

# Public Document Pack

## NOTICE OF MEETING

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# SCHOOLS FORUM

will meet on

**THURSDAY, 16TH JULY, 2020**

**At 2.00 pm**

in the

**VIRTUAL MEETING - ONLINE ACCESS, [RBWM YOUTUBE](#)**

TO: MEMBERS OF THE SCHOOLS FORUM

SCHOOL REPRESENTATIVES: ISABEL COOKE, RICHARD PILGRIM, JOOLZ SCARLETT, MIKE WALLACE, CHRIS TOMES (VICE-CHAIR), STEPHEN MCCORMAC, SARAH COTTLE, ANDREW MORRISON AND MARTIN TINSLEY (CHAIR).

GOVERNOR REPRESENTATIVES: HUGH BOULTER

NON-SCHOOL REPRESENTATIVES: AMANDA DEAN

Karen Shepherd – Head of Governance - Issued: 03/07/2020

Members of the Press and Public are welcome to attend Part I of this meeting. The agenda is available on the Council's web site at [www.rbwm.gov.uk](http://www.rbwm.gov.uk) or contact the Panel Administrator **Fatima Rehman 01628 796251**

**The Part I (public) section of this virtual meeting will be streamed live and recorded via Zoom. By participating in the meeting by audio and/or video you are giving consent to being recorded and acknowledge that the recording will be in the public domain.**

## AGENDA

### PART I

<u>ITEM</u>	<u>SUBJECT</u>	<u>PAGE NO</u>
1.	<u>APOLOGIES</u>  To receive apologies for absence.	-
2.	<u>DECLARATIONS OF INTEREST</u>  To receive any Declarations of Interest.	5 - 6
3.	<u>MINUTES</u>  To confirm the minutes from the previous meeting.	7 - 10
4.	<u>BUDGET OUTTURN AND SCHOOL BALANCES 2019/20</u>  To receive the above report.	11 - 20
5.	<u>BUDGET MONITORING AND FORECAST JULY 2020</u>  To receive the above report.	21 - 24
6.	<u>SCHOOLS FORUM MEMBERSHIP FRAMEWORK 2020/21</u>  To receive the above report.	25 - 32
7.	<u>SCHEME FOR FINANCING SCHOOLS 2020/21</u>  To receive the above report.	33 - 106
8.	<u>SOCIAL, EMOTIONAL AND MENTAL HEALTH (SEMH) PROJECT UPDATE</u>  To receive the above report.	107 - 112
9.	<u>WELLBEING TEAM AND BEHAVIOUR SUPPORT TEAM FUTURE PLANNING</u>  To receive the above report.	113 - 132
10.	<u>SCHOOLS AND EARLYYEARS PROVIDERS BUSINESS RATES</u>  To discuss the agenda item.	Verbal Report

## MEMBERS' GUIDE TO DECLARING INTERESTS IN MEETINGS

### Disclosure at Meetings

If a Member has not disclosed an interest in their Register of Interests, they **must make** the declaration of interest at the beginning of the meeting, or as soon as they are aware that they have a DPI or Prejudicial Interest. If a Member has already disclosed the interest in their Register of Interests they are still required to disclose this in the meeting if it relates to the matter being discussed.

A member with a DPI or Prejudicial Interest **may make representations at the start of the item but must not take part in the discussion or vote at a meeting.** The speaking time allocated for Members to make representations is at the discretion of the Chairman of the meeting. In order to avoid any accusations of taking part in the discussion or vote, after speaking, Members should move away from the panel table to a public area or, if they wish, leave the room. If the interest declared has not been entered on to a Members' Register of Interests, they must notify the Monitoring Officer in writing within the next 28 days following the meeting.

### Disclosable Pecuniary Interests (DPIs) (relating to the Member or their partner) include:

- Any employment, office, trade, profession or vocation carried on for profit or gain.
- Any payment or provision of any other financial benefit made in respect of any expenses occurred in carrying out member duties or election expenses.
- Any contract under which goods and services are to be provided/works to be executed which has not been fully discharged.
- Any beneficial interest in land within the area of the relevant authority.
- Any licence to occupy land in the area of the relevant authority for a month or longer.
- Any tenancy where the landlord is the relevant authority, and the tenant is a body in which the relevant person has a beneficial interest.
- Any beneficial interest in securities of a body where:
  - a) that body has a piece of business or land in the area of the relevant authority, and
  - b) either (i) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body **or** (ii) the total nominal value of the shares of any one class belonging to the relevant person exceeds one hundredth of the total issued share capital of that class.

Any Member who is unsure if their interest falls within any of the above legal definitions should seek advice from the Monitoring Officer in advance of the meeting.

A Member with a DPI should state in the meeting: ***'I declare a Disclosable Pecuniary Interest in item x because xxx. As soon as we come to that item, I will leave the room/ move to the public area for the entire duration of the discussion and not take part in the vote.'***

Or, if making representations on the item: ***'I declare a Disclosable Pecuniary Interest in item x because xxx. As soon as we come to that item, I will make representations, then I will leave the room/ move to the public area for the entire duration of the discussion and not take part in the vote.'***

### Prejudicial Interests

Any interest which a reasonable, fair minded and informed member of the public would reasonably believe is so significant that it harms or impairs the Member's ability to judge the public interest in the item, i.e. a Member's decision making is influenced by their interest so that they are not able to impartially consider relevant issues.

A Member with a Prejudicial interest should state in the meeting: ***'I declare a Prejudicial Interest in item x because xxx. As soon as we come to that item, I will leave the room/ move to the public area for the entire duration of the discussion and not take part in the vote.'***

Or, if making representations in the item: ***'I declare a Prejudicial Interest in item x because xxx. As soon as we come to that item, I will make representations, then I will leave the room/ move to the public area for the entire duration of the discussion and not take part in the vote.'***

### Personal interests

Any other connection or association which a member of the public may reasonably think may influence a Member when making a decision on council matters.

Members with a Personal Interest should state at the meeting: ***'I wish to declare a Personal Interest in item x because xxx'. As this is a Personal Interest only, I will take part in the discussion and vote on the matter.***

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# Agenda Item 3

## SCHOOLS FORUM

THURSDAY, 16 JANUARY 2020

PRESENT: Hugh Boulter, Martin Tinsley, Mike Wallace, Isabel Cooke, Richard Pilgrim, Amanda Dean, Sarah Cottle, Chris Tomes and Joolz Scarlett.

Officers: Wendy Binmore, Tracey Anne Nevitt, Sarah Ward and James Norris

### APOLOGIES

Apologies for absence were received from Andrew Morrison and Kevin McDaniel. Amanda Hoff submitted her resignation from the Forum and the Chairman thanked her for her input into the Forum.

### DECLARATIONS OF INTEREST

None.

### MINUTES

**RESOLVED UNANIMOUSLY: That the minutes of the meeting held on 21 November 2019 be approved.**

### SCHEME FOR FINANCING SCHOOLS 2019/20

James Norris, Head of Finance (RBWM), introduced the report to Members and explained that it was to provide a summary of any subsequent changes to the draft scheme for Financing Schools that was presented to the Schools Forum on 26 September 2019; the report asked Members of the Forum (for Maintained Schools only) to approve the Scheme for Financing Schools in 2019/20.

The Head of Finance (RBWM) confirmed there had been no major material changes to the scheme, the amendments were to the text of the scheme and the terminology.

All Members unanimously agreed the recommendations of the report.

### BUDGET MONITORING AND FORECAST 2019/20

James Norris, Head of Finance (RBWM), explained that the purpose of the report was to provide the Schools Forum with the projected financial position for 2019/20 with associated schedule of Risks & Opportunities; with the projected reserve balance as at 31 March 2020 and an understanding of the financial pressures which were currently being faced. The report asked Members of the Forum to note the contents of the report, including the reported variance, schedule of Risks & Opportunities and the projected deficit balance carried forward as at 31 March 2020.

Members noted the current projected net in-year surplus of £117,000 and the material variances were as follows:

- Early Years Block Private, Voluntary & Independent Nurseries 2018/19 underspend carried forward at (£435,000) after block recalculation.
- High Needs Block £678,000 included increases in volume of Top Up payments and changes placements of children in year between FE colleges and the independent sector.

- Schools Block Growth Fund underspend of (£270,000).
- Miscellaneous central block items totalling (£90,000) underspend.

The Head of Finance (RBWM) added that at this point last year, the figures were showing a slight overspend or were very close to budget but, the position had improved by the last quarter. He confirmed that the main reason was a greater underspend by £26,000 that left the Borough in that position at the end of the year.

All Members noted the contents of the report.

### DEDICATED SCHOOLS GRANT INDICATIVE SETTLEMENT 2020/21

James Norris, Head of Finance (RBWM), introduced the report and stated it was to update the Forum on the indicative settlement 2020/21 for the Dedicated Schools Grant (DSG); Schools Block, Central School Services Block, Early Years Block and High Needs Block; and to update the Forum on the submission of the draft Authority Pro-forma Took (APT) for schools block funding 2020/21 to the Education Skill Funding Agency (ESFA).

The Chairman stated that paragraph 4.1 of the report talked about the DSG at £1.2m but the report did not deduct funding from the high needs block. Tracy Ann Nevitt explained that Table 1 of the report was an estimate of deductions, the recoument was being finalised in the coming weeks. Compared to 2019/20, it went from £86m to £92m so there was a significant increase.

Tracy Ann Nevitt had sent out to all schools the finalised formula and the Borough was able to meet that model in full. She was able to look at mobility and any increases in English as an Additional Language (EAL) so EAL was only slightly below the NFF.

The Forum agreed the report was very good news and noted the allocation for the DSG; Schools Block, central Schools Services Block and High Needs Block for the 2020/21 financial year and the details of the 2020/21 APT submission.

### SUPPORTING PUPILS AT SCHOOL WITH MEDICAL CONDITIONS

The Forum agreed that due to the Ofsted Inspection that was taking place, they would defer this item to the next meeting.

### EARLY YEARS NATIONAL FORMULA 2020-21

James Norris, Head of Finance (RBWM), explained the consultation would go ahead in January 2020 and the proposal was to up to 8p per pupil per hour. The Chairman stated the Forum would know more following the consultation in April 2020 when the results would be available.

The Forum noted the report.

### SCHOOLS BLOCK BUDGET 2020-21 DE-DELEGATION RATES

James Norris, Head of Finance (RBWM), introduced the report and explained he was asking the Forum to keep the same rate as 2019 as set out in Table 1. Staff costs had not changed, they had stayed the same and overpayments would be reimbursed, such as paternity costs due. The Forum needed to agree on the primary and secondary sectors separately.

The Chairman asked if paternity costs were at the same rate as maternity costs. Tracy Ann Nevitt responded that she would check with HR and have a look at the policy.

The Forum agreed the de-delegation rates for 2020/21 as set out in Table 1 of the report.

The meeting, which began at 2.00 pm, finished at 2.40 pm

CHAIRMAN.....

DATE.....

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Date:	16 <sup>th</sup> July 2020	<b>AGENDA ITEM:</b>	4
Title:	<b>Budget Outturn and School Balance 2019-20</b>		
Responsible officer:	Kevin McDaniel, Director of Children’s Services		
Contact officer:	James Norris, Head of Finance (RBWM) Achieving for Children	Email:	James.norris@ achievingforchildren.org.uk

**1 PURPOSE AND SUMMARY**

- 1.1 The purpose of this report is to provide a summary of the:
- final outturn position of the Schools Budget 2019-20
  - funding held in the Dedicated Schools Grant reserves
  - level of maintained school balances held at 31<sup>st</sup> March 2020

**2 RECOMMENDATIONS**

**Schools Forum is asked to:**

- 2.1 Note the contents of this report and to approve the carry forward of the deficit balance on the Dedicated Schools Grant reserve to 2021-22.

**3 FINANCIAL SUMMARY**

- 3.1 The Schools Budget 2019-20 of £63,857,000 consisting of £34,836,000 of maintained schools delegated budgets and £29,021,000 central schools budget (including Early Years and High Needs). Delegated budgets are treated as spent as soon as they are delegated, and more information on maintained school balances is given in section 5 of this report. The central schools budget ended the financial year 2019-20 with an over spend of £242,000.
- 3.2 The material variances are as follows:
- Schools Block (£278,000) - Growth Fund underspend
  - Central Block (£141,000) - Independent Schools Non Special Educational Needs (£80,000); staff vacancies and operational underspends (£61,000)
  - Early Years Block (£447,000) - Private, Voluntary & Independent Nurseries 2018/19 underspend carried forward after block recalculation (£435,000)
  - High Needs Block £1,108,000 - increased volume of Top Up payments and changes in placements of children in year between Further Education colleges and the independent sector £968,000; non achieved savings plans £200,000; school exclusion fund payments (£60,000)
- 3.3 Table 1 sets out the summarised financial position for 2019-20

**Table 1 Summarised Financial Position**

Schools Budget	S251 budget	Less Academy Recoupment	Budget Adjustment by EFA 2019	Budget 2019-20	Outturn 2019-20	Variance
	£000	£000	£000	£000	£000	£000
<b>Expenditure</b>						
Schools Block	86,157	(51,321)	0	34,836	34,558	(278)
Central Block	1,133	0	0	1,133	909	(141)
Early Years Block	9,448	0	100	9,548	9,101	(447)
High Needs Block	19,758	(1,394)	(24)	18,340	19,531	1,108
<b>TOTAL EXPENDITURE</b>	<b>116,495</b>	<b>(51,321)</b>	<b>76</b>	<b>63,857</b>	<b>64,099</b>	<b>242</b>
<b>Funding</b>						
Dedicated Schools Grant	116,495	(51,321)	76	(63,857)	(63,857)	0
<b>TOTAL FUNDING</b>	<b>116,495</b>	<b>(51,321)</b>	<b>76</b>	<b>(63,857)</b>	<b>(63,857)</b>	<b>0</b>
<b>NET EXPENDITURE</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>242</b>
<b>Summary</b>			<b>£000</b>			
Total in year (surplus) / deficit			242			
Balance brought forward (surplus) / deficit			917			
<b>Net Projected (surplus) /deficit</b>			<b>1,159</b>			

3.4 The overall net adverse movement since the last position reported to Schools Forum in January 2020 of £359,000 is shown in table 2.

**Table 2 Material forecast variances**

Schools Budget	Previously Reported	Outturn	Movement
	£000	£000	£000
<b>Expenditure</b>			
Schools Block	(270)	(278)	(8)
Central Block	(90)	(141)	(51)
Early Years Block	(435)	(447)	(12)
High Needs Block	678	1,108	430
<b>Net Variance</b>	<b>(117)</b>	<b>242</b>	<b>359</b>

3.5 The material movements between outturn and the position previously reported to Schools Forum on the 17<sup>th</sup> January 2019 are as follows:

- Central Block - further increase in underspend due to no placements for Non SEN independent school placements in 2019-20 (£30,000)

- High Need Block - changes in responsibility for most complex pupil provision £295,000; release in full budgeted savings challenge £200,000; release of school exclusion fund (£60,000)

#### 4 DEDICATED SCHOOLS GRANT RESERVES

- 4.1 The net in-year overspend is an adverse movement on the dedicated schools grant general reserve which as at 31<sup>st</sup> March 2018 was a deficit of £917,000; the revised deficit as at 31<sup>st</sup> March 2020 has increased to £1,159,000.
- 4.2 The balance of the DSG earmarked reserves is unchanged for 2019-20 at £134,000.
- 4.3 The overall combined reserves are a net deficit of £1,025,000. Under the terms of the Dedicated Schools Grant conditions 2019-20 regulation 8 (7) c Schools Forum is requested to approve the carry forward of the deficit to 2021/22.
- 4.4 Table 3 sets out the general and earmarked DSG reserves.

