Date of meeting(s) raised | Item                                   | Action  | Responsible Officer | Comment / Update   |
|-----------|---------------------------|--|---|---------------------|--|
| Jul - Ac1 | 15th July 2019            | Actions arising from previous meeting. | The election of Chairman; sign off of the minutes from June and the Membership/Constitution report to be placed on the Schools' Forum Agenda in October.                                | Jessica Bailiss     | Both items are on the agenda.  |
| Jul - Ac2 | 15th July 2019            | Schools: Deficit Recovery              | Melanie Ellis would add a section to the Schools Deficit report on the number of schools predicting a deficit in year two, in time for the next Schools' Forum meeting in October 2019. | Melanie Ellis       | This will form part of the next schools' deficit report in December 2019.                                      |
| Jul - Ac3 | 15th July 2019            | School Meals Contract                  | The forward Plan be updated with the relevant contracts that needed to be considered by the Schools' Forum in October 2019.   | Jessica Bailiss     | All contracts have been added to the agenda for October and the relevant Officers have been invited to attend. |

## Ongoing Actions

| Ref No.     | Date of meeting(s) raised                              | Item       | Action  | Responsible Officer | Comment / Update                                      |
|-------------|--|------------|---|---------------------|---|
| Jan19 - Ac1 | 21st January 2019<br>11th March 2019<br>17th June 2019 | Membership | An election be conducted for the position of Secondary Governor Representative on the Schools' Forum. | Jessica Bailiss     | An election will be run in October for this position. |

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## Schools' Forum Membership and Constitution from October 2019

**Report being considered by:** Schools' Forum on 14<sup>th</sup> October 2019

**Report Author:** Jessica Bailiss

**Item for:** Decision **By:** All Forum Members

### 1. Purpose of the Report

- 1.1 To review and where necessary update the membership and Constitution of the Schools' Forum.

### 2. Recommendation

- 2.1 To approve the membership and Constitution of the Schools' Forum from October 2019.

|   |                               |   |
|---|-------------------------------|---|
| <b>Will the recommendation require the matter to be referred to the Council or the Executive for final determination?</b> | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> |
|---|-------------------------------|---|

### 3. Introduction/Background

- 3.1 The Schools' Forum is required to review its membership and Constitution annually. The last change made to the Constitution was in 2018 and there has since been no legislative changes requiring a change to our current practice. The current Constitution complies with The Schools' Forums' (England) Regulations 2012. The membership however does need to be reviewed to see if the split based on pupil numbers is still correct or needs to be changed.
- 3.2 The current rules in respect to School Forum membership are as follows:
- (1) The need to have full representation for the various types of school with the number of members representing each being broadly proportionate to the number of pupils in each phase. This is to ensure debate within the Schools' Forum is balanced and representative.
  - (2) There is no minimum or maximum number of members, but non school members must not make up more than one third of the total membership. However, care should be taken to keep the Schools' Forum to a reasonable size to ensure that it does not become too unwieldy.
- 3.3 The current breakdown in pupil numbers between the three main groups is as follows (*Pupil numbers include Nursery and Sixth Form*):

| TABLE 1           | Pupil Numbers (Jan 18 census) |             | Pupil Numbers (Jan 19 census) |             |
|-------------------|-------------------------------|-------------|-------------------------------|-------------|
|                   | Number                        | %           | Number                        | %           |
| Primary Schools   | (62) 12,769                   | 51%         | (61) 12,173                   | 48%         |
| Secondary Schools | (3) 3,809                     | 15%         | (3) 3,902                     | 15%         |
| Academy Schools   | (11) 8,513                    | 34%         | (12) 9,288                    | 37%         |
| <b>TOTAL</b>      | <b>25,091</b>                 | <b>100%</b> | <b>25,363</b>                 | <b>100%</b> |

*(The number of schools in each sector is shown in brackets)*

3.4 In July 2019 Francis Baily Primary School converted to an Academy and therefore the pupil numbers for this school have been added to the academy data. Lambourn Primary School has also converted to an Academy since the 2018 January census however, because there was knowledge of this conversion when writing the report for 2018, the pupil numbers were included within the Academy data accordingly. Due to the increase in pupil numbers a change to the membership composition of the Schools' Forum is required and is set out in section 3.6 of this report.

3.5 The current membership of the Schools' Forum is organised as follows:

| TABLE 3   |           |           |          |               |             |
|---|-----------|-----------|----------|---------------|-------------|
| School Members  | Heads     | Governors | Other    | Total         |             |
|   | Number    | Number    | Number   | Number        | %           |
| Primary   | 4         | 3         | 1 (v)    | 8             | 50%         |
| Secondary   | 2         | 1 (v)     | 0        | 3             | 19%         |
| Academies   | 3         | 2         | 0        | 5             | 31%         |
|   | <b>9</b>  | <b>6</b>  | <b>1</b> | <b>16</b>     | <b>100%</b> |
| <b>Other School Members</b>                                 |           |           |          |               |             |
| Nursery Schools   | 1         |           |          | 1             |             |
| Special Schools   | 1         |           |          | 1             |             |
| iCollege  | 1         |           |          | 1             |             |
| <b>Non School Members</b>                                   |           |           |          |               |             |
| RC Diocese  |           |           | 1        | 1             |             |
| C of E Diocese  |           |           | 1        | 1             |             |
| Early Years PVI   |           |           | 1        | 1             |             |
| Trade Union   |           |           | 1        | 1             |             |
| Non School Post 16  |           |           | 1        | 1             |             |
| <b>TOTAL MEMBERSHIP</b>                                     | <b>12</b> | <b>6</b>  | <b>6</b> | <b>24</b>     |             |
| <b>Proportion of School Members (minimum must be 66.7%)</b> |           |           |          | <b>79.17%</b> |             |

- 3.6 As there has been an increase in pupil numbers, particularly in the Academy sector, it is proposed that the number of School Members on the Forum (excluding 'other school members' listed below) is increased from 16 to 17. This would increase the number of Academy representatives on the Schools' Forum by one. All other sectors would remain the same. The revised composition of the Schools' Forum would be as follows (amended figures are highlighted in red):

| <b>TABLE 3</b>  |              |                  |              |              |      |
|---|--------------|------------------|--------------|--------------|------|
| <b>School Members</b>                                       | <b>Heads</b> | <b>Governors</b> | <b>Other</b> | <b>Total</b> |      |
|   | Number       | Number           | Number       | Number       | %    |
| Primary   | 4            | 3                | 1 (v)        | 8            | 47%  |
| Secondary   | 2            | 1 (v)            | 0            | 3            | 18%  |
| Academies   | 4            | 2                | 0            | 6            | 35%  |
|   | 10           | 6                | 1            | 17           | 100% |
| <b>Other School Members</b>                                 |              |                  |              |              |      |
| Nursery Schools   | 1            |                  |              | 1            |      |
| Special Schools   | 1            |                  |              | 1            |      |
| iCollege  | 1            |                  |              | 1            |      |
| <b>Non School Members</b>                                   |              |                  |              |              |      |
| RC Diocese  |              |                  | 1            | 1            |      |
| C of E Diocese  |              |                  | 1            | 1            |      |
| Early Years PVI   |              |                  | 1            | 1            |      |
| Trade Union   |              |                  | 1            | 1            |      |
| Non School Post 16  |              |                  | 1            | 1            |      |
| <b>TOTAL MEMBERSHIP</b>                                     | <b>12</b>    | <b>6</b>         | <b>6</b>     | <b>25</b>    |      |
| <b>Proportion of School Members (minimum must be 67.2%)</b> |              |                  |              | <b>80%</b>   |      |

#### 4. Membership – end of term

- 4.1 The term of office for members of the Forum is three years or until the position by virtue of which they are eligible for Forum membership comes to an end, whichever is the sooner.
- 4.3 Each Member is contacted individually as the end of their term approaches and asked to consult with their relevant forums or alternatively for Governors an election process will be coordinated.

#### 5. Constitution

- 5.1 Amendments are being proposed to the Constitution to ensure it reflects the proposed change in membership and recent election activity that has been taking

place to elect Governor representatives. The amendments can be viewed under Section B - Membership of the Forum, under paragraphs 2.1, 2.2, 2.3 and 2.8. These changes are also summarised below:

### **Amendment One:**

#### **2.1 Composition**

The Forum shall in total comprise of ~~24~~ 25 members being ~~19~~ 20 school members (including Academies) and 5 non school members

### **Amendment Two:**

#### **2.2 School Members**

##### **e) Academy Headteacher or their representative**

~~5~~ 6 representatives from the Academies, as elected by the proprietors of the Academies, of which at least 2 must be Headteachers

### **Amendment Three:**

#### **2.3 Election of Schools Members**

~~Governors representatives shall be elected by the Governors Forum~~  
Governors shall be elected through an election process coordinated by the Clerk to the Schools' Forum.

Support can be requested by Heads Forums ~~or Governors Forum~~ or the Clerk to the Schools' Forum to help manage their election process.

### **Amendment Four:**

#### **2.8 Terms of Office**

The term of office for members of the Forum is three years. The same members can be reappointed providing they are re-elected by the group that they represent. This also applies to any permanent substitutes. A Governor representative reaching the end of their term can stand again for re-election through an election process run by the Schools' Forum Clerk.

- 5.2 Forum members are invited to suggest any further changes which they deem necessary or desirable.

## **6. Proposals**

- 6.1 That the Schools' Forum agree the revised Membership for the Forum as set out in section 3.6.
- 6.2 That the Schools' Forum agree the amendments regarding the election of Governor Representatives.
- 6.3 There have been no changes to the Regulations or Operational Guidance for the Schools' Forum so it is not proposed to make any other changes to the Constitution.

## **7. Conclusion**

- 7.1 The Schools Forum is invited to approve the membership and the Constitution for the Schools Forum from October 2019.

## **8. Consultation and Engagement**

- 8.1 Ian Pearson (Head of Education) and Melanie Ellis (Chief Management Accountant)

## **9. Appendices**

- 9.1 Appendix A: Membership of the Schools Forum as at September 2019
- 9.2 Appendix B: Constitution of the Schools Forum

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# CONSTITUTION OF THE WEST BERKSHIRE SCHOOLS' FORUM

## **Background**

1. The West Berkshire Schools Forum (hereafter referred to as the "the Forum").
2. The requirement to establish a schools forum comes from the Education Act 2002. The main purpose of the Forum is to consider aspects of the relationship between schools and the local authority relating to financial matters.
3. The Forum is a decision making and consultative body in relation to matters concerning schools' budgets as defined in the School and Early Years Finance (England) Regulations 2014, the Schools Forum Regulations 2012 and the School Budget Shares (Prescribed Purposes) (England) 2002. The Schools Forum Regulations 2012 govern the composition, constitution and procedures of Schools' Forums.<sup>1</sup>

This document is divided into 3 sections:

- A. Terms of Reference of the West Berkshire Schools' Forum
- B. Membership of the West Berkshire Schools' Forum
- C. Operating Conventions of the West Berkshire Schools' Forum

## **A. TERMS OF REFERENCE OF THE FORUM**

### **1.1 Status of the Forum**

The Forum is established in accordance with Sections 47(1) 47A of the School Standards and Framework Act 1998 and The Schools Forums (England) Regulations 2012.

### **1.2 Annual Consultation on School Funding**

The authority must consult the Schools Forum annually in respect of the authority's functions relating to school funding including:

- Changes to the funding formula.
- The allocation of the Dedicated Schools Grant (DSG), including redistributions between blocks
- Contracts where the LA is entering into a contract to be funded from the schools budget
- Funding arrangements for pupils with special educational needs, in particular the places to be commissioned by the LA and schools, and the arrangements for paying top up funding

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<sup>1</sup> These Regulations can be accessed at:  
<http://www.education.gov.uk/schools/adminandfinance/financialmanagement/schoolsrevenuefunding/schoolsforums/a00213728/schools-forums-england-regs-2012>

- Funding arrangements for the use of Pupil Referral Units and the education of children otherwise than at school, in particular the places to be commissioned by the LA and schools, and the arrangements for paying top up funding
- Central spend on children and young people with high needs
- Funding arrangements for early years provision
- Central spend on licences negotiated centrally by the Secretary of State
- Administrative arrangements for the allocation of central government grants paid to the schools via the authority
- Changes to the Minimum funding Guarantee to go to the DfE for approval
- Any other matter concerning the funding of schools as the Forum sees fit

### **1.3 Annual Decisions on School Funding**

School Forum Members must decide annually on the following proposals made by the LA:

- The amount of expenditure the local authority can centrally retain from the school budget, including growth fund, falling rolls fund, admissions, servicing of schools forum, central spend on early years
- The criteria for allocating funding from the growth fund and falling rolls fund
- The de-delegation for mainstream maintained schools of allowable central budgets by the schools representatives of the relevant phase on behalf of all the schools they represent.
- Carry forward of over/under spend on central expenditure to the next financial year
- Revisions to the authority's Scheme for Financing Schools

## **B. MEMBERSHIP OF THE FORUM**

### **2.1 Composition**

Schools' Forums' Regulations 2012 state that the primary schools, secondary schools and Academies must be broadly proportionately represented on the Forum having regard to the total number of the registered pupils. The proportionality of the membership will be reviewed annually (in June/July) so that elections if required can be held by the end of the end of the Summer term ready for the new academic year.

The Forum shall in total comprise of ~~24~~ 25 members being ~~19~~ 20 school members (including Academies) and 5 non school members. The school members shall be Headteachers, Governors or Early Years representatives drawn from the schools / partnerships in the West Berkshire Local Authority area. The Primary and Secondary Headteacher members groups may also include, at the Local Authority's discretion, representatives of Headteachers - senior members of staff, such as School Business Managers.

### **2.2 School Members**

The current number of representatives in each phase is as follows:

#### **a) Primary Headteachers or their Representative**

8 representatives from primary schools of which at least 4 must be Headteachers.

**b) Secondary Headteachers or their Representative**

3 representatives from secondary schools of which at least 2 must be Headteachers.

**c) Special School Representatives**

1 representative from the special schools.

**d) Nursery School Representatives**

1 representative from the nursery schools.

**e) Academy Headteachers or their Representative**

~~5~~ 6 representatives from the Academies, as elected by the proprietors of the Academies, of which at least 2 must be Headteachers.

**f) Pupil Referral Unit Headteachers or their Representative**

1 representative from the Pupil Referral Units.

**2.3 Election of Schools Members**

The primary school and secondary school representatives shall be elected by their respective Heads Forum.

Academy representatives shall be elected by the Academies proprietors.

~~Governors representatives shall be elected by the Governors Forum~~

Governors shall be elected through an election process coordinated by the Clerk to the Schools' Forum.

The special school representative shall be elected by mutual agreement between the two special schools.

The nursery school representative shall be elected by mutual agreement between the two nursery schools.

The pupil referral unit representative shall be elected by mutual consent between the pupil referral units.

Support can be requested by Heads Forums ~~or Governors Forum~~ or the Clerk to the Schools' Forum to help manage their election process. The Clerk of the Schools' Forum must make a record of the process by which the constituents of each group elect their nominees to the Forum.

An election scheme must take into account the following factors:

- The process for collecting names of those wishing to stand for election.
- The timescale for notifying all constituents of the election and those standing.
- The arrangements for dispatching and receiving ballots.
- The arrangements for counting and publicising the results.
- Any arrangements for unusual circumstances, such as only one candidate standing in an election or where there is a tie between two or more candidates.

- Whether existing members can stand for re-election.

If an election does not take place by any date set by the Authority or any such election results in a tie between two or more candidates the Authority will appoint the schools member.

## **2.4 Non-School Members**

In addition to the 19 20 school members a representative of the following groups will have full voting rights within the Forum except for voting on the funding formulae where only the Early Years PVI Provider representative can vote:

- Roman Catholic Diocese
- Church of England Diocese
- Trade Union
- Early Years PVI Provider
- Non school Post 16

The representative will be elected by their group and the record of the appointment process will be held by the Clerk of the Schools' Forum.

## **2.5 Substitute Members**

Representative groups may nominate permanent substitutes who have sufficient experience and knowledge of schools funding to attend meetings.

and/or

A stand-in substitute who attends as a full voting member if a headteacher or permanent substitute is unavailable. Stand-in substitutes may attend some meetings as an observer to gain an insight into the work of the Forum.

The clerk must be notified in writing 24hours before the start of the meeting that a substitution will be required. Substitute members will have full voting rights when taking the place of the substantive member for whom they are the designated substitute.

## **2.6 Participation of Observers**

Observers shall be invited to attend Forum meetings. Observers may participate in the debate but will not have voting rights should any business of the Forum require a vote. The following groups shall be asked if they would like to nominate an observer (and a named substitute) to the Forum:

- The Education Funding Agency (EFA)

## **2.7 Council Officers and Elected Members**

Officers may attend and speak at the Forum meetings in an advisory capacity only. The following or their representatives will be invited to attend the Forum meetings:

- Executive Director ( People) or their representative
- Head of Finance or their representative
- Children & Young People Portfolio Holder
- Children & Young People Shadow Portfolio Holder
- Finance Portfolio Holder

- Clerk to the Schools' Forum

### **2.8 Terms of Office**

The term of office for members of the Forum is three years. The same members can be reappointed providing they are re-elected by the group that they represent. This also applies to any permanent substitutes. A Governor representative reaching the end of their term, can stand again for re-election through an election process run by the Schools' Forum Clerk.

As well as the term of office coming to an end, a schools member ceases to be a member of the Schools' Forum if he or she resigns from the Forum, giving at least one month's written notice, or no longer occupies the office which he or she was nominated to represent. An election should be held within the outgoing members electing group to nominate a successor. The Clerk will then inform the Forum members of the result of the election within one month.

### **2.9 Failure to attend meetings**

Where a member of the Schools' Forum fails throughout a period of six consecutive months from the date of their last attendance to attend a meeting of the Forum (or to organise for an appropriate substitute to attend on their behalf), then subject to certain exceptions, they will cease to be a member of the Schools' Forum unless the failure was due to some reason approved before the expiry of that period.

## **C. OPERATING CONVENTIONS OF THE WEST BERKSHIRE SCHOOLS FORUM**

### **3.1 Ordinary Meetings**

An ordinary meeting of the Forum shall be held, at a minimum, four times a year.

### **3.2 Administration of Meetings**

Meetings of the Forum shall be convened by the Local Authority, who will arrange the clerking and recording of meetings. The cycle of annual meetings are based on the financial year. All the meeting dates for the next financial year are set by the end of March every year.

Items for consideration by the Forum shall be submitted to the Clerk no later than 10 working days prior to the meeting. The agenda and working papers should be circulated a week in advance of the meeting date. Every effort should be made to circulate minutes to Forum members within 10 working days of the meeting.

### **3.3 The Chair and Vice Chair**

The Chair and Vice-Chair shall be elected from within the membership of the Schools Forum (but may not be either an elected member or an officer of the local authority).

### **3.4 Quorum**

The Forum shall be quorate if at least 40% of the total membership is present (this excludes observers and vacancies). If the Forum is not quorate the meeting can proceed and the members present can give advice to the local authority, but the authority is not obliged to take that advice into consideration. Decisions on the schools budgets may not be taken unless 40% of the school members (Headteachers and Governors) are present.

### **3.5 Voting**

Each member shall only have one vote. Voting shall be by show of hands. If there are equal numbers of votes for and against, the Chair will have a second or casting vote.

There will be no restriction on how the Chair chooses to exercise a casting vote.

When the vote is on the schools funding formula only the schools members and the Early Years Representative are eligible to vote.

### **3.6 Sub-Committees and Working Groups**

The Forum may have sub-committees or working groups. The Forum shall receive reports from the sub-committees or working groups to approve formally.

### **3.7 Declaration of Interest**

Any member of the Forum who has an interest in any proposal beyond the generality of the group that they represent or in which they might have a personal or prejudicial interest shall declare the interest at the beginning of the relevant item. The member can explain any issues to the meeting and then must leave the meeting until the item has finished. The member cannot vote on that item.

Where it is clear that a decision in which a member has an interest is likely to arise at a particular meeting, the meeting concerned may invite a substitute member (with no interest to declare) in accordance with the constitution to attend the meeting in their place.

Elected members are subject to the governance of the Council's Code of Conduct.

### **3.8 Status of Reports**

All report authors will be responsible for informing the clerk in advance of the status of reports to be included in the agenda i.e. confidential or non-confidential.

### **3.9 Expenses**

The Local Authority shall maintain a budget for the reimbursement of all reasonable expenses relating to the operation of the Forum and charge these expenses to the Schools Budget. The Local Authority shall reimburse expenses of members of the Forum when members submit appropriate claims, in connection with attendance at the meetings. Supply cover should only be claimed when it has been necessary to employ a supply cover teacher to enable the Headteacher to attend the Forum.

### **3.10 Interpretation of the Constitution**

The Chair or person residing at the meeting shall be the final arbiter regarding the interpretation of the Forum's constitution. The constitution shall be interpreted in conjunction with the relevant provisions contained in the legislation relating to the Forum's proceedings. The requirements of legislation will prevail in the event of there being any inconsistency between the legislation and the constitution.

### **3.11 Amendment of the Constitution**

With the exception of matters subject to legislative provision or approval by the authority, the Forum may vary its constitution by a simple majority vote by the members provided that prior notice of the nature of the proposed variation is made and included on the agenda for the meeting.

### **3.12 Publicity relating to the Schools Forum**

The Schools Forum is a public meeting and the Local Authority is responsible for putting the Schools' Forum papers, minutes and decisions promptly on the West Berkshire Council website and generally draw schools attention to forthcoming Schools' Forum meetings and agendas and the minutes of forum discussions.

Document approved by the School's Forum in July 2015 and was reviewed and agreed in 2016, 2017 and 2018.

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# West Berkshire Council Schools' Forum

## Membership as of September 2019

# Appendix C

Contact e-mail address for all members: [schoolsforum@westberks.gov.uk](mailto:schoolsforum@westberks.gov.uk)

### School Members:

|                             |                              |                                |                                  | Start  | End    | Duration |
|-----------------------------|------------------------------|--------------------------------|----------------------------------|--------|--------|----------|
| <u>Nursery Schools</u>      | Suzanne Taylor               | Headteacher                    | Hungerford Nursery School        | Apr-17 | Apr-20 | 3 years  |
| <u>Primary Schools</u>      | Jonathan Chishick            | Governor                       | Englefield C of E Primary        | Oct-16 | Oct-19 | 3 years  |
|                             | Antony Gallagher             | Headteacher                    | Burghfield Primary School        | Feb-19 | Feb-22 | 3 years  |
|                             | Janet Patterson              | Headteacher                    | Brightwalton Primary School      | Mar-19 | Mar-22 | 3 years  |
|                             | Keith Harvey                 | Headteacher                    | St Nicholas' School              | Jan-19 | Jan-22 | 3 years  |
|                             | Hilary Latimer               | Headteacher                    | Englefield C of E Primary        | Nov-18 | Nov-21 | 3 years  |
|                             | <i>vacancy</i>               | <i>School Business Manager</i> |                                  |        |        | 3 years  |
|                             | Catie Colston                | Governor                       | Enborne Primary School           | May-19 | May-22 | 3 years  |
|                             | Ian Nicol                    | Governor                       | Robert Sandilands Primary School | Jan-19 | Jan-22 | 3 years  |
| <u>Secondary Schools</u>    | Chris Prosser                | Headteacher                    | The Downs School                 | Oct-17 | Oct-20 | 3 years  |
|                             | David Ramsden                | Headteacher                    | Little Heath School              | Sep-19 | Sep-22 | 3 years  |
|                             | <i>vacancy</i>               | <i>Governor</i>                |                                  |        |        |          |
| <u>Special Schools</u>      | Jon Hewitt                   | Headteacher                    | The Castle School                | Sep-19 | Sep-22 | 3 years  |
| <u>Pupil Referral Units</u> | Jacque Davies                | Headteacher                    | The Reintegration Service        | Oct-18 | Oct-21 | 3 years  |
| <u>Academies</u>            | Sheila Loy                   | Governor                       | Newbury Academy Trust            | Dec-18 | Dec-21 | 3 years  |
|                             | <i>vacancy</i>               | <i>Headteacher</i>             |                                  |        |        |          |
|                             | <i>vacancy</i>               | <i>Headteacher</i>             |                                  |        |        |          |
|                             | <i>vacancy (if approved)</i> | <i>Headteacher</i>             |                                  |        |        |          |
|                             | Bruce Steiner                | Governor                       | St Bartholomews School           | Jul-18 | Jul-21 | 3 years  |
|                             | Charlotte Wilson             | Headteacher                    | Trinity School                   | Oct-18 | Oct-21 | 3 years  |

### Non School Members:

|                              |                      |                                    |                       |        |        |         |
|------------------------------|----------------------|------------------------------------|-----------------------|--------|--------|---------|
| Non School Post 16 Providers | Jayne Steele         | Director of Finances and Resources | Newbury College       | Jan-19 | Jan-22 | 3 years |
| Early Years PVI Providers    | Brian Jenkins        | Proprietor                         | Jubilee Day Nursery   | Sep-19 | Sep-22 | 3 years |
| Church of England Diocese    | Reverend Mark Bennet |                                    | Diocese of Oxford     | Dec-18 | Dec-21 | 3 years |
| Roman Catholic Diocese       | Graham Spellman      |                                    | Diocese of Portsmouth | Jul-17 | Jul-20 | 3 years |
| Trade Union                  | Gary Upton           |                                    | NASUWT                | Oct-18 | Oct-21 | 3 years |

### Other Attendees:

#### Executive Members:

|  |                |   |
|--|----------------|---|
|  | Dominic Boeck  | Portfolio Holder for Children and Young People  |
|  |                | Shadow Portfolio Holder for Education, Children's Services, Adult Social Care, Health & Wellbeing |
|  | Erik Pattenden |   |
|  | Jeff Cant      | Portfolio Holder for Finance and Transformation   |

#### LA Officers:

|  |               |                           |
|--|---------------|---------------------------|
|  | Ian Pearson   | Head of Education Service |
|  | Melanie Ellis | Chief Accountant          |

#### Clerk:

|  |                 |                |
|--|-----------------|----------------|
|  | Jessica Bailiss | Policy Officer |
|  |                 |                |
|  |                 |                |

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## De-delegation Proposals 2020/21

|                                    |                            |            |  |
|------------------------------------|----------------------------|------------|--|
| <b>Report being considered by:</b> | The Schools' Forum         |            |  |
| <b>On:</b>                         | 14 October 2019            |            |  |
| <b>Report Author:</b>              | Melanie Ellis, Ian Pearson |            |  |
| <b>Item for:</b>                   | Decision                   | <b>By:</b> | All Maintained Schools Representatives |

### 1. Purpose of the Report

- 1.1 This report sets out the details, cost, and charges to schools of the services on which maintained school representatives are required to vote (on an annual basis) whether or not they should be de-delegated.

### 2. Recommendation

- 2.1 Maintained primary, secondary, special, nursery and PRU heads (as applicable) to agree the de-delegations as set out in Table 7.

|   |                               |   |
|---|-------------------------------|---|
| <b>Will the recommendation require the matter to be referred to the Council or the Executive for final determination?</b> | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> |
|---|-------------------------------|---|

### 3. Background

- 3.1 The Schools' Forum in October and December 2018 agreed for the following services to be centrally provided to primary and secondary maintained schools in the 2019/20 financial year through the pooling of funding:
- Behaviour Support Services
  - Ethnic Minority Support
  - Trade Union Representation
  - Schools in Financial Difficulty (primary only)
  - CLEAPSS
  - Statutory and Regulatory Duties comprising:
    - Statutory accounting functions in respect of schools
    - Internal Audit of schools
    - Administration of pensions for school staff
    - Health and Safety (level 1 support)
- 3.2 The schools funding regulations for 2020/21 have now been published and these confirm that similar arrangements for de-delegation of the cost of these services will apply for 2020/21. Funding arrangements are expected to change in 2021/22, but details of the changes have not yet been announced.
- 3.3 Primary and secondary school representatives are required to recommend to Schools Forum whether or not funds should be de-delegated in the financial year 2020/21 for:

- Behaviour Support Services
- Ethnic Minority Support
- Trade Union Representation
- Schools in Financial Difficulty (primary only)
- CLEAPSS

- 3.4 Funds cannot be de-delegated from Special and Nursery Schools and PRUs for these services, but those schools will have the option to buy back these services at a cost based on the same amount per pupil as for primary and secondary schools.
- 3.5 Representatives of all maintained schools (including Special and Nursery Schools and PRUs) are required to recommend to Schools Forum whether or not funds should be de-delegated for the services which make up Statutory and Regulatory Duties.
- 3.6 Academies and other non-maintained schools also may be able to choose to buy into any of the above services subject to service provider agreement.
- 3.7 Appendix A sets out the total cost of each service and an initial estimate of the amount to be de-delegated from each school. This estimate is based on the October 2018 census, however the final amounts will be based on the October 2019 census when that data becomes available.

#### 4. Therapeutic Thinking Service (previously Behaviour Intervention)

- 4.1 The Therapeutic Thinking Service proposal for 2020/21 is set out in Appendix B.
- 4.2 Table 1 shows the budget and unit charge for 2020/21 compared to 2019/20. The total cost will be divided by the total numbers of pupils in the October 2019 census to determine a unit charge per pupil on which the de-delegated amount per school will be based. As all schools will have access to all aspects of the service, the same unit charge will apply to both primary and secondary schools. Based on the October 2018 census this is estimated to be £15.95 per pupil but the final rate will be determined according to the October 2019 census.

| TABLE 1                      | 2019/20               |                 | 2020/21                         |                 |
|------------------------------|-----------------------|-----------------|---------------------------------|-----------------|
|                              | Unit Charge per pupil | Budget          | Estimated Unit Charge per pupil | Budget          |
| Maintained Primary Schools   | £14.22                | £180,808        | £15.95                          | £187,039        |
| Maintained Secondary Schools | £14.22                | £54,482         | £15.95                          | £50,995         |
| Total                        |                       | <b>£235,290</b> |                                 | <b>£238,034</b> |

#### 5. Ethnic Minority and Traveller Achievement Service

- 5.1 The detail of the Ethnic Minority and Traveller Achievement Service (EMTAS) is set out in Appendix C.
- 5.2 Table 2 shows the budget and the estimated unit charge for the service for 2020/21 compared to 2019/20. The total cost in respect of Primary and Secondary schools will be divided by the total number of pupils recorded as having English as an additional language (EAL) in the October 2018 census to determine a unit charge per EAL pupil on which the de-delegated amount per school will be based. As all schools will have access to all aspects of the service, the same unit charge will apply to both primary and secondary schools. The estimated unit charge is based

on the October 2018 census, but the final rate will be determined according to the number of EAL pupils in the October 2019 census.

| <b>TABLE 2</b>               | 2019/20                        |                 | 2020/21                                  |                 |
|------------------------------|--------------------------------|-----------------|--|-----------------|
|                              | Unit Charge per pupil with EAL | Budget          | Estimated Unit Charge per pupil with EAL | Budget          |
| Maintained Primary Schools   | £345.65                        | £239,167        | £341.02                                  | £230,909        |
| Maintained Secondary Schools | £345.65                        | £5,880          | £341.02                                  | £5,806          |
|                              |                                | <b>£245,047</b> |  | <b>£236,715</b> |

## 6. Trade Union Representation

- 6.1 The detail of the service provided by Trade Union representatives to schools is set out in Appendix D.
- 6.2 Table 3 shows the budget and unit charge for the service for 2020/21 compared to 2019/20. The proposal for 2020/21 is based on the cost of 1FTE supply teacher on UPS3. It is assumed there will also be some buy in from academy schools. The total net cost in respect of primary and secondary schools will be divided by the total number of pupils in the October 2019 census to determine a unit charge per pupil on which the de-delegated amount per school will be based on. As all schools have access to all representatives (regardless of which school they are based in), the same unit charge will apply to both primary and secondary schools. Based on the October 2018 census this currently estimated to be £3.47 per pupil but the final rate will be determined according to the October 2019 census.

| <b>TABLE 3</b>               | 2019/20               |                | 2020/21                         |                  |
|------------------------------|-----------------------|----------------|---------------------------------|------------------|
|                              | Unit Charge per pupil | Budget         | Estimated Unit Charge per pupil | Estimated Budget |
| Maintained Primary Schools   | £3.28                 | £41,753        | £3.47                           | £40,743          |
| Maintained Secondary Schools | £3.28                 | £12,581        | £3.47                           | £11,108          |
|                              |                       | <b>£54,334</b> |                                 | <b>£51,851</b>   |

## 7. Schools in Financial Difficulty

- 7.1 The Schools in Financial Difficulty reserve at the end of financial year 2018/19 is £252,000. This fund is largely used for one off exceptional costs such as those in relation to staffing restructures.
- 7.2 Bids amounting to £127,000 were approved in 2018/19, therefore a decision needs to be made whether to de-delegate this service in 2020/21, in order to top up the fund, or whether to leave the reserve at £252,000.

## 8. Consortium of Local Education Authorities for the Provision of Science Services (CLEAPSS)

- 8.1 The detail of the service provided by this subscription is set out in Appendix E.
- 8.2 As the actual pricing from CLEAPSS will not be available until after the schools budget has been set, an assumption has been made on the 2020/21 fee. Any over or under spend will be recovered the following year, as in all de-delegated services. Table 5 shows the budget and unit charge for the service for 2020/21 compared to 2019/20. The unit charge includes the administration fee. Note that secondary schools will need to pay the fee relating to sixth form pupils separately as de-delegation is based on pre 16 pupils only.

| <b>TABLE 5</b>               | 2019/20               |                   |        | 2020/21                         |                             |                  |
|------------------------------|-----------------------|-------------------|--------|---------------------------------|-----------------------------|------------------|
|                              | Unit Charge per pupil | Charge per school | Budget | Estimated Unit Charge per pupil | Estimated Charge per school | Estimated Budget |
| Maintained Primary Schools   | £0.16                 |                   | £2,034 | £0.16                           |                             | £1,876           |
| Maintained Secondary Schools | £0.16                 | £225              | £1,288 | £0.16                           | £235                        | £1,217           |
|                              |                       | <b>£3,322</b>     |        |                                 |                             | <b>£3,093</b>    |

## 9. Statutory and Regulatory Duties

- 9.1 Statutory regulatory duties consist of the statutory responsibilities held by the local authority in respect of maintained schools. These consist of Accountancy, Internal Audit, Pension scheme administration and Health and Safety. The Accountancy, audit and pension administration services are described in appendix F.
- 9.2 In 2019/20 funds to provide level 1 Health and Safety support were de-delegated but individual schools were given the choice whether or not to buy back level 2 support. The Health and Safety service is proposing two alternative options for de-delegation, as set out in appendix G. Option 1 is to de-delegate funds to provide level 1 and 2 support for all maintained primary and secondary schools. Option 2 is the same arrangement as for 2019/20.
- 9.3 Table 6 shows the budget and estimated unit charges for these services in 2020/21 compared to 2019/20. The total cost will be divided by the total numbers of pupils in the October 2019 census to determine a unit charge per pupil on which the de-delegated amount per school will be based. The same unit charges will apply to both primary and secondary schools. The estimated unit charges shown are based on the October 2018 census but the final rates will be determined according to the October 2019 census.

| <b>TABLE 6</b>                           | 2019/20          |                 | 2020/21                         |                        |                          |                            |  |
|--|------------------|-----------------|---------------------------------|------------------------|--------------------------|----------------------------|--|
|  | Charge per Pupil | Budget          | Estimated Unit Charge per pupil | Estimated Total Budget | Estimated Primary Budget | Estimated Secondary Budget | Estimated budget for Nursery, Special Schools and PRUs |
| Accountancy                              | £2.83            | £48,715         | £3.06                           | £47,857                | £35,929                  | £9,796                     | £2,133   |
| Audit                                    | £2.68            | £46,154         | £2.93                           | £45,700                | £34,309                  | £9,354                     | £2,037   |
| Pension Scheme Administration            | £2.09            | £35,948         | £2.35                           | £36,729                | £27,574                  | £7,518                     | £1,637   |
| Health and Safety Option 1 (level 1 & 2) |                  |                 | £8.78                           | £137,093               | £102,923                 | £28,061                    | £6,109   |
| Health and Safety Option 2 (level 1)     | £3.77            | £64,959         | £4.33                           | £67,606                | £50,755                  | £13,838                    | £3,013   |
| Total Option 1                           |                  |                 | <b>£17.12</b>                   | <b>£267,379</b>        | <b>£200,735</b>          | <b>£54,729</b>             | <b>£11,915</b>   |
| Total Option 2                           | <b>£11.37</b>    | <b>£195,776</b> | <b>£12.67</b>                   | <b>£197,892</b>        | <b>£148,568</b>          | <b>£40,506</b>             | <b>£8,818</b>  |

## 10. Summary of Proposals

10.1 Table 7 summarises the services and budgets which are proposed to be de-delegated in 2020/21:

| <b>TABLE 7</b>                           | <b>2020/21<br/>Primary<br/>Budget<br/>£</b> | <b>Agreed<br/>by HFG</b> | <b>2020/21<br/>Secondary<br/>Budget<br/>£</b> | <b>Agreed<br/>by HFG</b> | <b>2020/21 Early<br/>Years &amp; High<br/>Needs<br/>Budgets<br/>£</b> | <b>Agreed<br/>by HFG</b> |
|--|---|--------------------------|---|--------------------------|---|--------------------------|
| Therapeutic Thinking Support             | 187,039                                     |                          | 50,995  |                          | n/a   | n/a                      |
| Ethnic Minority Support                  | 230,909                                     |                          | 5,806   |                          | n/a   | n/a                      |
| Trade Union Representation               | 40,743                                      |                          | 11,108  |                          | n/a   | n/a                      |
| CLEAPSS                                  | 1,876                                       |                          | 1,217   |                          | n/a   | n/a                      |
| Statutory and Regulatory Duties Option 1 | 200,735                                     |                          | 54,729  |                          | 11,915  |                          |
| Statutory and Regulatory Duties Option 2 | 148,568                                     |                          | 40,506  |                          | 8,818   |                          |
| Schools In Financial Difficulty          | tbc   |                          |   |                          |   |                          |

## 11. Consultation and Engagement

11.1 The proposals set out in this report will be included in the consultation with all schools on the proposed school funding arrangements for 2020/21.