**Table 3 Summarised Material Movements:**

	Balance @ 31st March 2019	Transfers in	Transfers Out	Expenditure 2019-20	Balance @ 31st March 2020
	£000	£000	£000	£000	£000
<b>General DSG Reserve A</b>	(917)	0	(242)	0	<b>(1,159)</b>
School to School Support	0	0	0	0	<b>0</b>
Capacity building for Two year olds	57	0	0	0	<b>57</b>
Support for Children in Care	77	0	0	0	<b>77</b>
Mental Health & Wellbeing Support	0	0	0	0	<b>0</b>
<b>Total Earmarked Reserves B</b>	<b>134</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>134</b>
<b>Total DSG Reserve A+B (deficit)</b>	<b>(783)</b>	<b>0</b>	<b>(242)</b>	<b>0</b>	<b>(1,025)</b>

- 4.5 The cumulative deficit for RBWM is 0.83%. It is now a requirement for any local authority that has an overall deficit on its DSG account at the end of the 2019 to 2020 financial year, or whose DSG surplus has substantially reduced during the year, to co-operate with the Department for Education (DfE) in handling that situation. In particular, the local authority must:
- Provide information as and when requested by the department about its plans for managing its DSG account in the 2020 to 2021 financial year and subsequently
  - Provide information as and when requested by the department about pressures and potential savings on its high needs budget

- Meet with officials of the department as and when they request to discuss the local authority's plans and financial situation
- Keep the schools forum regularly updated about the local authority's DSG account and plans for handling it, including high needs pressures and potential savings

4.6 Achieving for Children have been in discussions with the DfE and a detailed deficit recovery plan will be presented at the September 2020 Schools Forum.

## 5 MAINTAINED SCHOOL BALANCES

- 5.1 This section analyses maintained school balances at the end of 2019-20 reflecting on trends over recent years.
- 5.2 Local Authorities do not hold information on academy school balances and the Department for Education does not publish comparable information for academies on its website, therefore, academies are excluded from the analysis.
- 5.3 In order to present the underlying outturn position, balances are shown after deducting outstanding loans.

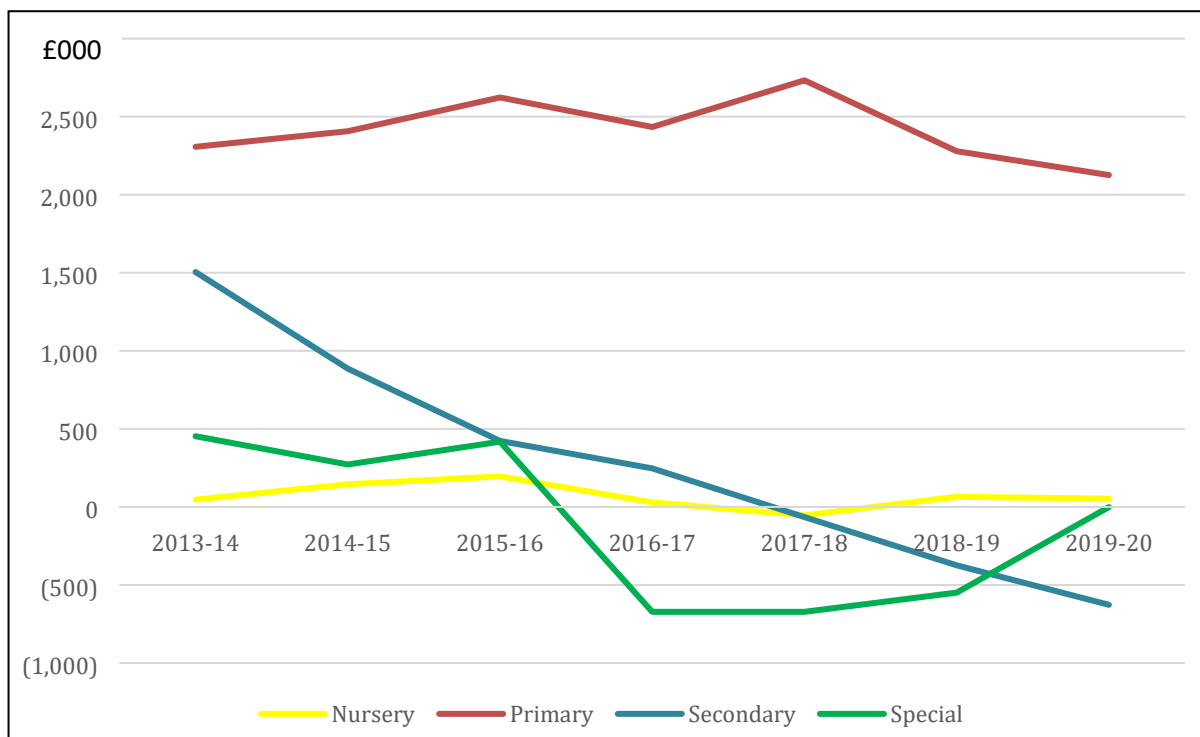
As at 31<sup>st</sup> March 2020, the overall school balances totalled £1,552,000 equivalent to 4.5% of the delegated schools budget directly funded by the Department for Education, a net favourable movement of £132,000 (9%) on the balances of the same schools compared with last year. The total per sector are set out in table 4.

**Table 4 Maintained schools balances at 31<sup>st</sup> March 2020**

Sector	Schools with surplus	Surplus	Schools with deficit	(Deficit)	Surplus & (deficits)
	Number	£000	Number	£000	£000
Nursery	2	66	1	(13)	53
Primary	26	2,478	6	(351)	2,127
Middle & Secondary	1	104	1	(731)	(627)
Special	0	0	1	(1)	(1)
<b>All schools</b>	<b>29</b>	<b>2,648</b>	<b>8</b>	<b>(1,096)</b>	<b>1,552</b>

5.4 Diagram 1 sets out the school balances by sector since 2013-14.

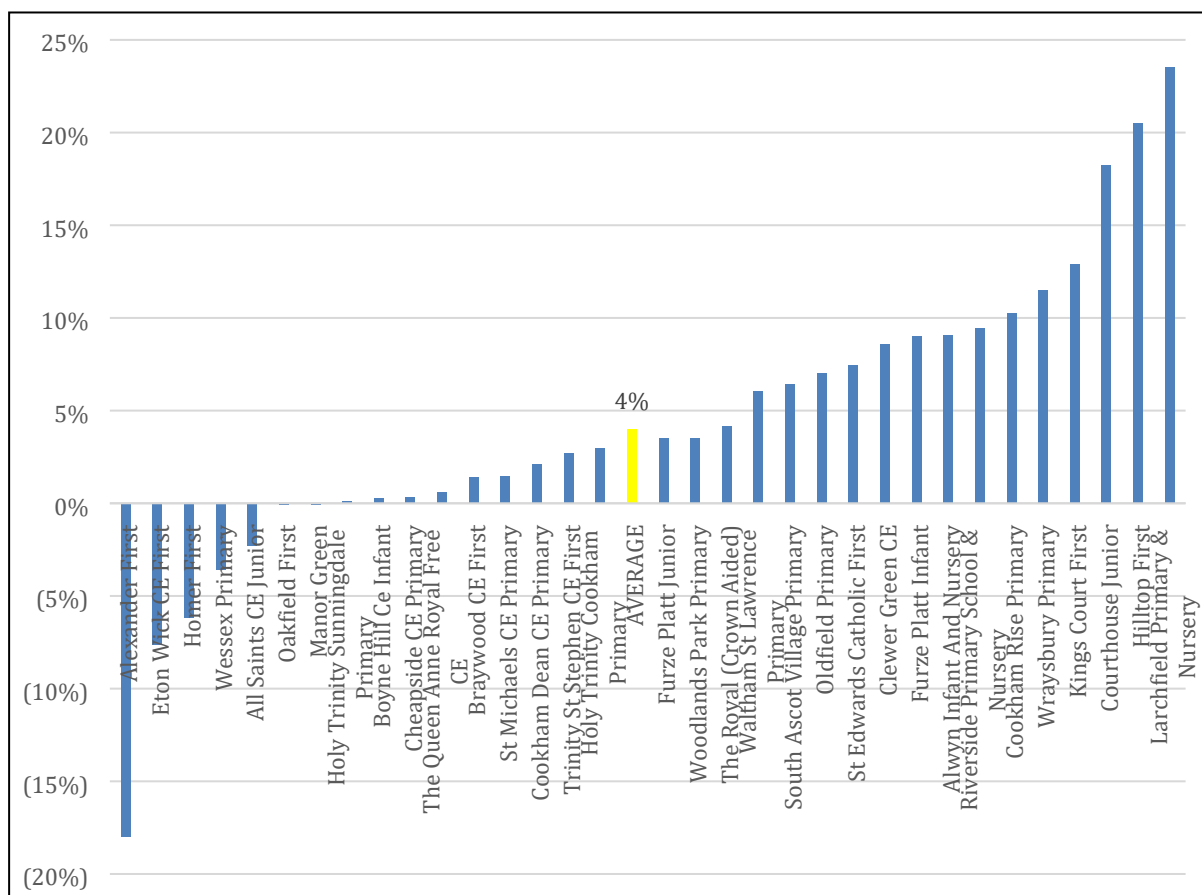
**Diagram 1 Total school balances by sector 2013-14 to 2019-20**



### Surplus

- 5.5 Schools are funded each year mainly on the number of pupils on roll and are expected to use their resources on those pupils, reserving a small allowance for future planning, projects and operational risks. The Department for Education discourages schools from building up excessive uncommitted balances, notionally defined as 5% of budget share for secondary schools, and 8% for other schools.
- 5.6 At the end of 2019-20, 29 out of 38 maintained schools had surplus balances. The average primary school balance was £66,000 representing an average of 4% of the school budget share. The 2019-20 surplus balances total £2,648,000, an adverse movement of £26,000 when compared with 2018-19.
- 5.7 Primary school balances ranged from a deficit of 18% to a surplus of 24%, as demonstrated in diagram 2 Details of all individual maintained school balances before commitments are shown in Appendix A.

**Diagram 2 Primary School Balances 31<sup>st</sup> March 2020**



**Deficit balances**

5.8 As at 31<sup>st</sup> March 2020, there were 6 primary schools along with one school within each of the other three sectors with a deficit position. The 2019-20 deficits total £1,096,000, a favourable movement of £158,000 when compared with 2018-19.

**Movement in School Balances per Sector**

5.9 Nursery, primary and secondary sectors have seen an adverse movement in balances whilst the special sector have seen a significant movement since 2018-19. The overall movement in net school balances as reflected on the RBWM reserve accounts are shown in table 5.

**Table 5 Movement in School Balances**

Sector	As at 31/03/2019 Surplus / (deficit)	As at 31/03/2020 Surplus / (deficit)	Total Movement Surplus / (deficit)
	£000	£000	£000
Nursery	65	53	(12)
Primary	2,278	2,127	(151)
Secondary	(374)	(627)	(253)
Special	(549)	(1)	548
<b>Total</b>	<b>1,420</b>	<b>1,552</b>	<b>132</b>

In respect of the Special School sector there has been a materially favourable movement between the end of year balances. The favourable movement has been delivered following a number of targeted themes undertaken by the school including an increase in the number of out of borough pupils within the school resulting in increased income of £350,000; changes in the pupil needs matrix leading to an increased RBWM funding of £138,000 and increased controls on school expenditure resulting in cost reduction of £60,000.

- 5.10 Previously, like many other local authorities, RBWM has not operated a balance control mechanism to redistribute 'excessive balances'. The local authority requests details of committed and uncommitted spend for inclusion in the annual Consistent Financial Reporting (CFR) return submitted to the Education and Skills Funding Agency (ESFA).
- 5.11 Due to financial pressures RBWM will review these commitments and will consider whether it is appropriate for any 'excessive balances' to be held at a school level. A summary with proposed action will be provided to the September Schools Forum.



SECTOR	SCHOOL	As at 31-03-2020 surplus (deficit) £	Balance of Total Budget Share 2019- 20
<b>Nursery</b>			
	Cookham Nursery School Allocation	(12,682)	(5%)
	Maidenhead Nursery School	49,964	13%
	The Lawns Nursery School	16,081	3%
<b>Primary</b>			
	Alexander First	(117,269)	(18%)
	All Saints CE Junior	(34,773)	(2%)
	Alwyn Infant And Nursery	117,772	9%
	Boyne Hill CE Infant	2,899	0%
	Braywood CE First	8,969	1%
	Cheapside CE Primary	2,695	0%
	Clewer Green CE	114,102	9%
	Cookham Dean CE Primary	17,311	2%
	Cookham Rise Primary	107,704	10%
	Courthouse Junior	324,087	18%
	Eton Wick CE First	(50,385)	(8%)
	Furze Platt Infant	119,822	9%
	Furze Platt Junior	52,641	4%
	Hilltop First	283,996	21%
	Holy Trinity Cookham Primary	27,044	3%
	Holy Trinity Sunningdale Primary	961	0%
	Homer First	(73,758)	(6%)
	Kings Court First	139,047	13%
	Larchfield Primary & Nursery	305,670	24%
	Oakfield First	(979)	(0%)
	Oldfield Primary	126,185	7%
	Riverside Primary School & Nursery	209,268	9%
	South Ascot Village Primary	65,451	6%
	St Edwards Catholic First	100,075	7%
	St Michaels CE Primary	13,378	1%
	The Queen Anne Royal Free CE	4,390	1%
	The Royal (Crown Aided)	22,060	4%
	Trinity St Stephen CE First	18,179	3%
	Waltham St Lawrence Primary	38,902	6%
	Wessex Primary	(73,471)	(4%)
	Woodlands Park Primary	33,520	4%
	Wraysbury Primary	220,991	11%
<b>Secondary &amp; Middle</b>			
	St Edwards Royal Free Middle	104,419	5%
	Churchmead	(731,051)	(44%)
<b>Special</b>			
	Manor Green	(1,287)	(0%)
<b>TOTAL</b>		<b>1,551,929</b>	

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# Agenda Item 5

## ROYAL BOROUGH OF WINDSOR & MAIDENHEAD SCHOOLS FORUM

Date:	<b>16<sup>th</sup> July 2020</b>	<b>AGENDA ITEM: 5</b>
Title:	<b>Budget Monitoring and Forecast 2020-21</b>	
Responsible officer:	Kevin McDaniel, Director of Children's Services	
Contact officer:	James Norris, Head of Finance (RBWM) Achieving for Children	Email: James.norris@achievingforchildren.org.uk

### 1 PURPOSE AND SUMMARY

- 1.1 The purpose of this report is to provide the Schools Forum with:
- the projected financial position for 2020-21 with associated schedule of Risks & Opportunities
  - the projected reserve balance as at 31 March 2021
  - an understanding of the financial pressures which are currently being faced.

### 2 RECOMMENDATIONS

#### **Schools Forum is asked to note:**

- 2.1 The Forum is asked to note the contents of this report including the reported variance, schedule of Risks & Opportunities and the projected deficit balance carried forward as at 31 March 2021.

### 3 FINANCIAL SUMMARY

- 3.1 The current DSG Budget 2020/21 is £65,362,000. The Early Years and High Needs Blocks are indicative with the final allocation due from the Department for Education (DfE) in July 2020.
- 3.2 The current projected net in-year deficit of £195,000. The material variances are as follows:
- Schools Block - Growth Fund underspend (£450,000)
  - Early Years Block - Private, Voluntary & Independent Nurseries 2019-20 underspend carried forward at (£145,000) subject to final block recalculation.
  - High Needs Block £815,000 includes reflects Pupil Top Up funding and other direct support packages
- 3.3 Table 1 sets out the summarised financial position for 2020-21.

**Table 1 Summarised Financial Position**

Schools Budget	S251 budget	Less Academy Recoupment & Direct Funding	Budget Adjustment 2020	Current Budget (updated)	Forecast Variance	Projected Exp/ Funding	Note
	£000	£000	£000	£000	£000	£000	
<b>Expenditure</b>							
Schools Block	91,762	(56,899)	0	34,863	(450)	34,413	1
Central Block	1,073	0	0	1,073	(25)	1,048	2
Indicative Early Years Block	9,697	0	0	9,697	(145)	9,552	3
High Needs Block	21,992	(2,263)	0	19,729	815	20,544	4
<b>TOTAL EXPENDITURE</b>	<b>124,524</b>	<b>(59,162)</b>	<b>(0)</b>	<b>65,362</b>	<b>195</b>	<b>65,557</b>	
<b>Funding</b>							
Dedicated Schools Grant	(124,524)	59,162	0	(65,362)	0	(65,362)	
<b>TOTAL FUNDING</b>	<b>(124,524)</b>	<b>59,162</b>	<b>0</b>	<b>(65,362)</b>	<b>0</b>	<b>(65,362)</b>	
<b>NET EXPENDITURE</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>195</b>	<b>195</b>	
<b>Summary</b>					<b>£000</b>		
Total in year (surplus) / deficit					195		
Balance brought forward DSG general reserve (surplus) / deficit					1,025		
<b>Net Projected (surplus) /deficit</b>					<b>1,220</b>		<b>5</b>

3.4 The reported material forecast variances are set out below in table 2.

**Table 2 Material forecast variances**

Note	Comments
1	Schools Block (£450,000) - Schools Pupil Growth Fund underspend based on formula funded allocation less agreed commitments estimated at (£450,000)
	Central Block (£25,000) - Admissions Team underspend due to current vacant post (£25,000)

3	Early Years Block (£145,000) - Private, Voluntary & Independent Nurseries clawback provision from 2019-20 (£145,000). ESFA updated guidance and allocation due July 2020. The level of underspend is not expected to continue into 2020-21 following the agreement at Schools Forum in January 2019 to review the funding model which increased the deprivation element of the formula.
4	High Needs Block £815,000 – reflects Pupil Top Up funding and other direct support packages based on the 2019-20 outturn, uplifted to reflect known increases, the increase in allocations paid to schools include changes to the Special Educational Needs funding matrix, re-assessments and new plans. ESFA updated guidance and allocation due July 2020.
5	Projected net deficit on DSG General Reserves for 2020/21 is £195,000 (excluding the Risks & Opportunities listed in table 3).

3.5 The summarised material Risks & Opportunities for the current financial year are set out in table 3. These potential material changes to the forecast are not being reported as either there is a degree of uncertainty around them with plans to contain pressures.

**Table 3 Summarised Risks & Opportunities**

	Variance to Current Forecast	Note
	£000	
<b>Expenditure</b>		
High Needs Block	200	1
<b>Total Expenditure Risks &amp; Opportunities</b>	<b>200</b>	

3.6 The details of the material forecast risks & opportunities are set out below in table 4.

**Table 4 Details of Risks & Opportunities**

Note	Comments
1	High Needs Block – potential that savings are not achieved in full; total budget £350,000. Potential underachievement based on 2019-20 £200,000.

#### 4 PROJECTED RESERVE BALANCE

4.1 The net underspend will help to decrease the pressure on the dedicated schools grant general reserve which as at 31 March 2020 was a deficit of £1,025,000; the revised projected deficit as at 31 March 2021 has increased by £195,000 to £1,220,000 (0.98% of the total DSG funding allocation for 2020-21).

4.2 The projected reserve balance as at 31 March 2021 of £1,220,000 excludes the Risk & Opportunities Register of £200,000, therefore the projected reserve balance as at 31 March 2021 could increase to £1,420,000 (1.14% of the total DSG funding allocation for 2020-21).

## 5 FUTURE ACTION

- 5.1 RBWM has a cumulative deficit on its DSG account at the end of the 2019 to 2020 financial year, therefore, it must co-operate with the DfE in handling that situation. In particular, the local authority must:
- Provide information as and when requested by the department about its plans for managing its DSG account in the 2020 to 2021 financial year and subsequently
  - Provide information as and when requested by the department about pressures and potential savings on its high needs budget
  - Meet with officials of the department as and when they request to discuss the local authority's plans and financial situation
- 5.2 Achieving for Children have been in discussions with the DfE and a detailed deficit recovery plan will be presented at the September 2020 Schools Forum.
- 5.3 In addition, the level of overspend in the High Needs services remains unaffordable, therefore, it is important that all local partners continue to work to bring the cost of high needs services back in line with the Government grant allocation.
- 5.4 Following the final High Needs Block allocation for 2020-21 in July 2020, there will be a detailed review of budgets and historic expenditure undertaken and shared at the next Schools Forum. This review will provide Schools Forum with a more in depth knowledge of the budget, pressures and risks to enable greater transparency and understanding leading to more informed decision making.
- 5.5 The 2020-21 budget relies on promoting independence and use of the local education offer, managing increasing demand for services through increased early intervention, working with partners to ensure that everyone involved in a child's education is confident in supporting children with additional needs and increasing the amount of local provision as well as ensuring that provision is aligned to need.
- 5.6 The financial trajectory will continue to be carefully monitored in 2020-21 to ensure that the level of spending on education services is affordable. Schools Forum and schools will have a clear role in monitoring the position and in implementing the plans in partnership with AfC and the Council.

# Agenda Item 6

## ROYAL BOROUGH OF WINDSOR & MAIDENHEAD SCHOOLS FORUM

Date:	<b>16<sup>th</sup> July 2020</b>	<b>AGENDA ITEM: 6</b>
Title:	<b>Schools Forum Membership Framework 2020/21</b>	
Responsible officer:	Kevin McDaniel, Director of Children's Services	
Contact officer:	James Norris, Head of Finance (RBWM) Achieving for Children	Email: James.norris@achievingforchildren.org.uk

### **1 PURPOSE AND SUMMARY**

- 1.1 This paper provides an update on the current Schools Forum Membership.

### **2 RECOMMENDATIONS**

- 2.1 The Forum is asked discuss and note the contents of the paper, commenting on whether the current number of members is appropriate.
- 2.2 The Forum is asked to approve the current schedule of active members and encourage new applications to fill vacancies.

### **3 BACKGROUND**

- 3.1 At the Schools Forum on the 26<sup>th</sup> September 2019 it was agreed that there should be 17 members consisting of 15 school members and 2 non school members. The blend of pupils has not significantly altered so there is no requirement to review membership representation.
- 3.2 This paper has been written in accordance with the Schools Forum Operational and Good Practice Guide that can be found at the following link:

<https://www.gov.uk/government/publications/schools-forums-operational-and-good-practice-guide-2015>

### **4 MEMBERSHIP**

- 4.1 Schools Forum regulations provide a framework for the appointment of members.
- 4.2 Regulations stipulate that schools members and academies members must together, comprise at least two thirds of the membership of the forum.
- 4.3 Where the authority maintains the following types of school, they must be represented on the Schools Forum; Primary Schools, Secondary Schools, Special Schools, Nursery Schools and PRU's. At least one academies member must be a representative of mainstream academies, which includes free schools, UTC's and Studio Schools. In addition there must be one member for each of the

following groups (if such exist in the authority); Special Academies, Alternative provision academies.

- 4.4 The authority must appoint non-schools members to represent each of the local authority 16-19 partnerships and early years providers. The authority may also appoint other non-schools members to represent the interests of other bodies. In doing so, the authority must consider whether to seek nominations from the Church of England and Roman Catholic dioceses covering the area. Non-schools member may not exceed a third of the total Schools Forum membership.
- 4.5 There is no legislated maximum or minimum size of Schools Forum, but authorities should take into account various issues in deciding the actual size, including the need to have full representation for various types of school, and the authority's policy on representation of non-members. The local authority should keep Schools Forum to a reasonable size to ensure that it doesn't become unwieldy. Therefore, it is recommended that due to historical difficulties in recruiting Schools Forum Members the number of representatives is reviewed.
- 4.6 The current number of RBWM Schools Forum members is 11 with 6 vacancies. The current schools Forum members are set out in table 1.

**Table 1 Current Schools Forum Members with nominations**

<b>School / Non School</b>	<b>Sector</b>	<b>Type Of Member</b>	<b>Representative</b>
School	Academy	Headteacher	Martin Tinsley (Chair)
School	Academy	Headteacher	Richard Pilgrim
School	Academy	Headteacher	Isabel Cooke
School	Academy	Headteacher	Andrew Morrison
<b>School</b>	<b>Academy</b>	<b>Headteacher</b>	<b>Vacant</b>
<b>School</b>	<b>Academy</b>	<b>Headteacher</b>	<b>Vacant</b>
School	Academy	Governor	Hugh Boulter
School	Academy (Free School)	Governor	Stephen McCormac
School	Maintained Nursery	Headteacher	Sarah Cottle
School	Maintained Primary	Headteacher	Mike Wallace
<b>School</b>	<b>Maintained Primary</b>	<b>Headteacher</b>	<b>Vacant</b>
School	Maintained Secondary	Headteacher	Chris Tomes (Vice chair)
<b>School</b>	<b>Maintained Secondary</b>	<b>Governor</b>	<b>Vacant</b>
School	Maintained Special	Headteacher	Joolz Scarlett
<b>School</b>	<b>Alternative Provision</b>	<b>Headteacher</b>	<b>Vacant</b>
<b>Non School</b>	<b>Non Schools Early Years</b>	<b>Non Schools</b>	<b>Vacant</b>
Non School	Non Schools 16-19	Non Schools	Amanda Dean

- 4.7 If the authority maintains one or more special schools, then one member, who may be a head teacher (or their representative) or a governors shall be appointed from this group.
- 4.8 If the authority maintains one or more nursery schools, then one member, who may be a head teacher (or their representative) or a governor shall be appointed from this group.



- 4.9 If the authority maintains one or more pupil referral units, then one member who may be a head teacher (or their representative) or a governor shall be appointed from this group.
- 4.10 Schools Forum define a head teachers representative to be a senior member of school staff.
- 4.11 The remaining members shall be appointed to represent primary schools, secondary schools and academies. The number of members for each group shall be agreed annually and presented at the first meeting of Schools Forum following any significant change in pupil numbers per sector.
- 4.12 If a recalculation causes the number of representatives of a group to reduce, the first step will be to seek voluntary resignation(s). If this fails to resolve the issue then the Head of Finance shall determine by lot which existing group representatives remain.
- 4.13 If a recalculation causes the number of representatives of a group to increase, then an appointment process shall take place to fill the additional place(s).

## **5 ELECTION OF MEMBERS**

- 5.1 Schools members shall be appointed on the basis of the process agreed by the organisation in the authority representing head teachers for the head positions and governors for the governor positions. In the absence of an appropriate organisation the Head of Finance will determine the arrangements for electing the positions.
- 5.2 The appointment of members for Special schools, Nursery schools and Pupil referral units shall be arranged by the Head of Finance, in consultation with the head teachers and governors of those schools.
- 5.3 Academy members shall be elected by the proprietor bodies of the academies. In the absence of an election, the Head of Finance shall nominate representatives to be appointed by the council.
- 5.4 If, following any ballot or other nomination or election mechanism, there is equality of votes/nominations; the Head of Finance has authority to make those appointments.
- 5.5 If following any ballot or other nomination or elections mechanism, any one school has more than one governor representative; the Head of Finance has authority to make those selections.

## **6 DECLARATION OF INTERESTS AND CODE OF CONDUCT**

- 6.1 Where a member of Schools Forum feels that they may have a personal or prejudicial interest in a matter which Schools Forum is considering they are asked to seek advice from the Head of Finance on an appropriate course of action.
- 6.2 Members of Schools Forum are required, as part of taking up their position, to complete a form indicating their interests and agreeing to observe the members' code of conduct. The code of conduct being a requirement agreed by the

council's standards committee. Members should ensure that if circumstances change their ensure up-to-date declarations of interest are available.

## **7 MEMBER' TERM OF OFFICE**

- 7.1 Members term of office will be for four years from the date of their appointment.
- 7.2 Councillors will be appointed annually by the council.
- 7.3 The Chair and Vice Chair of Schools Forum shall be appointed by the forum for a period of 12 months. Council members and council officers may not hold the office of Chair or Vice Chair.
- 7.4 Members may be re-nominated for subsequent terms of office.
- 7.5 Membership attendance will be reviewed at each Schools Forum. Should levels of attendance warrant the chair or vice chair will contact any absent members to ascertain the reasons for absence and if the member wishes to continue to serve as a member of Schools Forum.

## **8 RECORDING THE COMPOSITION OF SCHOOLS FORUM**

- 8.1 The local authority or their representatives will hold a written record of the composition of Schools Forum detailing the number of schools members and by which group they were elected, the number of academies members and the number of non-schools members, their terms of office, how they were chosen and whom they represent. The record will also indicate the term of office for schools and academies members.

## **9 SUBSTITUTES**

- 9.1 Any member of the Schools Forum may nominate a substitute to attend and vote at the meeting of Schools Forum in their absence. Such a nomination should be notified in writing to the chair of Schools Forum or the clerk to the meeting with apologies of absence.
- 9.2 Named substitutes are allowed providing they fall into the same group as the member they are standing in for. A substitute for a group member must be from the same group.
- 9.3 A substitute for a local authority member must also be a member of the local authority.
- 9.4 Where the Chair and Vice Chair of Schools Forum are absent from a meeting, the Schools Forum will appoint a chair for that meeting from the attendees.

## **10 VOTING PROCEDURES**

- 10.1 The Schools Forum, within the constraints of its constitution, published legislation and guidance and the need to act fairly, may determine the procedures its adopts to reach decisions. Each voting member has a single vote which is normally expressed via a show of hands. In the event of there being an equality of votes, the chair or acting chair may use their casting vote to break the deadlock.

10.2 Only schools members or their substitutes; which encompasses maintained schools, academies, maintained special schools and PRUs and Maintained Nursery schools and PVI members are able to vote on funding formula proposals.

## **11 OTHER ATTENDEES AT A SCHOOLS FORUM MEETING**

11.1 Schools Forum meetings are required to be open to the public. Papers, agendas and minutes must be publicly available well in advance of each meeting. Members of the public may not contribute to a Schools Forum meeting.

11.2 Other attendees who are permitted to contribute to a Schools Forum meeting;

- An observer appointed by the Secretary of State
- The Chief Finance Officer
- The Director of Children's Services
- Officers providing financial & technical advice to Schools Forum
- The Executive Member for Children's services
- Presenters (restricted to the paper they are representing)
- The Executive Member with responsibility for resources

## **12 FREQUENCY OF MEETINGS**

12.1 Regulations require that Schools Forum meet a minimum of four times each year. The forum should meet with enough frequency to allow it to be consulted and make decisions and for their views to be taken into consideration.

## **13 QUORUM**

13.1 For Schools Forum to make decisions 40% of the total membership (excluding any vacancies) must be in attendance. At the start of each meeting the chair or acting chair will provide the minimum number of members required to for quorum and if this level has been achieved for the meeting.

13.2 Where a meeting is inquorate, the meeting may continue but no formal decisions may be taken; election of a chair or decisions relating to funding conferred by regulations.

13.3 If one or more groups is not represented this does not affect the decision making powers of Schools Forum if it is quorate unless a vote by group is required affecting the un-represented group. This will then need to be dealt with at a subsequent meeting or via emergency procedures.

## **14 EMERGENCY MEETING**

14.1 In exceptional circumstances, it may be necessary for a decision or formal view to be required by the Schools Forum before the next scheduled meeting. In these circumstances efforts should be made to arrange an unscheduled meeting of the forum.

14.2 Where it is not possible to arrange an unscheduled meeting of Schools Forum or where the attendance at such a meeting is likely to be inquorate or when available time is insufficient, in conjunction with the chair contact members by either post or email and seek a decision or view from members. A record will be kept of all responses and the matter will formally be listed on the agenda of the next scheduled Schools Forum meeting.

14.3 This facility may be used where a group was un-represented at a meeting and a decision is required prior to the next scheduled meeting. In this circumstance only the group effected would be contacted.