## 12. Appendices

Appendix A – Indicative De-delegations per school for 2020/21

Appendix B – Therapeutic Thinking Support Service

Appendix C – Ethnic Minority & Traveller Achievement Service

Appendix D – Trade Union Representation Service

Appendix E – CLEAPSS Service

Appendix F – Accountancy, Audit and Pension Administration

Appendix G - Health and Safety

Appendix H – Health and Safety Service Level Provision

Appendix I – Health and Safety Legal Duty Holders

| Indicative De-Delegations for 2020/21 - Based on October 2018 Census Data |            |          |  |                         |                            |         |                                |                           |                               |                                    |                                    |  |  |  |
|---|------------|----------|--|-------------------------|----------------------------|---------|--------------------------------|---------------------------|-------------------------------|------------------------------------|------------------------------------|--|--|--|
|   |            |          | Behaviour Intervention                           | Ethnic Minority Support | Trade Union Representation | CLEAPSS | Statutory Accounting Functions | Internal Audit of Schools | Pension Scheme Administration | Health and Safety Support Option 1 | Health and Safety Support Option 2 | Total Statutory and Regulatory Duties Option 1 | Total Statutory and Regulatory Duties Option 2 |  |
| Proposed Primary Delegation   |            |          | £187,039   | £230,909                | £40,743                    | £1,876  | £35,929                        | £34,309                   | £27,574                       | £102,923                           | £50,755                            | £200,735                                       | £148,568                                       |  |
| Proposed Secondary Delegation   |            |          | £50,995  | £5,806                  | £11,108                    | £1,217  | £9,796                         | £9,354                    | £7,518                        | £28,061                            | £13,838                            | £54,729  | £40,506  |  |
| Total Proposed Delegation   |            |          | £238,034   | £236,715                | £51,851                    | £3,093  | £45,724                        | £43,664                   | £35,092                       | £130,984                           | £64,593                            | £255,464                                       | £189,074                                       |  |
| Estimated income from other maintained schools                            |            |          | £0   | £341                    | £2,418                     | £76     | £2,133                         | £2,036                    | £1,637                        | £6,109                             | £3,013                             | £11,915  | £8,818   |  |
| Total Cost of Service   |            |          | £238,034   | £237,056                | £54,269                    | £3,169  | £47,857                        | £45,700                   | £36,729                       | £137,093                           | £67,606                            | £267,379                                       | £197,892                                       |  |
| Indicative cost per primary pupil   |            |          | £15.95   | £341.02                 | £3.47                      | £0.16   | £3.06                          | £2.93                     | £2.35                         | £8.78                              | £4.33                              | £17.12   | £12.67   |  |
| Indicative cost per secondary pupil                                       |            |          | £15.95   | £341.02                 | £3.47                      | £0.16   | £3.06                          | £2.93                     | £2.35                         | £8.78                              | £4.33                              | £17.12   | £12.67   |  |
| Indicative cost per other maintained school pupil                         |            |          | n/a  | £341.02                 | £3.47                      | £0.16   | £3.06                          | £2.93                     | £2.35                         | £8.78                              | £4.33                              | £17.12   | £12.67   |  |
| Fixed cost per secondary school   |            |          | n/a  | n/a                     | n/a                        | £235.00 | n/a                            | n/a                       | n/a                           | n/a                                | n/a                                | n/a  | n/a  |  |
| School  | Pupil No's | EAL No's | Indicative Delegation for each Service by School |                         |                            |         |                                |                           |                               |                                    |                                    |  |  |  |
| Aldermaston Church of England Primary School                              | 168        | 0.0      | 2,680  | 0                       | 584                        | 27      | 515                            | 492                       | 395                           | 1,475                              | 727                                | 2,876  | 2,129  |  |
| Basildon Church of England Primary School                                 | 144        | 0.0      | 2,297  | 0                       | 500                        | 23      | 441                            | 421                       | 339                           | 1,264                              | 623                                | 2,465  | 1,824  |  |
| Beedon Church of England Controlled Primary School                        | 45         | 2.1      | 718  | 714                     | 156                        | 7       | 138                            | 132                       | 106                           | 395                                | 195                                | 770  | 570  |  |
| Beenham Primary School  | 71         | 2.1      | 1,133  | 712                     | 247                        | 11      | 218                            | 208                       | 167                           | 623                                | 307                                | 1,215  | 900  |  |
| Birch Copse Primary School  | 423        | 12.8     | 6,747  | 4,371                   | 1,470                      | 68      | 1,296                          | 1,238                     | 995                           | 3,713                              | 1,831                              | 7,241  | 5,359  |  |
| Bradfield Church of England Primary School                                | 164        | 0.0      | 2,616  | 0                       | 570                        | 26      | 503                            | 480                       | 386                           | 1,439                              | 710                                | 2,807  | 2,078  |  |
| Brightwaton Church of England Aided Primary School                        | 100        | 1.2      | 1,595  | 401                     | 347                        | 16      | 306                            | 293                       | 235                           | 878                                | 433                                | 1,712  | 1,267  |  |
| Brimpton Church of England Primary School                                 | 56         | 0.0      | 893  | 0                       | 195                        | 9       | 172                            | 164                       | 132                           | 492                                | 242                                | 959  | 710  |  |
| Buckebury Church of England Primary School                                | 112        | 0.0      | 1,786  | 0                       | 389                        | 18      | 343                            | 328                       | 263                           | 983                                | 485                                | 1,917  | 1,419  |  |
| Burghfield St. Mary's Church of England Primary School                    | 213        | 3.5      | 3,398  | 1,184                   | 740                        | 34      | 653                            | 623                       | 501                           | 1,870                              | 922                                | 3,646  | 2,699  |  |
| Calcot Infant School & Nursery  | 204        | 26.9     | 3,254  | 9,179                   | 709                        | 33      | 625                            | 597                       | 480                           | 1,791                              | 883                                | 3,492  | 2,585  |  |
| Calcot Junior School  | 288        | 8.0      | 4,594  | 2,728                   | 1,001                      | 46      | 882                            | 843                       | 677                           | 2,528                              | 1,247                              | 4,930  | 3,649  |  |
| Chaddlesworth St. Andrew's Church of England Primary School               | 24         | 0.0      | 383  | 0                       | 83                         | 4       | 74                             | 70                        | 56                            | 211                                | 104                                | 411  | 304  |  |
| Chieveley Primary School  | 202        | 2.3      | 3,222  | 783                     | 702                        | 32      | 619                            | 591                       | 475                           | 1,773                              | 874                                | 3,458  | 2,559  |  |
| Cold Ash St. Mark's Church of England Primary School                      | 180        | 3.5      | 2,871  | 1,204                   | 625                        | 29      | 552                            | 527                       | 423                           | 1,580                              | 779                                | 3,081  | 2,281  |  |
| Compton Church of England Primary School                                  | 183        | 3.4      | 2,919  | 1,170                   | 636                        | 29      | 561                            | 535                       | 430                           | 1,606                              | 792                                | 3,133  | 2,319  |  |
| Curridge Primary School   | 99         | 3.5      | 1,579  | 1,206                   | 344                        | 16      | 303                            | 290                       | 233                           | 869                                | 429                                | 1,695  | 1,254  |  |
| Dow nsway Primary School  | 214        | 9.3      | 3,413  | 3,173                   | 744                        | 34      | 656                            | 626                       | 503                           | 1,878                              | 926                                | 3,663  | 2,711  |  |
| Enborne Church of England Primary School                                  | 66         | 0.0      | 1,053  | 0                       | 229                        | 11      | 202                            | 193                       | 155                           | 579                                | 286                                | 1,130  | 836  |  |
| Englefield Church of England Primary School                               | 107        | 1.2      | 1,707  | 401                     | 372                        | 17      | 328                            | 313                       | 252                           | 939                                | 463                                | 1,832  | 1,356  |  |
| Falkland Primary School   | 450        | 12.7     | 7,178  | 4,328                   | 1,564                      | 72      | 1,379                          | 1,317                     | 1,058                         | 3,950                              | 1,948                              | 7,703  | 5,701  |  |
| Garland Junior School   | 213        | 7.0      | 3,398  | 2,387                   | 740                        | 34      | 653                            | 623                       | 501                           | 1,870                              | 922                                | 3,646  | 2,699  |  |
| Hampstead Norreys Church of England Primary School                        | 87         | 0.0      | 1,388  | 0                       | 302                        | 14      | 267                            | 255                       | 205                           | 764                                | 377                                | 1,489  | 1,102  |  |
| Hermitage Primary School  | 187        | 3.5      | 2,983  | 1,203                   | 650                        | 30      | 573                            | 547                       | 440                           | 1,641                              | 809                                | 3,201  | 2,369  |  |
| Hungerford Primary School   | 389        | 14.7     | 6,205  | 5,028                   | 1,352                      | 62      | 1,192                          | 1,138                     | 915                           | 3,414                              | 1,684                              | 6,659  | 4,929  |  |
| The Isleys' Primary School  | 63         | 0.0      | 1,005  | 0                       | 219                        | 10      | 193                            | 184                       | 148                           | 553                                | 273                                | 1,078  | 798  |  |
| Inken Primary School  | 70         | 1.1      | 1,117  | 367                     | 243                        | 11      | 214                            | 205                       | 165                           | 614                                | 303                                | 1,198  | 887  |  |
| John Rankin Infant & Nursery School                                       | 254        | 26.1     | 4,052  | 8,909                   | 883                        | 41      | 778                            | 743                       | 597                           | 2,229                              | 1,099                              | 4,348  | 3,218  |  |
| John Rankin Junior School   | 348        | 15.0     | 5,551  | 5,115                   | 1,209                      | 56      | 1,066                          | 1,018                     | 818                           | 3,055                              | 1,506                              | 5,957  | 4,409  |  |
| Kennet Valley Primary School  | 189        | 11.7     | 3,015  | 4,003                   | 657                        | 30      | 579                            | 553                       | 444                           | 1,659                              | 818                                | 3,235  | 2,395  |  |
| Kintbury St. Mary's Church of England Primary School                      | 164        | 0.0      | 2,616  | 0                       | 570                        | 26      | 503                            | 480                       | 386                           | 1,439                              | 710                                | 2,807  | 2,078  |  |
| Long Lane Primary School  | 214        | 7.0      | 3,413  | 2,380                   | 744                        | 34      | 656                            | 626                       | 503                           | 1,878                              | 926                                | 3,663  | 2,711  |  |
| Mortimer St. John's Church of England Infant School                       | 171        | 12.3     | 2,728  | 4,203                   | 594                        | 27      | 524                            | 500                       | 402                           | 1,501                              | 740                                | 2,927  | 2,167  |  |
| Mortimer St. Mary's Church of England Junior School                       | 220        | 1.0      | 3,509  | 341                     | 764                        | 35      | 674                            | 644                       | 517                           | 1,931                              | 952                                | 3,766  | 2,787  |  |
| Mrs. Bland's Infant & Nursery School                                      | 165        | 13.5     | 2,632  | 4,604                   | 573                        | 26      | 506                            | 483                       | 388                           | 1,448                              | 714                                | 2,825  | 2,091  |  |
| Pangbourne Primary School   | 199        | 11.6     | 3,174  | 3,969                   | 691                        | 32      | 610                            | 582                       | 468                           | 1,747                              | 861                                | 3,407  | 2,521  |  |
| Parsons Down Infant School  | 167        | 12.0     | 2,664  | 4,105                   | 580                        | 27      | 512                            | 489                       | 393                           | 1,466                              | 723                                | 2,859  | 2,116  |  |
| Parsons Down Junior School  | 292        | 4.0      | 4,658  | 1,364                   | 1,015                      | 47      | 895                            | 854                       | 687                           | 2,563                              | 1,264                              | 4,999  | 3,700  |  |
| Purley Church of England Infants School                                   | 112        | 5.8      | 1,786  | 1,969                   | 389                        | 18      | 343                            | 328                       | 263                           | 983                                | 485                                | 1,917  | 1,419  |  |
| Robert Sandilands Primary School & Nursery                                | 242        | 28.5     | 3,860  | 9,732                   | 841                        | 39      | 741                            | 708                       | 569                           | 2,124                              | 1,047                              | 4,143  | 3,066  |  |
| Shaw - cum -Donnington Church of England Primary School                   | 88         | 10.7     | 1,404  | 3,650                   | 306                        | 14      | 270                            | 257                       | 207                           | 772                                | 381                                | 1,506  | 1,115  |  |
| Shefford Church of England Primary School                                 | 50         | 1.3      | 798  | 426                     | 174                        | 8       | 153                            | 146                       | 118                           | 439                                | 216                                | 856  | 633  |  |
| Springfield Primary School  | 301        | 18.7     | 4,801  | 6,366                   | 1,046                      | 48      | 922                            | 881                       | 708                           | 2,642                              | 1,303                              | 5,153  | 3,814  |  |
| Spurcroft Primary School  | 444        | 22.7     | 7,082  | 7,745                   | 1,543                      | 71      | 1,360                          | 1,299                     | 1,044                         | 3,897                              | 1,922                              | 7,601  | 5,625  |  |
| St. Finian's Catholic Primary School                                      | 178        | 15.5     | 2,839  | 5,296                   | 618                        | 28      | 545                            | 521                       | 419                           | 1,562                              | 770                                | 3,047  | 2,255  |  |
| St. John the Evangelist Infant & Nursery School                           | 180        | 34.5     | 2,871  | 11,765                  | 625                        | 29      | 552                            | 527                       | 423                           | 1,580                              | 779                                | 3,081  | 2,281  |  |
| St. Joseph's Catholic Primary School                                      | 201        | 64.6     | 3,206  | 22,047                  | 698                        | 32      | 616                            | 588                       | 473                           | 1,764                              | 870                                | 3,441  | 2,547  |  |
| St. Nicolas Church of England Junior School                               | 255        | 11.0     | 4,067  | 3,751                   | 886                        | 41      | 781                            | 746                       | 600                           | 2,238                              | 1,104                              | 4,365  | 3,231  |  |
| St. Pauls Catholic Primary School   | 327        | 44.1     | 5,216  | 15,027                  | 1,136                      | 52      | 1,002                          | 957                       | 769                           | 2,870                              | 1,415                              | 5,598  | 4,143  |  |
| Stockcross Church of England Primary School                               | 100        | 1.2      | 1,595  | 401                     | 347                        | 16      | 306                            | 293                       | 235                           | 878                                | 433                                | 1,712  | 1,267  |  |
| Streathay Church of England Voluntary Controlled Primary School           | 94         | 0.0      | 1,499  | 0                       | 327                        | 15      | 288                            | 275                       | 221                           | 825                                | 407                                | 1,609  | 1,191  |  |
| Sulhamstead and Upton Nervet Church of England Voluntary                  | 106        | 1.2      | 1,691  | 397                     | 368                        | 17      | 325                            | 310                       | 249                           | 930                                | 459                                | 1,815  | 1,343  |  |
| Thatcham Park Church of England Primary School                            | 363        | 21.6     | 5,790  | 7,350                   | 1,261                      | 58      | 1,112                          | 1,062                     | 854                           | 3,186                              | 1,571                              | 6,214  | 4,599  |  |
| Theale Church of England Primary School                                   | 306        | 13.9     | 4,881  | 4,743                   | 1,063                      | 49      | 938                            | 895                       | 720                           | 2,686                              | 1,325                              | 5,238  | 3,877  |  |
| Welford and Wickham Church of England Primary School                      | 97         | 0.0      | 1,547  | 0                       | 337                        | 16      | 297                            | 284                       | 228                           | 851                                | 420                                | 1,661  | 1,229  |  |
| Westwood Farm Infant School   | 177        | 19.0     | 2,823  | 6,485                   | 615                        | 28      | 542                            | 518                       | 416                           | 1,554                              | 766                                | 3,030  | 2,243  |  |
| Westwood Farm Junior School   | 232        | 6.0      | 3,701  | 2,046                   | 806                        | 37      | 711                            | 679                       | 546                           | 2,036                              | 1,004                              | 3,972  | 2,939  |  |
| The Willow's Primary School   | 359        | 36.9     | 5,726  | 12,597                  | 1,247                      | 57      | 1,100                          | 1,050                     | 844                           | 3,151                              | 1,554                              | 6,146  | 4,549  |  |
| The Winchcombe School   | 437        | 83.2     | 6,971  | 28,386                  | 1,518                      | 70      | 1,339                          | 1,279                     | 1,028                         | 3,836                              | 1,892                              | 7,481  | 5,537  |  |
| Woolhampton Church of England Primary School                              | 89         | 0.0      | 1,420  | 0                       | 309                        | 14      | 273                            | 260                       | 209                           | 781                                | 385                                | 1,524  | 1,128  |  |
| Yattendon Church of England Primary School                                | 83         | 3.5      | 1,324  | 1,196                   | 288                        | 13      | 254                            | 243                       | 195                           | 729                                | 359                                | 1,421  | 1,052  |  |
|   |            |          |  |                         |                            |         |                                |                           |                               |                                    |                                    |  |  |  |
| The Downs School  | 992        | 4.0      | 15,823   | 1,364                   | 3,447                      | 394     | 3,040                          | 2,903                     | 2,333                         | 8,707                              | 4,294                              | 16,982   | 12,569   |  |
| Little Heath School   | 1,287      | 11.0     | 20,529   | 3,760                   | 4,472                      | 441     | 3,943                          | 3,766                     | 3,026                         | 11,296                             | 5,571                              | 22,032   | 16,306   |  |
| The Willink School  | 918        | 2.0      | 14,643   | 682                     | 3,190                      | 382     | 2,813                          | 2,686                     | 2,159                         | 8,058                              | 3,974                              | 15,715   | 11,631   |  |
| PRIMARY TOTAL   | 11,726     | 677      | 187,039  | 230,909                 | 40,743                     | 1,876   | 35,929                         | 34,309                    | 27,574                        | 102,923                            | 50,755                             | 200,735  | 148,568  |  |
| SECONDARY TOTAL   | 3,197      | 17       | 50,995   | 5,806                   | 11,108                     | 1,217   | 9,796                          | 9,354                     | 7,518                         | 28,061                             | 13,838                             | 54,729   | 40,506   |  |
| TOTAL ALL PRIMARY AND SECONDARY SCHOOLS                                   | 14,923     | 694      | 238,034  | 236,715                 | 51,851                     | 3,093   | 45,724                         | 43,664                    | 35,092                        | 130,984                            | 64,593                             | 255,464  | 189,074  |  |
|   |            |          |  |                         |                            |         |                                |                           |                               |                                    |                                    |  |  |  |
| Other Maintained Schools  |            |          |  |                         |                            |         |                                |                           |                               |                                    |                                    |  |  |  |
| Hungerford Nursery  | 106        |          | n/a  | n/a                     | 368                        | n/a     | 325                            | 310                       | 249                           | 930                                | 459                                | 1,815  |  |  |



## West Berkshire Council Maintained Schools

### Proposal to De-Delegate Formula Funding 2020/21

### Therapeutic Thinking Support Team

#### Outline of Proposed Service 2020/21

The Therapeutic Thinking Support Team (TTST) formerly the Behaviour Intervention Team (BIT) offers evidence-based advice and support to schools. The type of involvement includes whole school support, staff training, staff support, class or year group support as well as individual support.

#### Key Features

These themes stem from the behaviour review:

1. Quick and flexible response to challenging cases in schools.
2. Different levels of response within the team (whole school, group, individual).
3. Advice and support using newly developed SEMH Range Guidance and Behaviour Action Guidance.
4. Support and advice in relation to Therapeutic Thinking; developing therapeutic plans, anxiety mapping, conscious and subconscious checklists

#### Team Members

1. The Team –  
 Beth Cartwright (TTST Manager & Senior EP)  
 Amy Bushell (TTST EP)  
 Gerry Heaton (Primary TTST Advisor)  
 Sue Keepax (Secondary TTST Advisor)  
 Rachel Wallace (TTST Worker)  
 Kayleigh Chocian (TTST Worker)  
 Jessica Durham (TTST Worker)  
 Roslyn Arthur (Exclusions Officer)  
 Piyush Bharania (Admin Assistant)

In addition to the above, schools have access to a team of educational psychologists and graphic facilitators who run circle of adult meetings to support schools with pupils at risk of exclusion. A Circle of Adults meeting is led by 2 trained workers and involves key staff and professionals from the school. It lasts 90 minutes and provides a structured approach to problem-solving and identifying agreed strategies.

The service has changed name to represent an increased emphasis on a therapeutic way of working that recognises adverse childhood experiences and trauma. An increased offer has been maintained with a range of professionals and

expertise in the team. This will be delivered without a significant increase in the cost of the service. This is due to a more efficient deployment of resources.

2. Rapid Response: capacity to respond rapidly to school concerns. This could relate to children but also whole school situations that arise. Behaviour would be the main focus but wouldn't exclude other complex situations.
3. For those needing some quick advice, signposting, or consultation with a TTST Educational Psychologist, Beth is available for telephone consultations.
4. TTST referrals will be triaged weekly and the most appropriate level of support offered within 5 days.
5. The team will be informed by evidence based practice which will result in clear suggestions of what needs to happen to move the situation forward.
6. Partners and working relationships: In partnership with other agencies Beth will continue to develop a clear referral pathway for social emotional and mental health issues. This will include consideration of EHA, iCollege, EPS, EWS, and ASD support teachers.
7. All of the above sits neatly with Local Authority social and emotional mental Health and well-being agenda and restorative themes.
8. Research indicates that a number of children and young people presenting with challenging behaviour have unidentified mental health problems. Revised request for involvement forms have been created along with screening tools to identify any mental health problems. This will enable these needs to be addressed by TTST team members or for referrals to be made to appropriate services.

### **What would schools get?**

1. Screening and signposting for identified mental health difficulties.
2. Having identified a child or young person's need, a TTST worker will offer an intervention to develop the unmet need, e.g. Social skills through Lego Therapy, reading and social emotional skills through Storylinks
3. Immediate write up and actions as well as agreed review of cases where appropriate.
4. Links with other support services and help in securing necessary actions
5. More direct support with very complex cases involving a wide range of services.
6. Access to support for challenging whole school situations through advisors with senior level management experience and experienced educational psychologists.
7. Direct links into PPP (Pupil Placement Panel & Fair Access process), VCF (Vulnerable Children's Fund) and other relevant systems/services
8. Support from workers where appropriate to help implement/model strategies in school.

9. Clear information of key personnel and agencies within West Berkshire –regularly updated.
10. Suggestions and links regarding potential training needs
11. Access to circle of adults meetings facilitated by an educational psychologist and a TTST worker for pupils at risk of permanent exclusion.

### Feedback from 2018/19 delivery

#### Comments from Primary Schools:

*‘Improved understanding of children’s perspective for teacher providing ability to build change with them and give them positive power in their classroom’.*

*‘We have had BIT team support for a number of pupils and to support staff working with SEMH children. Staff confidence has improved and in most children there has been an improvement in behaviour and staff approaches to that behaviour’*

*‘Staff engaged well with the process as it was non-judgemental, collaborative and supportive. The strategies given were well thought out, specific to the class and realistic in their expectation. Staff were willing to try them immediately and continue using them as they found they were effective.’*

#### Comments from Secondary Schools:

*‘The Secondary BIT worker and BIT EP are both exceptional in their flexibility, creativity and approach with staff in school. We always feel like our needs are addressed – often when we haven’t realised what our needs were.’*

*‘Objective views on whole school behaviour have become an important part of our quality assurance.’*

*‘The supervision is fantastic for those of our staff with a strongly therapeutic role.’*

*‘...more of the same!’*

### Proposed Cost of Delivery in 2020/21

The following table summarises the proposed cost of the service for 2020/21. It is based on employing the team members outlined above.

|                                  | 2018/19<br>£   | 2019/20<br>£   | 2020/21<br>Proposed<br>£ | %<br>increase |
|----------------------------------|----------------|----------------|--------------------------|---------------|
| Staffing Costs                   | 203,230        | 207,750        | 210,245                  |               |
| Other Costs                      | 6,150          | 6,150          | 6,150                    |               |
| Support Service Recharges        | 20,940         | 21,390         | 21,639                   |               |
| Total Cost                       | 230,320        | 235,290        | 238,034                  | 1.17%         |
| Less Surplus Brought Forward     | -12,690        |                |                          |               |
| <b>Amount to be De-Delegated</b> | <b>217,630</b> | <b>235,290</b> | <b>238,034</b>           | <b>1.17%</b>  |

The overall cost of delivering the service has increased by 1.17% which takes into account the expected April 2020 pay award and salary increments. As the underspend in 2018/19 has been requested to be added to 2019/20 budgets there is no carry forward from previous years.

This does not take into account income which will be earned from any Academies which choose to buy back this service. Any additional income received from this source will reduce the net cost and the charge to maintained schools.

### Method of charging in 2020/21

The total net cost of the service will be divided by the total number of pupils recorded in the October 2019 census to arrive at a per pupil amount for charging purposes. Using October 2018 census data to provide an indicative amount, this would equate to £15.95 per pupil. Appendix A of the main report shows the indicative total amount per school.

Other Options which *may* be considered

1. The local authority offer a fully traded service (likely to increase the cost to individual schools).
2. Schools “pay as you go” either by employing/using own staff when needed or purchasing support from external providers (may include the local authority if still able to offer this service).
3. Local authority to consider an alternative (cheaper) service to offer.

## West Berkshire Council Maintained Schools

### Proposal to De-Delegate Formula Funding 2019/20

#### Ethnic Minority & Traveller Achievement Service (EMTAS)

### Context

EMTAS has been funded through a de-delegation process as agreed with the Heads Funding Group. All of the support for Black Minority Ethnic, English as an additional language (EAL) pupils and Gypsy, Roma and Traveller (GRT) pupils is provided by the West Berkshire EMTAS Service.

### Current Structure

The current service is led by a Team Manager (0.8FTE), supported by a Learning Support Adviser (a qualified teacher) for 0.6 FTE. There are 5 part time Pupil Support Officers (Teaching Assistant level posts) who are employed for a total of 3.0 FTE. The service has administrative support for 1 day per week.

The Team Manager is responsible for the day to day management of the service.

- Organisation of English language assessments of new arrivals and advanced bilingual speakers;
- Arranging advice and support for individual pupils, including those with EAL and SEND, EHC planning.
- Arranging support for first language GCSE/AS/A2 papers; SATs maths translation.
- Delivery of school INSET focusing on EAL teaching and learning.
- Leading training for teachers and teaching assistants on EAL and Equalities.
- Organisation of tailored packages of support to schools meet the needs of ethnic minority pupils and those from Gypsy, Roma, Traveller families.
- Joint working with other agencies to support schools with ethnic minority pupils.
- Provision of language assessments and support of unaccompanied asylum seeking children (UASC) in schools.
- Advice and guidance documents and resources to schools.

The Learning Support Adviser is responsible for providing support to schools. This includes:

- Carrying out the English language assessments for new arrivals. Providing assessment reports with recommendations and guidance for classroom teachers.
- Tracking the attainment of GRT pupils termly.
- Support and guidance to schools with GRT pupils and managing the Great 121 project which trains teaching assistants to work on short term intensive programmes of learning to enable GRT pupils to narrow the gap in attainment with their peers.

The Pupil Support Officers (PSO) work in schools supporting individual and small groups of pupils.

- Bilingual support is provided for Polish, Portuguese, Spanish, Italian and Romanian pupils.
- Support is focused on helping pupils to access the curriculum and English acquisition which can include pre-teaching of concepts; support for written work; translations; support for external examinations.
- Unaccompanied Asylum Seeking children and young people receive weekly support in class from EMTAS
- PSOs support schools with parent meetings/ FSM letters/interpreting for parents at SEND reviews/EHC planning/CP and CIN cases.
- The Pupil Support Officer for GRT pupils has a wider brief involving intensive liaison between families and staff as well as supporting pupils in schools. GRT families are

supported with attendance, admissions, transition, access to extra-curricular activities and engagement with learning.

## Benefits of Service

### EAL assessments

Referrals from schools for EAL assessments increased slightly from 101 to 106 in the academic year 2018/19.

In 2018/19 English assessments were carried out in 21 primary schools and 4 secondary schools. The autumn term has continued to have the highest number of referrals for new arrivals than in other terms.

EAL assessments, including guidance and reports, have been completed in the following schools in 2018/19

|                                |                     |
|--------------------------------|---------------------|
| Birch Copse                    | John Rankin Infants |
| Calcot Infant                  | St.Paul's Catholic  |
| Falkland                       | Thatcham Park       |
| Inkpen                         | Spurcroft           |
| Long Lane                      | Kennet Valley       |
| Mortimer St. John's Infant     | Theale              |
| Parsons Down Infant            | St. Nicolas Junior  |
| St. John the Evangelist Infant | Mrs Bland's Infant  |
| St. Joseph's Catholic          | Robert Sandilands   |
| Shaw cum Donnington            | The Willows         |
| Westwood Farm Infant School    |                     |
|                                |                     |
| St. Bartholomew's (Academy)    | The Downs           |
| Park House (Academy)           | Denefield (Academy) |

### Pupil Support Officer (Romanian)

Bilingual support has been provided in the following schools in 2018/19:

|               |               |
|---------------|---------------|
| The Castle    | Kennet Valley |
| Thatcham Park | Hungerford    |

Schools have also received assistance with Romanian first language assessments, CP cases, Early Years, Speech and Language, SEND, EHC planning and parental liaison.

### Pupil Support Officer (Polish)

Polish bilingual support and/or translation has been provided in the following schools in 2018/19:

|                        |                   |
|------------------------|-------------------|
| Theale Primary         | Inkpen            |
| Thatcham Park          | Kennet Valley     |
| Yattendon              | Robert Sandilands |
| Parsons Down Infants   | Birch Copse       |
| St John the Evangelist | The Willows       |
| St. Joseph's Catholic  | Brookfields       |
| Westwood Farm Infant   | The Castle        |
| Denefield (Academy)    | Little Heath      |
| Park House (Academy)   | The Downs         |

The Polish PSO has carried out the oral component of GCSE Polish and relevant tuition and 'A' level Polish. 100% pass rate at A\* and A was achieved in 2018.

Schools have also received assistance with Polish first language assessments and EHC planning meetings, translating documents and enabling the parents and children to have their opinions heard.

### **Pupil Support Officer (Portuguese/Italian/Spanish)**

Portuguese, Brazilian, Spanish and Italian pupils in the following schools have received bilingual PSO support in this academic year.

|                      |                      |
|----------------------|----------------------|
| St.Joseph's Catholic | Thatcham Park        |
| Robert Sandilands    | Shaw cum Donnington  |
| Theale Primary       |                      |
| Little Heath         | Park House (Academy) |

Schools have also received assistance with Portuguese, Spanish and Italian first language assessments and EHC planning meetings, enabling the parents and children to have their opinions heard.

EMTAS delivered the GCSE Portuguese in secondary schools as requested.

### **Pupil Support Officer (Urdu)**

Bilingual support and/or translation has been provided in the following schools in 2018/19:

|                       |           |
|-----------------------|-----------|
| Westwood Farm Juniors | Spurcroft |
| Denefield             |           |

### **Pupil Support Officer (UASC)**

Five secondary aged unaccompanied asylum seeking children from Eritrea, Pakistan and Vietnam have been supported this year in three different secondary schools. EMTAS has continued to support pupils who arrived as part of the Syrian Resettlement programme. EMTAS provides one to one academic, exam and pastoral support in lessons and in tutor time. This PSO also provides information for Personal Education Planning meetings, liaises with SENCOs, Social Workers, Heads of Year and the Virtual School. Support has been provided at the following schools this year:

|                             |                         |
|-----------------------------|-------------------------|
| Park House (Academy)        | Denefield (Academy)     |
| St. Bartholomew's (Academy) | Kennet School (Academy) |
| Robert Sandilands           |                         |

### **Teaching Assistant funding**

EMTAS provides funding for Teaching Assistants within schools to support specific ethnic minority pupils. EMTAS increased the hourly rate to £10.43 per hour in September 2018 to be more in line with current Teaching Assistant pay.

Number of TA funded hours given to schools:

|                  |
|------------------|
| 2018/19          |
| 990 hours (EAL)  |
| 150 hours (GRT)  |
| Total £10,571.30 |

**Schools in receipt of GReaT 1 to 1 project funding during 2018/19** to provide targeted intervention for Gypsy, Roma and Traveller pupils. (hours included in the figures above):

|                |                   |
|----------------|-------------------|
| Mrs Bland's    | Aldermaston       |
| Garland Junior | Hampstead Norreys |
| Yattendon      |                   |

### Training provided (both general and school specific)

|  |
|--|
| 2018/19  |
| <p>'Meeting the needs of New Arrivals with English as an additional language' to teachers</p> <p>EAL Co-ordinator's Network meeting</p> <p>'Every Child a Talker' to Early Years Practitioners</p> <p>EAL training for Teaching Assistants</p> <p>GRT training for one to one support:<br/>Yattendon Primary School<br/>Aldermaston Primary School</p> |

### Number of families supported by Pupil Support Officer (GRT)

West Berkshire has 122 children who are ascribed as Gypsy, Roma or Traveller.  
36 West Berkshire schools have Gypsy, Roma and Traveller pupils on roll.