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# Agenda Item 7

## ROYAL BOROUGH OF WINDSOR & MAIDENHEAD SCHOOLS FORUM

Date:	<b>16<sup>th</sup> July 2020</b>	<b>AGENDA ITEM: 7</b>
Title:	<b>Scheme for Financing Schools 2020/21</b>	
Responsible officer:	Kevin McDaniel, Director of Children's Services	
Contact officer:	James Norris, Head of Finance (RBWM) Achieving for Children	Email: James.norris@achievingforchildren.org.uk

### **1 PURPOSE AND SUMMARY**

- 1.1 To present to the Forum an updated Scheme for Financing Schools.
- 1.2 To inform the Forum of the changes between version 10 of the Statutory Guidance, Scheme for Financing Local Authority Maintained Schools issued by the Department for Education (DfE) covering financial year 2019/20 and version 11 of the guidance, covering financial year 2020/21.

### **2 RECOMMENDATIONS**

- 2.1 That the Forum (Maintained schools only) approves the Scheme for Financing Schools 2020/21.

### **3 BACKGROUND**

- 3.1 The DfE issue an updated Statutory Guidance, Scheme for Financing Local Authority Maintained Schools each year. Each year Local Authorities are required to publish an updated Scheme for Financing Schools.
- 3.2 Prior to publishing any updated Scheme, the local authority requires approval from maintained school representatives of the Schools Forum to accept any optional amendments to the scheme. The authority is also required to consult maintained schools on significant changes and feedback the results of the consultation to the Schools Forum.

### **4 STATUTORY CHANGES FROM PREVIOUS ISSUE**

#### **DIRECTED REVISIONS 2020**

- 4.1 The Secretary of State may by direction revise the whole or any part of the scheme as from such date as may be specified in the direction. In order to make a directed revision the Secretary of State is required, by provision in the Schools Standards and Framework Act 1998, to consult the relevant Local Authorities and other interested parties.

4.2 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 direction.

4.3 There are no directed revision within this updated version.

## **5 SCHEME FOR FINANCING SCHOOLS 2020/21**

5.1 A revised scheme for financing schools is attached at Appendix A. The DfE have stopped issuing the Statutory Guidance, Scheme for Financing Local Authority Maintained Schools as a separate document and provide the guidance via a DfE Web page. The following is a link to the guidance.

<https://www.gov.uk/government/publications/schemes-for-financing-schools/schemes-for-financing-local-authority-maintained-schools>

5.2 There are no directed revisions by the Secretary of State for Education this year.

5.3 The DfE have made a couple of minor and/or presentational changes. A summary of updates is the appendix.

5.4 The only important addition for version 11 is that schools are allowed to join the Secretary of State's Risk Protection Arrangement (RPA). This is an alternative to commercial insurance and may save schools time and money. It is up to individual schools if they wish to join or continue to make their own arrangements. Maintained schools have been informed about this scheme.

<https://www.gov.uk/guidance/the-risk-protection-arrangement-rpa-for-schools>

## **6 CONSULTATION WITH MAINTAINED SCHOOLS**

6.1 The changes made to version 11 of the scheme were of such a minor nature that it was not necessary to impose the additional burden of asking maintained schools to complete a consultation. The amendments are such that there is no agreement or comment required.

6.2 If approved the scheme will retrospectively come into effect as of April 2020.





**ROYAL BOROUGH OF WINDSOR & MAIDENHEAD**

**Scheme for Financing Schools**

Approved by Schools Forum: 16th July 2020

Effective from: Subject to approval retrospectively from 1<sup>st</sup> April 2020

Contact for queries: [Bursar.support@achievingforchildren.org.uk](mailto:Bursar.support@achievingforchildren.org.uk)

Version reference: V1

## **Directed Revisions 2020**

The Secretary of State may by direction revise the whole or any part of the scheme as from such date as may be specified in the direction. In order to make a directed revision the Secretary of State is required, by provision in the Schools Standards and Framework Act 1998, to consult the relevant Local Authorities and other interested parties.

Certain amendments have been made to the wording included in some of the directed revisions listed below, to reflect more recent policy positions.

**There are no directed revisions within version 11.**

## Updates to guidance 2020:

The Department for Education no longer publishes the guide for the Scheme for Financing Schools as a separate document but instead have created an HTML page containing the guide.

<https://www.gov.uk/government/publications/schemes-for-financing-schools/schemes-for-financing-local-authority-maintained-schools>

Version 11 contains a number of minor and presentation changes made by the DfE, these are reflected in this version of the scheme:

- Paragraph 10.1: Changes made to the guidance - added “Instead of taking out insurance, a school may join the Secretary of State’s Risk Protection Arrangement (RPA) for risks that are covered by the RPA. The scheme should contain a provision which allows schools to join the RPA after 1st April 2020. Schools may do this individually when any insurance contract of which they are part expires. The scheme should also provide for all primary and/or secondary maintained schools to join the RPA collectively by agreeing through the Schools Forum to de-delegate funding.”
- Paragraph 11.3: Minor change - changed “Governors’ Allowances”

## Other important changes to the guidance

Following consultation that closed on 19 November 2019, the Secretary of State has decided that from 1 April 2020 local authority maintained schools (LAMS) will be able to join the risk protection arrangement. We are changing the guidance as below: we have not had time to conduct a consultation on a directed revision but we may do that later.

## Section 10: Insurance

Instead of taking out insurance, a school may join the Secretary of State’s risk protection arrangement (RPA) for risks that are covered by the RPA.

The scheme should contain a provision which allows schools to join the RPA after 1 April 2020. Schools may do this individually when any insurance contract of which they are part expires.

The scheme should also provide for all primary and/or secondary maintained schools to join the RPA collectively by agreeing through the schools forum to de-delegate funding.

## **1 Introduction**

- 1.1 The funding framework
- 1.2 The role of the scheme
  - 1.2.1 Application of the scheme to authority and maintained schools
- 1.3 Publication of the scheme
- 1.4 Revision of the scheme
- 1.5 Delegation of powers to the head teacher
- 1.6 Maintenance of schools

## **2 Financial Controls**

- 2.1 General procedures
  - 2.1.1 Application of financial control to schools
  - 2.1.2 Provision of financial information and reports
  - 2.1.3 Payment of salaries; payment of bills
  - 2.1.4 Control of assets
  - 2.1.5 Accounting Policies (including year-end procedures)
  - 2.1.6 Writing off debts
- 2.2 Basis of accounting
- 2.3 Submission of budget plan
  - 2.3.1 Submission of financial forecasts
- 2.4 School Resource Management
- 2.5 Virement
- 2.6 Audit: General
- 2.7 Separate external audits
- 2.8 Audit of voluntary and private funds
- 2.9 Register of business interests
- 2.10 Purchasing, tendering and contracting requirements
- 2.11 Application of contracts to schools
- 2.12 Central funds and earmarking
- 2.13 Spending for the purposes of the school
- 2.14 Capital spending from budget shares
- 2.15 Notice of concern
- 2.16 Schools Financial Value Standard (SFVS)
- 2.17 Fraud

## **3 Instalments of the budget share; banking arrangements**

- 3.1 Frequency of instalments
- 3.2 Proportion of budget share payable at each instalment
- 3.3 Interest clawback

- 3.3.1 Interest on late budget share payments
- 3.4 Budget shares for closing schools
- 3.5 Bank and building society accounts
- 3.6 Borrowing by schools
- 3.7 Other provisions

#### **4 The treatment of surpluses and deficit balances arising in relation to budget shares**

- 4.1 Right to carry forward surplus balances
- 4.2 Control on surplus balances
- 4.3 Interest on surplus balances
- 4.4 Obligation to carry forward deficit balances
- 4.5 Planning for deficit balances
- 4.6 Charging of interest on deficit balances
- 4.7 Writing off deficits
- 4.8 Balances of closing and replacement schools
- 4.9 Licensed deficits
- 4.10 Loan schemes
- 4.11 Credit Union Approach

#### **5 Income**

- 5.1 Income from lettings
- 5.2 Income from fees and charges
- 5.3 Income from fund-raising activities
- 5.4 Income from sale of assets
- 5.5 Administrative procedures for the collection of income
- 5.6 Purposes for which income may be used

#### **6 The charging of School Budget Shares**

- 6.1 General provisions
  - 6.1.1 Charging of salaries at actual cost
- 6.2 Circumstances in which charges may be made

#### **7 Taxation**

- 7.1 Value Added Tax
- 7.2 CIS (Construction Industry Tax Scheme)

#### **8 The provision of services and facilities by the authority**

- 8.1 Provision of services from centrally retained budgets
- 8.2 Provision of services bought back from the authority using delegated budgets
  - 8.2.1 Packaging
- 8.3 Service level agreements

8.4 Teachers' Pension

## **9 PFI/PPP**

9.1 PFI/PPP

## **10 Insurance**

10.1 Insurance cover

## **11 Miscellaneous**

- 11.1 Right of access to information
- 11.2 Liability of governors
- 11.3 Governors' allowances
- 11.4 Responsibility for legal costs
- 11.5 Health and safety
- 11.6 Right of attendance for Director of Children's Services
- 11.7 Special Educational Needs
- 11.8 Interest on late payments
- 11.9 'Whistleblowing'
- 11.10 Child Protection
- 11.11 Redundancy / early retirement costs

## **12 Responsibility for repairs and maintenance**

- 12.1 Responsibility for repairs and maintenance
- 12.2 Authority capital programme
- 12.3 Voluntary Aided schools

## **13 Community facilities**

- 13.1 Introduction
- 13.2 Suspension of Delegated Budget

### **Consultation with the authority – financial aspects**

- 13.3 Consult the Authority
- 13.4 Approach the Authority
- 13.5 Responses

### **Funding agreements – authority powers**

- 13.6 Funding Agreements
- 13.7 Authority review

## **Other prohibitions, restrictions and limitations**

- 13.8 Additional requirements
- 13.9 Additional restrictions

## **Supply of financial information**

- 13.10 Supply of Financial Information
- 13.11 Adjustment to frequency of financial reports

## **Audit**

- 13.12 Audit
- 13.13 Access

## **Treatment of Income and Surpluses**

- 13.14 Retaining Net Income
- 13.15 Carrying forward Retained Net Income

## **Health and Safety**

- 13.16 Health and Safety
- 13.17 Disclosure and Barring Checks

## **Insurance**

- 13.18 Insurance
- 13.19 Authority power to assess insurance arrangements

## **Taxation**

- 13.20 Taxation
- 13.21 Payment of income and National Insurance
- 13.22 Construction Industry Scheme

## **Banking**

- 13.23 Separation of Accounts
- 13.24 Bank Accounts

## **Annex**

- A The funding framework
- B Responsibility for Redundancy & Costs Early Retirement
- C Application of Schemes for financing schools to the community facilities power

## Appendix

- 1 Schools List
- 2 School Borrowing
- 3 Insurance
- 4 Budget Monitoring and Submission Schedule
- 5 Supplementary Information:
  - De minimis levels
  - School Deficit Process
  - EU Contract Thresholds
- 6 Responsibility for Revenue and Capital Maintenance & Improvement



## **1 Introduction**

### **1.1 The funding framework**

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

Under this legislation, the local authority determines the size of their schools budget and local authority budget – although the Secretary of State has power to require an Authority to increase its Schools Budget to a prescribed level. The categories of expenditure which fall within the two budgets are prescribed under regulations made by the Secretary of State, but included within the two, taken together, is all expenditure, direct and indirect, on an authority's maintained schools except for capital and certain miscellaneous items. Local authorities may retain funding centrally in the Schools Budget for purposes defined in regulations made by the Secretary of State under s.45A of the Act. The amounts to be retained centrally are decided by the authority concerned, subject to any limits or conditions prescribed by the Secretary of State. The balance of the Schools Budget left after deduction of centrally retained funds is termed the Individual Schools Budget (ISB). Expenditure items in the local authority budget must be retained centrally (although earmarked allocations may be made to schools).

Local authorities may retain an unallocated reserve but must otherwise 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 s.51 of the Act. The financial controls within which delegation works are set out in a scheme made by the Authority in accordance with s.48 of the Act and approved by the Secretary of State. All revisions to the scheme must be approved by Schools Forum, though the authority may apply to the Secretary of State for approval in the event of Forum rejecting a proposal or approving it subject to modifications that are not acceptable to the authority.

Subject to provisions made by or under the scheme, Governing Bodies of schools may spend such amounts of their budget shares as they see fit for any purposes of their school and for any additional purposes prescribed by the Secretary of State in regulations made under s.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 school financing scheme (or rules applied by the scheme) have been substantially or persistently breached, or if the budget share has not been managed satisfactorily. There is a right of appeal to the Secretary of State. A school's right to a

delegated budget share may also be suspended for other reasons (s.17 of the SSAF Act 1998) but in that case there is no right of appeal.

The Authority is obliged to publish each year, under s.251 of the Apprenticeships, Skills, Children and Learning Act 2009, a Budget Statement setting out details of its planned Schools Budget and Local authority budget, showing the amounts to be centrally retained, the budget share for each school, the formula used to calculate those budget shares, and the detailed calculation for each school. After each financial year the Authority must publish a statement showing out-turn expenditure at both central level and for each school, and the balances held in respect of each school.

The detailed publication requirements for financial statements and for schemes are set out in regulations, but each school must receive a copy of the scheme and any amendment, and each year's budget and out-turn statements so far as they relate to that school or central expenditure.

Regulations also require the 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 in to force.

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

This scheme sets out the financial relationship between the Local authority and/or its designate (Achieving for Children) and all of the maintained schools that it funds. It contains requirements relating to financial management and associated issues, binding on both the Authority and on schools.

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

The scheme applies to all community, nursery, special, voluntary, foundation (including Trust), foundation special schools and pupil referral units (PRUs). A list of the establishments covered by the scheme is attached at Appendix 1.

## **1.3 Publication of the scheme**

The current scheme will be available on the authority's website which is accessible to the general public. Covered schools will be notified of any revisions.

## **1.4 Revision of the scheme**

Any proposed revisions to the scheme will be the subject of consultation with the Governing Body and the head teacher of every school maintained by the Authority before they are submitted to Schools Forum for their approval by the members of the Forum representing those schools.

## **1.5 Delegation of powers to the head teacher**

Governing Bodies must consider the extent to which it wishes to delegate its financial powers to the head teacher and must record its decision, and any revisions, in the minutes of the Governing Body.

Under the Education (School Government) (Terms of Reference) (England) Regulations 2000, budget plans must be considered by Governing Body.

## 1.6 **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 the Authority maintains a school is through the funding scheme, put in place under sections 45 to 53 of the Schools Standards and Framework Act 1998.

## **2 Financial Controls**

### **2.1 General procedures**

#### **2.1.1 Application of financial controls to schools**

Schools must comply with the Authority's requirements in the management and monitoring of their delegated budgets. This includes those requirements within this scheme and also those requirements contained in more detailed publications referred to in this scheme.

Schools are expected to comply with any reasonable request from the local authority.

#### **2.1.2 Provision of financial information and reports**

In order that the designated officer can fulfil their obligations under Section 151 of the Local Government Act 1972 to "make arrangements for the proper administration of their financial affairs" schools must comply with the budget monitoring and submission schedule detailed in Appendix 4.

#### **2.1.3 Payment of salaries; payment of bills**

The procedures for paying salaries and bills will vary according to the choices schools make about their accounting systems, bank accounts, and the buying back of RBWM's payroll services.

Except where a school specifically contracts with an outside payroll provider, RBWM will arrange for the payment of all salaries due to school employees, together with associated deductions, upon receipt of a signed buy-back agreement authorised by the Governing Body (or suitably authorised school employee). Schools will be responsible for making all other payments to creditors via Agresso or FMS as applicable, up to the maximum amount delegated by the Governing Body.

Where school staff undertake paid work outside their normal terms and conditions, the terms of engagement must be formally reviewed and agreed by the relevant governor committee before the work commences to ensure there is no detrimental effect for the school. The review should include seeking Legal and HR advice where necessary to ensure that remuneration is in accordance with relevant employment terms.

#### **2.1.4 Control of assets**

Each school must maintain an inventory of its movable non-capital assets any asset worth over £1,000.

Disposal of assets purchased from the schools delegated budget must be approved by the Governing Body and comply with any local authority procedures.

Schools should ensure that anything that is portable and attractive; such as a camera, are registered.

### **2.1.5 Accounting policies (including year-end procedures)**

All schools must abide by procedures issued by the local authority on accounting policies and year-end procedures.

### **2.1.6 Writing off debts**

Governing bodies may write off debts up to the level stipulated by the Head of Finance. The current limit is £1,000. In the case of larger amounts advice should be sought from the Head of Finance.

The Head of Finance may also decide to seek recovery of outstanding income and charge the costs of recovery against any amounts recovered

## **2.2 Basis of accounting**

In line with previously issued documentation (CFR guidance 2008/9) schools accounts furnished to the Authority must be on an accruals basis provided in the output required by the Authority.

Year-end reports must take account of income and expenditure which is outstanding or pre-paid, so as to enable the authority to produce a statement of final accounts on an accruals basis, as required by legislation. RBWM will publish guidance and a timetable for the provision of year-end financial information to the authority. Schools may choose to use what financial software they wish for their own internal systems provided they meet the requirements of producing the financial information required by RBWM.

## **2.3 Submission of budget plans**

A school's own financial information requirements will be detailed, reflecting the many possible sub-headings, departments and cost centres between which funds may be allocated. However, the Authority's requirement is only for summarised information in the form of the Standard School Budget Plan.

Each school must comply with the schedule of submission found in Appendix 4a. The budget plan must be approved by the Governing Body and signed by both the Headteacher and the Chair of Governors.

If a school considers they are likely to have to set a deficit budget they must notify the Director of Children's Services as soon as possible and not later than the deadline date specified in Appendix 4. This will allow ongoing discussion between the school and the Authority in order to agree a recovery plan.

For the Authority to manage its responsibilities to "make arrangements for the proper administration of their financial affairs" (Section 151 of the Local Government Act 1972), a school may be required to provide further information to support their Standard School Budget Plan.

Budget plans must be in a format and style prescribed by the authority and take account of the Consistent Financial Reporting Framework. To assist in the

preparation of budget plans, RBWM will provide schools with guidance at the time that they are notified of their delegated budgets and supply income and expenditure data which it holds and which is necessary for efficient planning by schools.

### **2.3.1 Submission of financial forecasts**

Schools are required to submit a financial forecast for the multi-year period specified in Appendix 5. This will be used to confirm schools are undertaking effective financial planning as well as evidence to support the authority's assessment of Schools Financial Value Standards (SFVS) and as part of the authorities balance control mechanism. The authority will provide as much information as is available to assist schools in projecting income for future years.

## **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 heads and governors to determine at school level how to secure better value for money.

There are significant variations in efficiency between similar schools, and so it's important for schools to review their current expenditure, compare it to other schools, and think about how to make improvements.

## **2.5 Virement**

Within their Revenue Budget Schools can vire freely between budget headings and accounts within their budget shares see 1.5. Capital virements need to be notified in advance to the local authority. The revisions should be shown in the reports submitted to the Authority as in 2.1.2.

## **2.6 Audit: General**

For clarity, schools within the audit regime determined by the authority as regards internal audit, and the authority's external audit regime as determined by the Local Audit and Accountability Act 2014, and are required to co-operate with them, This includes a requirement to provide access to the school's records for either internal or external auditors.

The local authority shall be responsible for maintaining a continuous internal audit of the financial records, operations and systems of each school. Schools are also subject to inspection by the Authority's external auditors. Schools must co-operate with both internal and external auditors as and when required.

Schools must ensure that they maintain an appropriate level of audit trail for all documentation and retain such documentation for a period of 6 years plus current year for financial data. Schools should make every effort to comply with any reasonable requests from either internal or external auditors.

## **2.7 Separate external audits**

A school's Governing Body may also, if it wishes, spend part of its budget share to obtain external audit certification of any accounts containing school budget share funding. This would be in addition to the Authority's own internal and external audit process.

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

Schools must provide appropriate audit certificates to the audit section on request in respect of voluntary and private funds held by them and of the accounts of any trading organisations or company controlled by the school. A copy of the private audit must be sent annually to Bursar Support however the authority will not normally audit such funds but purchase of this service from internal audit maybe arranged by the school.

## **2.9 Register of business interests**

Each school's Governing Body is required to establish a register of business interests for each member of the Governing Body and the head teacher. The register should list any business interests they or their immediate families have. The register should be kept up to date i.e. as a standing item on meeting agendas and should be reviewed at least annually. The register should be 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**

Each school must abide by the Authority's financial regulations and standing orders regarding purchasing, tendering and contracting supplies and services.

Schools should also assess in advance, where relevant, the health and safety and professional competence of contractors, taking account of the Authority's policies and procedures. The financial regulations and standing orders will not apply where they would require schools:

- to do anything incompatible with any of the provisions of the scheme, or any statutory provision, or any EU Procurement Directive;
- to seek Local Authority officer countersignature for any contracts for goods or services for a value below £60,000 in any one year;
- to select suppliers only from an approved list (schools may wish to nominate suppliers for inclusion on lists of approved suppliers);
- to seek fewer than three tenders in respect of any contract with a value exceeding £10,000 in any one year, subject to specific listed exceptions.

Schools may seek advice on a range of compliantly procured deals via 'Buying for Schools'.



## **2.11 Application of contracts to schools**

Schools have the right to opt out of Authority arranged contracts as per the notice periods and conditions within specific contract agreements.

All existing contracts have been entered into freely by schools and are paid for from delegated budgets.

The Governing Body should be aware that they are empowered under paragraph 3 of schedule 1 to the Education Act 2002 to enter into contracts and in most cases they do so on behalf of the authority as maintainer of the school and the owner of the funds in the budget share. And be clear as to when they enter into contracts made solely on behalf of the Governing Body, when the Governing Body has clear statutory obligations - for example, contracts made by aided or foundation schools for the employment of staff.

## **2.12 Central funds and earmarking**

The Authority may make sums available to schools from central funds, in the form of allocations that are additional to and separate from Schools' Budget share. These will be subject to conditions as to the purpose for which these additional funds can be used. In certain circumstances virement is acceptable (excluding specific grant items) between different types of earmarked funding. All these funds must be accounted for separately from the Schools Budget share.

Where centrally retained funds are devolved as earmarked allocations they must be spent only on the purposes for which they are given. Schools will be required to appropriately account for the use of earmarked funds and they must be able demonstrate that the funds have been used for the purposes for which they were allocated.

Earmarked funds must be returned to the authority if not fully spent within the period stipulated by the authority over which schools are allowed to use the funding.

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

Although section 50(3) of the Schools Standard and Framework Act allows Governing Bodies to spend budget shares for the purposes of the school, this is subject to regulations made by the Secretary of State and any provisions of the scheme. As well as the various standard provisions LAs may wish to propose their own restrictions on this freedom, arising from local circumstances. By virtue of section 50(3A) (which came into force on 1st April 2011), amounts spent by Governing Bodies on community facilities or services under section 27 of the Education Act 2002 will be treated as if spent for any purposes of the school.

Under s.50(3)(b) the Secretary of State may prescribe additional purposes for which expenditure of the budget share may occur. He has done so in the School 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). 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**

In addition to any capital allocation made available by the LA outside a school's delegated budget share, 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 that is their responsibility under paragraph 3 of Schedule 3 of the School Standards and Framework Act (SSFA) ensuring it is compliant within current VAT rules and regulations.

See Appendix 6 for any additional limitation.

The LA requires any capital spending from budget shares to be notified to the Director of Children's Services. Where the premises are owned by the LA, the Governing Body must first seek the consent of the LA to the proposed works, but such consent can be withheld only on health and safety grounds.

The reason for these provisions is to help meet responsibilities with the 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.

On an annual basis schools will be required to report to the Authority an updated costed Asset Management Plan.

## **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 Director of Children's Services, 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.

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 an authority's financial

management systems; and

- 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.

The purpose of a notice of concern is to enable the authority to set out formally any concerns it has regarding the financial management of a school it maintains and require a Governing Body to comply with any requirements it deems necessary. The principal criterion for issuing a notice must be to safeguard the financial position of the authority or school.

The issuing of a notice of concern will not be used in place of the withdrawal of financial delegation where that is the more appropriate action to take. However, it may be used as a way of making a Governing Body aware of the authority's concerns short of withdrawing delegation and identifying the actions a Governing Body should take in order to improve their financial management to avoid withdrawal.

When a Governing Body has complied with the requirements imposed on it, the notice of concern will be withdrawn. Where a school does not comply with the requirements of a notice of concern then the authority reserves the right to move towards a more formal withdrawal of financial delegation.

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

All local authority maintained schools (including nursery schools and pupil referral units (PRUs) that have a delegated budget) must demonstrate compliance with the Schools Financial Value Standard (SFVS) and complete the assessment form on an annual basis. Although it is for the school to determine at which time of the year they wish to complete the form RBWM request that they are returned by the end of the financial year.

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.

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

### **3 Instalments of the budget share; banking arrangements**

For the purposes of this section, Budget Share includes any place-led funding for maintained schools with resource units, special schools or pupil referral units.

#### **3.1 Frequency of instalments proportion of budget share payable at each instalment**

The school's appropriate budget share will be advanced into the schools bank accounts in accordance with section 3.2.

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

Where a school chooses to operate an external bank account, RBWM will normally make available the budget share in twelve equal instalments on the first working day of each month.

##### **3.2.1 Bank accounts operated through the authority – imprest accounts**

RBWM operates an imprest system for schools choosing to use the Borough's 'Imprest' bank accounts and which do not purchase direct access to the Borough's Agresso accounting system. This option enables the payment of all bills or those requested by schools to be paid by the authority through borough-wide contracts (e.g. utility payments) or payments otherwise due to the authority-

Those schools choosing to use this option agree a level of deposit with the authority and receive monthly reimbursements to the value of the net expenditure submitted on their monthly imprest return. Schools are free to draw up to the total budget share as and when required. Temporary overdrafts to cover irregular, high value invoices must be requested and approved by the authority before the account becomes overdrawn. The imprest return creates the central accounting record for the school on RBWM's central accounting system.

##### **3.2.2 Bank accounts operated through the authority – "Agresso" schools**

Schools which use the authority's bank account may opt to have direct access to the authority's accounting system (currently "Agresso") instead of using the imprest system. This option enables schools to use the central payments system for all items of expenditure and the central accounting record is created at the time the transaction takes place. Schools are free to draw up to the total budget share as and when required.

Schools using the authority's bank account (both 'imprest' and 'Agresso' schools) will be credited annually with notional interest representing the level of interest that would have been generated if the school operated its own bank account. This is calculated with reference to the interest rates obtained by the authority in its Treasury Management function.

A full term's notice in writing will be required if a school wishes to change from using the Borough's bank account to having their budget share paid directly into their own external account. The same notice period will be required if a school wishes to

change from an external bank account to the Borough's bank account. New banking arrangements may only be made with effect from the start of the financial year.

### **Proportion of budget share payable at each instalment (external bank accounts only)**

#### **3.2.3 Arrangements for the first year a school operates an external bank account**

For schools choosing to operate an external bank account for the first time, an estimate of the likely brought forward balance from the previous financial year will be agreed with the authority and transferred to the designated external bank account (net of any adjusting accruals required to comply with accounting policies) before the start of the new financial year. When the actual brought forward balance is determined by the authority, and this differs from the original estimate, a one-off adjustment will be processed against the next available monthly instalment. The authority may charge or pay interest on any variance to the original estimate, where this is considered significant. Such interest payments will be calculated on a daily basis at 1% above the Base Rate (now called Repo Rate) as set by the Bank of England.

#### **3.2.4 Ongoing arrangements for payments to an external bank account**

The proportion of the budget share to be made available in monthly instalments to schools with external bank accounts will be based on 1/12th of the school's allocated budget share. Any in-year changes to the budget made after the start of the financial year will be divided by the number of months remaining in the year and added equally to the relevant monthly instalments. Schools may opt to have either their total budget share or their budget share net of estimated pay costs (if RBWM payroll service purchased) made available to them in instalments.

In the absence of other more reliable information, these deductions will be calculated having regard to the proportion of actual expenditure incurred on such items in the last completed financial year compared to total expenditure. These proportions will then be applied to the budget share to determine a total deduction, and then recalculated for actual planned expenditure upon receipt of the approved budget plan for the relevant financial year. An adjustment will be processed against the next due instalment should this be different from the original estimate.

### **3.3 Interest clawback**

The timing of payments into external bank accounts may result in a loss of interest to the authority, for example where payments are made into a school bank account at the beginning of the month but salary payments are not processed until the last working day. To compensate for this loss of interest, the authority may claw back an amount equal to the estimated interest lost by the authority in making available the budget share in advance. The calculation for the deduction will be based on the following formula:

Month 1	$M \times I \times 12/12$
Month 2	$M \times I \times 11/12$
Month 3	$M \times I \times 10/12$
Etc to Month 12	$M \times I \times 1/12$

Where:

- M is the monthly budget share paid into the bank account, and
- I is the prevailing interest (normally 1% above the Base Rate set by the Bank of England).

The authority will periodically review this model with schools in order to adapt to any changing circumstances.

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

The Authority may add interest to late payments of budget share instalments on any school non-consolidated bank account, where such late payment is the result of Authority error. For schools within the consolidated bank account scheme, no interest is paid since interest is paid on year end balances. The interest rate used will be the Bank of England base rate +1%.

### **3.4 Budget shares for closing schools**

Schools where approval for closure has been given, may have their estimated non-employee budget share advanced on a monthly basis until closure.

### **3.5 Bank and building society accounts**

All schools may have an external bank account into which their budget share instalments (as determined by other provisions in this scheme) will be paid. Where schools have such accounts they will be allowed to retain all interest payable on the account, (unless they choose to have an account within an authority's contract which makes other provision), and they must pay any charges associated with the operation of the account.

Where a school opens an external bank account, RBWM will immediately transfer to the account, if requested, the estimated surplus balance held by the authority in respect of the school's budget share as agreed by both the school and the authority. Subsequent corrections, if needed, will be processed when accounts for the relevant year are closed.

Schools can choose to continue operating the RBWM's Imprest Account whereby a level of deposit will be agreed, and schools will receive a monthly reimbursement at the value of submitted expenditure claims.

Unless written agreement is received from the authority, new bank account arrangements may only be made with effect from the beginning of each financial year, and after giving the authority four months' written notice of the change. This means that an external bank account can normally only be operated from the 1 April each year. Schools may only open an external bank account if their budget balance is in surplus, after adjusting for any budget advances or claw-backs due under the approved funding arrangements. This provision may be waived at the discretion of the Head of Finance.

### **3.6 Borrowing by schools**

Schools must not enter into any borrowing agreement unless the written permission of the Secretary of State has been obtained. This provision relates to borrowing from external financial institutions and not to internal loan schemes.

Schools are not allowed the use of credit cards and overdrafts, which are regarded as borrowing. However, they may use government approved procurement cards, as these cards can be a useful means of facilitating electronic purchase.

Schools are allowed the use of any scheme that the Secretary of State has said is available to schools without specific approval. An up to date list is available from the Government website.

#### **Loans**

Schools may only borrow money with the prior written permission of the Secretary of State. For Government approved schemes this permission is deemed to already have been given. The school must inform the local authority of their intention prior to any loan application to a government approved scheme. Schools may borrow via a local authority internal loan scheme.

#### **Overdrafts**

Schools are not allowed the use of an overdraft on any school account (either an official or unofficial account) as this would be regarded as borrowing. Schools should not apply for an overdraft but where one is automatically provided, it is the responsibility of the school to ensure the facility is not accessed. Should a school use an overdraft facility even as a temporary arrangement it should inform the local authority immediately.

#### **Debit Card**

Schools are not allowed the use of a debit card where they have a bank account consolidated to the Authority's account. A School with an external bank account must inform the local authority of their intention to apply for a debit card and obtain approval of the controls for the use of the debit card facility prior to applying to their bank account provider.

#### **Credit card**

Schools are not allowed the use of a credit card. Schools may instead apply via the local authority for a government approved procurement card.

#### **Procurement card**

Schools may apply via the local authority for a procurement card. Schools must comply with the local authority guidelines for the use of a procurement card.