Approximately 35 GRT children and families have been supported by the PSO GRT and work continues with new families being ascribed to GRT status. Transition support has been provided between schools and also when pupils have been transferring from out of West Berkshire into our schools. This work involves 'in year' changes as well as end of Key Stage transitions.

### Number of schools supported with GRT pupils

The following schools have received support from EMTAS for Gypsy, Roma and Traveller pupils. EMTAS Pupil Support Officer for GRT pupils has been involved in 368 sessions/meetings in 2018/19 in support of children and families from GRT backgrounds.

|                        |                        |
|------------------------|------------------------|
| Aldermaston            | Yattendon              |
| Beenham                | Kintbury St. Mary's    |
| Garland Junior         | John Rankin Juniors    |
| Hermitage              | I-College              |
| Fir Tree (Academy)     | Mrs Bland's Infants    |
| Hampstead Norreys      | Hungerford Primary     |
| The Willink            | Kennet (Academy)       |
| The Downs              | John O'Gaunt (Academy) |
| Trinity (Academy)      | Park House (Academy)   |
| Theale Green (Academy) |                        |

Schools have been supported with engagement with their GRT families, issues around behaviour, avoiding exclusion, intervention for gaps in learning, transport, admissions and attendance.

### Number of pupils attending the Autumn 2017 Michaelmas Fair 'School'

EMTAS run a 'school' for the children travelling with the Michaelmas Fair. 23 pupils attended over the three days ranging in age from 4 to 13 years. They took part in lessons which focused on the



core curriculum areas of literacy and numeracy. Feedback from parents and Northcroft Leisure Centre staff was 100% positive.

### Number of outreach sessions on Traveller Site

8 outreach sessions have been delivered from September 2018 to July 2019 on the 'Bus of Hope'. These have taken place monthly at Paices Hill Traveller site and have provided Parent and Toddler activities for families. These sessions have been supported by the Family Hub staff. Children have attended sessions at different times over the course of the year; some of these families were travelling and staying temporarily on the transit part of the site.

### Proposed Cost of Delivery in 2020/21

The following table summarises the proposed cost of the service for 2020/21 in comparison with 2019/20 and 2018/19.

|   | 2018/19<br>£   | 2019/20<br>£   | 2020/21<br>Proposed<br>£ | %<br>increase |
|---|----------------|----------------|--------------------------|---------------|
| Staffing Costs  | 185,480        | 196,920        | 198,640                  |               |
| Other Costs   | 31,720         | 26,020         | 26,020                   |               |
| Support Service Recharges                             | 21,720         | 22,294         | 22,466                   |               |
| Total Cost  | 238,920        | 245,234        | 247,126                  | 0.77%         |
| Less Surplus Brought Forward                          | -38,300        | -35,170        | -10,070                  |               |
|   | 200,620        | 210,064        | 237,056                  | 12.8%         |
| Less income from Special and Nursery Schools and PRUs | -27,143        | 0              | 0                        |               |
| <b>Amount to be De-Delegated</b>                      | <b>173,477</b> | <b>210,064</b> | <b>237,056</b>           | <b>12.8%</b>  |

The overall cost of delivering the service has increased by 0.77% which takes into account the expected April 2020 pay award and salary increments. The underspend from 18/19 is used to off-set the cost of service for 20/21. Unfortunately this underspend is lower than previous years, therefore increasing the overall cost of de-delegation by 12.8%.

### Method of charging in 2019/20

The total cost of the service will be divided by the total number of pupils recorded as having English as an additional language (for up to 3 years after they enter the statutory school system) in the October 2018 census to arrive at a per pupil amount for charging purposes. Using October 2017 census data to provide an indicative amount, this would equate to £341.02 per pupil. Appendix A of the main report shows the indicative total amount per school.

### Other Options which *may* be considered

Schools receive a high quality level of support in West Berkshire which has been highly valued by those that have used the service. The centrally funded service has allowed all schools to receive the level of support that they need which has not been directly linked to the number of pupils in schools.

If schools did not support a centrally delivered service to meet the needs of English as an additional language learners/Black Minority Ethnic pupils and those from the Gypsy Roma Traveller community they could expect to have to purchase support at the following rates:

## De-delegation Proposals 2020/21

|   |                 |
|---|-----------------|
| An EAL assessment and report  | £500-£600       |
| Support for individual pupils by a Pupil Support Officer  | £200 a day      |
| Training on Equality and Diversity including Equality Act requirements; EAL bilingualism, meeting the needs of GRT pupils tailored to schools |                 |
| Requirements  | £600-£800 a day |
| Tailored support provided by staff with relevant expertise  | £400-£500 a day |

## West Berkshire Council Maintained Schools

### Proposal to De-Delegate Formula Funding 2020-21

#### Trade Union Representation Service

## Outline of Proposed Service 2020/21

West Berkshire Council has a school trade union facilities agreement which includes provision for compensating individual schools for release time for teacher trade union representatives they employ. Compensation is paid from the dedicated schools grant.

Union representatives attend joint consultation meetings with the authority and meetings with head teachers and HR on a variety of employee relations matters. The latter includes TUPE consultation meetings where schools converted to academy status; consultation on reorganisations of teaching and support to staff (note: NASUWT and ATL also represent non teaching staff; NUT only represents teachers); disciplinary issues; grievances; ill health cases; capability cases; and settlement agreements

### What union officers do

Union officers use 'facilities time' to work with members experiencing professional difficulties (casework) and to support groups of members either in individual schools or through negotiation and consultation with the local authority acting on behalf of its schools (collective work). The casework dealt with by union officers falls into two broad categories: individual issues and collective issues.

#### Individual casework issues

The union officers spend most of the facilities time dealing with members. Union members in West Berkshire schools are able to contact their union representative directly by email or telephone. Issues raised by members in this way are known as casework. Casework can be divided into capability; disciplinary; grievance; and contracts, pay and conditions

Advice is often given on how the teacher can seek to resolve the matter for themselves. However, there are a number of cases where the union officer has to make contact with school management, human resources providers or an LA officer directly. Employees are entitled to be accompanied by a union officer at formal meetings under school HR procedures.

Contracts, Pay and Conditions issues such as pay determination appeals and questions of what teachers can be directed to do are becoming increasingly common.

### Collective Issues

These include consultation on changes to working conditions such as pay policies, sickness absence policies, codes of conduct restructuring and redundancy.

This school year has seen an increase in the number of school restructurings accompanied by the risk of redundancy, as school budgets come under increasing pressure. The redundancy procedure is complex and often involves multiple meetings. The threat of redundancy can quickly undermine morale in a school and often the role of union officers is to reassure and support employees as well as ensuring that correct procedures are followed.

## Benefits of Service

The following data gives information on the level and types of support provided in 2015/16:

### Number of contacts made to/by union officers in 2015/16

| Casework                       | Email     | Phone     | In person | Meeting   |
|--------------------------------|-----------|-----------|-----------|-----------|
| Capability Issues <sup>1</sup> | 26        | 12        | 11        | 6         |
| Pay & Conditions               | 19        | 7         | 4         | 3         |
| Contracts                      | 4         | 3         | 0         | 1         |
| Disciplinary Issues            | 5         | 5         | 3         | 2         |
| Grievance                      | 4         | 6         | 1         | 1         |
| Redundancy**                   |           |           |           | 20        |
| Restructuring**                |           |           |           | 8         |
| <b>TOTAL</b>                   | <b>58</b> | <b>33</b> | <b>19</b> | <b>41</b> |

|                          |              |
|--------------------------|--------------|
| <b>Collective</b>        | In Person    |
| LA Meetings <sup>2</sup> | 27**         |
| Del Train                | 9            |
| <b>Personal</b>          |              |
| Receive Train            | 14           |
| Research                 | Not recorded |
| Union Briefing           | 15           |

<sup>1</sup> Includes formal support through appraisal

<sup>2</sup> Such as Joint Consultative Panel and Education Liaison meetings.

\*\* Number of attendances. Officers of several unions are normally present at each meeting

### Notes

This is hierarchical, i.e. an email that leads to a meeting is not recorded.

**Email:** number of members supported by an exchange of emails

**Phone:** number of members supported through at least one phone call.

**In person:** number of members with whom a officer has met at least once

**Meeting:** number of members supported at a meeting with management.

**Hearing:** number of members supported at a hearing

Officers also spend time on internal union organisation such as attending, committee and general meetings. These activities are not undertaken in 'facilities time' Each union has a support infrastructure for its officers that includes reference resources as well as briefings and training courses included above.

## Proposed Cost of Delivery in 2020/21

The following table summarises the proposed cost of the service for 2020/21, compared to 2019/20. It is based on engaging a representative from each of the unions:

| Union  | 2019/20        | Proposed 2020/21 |
|--|----------------|------------------|
| NASUWT   | £15,950        | £15,786          |
| NUT  | £15,900        | £15,736          |
| ATL  | £13,665        | £13,524          |
| NAHT   | £3,530         | £3,494           |
| ASCL   | £2,425         | £2,400           |
| Support Service Recharges                        | £5,150         | £5,094           |
| <b>Total Cost</b>                                | <b>£56,620</b> | <b>£56,034</b>   |
| Income from Academies                            | £1,730         | £1,765           |
| <b>Cost to Maintained Schools</b>                | <b>£54,890</b> | <b>£54,269</b>   |
| Income from Nursery and Special Schools and PRUs | £2,286         | £2,418           |
| <b>Cost to Primary and Secondary Schools</b>     | <b>£52,604</b> | <b>£51,851</b>   |

The proposed budget for 2020/21 is based on:

- Reimbursement to schools providing release time for teacher trade union activities is dependent on agreement by Schools Forum in respect of maintained primary and secondary schools and from other schools which elect to buy in the facilities time - approximately equivalent to 1fte supply teacher across all unions, paid on UPS 3;
- Each trade union to have five days for activities including attendance at local authority consultative meetings;
- Balance of budget available is divided proportionately by the number of current members in each union as at 1<sup>st</sup> June (the budget will be adjusted depending on the actual level of buy back from other schools).

Note that representatives work across all sectors, and it is irrelevant what type of school they are employed by. Therefore the total net cost is divided between all schools de-delegating rather than taking each sector separately.

## Method of charging in 2020/21

The total cost of the service will be divided by the total number of pupils recorded in the October 2018 census to arrive at a per pupil amount for charging purposes. Using October 2018 census data to provide an indicative amount, this would equate to £3.47 per primary and secondary pupil. Appendix A of the main report shows the indicative total amount per school. Academies and other schools may choose to buy into the service at the same per pupil rate (this would provide funding for additional hours).

## Other Options which *may* be considered

It should be noted that once a decision has been made to discontinue pooling arrangements, it would be almost impossible to reverse that decision at a later date. Therefore the HFG and SF need to be aware that a decision to cease pooling arrangements for this budget would be permanent.

Currently some academies are using their allocation for trade union facilities time to set up school based consultative arrangements, rather than 'buying in' to local authority arrangements. This might be the preferred model for all secondary schools in the future with de-delegation and funding of release time for representatives to undertake union duties in another WBC school to be confined to the Primary sector.

There may also be the option to consider a reduced service at a lower cost to schools.

## West Berkshire Council Maintained Schools

### Proposal to De-Delegate Formula Funding 2020-21

#### CLEAPSS Service

### Outline of Proposed Service 2020/21

West Berkshire Council has an agreement with CLEAPSS (Consortium of Local Education Authorities for the Provision of Science Services) which includes the provision of support and advice to teachers, technicians, head teachers and governors/trustees on how best to use high quality practical work to support pupils learning in science, design & technology and, most recently, art & design.

All but two of the 182 authorities, with the duty to provide education, in England, Wales and Northern Ireland and the various islands, are members of CLEAPSS.

The Local Authority can offer schools and academies the opportunity to purchase an annual CLEAPSS subscription at a heavily discounted price from that which schools would pay to CLEAPSS independent of West Berkshire Council.

The CLEAPSS service also requires the provision of a Radiation Protection Officer (RPO) and the Radiation Protection Adviser (RPA) for secondary schools and academies who will require some radiation sources on site as part of the national curriculum.

### Benefits of Service

CLEAPSS covers:

- Health & safety including model risk assessments
- Chemicals, living organisms, equipment
- Sources of resources
- Laboratory design, facilities and fittings
- Technicians and their jobs
- D&T facilities and fittings

CLEAPSS provides:

- Termly newsletters for primary and secondary schools
- A wide range of free publications
- Model and special risk assessments
- Low-cost training courses for technicians, teachers and local authority officers
- A telephone helpline
- A monitoring service, e.g. for mercury spills
- Evaluations of equipment
- Advice on repairs
- A H&S / Review of service publishers, exam boards and other organizations producing teaching resources

The local authority will have met the conditions of membership if all community schools subscribe.

## Costs and Method of charging for 2020/21

CLEAPSS set the pricing each year in January/February for the financial year April to March ahead. In 2019/20 the charge to schools was 15 pence per pupil including administration costs. For secondary schools who require the service of a Radiation Protection Officer (delivered by WBC Health & Safety Team) and a Radiation Protection Adviser (delivered by CLEAPSS) there are additional costs of £185 per annum for the Radiation Protection Officer and £50 per annum for the Radiation Protection Adviser totalling £235 for the RPA and RPO services.

The proposal for 2020/21 is to set a rate per pupil of 16 pence per pupil which we hope will cover any increase in the CLEAPSS fee and the cost of administration. As the de-delegation covers pre-16 pupils only, maintained secondary schools will need to pay the 6<sup>th</sup> form element of the fee as a separate sum. Any shortfall or surplus will be carried forward to the following year.

The charges for the RPA and RPO service will be maintained as above.

### Other Options which *may* be considered

Independent, Academies, Foundation and VA schools may purchase the CLEAPSS subscription directly through CLEAPSS at an increased price.

The proposed cost per pupil/school is shown in the table below in comparison with the cost of buying this service directly from CLEAPSS.

| School                | Cost through local authority per pupil | Cost directly per pupil (min 200 pupils/ 350 secondary) | Radiation Protection Advisor | Radiation Protection Officer |
|-----------------------|--|---|------------------------------|------------------------------|
| Nursery               | 16p                                    | 30p   | N/A                          | N/A                          |
| Primary               | 16p                                    | 30p   | N/A                          | N/A                          |
| Secondary             | 16p                                    | 30p   | £50                          | £185                         |
| Special               | 16p                                    | 30p   | N/A                          | N/A                          |
| PRU                   | 16p                                    | 30p   | N/A                          | N/A                          |
| Primary Academy       | 16p                                    | 30p   | N/A                          | N/A                          |
| Secondary Academy     | 16p                                    | 30p   | £50                          | £185                         |
| Incorporated Colleges | 16p                                    | 30p   | £50                          | £185                         |

## West Berkshire Council Maintained Schools

### Proposal to De-Delegate Formula Funding 2020-21

#### Statutory and Regulatory Duties - Accountancy, Audit and Pension Scheme Administration

#### Accountancy (Statutory Functions)

**Description of Duties:**

Consolidation of school accounts into Council's year end statement of accounts.

Overview of school budget submissions & budget monitoring reports.

Monitoring of schools in financial difficulty/deficit.

Monitoring adherence to Scheme for Financing Schools.

Returns to Central Government – CFR, CFO grants return.

Administration of grants & other funding to maintained schools eg. PPG, budget allocations & adjustments.

Budgeting and accounting functions relating to maintained schools (Sch 2, 74)

Cost: £47,857

0.31 FTE Accountants; 0.43 FTE Senior Accountant; 0.1 FTE Finance Manager  
**Total FTE 0.84**

#### Pension Scheme Administration

**Description of Duties:**

Administration of Teachers and Local Government pension schemes in relation to staff working in maintained schools:

Amending and updating employee records in relation to pensions

Responding to queries from employees in relation to pensions

Completion of statutory monthly returns to Teachers Pensions and Local Government pension scheme, including service and pay calculations.

Cost: £36,729

1.0 FTE Pensions Assistant



## Internal Audit of Schools – Statutory Requirements

### Description of Duties:

Annual internal audit of maintained schools according to level of risk - circa 10 schools are audited per year. Each audit takes on average 7 days. The audit covers Governance; financial planning and management; financial policy, processes and records; benchmarking and value for money; school fund, SFVS.

We also carry out follow-up reviews for those schools that have a weak or very weak audit report opinion.

There is provision for adhoc advice to schools/issuing the Anti Fraud Advisory Bulletins and the investigation of any financial irregularities. We also monitor compliance with submitting the SFVS returns.

We have also included an element of time for the planning and monitoring of the school visit programme, and liaising with Accountancy /governor support etc on queries when they arise.

Cost: £45,700

0.65 FTE Senior Auditor; 0.09 FTE Audit Manager

**West Berkshire Council Maintained Schools****Proposal to De-Delegate Formula Funding 2020-21****Statutory and Regulatory Duties – Health and Safety****1. Introduction**

- 1.1 The Council has an established, professional and well regarded Health and Safety Team that already supports West Berkshire schools, currently through two service level options, Level One and Two.

**2. Background and Legislative Context**

- 2.1 The principal legislation in the United Kingdom for health and safety is the Health and Safety at Work Etc Act 1974. There is also a considerable amount of health and safety legislation under the Health and Safety at Work Etc Act 1974 including the Management of Health and Safety at Work Regulations etc.
- 2.2 The Management of Health and Safety at Work Regulations set out that every employer shall appoint one or more competent persons to assist him in undertaking the measures s/he needs to take to comply with the requirements imposed by the relevant statutory provisions.
- 2.3 The regulations state that the employer shall ensure that the number of competent persons appointed, the time available for them to fulfil their functions and the means at their disposal are adequate having regard to the size of the undertaking, the risks to which employees are exposed and the distribution of those risks throughout the organisation. It should be noted that the regulations do not suggest any limit or scope to the competent advice or how it should be delivered practically.
- 2.4 The regulations also state that where there is a competent person in the employer's employment, that person shall be appointed in preference to a competent person not in his employment.
- 2.5 The duties imposed by the health and safety at work Act 1974 and associated regulations apply to the Council as an employer and it would also apply to the Council in relation to Local Authority maintained schools as the Council is the employer.
- 2.6 In the case of Foundation and Voluntary Aided schools the Governors are the employer. In independent schools and Academies the Governors or the Academy Trust are the employers.
- 2.7 The Council also has the general "duty to educate", even where the Governors or an Academy Trust are the employer, there could be some limited involvement for the Council if a serious incident were to occur. See Appendix I for further information on the legal duty holders.

### 3. The Councils Health & Safety Support Service to Schools

- 3.1 The Council offers a health and safety support services to West Berkshire schools through two service level options, Level One and Two.
- 3.2 The Level One service suggests compliance with the Management of Health and Safety at Work Regulations in terms of access to competent advice for health and safety. The Level One service includes for a health and safety needs assessment of schools but all other services are remote and delivered by email and/or telephone contact. All other services set out in Level Two are not included and require additional payment from schools.
- 3.3 Schools health and safety needs assessments are completed less frequently for Level One schools and there is no additional support to improve on the areas identified in the needs assessment report. The schools are expected to make the improvements themselves. The issues discussed at 3.2 and 3.3 are not necessarily compatible with 2.3 above.
- 3.4 The Level Two service is a comprehensive health and safety support service and covers all aspects of health and safety management and support including necessary health and safety training.
- 3.5 Two members of the health and safety team provide the Level Two service to the schools that opt to purchase the service. The Health and Safety Team provide a compliance, advice and training role for schools. However, the work of the team relies on the buy-back which thus far has been reasonably stable but does not fully cover the cost of the two posts.
- 3.6 This brings with it difficulty in future planning and the risk that if there is a drop off in buy-back that one of the posts could be vulnerable. This in turn would make the service unviable as it would not be possible to maintain the service with one post/person.
- 3.7 As the Council is the employer and therefore the principal legal duty holder (notwithstanding any delegated responsibilities to a schools and its Head Teachers and Governors) in relation to health and safety, it makes sense to ensure an adequate, effective and efficient health and safety service is provided to Local Authority maintained schools and then a buy-back option offered to non-maintained schools.
- 3.8 Other options that could be considered would be to try to staff the team to match income levels e.g. reduce hours for remaining posts, look at alternative contracts such as term time only etc. These are not likely to be practical and may lead to the loss of quality staff that historically have been hard to attract to West Berkshire.
- 3.9 The Council could also remove the buy-back service completely and operate within the scope and resources of the Level 1 service. This would mean removing both Schools Senior Health and Safety Adviser posts and retaining the currently vacant Schools Health and Safety Adviser post (some adjustment to person specification / job description / grade and pay would likely be necessary).
- 3.10 The Council would also need to review the scope of the service but it is likely that we would remove or drastically reduce health and safety training available to schools.

- 3.11 The service would likely comprise of access to competent advice (mostly remote via email and phone), accident/incident investigation via Crest and schools needs assessments but on a less frequent basis.
- 3.12 No services would be offered to schools other than those that are Council maintained.

#### 4. Update on position since last year

- 4.1 An options paper setting out a number of alternative ways that the schools health and safety service could be funded into the future was taken to the Schools Funding Forum in 2019/20.
- 4.2 There were options to move to a uniform service level delivered to all maintained schools and funded by all maintained schools paying an equal share based on pupil numbers. The other option was to remain with the part funded and part buy-back service as we are. Head Teachers voted to remain as we are with a Level 1 core service (funded by all schools) and the Level 2 buy-back support service.
- 4.3 Head Teachers accepted that if the Level 2 buy-back drops off then this would jeopardise the future provision of the service and requested that a further report be brought for their consideration if that was to happen.
- 4.4 As was somewhat expected at this time last year the overall buy-back of the service by schools did reduce slightly with around five schools dropping out due to budget constraints.
- 4.5 Buy back of Level 2 for the year 2019/20 is around £107,558 with staffing costs around £140,000 including overheads, leaving a shortfall of around £33,000. These figures allow for the saving on the vacant post.
- 4.6 Funding for the Level 1 post (Approx £37k), which is held vacant still offsets this but we need to establish the structure and funding for the Schools H&S Team going forward as the current system is unlikely to be viable in the longer term.
- 4.7 We were successful in retaining work for health and safety support service to the Excalibur Academies Trust for approximately £18,000 per annum. We have also been successful in gaining work and income of just over £7000 from Park House Academy and St Gabriel's independent school. This is included in the £107,558

#### 5. Proposals

##### Option 1

- 5.1 In order to meet the requirements of the employer under the Health and Safety at Work Etc. Act 1974 and the Management of Health and Safety at Work Regulations and other related health and safety legislation the Council considers that the schools health and safety service should be provided to all Council maintained schools, thus removing the differing levels of service.
- 5.2 To delete one (currently vacant) of the three posts currently supporting schools to reduce costs but to maintain a viable service including the provision of training etc.
- 5.3 The two posts will provide a health and safety service to all maintained schools. Some site visits and needs assessments would need to be more evenly distributed

to accommodate the extra schools and spread the workload over a longer period with 2.2 FTE posts.

- 5.4 We could, for example move schools health and safety needs assessments to a results and risk based approach similar to Ofsted inspections. See Appendix H for further details of the service level provision.
- 5.5 All Council maintained schools would equitably share the cost of funding the two post via the DSG or other system in future.
- 5.6 A buy-back option would be offered to non-maintained schools where the Council is not the employer and therefore is not the main duty holder in relation to health and safety. Any income generated from the buy-back service would be offset to reduce costs for the Local Authority maintained schools.

| <b>Option 1 – Level 1 and Level 2</b>                               | <b>Proposed 2020/21 £</b> |
|---|---------------------------|
| Staffing Costs<br>0.2 FTE H&S Manager<br>2.0 FTE Senior H&S Officer | 119,630                   |
| Other Costs – IT System   | 5,000                     |
| Support Service Recharges   | 12,463                    |
| <b>Total Cost</b>   | <b>137,093</b>            |
| Income from Nursery and Special Schools and PRUs                    | -6,109                    |
| <b>Cost to Maintained Primary and Secondary Schools</b>             | <b>130,984</b>            |
| Estimated cost per pupil  | £8.78                     |

## **Option 2**

- 5.7 Maintain the current split in the service levels and funding, with a Level 1 service funded through the DSG with those schools equally and equitably sharing the costs of the provision of the Level 1 service.
- 5.8 Those schools that decide to purchase the Level Two schools health and safety service will then be provided the Level 2 health and safety service.
- 5.9 It is likely that we would need to change the service offer in the near future as the service is already operating at a deficit of around £30,000 that is only being offset by not appointing to the vacant post but this has a knock on effect on staff and service delivery and arguably risk.

| <b>Option 2 – Level 1 only</b>  | <b>Proposed 2020/21 £</b> |
|---|---------------------------|
| Staffing Costs<br>0.2 FTE H&S Manager<br>1.0 FTE H&S Officer (vacant) | 56,460                    |
| Other Costs – IT System   | 5,000                     |
| Support Service Recharges   | 6,146                     |
| <b>Total Cost</b>   | <b>67,606</b>             |
| Income from Nursery and Special Schools and PRUs                      | -3,013                    |
| <b>Cost to Maintained Primary and Secondary Schools</b>               | <b>64,593</b>             |
| Estimated cost per pupil  | £4.33                     |

## 6. Recommendation

- 6.1 Schools consider the options set out above and choose the best option that suits their needs, resources and meets legal requirements for financial year 2020/21.
- 6.2 Schools consider the issue discussed in paragraphs 3.9 to 3.12 and indicate if they wish this option to be explored further and possibly presented as an alternative option in future.

## 7. Conclusion

- 7.1 The Council recognises that safety is important but needs to be approached creatively and should not be seen as simply another legal burden or bureaucratic chore. A planned approach to managing risk should be seen as an enabler, not just to prevent accidents and work related health problems for both staff and pupils but to build a culture of sensible risk management, linked to a curriculum where teaching young people can develop their capability to assess and manage risk.
- 7.2 Risk is part of life but accidents do not need to be, so while schools need to make sure staff, pupils and visitors are safe, they also need to make sure that pupils are helped to become risk aware without becoming unnecessarily risk averse.
- 7.3 The Council will continue to support sensible and pro-active health and safety management in schools by providing a supportive infrastructure and service to schools.

**West Berkshire Council Maintained Schools****Health and Safety Service 2020/21****Overview of Service**

West Berkshire Council has a professional and dedicated Schools Health and Safety Team who provide support and advice to schools on all aspects of health and safety including policy development and effective implementation, user friendly guidance and information, support in completing risk assessments, a complete range of health and safety training, a regularly updated website, SLA online, safety alerts and health and safety newsletters.

**Schools Health & Safety Needs Assessment**

Schools Health & Safety Needs Assessment are designed to measure levels of compliance with legislation and best practice. The associated action plan will help you prioritise your improvements.

The assessment is conducted using a process of objective evidence gathering including a review of safety documentation, discussions with relevant managers and staff and a tour/inspection of the site.

We have operated the current system of needs assessments for four years now and have seen schools develop their health and safety management system but continued improvement is still required.

In order to free resource time that could be better utilised helping schools improve on the areas identified in the needs assessments, we propose to continue with the needs assessments with an amended schedule and to develop topic based assessments that will enable greater depth and time to be devoted to specific topics.

We propose that we would move the needs assessment process onto re-inspection frequencies similar to Ofsted.

Schools achieving a score of 91% and above on the previous needs assessment will require a new needs assessment completed in up to 5 years. For those schools purchasing the Level Two Health and Safety Service, support will be provided in intervening years on the areas identified for improvement and topic specific assessments will be completed, where required.

Schools achieving a score of 80% to 90% on the previous needs assessment will require a new needs assessment completed in up to 4 years. For those schools purchasing the Level Two Health and Safety Service, support will be provided in intervening years on the areas identified for improvement and topic specific assessments will be completed, where required.

Schools achieving a score of 60% to 79% on the previous needs assessment will require a new needs assessment completed in up to 3 years. For those schools purchasing the Level Two Health and Safety Service, support will be provided in intervening years on the areas identified for improvement and topic specific assessments will be completed, where required.

Schools achieving a score of 59% and below on the previous needs assessment will require a new needs assessment completed in up to 1 year. For those schools purchasing the Level Two Health and Safety Service, support will be provided in intervening years on the areas identified for improvement and topic specific assessments will be completed, where required.

Those schools purchasing the Level 2 Health and Safety Service will be able to request a new needs assessment at any time, which will be booked at the earliest mutually convenient opportunity at no additional cost to the school.



There are 20 questions in the Schools Needs Assessment, each carrying a maximum of 4 marks giving a total maximum possible score of 80. Any question marked not applicable will reduce the total maximum score possible accordingly. Terminology has been taken from Ofsted, which should make it more familiar to schools and the scoring system has been influenced by British Safety Council and RoSPA health and safety audit systems. The frequency of needs assessments discussed above has been included in Table 1 below.

**Table 1**

| Benchmark            | Overall Score | Description  | Score Range Achieved | Frequency between needs assessments |
|----------------------|---------------|--|----------------------|-------------------------------------|
| Outstanding          | 91%+          | Schools judged as 'outstanding' on the previous needs assessment will require a new needs assessment completed in up to 5 years. Support will be provided in intervening years on the areas identified for improvement and topic specific assessments will be completed for all maintained schools and those schools purchasing the service.             | 91% and above        | Up to 5 years                       |
| Good                 | 80% to 90%    | (1) Schools judged as 'good' on the previous needs assessment will require a new needs assessment completed in up to 4 years. Support will be provided in intervening years on the areas identified for improvement and topic specific assessments will be completed for all maintained schools and those schools purchasing the service.                | 80% to 90%           | Up to 4 years                       |
| Requires Improvement | 55% to 79%    | (2) Schools judged as 'requires improvement' on the previous needs assessment will require a new needs assessment completed in up to 2 years. Support will be provided in intervening year on the areas identified for improvement and topic specific assessments will be completed for all maintained schools and those schools purchasing the service. | 60% to 79%           | Up to 3 years                       |
| Inadequate           | Up to 54%     | (3) Schools judged as 'inadequate' on the previous needs assessment will require a new needs assessment completed in up to 1 year. Support will be provided in intervening months on the areas identified for improvement and topic specific assessments will be completed for all maintained schools and those schools purchasing the service.          | 59% and below        | Up to 1 year                        |



## West Berkshire Council Health and Safety

**Table 2**

| <b>Level 1 Service (All West Berkshire Council schools)</b>   |  |
|---|--|
| <p><b>Summary</b></p> <p>The core elements (accident/incident reporting, advice and health and safety needs assessments) of the Level 1 Health and Safety Service are provided to all WBC schools.</p> <p>Health and Safety Training can be purchased at good value on a cost per person per course basis or schools can request a quotation via SLA Online for bespoke or onsite health and safety training.</p> |  |
| <b>Service Provided</b>   | <b>Service Standard</b>  |
| <b>1) Advice</b>  | This is a 'REMOTE' service i.e. no 'in depth' support on site. Services will generally only be provided via email or telephone.  |
| <b>2) Training</b>  | The Health and Safety Team run school specific health and safety courses, which are accessible to Level 1 schools and Academies for a fee. Further details of courses available and costs can be obtained from CYP Training  |
| <b>3) Health and Safety Needs Assessment</b>  | <p>Schools will receive a health and safety needs assessment designed to assess and measure levels of compliance with health and safety legislation and best practice. The associated action plan will help you prioritise your improvement plan.</p> <p>Health and Safety Needs Assessments will be completed for Level 1 school on a 5 yearly risk based cycle. Where the overall score of the previous needs assessment recommends a needs assessment in less than 5 years the school will be required to purchase the 'additional' needs assessment. This will be recorded on the completed report from the needs assessment and left to the discretion of the school.</p> |
| <b>4) Accident Reporting &amp; Recording System</b>   | <p>The Crest system is provided to all schools as it is a requirement that all schools must use the system. Failure to use the Crest system appropriately could affect a schools insurance cover.</p>  |

**Table 2**

| <b>Health and Safety Level Two Service and the Proposed Combined Service</b>   |   |
|--|---|
| <p><b>Summary</b></p> <p>The aim of this service is to provide schools with a named, dedicated and professional Health and Safety Adviser to provide 'on site support and advice' to the school, guiding and prioritising the integration of an effective and efficient safety management system and documentation in support of the School's Health and Safety Policy.</p> <p>The schools dedicated Health and Safety Adviser will begin by arranging and completing a Health and Safety Audit (Needs Assessment) of the school that will help to identify the strengths and areas for improvement in the schools existing arrangements. The Schools dedicated Health and Safety Adviser will then continue to work closely with the school to help plan, develop and implement your health and safety policy and the areas for improvement you need.</p> <p>The Management of Health and Safety at Work Regulations require you to appoint someone competent to help you meet your health and safety duties. A competent person is someone with the necessary skills, knowledge and experience to manage health and safety.</p> <p>West Berkshire Council, Schools Health and Safety Team will be your competent person and help ensure you meet your health and safety duties. Details of the Health and Safety service are listed below in further detail.</p> |   |
| <b>Service Provided</b>  | <b>Service Standard</b>   |
| <b>1) Advice</b>   | Advice and support will be provided to the school on specific questions/issues. If required the schools dedicated Health and Safety Adviser will arrange to visit the school and meet with relevant persons to ensure the enquiry is resolved.  |
| <b>2) Health and Safety Needs Assessment</b>   | <p>Schools will receive a health and safety needs assessment designed to assess and measure levels of compliance with health and safety legislation and best practice. The associated action plan will help you prioritise your improvement plan.</p> <p>Your dedicated Health and Safety Adviser will then arrange to assist and support the school in progressing the recommendations to ensure continual improvement.</p> <p>Health and Safety Needs Assessments will be completed for all maintained schools and those schools purchasing the service on a cycle subject to the outcome of the previous needs assessment as per Table 1 above.</p> <p>Schools will be able to request a new needs assessment at any time, which will be booked at the earliest mutually convenient opportunity at no additional cost to the school.</p> |
| <b>3) School Safety Policy:</b>  | <p>Review existing against a model H&amp;S Policy that is school specific, in line with the LA Safety Policy, and conforms to appropriate local and legislative requirements.</p> <p>Ensure the Policy identifies key commitments with current signature.</p> <p>Ensure that the Policy, Organisation and arrangements are carried out and accurately reflect practice.</p>   |
| <b>4) Safety Organisation:</b>   | Review and provide documentation that identifies how health and safety is/shall become 'embedded' in daily operations at the school. Identify and/or nominate key staff tasked with   |

|  |  |
|--|--|
|  | health and safety responsibilities.  |
| <b>5) Planning and implementing:</b>         | <p>Review the existing arrangements; ensure the school adequately documents the standards and procedures required for a safe place of work.</p> <p>Following written review and prioritisation of issues, help the school to progress the areas for improvement by providing support and guidance. Improvement will be achieved with the schools full commitment and involvement.</p>  |
| <b>6) Health and Safety Risk Assessment:</b> | <p>Provide the school with initial or refresher training to nominated persons regarding completion of <i>local</i> Risk Assessments.</p> <p>Provide on-site review of the schools risk assessments, to support their completion.</p> <p>Provide basic refresher training to nominated groups of key staff. Ensure a practical understanding of the training by jointly completing several specific health and safety risk assessments required by the school.</p> <p>Provide support and guidance in terms of prioritising risk assessments to be completed or reviewed etc.</p>   |
| <b>7) Telephone/Incident response:</b>       | <p>Provide general telephone health and safety advice as required.</p> <p>Please note that where the topic is of a specific nature, additional time may be required for a detailed response following the initial call.</p> <p>Whilst every endeavour is made to provide an immediate answer to health and safety queries via telephone/email, requests may require additional research time. Therefore, where it is not possible to provide an answer of sufficient depth at the time of the call, or the same day, every endeavour shall be made to provide a follow-up call the next working day.</p> <p>Should the associated risk to safety or health warrant a school visit, this shall be arranged by the Health and Safety Team.</p> |
| <b>8) Health and Safety Training</b>         | <p>The Health and Safety Team run school specific health and safety courses. All health and safety training is included FOR all maintained schools and those schools purchasing the service.</p> <p>Further details of courses available and costs can be obtained from CYP Training</p> <p>On-site training such as twilight or inset days etc. can also be arranged at no additional cost.</p>   |
| <b>9) Fire Management</b>                    | <p>Schools will receive a regular site visit to complete a review of the schools Fire Risk Assessment (FRA) with their Health and Safety Advisor.</p> <p>Your advisor will also:<br/>         Complete a site inspection to verify recommendations have been implemented.<br/>         Discuss any issues outstanding and how to address these.</p>  |

|   |  |
|---|--|
|   | <p>Your advisor will help schools to complete an assessment to ensure you have adequate numbers of appropriately trained staff to deal with fire safety issues.</p> <p>Your advisor can also provide Fire Awareness training to school staff at an agreed time and date on site.</p>   |
| <b>10) Asbestos Management</b>                                      | <p>Schools will receive a regular site visit to complete a condition check of ACM (asbestos containing materials) with their Health and Safety Advisor.</p> <p>Your advisor will also review:<br/>The Asbestos Management Plan<br/>The Asbestos Register<br/>The Asbestos Survey</p> <p>Additionally any asbestos related risk assessment you may have in place will be reviewed to ensure it is correct and relevant.</p> <p>Your advisor can also provide tool box talks to your staff to allay any fears they may have regarding retained ACMs and also to highlight their responsibilities in respect of Health and Safety regarding asbestos.</p> |
| <b>11) Legionella Management</b>                                    | <p>Schools will receive a regular site visit to complete a review of the legionella risk assessment with their Health and Safety Advisor.</p> <p>The advisor will also check that the school are working within the written scheme suggested and in line with the recommendations of the risk assessment.</p>  |
| <b>12) Playground Equipment</b>                                     | <p>Schools will receive a regular site visit to complete a playground equipment inspection with their Health and Safety Advisor. This will be a guided check to ensure staff are confident with what should be checked, what should be recorded and what action to take.</p> <p>We will also review the playground equipment risk assessment with the school to ensure it is suitable and sufficient.</p> <p>This will give a specific opportunity for any concerns to be discussed and queries answered.</p> <p>We can also provide on-site training and support to staff if required.</p>  |
| <b>13) First Aid</b>  | <p>Schools will receive support and assistance to ensure the school's first aid needs assessments are in place and up to date and an appropriate number of staff are identified and trained to deliver first aid.</p>  |
| <b>14) Accident / Incident investigation and enforcement action</b> | <p>Schools will receive full on-site support and advice from your named and dedicated Health and Safety Adviser during an accident investigation for a serious accident or enforcement action by an enforcing authority such as the Health and Safety Executive.</p>   |
| <b>15) Accident Reporting &amp; Recording System</b>                | <p>The Councils Accident Reporting &amp; Recording System is provided to all schools to allow them to record and monitor accidents/incidents. Schools must use the Councils Accident Reporting &amp; Recording System as failure to do so could</p>  |

|   |   |
|---|---|
|   | invalidate insurance cover.   |
| <b>16) CHAS</b>                                 | <p>Assessing health and safety competence can be a lengthy and time consuming process. CHAS assesses applicants: health and safety policy, their organisation for health and safety and their specific health and safety arrangements to a standard acceptable to our buyers and others. In essence, CHAS completes the initial health and safety application process for you.</p> <p>Using CHAS will help you select a competent contractor or supplier but you still need to check they are competent to carry out your project by checking they have appropriate experience and take references etc.</p>   |
| <b>17) Safety Schemes In Partnership (SSIP)</b> | <p>An important feature of the SSIP Forum is the HSE's message that a buyer can be confident a supplier who is registered or accredited as compliant or approved with an SSIP member has been assessed to the Core Criteria standard.</p> <p>There are numerous pre-qualification health and safety schemes including CHAS, EXOR, SAFEcontractor etc. SSIP brings most of the pre-qualification schemes together under one umbrella via a 'deem to satisfy' agreement.</p> <p>This means that buyers using the SSIP database will have access to thousands of contractors who are accredited as compliant to the HSE's Core Criteria (stage one) standard. Using SSIP will help you select a competent contractor or supplier but you still need to check they are competent to carry out your project by checking they have appropriate experience and take references etc.</p> <p>Access to SSIP is included for Level 2 schools.</p> |

## School responsibilities

Whilst the duty to comply with statutory requirements cannot be delegated and remains with Schools and in some cases the Local Authority, the tasks involved with the effective implementation of health and safety management in schools is delegated to Head Teachers. For this approach to be successful, each school must do all that is reasonably practicable to ensure the health, safety and welfare of their staff, pupils and non-employees.

The operation of an effective health and safety management system at the school is central to achieving the above, with key areas being:

- The school Health and Safety Policy
- Organising for health and safety
- Planning and implementing safety controls
- Monitoring school health and safety performance
- Auditing and reviewing health and safety compliance and best practice.

Schools must also use the Council's Crest system to record accidents and incidents relating to the health and safety of their staff, pupils or visitors.

## West Berkshire Council Schools Health and Safety Team

The Schools Health and Safety Team is made up of two Senior Schools Health and Safety Advisors and a Health and Safety Manager who also manages Corporate Health and Safety.

### **Mike Lindenburn - Health & Safety Manager**

Mike has a wide range of experience in both the public and private sectors for over twenty years, providing strategic direction and operational management on health and safety. Applying initiative and practical, cost-effective solutions whenever possible. He is professional and hard working with good leadership, management and influencing skills.

Mike is a Chartered Member of the Institute of Occupational Safety and Health (CMIOSH), has a Level 5 Institute of Leadership & Management certificate in Leadership, is an Associate Member of Institute of Environmental Management and Audit (AIEMA), has achieved BIOH Asbestos Specialist, BOHS P901 Legionella and completed RoSPA Operational playground inspection course.

### **Wendy Manning - Senior Health & Safety Advisor (Schools)**

Wendy is a Chartered Member of IOSH (CMIOSH) and has over 13 year's post-qualification experience in health and safety in the public sector working in various roles. Wendy has since completed schools related training for RoSPA Operational Playground Inspection, CLEAPSS Radiation Protection Officer & Auditing Science.

Wendy has worked with multi-disciplinary teams often working in very high risk and dynamic environments where resources are limited and priorities constantly changing. Wendy has strong negotiation and influencing skills and is able to adapt and respond quickly to changing demands. Her health and safety advice always aims to be cost effective, flexible and realistic for the environment they are implemented in, achievable, jargon-free and simple to follow especially for those with little or no health and safety experience.

### **Alice Pye - Senior Health & Safety Advisor (Schools)**

Alice has over 15 years' experience as an Environmental Health officer. As well as health and safety enforcement she has worked in many other disciplines of Environmental Health so has a wide range of knowledge to bring to the team.

Alice has excellent organisational and communication skills and will work well with schools by building positive relationships. Much of her previous role involved working with partners to find practical solutions to issues as well as providing guidance and advice to help achieve the best possible outcome often in difficult situations.

Working with businesses to achieve health and safety compliance means she has a good working knowledge of the legislative requirements and their practical implications as well as experience in accident investigation.

To discuss any aspect of the Health & Safety Service please contact:

[schoolshealthandsafety@westberks.gov.uk](mailto:schoolshealthandsafety@westberks.gov.uk)

### **Key contacts:**

- Mike Lindenburn – Health & Safety Manager  
Tel: (01635 519204)  
Email: [mike.lindenburn@westberks.gov.uk](mailto:mike.lindenburn@westberks.gov.uk)
- Alice Pye – Senior Health & Safety Advisor  
Tel: (01635 519630)  
Email: [alice.pye1@westberks.gov.uk](mailto:alice.pye1@westberks.gov.uk)
- Wendy Manning Senior Health & Safety Advisor  
Tel: (01635 519303)  
Email: [wendy.manning@westberks.gov.uk](mailto:wendy.manning@westberks.gov.uk)

## West Berkshire Council Maintained Schools

### Legal Duty Holders for Health and Safety

| England and Wales            |                                  |
|------------------------------|----------------------------------|
| School type                  | Employer                         |
| Community schools            | The local authority              |
| Community special schools    |                                  |
| Voluntary controlled schools |                                  |
| Maintained nursery schools   |                                  |
| Pupil referral units         |                                  |
| Foundation schools           | The governing body               |
| Foundation special schools   |                                  |
| Voluntary aided schools      |                                  |
| Independent schools          | The governing body or proprietor |
| England                      |                                  |
| Academies and free schools   | The Academy Trust                |

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## Invest to Save Update

**Report being considered by:** Schools' Forum  
**On:** 14 October 2019  
**Report Author:** Michelle Sancho  
**Item for:** Decision **By:** Michelle Sancho

### 1. Purpose of the Report

- 1.1 The purpose of this report is to provide an update on the behaviour and PPEP care projects undertaken as part of the Invest to Save initiative. The report will also make recommendations for future actions.

### 2. Recommendation

- 2.1 That the HNB funds a 3 year fixed term post of a Therapeutic Thinking Schools Officer.

**Will the recommendation require the matter to be referred to the Council or the Executive for final determination?**

Yes: ☐

No: ☒

### 3. Introduction/Background

- 3.1 In July 2018 the Heads Funding Group / Schools Forum agreed to use £100,000 of one off funding on projects which would help to generate savings in the High Needs Block. The Schools Forum approved the allocation of £78,400 to the behaviour project if a bid for the Strategic School Improvement Fund was not successful. In addition the Schools Forum allocated £10,000 for Psychological Perspectives in Education and Primary Care (PPEP Care) training for schools on Autism Spectrum Disorder (ASD).

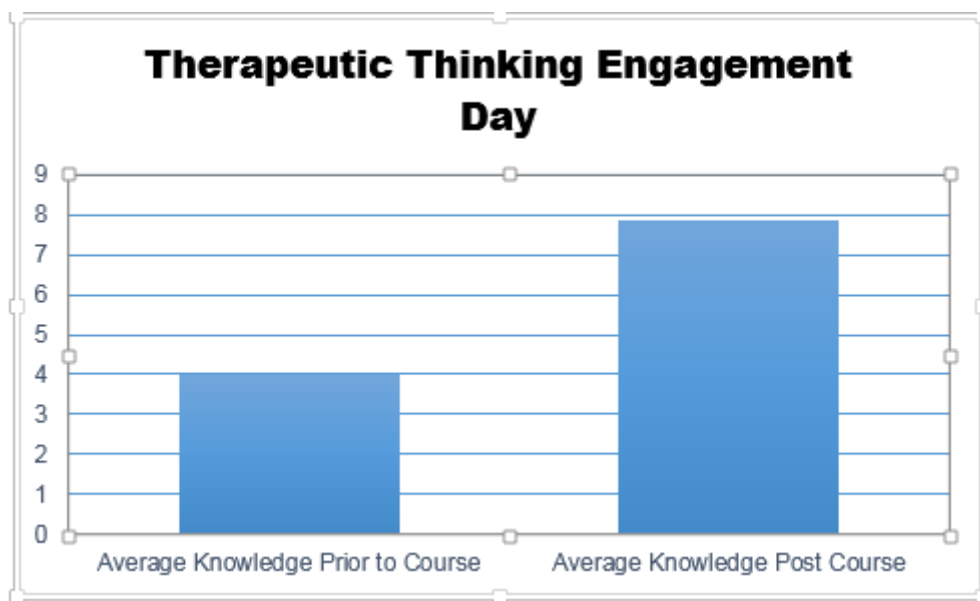
### 4. Overview of Behaviour Projects

- 4.1 Therapeutic Thinking
- 4.2 Over 120 school staff and West Berkshire employees have attended engagement days which helped them to understand how to support children and young people in schools in a trauma informed way. In addition, over 70 school staff and LA employees attended three day train the trainer training in order to upskill themselves to deliver training in therapeutic thinking in their own settings. Other local authorities that have adopted a similar approach have seen impressive outcomes. For example, one local authority found that in schools where head teachers were trained as trainers there was a 60% reduction in fixed term exclusions, an 89.5% reduction in exclusion days and no permanent exclusions. This was achieved within a year.
- 4.3 Both the engagement day training and the 3 day training have been evaluated positively. The evaluation is outlined below.

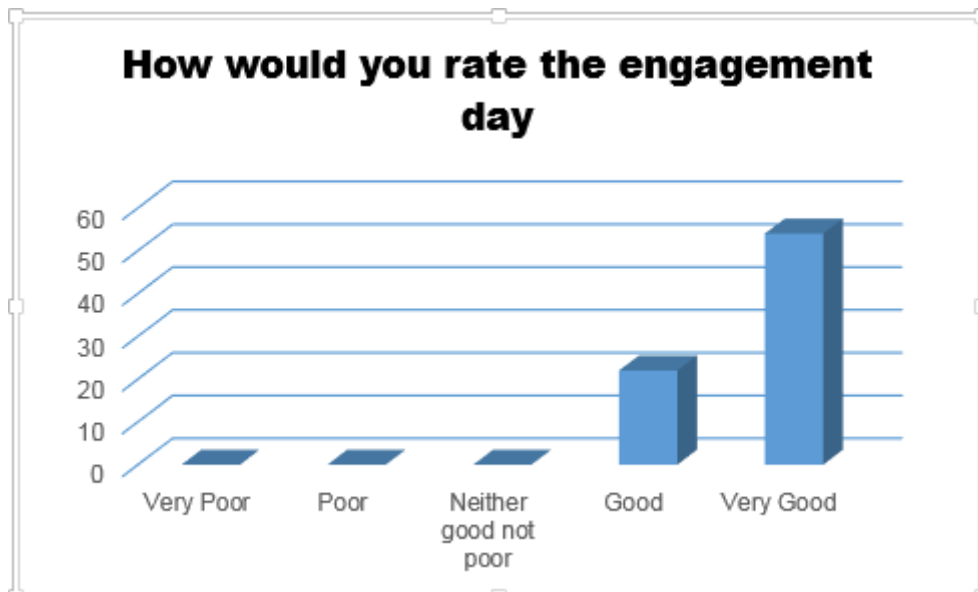
#### 4.4 The introductory engagement day feedback



- 4.5 All attendees of the engagement day rated the training as being likely to have a significant impact on their practice. The mean knowledge of participants shifted from a mean of 4 out of 5 before the training to a mean of 9 out of 10 post training.



- 4.6 100% of attendees rated the introductory training as good or very good.



- 4.7 Some of the comments from attendees of the introductory training are illustrated below:

*'This has the potential to fundamentally change the way we support children in West Berkshire'*

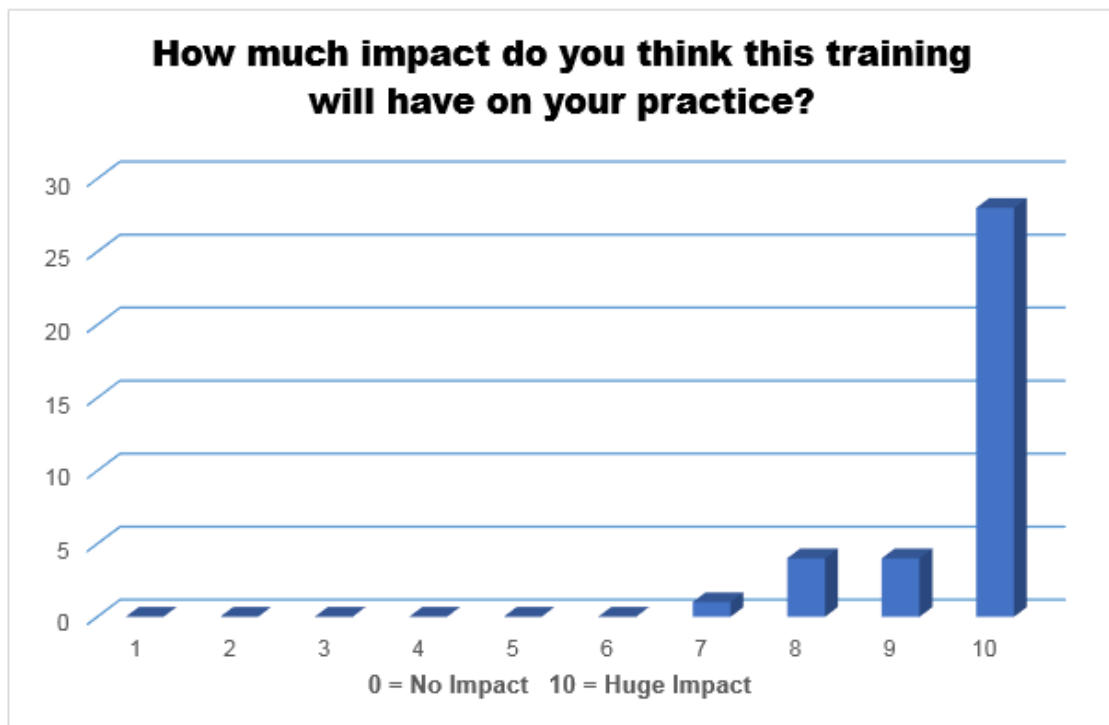
*'I feel very hopeful that this approach could significantly improve the life chances and outcomes of some of our most disadvantaged and vulnerable young people so that each child gets the opportunity to succeed.'*

#### 4.8 The 3 day train the trainer feedback

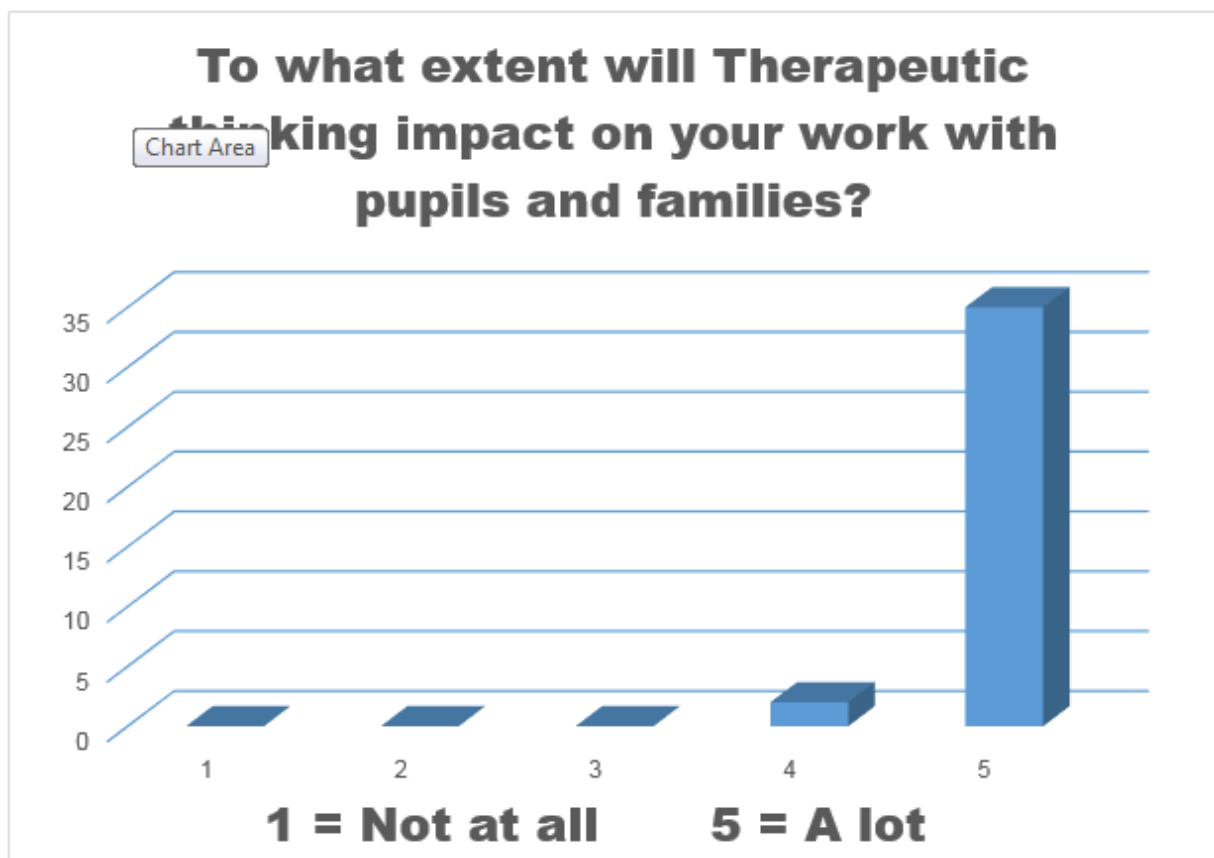
- 4.9 The vast majority of those who completed evaluation forms and attended the 3 day training rated the training as very good. 100% rated the training as good or very good.



- 4.10 Attendees rated the training as having an impact on their practice. All attendees had previously attended the introductory training which they rated as having a significant impact on their practice. As there was some time between the introductory training and the 3 day training, some attendees may have been rating the further impact of the 3 day training.



- 4.11 Attendees rated the training as impacting their work with families.



4.12 Some of the comments from attendees of the 3 day course are illustrated below.

*'Best training I've ever done. Once you listen to everything it's all so logical and makes sense'*

*'I feel totally inspired and this is what I have been looking for, for a very long time.'*

*'This course has given me the theory, tools, experience, examples to be more determined to bring about change for every child we can.'*

*'Empowered to develop ideas I've always thought were the right forward further.'*

*'Confident with the materials supplied to change the minds of even the most "set in their ways" staff.'*

*'Wonderful course, I can't wait to get back to school setting to begin working on implementation.'*

*'Excellent course. Looking forward to collaborative working with other leads'*

*'Probably the most inspiring course so far in my teaching career. Your charisma and knowledge is infectious, I have enjoyed it thoroughly, thanks'*

*'Amazing engagement day followed by a thought provoking and supportive 3 day course that has made me feel empowered and excited about the journey for our school'*

*'Engaging, Inspiring, though provoking and RIGHT!'*

*'Challenging Inspiring and engaging. This will transform schools, LA's and more importantly the destinations for all pupils.'*

*'Inspirational, common sense 3 day course that can make HUGE differences and impact on our young people families and colleagues.'*

*'Fantastic course. Provided with lots of knowledge and information, along with resources that can be used easily to support children. I am looking forward to implementing this approach in school and making a difference to many children. Now feel I have the confidence and justification to make decisions that are in the best interest of the child'*

*'Enlightening 3 days. The most informative 3 days training I've been on in my whole teaching years.'*

*'Training has been enlightening, inspiring and humbling. It has come at the right time and I'm looking forward to the direction we are going as a local authority. We can make a difference to all children, including our most vulnerable. The tools and plans give us a power to start making a change tomorrow'*

*'Quality and depth of input. Can be applied in all settings. Dynamic and inspiring – best training in 20 years teaching'*

*'I've found the course timely and empowering. It has enabled me to reflect and evaluate the effectiveness of our current policies and procedures and give me the tools to make it better for the children in my school.'*

*'This training has been exciting and has opened my eyes to some different solutions that are absolutely in line with our philosophy.'*

*'Inspirational delivery with lots of clarity in terms of explanation. Clearly passionate which meant I totally bought in to the 'therapeutic thinking' philosophy... resources mean these can be utilised and I can implement parts into school quickly'*

- 4.13 Two more engagement days and one more 3 day course have been scheduled to take place before the end of the financial year. These are heavily oversubscribed with waiting lists. Since the training I have been informed of significant changes in some schools. This has included the removal of the isolation unit along with a revised behaviour policy in one school, another school has brought in a new behaviour system and removed the booths in their call out provision, several other head teachers have introduced therapeutic thinking to their whole school during September INSET days and have reported that they put in place alternatives to exclusions.

## **5. Bespoke Projects**

West Berkshire schools were given the opportunity to bid for educational psychology time and financial support (if appropriate) for an Invest to Save project in their school. A total of 6 bids were received. The projects were supported up until August 2019.

A summary of the bids can be found in Appendix A. 5 individual schools replied (Trinity, Inkpen, Garland, Theale, Spurcroft), 1 group of schools (St Barts, St Nicolas, St John the Evangelist, John Rankin and Falkland) and the Pupil Placement Panel also applied..

- 5.1 Appendix B provides an overview of the support packages provided to the schools. An evaluation of the support provided to the schools most actively engaged is shown in Appendix . A brief overview for each school is outlined below.

### **5.2 Trinity Outcomes-**

Positive shift in staff confidence following whole school staff training delivered

Positive reduction in reported behaviour incidents and call outs reduced pre / post involvement in project

Positive confidence shift reported by ASD Resource staff

Some comments from staff:

-Taking a step back and viewing behaviour as something that is a result of many factors was useful

- The discussions with staff was useful
- Very helpful to have external providers to add to our practice

### 5.3 Inkpen Feedback –

School staff found the support sessions provided useful (indicated on a rating scale)

The sessions influenced staff practice in supporting children with behaviour difficulties (indicated on a rating scale)

Some comments from staff:

- I always feel refreshed after these sessions and the ideas have had a positive impact on my well-being/teaching approaches
- More of these sessions would be good, to think about / reiterate the importance of emotional well-being in adults and children.
- It has been wonderful to be given time to reflect and stop to think about where I am with emotions and how I regard them...and accepting them!

### 5.4 Garland Outcomes -

Positive shift in pupils' reported sense of belonging in school

Varied positive shifts in pupils' view of classroom dynamics e.g. improved satisfaction (in Year 3, 4 & 6), reduction in friction (in Year 6), competitiveness, reduced difficulty (in Year 6) and improved cohesiveness (in Year 4, 5 & 6)

School staff reported that the whole school training delivered was useful indicated on a rating scale

The whole school training delivered influenced staff practice somewhat indicated on a rating scale

School staff reported finding the problem solving consultation sessions particularly useful indicated on a rating scale

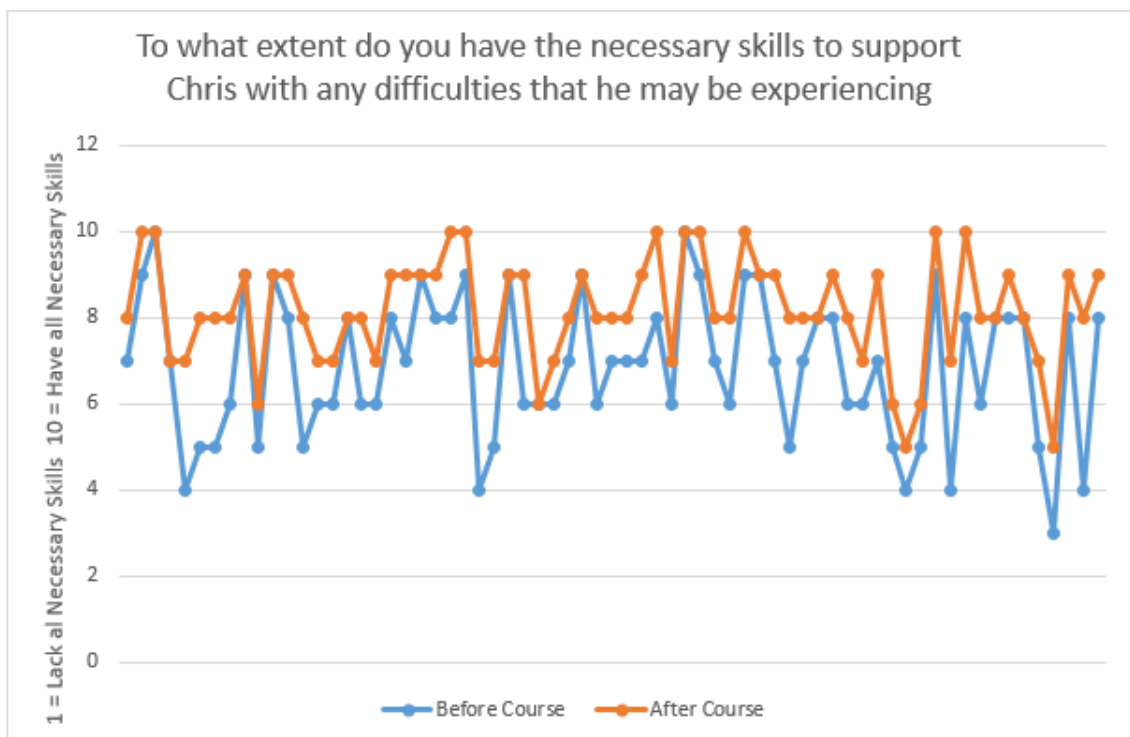
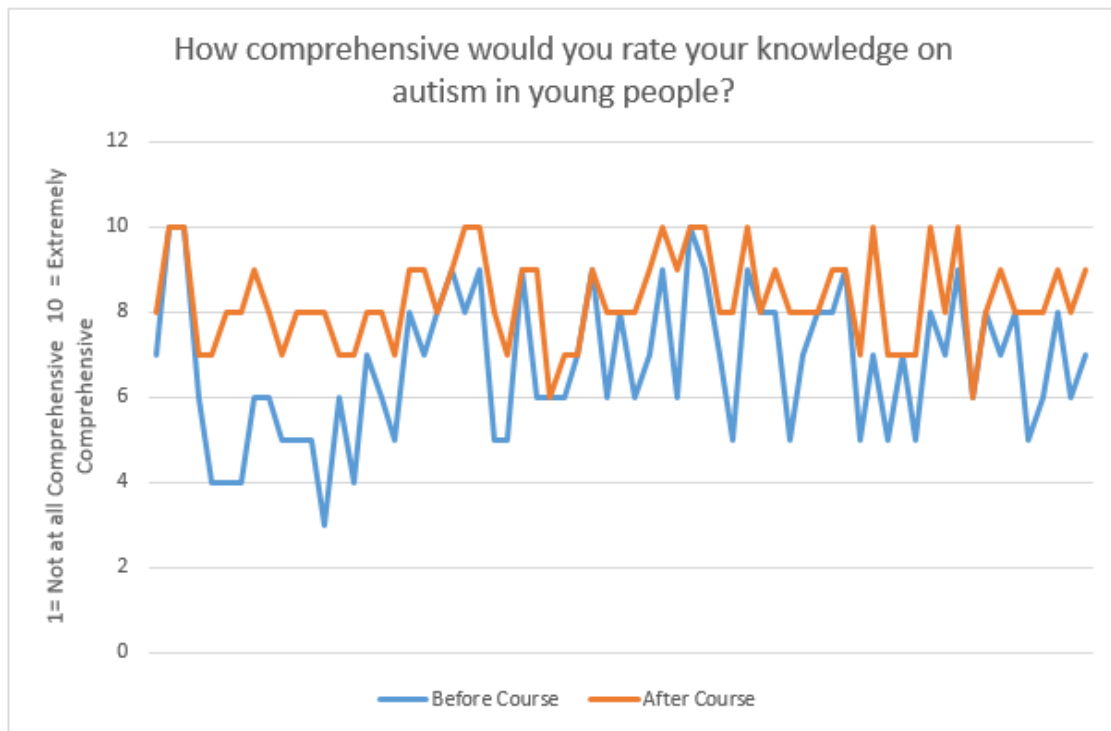
School staff reported feeling that the problem solving consultation sessions did move them forward indicated on a rating scale

St Barts Cluster Feedback –

- Children gained an ability to self-reflect
- Children enjoyed the course of sessions
- Further feedback is being sought from the person who delivered the small group, support sessions for Year 6 children

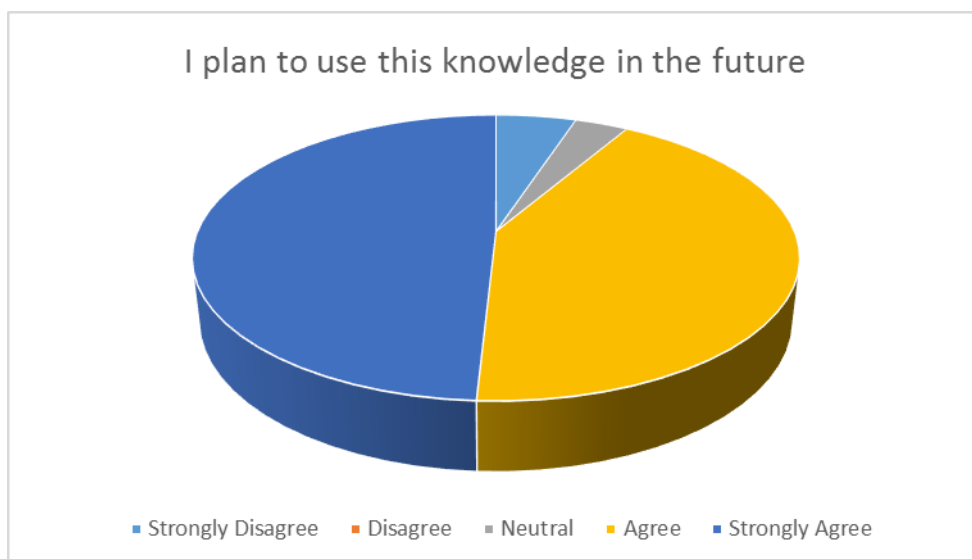
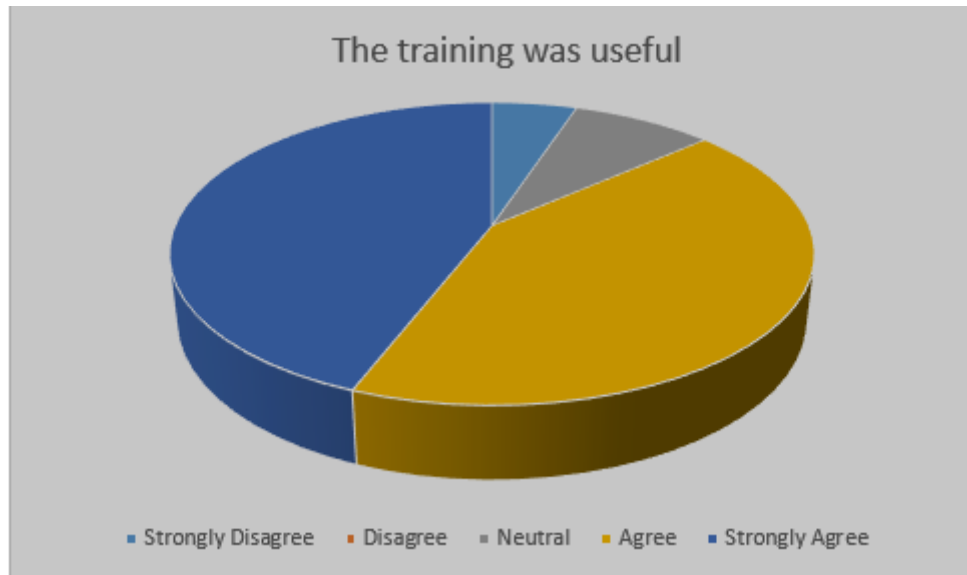
## 6. PPEP Care Project

- 6.1 The nationally recognised PPEP Care training was delivered by two educational psychologists. The training was made available to all schools with the cost of supply covered for all attendees. The training ran twice.
- 6.2 The training was well received. The charts below demonstrate the improvements in knowledge and skills reported by the attendees.





- 6.3 Most attendees reported an increase in their knowledge of autism in young people following the course. Similarly many of the attendees increased skill level sufficiently to support the case study.
- 6.4 86% of the attendees reported that they were satisfied with the training and 84% reported that they planned to use the knowledge they acquired in the future.



## 7. Recommendations

- 7.1 The Invest to Save Projects have had a significant impact on staff skills and reported practice, The area that has had the most significant impact is the introduction of the Therapeutic Thinking approach. In order to sustain change across West Berkshire I recommend that HNB funds a 3year fixed term post of Therapeutic Thinking Officer to lead network meetings for school leads, develop policy and practice within West Berkshire and in schools and to continue to deliver the engagement and train the trainer courses.