#### **Charge card**

Schools are permitted to apply for a charge card with local authority permission on the understanding that no interest occurs as a result of any transaction. Schools



must ensure that the balance is paid in full at the end of each billing period. Schools must seek permission of the local authority prior to making an application for a charge card and obtain approval from the local authority of the controls for the use of the charge card facility. Schools must inform the local authority immediately in the event that interest is charged to any transaction.

### **Trade Account Card**

Schools are permitted to apply for a trade account card with local authority permission on the understanding that no interest occurs as a result of any transaction and a suitable business case is provided. Schools must ensure that the balance is paid in full at the end of each billing period. Schools must seek permission of the local authority prior to making an application for a trade account card and obtain approval from the local authority of the controls for the use of the trade account card facility. Schools must inform the local authority immediately in the event that interest is charged to any transaction. A trade account does not remove the requirement for the school to undertake appropriate checks against a supplier.

### **Leases**

Schools may not enter into a 'finance lease' or 'hire-purchase' unless the written permission of the Secretary of State has been obtained, since these are classified as borrowing.

School may enter into an 'operating lease', as defined by the local authorities (Capital Finance) Regulations 1997 as these do not count as borrowing. The definition of an 'operating lease' is summarised as follows.

- The asset under lease must have a residual value at the end of the agreed lease period of at least 10% of its original cost.
- The lease cannot transfer ownership of the asset to the lessee (at any time during the agreed lease period or a renewal or continuation period).
- The lease cannot provide for renewal or continuation beyond the initial term at less than the "market value" for this provision at the commencement of the secondary arrangement.
- The lessee cannot share in the sale proceeds of the asset under lease.

### **Removal of permissions**

The local authority has the right to remove permission for a school to hold a debit card, procurement card, charge card or trade account card(s) where a school has infringed on any of the criteria for holding any card, including breaches of their own controls or infringements relating to loans, overdrafts or leases. Schools should ensure that all internal controls on cards are reviewed annually and updated as necessary. All procedural changes need to be agreed with the local authority.



**3.7 Other provisions**

See Appendix 2.

## **4 The treatment of surplus and deficit balances arising in relation to budget shares**

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

Schools will be allowed to carry forward from one financial year to the next any underspend relative to the Schools Budget share plus/minus any balance brought forward from the previous year, subject to controls on surplus balances (see below). A schools balance at 1 April of any financial year is equal to the balance as at 31 March in the previous financial year.

Any surpluses should be earmarked for specific future needs to ensure that pupil's benefit from a planned approach to spending that does not deprive them of resources in a given year. These earmarked surpluses should be clearly linked to the School Development Plan.

### **4.2 Control on surplus balances**

The arrangements for surplus balances held by schools as permitted under this scheme have been revised.

As schools are moving towards greater autonomy, the Authority will not constrain schools from making early efficiencies to support their medium-term budgeting in a tighter financial climate, and thus schools will not be burdened by bureaucracy.

Schools where either the local authority or Department for Education deem the surplus balance to be excessive, may be required to comment on the rationale employed. The authority may reclaim balances from schools where they deem them excessive. Appendix 6 gives details of the percentages used as a guide for each education phase.

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

Schools that have a bank account consolidated to the Authority's account will attract interest on any surplus balance at the year end.

The interest rate will be the Treasury Management 7 day rate.

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

If a school is in deficit (revenue and/or capital) on the 31 March in any one financial year, that deficit will be carried forward to the following financial year. A schools deficit balance at 1 April of any financial year is equal to the deficit balance as at 31 March in the previous financial year.

### **4.5 Planning for deficit balances**

#### **4.5.1 Deficit plans (setting a deficit revenue budget)**

Governing Bodies may only plan for a deficit budget with the agreement of the Head of Finance and in accordance with the terms of paragraph 4.9 below.

More details are available in Appendix 5: Supplementary Information.

#### **4.5.2 Deficit revenue balances (carryovers)**

Unforeseen circumstances in year may result in a projected end of year deficit (carryover). In such instances the school should report this to the Director of Children's Services as soon as they become aware of such a situation.

The Authority's own monitoring procedures may also highlight situations of potential end of year deficit (carryover).

If such unforeseen circumstances do result in an end of year deficit balance (carryover), any deficit will be carried forward to the following financial year and schools are required to:

- report to the Director of Children's Services on the reasons for the end of year deficit (carryover);
- if appropriate, detail the management arrangements in place to ensure there is no repeat of the situation;
- detail the measures that will be taken to bring the school back into a balanced budget situation;
- any other such arrangements as the Director of Children's Services may require.

If a school is unable to bring the budget back into balance when setting the following year's budget it will have to provide a recovery plan with an agreed recovery period

The end of year balance is defined for this purpose as the school end of year balance (as notified to the school by the Director Children's Services).

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

The authority may charge interest on any deficit balance where -

- A licensed deficit has been approved to finance a major equipment purchase or building development.
- A school Governing Body faced with a deficit budget fails to seek or follow the advice of the Director of Children's Services or Head of Finance in producing a plan to repay the deficit.
- A school goes into deficit without the prior written approval from the authority. In such cases, the interest will be 4% above the Bank of England's Base rate.

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

The Authority cannot write off the deficit balance of any school.

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

When a school closes, any balance (whether surplus or deficit) shall revert to the authority; it cannot be transferred as a balance to any other school, even where the school is a successor to the closing school.

The authority can also provide extra funding for new schools to recognise the deficit of a preceding school by being reduced; but a sum equal to the deficit cannot be set against any 'normal' funding of the new school – this is the element of funding it would receive anyway if it was not new.

For the first year (i.e. the 12 month period following the formal implementation of an amalgamation of schools) of combined budget(s), the school(s) would receive no less than if there had been the original schools. Subsequently, any loss of funding will be phased over the subsequent two years (three years in total).

#### **4.9 Licensed deficits**

The Authority does not operate a licensed deficit scheme. Any deficit agreed as part of an agreed recovery plan is deemed as borrowing from the Authority.

#### **4.10 Loan schemes**

Loans will only be used to assist schools in spreading the cost over more than one year of large one-off individual items of capital nature that have a benefit to the school lasting more than one financial or academic year. Loans will not be used as a means of funding a deficit that has arisen because a school's recurrent costs exceed its current income. If loans are made to fund a deficit and a school subsequently converts to academy status, the Secretary of State will consider using the power under paragraph 13(4)(d) of schedule 1 to the Academies Act 2010 to make a direction to the effect that such a loan does not transfer, either in full or part, to the new Academy school.

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

The Authority does not currently recognise a credit union approach. Schools wishing to adopt this approach should contact the Director of Children's Services.

## **5 Income**

### **5.1 Income from lettings**

Schools may retain all income from lettings of the school premises that would otherwise accrue to the LA, subject to any alternative provisions arising from any joint-use or (Private Finance Initiative) agreement. Schools are permitted 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. 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.

Income from lettings of schools premises are not payable into voluntary or private funds held by the school.

Schools are required to have regard to any directions issued by the LA as to the use of school premises owned by the LA, as permitted under the School Standards and Framework Act 1998 for various categories of schools.

#### **5.1.1 Private lettings**

All schools are recommended to produce a hiring and letting policy which is adopted by the Governing Body.

Any income raised through private lettings must be paid into the schools main bank account.

Private lettings should not displace agreed community lettings. However, schools may find it advantageous to have private lettings take place alongside their community lettings to reduce costs.

#### **5.1.2 Use of schools for elections**

Under elections legislation, community and voluntary aided schools are obliged to make accommodation available for polling stations. The Authority policy is that, if at all possible, schools should remain open on the day of the election.

Schools are reimbursed directly by the Authority for the costs incurred in making accommodation available for polling stations.

#### **5.1.3 Use of schools for emergency plan**

Any costs incurred by the school for emergency plan purposes will be reimbursed by the Authority.

## **5.2 Income from fees and charges**

Schools can retain income from fees and charges except where a service is provided by the Authority from centrally retained funds. However, schools should have regard to any policy statements on charging produced by the Authority.

## **5.3 Income from fund-raising activities**

Schools will be allowed to retain income from fund-raising activities.

## **5.4 Income from the sale of assets**

Schools may retain the proceeds from the sale of assets except in cases where the asset was purchased with non-delegated funds, in which case the Authority will decide whether the school should retain the proceeds. If the asset is land or buildings forming part of the school premises and is owned by the Authority the proceeds must be paid to the Authority.

## **5.5 Administrative procedures for the collection of income**

The procedures for collection of income are laid down in the Schools Financial Regulations and Standing Orders. These include guidance on charging of VAT on income.

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

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

## **6 The charging of school budget shares**

### **6.1 General provisions**

A school's budget share may only be charged by the Authority without the Governing Body's permission in the circumstances permitted by this scheme (see 6.2 below). The Authority will consult the schools as to the intention to charge and will notify schools when it has been done.

6.1.1 Where a school hasn't elected to administer their own staff salaries via external payroll providers; the Authority will charge salaries of school based staff to school budget shares at actual cost.

### **6.2 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 the school has not sought or followed Authority advice.
- 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 Authority advice.
- Expenditure by the Authority in carrying out health and safety work or capital expenditure for which the Authority is liable where funds have been specifically 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 expenditure from budget shares, where the premises are owned by the Authority or the school has voluntary controlled status.
- Expenditure incurred by the Authority 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 have been arranged by the Authority. (see also 10.1)
- 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 Revenue & Customs (HMRC), Teachers' Pensions, the Environment Agency or other regulatory authorities as a result of schools negligence.
- Correction of Authority errors in calculating charges to a budget share (e.g. pension deductions)

- Additional transport costs incurred by the Authority arising from decisions by the Governing Body on the length of the school day, and the 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 has been delegated but the necessary training has not been 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 contracts, the charge to be minimum needed to meet the cost of the Authority's compliance with its statutory obligations.
- Costs of administrating the Apprenticeship Levy
- Costs incurred by the Authority in securing provision specified in an Education, Health and 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 (prior attainment) and/or specific funding for a pupil with High Needs.
- Cost 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 e.g. opting out of a centrally managed contract without giving sufficient notice as specified in the 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 in administering admissions appeals, where the local authority is the admissions authority and the funding for admission appeals has been delegated to all schools as part of their formula allocation.
- Other expenditure incurred to secure resignations where there is good reason to charge this to the school (see Annex B).



## **7 Taxation**

### **7.1 Value Added Tax**

Imprest Schools will provide a monthly return showing the amounts of VAT paid out and charged. The Authority will reclaim the net VAT on non-business activities and the reclaimed amount will be paid into the schools bank account. All schools including Agresso schools must comply to HMRC VAT regulations and are responsible for holding the supporting documentation at school (eg invoices petty Cash Receipts etc). When required VAT documentation to provided by schools to HMRC or Audit.

HM Revenue and Customs have 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. This does not include expenditure by the governors of a voluntary aided school when carrying out their statutory duties to maintain the external fabric of their buildings. See also section 13.

### **7.2 CIS (Construction Industry Taxation Scheme)**

Schools are required to abide by the procedures laid down by the Authority in connection with Construction Industry Taxation Scheme.

## **8 The provision of services and facilities**

### **8.1 Provision of services from centrally retained budgets**

It is for the Authority to determine on what basis services from centrally-retained funds will be provided to schools. This includes Premature Retirement Compensation (PRC) and redundancy payments, where appropriate.

The Authority will not discriminate in its provision of services to schools on the basis of their category except in circumstances where (a) funding has been delegated to some schools only or (b) such discrimination is justified by differences in statutory duties.

### **8.2 Provision of services provided by the Authority**

Services can be bought back from the Authority using delegated budgets, the services available are contained within the Authority's Traded Services for Schools brochure.

Provision will be available on a service-by-service basis; it may be tailored to individual school needs and may form part of a package of services.

Services are reviewed annually with a pricing proposal sent to schools for consideration.

Final offers are confirmed when schools sign a Service Level Agreement setting out the terms and conditions of the Authority and the school.

Any service provided to schools for which expenditure is not retainable by the Authority under the Regulations made under section 46 of the Act, are offered at prices which are intended not to generate income but cover the cost of provision.

The cost of providing the service is met by the income generated, even if schools are charged differentially.

### **8.3 Packaging**

Any services, which the Authority is providing on a buyback basis, will be offered in a way that will not unreasonably restrict schools' freedom of choice among the services available.

Provision will be available on a service-by-service basis with further freedom of choice available through a menu systems which offers individual elements of the services. Some services also offer packages of services, which may offer a more cost effective service.

### **8.4 Teachers' pensions**

In order to ensure that the performance of the duty on the Authority to supply Teachers Pensions with information under the Teachers' Pensions Regulations 1997, 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.

The 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 annual 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 annual 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 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.

## **9 PFI / PPP**

### **9.1 PFI/PPP**

Any school agreeing to be included within a PFI contract will be required to sign a 'Governing Body Agreement'. The agreement is between the Authority and Governing Body and sets out details of the services provided under the PFI contract and the schools financial contributions.

## **10 Insurance**

### **10.1 Insurance cover**

Where funds for insurance are delegated to any school, the Authority will require the school to demonstrate that cover relevant to the 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, having regard to the actual risks which might reasonably be expected to arise at the school. (See also 6.2.6).

Governing bodies maintaining their own insurance cover in place of that arranged by the Authority must provide to the Director of Children's Services an up-to-date copy of the policy or policies, together with all premium receipts or other evidence of cover. Failure to provide documentary proof of a satisfactory level of cover within a reasonable period of such a request being made may result in the school's budget share being charged.

See Appendix 3.

Instead of taking out insurance, schools may join the Secretary of State's Risk Protection Arrangement (RPA) for risks that are covered by the RPA. Schools are allowed to join the RPA after 1st April 2020. Schools may do this individually when any insurance contract of which they are part expires.

## **11 Miscellaneous**

### **11.1 Right of access to information**

The Governing Body must supply all financial and other information which may be required by the Authority to satisfy itself that the school is properly managing its delegated budget share and any additional funds provided by the Authority.

### **11.2 Liability of Governors**

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 that they act in good faith.

### **11.3 Governors' allowances**

Under section 50(5) of the Act, only allowances in respect of purposes specified in regulations made under section 19 of the Education Act 2002 may be paid to governors from a school's delegated budget share. Schools are not permitted to pay any other allowances.

Schools with delegated budgets should only pay reasonable expenses. Schools may be required to provide details to the Authority of expenses paid.

#### **11.3.1 New schools**

Provision may be made to delegate funds for Governor's expenses to a school yet to receive a delegated budget. Only allowances as per Section 11 of the Schools Standards and Framework Act 1998 will be paid.

#### **11.3.2 Special measures**

Expenses paid to additional Governors to schools appointed by the Secretary of State under special measures must not be paid from a school's delegated budget share.

### **11.4 Responsibility for legal costs**

Legal costs incurred by the Governing Body, although the responsibility of the Authority as part of the cost of maintaining the school unless they relate to the statutory responsibility of voluntary aided school governors for buildings, may be charged to the school's budget share unless the Governing Body acts in accordance with the advice of the authority. (see section 6).

The costs referred to are those of legal actions, including costs awarded against an Authority; not the cost of legal advice provided.

Where there is a potential conflict of interest, problems could arise for the Authority and the Governing Body in obtaining proper legal advice. In this situation, the Authority should be consulted and the Governing Body should consider obtaining independent legal advice.

## **11.5 Health and safety**

In expending the school's budget share the Governing Body must 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.

Under s.39 (3) of the School Standards and Framework Act, Authorities may issue directions to the Governing Body and head teacher of a community, community special or voluntary controlled school on health and safety matters; these directions are enforceable, so far as Governing Bodies are concerned, via s.497 of the Education Act 1996, if not complied with.

## **11.6 Right of attendance for Director of Children's Services**

Governing Bodies must permit the Director of Children's Services, or any officer nominated by the Director of Children's Services, to attend meetings of the Governing Body at which any agenda items are relevant to the exercise of his/her responsibilities. The Director of Children's Services will give prior notice of such attendance unless impracticable to do so.