## **8. Conclusion**

- 8.1 The Invest to Save Behaviour Projects and the PPEP Care training were on the whole successful. Schools are keen for continued training and support in the area of Therapeutic Thinking. This area has the potential to achieve substantial savings in the HNB over time.

## **9. Consultation and Engagement**

- 9.1 The evaluation of the project is based on information from staff in a wide range of West Berkshire schools and a number of local authority officers.

## **10. Appendices**

- 10.1 Appendix A - A summary of the details shared by the schools on their expression of interest forms
- 10.2 Appendix B - Overview of bespoke packages of support provided in schools
- 10.3 Appendix C - Evaluation of support provided in the 4 remaining schools

## Invest to Save - Appendices

### Appendix A

Below is a summary of the details shared by the schools on their expression of interest forms.

| School  | Rationale / Focus / Reason to be involved                           | Whole School Training commitment (in sessions)   | Ongoing staff support / regular consultation   | Desired Outcomes   | Measuring Impact   | Additional targeted EP time  |
|---------|---|--|--|--|--|--|
| Trinity | Exclusions in Yr7 & 8 in connection to poor transition from Primary | 1 whole day spread over 2 days and 2 twilights<br><br>7 <sup>th</sup> January & 4 <sup>th</sup> April (INSET)<br><br>25 <sup>th</sup> Feb (Twilight) | Managing poor behaviour in a positive way to reduce impact on whole class teaching<br><br>Engaging hard to reach parents | To reduce number of FTE and PEX<br><br>Give students a positive experience of secondary school   | Reduced FTE and PEX, reduced behaviour incidents etc.<br><br>Student responses on Attitudes to School Survey pre and post programme                                      | Work with parents  |
| Inkpen  | No exclusions, but have a number of students at risk.               | 23 <sup>rd</sup> April & 24 <sup>th</sup> May (INSET)<br><br>Wednesdays (Twilights)  | Regular check-ups for staff rather than just a one off session so staff feel supported long term                         | Develop staff expertise in working with challenging children<br><br>Better integration of challenging pupils into peer groups and school<br><br>Raise attainment due to them accessing learning better | Reduced exclusions<br><br>Reduced interaction with BiT and less adult time to support on 1:1 basis<br><br>Staff morale and feeling of personal safety for staff improves | Work with challenging children on emotion regulation<br><br>Support children with learning difficulties          |
| Garland | GRT exclusions and attendance issues.                               | 4 -5 twilight sessions (3 hours each) on Wednesdays or Thursdays   | Managing anxiety and school refusal<br><br>Understanding SEMH and ways to manage this (EP consultation staff)            | Improved relationships with GRT parents (particularly fathers)<br><br>Reduction in exclusions<br><br>Increase attendance of GRT  | Attendance figures, exclusion rates, progress rates of selected pupils, parent attendance at parents' evenings.  | To assess GRT pupils' needs thoroughly and not just 'blame' low attendance because of their cultural background. |



|                           |  |     |   |   |   |                    |
|---------------------------|--|-----|---|---|---|--------------------|
|                           | reduce their risk of exclusion over time   |     |   |   |   | long term outcomes |
| PPP: Fair Access Protocol | <p>Limited no. of successful 'fresh starts'</p> <p>Increase in PEX learners needing to be placed in mainstream settings</p> <p>To offer a small amount of targeted, funded support which is attached to a learner encouraging an ethos of 'I can do this with....'</p> | n/a | Case by case basis following placement as could vary with phases and settings | <p>Increase PPP cases returned to referring schools where they remain on roll and engaged</p> <p>Reduction of number of admissions cases referred to PPP by receiving schools</p> | <p>% of successful fresh starts</p> <p>% successful PEX placements</p> <p>Budget holder reports</p> |                    |

## Appendix B - Overview of bespoke packages of support provided in schools:

Initial contact with schools took place in January 2019. At these meetings it was decided what should might be helpful from the additional EP involvement as well as the bespoke package of support for staff. The below table illustrates what was completed for each setting from January – July 2019.

|  |  |
|--|--|
| Trinity  | <ul style="list-style-type: none"> <li>• Whole school staff audit regarding their confidence in managing behaviour difficulties in class / school.</li> <li>• Meeting to analyse the responses from staff</li> <li>• Creation and delivery of whole school training session covering topics such as Emotion Coaching, Compassion Focussed Therapy and Appreciative Inquiry.</li> <li>• Meeting to analyse the Appreciative Inquiry findings</li> <li>• Delivery of Emotion Coaching Training for ASD Resource staff</li> <li>• Evaluation of behaviour data and collection of qualitative comments from staff.</li> </ul>  |
| Inkpen   | <ul style="list-style-type: none"> <li>• Several staff support sessions (6 in total), delivered during staff meeting time (x4 for teaching staff and x 2 for support staff) involving aspects from Compassion Focussed Therapy, Appreciative Inquiry, Solution Focussed Therapy and Acceptance, Commitment Therapy.</li> <li>• Evaluation of qualitative comments shared by staff after final support session</li> </ul>   |
| Garland  | <ul style="list-style-type: none"> <li>• Pre measure data collection with all children (years 3 – 6) to gain their views about school. Using the Psychological Sense of School Membership (PSSM), Belonging and My Class Inventory (MCI) scales.</li> <li>• Twilight, staff meeting training session for all school staff on Emotion Coaching and Compassion Focused Therapy</li> <li>• Staff problem solving consultations (x4), 1 for each year group.</li> <li>• Generation of strategies to be shared across the whole staff group</li> <li>• Post measure data collection with all children (years 3 – 6) to gain their views about school. Using the Psychological Sense of School Membership (PSSM), Belonging and My Class Inventory (MCI) scales.</li> <li>• Evaluation of quantitative data from children and collection of qualitative comments from staff involved.</li> </ul> |
| Theale Green   | <ul style="list-style-type: none"> <li>• Whole school staff audit regarding their confidence in managing behaviour difficulties in class / school.</li> <li>• Meeting to discuss findings and analyse data received for next steps – kept being cancelled by school and therefore <b>we did not move further than this.</b></li> </ul>   |
| St Barts group<br>(including St Nicolas, St John the Evangelist, John Rankin and Falkland) | <ul style="list-style-type: none"> <li>• Meetings with the group to decide on aims for involvement</li> <li>• School group decided to organise a different provider for Year 6 students in the Primary settings, with the aim for this work to support their transition to Year 7 in September 2020.</li> <li>• The provider indicated the use of quantitative data pre/post student support delivery however only qualitative comments were obtained and shared.</li> <li>• Evaluation of the comments following direct student support for Year 6 pupils.</li> </ul>   |
| Spurcroft  | <ul style="list-style-type: none"> <li>• Several attempts made to liaise and discuss the project, however none were responded to, therefore <b>we did not move further than this.</b></li> </ul>   |
| PPP: Fair Access Protocol  | <ul style="list-style-type: none"> <li>• This expression of interest was taken on by Michelle Sancho and led to a wider LA wide initiative of Therapeutic Thinking Training and therefore <b>we did not move further than this.</b></li> </ul>   |

## Appendix C

### Evaluation of support provided in the 4 remaining schools:

| Trinity   |   |
|---|---|
| Quantitative Data   | Qualitative Data  |
| <ul style="list-style-type: none"> <li>• <b>Positive shift in staff confidence following whole school staff training delivered</b> indicated on a pre/post rating scale (1-10, 1 being not very confident and 10 being very confident) <ul style="list-style-type: none"> <li><b>Pre</b> mean confidence rating = 6.91</li> <li><b>Post</b> mean confidence rating = 8.21</li> </ul> </li> <li>• <b>Positive reduction in reported behaviour incidents and call outs reduced pre / post involvement in project.</b> <ul style="list-style-type: none"> <li><b>Pre (Term 1)</b> mean behaviour incidents reported = 58.25</li> <li><b>Post (Term 5)</b> mean behaviour incidents reported = 40.5</li> <li><b>Pre (Term 1)</b> no. of call outs for behaviour incidents reported = 106</li> <li><b>Post (Term 5)</b> no. call outs for behaviour incidents reported = 71</li> </ul> </li> <li>• <b>Positive confidence shift reported by ASD Resource staff</b> pre/post Emotion Coaching Training session on a rating scale (1-10, 1 being not very confident and 10 being very confident) <ul style="list-style-type: none"> <li><b>Pre</b> mean confidence rating = 3.66</li> <li><b>Post</b> mean confidence rating = 8.33</li> </ul> </li> </ul> | <p>Comments reported by staff post whole school training delivered:</p> <ul style="list-style-type: none"> <li>• Taking a step back and viewing behaviour as something that is a result of many factors was useful</li> <li>• The discussions with staff was useful</li> <li>• This type of training should be completed at the start of the year. Right now, this isn't so helpful. It should be used to set up the year efficiently</li> <li>• Thought-provoking session – thank you</li> <li>• Totally relevant</li> <li>• Very helpful to have external providers to add to our practice</li> <li>• Excellent information and ideas – just a little intense to absorb information completely in a long session.</li> </ul> <p>Comments shared by staff lead in school, post involvement in the project:</p> <p><b>What was useful:</b></p> <p>Being able to have input from staff throughout all stages of the project, which was then able to be analysed by Wendy (EP) and discussed with myself was extremely helpful and interesting and in my opinion allowed us to drive a significant initiative trial within the school.</p> <p>I think it would be helpful to have ongoing support in order to ensure that the momentum continues, as the time available to implement and look for changes was relatively short.</p> |

## Inkpen

### Qualitative Data

- **School staff found the support sessions provided useful** indicated on a rating scale 1 – 10 ( 1 being not very useful and 10 being very useful)

**Mean rating** given by **teaching staff** = 9.5

**Mean rating** given by **support staff** = 10

- **The sessions did influence staff practice in supporting children with behaviour difficulties** indicated on a rating scale 1 – 10 (1 being not influenced at all and 10 being influenced a great deal)

**Mean rating** given by **teaching staff** = 7.75

**Mean rating** given by **support staff** = 10

- Comments reported by staff on the evaluation form:

- Thank you very much for having these sessions, things have improved.
- It would be good to have had longer for the sessions as well as further sessions, perhaps 2/3 months down the line and then maybe 6 months later, because things don't always change over a short period of time.
- It would be good to have more techniques to practise/time to practice
- I always feel refreshed after these sessions and the ideas have had a positive impact on my well-being/teaching approaches
- More of these sessions would be good, to think about / reiterate the importance of emotional well-being in adults and children.
- More work together as an entire staff – bridge the gap between teachers and TAs, views, interpretation, reasons for actions, feeling de-skilled, feeling valued, attitudes to TAs and valuing them fully.
- It has been wonderful to be given time to reflect and stop to think about where I am with emotions and how I regard them...and accepting them!

#### **What was useful:**

- Having chance to let everything out and in the school environment which never happens with someone who listens and with all of us.
- It made my concerns real and worthy.



- Time to practice techniques
- The way Wendy has helped me to think in different ways.
- Looking at things in different ways
- Listening to teaching colleagues
- It was all useful – the whole process of building on my own thoughts. The sessions have all built on each other.
- Time to reflect and think about the barriers which come up when dealing with challenging children and how they can be overcome to the benefit of all.
- Time to work as a whole staff so we can move forward together.

## Garland

### Quantitative Data

- **Positive shift in pupils' reported sense of belonging** in school

|                               |                         |
|-------------------------------|-------------------------|
| Year 3 Pre mean score = 1.984 | Post mean score = 2.334 |
| Year 4 Pre mean score = 2.266 | Post mean score = 2.766 |
| Year 5 Pre mean score = 2.066 | Post mean score = 2.5   |
| Year 6 Pre mean score = 3.186 | Post mean score = 3.234 |

- **Varied positive shifts in pupils' view of classroom dynamics** e.g. improved satisfaction (in Year 3, 4 & 6), reduction in friction (in Year 6), competitiveness, reduced difficulty (in Year 6) and improved cohesiveness (in Year 4, 5 & 6)

|                 | Year 3 |      | Year 4 |      | Year 5 |      | Year 6 |      |
|-----------------|--------|------|--------|------|--------|------|--------|------|
|                 | Pre    | Post | Pre    | Post | Pre    | Post | Pre    | Post |
| Satisfaction    | 8      | 10.2 | 9.6    | 11.6 | 11.4   | 11   | 9.8    | 10.6 |
| Friction        | 11.2   | 12.6 | 8      | 8.2  | 11     | 11.4 | 13.8   | 11.8 |
| Competitiveness | 9.8    | 10.6 | 11     | 11   | 12.6   | 13   | 11     | 14.2 |
| Difficulty      | 8.8    | 9    | 7.8    | 7.8  | 5.8    | 5.8  | 9      | 5.4  |
| Cohesiveness    | 9.4    | 9.2  | 6.8    | 10.6 | 6.8    | 7.2  | 5.8    | 7.4  |

\*mean scores rated on the MCI survey

|   |  |
|---|--|
|   |  |
| Garland   |  |
| Qualitative Data  |  |
| <ul style="list-style-type: none"> <li> <b>School staff reported that the whole school training delivered was useful</b> indicated on a rating scale 1 – 10 ( 1 being not very useful and 10 being very useful) </li> </ul>                       | <p>Mean rating given by staff = 7.5</p>  |
| <ul style="list-style-type: none"> <li> <b>The whole school training delivered influenced staff practice somewhat</b> indicated on a rating scale 1 – 10 (1 being not influenced at all and 10 being influenced a great deal) </li> </ul>         | <p>Mean rating given by staff = 6.12</p>   |
| <ul style="list-style-type: none"> <li> <b>School staff reported finding the problem solving consultation sessions particularly useful</b> indicated on a rating scale 1 – 10 ( 1 being not very useful and 10 being very useful) </li> </ul>     | <p>Mean rating given by staff = 8.87</p>   |
| <ul style="list-style-type: none"> <li> <b>School staff reported feeling that the problem solving consultation sessions did move them forward</b> indicated on a rating scale 1 – 10 (1 not helped at all and 10 helped a great deal) </li> </ul> | <p>Mean rating given by staff = 9</p>  |
| <ul style="list-style-type: none"> <li> <u>Comments reported by staff on the evaluation form:</u> </li> </ul>   | <p>Felt relieved that it is ok to feel angry at the situation<br/>A session with lunchtime staff to discuss problems that occur would be good.</p> |
| <p><b>What was useful:</b></p> <ul style="list-style-type: none"> <li>           Recognising ways that I regain balance in my circles </li> <li>           Identifying how we need to build kids back up to learning after holidays </li> </ul>   |  |

- Discussion about rewards
- Liked the outsider views – lots of useful tactics given which we can use. New approach to looking at same children
- Found the session very useful – being given a space to talk about issues. I left feeling better that I could now move on and look at the children in a different way – thank you
- Just what we needed! Maybe more time or a follow up session after a month, would be good?
- Very useful to have some practical things to try
- A fantastic session
- Lots to take away
- Being able to discuss in a non-critical manner then suggest / be given routes forward (long and short term)
- Having the opportunity to discuss a child in detail
- Potential solutions or ideas to improve the child's behaviour within school

**St Barts group  
(including St Nicolas, St John the Evangelist, John Rankin and Falkland)**

**Quantitative Data**

- None shared

**Qualitative Data**

- Children gained an ability to self-reflect
- Children enjoyed the course of sessions
- Further feedback is being sought from the person who delivered the small group, support sessions for Year 6 children.

## **Key findings / learning:**

- Staff valued the chance to discuss key children in a problem solving session
- Staff valued opportunities to have time dedicated to consider and reflect upon their own mental health and emotional well-being
- Staff's confidence in dealing with students with behaviour difficulties can improve with training (tailored to their needs).
- Reported behaviour incidents can decrease at the same time staff confidence in dealing with behaviour improves.
- Gaining views from staff to build and create support offered can not only be useful, but also helps them value the support provided and increases how much they feel it is useful.
- Children's views of their school and classroom environment can shift positively at the same time staff feel more confident to change their practice.
- Short timeframes mean it is difficult to fully evaluate effectiveness. Only surface level data gathering and evaluation can be done, especially when behaviour change is a longer term process.

## Dedicated Schools Grant (DSG) Budget 20/21 - Overview

**Report being considered by:** Schools Forum

**On:** 14/10/19

**Report Author:** Melanie Ellis

**Item for:** Information **By:** All Forum Members

### 1. Purpose of the Report

- 1.1 To set out the announcements made in relation to the Dedicated Schools Grant (DSG) 2020/21 and the National Funding Formula, and the proposed timetable setting the 2020/21 budget.

### 2. Recommendation

- 2.1 There is no recommendation at this stage.

|   |                               |   |
|---|-------------------------------|---|
| <b>Will the recommendation require the matter to be referred to the Council or the Executive for final determination?</b> | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> |
|---|-------------------------------|---|

### 3. Introduction

- 3.1 The National Funding Formula (NFF) is used by the Department for Education (DfE) to calculate the blocks within the Dedicated Schools Grant (DSG) that will be allocated to local authorities in December 2019.
- 3.2 The DSG consists of four blocks:
- (1) Schools
  - (2) High needs
  - (3) Central school services
  - (4) Early years
- 3.3 2020/21 is the third year of the NFF for schools, high needs and central school services. Provisional NFF allocations at local authority level for the schools and high needs blocks will be published in early October 2019, as well as notional school-level allocations. The schools block allocations will also show each local authority's final primary and secondary units of funding (PUFs and SUFs). The early years block of the DSG will be determined by the separate national formula for early years.

#### 4. Changes in 2020/2021

- 4.1 In 2020 to 2021, as in previous years, each local authority will continue to set a local schools formula, in consultation with local schools. The government has confirmed its intention to move to a single 'hard' national funding formula to determine every school's budget.
- 4.2 The following key elements of the schools NFF have been confirmed:
- (1) Minimum per-pupil levels of £3,750 primary and £5,000 secondary. Primary will rise to £4,000 in 2021/22.
  - (2) Funding floor set at 1.84%
  - (3) 4% increase to the core formula factors, apart from free school meals which will be increased at inflation, and premises which will be on the basis of actual spend.
  - (4) No NFF gains cap, but local authorities will still be able to use a cap locally.
  - (5) New formulaic approach to mobility factor.
  - (6) Growth funding on same methodology as last year.
  - (7) Teachers pay grant and teachers pension employer contributions grant will both continue to be paid separately from the NFF. Rates will be published in due course.
- 4.3 In 2020 to 2021, while local authorities will continue to have discretion over the design of the majority of their funding formulae, it is intended to make the minimum per-pupil funding (MPPF) levels a mandatory factor in local formulae. Details will be published in November.
- 4.4 Other changes to local authority formulae arrangements in 2020 to 2021 are:
- (1) As schools' funding floor baselines will be based on the NFF allocations in 2019 to 2020, in line with the minimum funding guarantee (MFG) methodology, the 'funding floor factor' will be removed that authorities had the option to use in 2019 to 2020 in order to mirror the protection used in the NFF against 2017 to 2018 baselines.
  - (2) Local authorities will have the freedom to set the MFG in local formulae between +0.5% and +1.84% per pupil, as well as to use a gains cap.
  - (3) Local authorities will continue to be able to transfer up to 0.5% of their schools block to other blocks of the DSG, with schools forum approval. A disapplication will be required for transfers above 0.5%, or any amount without schools forum approval; this now applies to any transfers over 0.5%, even if the minister agreed the same amount in the past two years.

## 5. Consultation

- 5.1 Funding levels and allocations are being announced later than in previous years, giving local authorities less time for modelling and consultation. The DfE will issue the authority proforma tool (APT) and notional NFF allocations in October 2019. This will affect the time authorities have to plan for the local formulae, and as a result local consultations may be shorter or involve fewer meetings than usual. A proposed timetable is included in this report.

## 6. Schools Block

- 6.1 A recent ministerial statement has announced the following in relation to education funding:
- The funding package for 5-16 schools includes £2.6 billion for 2020/21, £4.8 billion for 2021/22 and £7.1 billion for 22/23 compared to 2019/20 bringing the schools budget to £52.2 billion in 2022/23.
- 6.2 The Schools revenue funding 2020 to 2021 Operational Guide was released on 12 September 2019. This has confirmed the following:
- The minimum per pupil funding level for 2020/21 is set at £3,750 for primary schools and £5,000 for secondary schools. The primary level will rise to £4,000 in 2021/22, but there has been no announcement for secondary schools.
  - The funding floor will be set at 1.84%, in line with the forecast GDP deflator, to protect pupil-led per-pupil funding in real terms. This minimum increase in 2020 to 2021 allocations will be based on the individual school's NFF allocation in 2019 to 2020.
  - Schools that are attracting their core NFF allocations will benefit from an increase of 4% to the formula's core factors. Exceptions to this are that the free school meals factor, will be increased at inflation as it is intended to broadly reflect actual costs, and premises funding will continue to be allocated at local authority level on the basis of actual spend in the 2019 to 2020 APT, with an RPIX increase for the PFI factor only.
  - There will be no NFF gains cap, so that all schools attract their full allocations under the formula. Local authorities will still be able to use a cap in their local formulae.
  - There will be a new formulaic approach to the mobility factor so that it allocates this funding fairly to all authorities, rather than on the basis of historic spend.
  - Growth funding will be based on the same methodology as last year, and will have the same transitional protection ensuring that no authority whose growth funding is unwinding will lose more than 0.5% of its 2019 to 2020 schools block allocation. There will be no capping or scaling of gains from the growth factor.
  - The teachers' pay grant and teachers' pension employer contributions grant will both continue to be paid separately from the NFF in 2020 to 2021. The rates will be published in due course.

## **7. Central Schools Services Block (CSSB)**

- 7.1 The government has not yet confirmed the level of CSSB funding for 2020/21. Provisional NFF allocations will be published in October.
- 7.2 Responsibilities held by local authorities for all schools are funded from the CSSB, with the agreement of schools forums. This covers Statutory and Regulatory duties, Education Welfare, asset management and other duties such as licences, admissions and servicing of Schools' Forum.
- 7.3 In 2019/20, the CSSB DSG funding was £976k, compared to a budget requirement of £1.1m. The shortfall of £135k was funded from previous underspends and unspent ESG grant. Any shortfall for 2020/21 is not yet known.

## **8. Early Years Block**

- 8.1 The new Early Years formula was introduced in 2017/18 with new funding rates to local authorities, and a revised simplified formula for allocating funding to providers was also brought in. All providers are now on the same rates.
- 8.2 No announcement has been made as yet regarding the funding for 2020/21, and initial block allocations are expected in December 2019.

## **9. High Needs Block (HNB)**

- 9.1 As part of the education funding announcement the Government has pledged an extra £700 million for children with Special Educational Needs and Disabilities (SEND) in 2020/21.
- 9.2 The funding floor will be set at 8% so each local authority can plan for an increase of at least that percentage, taking into account changes in their 2 to 18 population (as estimated by the ONS). This will be based on local authorities' high needs allocations in 2019 to 2020, including the additional £125 million announced in December 2018.
- 9.3 The gains cap will be set at 17%, allowing authorities to see up to this percentage increase under the formula, again calculated on the basis of per head of population.
- 9.4 Operational aspects of the funding and allocations will remain largely unchanged, but the operational guide has not yet been published.
- 9.5 Provisional NFF allocations at local authority level for the HNB will be published in early October 2019.

## **10. DSG balances**

- 10.1 The DfE will require a report from any local authority that has a cumulative DSG deficit of more than 1% at the end of the financial year – in this case as at 31 March 2020. It is highly likely that West Berkshire will exceed this threshold.
- 10.2 Recovery plans need to be discussed with the schools forum and should set out the authority's plans for bringing the DSG account back in balance within a timely period (three years).



10.3 A range of evidence should support the recovery plans including:

- (1) Breakdown of specific pressures locally that have led to the deficit (ie demand).
- (2) Assessment of local factors that have caused the increase in costs, a plan to change the pattern of provision where necessary and to achieve greater efficiency and better value for money.
- (3) A detailed recovery plan showing how the authority intends to bring the DSG back into balance. This should show how the additional 2020/21 funding is intended to be spent and why it has not been sufficient to bring the authority back into balance.
- (4) Details of any previous movements between blocks, what pressures those covered and why those transfers have not been adequate to counter the new pressures.

## 11. Timetable for Setting the Budget

11.1 A draft timetable has been put together but due to the delay in the funding announcements, there are only two Heads Funding Group and Schools Forum meetings to review the formula and consultation. The proposed timetable for setting all the elements of the DSG budget is set out below:

| Date               | Deadline        | Who             | Item   |
|--------------------|-----------------|-----------------|--|
| 13.9.19            |                 | DfE             | Operational guidance published   |
| Oct to Nov 2019    |                 | DfE             | NFF illustrative allocations published and APT issued  |
| Oct to Nov 2019    |                 | LA              | Modelling of new primary & secondary school formula (once received national formula rates from ESFA)   |
| 1.10.19            | 24.9.19         | HFG             |  |
| 16.10.19           |                 |                 | School Admin (finance staff) briefing  |
| 14.10.19           | 8.10.19         | SF              |  |
| Nov 2019           |                 | LA              | High needs and Early years initial budget proposals worked on by officers  |
| 26.11.19           | 19.11.19        | HFG             | Review school formula options and make recommendation to Schools' Forum. Review high needs budget proposals.   |
| 3.12.19            | 27.11.19        | Corporate Board | Draft formula proposals  |
| 9.12.19            | 3.12.19         | SF              | Agree formula for consultation with schools. To agree de-delegations and funding/criteria for additional funds. Need to consult and agree to any funding block transfers. Review central schools, high needs, and early years' budget proposals. |
| 4.12.19 – 18.12.19 | 10 working days |                 | Consultation with schools  |
| Mid Dec 2019       |                 | DfE             | DSG funding allocations and APT containing census data for final formula issued  |
| Mid Dec 2019       |                 | LA              | Updating by officers of formula and the funding rates in light of actual DSG funding   |
| 19.12.19           | 12.12.19        | Operations      | Final formula proposal based on final funding  |

|                    |         |           |  |
|--------------------|---------|-----------|--|
|                    |         | Board     | allocation (subject to consultation responses).  |
| 8.1.20             | 2.1.20  | HFG       | Review funding formula consultation responses and final formula calculations and make a recommendation. Review budget proposals for central schools, high needs, and early years in light of funding announcement. |
| 16.1.20            | 7.1.20  | Executive | Approval of School Formula   |
| 20.1.20            | 14.1.20 | SF        | Review HFG recommendations, final calculations and final formula. Review budget proposals for central schools, high needs, and early years. Agree budget strategy and determine any further work.                  |
| 21.1.20            | 21.1.20 | LA        | Deadline for submission of final APT to ESFA   |
| 21.1.20 to 18.2.20 | 18.2.20 | LA        | Finalisation by officers of central schools, high needs, and early year's budget proposals.  |
| 25.2.20            | 18.2.20 | HFG       | Review final proposals and make recommendation to Schools' Forum.  |
| 29.2.20            | 29.2.20 | LA        | Statutory deadline for providing primary and secondary maintained schools with funding allocation  |
| 9.3.20             | 3.3.20  | SF        | Agree final budgets.   |

## Scheme for Financing Schools

**Report being considered by:** Schools Forum

**On:** 14<sup>th</sup> October 2019

**Report Author:** Melanie Ellis

**Item for:** Information **By:** All Forum Members

### 1. Purpose of the Report

- 1.1 To approve the revised Scheme for Financing Schools.

### 2. Recommendation

- 2.1 To adopt the revised Scheme for Financing Schools from 1 November 2019.

|   |                               |   |
|---|-------------------------------|---|
| <b>Will the recommendation require the matter to be referred to the Council or the Executive for final determination?</b> | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> |
|---|-------------------------------|---|

### 3. Introduction

- 3.1 The 'Scheme for Financing Schools' is a statutory document which sets out the financial relationship between the local authority and the maintained schools which it funds. In making any changes to the scheme, a local authority must consult all maintained schools in their area and receive the approval of the members of their schools forum representing maintained schools.
- 3.2 Issue 10 of statutory guidance from the Department for Education (DfE) for local authorities on schemes for financing schools was published on 5<sup>th</sup> February 2019. The guidance lists the provisions which a local authority must, should or may include. The DfE reviews and updates the guidance annually which can be found at [www.gov.uk/government/publications/schemes-for-financing-schools/schemes-for-financing-local-authority-maintained-schools](http://www.gov.uk/government/publications/schemes-for-financing-schools/schemes-for-financing-local-authority-maintained-schools).
- 3.3 The local authority has reviewed the current scheme to ensure that all sections are still appropriate. Following on from this review a number of changes were proposed where there is the discretion in the regulations to do so. In the attached proposed Scheme for Financing Schools (2019), changes highlighted in grey have been made to match previous guidance and those highlighted in green have been made to better match current local practise or changes requested/agreed by other service areas. The key changes from Issue 9 of the DfE guidance are highlighted in yellow. There are also minor amendments such as the standardisation of words used for example headteacher rather than a mix of head teacher and headteacher and updating web page references.

### 4. Consultation

- 4.1 A consultation with schools was undertaken between 11<sup>th</sup> July and 13<sup>th</sup> September 2019. No responses were received.

### 5. Appendices

Appendix A – Scheme for Financing Schools

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Review of Scheme for Financing Schools following update issue 10 of statutory guidance from the Department for Education (DfE) for local authorities on schemes for financing schools 5<sup>th</sup> February 2019.

**Not identified changes**

- Use of words has been standardised for example headteacher rather than a mix of head teacher and Headteacher

**Identified changes**

- **Highlighted in yellow** – are the key changes from Issue 9 of this guidance
- **Highlighted in grey** – added/changed by Schools Accountancy to match guidance
- **Highlighted in green** schools accountancy to better match current local practise or changes requested/agreed by service area

# **Scheme for Financing Schools (2019)**

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## **Annex A: Schools to which the scheme applies**

## **GLOSSARY**



## SECTION 1: INTRODUCTION

### 1.1 The funding framework: main features

The funding framework, which replaces Local Management of Schools, is based on the legislative provisions in sections 45 to 53 of the School Standards and Framework Act 1998 (the act).

Under this legislation, local authorities determine for themselves the size of their schools budget and their non-schools education budget, although at a minimum an authority must appropriate its entire Dedicated Schools Grant (DSG) to its schools budget.

The categories of expenditure which fall within the 2 budgets are prescribed under regulations made by the Secretary of State, but included within the 2, taken together, is all expenditure, direct and indirect, on an authority's maintained schools except for capital and certain miscellaneous items.

Authorities may deduct funds from their schools budget for purposes specified in regulations made by the Secretary of State under section 45A of the act (the centrally retained expenditure).

The amounts to be deducted for these purposes are decided by the authority concerned, subject to any limits or conditions, including gaining the approval of their schools' forum or the Secretary of State in certain instances, as prescribed by the Secretary of State.

The balance of the schools budget left after deduction of centrally retained expenditure is termed the Individual Schools Budget (ISB). Expenditure items in the non-schools education budget must be retained centrally, although earmarked allocations may be made to schools.

Authorities must distribute the ISB amongst their maintained schools using a formula which accords with regulations made by the Secretary of State, and enables the calculation of a budget share for each maintained school.

This budget share is then delegated to the governing body of the school concerned, unless the school is a new school which has not yet received a delegated budget, or the right to a delegated budget has been suspended in accordance with section 51 of the act.

The financial controls within which delegation works are set out in a scheme made by the authority in accordance with section 48 of the act and regulations made under that section.

All proposals to revise the scheme must be approved by the schools forum, though the authority may apply to the Secretary of State for approval in the event of the forum rejecting a proposal or approving it subject to modifications that are not acceptable to the authority.

Subject to any provision made by or under the scheme, governing bodies of schools may spend such amounts of their budget shares as they think fit for any purpose of their school and for any additional purposes prescribed by the Secretary of State in regulations made under section 50\* of the act.

\*Section 50 has been amended to provide that amounts spent by a governing body on providing community facilities or services under section 27 of the Education Act 2002 are treated as if they were amounts spent for the purposes of the school (section 50 (3A) of the act.

The authority may suspend a school's right to a delegated budget if the provisions of the authority's Scheme for Financing Schools, or rules applied by the scheme, have been substantially or persistently breached, or if the budget share has not been managed satisfactorily.

A school's right to a delegated budget share may also be suspended for other reasons, under schedule 17 to the act.

Each authority is obliged to publish each year a statement setting out details of its planned schools budget and other expenditure on children's services, showing the amounts to be centrally retained and funding delegated to schools; after each financial year the authority must publish a statement showing outturn expenditure.

The detailed publication requirements for financial statements are set out in directions issued by the Secretary of State. A copy of each year's budget and outturn statement should be made easily accessible to all schools.

Regulations also require the local authority to publish their scheme and any revisions to it on a website accessible to the general public, by the date that any revisions come into force, together with a statement that the revised scheme comes into force on that date.

## **1.2 The role of the scheme**

This scheme sets out the financial relationship between the authority and the maintained schools which it funds. It contains requirements relating to financial management and associated issues, binding on both the authority and on the schools.

## **1.3 Application of the scheme to the authority and maintained schools**

The scheme applies to all community, nursery, special, voluntary and foundation schools (including trust), foundation special schools and pupil referral units (PRUs) maintained by the authority, (as listed in Annex A), whether they are situated in the area of the authority or elsewhere. It does not apply to schools situated in the authority's area which are maintained by another authority, nor does it apply to academies.

## **1.4 Publication of the scheme**

The scheme will be published on the West Berkshire website and any revised versions will be published by the date the revisions come into force, together with a statement that the revised scheme comes into force on that date.

## **1.5 Revision of the scheme**

Any proposed revisions to the scheme will be the subject of consultation with the governing body and the headteacher teacher of every school maintained by the authority before they are submitted to the schools forum for approval.

All proposed revisions must be submitted to the schools forum for approval by members of the forum representing maintained schools. Where the schools forum does not approve them or approves them subject to modifications which are not acceptable to the authority, the authority may apply to the Secretary of State for approval.

It is also possible for the Secretary of State to make directed revisions to schemes after consultation. Such revisions become part of the scheme from the date of the direction.

## **1.6 Delegation of powers to the headteacher**

Each governing body should consider the extent to which it wishes to delegate its financial powers to the headteacher, and to record its decision (and any revisions) in the minutes of the governing body.

The first formal budget plan of each financial year must be approved by the governing body, or by a committee of the governing body.

In terms of the headteachers' role in financial management, governors may wish to delegate powers as follows:

- Responsibility for day to day management of resources (practical day to day management of resources may also be delegated to other senior staff and/or the school business manager/finance officer);
- Signing off of all orders/cheques/BACS payments within a monitoring system approved by governors or under a certain sum to be decided by governors;
- Administration of the expenditure budget within the annual amount of any budget heading or authorisation of spending up to (a sum agreed with the governing body) within a budget heading;
- Authority over virement up to a sum agreed with the governing body;
- Monitor day to day management of the budget;
- Provision of regular reports to the governing body on expenditure and income;
- Preparation of the budget estimates of expenditure and income for governing body approval.

It is recognised that the level of delegation will be based on practice, experience, knowledge, size and resources of the school.

## **1.7 Maintenance of schools**

The authority is responsible for maintaining the schools covered by the scheme, and this includes the duty of defraying all the expenses of maintaining them (except in the case of a voluntary-aided school where some of the expenses are, by statute, payable by the governing body). Part of the way an authority maintains schools is through the funding system put in place under sections 45 to 53 of the act.

## SECTION 2: FINANCIAL CONTROLS

### 2.1. General procedures

#### 2.1.1 Application of financial controls to schools

In managing their delegated budgets schools are required to abide by the authority's requirements on financial controls and monitoring.

Certain of these are directly referred to in this scheme while others are included in the authority's Constitution Parts 10 Financial Rules of Procedure and 11 Contract Rules of Procedure. Copies of these can be found on the following web page:

<http://info.westberks.gov.uk/index.aspx?articleid=27929>

The authority's requirements can differ for schools with their own bank accounts.

#### 2.1.2 Provision of financial information and reports

Schools are required to provide the authority with details of anticipated and actual expenditure and income, in a form determined by the authority, compatible with the Consistent Financial Reporting framework. This information must be provided within one month of each quarter end (i.e. by 31 July, 31 October, 31 January and 30 April) unless:

- the authority has notified the school in writing that in its view the school's financial position requires more frequent submission or;
- the school is in its first year of operation or;
- the information is required in connection with tax or banking reconciliation when it can be requested more frequently.

This provision does not apply to schools submitting an imprest and which are part of the financial accounting system operated by the authority (Agresso). However these schools are required to submit their month nine budget monitoring forecast and bank report by the 10<sup>th</sup> working day of January each year unless

- the authority has notified the school in writing that in its view the school's financial position requires more frequent submission or;
- the school has applied for or is operating with a licensed deficit budget or;
- the school ended the previous financial with an unlicensed deficit budget.

This is in addition to the requirement for annual budget plans.

#### 2.1.3 Payment of salaries and payment of bills

The procedures for these will vary according to the choices schools make about the holding of bank accounts and any buy back of services from the authority.

##### 2.1.3.1 Payment of salaries

In all cases schools are required to abide by the authority's financial regulations covering payments to staff.

### *Schools buying back the authority's payroll service*

The authority can provide a payroll service that complies with all the statutory requirements and the conditions of service requirements for teaching and local government staff. The payroll service will also cover the deduction and paying over of contributions to both the Local Government Pension Scheme and the Teachers' Pension Scheme.

Under this service, all payments to staff, HM Revenues and Customs (HMRC), Teachers' Pension Agency etc. will be made from the authority's bank accounts either direct to the school's ledger accounts if on the council's financial system, or **by the issue of an invoice to the school.**

All Pay As You Earn (PAYE) matters will be dealt with under the authority's PAYE registration number, **except where the school's annual salaries exceed £3million in which case the school's own PAYE registration number will be used.**

The processing timetables and documents to be used for notification of all payroll variations are issued to schools by the payroll section.

Details of the buyback services and charges will be notified to schools ahead of each **financial year.**

### *Schools making alternative payroll arrangements*

The school, as payroll provider, would need to ensure separate registration with the HMRC, Teachers' Pension Agency and Local Government Pension Scheme **and would need upon request to satisfy the authority that all payments of deductions and contributions were being made in an appropriate and timely manner.**

## **2.1.3.2 Payment of bills**

All schools are required to abide by the authority's financial regulations covering payments to creditors.

## **2.1.4 Control of assets**

Each school must maintain an inventory in accordance with the authority's financial regulations recording its moveable non-capital assets worth more than £1,000 and setting out the basic authorisation procedures for disposal of assets.

For assets worth less than £1,000, schools must keep a register but this may be in a form as determined by the school. **Schools are encouraged to register anything that is portable and attractive, such as a camera.**

## **2.1.5 Accounting policies, including year-end procedures**

Schools are required to comply with the procedures, requirements and regulations relating to the accounting policies and end of year financial procedures issued and determined by the authority as being applicable to schools.

This will include the setting of a de-minimus level for capital spend which as a guideline will be in the range of £2,000 to £5,000. As a default the authority de-minimus will apply, currently £5,000 or £2,000 for VA schools.

Year end guidance will be issued annually to schools on the practical arrangements e.g. provisions and other end of year financial procedures.

### 2.1.6 Writing off debts

No debt shall be discharged other than by payment in full or being written-off.

The writing-off of non-recoverable debts is subject to individual consideration of the debt and appropriate approval. Those debts less than £2,000 may be written-off subject to the authorisation of the authority's Head of Finance (or nominated officer) and the Executive Director - People after the consideration of a report by the headteacher. All other debts may only be written off by the Head of Finance after consideration of a recommendation from the appropriate governing body.

This provision does not apply to the cancellation of invoices because a debt is deemed to be no longer due. Invoice cancellations can be approved by the headteacher.

## 2.2 Basis of accounting

The authority prepares its statutory accounts on an accruals basis. Maintained schools are required to ensure that annual spending notified to the authority and Consistent Financial Reporting (CFR) returns are on an accruals basis. However, schools can choose their own basis of accounting for internal accounting and reporting.

Schools can choose which financial software they wish to use, provided they meet any costs of modification to provide the output required by the authority. In particular schools should be able to report separately to the authority on revenue and capital expenditure, and on any funds held by them on behalf of collaborative ventures with other schools where specified by the authority in order to demonstrate that only public funds have been reported to the authority and provide an audit trail back to the accounts for each of the separate funds.

### 2.3.1 Submission of budget plans

Each school is required to submit a budget plan to the authority **by 1<sup>st</sup> May each year**. The plan must show the school's intentions for expenditure in the current financial year and the assumptions underpinning the budget plan, which include taking full account of any estimated deficits/surpluses at the previous 31 March.

The format of the budget submission must be as specified by the authority, consistent with the CFR framework, and must be approved by the governing body or a committee of the governing body.



Where the authority deems it necessary it may also require the submission of revised plans throughout the year. Such revised plans shall not be required at intervals of less than three months.

The authority will supply schools with all school income and expenditure data, which it holds and which is necessary to efficient planning by schools. The authority will also supply schools with an annual statement of when this information will be made available throughout the year.

### **2.3.2 Submission of financial forecasts**

Each school is required to submit a financial forecast covering each year of a three-year period (**five if in deficit**). This is required in the agreed format **by 1<sup>st</sup> May each year**.

This is to provide evidence of schools **planning ahead strategically**, adhering to best financial management practice, and to alert the authority of any schools having difficulty in balancing future year budgets.

### **2.4 School resource management**

Schools must seek to achieve **effective management of resources** and value for money, to optimise the use of their resources and to invest in teaching and learning, taking into account the authority's purchasing, tendering and contracting requirements.

It is for headteachers and governors to determine at school level how to **optimise the use of resources and maximise** value for money.

There are significant variations in the **effective management of resources** between similar schools, and so it is important for schools to review their current expenditure, compare it to other schools and think about how to make improvements.

### **2.5 Budget Virement**

Schools are free to vire budgets between cost centres in the expenditure of their budget shares but governors are advised to establish criteria for virements and financial limits above which the approval of the governors is required.

Schools are also advised to refer to paragraph 2.12 when considering virement between cost centres.

### **2.6 Audit: general**

Schools are required to co-operate with the audit regimes determined by the authority as regards internal audit, and the authority's external audit as determined by the Local Audit and Accountability Act 2014.

Schools **must provide access to the school's records for both internal and external auditors.**



The depth and frequency of internal audit coverage of individual schools will depend on an assessment of each school's strength in financial management and by reference to the School's SFVS annual return. The authority's Internal Audit service will contact each school to arrange the appropriate audit coverage.

Different audit arrangements may also be applied to schools having their own bank account, compared with non-bank account schools. Schools operating outside the authority's financial system (non imprest schools) and producing their own accounts are required to commission an external audit if the local authority requests it.

## **2.7 Separate external audits**

There is no expectation by the Secretary of State that routine annual external audit at school level should take place but where a school wishes to seek an additional source of assurance at its own expense, a governing body is permitted to spend funds from its budget share to obtain external audit certification of its accounts, separate from any authority internal or external audit process.

## **2.8 Audit of voluntary and private funds**

Schools must provide audit certificates in respect of any voluntary and private funds they hold and of the accounts of any trading organisations controlled by the school.

The purpose of such a provision is to allow the authority to satisfy itself that public funds are not being misused.

A school refusing to provide audit certificates to the authority as required by the scheme is in breach of the scheme and the authority can take action on that basis. Access to the accounts of such funds by other agencies is a matter for them. Any other requirement as to audit of such funds is a matter for those making the funds available, and any Charity Commission requirements.

## **2.9 Register of business interests**

The governing body of each school is required to maintain a register which lists for each member of the governing body and the headteacher:

- a) any business interests they or any member of their immediate family have
- b) details of any other educational establishments that they govern
- c) any relationship between school staff and members of the governing body

And to keep the register up to date with notification of changes and through annual review of entries, to make the register available for inspection by governors, staff, parents and the authority and to publish the register, for example on a publicly accessible website.

## **2.10 Purchasing, tendering and contracting requirements**

Schools are required to abide by the authority's financial regulations and standing orders in purchasing, tendering and contracting matters. This includes a requirement to assess in advance, where relevant, the health and safety competence of contractors, taking account of the authority's policies and procedures.

However any section of the authority's financial regulations and standing orders must be **disapplied** if it requires schools:

- a) to do anything incompatible with any of the provisions of this scheme, or any statutory provision, or any EU Procurement Directive;
- b) to seek local authority officer countersignature for any contracts for goods or services for a value below £60,000 in any one year;
- c) to select suppliers only from an approved list;
- d) to seek fewer than three tenders or quotations in respect of any contract with a value exceeding £10,000 in any one year, subject to specific listed exceptions.

The fact that an authority contract has been let in accordance with EU procurement procedures does not in itself make it possible to bind a school into being part of that contract. For the purposes of the procurement directives schools are viewed as discrete units.

The countersignature requirement should be applied sensibly by authorities and schools alike, avoiding attempts to artificially aggregate or disaggregate orders to avoid or impose the requirement.

Schools may seek advice on a range of compliant deals via [Buying for schools](#).

## 2.11 Application of contracts to schools

Schools are free to opt out of authority arranged contracts.

Although governing bodies are empowered under paragraph 3 of schedule 1 to the Education Act 2002 to enter into contracts, in most cases they do so on behalf of the authority as the maintainer of the school and owner of the funds in the budget share (this is the main reason for allowing authorities to require authority counter-signature of contracts exceeding a certain value).

However, some contracts may be made solely on behalf of the governing body, when the governing body has clear statutory obligations e.g. contracts made by aided or foundation schools for the employment of staff.

## 2.12 Central funds and earmarking

The authority is authorised to make sums available to schools from central funds, in the form of allocations which are additional to and separate from the schools' budget shares.

Such allocations should be subject to conditions setting out the purpose or purposes for which the funds may be used; and while these conditions need not preclude virement (except where the funding is supported by a specific grant which the authority itself is not permitted to vire), this should not be carried to the point of assimilating the allocations into the school's budget share.

Such earmarked funding from centrally-retained funds is to be spent only on the purposes for which it is given, or on other cost centres for which earmarked funding is given, and is not to be vired into the school's budget share. Schools should maintain an accounting mechanism in order to demonstrate that this requirement has been met.

Unless previously agreed with the Executive Director - People, schools are required to return to the authority any earmarked funds if not spent within the period over which schools are allowed to use the funding as stipulated by the authority. Such allocations might, for example, be sums for SEN or other initiatives funded from the central expenditure of the authority's schools budget.

The authority is not allowed to make any deduction, in respect of interest costs to the authority, from payments to schools of devolved specific or special grant.

## **2.13 Spending for the purposes of the school**

Section 50(3) of the School Standards and Framework Act 1998 allows governing bodies to spend budget shares for the purpose of the school, subject to the regulations made by the Secretary of State and any provisions of the scheme.

From 1 April 2011, under section 50(3a) amounts spent by governing bodies on community facilities or services under section 27 of the Education Act 2002 will be treated as spent for the purposes of the school.

Under section 50(3) (b) the Secretary of State may prescribe additional purposes for which expenditure of the budget share may occur. Such regulations are prescribed in the Schools Budget Shares (Prescribed Purposes) (England) Regulations 2002 (SI 2002/378) which have been amended by the School Budget Shares (Prescribed Purposes) (England) Amendment Regulations 2010 (SI 2010/190). In particular budget shares may be spent for the educational benefit of pupils registered at other maintained schools or academies.

These allow schools to spend their budgets on pupils who are on the roll of other maintained schools or academies.

## **2.14 Capital spending from budget shares**

Governing bodies are permitted to use their budget shares to meet the cost of capital expenditure on the school premises. This includes expenditure by the governing body of a voluntary aided school on work which is their responsibility under paragraph 3 of schedule 3 of the act.

Schools must notify the authority of all proposed capital spending from their budget share. It is recommended that schools discuss their proposals with the authority prior to the final

authorisation of such proposals and in particular that they ensure that the proposed works do not already form part of the council's approved capital programme.

In any event if the expected capital expenditure from the budget share in any one year will exceed £20,000, the governing body must;

- notify the authority in a timely fashion and
- take into account any advice from the Executive Director - People as to the merits of the proposed expenditure.

Where the premises are owned by the authority, or the school has voluntary controlled status, then the governing body shall seek the consent of the authority to the proposed works. However, consent will only be withheld on health and safety grounds.

The reason for these requirements is to help ensure compliance with current regulations and specific legislation. (School Premises (England) Regulations 2012, the Workplace (Health, Safety and Welfare) Regulations 1992, the Regulatory Reform (Fire Safety) Order 2005, the Equality Act 2010, and the Building Regulations 2010.)

## 2.15 Notice of concern

The authority may issue a notice of concern to the governing body of any school it maintains where, in the opinion of the Chief Finance Officer and the Executive Director - People, the school has failed to comply with any provisions of the scheme, or where actions need to be taken to safeguard the financial position of the authority or the school. In this connection you are referred to the Guidelines on the Process for Intervention contained in the Strategy for Schools in Deficit – April 2018.

Such a notice will set out the reasons and evidence for it being made and may place on the governing body restrictions, limitations or prohibitions in relation to the management of funds delegated to it. These may include:

- insisting that relevant staff undertake appropriate training to address any identified weaknesses in the financial management of the school.
- insisting that an appropriately trained/qualified person chairs the finance committee of the governing body.
- placing more stringent restrictions or conditions on the day to day financial management of a school than the scheme requires for all schools – such as the provision of monthly accounts to the authority.
- insisting on regular financial monitoring meetings at the school attended by authority officers.
- requiring a governing body to buy into the authority's financial management systems.
- imposing restrictions or limitations on the manner in which a school manages extended school activity funded from within its delegated budget share – for example

by requiring a school to submit income projections and/or financial monitoring reports on such activities.

The notice will clearly state what these requirements are and the way in which and the time by which such requirements must be complied with in order for the notice to be withdrawn. It will also state the actions that the authority may take where the governing body does not comply with the notice.

## **2.16 Schools Financial Value Standard (SFVS)**

All local authority maintained schools (including nursery schools and PRUs that have a delegated budget) must demonstrate compliance with the SFVS and complete the assessment form on an annual basis. It is for the school to determine at what time of year they wish to complete the form.

Governors must demonstrate compliance through the submission of the SFVS assessment form signed by the Chair of Governors. The form must include a summary of remedial actions with a clear timetable, ensuring that each action has a specified deadline and an agreed owner. Governors must monitor the progress of these actions to ensure that all actions are cleared within specified deadlines.

All maintained schools with a delegated budget must submit the form to the local authority before **the end of the** financial year.

## **2.17 Fraud**

All schools must have a robust system of controls to safeguard themselves against fraudulent or improper use of public money and assets.

The governing body and the headteacher must inform all staff of school policies and procedures related to fraud and theft, the control in place to prevent them; and the consequences of breaching these controls. This information must also be included in induction for new staff and governors.

## SECTION 3: INSTALMENTS OF BUDGET SHARE; BANKING ARRANGEMENTS

**This Authority has adopted the CIPFA Code of Practice for Treasury Management.**

Budget share includes place-led funding for special schools, resource units and PRUs.

### **3.1 Frequency of instalments**

Schools with their own bank accounts will receive monthly instalments of their budget share normally on the Monday before the last Thursday of each month.

Schools that use West Berkshire's Imprest system will have an imprest limit set based on a monthly instalment of their budget share less any central payments e.g. payroll.

Top-up payments for pupils with high needs should be made on a monthly basis unless alternative arrangements have been agreed with the relevant provider.

### **3.2 Proportion of budget share payable at each instalment**

Budget share payments to schools with their own external bank account will be made in accordance with the schedule of payment agreed with individual schools and the Head of Finance; normally the monthly payment will be equal to one twelfth of the schools approved budget share, except for month one where an additional one third of the normal monthly payment is paid at the beginning of the month, and month twelve where two thirds of the normal monthly payment is paid.

Schools on the imprest system which use an external payroll provider will make their salary payments through their imprest account and reclaim the expenditure retrospectively. The imprest limit will reflect this payment.

6<sup>th</sup> form funding and other Education Funding Agency (EFA) grants such as pupil premium will be paid according to the schedule and receipt of the grant from the EFA.

### **3.3 Interest clawback**

Where a school requests and the authority agrees to make available the budget share in advance (of what the authority believes to be reasonable cash flow needs taking account of the pattern of expenditure of schools of that size, and any particular representations relating to the individual school's circumstances), the authority may deduct from the budget share an amount equal to the estimated interest lost by the authority.

The calculation basis will be at a rate up to 2 per cent above the bank base rate at the time of the advance.

### **3.4 Interest on late budget share payments**

The authority will add interest to budget share payments which are late as a result of authority error.

The interest rate used will be that used for clawback calculations in 3.3 above or if no such clawback mechanism is in place, at least the current Bank of England base rate.

### **3.5 Budget shares for closing schools**

Budget shares of schools for which approval for discontinuation has been secured, will be made available until closure on a monthly basis, net of estimated pay costs, even where some different basis was previously used.

#### **3.6.1 Bank and building society accounts**

Bank accounts as referred to here do not include imprest bank accounts.

All maintained schools may have an external bank account into which their budget share instalments (as determined by other provisions) are paid and any interest payable on the account can be retained by the school.

Where a school opens an external bank account, the authority must, if the school desires, transfer immediately to the account an amount agreed by both school and authority as the estimated surplus balance held by the authority in respect of the school's budget share, on the basis that there is a subsequent correction when the accounts for the relevant year are closed.

Any school in deficit requesting an external bank account shall not be able to have one until any deficit is cleared.

New bank account arrangements may only be requested with effect from the beginning of each financial year provided two months' notice has been given.

### **3.7 Restrictions on accounts**

The banks or building societies with which schools may hold an account for the purpose of receiving budget share payments must be as per the approved list consistent with the authority's Treasury Management Policy.

Any school closing an account used to receive its budget share and opening another must select the new bank or building society which meets the criteria set out in this paragraph even if the closed account was with an institution which did not.

Schools are allowed to have bank accounts for budget share purposes which are in the name of the school rather than the authority. The account mandate should provide that the authority is;

- the owner of the funds in the account,
- entitled to receive statements on request, and
- can take control of the account if the school's right to a delegated budget is suspended by the authority.

Budget share funds paid by the authority and held in school accounts remain authority property until spent (section 49 (5) of the act).



Signatories for external bank accounts are restricted to authority employees and school employees to be signatories. No account should be restricted to authority employees only, because this is not practicable for foundation or aided schools. Governors who are not members of staff are barred from being signatories.

### **3.8 Borrowing by schools**

With the exception of loan schemes run by the authority and the financial instruments outlined in the scheme (section 4.10), governing bodies may only borrow money (which includes the use of finance leases) with the written permission of the Secretary of State. Details of all such requests and subsequent approvals or otherwise should be supplied in writing to the authority's Head of Finance.

The Secretary of State's general position is that schools will only be granted permission for borrowing in exceptional circumstances. From time to time, however, the Secretary of State may introduce limited schemes in order to meet broader policy objectives.

Schools may use any scheme that the Secretary of State has said is available to schools without specific approval, currently including the [Salix scheme](#) which is designed to support energy saving.

Schools are barred from using credit cards and overdrafts (external bank accounts) which are regarded as borrowing. However schools may use a Government Procurement Card in order to facilitate electronic purchases. Schools are required to adhere to the authority protocol on the use of procurement cards.

The restrictions do not apply to Trustees or Foundations, whose borrowing as private bodies makes no impact on government accounts. These debts may not be serviced directly from delegated budgets, but schools are free to agree a charge for a service which the Trustees or Foundation are able to provide as a consequence of their own borrowing.

Governing bodies do not act as agents of the authority when repaying loans.

This provision does not apply to loan schemes run by the authority.

### **3.9 Leasing arrangements**

**Schools must seek advice from Accountancy before entering into any lease agreements.**

### **3.10 Other provisions**

Schemes may apply separate detailed rules and guidance in respect of other aspects of banking arrangements, provided no aspect of those rules and guidance conflicts with the scheme's own requirements.

Such additional rules and guidance may relate in particular to types of account as well as operating procedures.





## **SECTION 4: THE TREATMENT OF SURPLUS AND DEFICIT BALANCES ARISING IN RELATION TO BUDGET SHARES**

### **4.1 Right to carry forward surplus balances**

Schools must carry forward from one financial year to the next any surplus in net expenditure relative to the school's budget share for the year plus/minus any balance brought forward from the previous year.

If a school requests to set up its own external bank account, an amount will be paid into the school's new account on the 1 April representing any invested balances held by the council on behalf of the school, plus an estimate of any underspend in the financial year immediately prior to the opening of the account. If the school is expected to overspend in the preceding financial year, the amount of the estimated overspend will be deducted from the invested balances transferred to the new account. The estimate of any under or over spend will be agreed between the authority and the school. When the school's final outturn position for the previous financial year is known and agreed between the authority and the school, an adjustment will, if necessary, be made to the opening balance paid into the account by adding to, or deducting an amount from the next instalment of the school's budget share to be paid into its bank account.

The amount of a surplus balance would be shown in the relevant outturn statement published in accordance with directions given by the Secretary of State under section 251 of the Apprenticeships, Skills, Children and Learning Act 2009; although there may be commitments against any figure shown in such a statement.

### **4.2 Controls on surplus balances**

Although schools have the autonomy to plan for and use their funding in the way that best meets the purposes of their school, they should not be carrying forward significant excessive surplus balances which are uncommitted and without a plan for their use. An excessive balance for this purpose is deemed to be 10% of the school's actual income received in the financial year or £20,000, whichever sum is the greatest. This applies to all revenue funds of the school, but excluding community facilities and other external services.

In order to control surplus balances, the authority will report the balances held by each school at the end of the financial year to the schools' forum (during the Summer term), alongside the actual and planned balance for the previous three years and any other data deemed to be of relevance. The schools' forum may request individual schools to provide further information and/or attend a meeting of the heads funding group if the data reported raises any concerns regarding their financial management in respect of their balances.

### **4.3 Interest on surplus balances**

Balances held by the authority on behalf of schools will attract no interest unless it is invested in the authority's reserve account where this accrues directly to the school. The rate of interest paid will be based on the average rate earned by the council on its investments.

### **4.4 Obligation to carry forward deficit balances**

Deficit balances will be carried forward by the deduction of the relevant amounts from the following year's budget share.

The deficit balance would be shown on the outturn statement published in accordance with directions given by the Secretary of State under section 251 of the Apprenticeships, Skills, Children and Learning Act 2009; although this might be shown gross of committed expenditure and therefore appear lower than would otherwise be the case.

Schools closing the financial year with an unplanned deficit, though setting a balanced budget for the current year, may be asked to submit the same additional information (for one year only) as those schools with a licensed deficit (see paragraph 4.9) and will be notified accordingly.

#### **4.5 Planning for deficit budgets**

Schools may only plan for a deficit budget in accordance with the terms of paragraph 4.9 below.

#### **4.6 Charging of interest on deficit balances**

The authority may charge interest on any deficit balance at the bank base rate depending on the reason why the deficit has occurred. The Head of the Education Service, in consultation with the Head of Finance will determine whether or not interest will be payable and will advise the school accordingly when the deficit is approved.

#### **4.7 Writing off deficits**

The authority has no power to write off the deficit balance of any school.

Assistance may be given towards elimination of a deficit balance through the allocation of a cash sum from the schools centrally held budget specified for the purpose of expenditure on special schools and PRUs in financial difficulty or, in respect of mainstream maintained primary schools, from a de-delegated contingency budget where this has been agreed by the schools forum (currently this is available to primary only).

#### **4.8 Balances of closing and replacement schools**

Where in the funding period, a school has been established or is subject to a prescribed alteration as a result of the closure of a school, a local authority may add an amount to the budget share of the new or enlarged school to reflect all or part of the unspent budget share, including any surplus carried over from previous funding periods, of the closing school for the funding period in which it closes.

#### **4.9 Licensed deficits**

The authority will permit schools to plan for a deficit budget in particular circumstances.

The funding to allow such a deficit budget shall be provided from the collective surplus of school balances held by the authority on behalf of schools, although it is open to the

authority, in circumstances where there is no such surplus, to make alternative arrangements if it can do so within the relevant local authority finance legislation.

The detailed arrangements applying to this scheme are set out below:

- The maximum length over which schools may repay the deficit, i.e. reach at least a zero balance, with appropriate mechanism to ensure that the deficit is not simply extended indefinitely, **should not exceed five years.**
- The deficit will only be agreed to allow a school in the short term to maintain a level of spend which in the opinion of the Head of the Education Service is the minimum required to deliver the National Curriculum.
- The maximum size of the deficit in normal circumstances will not exceed 5% of the school's budget share.
- The maximum proportion of the collective balances held by the authority, which would be used to back the arrangement, shall not exceed 20%.
- Before a deficit budget is approved, the school must produce a detailed deficit recovery plan in the prescribed format for the duration of the planned period of the deficit, which will be reviewed at least annually.
- The school must meet with the authority at least every 6 months to review progress of the deficit recovery plan and attend schools' forum if requested.
- The school must submit monthly budget monitoring reports to Schools' Accountancy.
- The school must submit a copy of any governor meeting minutes **(both draft and signed)** where the budget is discussed (a member of the authority may also attend such meetings).
- The Head of the Education Service, jointly with the Head of Finance, will be responsible for approving any deficit.

#### **4.10 Loan schemes**

The authority may provide a loan arrangement for schools, that does not operate by way of a licensed deficit but rather by way of actual payments to schools or expenditure by the Authority in respect of a particular school on condition that a corresponding sum is repaid from the budget share.

**The authority's loan scheme will only be used to assist schools in spreading the cost over more than one year of large one-off individual items of a capital nature that have a benefit to the school lasting more than one financial or academic year.**

Loans must not be used as a means of funding a deficit that has arisen because a school's recurrent costs exceed its recurrent income.

The loan parameters for the arrangement as the same as for licensed deficits.

- The Head of the Education Service and the Head of Finance are responsible for approving any loans.
- Interest will be charged at an appropriate rate.

#### **4.11 Credit union approach**

Schools may wish to group together to utilise externally-held balances for a credit union approach to loans. Where schools choose to borrow money through such a scheme the authority will require audit certification of the running of the scheme.

## SECTION 5: INCOME

The basic principle is that schools should be able to retain income except in certain specified circumstances.

### 5.1 Income from lettings

Schools may retain income from lettings of the school premises which would otherwise accrue to the authority, subject to alternative provisions arising from any joint use or private finance initiative (PFI) or purchasing power parity (PPP) agreements.

Schools are allowed to cross-subsidise lettings for community and voluntary use with income from other lettings, provided the governing body is satisfied that this will not interfere to a significant extent with the performance of any duties imposed on them by the education acts, including the requirement to conduct the school with a view to promoting high standards of educational achievement and there is no net cost to the budget share.

Schools are required to have regard to directions issued by the authority as to the use of school premises as permitted under the act for various categories of schools.

Income from lettings of school premises should not normally be payable into voluntary or private funds held by the school. However, where land is held by a charitable trust, it will be for the school's trustees to determine the use of any income generated by the land.

### 5.2 Income from fees and charges

Schools may retain income from fees and charges except where a service is provided by the authority from centrally-retained funds. However, schools are required to have regard to any policy statements on charging produced by the authority.

### 5.3 Income from fund-raising activities

Schools may retain income from fund-raising activities.

### 5.4 Income from the sale of assets

Schools may retain the proceeds of sale of assets, except in cases where the asset was purchased with non-delegated funds (in which case it should be for the authority to decide whether the school should retain the proceeds), or the asset concerned is land or buildings forming part of the school premises and is owned by the authority.

The retention of proceeds of sale for premises not owned by the authority will not be a matter for the scheme.

### 5.5 Administrative procedures for the collection of income

Schools should be aware of any duty to collect (and charge) VAT.

Specific advice can be sought for the authority on whether or not VAT is chargeable on lettings and on the services which lead to fees and charges, and on the VAT implications of fund raising activities and the sale of assets.

If it subsequently transpires that VAT has not been correctly accounted for then the school budget will be subject to a penalty charge determined by HM Revenue and Customs.

## **5.6 Purposes for which income may be used**

Income from the sale of assets purchased with delegated funds may only be spent for the purposes of the school.

## SECTION 6: THE CHARGING OF SCHOOL BUDGET SHARES

### 6.1 General provision

The budget share of a school may be charged by the authority without the consent of the governing body only in circumstances set out in 6.3 below. The authority shall consult a school as to the intention to so charge, and shall notify a school when it has been done.

The authority cannot act unreasonably in the exercise of any power given by this scheme, or it may be the subject of a direction under section 496 of the Education Act 1996. The authority shall make arrangements for a disputes procedure for such charges that will include both council member and headteacher representation.

For each of the circumstances in 6.3 below the authority would have to be able to demonstrate that the authority had necessarily incurred the expenditure now charged to the budget share. This means that where the authority cannot incur a liability because the statutory responsibility rests elsewhere, no charging is possible. Therefore the position on charging will vary between categories of school.

In some cases the ability to charge budget shares depends on the authority having given prior advice to the governing body.

Local authorities may de-delegate funding for permitted services without the express permission of the governing body, provided this has been approved by the appropriate phase representatives at the schools forum.

### 6.2 Charging of salaries at cost

The authority will charge salaries of school-based staff to school budget shares at actual cost.

### 6.3 Circumstances in which charges may be made

- Where premature retirement costs have been incurred without the prior written agreement of the authority to bear such costs (the amount chargeable being only the excess over any amount agreed by the authority).
- Other expenditure incurred to secure resignations where there is good reason to charge this to the school.
- Awards by courts and industrial tribunals against the authority or out of court settlements, arising from action or inaction by the governing body contrary to the authority's advice. Awards may sometimes be against the governing body directly and would fall to be met from the budget share. Where the authority is joined with the governing body in the action and has expenditure as a result of the governing body not taking authority advice, the charging of the budget share with the authority expenditure protects the authority's position. Authorities should ensure in framing



any such advice that they have taken proper account of the role of aided school governing bodies.

- Expenditure by the authority in carrying out health and safety work or capital expenditure for which the authority is liable where funds have been delegated to the governing body for such work, but the governing body has failed to carry out the required work.
- Expenditure by the authority incurred in making good defects in building work funded by capital spending from budget shares, where the premises are owned by the authority, or the school has voluntary controlled status.
- Expenditure by the authority incurred in insuring its own interests in a school where funding has been delegated but the school has failed to demonstrate that it has arranged cover at least as good as that which would be arranged by the authority. The authority itself needs to consider whether it has an insurable interest in any particular case.
- Recovery of monies due from a school for services provided to the school, where a dispute over the monies due has been referred to a disputes procedure set out in a service level agreement and the result is that monies are owed by the school to the authority.
- Recovery of penalties imposed on the authority by the Board of Inland Revenue, the Contributions Agency, HM Customs and Excise, Teachers' Pensions, the Environment Agency or other regulatory authorities as a result of school negligence.
- Correction of authority errors in calculating charges to a budget share (e.g. pension deductions). Before applying any such provision the authority should consider whether it is reasonable to do so. If the error dates back several years it may be questionable whether such charging is reasonable.
- Additional transport costs incurred by the authority arising from decisions by the governing body on the length of the school day, and/or failure to notify the authority of non-pupil days resulting in unnecessary transport costs.
- Legal costs which are incurred by the authority because the governing body did not accept the advice of the authority (see also section 11).
- Costs of necessary health and safety training for staff employed by the authority, where funding for training had been delegated but the necessary training not carried out.
- Compensation paid to a lender where a school enters into a contract for borrowing beyond its legal powers, and the contract is of no effect.

- Cost of work done in respect of teacher pension remittance and records for schools using non-authority payroll contractors, the charge to be the minimum needed to meet the cost of the authority's compliance with its statutory obligations.
- Costs incurred by the authority in securing provision specified in an Education and Health Care Plan (EHCP) where the governing body of a school fails to secure such provision despite the delegation of funds in respect of low cost high incidence SEN and/or specific funding for a pupil with high needs.
- Costs incurred by the authority due to submission by the school of incorrect data.
- Recovery of amounts spent from specific grants on ineligible purposes.
- Costs incurred by the authority as a result of the governing body being in breach of the terms of a contract.
- Costs incurred by the authority or another school as a result of a school withdrawing from a cluster arrangement, for example where this has funded staff providing services across the cluster.
- Costs incurred by the authority e.g. for school meals or transport, due to governing bodies setting different term dates, as well as length of day, or through additional closure days.
- Costs incurred by the authority in administering admission appeals, where the authority is the admissions authority and the funding for admission appeals has been delegated to all schools as part of their formula allocation.

## SECTION 7: TAXATION

### 7.1 Value Added Tax

VAT amounts reclaimed through the appropriate procedure below will be passed back to the school.

- 1) Schools with an Imprest bank account should reclaim the net of VAT paid and VAT charged by submitting (at least monthly except for August) an Imprest Claim to the authority, once checked the reimbursement is paid by the authority to school's Imprest bank account. More detailed guidance on how to claim and timescales is available electronically at SLA Online.

or

- 2) Non imprest schools should claim the net of VAT paid and VAT charged by submitting (at least monthly except for August) an appropriately authorised VAT Submittal form generated by the school's accounting system. Correctly completed VAT submittals received by 12 noon on a Tuesday will normally be included on that week's weekly payment sheet, so the school's bank account will be reimbursed the following Tuesday.

HMRC has agreed that VAT incurred by schools when spending any funding made available by the authority is treated as being incurred by the authority and qualifies for reclaim by the authority.

However, in the case of voluntary aided schools the governing body retains statutory responsibility for certain capital expenditure, including when made from the school's delegated budget. Therefore, in respect of any supplies which fall within the prescribed definition of such expenditure, the supply will be made to the governing body, even where the expenditure is met from the school's delegated budget, and VAT incurred may not be recovered by the authority.

Capital expenditure for which the governing body of a voluntary aided school is responsible is defined as expenditure relating to:

- the existing buildings (internal and external)
- those buildings previously known as 'excepted' (kitchens, dining areas, medical/dental rooms, swimming pools, caretakers' dwelling houses)
- perimeter walls and fences, even if around the playing fields
- playgrounds
- furniture, fixtures and fittings – including ICT infrastructure and equipment
- other capital items (which can include capital work to boilers or other services)

Maintained schools should contact the authority for more detailed advice.

### 7.2 Construction Industry Taxation Scheme (CIS)

Schools are required to abide by the procedures issued by the authority in connection with CIS.

## SECTION 8: THE PROVISION OF SERVICES AND FACILITIES BY THE AUTHORITY

### 8.1 Provision of services from centrally-retained budgets

The authority shall determine on what basis services from centrally-retained funds (including existing commitments for premature retirement costs and redundancy payments) will be provided to schools.

The authority is barred from discriminating in its provision of services on the basis of categories of schools, except in cases where this would be allowable under the school and early years finance regulations or the dedicated schools grant (DSG) conditions of grant.

### 8.2 Provision of services bought back from the authority using delegated budgets

The term of any arrangement with a school to buy services or facilities from the authority shall be limited to a maximum of three years from the inception of the scheme or the date of the agreement, whichever is the later, and periods not exceeding five years for any subsequent agreement relating to the same services.