## **11.7 Special educational needs**

Schools must use their best endeavours in spending the budget share, to secure the special educational needs of their pupils.

## **11.8 Interest on late payments**

Under the Late Payment of Commercial Debts (Interest) Act 1998 all small company creditors must be paid within 30 days of the receipt of the invoice, unless there has been a dispute registered with the creditor. The creditor can, after such period has elapsed, submit a surcharge, on the original amount outstanding.

Published criteria change and Schools should ensure that they comply with the latest statutory requirement on this subject.

## **11.9 'Whistleblowing'**

The procedure for governors and persons working at the school who wish to complain about financial management or financial propriety at the school can be found at:

First Class - Information for All Schools / Human Resources / Policies & Procedures / Raising Concerns At Work (Schools) V6.1.doc

## **11.10 Child protection**

Schools must release staff to attend child protection case conferences and other related events. Supply cover costs has to be met from the schools delegated budget.

### **11.11 Redundancy / early retirement costs**

The 2002 Education Act sets out how premature retirement and redundancy costs should normally be funded. Further guidance is provided in annex B.



## **12 Responsibility for revenue & capital maintenance and improvement**

### **12.1 Responsibility for repairs and maintenance**

Appendix 6 shows the categories of work which Governing Bodies must finance from their budget. This covers both revenue (maintenance) and capital budgets.

The Authority will maintain a capital programme for items of capital expenditure set out in regulation 12.2 of the scheme. All other capital expenditure is the responsibility of the Governing Body to be funded either from the schools devolved capital grant, other capital funds or revenue contributions to capital.

### **12.2 Authority capital programme**

Only capital expenditure will be retained by the Authority. For these purposes, expenditure may be treated as capital only if it fits the definition of capital used by the Authority for financial accounting purposes in line with the CIPFA Code of Practice on local authority accounting.

### **12.3 Voluntary aided schools**

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 other maintained schools, and 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 the DfE to categorise such work, not the de minimis limit used by the authority.

## **13 Community facilities**

### **13.1 Introduction**

Schools now have greater opportunities to provide services for the community. An extended school is one that provides a range of services and activities often beyond the school day to help meet the needs of its pupils, their families and the wider community. Further information is shown in Annex C.

### **13.2 Suspension of delegated budget**

Mismanagement of community facility funds can be grounds for suspension of the right to a delegated budget.

### **Consultation with the Authority – financial aspects**

In every school and community there will be key groups who need to be consulted about activities. They should be involved in the planning process to ensure that extended school programmes are in demand, well organised and meet local needs.

The Governing Body has ultimate responsibility for deciding whether the school should offer additional activities and services and what form these should take. Before making decisions, governors need to be aware of any additional responsibilities that may result from providing additional services through the school. As with existing school activities, Governing Bodies can delegate the practical delivery of services to others, but they will keep ultimate legal responsibility.

Headteachers will need to be fully consulted in the development of additional activities and services in the school. Their school management experience can also be invaluable for the planning of new activities and services and in some schools, Headteachers may choose to be closely involved in the leadership of additional activities and services.

Other school staff can also play a key role in the planning process. Most will have a clear understanding of the needs of pupils, families and the wider school community. They will also be able to advise on the day-to-day impact of additional services on the school premises, equipment, timetables and school community.

Whatever their level of involvement, all school staff should be kept informed and involved in any decisions that relate to the school premises, staff or pupils.

### **13.3 Consult the Authority**

Section 28(4) of the Education Act 2002 requires that before exercising the community facilities power, Governing Bodies must consult the Authority, and have regard to advice given to them by their Authority.

### **13.4 Approach the Authority**

Schools should initially approach the Authority for a strategic view on potential programmes. The Authority is well placed to help in assessing the ability of schools

to offer additional activities. The Authority will take into account the school's resources, financial management abilities and other considerations.

### **13.5 Responses**

The Authority will issue an initial response to any approach from a school within four weeks. The Authority may request from any school operating community activities a report on any action taken following the advice.

## **Funding agreements – authority powers**

### **13.6 Funding agreements**

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.

### **13.7 Authority review**

Any funding agreements with third parties should be submitted to the Authority for its comments prior to the Governing Body signing any such agreement so that the Authority can ensure that any agreement is not seriously prejudicial to the interests of the school or the Authority.

## **Other prohibitions, restrictions and limitations**

### **13.8 Additional requirement**

Where the Authority believes it appropriate they may require the use of community facilities power by a Governing Body. The Governing Body concerned will be required to make arrangements to protect the financial interests of the Authority by carrying out the activities concerned through the vehicle of a limited company formed for the purpose, or by obtaining indemnity insurance for risks associated with the project in question, as specified by the authority.

### **13.9 Additional restrictions**

The Authority has the power to suspend a school's delegated budget if:

- a school undertakes the provision of community activities without consulting the Authority and which the Authority considers is seriously prejudicial to the interests of the school or the Authority;
- the Authority considers the financial management of community services provided by a Governing Body unsatisfactory; or
- the Governing Body is guilty of substantial or persistent non-compliance with any rules laid down by or under the Authority's Scheme for Financing Schools.

## Supply of financial Information

All schools will need to make some adjustments to their financial procedures in order to extend their activities beyond pupils and the school curriculum.

Community activities must be self-financing, except study support for pupils. Study support is learning activities outside normal school hours which young people take part in voluntarily. The purpose of study support is to improve young people's motivation, build their self-esteem and help them become more effective learners and above all aims to raise pupil's achievement.

There are several basic principles for financial management of extended schools programmes.

- Additional activities and services should have separate financial accounts.
- Programmes should where possible be self-financing with the school's delegated budget share only funding additional educational activities and services.
- Before establishing community activities the Governing Body must prepare a four year business plan including cash flow forecasts. The business plan should demonstrate how the Governing Body would fund establishing any community activities and demonstrate that the activities are self-financing for the following three years. Once established a three year business plan should be maintained.
- Governing Bodies may seek grant funding to establish community activities e.g. New Opportunities Funding for Out of School Clubs.
- The Governing Body may not borrow money for community activities without the written consent of the Secretary of State. This requirement does not extend to monies lent to schools by the Authority.
- If by providing community activities, it is felt that it is adversely affecting the Governing Body's main responsibility to educate pupils and promote high standards of educational achievement at the school, the Authority may withdraw the right for the Governing Body to operate such community activities.
- Failure to comply with regulations on financial procedures could lead to the removal of the Governing Body's power to discharge its delegated budget.
- Schools should consider the educational benefits of supporting any educational provision or programme through their Schools Budget

Community use of school facilities will need to be self-financing, either through alternative funding streams or charges to users.

It should be noted that activities such as study support are deemed as being for 'the purposes of the school' (i.e. for the educational benefit of the school's registered

pupils). Therefore, such activities may be funded from the school's budget share and schools are encouraged to provide all study support activities free to all pupils.

The Governing Body should keep separate accounts for its community activities to ensure that the community costs incurred are fully covered by income such as fees and charges and kept distinct from the school's delegated budget.

Some schools may wish to encourage activities and services that they consider a priority, but which might not be self-financing. Activities and services that generate income can be used to help support other programmes. Equally, charges can be subsidised for individual users of services who might be unable to pay to participate, but who could benefit significantly from the activity or service.

### **13.10 Supply of financial information**

Any school operating community activities must provide the Authority with a financial report identifying income and expenditure received, accumulated balance brought forward from the previous financial year and projected year end financial position.

If the Authority has concerns of the financial viability of any community activities a school may be required to provide a financial report identifying income and expenditure received, accumulated balance brought forward from the previous financial year and projected year end financial position on a quarterly basis.

If the Authority continues to have concerns of the financial viability of any community activities a school will be required to submit a recovery plan for the activity in question.

Schedule 3 of the Education Act 2002 inserts a new provision into Schedule 15 of the Act to make mismanagement of funds received for community facilities a basis for suspension of the right to delegation of the budget share.

### **Supply of non-financial information**

Governing Bodies may be required to provide some non-financial information to the Authority where any community activities form part of a corporate strategy for provision. The Authority will inform the Governing Body of any such requirements at the time of agreeing the establishment of such community activities.

### **13.11 Adjustment to frequency of financial reports**

If the Authority has concerns of the financial viability of any community activities a school may be required to provide a financial report identifying income and expenditure received, accumulated balance brought forward from the previous financial year and projected year end financial position on a quarterly basis.

If the Authority continues to have concerns of the financial viability of any community activities a school will be required to submit a recovery plan for the activity in question.

Schedule 3 of the Education Act 2002 inserts a new provision into Schedule 15 of the Act to make mismanagement of funds received for community facilities a basis for suspension of the right to delegation of the budget share.

## **Audit**

### **13.12 Audit**

Schools community activities financial accounts must be made available for inspection by internal and external audit.

### **13.13 Access**

In concluding funding agreements with other persons pursuant to the exercise of the community facilities power, the Governing Body must ensure that such agreements contain adequate provision for access by the Authority to the records and other property of those persons held on the 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.

## **Treatment of income and surpluses**

### **13.14 Retaining net income**

The school can retain all net income derived from community facilities except where otherwise agreed with a funding provider, whether that be the Authority or some other body.

### **13.15 Carrying forward retained net income**

Such retained net income can be carried over from one financial year to the next as a separate community activities surplus. Such surplus funds should usually be retained to provide a contingency fund to cover any deficit generated on community activities in any year or are sufficient to cover any winding up costs should the activity cease. If the community activities surplus funds are such that they are not all required as a contingency to cover any potential deficit generated or potential winding up costs, the Authority may agree with the school transferring up to the full value of the surplus to the schools account for a specific purpose.

Should the Authority close any community or community special school, any accumulated community activities surplus of the school reverts to the Authority unless otherwise agreed with a funding provider.

## **Treatment of deficits**

Any deficit must firstly be met from any accumulated community activities surplus and cannot be met from the school budget share unless such a purpose is prescribed by regulations made under s.50 (3) (b) of the 1998 Act.

If the accumulated community activities surplus is insufficient to cover any deficit this must be carried forward, if the business plan demonstrates that the deficit can be covered from future year's surpluses.

If the business plan demonstrates that the community activity is not viable long term the Governing Body are required to use any other funds under their control to cover the deficit. If this is still insufficient the Governing Body and the Authority should implement an action plan to cease any unviable community activity and the Governing body should formulate a recovery plan to recover any remaining deficit.

## **Health and Safety**

### **13.16 Health and safety**

The health and safety standards for community activities should be the same as those to any other activities undertaken at the school.

### **13.17 Disclosure and Barring checks**

The Governing Body must ensure that any adults involved in community activities have been cleared by the Disclosure and Barring Service (DBS) check and the cost of such clearance should be met by the community activities accounts or funding partner as part of an agreement with that partner.

## **Insurance**

### **13.18 Insurance**

The Governing Body must 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. Instead of taking out insurance, a school may join the RPA for risks that are covered by the RPA.

### **13.19 Authority power to assess insurance arrangements**

The Governing Body must provide the Director of Children's Services with evidence that they have such insurance arrangements in place for community activities. The Director of Children's Services may also undertake their his/her own assessment of the insurance arrangements made by a school in respect of community activities, and if it judges those arrangements to be inadequate, make arrangements itself and charge the resultant cost to the schools community activities account. This provision ensures that the Authority can protect itself against possible third party claims.

## **Taxation**

### **13.20 Taxation**

The Governing Body should seek the advice of the Head of Finance and the local VAT office on any issues relating to the possible imposition of Value Added Tax on expenditure and income in connection with community facilities, including the use of the Authority VAT reclaim facility.

The Governing Body must abide with the requirements of the Scheme for Financing Schools in relation to all aspect of taxation (regulations under section 7 of the Scheme for Financing Schools).

### **13.21 Payment of income tax and National Insurance**

For 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) the school is held liable for payment of income tax and National Insurance, in line with HM Revenue and Customs rules.

### **13.22 Construction Industry Scheme**

Schools should follow authority advice in relation to the Construction Industry Scheme where this is relevant to the exercise of the community facilities power.

## **Banking**

### **13.23 Separation of accounts**

Although it is necessary for the school to keep a separate financial account for community activities this does not necessitate community activities being held in a separate bank account.

### **13.24 Bank accounts**

Income from lettings of school premises should not normally be payable into voluntary or private funds held by the school.



## **Annex A: The funding framework**

The funding framework which replaces Local Management of Schools is set out in the legislative provisions in sections 45 to 53 of the School Standards and Framework Act 1998.

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 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 the 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 purposes 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).

An authority may suspend a school's right to a delegated budget if the provisions of the authority's financial scheme, 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 a 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.

## **Annex B Responsibility for redundancy and premature retirement costs**

This guidance note summarises the position relating to the charging of voluntary early retirement and redundancy costs. It sets out what is specified in legislation and provides some examples of when it might be appropriate to charge an individual school's budget, the central Schools Budget or the local authority's non-Schools Budget.

Section 37 of the 2002 Education Act says:

4) costs incurred by the local education authority in respect of any premature retirement of a member of the staff of a maintained school shall be met from the school's budget share for one or more financial years except in so far as the authority agree with the governing body in writing (whether before or after the retirement occurs) that they shall not be so met

(5) costs incurred by the local education authority in respect of the dismissal, or for the purpose of securing the resignation, of any member of the staff of a maintained school shall not be met from the school's budget share for any financial year except in so far as the authority have good reason for deducting those costs, or any part of those costs, from that share.

(6) The fact that the authority have a policy precluding dismissal of their employees by reason of redundancy is not to be regarded as a good reason for the purposes of subsection (5); and in this subsection the reference to dismissal by reason of redundancy shall be read in accordance with section 139 of the Employment Rights Act 1996 (c. 18).

The default position, therefore, is that premature retirement costs must be charged to the school's delegated budget, while redundancy costs must be charged to the local authority's budget. In the former case, the local authority has to agree otherwise for costs to be centrally funded, while in the latter case, there has to be a good reason for it not to be centrally funded, and that cannot include having a no redundancy policy. Ultimately, it would be for the courts to decide what a good reason was, but the examples set out below indicate the situations in which exceptions to the default position might be taken.

### **Charge of dismissal/resignation costs to delegated school budget**

- If a school has decided to offer more generous terms than the authority's policy, then it would be reasonable to charge the excess to the school.
- If a school is otherwise acting outside the local authority's policy.
- Where the school is making staffing reductions which the local authority does not believe are necessary to either set a balanced budget or meet the conditions of a licensed deficit.
- Where staffing reductions arise from a deficit caused by factors within the school's control.
- Where the school has excess surplus balances and no agreed plan to use these.
- Where a school has refused to engage with the local authority's redeployment policy.

### **Charge of premature retirement costs to local authority non-schools budget**

- Where a school has a long-term reduction in pupil numbers and charging such costs to their budget would impact on standards.
- Where a school is closing, does not have sufficient balances to cover the costs and where the central Schools Budget does not have capacity to absorb the deficit.
- Where charging such costs to the school's budget would prevent the school from complying with a requirement to recover a licensed deficit within the agreed timescale.
- Where a school is in special measures, does not have excess balances and employment of the relevant staff is being/has been terminated as a result of local authority or government intervention to improve standards

### **Charge of redundancy costs to delegated school budget**

Examples set out below indicate the situations in which redundancy costs may be charged to a delegated school budget

- If a school has decided to offer more generous terms than the authority's policy, then it would be reasonable to charge the excess to the school
- If a school is otherwise acting outside the local authority's policy
- Where the school is making staffing reductions which the local authority does not believe are necessary to either set a balanced budget or meet the conditions of a licensed deficit
- Where staffing reductions arise from a deficit caused by factors within the school's control
- Where the school has excess surplus balances and no agreed plan to use these
- Where a school has refused to engage with the local authority's redeployment policy

Costs of early retirements or redundancies may only be charged to the central schools services block of the Schools Budget, as a historic commitment, where the expenditure is to be incurred as a result of decisions made before 1st April 2013. Costs may not exceed the amount budgeted in the previous financial year.

The local authority can retain a central budget within the Schools Budget to fund the costs of new early retirements or redundancies by a deduction from maintained school budgets (excluding nursery schools) only, where the relevant maintained school members of the schools forum agree.