There is an exception in the case of contracts for the supply of catering services which shall be limited to a maximum of 5 years, which may be extended for a maximum of 7 years.

Services provided to schools, for which funding is not retained centrally by the authority (under the regulations made under section 45A of the act) will be offered at prices which are intended to generate sufficient income to cover the cost of providing those services. The total cost of those services will be met by the total income, even if schools are charged differentially.

### 8.3 Packaging

The authority may provide any services for which funding have been delegated. But where the authority is offering the service on a buyback basis it must do so in a way that does not unreasonably restrict schools' freedom of choice among the services available. Where practicable, this will include provision on a service-by-service basis as well as in packages of services.

This provision will not prevent the authority offering packages of services which offer a discount for schools taking up a wider range of services.

### 8.4 Service level agreements

Service level agreements for services to be provided by the authority to schools must be in place (i.e. signed and returned by headteachers/chairs of governor) by 31 March to be effective for the following financial year and schools will have at least a month to consider the terms of agreements prior to finalising them.

In practice the authority will aim to make available any new service level agreements for the coming financial year by at least 1 January each year.

Where services or facilities are provided under a service level agreement, whether free or a buyback basis, the terms of any such agreement starting on or after the inception of the scheme will be reviewed at least every 3 years if the agreement lasts longer than that.

Services, if offered at all by the authority, shall be available on a basis that is not related to an extended agreement, as well as on the basis of such agreements.

Where such services are provided on an ad-hoc basis they may be charged for at a different rate than if those services were provided on the basis of an extended agreement.

Centrally-arranged provision for premises and liability insurance are excluded from the requirements as to service supply, as the limitations envisaged may be impracticable for insurance purposes.

## **8.5 Teachers' pensions**

In order to ensure that the performance of the duty on the authority to supply Teachers' Pensions with information under the Teachers' Pension Scheme Regulations 2014, the following conditions are imposed on the authority and governing bodies of all maintained schools covered by this scheme in relation to their budget shares.

These conditions only apply to governing bodies of maintained schools that have not entered into an arrangement with the authority to provide payroll services.

A governing body of any maintained school, whether or not the employer of the teachers at such a school, which has entered into any arrangement or agreement with a person other than the authority to provide payroll services, shall ensure that any such arrangement or agreement is varied to require that person to supply salary, service and pensions data to the authority which the authority requires to submit its monthly return of salary and service to Teachers' Pensions and to produce its audited contributions certificate.

The authority will advise schools each year of the timing, format and specification of the information required. A governing body shall also ensure that any such arrangement or agreement is varied to require that Additional Voluntary Contributions (AVCs) are passed to the authority within the time limit specified in the AVC scheme. The governing body shall meet any consequential costs from the school's budget share.

A governing body of any maintained school which directly administers its payroll shall supply salary, service and pensions data to the authority which the authority requires to submit its monthly return of salary and service to Teachers' Pensions and to produce its audited contributions certificate.

The authority will advise schools each year of the timing, format and specification of the information required from each school. A governing body shall also ensure that AVCs are passed to the authority within the time limit specified in the AVC scheme. The governing body shall meet any consequential costs from the school's budget share.

## **SECTION 9: Private finance initiative (PFI) / Public private partnerships (PPP)**

### **9.1 PFI/PPP**

It may be necessary to vary the terms of this scheme in the event of contracts being let under the framework for PFI/PPP, in such cases the authority will undertake appropriate prior consultation.

## SECTION 10: INSURANCE

### 10.1 Insurance cover

If funds for insurance are delegated to any school, the authority may require the school to demonstrate that cover relevant to an authority's insurable interests, under a policy arranged by the governing body, is at least as good as the relevant minimum cover arranged by the authority if the authority makes such arrangements, either paid for from central funds or from contributions from schools' delegated budgets.

The evidence required to demonstrate the parity of cover will be reasonable, not place an undue burden upon the school, nor act as a barrier to the school exercising their choice of supplier.

The authority will have regard to the actual risks which might reasonably be expected to arise at the school in question in operating such a requirement, rather than applying an arbitrary minimum level of cover for all schools.

## SECTION 11: MISCELLANEOUS

### 11.1 Right of access to information

Governing bodies shall supply to the authority all financial and other information which might reasonably be required to enable the authority to satisfy itself as to the school's management of its delegated budget share, or the use made of any central expenditure by the authority on the school (e.g. earmarked funds).

### 11.2 Liability of governors

Because the governing body is a corporate body, and because of the terms of section 50(7) of the act, governors of maintained schools will not incur personal liability in the exercise of their power to spend the delegated budget share provided they act in good faith.

An example of behaviour which is not in good faith is the carrying out of fraudulent acts. Breaches of the scheme are not in themselves failures to act in good faith; neither is rejection of authority advice as to financial management.

### 11.3 Governors' expenses

The authority shall have the power to delegate to the governing body of a school yet to receive a delegated budget, funds to meet governors' expenses.

Governing bodies would not normally have discretion in the amounts of such allowances, which would be set by the authority.

Under section 50(5) of the act, only allowances in respect of purposes specified in section 19 of the Education Act 2002 may be paid to governors from a school's delegated budget share.

Schools are expressly forbidden from paying any other allowances to governors.

Schools are also barred from payment of expenses duplicating those paid by the Secretary of State to additional governors appointed by him to schools under special measures.

### 11.4 Responsibility for legal costs

Where the governing body incurs legal costs, which are the responsibility of the authority as part of the cost of maintaining the school (unless they relate to the statutory responsibility of voluntary aided governors for buildings), these costs may be charged to the school budget even if the governing body acts in accordance with advice from the authority.

The effect of this is that a school cannot expect to be reimbursed for the cost of legal action against the authority itself; although there is nothing to stop an authority making such reimbursement if it believes this to be desirable or necessary in the circumstances.

The costs referred to are those of legal actions, including costs awarded against an authority; not the cost of legal advice provided.



In instances where there appears to be a conflict of interest between the authority and the governing body, schools are advised to obtain a list of suitably qualified firms of solicitors practising in the area available from the Law Society, 113 Chancery Lane, London WC2, telephone number 0870 606 2500 or [www.lawsociety.org.uk](http://www.lawsociety.org.uk)

### **11.5 Health and Safety**

In expending the school's budget share, governing bodies should have due regard to duties placed on the authority in relation to health and safety, and the authority's policy on health and safety matters in the management of the budget share.

### **11.6 Right of attendance for Chief Finance Officer**

Governing bodies are required to permit the Chief Finance Officer (Section 151 Officer) of the authority, or any officer of the authority nominated by the Chief Finance Officer, to attend meetings of the governing body at which any agenda items are relevant to the exercise of their responsibilities.

The Chief Finance Officer's attendance shall normally be limited to items which relate to issues of probity or overall financial management and shall not be regarded as routine. The authority will give prior notice of the Chief Finance Officer intention to attend unless it is impracticable to do so.

### **11.7 Special Educational Needs**

Schools are required to use their best endeavours in spending the budget share, to secure the special educational needs of their pupils.

If the authority is advised that this is not being achieved it may suspend delegation where a situation is serious enough to warrant it.

### **11.8 Interest on late payments**

The terms of the scheme cannot affect statutory requirements now introduced on this matter.

### **11.9 Whistle Blowing**

If any person working at a school, or a school governor, wishes to make a complaint about financial management or financial propriety at the school they should contact the Head of Finance and Property at the authority.

All complaints will be treated confidentially.

### **11.10 Child protection**

Schools should be prepared to release staff to attend child protection case conferences and other related events. **Costs in this regard should be met from school delegated budgets.**

### **11.11 Redundancy / Early retirement costs**

The local authority retains a central budget within the schools budget to fund the costs of new early retirements or redundancies by way of a deduction from maintained school budgets (excluding nursery schools) where the relevant members of the Schools Forum agree

The responsibility and procedure for the payment of redundancy/early retirement costs is set out in the School Severance Funding Policy of the local authority.

Schools cannot access central funding unless they have taken HR and finance advice before any steps towards potential redundancy have been taken.

## SECTION 12: RESPONSIBILITY FOR REPAIRS AND MAINTENANCE

The authority delegates funding for repairs and maintenance to schools. Only capital expenditure is retained by the authority.

For these purposes, expenditure may be treated as capital only if it fits the definition of capital used by the local authority for financial accounting purposes in line with the Chartered Institute of Public Finance and Accountancy (CIPFA) Code of Practice on local authority accounting.

The authority uses a de minimis limit of £5,000 for defining capital in its own financial accounts, **this sum applies to the total cost of the scheme and not individual items.** The same de minimus limit is used in defining what is delegated.

For voluntary aided schools, the liability of the authority for repairs and maintenance (albeit met by delegation of funds through the budget share) is the same as for other maintained schools, **so no separate list of responsibilities is necessary for such schools.**

However, eligibility for capital grant from the Secretary of State for capital works at voluntary aided schools depends on the *de minimis* limit applied by DfE to categorise such work, not the *de minimis* limit used by the authority.

## SECTION 13: COMMUNITY FACILITIES

*Note: This section of the scheme does not extend to joint-use agreements; transfer of control agreements, or agreements between the authority and schools to secure the provision of adult and community learning.*

Schools which choose to exercise the power conferred by section 27 (1) of the Education Act 2002 to provide community facilities will be subject to controls. Regulations made under section 28 (2), if made, can specify activities which may not be undertaken at all under the main enabling power.

Under section 28 (1), the main limitations and restrictions on the power will be those contained in the maintaining authority's scheme for financing schools made under section 48 of the Schools Standards and Framework Act 1998 as amended by Paragraph 2 of Schedule 3 to the Education Act 2002 which extends the coverage of schemes to the powers of governing bodies to provide community facilities.

Schools are therefore subject to prohibitions, restrictions and limitations in the Scheme for Financing Schools.

The mismanagement of community facilities funds can be grounds for suspension of the right to a delegated budget.

### 13.1 Consultation with the authority: financial aspects

Changes made by the Children and Families Act 2014 mean that schools no longer need to consult the authority when establishing community facilities under Section 27 of the Education Act 2002. Nor do they have to have regard to advice given to them by their authority.

However, as public bodies, schools are expected to act reasonably, and this includes consulting those affected by decisions that they make.

### 13.2 Funding agreements: authority powers

The provision of community facilities in many schools may be dependent on the conclusion of a funding agreement with a third party which will either be supplying funding or supplying funding and taking part on the provision. A very wide range of bodies and organisations are potentially involved.

Before concluding any such third party funding agreements, the Governing Body is required to submit detailed proposals to the Section 151 Officer for consideration by the authority at least eight weeks prior to signing any agreement.

The Secretary of State does not consider that it is appropriate for authorities to have a general power of veto for these agreements.

However, if a third party funding agreement has been or is to be concluded against the wishes of the authority, or has been concluded without informing the authority, which in the view of the authority is seriously prejudicial to the interests of the school or the authority, that may constitute grounds for suspension of the right to a delegated budget.

### **13.3 Other prohibitions, restrictions and limitations**

Where the authority considers that such an agreement constitutes a significant financial risk, then the governing body may be required to make arrangements to protect the authority's financial interest. This may be by carrying out the activity concerned through the vehicle of a private limited company **formed for the purpose** or by obtaining indemnity insurance for risks associated with the project **in question**, as specified by the authority.

### **13.4 Supply of financial information**

Schools which exercise the community facilities power should normally provide the authority with a summary statement every 6 months, in a form determined by the authority, showing the income and expenditure for the school arising from the facilities in question for the previous six months and on an estimated basis, for the next 6 months.

If the authority has concerns about the financial arrangements for the provision of community use, then on giving notice to the school it may require such financial statements to be supplied every 3 months and, if the authority sees fit, to require the submission of a recovery plan for the activity in question.

Financial information relating to community facilities will be included in returns made by schools under the consistent financial reporting (CFR) framework, and these will be relied upon by the authority as its main source of information for the financial aspects of community facilities.

However, the CFR timetable is such that the authority is likely to want supplementary information in order to ensure that schools are not at financial risk. Schedule 15 of the act provides that mismanagement of funds spent or received for community facilities is a basis for suspension of the right to delegation of the budget share.

### **13.5 Audit**

The school should grant access to the school's records connected with the exercise of the community facilities power in order to facilitate internal and external audit of relevant income and expenditure.

Where funding agreements are entered into with third parties for the provision of community facilities, the governors shall ensure that provision is made for access by the authority to records and other property held on school premises, or held elsewhere insofar as they relate to the activity in question, in order for the authority to satisfy itself as to the propriety of expenditure on the facilities in question.

### **13.6 Treatment of income and surpluses**

Schools may retain all net income derived from community facilities except where otherwise agreed with a funding provider, whether that be the authority or some other person.

Schools may carry such retained net income over from one financial year to the next as a separate community facilities surplus, or, subject to the agreement of the authority at the end of each financial year, transfer all or part of it to the budget share balance.

Where a school is a community or community special school, and the authority ceases to maintain the school, any accumulated retained income obtained from exercise of the community facilities power reverts to the authority unless otherwise agreed with a funding provider.

### **13.7 Health and safety matters**

It will be the responsibility of the school's governing body to ensure that any health and safety provisions of the main scheme also apply to the community facilities power.

It will be the governing body's responsibility to meet the costs of securing **Disclosure and Barring Service** clearance, **where appropriate** for all adults involved in community activities taking place during the school day.

Governing bodies are free to pass on such costs to a funding partner as part of an agreement with that partner.

### **13.8 Insurance**

It is the responsibility of the governing body to ensure adequate arrangements are made for insurance against risks arising from the exercise of the community facilities power, taking professional advice as necessary.

Such insurance should not be funded from the school budget share. Schools should seek the authority's advice before finalising any insurance arrangement for community facilities.

In principle, the insurance issues arising from use of the community facilities power are the same as those which already arise from non-school use of school premises. However, a school proposing to provide community facilities should, as an integral part of its plans, undertake an assessment of the insurance implications and costs, seeking professional advice if necessary.

The authority is empowered to undertake its own assessment of the insurance arrangements made by a school in respect of community facilities, and if it judges those arrangements to be inadequate, make arrangements itself and charge the resultant cost to the school. Such costs could not be charged to the school's budget share.

Such a provision is necessary in order for the authority to protect itself against possible third party claims.

### **13.9 Taxation**

Schools should seek the advice of the authority and the local VAT office on any issues relating to the possible imposition of VAT on expenditure in connection with community facilities; including the use of the authority's VAT reclaim facility.

If any member of staff employed by the school or authority in connection with community facilities at the school is paid from funds held in a school's own bank account (whether a separate account is used for community facilities or not – see section 11), the school is likely to be held liable for payment of income tax and National Insurance, in line with HMRC rules.

School should follow authority advice in relation to the CIS where this is relevant to the exercise of the community facilities power.

### **13.10 Banking**

Schools should either maintain separate bank accounts for budget share and community facilities, or have one account but with adequate internal accounting controls to maintain separation of funds.

School should also have regard to the provisions at 3.6 and 3.7 above relating to the banks which may be used, signing of cheques, the titles of bank accounts, the contents of bank account mandates, and similar matters. The general approach to these matters should mirror these sections, except that a provision requiring that a mandate show the authority as owner of the funds in the account should exempt the community facilities funds from that if they are not in the same account as the budget share.

Schools may not borrow money without the written consent of the Secretary of State except where this is from the authority as in sections 4.9 and 4.10 above.

### **13.12 Responsibility for redundancy and early retirement costs**

For staff employed under the community facilities power, the default position is that any costs must be met by the governing body, but can be funded from the school's delegated budget if the governing body is satisfied that this will not interfere to a significant extent with the performance of any duties imposed on them by the Education Acts, including the requirement to conduct the school with a view to promoting high standards of educational achievement.

Section 37 now states:

(7) Where a local education authority incur costs—

(a) In respect of any premature retirement of any member of the staff of a maintained school who is employed for community purposes, or

(b) In respect of the dismissal, or for the purpose of securing the resignation, of any member of the staff of a maintained school who is employed for those purposes, they shall recover those costs from the governing body except in so far as the authority agrees with the governing body in writing (whether before or after the retirement, dismissal or resignation occurs) that they shall not be so recoverable.

(7A) Any amount payable by virtue of subsection (7) by the governing body of a maintained school to the local education authority may be met by the governing body out of the school's budget share for any funding period if and to the extent that the condition in subsection (7B) is met.

(7B) The condition is that the governing body are satisfied that meeting the amount out of the school's budget share will not to a significant extent interfere with the performance of any duty imposed on them by section 21(2) or by any other provision of the Education Acts.

(8) Where a person is employed partly for community purposes and partly for other purposes, any payment or costs in respect of that person is to be apportioned between the two purposes; and the preceding provisions of this section shall apply separately to each part of the payment or costs.



## **Annex A: LIST OF SCHOOLS TO WHICH THIS SCHEME APPLIES**

### **PRIMARY SCHOOLS**

Aldermaston Church of England Primary School  
 Basildon Church of England Primary School  
 Beedon Church of England Controlled Primary School  
 Beenham Primary School  
 Birch Copse Primary School  
 Bradfield Church of England Primary School  
 Brightwalton Church of England Aided Primary School  
 Brimpton Church of England Primary School  
 Bucklebury Church of England Primary School  
 Burghfield St. Mary's Church of England Primary  
 Calcot Infant School and Nursery  
 Calcot Junior School  
 Chaddleworth St. Andrew's Church of England Primary School  
 Chieveley Primary School  
 Cold Ash St Mark's Church of England Primary School  
 Compton Church of England Primary School  
 Curridge Primary School  
 Downsway Primary School  
 Enborne Church of England Primary School  
 Englefield Church of England Primary School  
 Falkland Primary School  
 Francis Baily Primary School  
 Garland Junior School  
 Hampstead Norreys Church of England Primary School  
 Hermitage Primary School  
 Hungerford Primary School  
 The Ilsleys Primary School  
 Inkpen Primary School  
 John Rankin Infant and Nursery School  
 John Rankin Junior School  
 Kennet Valley Primary School  
 Kintbury St. Mary's Church of England Primary School  
 Long Lane Primary School  
 Mrs Bland's Infant School  
 Mortimer St John's Church of England Infant School  
 Mortimer St Mary's Church of England Junior School  
 Pangbourne Primary School  
 Parsons Down Infant and Nursery School  
 Parsons Down Junior School  
 Purley Church of England Infant School  
 Robert Sandilands Primary School and Nursery  
 Shaw-cum-Donnington Church of England Primary School  
 Shefford Church of England Primary School  
 Springfield Primary School  
 Spurcroft Primary School  
 St. Finian's Catholic Primary School

St. John the Evangelist Infant and Nursery School  
St. Joseph's RC Primary  
St. Nicolas Church of England Junior School  
St. Paul's Catholic Primary School  
Stockcross Church of England Primary School  
Streatley Church of England Voluntary Controlled School  
Sulhamstead & Ufton Nervet Church of England Voluntary Aided Primary School  
Thatcham Park Primary School  
Theale Church of England Primary School  
Welford & Wickham Church of England Primary School  
Westwood Farm Infant School  
Westwood Farm Junior School  
Willows (The)  
Winchcombe School  
Woolhampton Church of England Primary School  
Yattendon Church of England Primary School

#### **SPECIAL SCHOOLS**

Brookfields Special School  
The Castle School

#### **SECONDARY SCHOOLS**

The Downs School  
Little Heath School  
The Willink School

#### **NURSERY SCHOOLS**

Hungerford Nursery School Centre for Children & Families  
Victoria Park Nursery School

#### **PRUS**

iCollege –

- Inspiration (Key Stages 1 & 2)
- Integration (Key Stages 3 & 4)
- Intervention (Years 9 & 10)
- Independence (Year 11 and Key Stage 5)

## GLOSSARY

- “the act” is the School Standards and Framework Act 1998
- “the authority” is the local authority
- “the regulations” are the School and Early Years Finance (England) (No. 2) Regulations 2018
- DSG is the Dedicated Schools Grant
- SFVS is the Schools Financial Value Standard
- VAT is Value Added Tax
- CIS is Construction Industry Taxation Scheme
- PFI is Private Finance Initiative
- PPP is Public Private Partnerships
- Individual Schools Budget (ISB)
- HM Revenues and Customs (HMRC),
- Pay As You Earn (PAYE)
- Consistent Financial Reporting (CFR)
- Additional Voluntary Contributions (AVCs)
- Chief Finance Officer (Section 151 Officer)
- Chartered Institute of Public Finance Association (CIPFA)

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## Deficit Schools

**Report being considered by:** Schools Forum  
**On:** 14 October 2019  
**Report Author:** Melanie Ellis  
**Item for:** Information **By:** All Maintained Schools Representatives

### 1. Purpose of the Report

- 1.1 This report provides details of the four schools which have submitted deficit budgets for 2019/20 and the two schools which ended the 2018/19 financial year with unlicensed deficit balances.

### 2. Recommendation(s)

- 2.1 That the report be noted.

|   |                               |   |
|---|-------------------------------|---|
| <b>Will the recommendation require the matter to be referred to the Council or the Executive for final determination?</b> | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> |
|---|-------------------------------|---|

### 3. Deficit Schools

- 3.1 Four schools submitted a WBC Deficit Budget License Application for the financial year 2019/20. All four had licensed deficits in the financial year 2018/19.
- 3.2 Following a detailed review of each application and discussion, all four deficits have been licensed. The individual schools have been informed. The total value if the licensed deficits is £117,360.
- 3.3 As is normal practise all four schools have been asked to submit additional reporting to WBC Schools Accountancy for review. (See Appendix A for submission deadline table).
- 3.4 All four schools submitted their period three budget monitoring, which has been reviewed by Schools Accountancy and feedback emailed to each school. The budget submissions are shown in the table below with three schools forecasting to come out of deficit by 2020/21 and St Finians in 2021/22.

| School                       | Budget Submission 2019/20 |          |         |
|------------------------------|---------------------------|----------|---------|
|                              | Budget Closing Balance    |          |         |
|                              | 2019/20                   | 2020/21  | 2021/22 |
| Beenham Primary School       | (24,060)                  | 563      | 28,862  |
| St Finians Primary School    | (77,150)                  | (54,413) | 403     |
| Westwood Farm Schools        | (13,940)                  | 18,008   | 60,764  |
| The Willink Secondary School | (2,210)                   | 5,692    | 11,456  |

Figures in red brackets indicate a deficit

3.5 Historic information for each of the four schools is shown below.

| School                       | 2016/17                |                        | 2017/18                |                        | 2018/19                |                        |
|------------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|
|                              | Budget Closing Balance | Actual Closing Balance | Budget Closing Balance | Actual Closing Balance | Budget Closing Balance | Actual Closing Balance |
| Beenham Primary School       | 11,270                 | 37,090                 | 61,880                 | 64,783                 | 36,100                 | 40,676                 |
| St Finians Primary School    | 230                    | 7,714                  | 0                      | 31,909                 | 61,540                 | 56,722                 |
| Westwood Farm Schools        | 122,070                | 67,108                 | 99,370                 | 82,753                 | 45,280                 | 26,786                 |
| The Willink Secondary School | 2,560                  | 2,630                  | 147,110                | 98,684                 | 311,590                | 151,086                |

Figures in red indicate a deficit

3.6 As part of each school's License Deficit Application, we have received action plans showing how they intend to achieve their planned 2019/20 year end position.

#### 4. Schools ending 2018/19 with an unlicensed deficits

4.1 Two schools ended the financial year 2018/19 with unlicensed deficits, the total value was £39,107 deficit. Both schools have been asked to submit the same additional information (for one year) as those schools with a licensed deficit. There was a third school that ended with a small deficit but has not been asked to provide the additional information as the work involved is not proportionate to the risk.

- 4.2 The WBC Senior Accountant – Projects visited the Executive Headteacher of both schools and both Finance Officers on 17<sup>th</sup> June to provide training in Budget Monitoring and Forecasting.
- 4.3 Both schools submitted their P3 Budget Monitoring, although the commentary was omitted. The submissions have been reviewed by Schools Accountancy and feedback emailed to each school.
- 4.4 The budget submissions are shown in the table below with both schools forecasting no deficit position going forward.

| School                                      | Budget Submission 2019/20 |         |         |
|---|---------------------------|---------|---------|
|   | Budget Closing Balance    |         |         |
|   | 2019/20                   | 2020/21 | 2021/22 |
| <b>Stockcross Primary School</b>            | 1525                      | 9459    | 6796    |
| <b>Welford &amp; Wickham Primary School</b> | 3440                      | 12905   | 1993    |

Figures in red indicate a deficit

- 4.5 Historic information is shown below

| School                                      | 2016/17                |                        | 2017/18                |                        | 2018/19                |                        |
|---|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|
|   | Budget Closing Balance | Actual Closing Balance | Budget Closing Balance | Actual Closing Balance | Budget Closing Balance | Actual Closing Balance |
| <b>Stockcross Primary School</b>            | 3,020                  | (6,324)                | 5,860                  | 1,155                  | 6,510                  | (25,899)               |
| <b>Welford &amp; Wickham Primary School</b> | 1,650                  | (10,940)               | 1,070                  | 3,471                  | 7,940                  | (13,208)               |

Figures in red brackets indicate a deficit

## Appendix A: Submission Deadlines

Submission Deadlines for licensed deficit schools 2019/20 and those that ended 2018/19 with an unlicensed deficit

| <b>Agresso Report</b> | <b>Budget Monitoring</b> | <b>Forecast</b> | <b>Submission Deadline</b> |
|-----------------------|--------------------------|-----------------|----------------------------|
| Period 3 / June       | Yes                      | No              | 12/07/2019                 |
| Period 6 / September  | Yes                      | Yes             | 15/10/2019                 |
| Period 7 / October    | Yes                      | Yes             | 15/11/2019                 |
| Period 8 / November   | Yes                      | Yes             | 13/12/2019                 |
| Period 9 / December   | Yes                      | Yes             | 17/01/2020                 |
| Period 10 / January   | Yes                      | Yes             | 14/02/2020                 |
| Period 11 / February  | Yes                      | Yes             | 13/03/2020                 |



## Dedicated Schools Grant Monitoring Report 2019/20 – Quarter Two

**Report being considered by:** Schools Forum  
**On:** 14<sup>th</sup> October 2019  
**Report Author:** Ian Pearson  
**Item for:** Recommendation **By:** All Forum Members

### 1. Purpose of the Report

- 1.1 This report sets out the current financial position of the services funded by the Dedicated Schools Grant (DSG), highlighting any under or over spends.

### 2. Recommendation(s)

- 2.1 School Forum requires budget managers to review forecast under and overspends in the current year to determine if in year savings and pressures are one offs (relate to 2019/20 only) or are permanent. The results of the review should be incorporated into the 2020/21 budget setting process and reviewed at the next meeting of the School's Forum.

|   |                               |   |
|---|-------------------------------|---|
| <b>Will the recommendation require the matter to be referred to the Council or the Executive for final determination?</b> | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> |
|---|-------------------------------|---|

### 3. Background

- 3.1 The Dedicated Schools Grant (DSG) is a ring fenced specific grant which can only be spent on school/pupil activity as set out in The School and Early Years Finance (England) Regulations 2018. The Local Authority and Schools' Forum are responsible for ensuring that the DSG is deployed correctly according to the Regulations. Monitoring of spend against the grant needs to take place regularly to enable decision making on over spends/under spends and to inform future year budget requirements.
- 3.2 For 2019-20, there are four DSG funding blocks: Schools Block, High Needs Block, Early Years Block and Central Schools Services Block. The funding for each of the four blocks has been determined by a separate national funding formula.
- 3.3 The schools block is ring fenced in 2019-20 but the Local Authority can transfer up to 0.5% of the funding out of the schools block with Schools Forum agreement. The other blocks are not subject to this limitation on transfers.
- 3.4 The 2019-20 Dedicated Schools Grant allocation is £131m. This includes £37m which funds Academies and post 16 high needs places and is paid direct by the Education and Skills Funding Agency (ESFA) to schools. The DSG budget for 2019-20 has been built utilising the remaining grant of £93.7m, additional council funding of £0.2m and a £1.8m expenditure efficiency target.

3.5 The £1.8m efficiency target relates to the deficit recovery requirement for the current financial year (i.e. the difference between the expenditure budgets set across the blocks and actual funding received). £1.6m of the deficit is allocated to the High Needs Block and £0.2m to the Early Years Block in accordance with the 2019/20 budget agreed by Schools Forum at the meeting held on 11/03/2019. All local authorities that have a cumulative DSG deficit of 1% or more at the end of a financial year are required to submit a recovery plan outlining how they will bring their deficit back into balance in a three-year time frame. The current 2019-20 deficit equates to 1.7%

3.6 Recovery plan information needs to be submitted to the ESFA by June 2020

#### 4. Quarter Two Forecast (30 September 2019)

4.1 The forecast position at the end of September is shown in Table 1. A more detailed position per cost centre is shown in Appendix A.

| Table 1 - DSG Block forecast              | Original Budget 2019-20 | Net Virements in year | Amended Budget 2019-20 | Quarter One Forecast £m | Quarter Two Forecast £m | Month 6 Forecast Outturn Variance £m |
|---|-------------------------|-----------------------|------------------------|-------------------------|-------------------------|--------------------------------------|
|   | £'000                   | £'000                 | £'000                  | £'000                   | £'000                   | £'000                                |
| Schools Block (inc ISB)                   | 64,794                  | 0                     | 64,794                 | 64,794                  | 64,794                  | 0                                    |
| Early Years Block                         | 9,812                   | 0                     | 9,812                  | 9,812                   | 9,812                   | 0                                    |
| Early Years Block Deficit Recovery Target | -215                    | 0                     | -215                   | -215                    | 0                       | 215                                  |
| Central Services Block                    | 972                     | 0                     | 972                    | 972                     | 972                     | 0                                    |
| High Needs Block                          | 19,793                  | 0                     | 19,793                 | 19,793                  | 19,416                  | -377                                 |
| High Needs Block Deficit Recovery Target  | -1,650                  | 0                     | -1,650                 | -1,650                  | 0                       | 1,650                                |
| <b>Total Net Expenditure</b>              | <b>93,505</b>           | <b>0</b>              | <b>93,505</b>          | <b>93,505</b>           | <b>94,993</b>           | <b>1,487</b>                         |
| Support Service Recharges                 | 444                     | 0                     | 444                    | 444                     | 444                     | 0                                    |
| <b>Total Expenditure</b>                  | <b>93,949</b>           | <b>0</b>              | <b>93,949</b>          | <b>93,949</b>           | <b>95,437</b>           | <b>1,487</b>                         |
| DSG Grant                                 | -93,722                 | 0                     | -93,722                | -93,722                 | -93,722                 | 0                                    |
| Council Funding                           | -228                    | 0                     | -228                   | -228                    | -228                    | 0                                    |
| <b>Net Position</b>                       | <b>0</b>                | <b>0</b>              | <b>0</b>               | <b>0</b>                | <b>1,488</b>            | <b>1,487</b>                         |

#### 4.2 Schools Block

There are no forecast variances within the Schools block at Quarter Two. There is however a risk of overspend in this block due to business rates, where properties may be revalued (as schools are funded according to their actual rates bill). De-delegated budgets within the Schools Block will be forecast as on line during the year. Any over or under spends are carried forward as part of the 2020/21 budget setting process as balances are only attributable to these specific services and cannot be allocated generally across the DSG.

#### 4.3 Early Years Block

There are no forecast variances within the Early Years block at Quarter Two. Due to the nature of the volatility, it is difficult to forecast as the funding (the final grant allocation will be determined by the January 2020 census), and payments to providers (payments are made according to actual number of hours of provision each term) are unpredictable.

#### 4.4 Central Schools Services Block

There are no forecast variances within the Central School Services block at Quarter Two

#### 4.5 High Needs Block

The High Needs Block is currently reporting a net £376k underspend (net of the £1.6m deficit). The main variances against expenditure are as follows:

- £18k pressure as more children move into the area.
- £50k pressure relating to the approval of four new personal budgets, one of which has created a £68k saving on the Independent Special School cost centre. Additional support for CYP in mainstream schools also agreed.
- £278k saving relates to four of the predicted transitions children to independent special schools have been mitigated by utilising local mainstream and local specialist provision.
- Other over and under spends within the Top Up funding areas are demand led and can be as a result of pupil movement from one setting to another.
- Further work needs to be undertaken to ascertain which of the current year savings are ongoing or one off. This will help in compiling a recovery plan for 2020-21.

4.6 A breakdown of the PRU top up information for the Autumn term has not yet been received, information should be available for month 7 reporting. These codes are currently shown as reporting online, this is a risk which could have an impact on the block's forecast position.

### 5. **Deficit Recovery Plan**

5.1 The DSG is forecasting a £376k underspend in year. The budget has been set with a £1.8m efficiency target which remains unallocated at Quarter Two. This is unallocated because permanent savings against individual budgets have not been identified to enable a permanent virement of funds to reduce the efficiency target.

5.2 There has been an announcement that £700 million additional one off funding for the High Needs Block will be available for the 2020/21 financial year. We will provide an update once we have received notification of our authority's allocation.

### 6. **Conclusion**

6.1 At Quarter Two the DSG is forecasting a £376k underspend. The forecast position will be kept under review and updates provided to Heads Funding Group and School's Forum. At Quarter Two the deficit set for 2019/20 remains at £1.8m.

6.2 The Forum should also note that there is anticipated in year (2019/20) budget adjustment relating to the conversion of Francis Baily to academy status, this adjustment is not currently included in the forecasts.

## 7. Appendices

Appendix A – DSG 2019-20 Budget Monitoring Report Month 6

## Dedicated School's Grant (DSG) 2019-2020 Budget Monitoring Month 6

| Cost Centre   | Description  | Original Budget 2019-20 | Net Virements in year | Amended Budget 2019-20 | Forecast          | Variance | Comments  |
|---------------|--|-------------------------|-----------------------|------------------------|-------------------|----------|---|
| 90020         | Primary Schools (excluding nursery funding)            | 48,316,300              |                       | 48,316,300             | 48,316,300        | 0        |   |
| DSG top slice | Academy Schools Primary                                | 0                       |                       | 0                      | 0                 | 0        |   |
| 90025         | Secondary Schools (excluding 6th form funding)         | 15,197,160              |                       | 15,197,160             | 15,197,160        | 0        |   |
| DSG top slice | Academy Schools Secondary                              | 0                       |                       | 0                      | 0                 | 0        |   |
| 90230         | DD - Schools in Financial Difficulty (primary schools) | 0                       |                       | 0                      | 0                 | 0        |   |
| 90113         | DD - Trade Union Costs                                 | 51,470                  |                       | 51,470                 | 51,470            | 0        |   |
| 90255         | DD - Support to Ethnic minority & bilingual Learners   | 187,770                 |                       | 187,770                | 187,770           | 0        | Underspend from 17/18 to be transferred from reserves |
| 90349         | DD - Behaviour Support Services                        | 213,900                 |                       | 213,900                | 213,900           | 0        |   |
| 90424         | DD - CLEAPSS   | 3,320                   |                       | 3,320                  | 3,320             | 0        |   |
| 90470         | DD - School Improvement                                | 0                       |                       | 0                      | 0                 | 0        |   |
| 90423         | DD - Statutory & Regulatory Duties                     | 167,780                 |                       | 167,780                | 167,780           | 0        |   |
| 90235         | School Contingency - Growth Fund/Falling Rolls Fund    | 655,800                 |                       | 655,800                | 655,800           | 0        |   |
|               |  |                         |                       |                        |                   |          |   |
|               | <b>Schools Block Total</b>                             | <b>64,793,500</b>       | <b>0</b>              | <b>64,793,500</b>      | <b>64,793,500</b> | <b>0</b> |   |
|               |  |                         |                       |                        |                   |          |   |
| 90583         | National Copyright Licences                            | 136,330                 |                       | 136,330                | 136,330           | 0        |   |
| 90019         | Servicing of Schools Forum                             | 42,350                  |                       | 42,350                 | 42,350            | 0        |   |
| 90743         | School Admissions                                      | 210,030                 |                       | 210,030                | 210,030           | 0        |   |
| 90354         | ESG - Education Welfare                                | 194,020                 |                       | 194,020                | 194,020           | 0        |   |
| 90460         | ESG - Statutory & Regulatory Duties                    | 389,680                 |                       | 389,680                | 389,680           | 0        |   |
|               | <b>Central School Services Block DSG</b>               | <b>972,410</b>          | <b>0</b>              | <b>972,410</b>         | <b>972,410</b>    | <b>0</b> |   |

| Cost Centre | Description                               | Original Budget 2019-20 | Net Virements in year | Amended Budget 2019-20 | Forecast         | Variance       | Comments  |
|-------------|---|-------------------------|-----------------------|------------------------|------------------|----------------|---|
| 90010       | Early Years Funding - Nursery Schools     | 917,910                 |                       | 917,910                | 917,910          | 0              |   |
| 90037       | Early Years Funding - Maintained Schools  | 1,323,980               |                       | 1,323,980              | 1,323,980        | 0              |   |
| 90036       | Early Years Funding - PVI Sector          | 6,344,850               |                       | 6,344,850              | 6,344,850        | 0              |   |
| 90052       | Early Years PPG & Deprivation Funding     | 131,460                 |                       | 131,460                | 131,460          | 0              |   |
| 90053       | Disability Access Fund                    | 23,370                  |                       | 23,370                 | 23,370           | 0              |   |
| 90018       | 2 year old funding                        | 652,970                 |                       | 652,970                | 652,970          | 0              |   |
| 90017       | Central Expenditure on Children under 5   | 266,300                 |                       | 266,300                | 266,300          | 0              |   |
| 90287       | Pre School Teacher Counselling            | 60,690                  |                       | 60,690                 | 60,690           | 0              |   |
| 90238       | Early Years Inclusion Fund                | 90,000                  |                       | 90,000                 | 90,000           | 0              |   |
| 90054       | DSG Deficit Recovery Target               | -214,515                |                       | -214,515               | 0                | 214,515        |   |
|             |   |                         |                       |                        |                  |                |   |
|             | <b>Early Years Block Total</b>            | <b>9,597,015</b>        | <b>0</b>              | <b>9,597,015</b>       | <b>9,811,530</b> | <b>214,515</b> |   |
|             |   |                         |                       |                        |                  |                |   |
| 90026       | Academy Schools RU Top Ups                | 946,530                 |                       | 946,530                | 946,530          | 0              |   |
| 90546       | Special Schools - Place Funding Post 16   | 527,000                 |                       | 527,000                | 527,000          | 0              |   |
| 90539       | Special Schools - Top Up Funding          | 3,463,450               |                       | 3,463,450              | 3,463,450        | 0              |   |
| 90548       | Non WBC Special Schools - Top Up Funding  | 1,065,960               |                       | 1,065,960              | 1,048,140        | -17,820        |   |
| 90575       | Non LEA Special School (OofA)             | 1,030,380               |                       | 1,030,380              | 969,250          | -61,130        |   |
| 90579       | Independent Special School Place & Top Up | 2,683,020               |                       | 2,683,020              | 2,404,930        | -278,090       | Placements now in Mainstream or Other Specialist Provision. |
| 90580       | Further Education Colleges Top Up         | 1,408,870               |                       | 1,408,870              | 1,368,590        | -40,280        |   |
| 90617       | Resourced Units top up Funding maintained | 270,350                 |                       | 270,350                | 270,350          | 0              |   |
| 90618       | Non WBC Resourced Units - Top Up Funding  | 143,580                 |                       | 143,580                | 139,160          | -4,420         |   |
| 90621       | Mainstream - Top Up Funding maintained    | 667,330                 |                       | 667,330                | 667,330          | 0              |   |

| Cost Centre | Description                                   | Original Budget 2019-20 | Net Virements in year | Amended Budget 2019-20 | Forecast          | Variance        | Comments  |
|-------------|---|-------------------------|-----------------------|------------------------|-------------------|-----------------|---|
| 90622       | Mainstream - Top Up Funding Academies         | 267,460                 |                       | 267,460                | 267,460           | 0               |   |
| 90624       | Non WBC Mainstream - Top Up Funding           | 73,030                  |                       | 73,030                 | 91,170            | 18,140          | One new placement .   |
| 90625       | Pupil Referral Units - Top Up Funding         | 757,700                 |                       | 757,700                | 757,700           | 0               |   |
| 90627       | Disproportionate No: of HN Pupils NEW         | 100,000                 |                       | 100,000                | 100,000           | 0               |   |
| 90628       | EHCP PRU Placement                            | 331,400                 |                       | 331,400                | 331,400           | 0               |   |
|             |   |                         |                       |                        |                   |                 |   |
|             | <b>High Needs Block: Top Up Funding Total</b> | <b>13,736,060</b>       | <b>0</b>              | <b>13,736,060</b>      | <b>13,352,460</b> | <b>-383,600</b> |   |
|             |   |                         |                       |                        |                   |                 |   |
| 90320       | Pupil Referral Units                          | 660,000                 |                       | 660,000                | 660,000           | 0               |   |
| 90540       | Special Schools                               | 2,860,000               |                       | 2,860,000              | 2,860,000         | 0               |   |
| 90584       | Resourced Units - Place Funding (70)          | 234,000                 |                       | 234,000                | 234,000           | 0               |   |
|             |   |                         |                       |                        |                   |                 |   |
|             | <b>High Needs Block: Place Funding Total</b>  | <b>3,754,000</b>        | <b>0</b>              | <b>3,754,000</b>       | <b>3,754,000</b>  | <b>0</b>        |   |
|             |   |                         |                       |                        |                   |                 |   |
| 90240       | Applied Behaviour Analysis                    | 119,120                 |                       | 119,120                | 168,800           | 49,680          | New personal budgets agreed creating savings elsewhere. Additional support in Mainstream setting. |
| 90280       | Special Needs Support Team                    | 325,660                 |                       | 325,660                | 302,660           | -23,000         | Saving on Capita One costs  |
| 90281       | SEND Strategy (DSG)                           | 56,200                  |                       | 56,200                 | 36,200            | -20,000         | Part Year vacancy   |
| 90282       | Medical Home Tuition                          | 119,920                 |                       | 119,920                | 119,920           | 0               |   |
| 90287       | Pre School Teacher Counselling                | 40,000                  |                       | 40,000                 | 40,000            | 0               |   |
| 90288       | Elective Home Education Monitoring            | 28,240                  |                       | 28,240                 | 28,240            | 0               |   |
| 90290       | Sensory Impairment                            | 236,000                 |                       | 236,000                | 236,000           | 0               |   |
| 90295       | Therapy Services                              | 261,470                 |                       | 261,470                | 261,470           | 0               |   |
| 90315       | Home Tuition                                  | 102,080                 |                       | 102,080                | 102,080           | 0               |   |
| 90370       | Behaviour Programme (Invest to Save)          | 0                       |                       | 0                      | 0                 | 0               | Underspend from 18/19 to be added for next budget monitoring reporting cycle                      |
| 90371       | PPEP Care Programme                           | 0                       |                       | 0                      | 0                 | 0               | Underspend from 18/19 to be added for next budget monitoring reporting cycle                      |

| Cost Centre | Description  | Original Budget 2019-20 | Net Virements in year | Amended Budget 2019-20 | Forecast          | Variance         | Comments |
|-------------|--|-------------------------|-----------------------|------------------------|-------------------|------------------|----------|
| 90555       | LAL Funding  | 98,400                  |                       | 98,400                 | 98,400            | 0                |          |
| 90565       | Equipment For SEN Pupils                             | 15,000                  |                       | 15,000                 | 15,000            | 0                |          |
| 90577       | SEN Commissioned Provision                           | 527,150                 |                       | 527,150                | 527,150           | 0                |          |
| 90582       | PRU Outreach   | 61,200                  |                       | 61,200                 | 61,200            | 0                |          |
| 90585       | HN Outreach Special Schools                          | 50,000                  |                       | 50,000                 | 50,000            | 0                |          |
| 90610       | Hospital Tuition                                     | 36,000                  |                       | 36,000                 | 36,000            | 0                |          |
| 90830       | ASD Teachers   | 146,210                 |                       | 146,210                | 146,210           | 0                |          |
| 90961       | Vulnerable Children                                  | 50,000                  |                       | 50,000                 | 50,000            | 0                |          |
| 90581       | Dingleys Promise                                     | 30,000                  |                       | 30,000                 | 30,000            | 0                |          |
|             |  |                         |                       |                        |                   |                  |          |
|             | <b>High Needs Block: Non Top Up or Place Funding</b> | <b>2,302,650</b>        | <b>0</b>              | <b>2,302,650</b>       | <b>2,309,330</b>  | <b>6,680</b>     |          |
|             |  |                         |                       |                        |                   |                  |          |
| 90054       | DSG Deficit Recovery Target                          | -1,650,138              |                       | -1,650,138             | 0                 | 1,650,138        |          |
|             |  |                         |                       |                        |                   |                  |          |
|             | <b>High Needs Block Total</b>                        | <b>18,142,572</b>       | <b>0</b>              | <b>18,142,572</b>      | <b>19,415,790</b> | <b>1,273,218</b> |          |
|             |  |                         |                       |                        |                   |                  |          |
|             | <b>Total Expenditure across funding bocks</b>        | <b>93,505,497</b>       | <b>0</b>              | <b>93,505,497</b>      | <b>94,993,230</b> | <b>1,487,733</b> |          |
|             |  |                         |                       |                        |                   |                  |          |
|             | <b>SUPPORT SERVICE RECHARGES</b>                     | <b>444,000</b>          | <b>0</b>              | <b>444,000</b>         | <b>444,000</b>    | <b>0</b>         |          |
|             |  |                         |                       |                        |                   |                  |          |
|             | <b>TOTAL DSG EXPENDITURE</b>                         | <b>93,949,497</b>       | <b>0</b>              | <b>93,949,497</b>      | <b>95,437,230</b> | <b>1,487,733</b> |          |
|             |  |                         |                       |                        |                   |                  |          |
| 90030       | DSG Grant Account                                    | -93,721,680             |                       | -93,721,680            | -93,721,680       | 0                |          |
|             | Council Funding                                      | -227,817                |                       | -227,817               | -227,817          | 0                |          |
|             |  |                         |                       |                        |                   |                  |          |
|             | <b>NET DSG EXPENDITURE</b>                           | <b>0</b>                | <b>0</b>              | <b>0</b>               | <b>1,487,733</b>  | <b>1,487,733</b> |          |



## SEND Information, Advice & Support Service Contract (SENDIASS)

**Report being considered by:** Heads Funding Group  
**On:** 14 October 2019  
**Report Author:** Thomas Ng  
**Item for:** Information **By:** All Forum Members

### 1. Purpose of the Report

- 1.1 To update all School Forum members on the progress of the above service.
- 1.2 To solicit views from School Forum members on ways to enhance the value of this service.

### 2. Recommendation(s)

- 2.1 To note the outcomes of the 2018/2019 school year

|   |                               |   |
|---|-------------------------------|---|
| <b>Will the recommendation require the matter to be referred to the Council or the Executive for final determination?</b> | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> |
|---|-------------------------------|---|

### 3. Introduction/Background

- 3.1 Under Children & Family Act 2014, West Berkshire Council has a statutory duty to provide an independent Information, Advice and Support Service to parents of children with Special Educational Needs and Disabilities (SEND).
- 3.2 Since 1st August 2015, West Berkshire Council has a service provision contract with The Rose Road Association, Hampshire to provide this service to families in West Berkshire. [http://www.westberkssendiass.info/en/Main\\_Page](http://www.westberkssendiass.info/en/Main_Page)
- 3.3 The initial contract terms was for three years until 31st July 2018, with an option to extend for another three years until 31st July 2021.
- 3.4 The Rose Road Association has been working with children and adults with complex and multiple disabilities and health needs and their family since 1952. It is base at The Bradbury Centre in Hampshire, providing comprehensive websites, factsheets, helplines and social media resources as well as locally based trained and experienced advisers.
- 3.5 The organisation is currently delivering SEND Information Advice and Support in Southampton, Portsmouth and West Berkshire.
- 3.6 In July 2018, an agreement was reached for West Berkshire Council to take up the optional 3-year extension at the same cost for the service over the previous three years, without the expected inflation uplift.

#### 4. Service to Schools within West Berkshire District

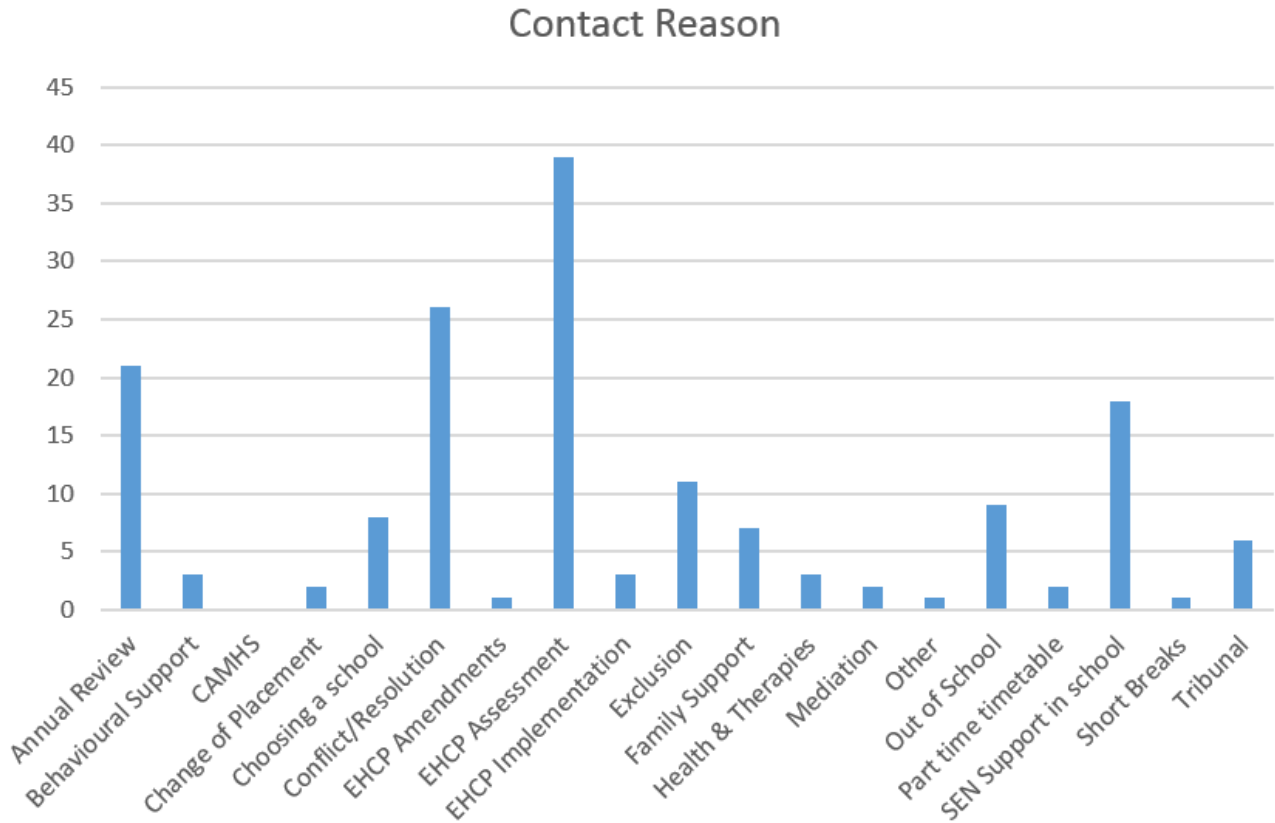
4.1 Support to parents of children with SEND for 43 West Berkshire schools over the last 12 months.

|                                   | Term 1* | Term 2 | Term 3 |
|-----------------------------------|---------|--------|--------|
| Basildon Primary School           |         |        | 1      |
| Beedon Primary School             | 1       | 1      | 1      |
| Birch Copse Primary School        | 1       | 2      |        |
| Bradfield Primary School          | 1       |        |        |
| Brightwalton Primary School       |         |        | 1      |
| Brookfields Special School        |         | 1      |        |
| Compton Primary School            | 1       | 1      |        |
| Denefield Academy                 | 2       | 1      |        |
| Fir Tree Primary School           |         | 1      |        |
| Freacis Baily Primary School      |         | 1      | 1      |
| Garland Junior School             | 1       | 1      |        |
| Hampstead Norreys Primary School  | 2       |        |        |
| Hermitage Primary School          |         | 1      | 1      |
| Hungerford Primary                |         | 1      |        |
| iCollege                          | 1       | 1      |        |
| Inkpen Primary School             |         |        | 4      |
| Kennet Academy                    |         | 3      | 2      |
| Kennet Valley Primary School      |         | 1      | 1      |
| Kintbury St Mary's Primary School |         |        | 1      |
| Little Heath Secondary School     | 1       |        |        |
| Long Lane Primary School          | 1       | 1      | 2      |
| Mrs Bland's Infant School         | 1       |        |        |
| Pangbourne Primary School         | 1       |        |        |
| Park House Acadmey                | 2       |        | 1      |
| Parson's Down Primary School      | 4       |        | 1      |
| Robert Sandilands Primary School  |         | 1      | 1      |
| Speenhamland Primary School       | 1       |        |        |
| Springfield Primary School        | 1       |        |        |
| Spurcroft School                  | 2       | 1      |        |
| St Bartholomew's Academy          | 3       |        |        |
| Stockcross                        |         | 1      |        |
| Sulhamstead & Ufton Nervet School | 1       |        | 1      |
| Thatcham Park Primary School      |         |        | 1      |
| The Downs School                  | 1       | 1      | 4      |
| The Willink School                |         |        | 1      |
| The Winchcomebe School            | 2       | 2      |        |
| Theale Green Academy              | 1       | 3      | 3      |
| Trinity Academy                   | 5       | 3      | 6      |
| Welford & Wickham Primary School  |         | 1      | 2      |
| Westwood Farm Schools             |         | 1      | 1      |
| Whitelands Park Primary School    | 1       |        |        |
| Willows Primary School            |         | 1      | 1      |
| Total                             | 38      | 32     | 38     |

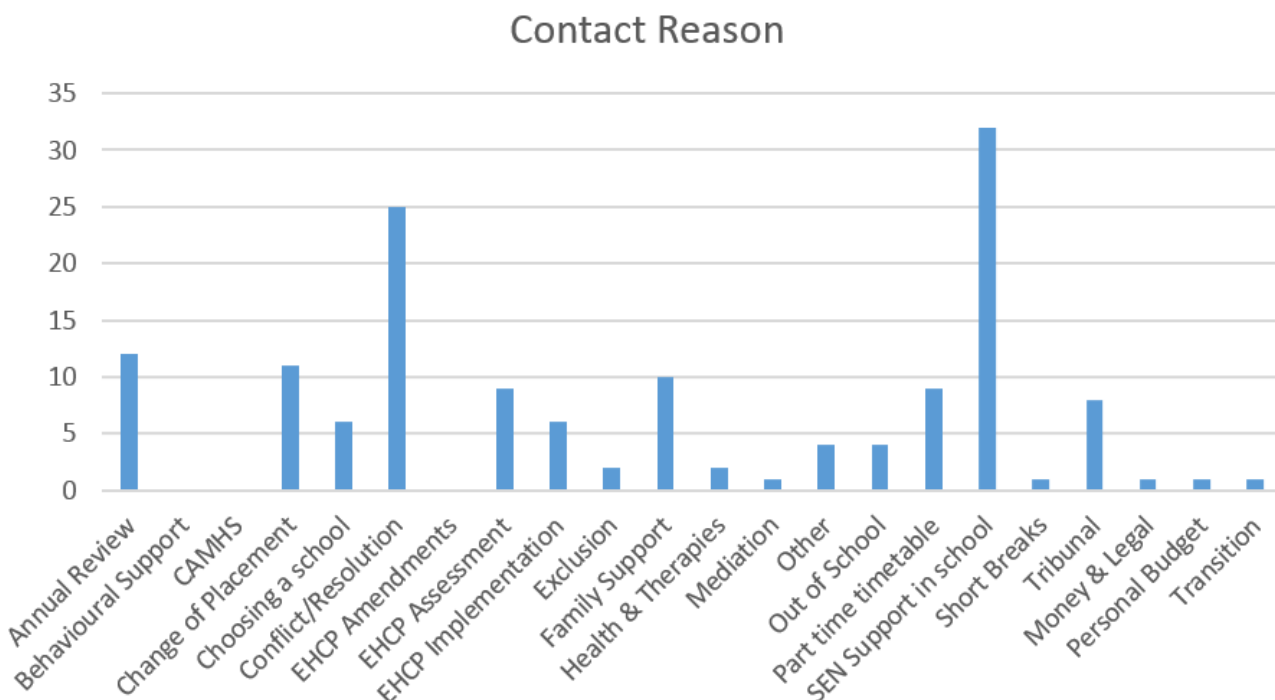
\*Term 1: 1.8.2018 – 31.12.2018; Term 2: 1.1.2019 – 31.3.2019; Term 3: 1.4.2019 – 71.7.2019

#### 4.2 Contact reasons:

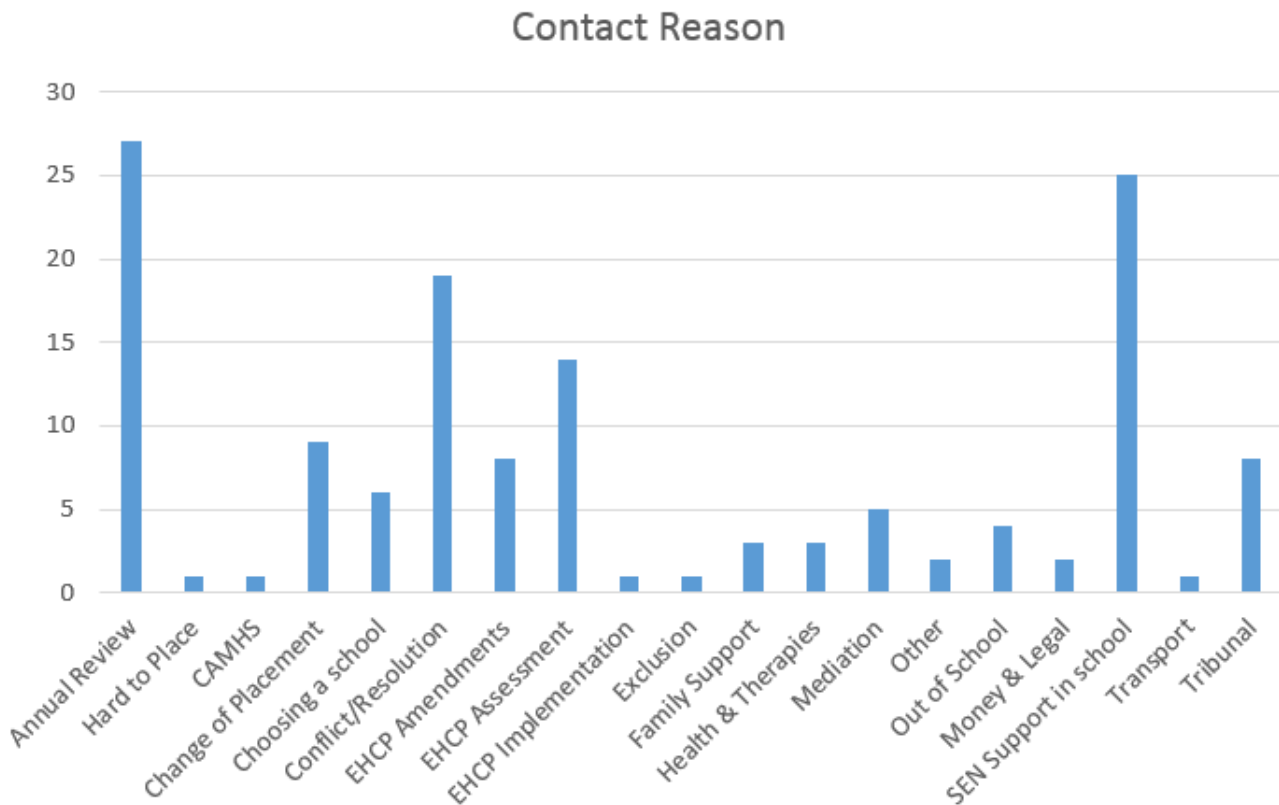
##### Term 1



##### Term 2

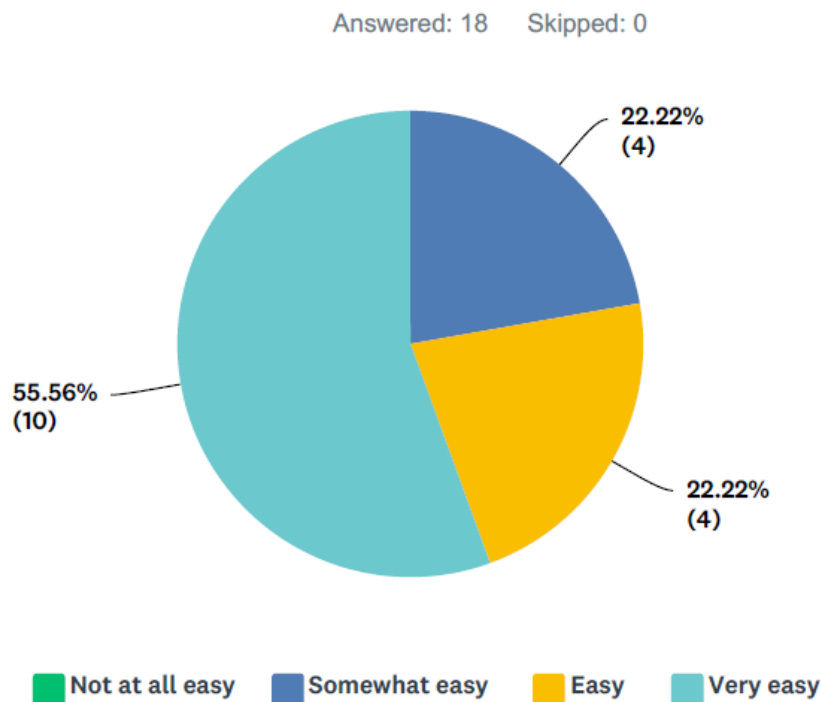


Term 3



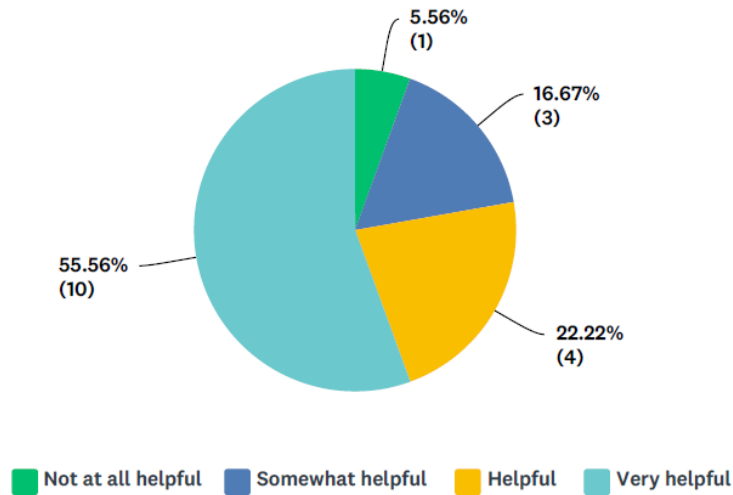
4.3 In a recent survey (Term 3 2018/2019) of parents regarding the quality of the services, the majority of indicators have shown a positive feedback:

### Q1 How easy was it to get in touch with us?



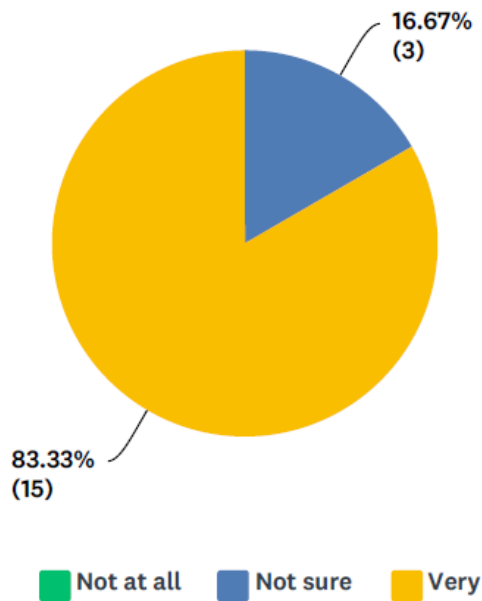
## Q2 How helpful was the information, advice and support we gave you?

Answered: 18 Skipped: 0



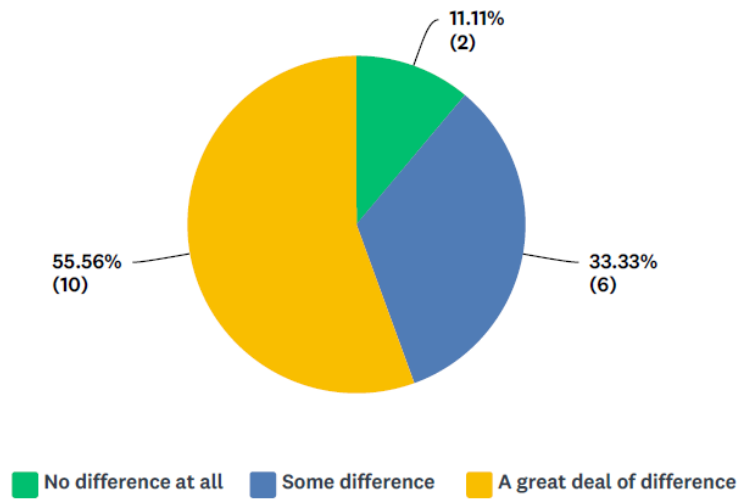
## Q3 How neutral, fair and unbiased do you think we were?

Answered: 18 Skipped: 0



## Q4 What difference do you think our information, advice or support has made for you?

Answered: 18 Skipped: 0



- 4.4 Source of referrals from schools was very low (1 in Term 1; none in Term 2 and 3 in Term 3). The vast majority of support request were from “self Referral”.

## 5. For Consideration

- 5.1 To note the direction of travel of the existing contract and to solicit views from the wider community in order to improve the value of this contract.

## 6. Consultation and Engagement

- 6.1 Service Provider:- the Rose Road Association (Carol Dixon, Family Services Director; Jo Maxwell-Heron, Service Manager); Jane Seymour (West Berkshire Council SEND Service Manager).

# Agenda Item 15

## Schools Forum Work Programme 2019/20

|        | Item  | HFG Deadline | Heads Funding Group | SF Deadline | Schools Forum | Action required | Author  |
|--------|---|--------------|---------------------|-------------|---------------|-----------------|---|
| Term 2 | Draft DSG Funding & Budget 2020/21  | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Discussion      | Melanie Ellis                                 |
|        | School Funding Formula 2020/21  | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Decision        | Melanie Ellis                                 |
|        | Final Additional Funding Criteria 2019/20                                       | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Decision        | Melanie Ellis                                 |
|        | Draft Central Schools Block Budget  | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Discussion      | Melanie Ellis/Ian Pearson                     |
|        | Draft High Needs Budget 2020/21   | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Discussion      | Jane Seymour & Michelle Sancho                |
|        | Insurance Scheme Proposals for Funding PE Pupils attending iCollege             | 19/11/19     | 26/11/19            |             |               | Discussion      | Jacquie Davies / David Ramsden / Keith Harvey |
|        | Funding for children with EHCPs who attended PRUs                               | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Discussion      | Jane Seymour                                  |
|        | High Needs Places and Arrangements 2020/21                                      | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Discussion      | Jane Seymour                                  |
|        | Review of (50/50) funding arrangements for iCollege between the HNB and schools | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Decision        | Jane Seymour / Jacquie Davies                 |
|        | Schools Funding Benchmarking Information  | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Information     | Melanie Ellis                                 |
|        | High Needs Block - Resourced Units  | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Discussion      | Jane Seymour                                  |
|        | Outline Early Years Forecast 2019/20 and Budget 2020/21                         | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Discussion      | Avril Allenby                                 |
|        | Update on Schools in Financial Difficulty                                       | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Information     | Melanie Ellis                                 |
|        | Schools' Cleaning and Catering Contracts  | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Decision        | Robert Bradshaw                               |
|        | Schools: deficit recovery ( <i>standing item</i> )                              | 19/11/19     | 26/11/19            | 03/12/19    | 09/12/19      | Discussion      | Melanie Ellis                                 |
| Term 3 | DSG Monitoring 2019/20 Month 7  |              |                     | 03/12/19    | 09/12/19      | Information     | Ian Pearson                                   |
|        | Dedicated Schools Grant (DSG) Funding Settlement and Budget Overview 2020/21    | 02/01/20     | 08/01/20            | 14/01/20    | 20/01/20      | Discussion      | Melanie Ellis                                 |
|        | Final Schools Funding Formula 2019/20   | 02/01/20     | 08/01/20            | 14/01/20    | 20/01/20      | Decision        | Melanie Ellis                                 |
|        | Central Schools Block Budget Proposals 2020/21                                  | 02/01/20     | 08/01/20            | 14/01/20    | 20/01/20      | Decision        | Melanie Ellis/Ian Pearson                     |
|        | High Needs Block Budget Proposals 2020/21                                       | 02/01/20     | 08/01/20            | 14/01/20    | 20/01/20      | Decision        | Jane Seymour & Michelle Sancho                |
|        | Growth Fund and Falling Rolls Fund 2019/20                                      | 02/01/20     | 08/01/20            | 14/01/20    | 20/01/20      | Information     | Melanie Ellis                                 |
|        | Schools: deficit recovery ( <i>standing item</i> )                              | 02/01/20     | 08/01/20            | 14/01/20    | 20/01/20      | Discussion      | Melanie Ellis                                 |
|        | Schools' Broadband  | 02/01/20     | 08/01/20            | 14/01/20    | 20/01/20      | Decision        | Thomas Ng                                     |
| Term 4 | DSG Monitoring 2019/20 Month 9  |              |                     | 14/01/20    | 20/01/20      | Information     | Ian Pearson                                   |
|        | Work Programme 2020/21  | 18/02/20     | 25/02/20            | 03/03/20    | 09/03/20      | Decision        | Jessica Bailiss                               |
|        | Final DSG Budget 2020/21 - Overview   | 18/02/20     | 25/02/20            | 03/03/20    | 09/03/20      | Decision        | Melanie Ellis                                 |
|        | Final Central Schools Block Budget 2020/21                                      | 18/02/20     | 25/02/20            | 03/03/20    | 09/03/20      | Decision        | Melanie Ellis/Ian Pearson                     |
|        | Final High Needs Block Budget 2020/21   | 18/02/20     | 25/02/20            | 03/03/20    | 09/03/20      | Decision        | Jane Seymour & Michelle Sancho                |
|        | Final Early Years Block Budget 2020/21  | 18/02/20     | 25/02/20            | 03/03/20    | 09/03/20      | Decision        | Avril Allenby                                 |
|        | Schools: deficit recovery ( <i>standing item</i> )                              | 18/02/20     | 25/02/20            | 03/03/20    | 09/03/20      | Discussion      | Melanie Ellis                                 |
|        | DSG Monitoring 2019/20 Month 10   |              |                     | 03/03/20    | 09/03/20      | Information     | Ian Pearson                                   |

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