It is important that the local authority discusses its policy with its Schools Forum. Although each case should be considered on its merits, this should be within an agreed framework. It may be reasonable to share costs in some cases, and some authorities operate a panel to adjudicate on applications.

A de-delegated contingency could be provided, if the Schools Forum agrees, to support individual schools where “a Governing Body has incurred expenditure which it would be unreasonable to expect them to meet from the school’s budget share”.

For staff employed under the community facilities power, the default position is that any costs must be met by the Governing Body, and 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 in England to the local 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 7(B) 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 C Application of scheme for financing schools to the community facilities power**

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.

Section 88 of the Children and Families Act 2014, has removed the requirements in section 28(4) and section 28(5) of the Education Act 2002 for maintained schools in England. Under section 28(4) a school was obliged to consult its authority and under section 28(5) a school must have regard to advice or guidance from the Secretary of State or their local authority when offering this type of provision.

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 School Standards and Framework Act 1998 as amended by paragraph 2 of Schedule 3 to the Education Act 2002.

This amendment extended the coverage of schemes to include the exercise of the powers of governing bodies to provide community facilities.

Schools are therefore subject to prohibitions, restrictions and limitations in the scheme for financing schools. This part 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.

## Appendix 1 Schools list

Sector	Name
<b>Nursery</b>	
	Cookham Nursery
	Maidenhead Nursery
	The Lawns Nursery
<b>Primary</b>	
	Alexander First
	All Saints CE Junior
	Alwyn Infant And Nursery
	Boyne Hill Ce Infant
	Braywood CE First
	Cheapside CE Primary
	Cookham Dean CE Primary
	Cookham Rise Primary
	Courthouse Junior
	Eton Wick CE First
	Furze Platt Infant
	Furze Platt Junior
	Hilltop First
	Holy Trinity Cookham Primary
	Holy Trinity Sunningdale Primary
	Homer First
	Kings Court First
	Larchfield Primary & Nursery
	Oakfield First
	Oldfield Primary
	Riverside Primary
	South Ascot Village Primary
	St Edwards Catholic First
	St Michaels CE Primary
	The Queen Anne Royal CE
	The Royal (Crown Aided)
	Trinity St Stephen CE First
	Waltham St Lawrence Primary
	Wessex Primary
	Woodlands Park Primary
	Wraysbury Primary
<b>Middle &amp; Secondary</b>	
	St Edward's Royal Free Ecumenical Middle School
	Churchmead Church of England (VA)
<b>Special</b>	
	Manor Green

## Appendix 2 School borrowing

### Introduction

The School Standards and Framework Act 1998 allow schools to borrow if they have the permission of the Secretary of State.

### Definition

The type of financing arrangements, which would normally be classed as borrowing, is:

- Loans in the broadest sense, whereby lenders make available to the school a sum of money which the school uses for specific aims. The school repays the sum of money (the principal) usually at a price (the interest charges) over the term of the loan.
- Finance Leases, whereby the school acquires the use of an asset (e.g. a building or an item of equipment) from the supplier or lender over a specified period. At the end of the period, the school has paid the lender for the underlying cost of the asset plus interest charges,
- Certain types of Public Private Partnerships (PPP's) where the asset is deemed to be "on the balance sheet". Due to the longer term nature of PPP's, schools which enter into them should establish whether the commercial interest of their private sector partners constitutes a form of borrowing by the school – for example a finance Lease.

There are certain types of financing arrangements which for the purposes of this guidance would not normally be classified as borrowing – for example, where a local fair funding scheme permits an Authority to deal with an overspend on a school's budget share by advancing additional sums which are to be charged against future years budget shares. Other circumstances where the Department would not normally require the school to obtain permission before entering into a financial arrangement are:

- Where a Diocese spends money on behalf of a Voluntary Aided school, and the Department subsequently pays grant to the diocese under paragraph 5(1) (b) of Schedule 3 to the 1998 Act.
- Where an association such as a Parents' Association or Former Pupils' Association, takes out a loan to be repaid from its future fund raising, and donates the money to the school.
- Where a school takes credit as part of a supplier's standard trading terms.
- Certain types of Public Private Partnership.



## Appendix 3 Insurance

### Minimum levels of insurance (Schools)

If funds for insurance are delegated to any school, the local authority may require the school to demonstrate that its insurance cover under a policy, or policies, arranged by the Governing Body is relevant to the authority's insurable interests.

Whilst the authority cannot apply an arbitrary level of cover for all schools the authority recommends the following levels of indemnity as a minimum (@ May 2018):

	£
Material Damage (Property)	Reinstatement value of property
Business Interruption	2,000,000
Contract Works	250,000
Money	10,000
Fidelity Guarantee (Fraud)	500,000
Employers' Liability	25,000,000
Public Liability	35,000,000
Governors' Liability	5,000,000
Libel & Slander	1,000,000
Professional Indemnity	5,000,000
Personal Accident	Death & Capital Benefits £100,000
Engineering Inspection	Inspection of all plant required so by statute
Offsite Activity/Travel c	To cover both UK and non UK trips
Motor Insurance	For minibuses or other vehicles owned or leased in by the school (own damage plus third party)

## **Appendix 4 Budget plan and monitoring and submission schedule**

### **Annual budget plan**

The Authority will aim to provide to schools by the 28 February of the previous financial year indicative financial information on which schools can base their draft budgets and final/confirmed financial information by 31 March of the previous financial year.

Each school must submit as early as possible and no later than by the **31st May** of the relevant financial year a Standard School Budget Plan to the Head of Finance. The budget plan must be approved at a full Governing Body meeting, recorded as such, and signed by both the Headteacher and the Chair of Governors. Plans must be submitted in a form notified by the authority and in accordance with the Consistent Financial Reporting Framework.

The Standard School Budget Plan can be found at:

First Class - Education Finance/School Budget Documents/2020-21 Budget Files/Budget Plans 2020-21/ 2020-21 Budget Plan

### **Budget monitoring reports**

In order that the designated officer can fulfil their obligations under Section 151 of the Local Government Act 1972 to “make arrangements for the proper administration of their financial affairs” schools must provide Bursar Support with a copy of their budget monitoring report submitted to their Governing Body as per the dates set out below:

- 2nd Friday October
- 2nd Friday January

### **Deficit budget**

If a school considers they are likely to have to set a deficit budget they must notify the Director of Children’s Services by **30th April**. This will allow ongoing discussion between the school and the Authority in order to agree a recovery plan.

For the Authority to manage its responsibilities to “make arrangements for the proper administration of their financial affairs” (Section 151 of the Local Government Act 1972), a school may be required to provide further information to support their Standard School Budget Plan.

### **3 Year budget plans**

The authority requires schools to submit a financial plan covering a 3 year period. These will be used as evidence to support the authority’s assessment of Schools Financial Value Standards and in support of the authority’s balance control mechanism. To be submitted to Bursar Support by

- 2<sup>nd</sup> Friday in July

The 3 Year Budget Plan can be found at:

First Class - Education Finance/School Budget Documents/2020-21 Budget Files/Budget Plans 2020-21/ 2020-21 Budget Plan/3 Year Plan 2020-23

## **Appendix 5 Supplementary information**

RBWM use thresholds of 5% of income for secondary schools, 8% of income for primary, nursery and special schools. The maximum level over which uncommitted reserves would be deemed excessive is 5% for secondary schools and 8% for primary, nursery and special schools.

The percentage is applied to annual income which is defined as income registered to CFR codes I01 to I18 inclusive. The final annual income as defined by the CFR income categories at the financial year end would determine the level of reserves. For example, annual income as at financial year end 2017/18 of £1,000,000 for a primary schools would deem the acceptable level of revenue carry forward (opening revenue balance for 2018/19) as £80,000 (excluding acceptable commitments).

Where schools wish to commit balances these should be to specific projects and ideally linked to the schools development plan. There should be an anticipated start date and project duration with appropriate costing information available. The authority would not expect to see commitments made to projects that did not relate to staff development and training, building maintenance and improvement, grounds maintenance and improvement, learning resources, ICT learning resources, administrative supplies or relate to a proposed revenue to capital transfer of funds. As capital cannot be transferred to revenue; school should refrain from transferring revenue to capital until required to do so within a project and transferring as a capital commitment should be avoided.

Schools should refrain from committing balances to projects year on year where the project has no clear start date. Governors should review proposals to commit balances to avoid the mechanism incorrectly effecting the threshold levels. Projects expected to start within the current financial year should have appropriate budgets allocated within the school budget without the need to create a commitment.

De minimis level £3,000.

### **Schools deficit process**

Schools should insure that they contact the Director of Children's Services and Head of Finance as early as possible where they believe they may potential need to set a deficit budget.

The Bursar Support Team will notify the appropriate local authority groups and act as liaison between the school and the local authority.

The School will be required to submit a formal detailed deficit recovery plan.

A formal sign off of all arrangements will be required by the Director of Childrens Service, Head of Finance and Governing Body. This will be completed within a reasonable timescale to enable budget planning and action to be taken by all parties as appropriate.

### **Deficit arrangements**

Deficit arrangements may only be permitted where budgets cannot be balanced in year without extreme significant damage to the curriculum.

The maximum period over which schools must balance their budget is normally three years.

### **EU contract thresholds**

Contract Thresholds at and above which UK Regulations apply.

### **As at 1 January 2018**

The financial thresholds are set out below. (All values exclude VAT).

	<b>SUPPLIES</b>		<b>SERVICES</b>		<b>WORK</b>	
	<b>£</b>	<b>Euro</b>	<b>£</b>	<b>Euro</b>	<b>£</b>	<b>Euro</b>
<b>Contract threshold</b>	118,133	144,000	118,133	144,000	4,551,413	5,548,000
<b>Prior Indicative Notices (PIN)</b>	615,278	750,000	615,278	750,000	4,551,413	5,548,000

## Appendix 6 Responsibility for revenue and capital maintenance & improvement

Capital/Revenue split - Illustrative examples in line with CIPFA code of practice.

### Roofs – Flat

#### Capital: as CIPFA code of practice (Schools)

Structure. New (not replacement) structure

Structure. Replacement of all or substantial part of an existing structure to prevent imminent or correct actual major failure of the structure

Screed / insulation in a new building / extension

∞ Screed / insulation. Replacement/repair of substantially all. Improve effectiveness of insulation

Finish on new build. Replacement of all/substantially all on existing roof

Edge trim/fascia on new building

Edge trim/fascia. Replacement of all/ substantially all on existing roof

Drainage on new building

Other e.g. flashings, rooflights on new building. Replacement of all/substantially all on existing roof

#### Revenue: Repairs and maintenance

Repair/replacement of small parts of an existing structure

Replace small areas of rotten or defective timber, make good minor areas of spalling concrete where reinforcing bars exposed

Repair/replacement of screed/insulation where defective

Work to improve insulation standards, during work to repair/replace small areas of roof

Replacement of roof finish on existing building. Re-coating chippings to improve life expectancy

Repairs/replacement. (uPVC) Repainting

Repairs/replacement. (uPVC) Repainting

Clearing out gutters and downpipes. Replacement/repair/ repainting / individual gutters/pipes

Repair/replace/cleaning of individual items

## Roofs - Pitched

### Capital: as CIPFA code of practice

Structure. New (NOT replacement) structure

Structure. Replacement of all or substantial part of an existing structure to prevent imminent or correct actual major failure of the structure

Insulation in a new building/extension

Insulation. Replacement/repair of substantially all. Improve insulation to current standards

Roof finish in a new building/extension, replacement of all/substantially all on existing roof

Bargeboards/fascias in a new building/extension, replacement of all/substantially all on existing roof

Drainage in a new building/extension

Drainage. Replacement of all/substantially all on existing roof

Other e.g. flashings, roof windows in a new building/extension, replacement of all/substantially all on existing roof

### Revenue: Repairs and maintenance

Repair/replacement of small parts of an existing structure

Replace/repair small areas of rotten/defective joists, rafters, purlins etc.  
Not complete trusses

Repair/replacement/ increase thickness of insulation in an existing roof

Replace missing/damaged

Repairs/replacement/  
repainting

Clearing out gutters and downpipes Replacement/repair of individual pipes/gutters

Repair/Replacement  
/cleaning

### Roofs - Other

#### Capital: as CIPFA code of practice

Provide new covered link etc. between existing buildings  
Rebuild or substantially repair structure of existing covered link  
Add porch etc. to existing building  
Rebuild or substantially repair structure of existing porch

#### Revenue: Repairs and maintenance

Minor repairs, maintenance to existing covered link  
Minor repairs, maintenance to existing

### Floors - Ground floor

#### Capital: as CIPFA code of practice

Structure and dpc in new building  
Structure and dpc - Replacement of all or substantial part of an existing structure to prevent imminent or correct actual major failure of the structure

Screed and finish in new build, replacement of all/substantially all on existing floor - e.g. replacement of most carpets/tiles in a room

#### Revenue: Repairs and maintenance

Repair/replacement of small parts of an existing structure

Replacement and repair of screed and finishes/replacement of mats/matwells  
Maintenance e.g. revarnishing wooden floors

### Floors - Upper floors

#### Capital: as CIPFA code of practice

Structure - as ground floor

#### Revenue: Repairs and maintenance

As ground floor

Screed and finish - as ground floor

Repairs of finishes/Replacement - as ground floor

96



### **Ceiling – Top/only storey**

#### **Capital: as CIPFA code of practice**

Suspension

Membrane

Fixed

Access panels

#### **Revenue: Repairs and maintenance**

Repair/replacement includes. from water damage, & necessary decoration

Repair/replacement inc. from water damage

Repair/replacement

### **Ceiling – Lower storeys**

#### **Capital: as CIPFA code of practice**

Suspension

Membrane

Fixed

#### **Revenue: Repairs and maintenance**

Repair/replacement

Repair/replacement

### **Ceiling – All**

#### **Capital: as CIPFA code of practice**

#### **Revenue: Repairs and maintenance**

Inspection/air testing. Applying sealant coats to asbestos surface for protection

## External Walls – Masonry/cladding

### Capital: as CIPFA code of practice

Structure, Underpinning/propping for new build

External finish on new build

External finish on existing builds where needed to prevent imminent or correct actual major failure of the structure. e.g. repointing/recladding work affecting most of a building/replacement build

### Revenue: Repairs and maintenance

Repairs. Preventive measures e.g. tree removal

Repair/replacement of small parts of an existing structure, e.g. repointing/recladding a proportion of a wall where failure has occurred

## External Walls – Windows and doors

### Capital: as CIPFA code of practice

Framing - new build

Framing - structural replacement programme

Glazing - new build

Glazing, Upgrading existing glazing

Ironmongery, Improve security

Jointing including mastic joints

### Revenue: Repairs and maintenance

Repair/replacement of individual frames.  
Repainting frames

Repair/replacement of individual windows.  
Repainting frames

Replacing broken glass

Repair/replacement, upgrading locks etc.

Internal and external decorations to new build

Internal and external decoration to include cleaning down and preparation

### **External Walls – Masonry chimneys**

**Capital: as CIPFA code of practice**

**Revenue: Repairs and maintenance**

Structure

Jointing including expansion and mortar joints/pointing/DPC

Repair/re-pointing

### **Internal Walls – Solid**

**Capital: as CIPFA code of practice**

**Revenue: Repairs and maintenance**

66 Complete including various internal finishes, linings and decorations

Repairs and redecoration to internal plaster/lining tiles, pin boards etc.

Refurbishment and alterations

Minor alterations

### **Internal Walls – Partitions**

**Capital: as CIPFA code of practice**

**Revenue: Repairs and maintenance**

Complete structure including linings, framing, glazing, decoration etc

Repairs and redecoration

Refurbishment and alterations

Minor alterations

### **Internal Walls – Doors and Screens**

**Capital: as CIPFA code of practice**

**Revenue: Repairs and maintenance**

Framing/screens/doors to new building including glazing,

Internal maintenance and redecoration. Repair/replacement of

ironmongery, jointing and internal decorations

defective doors and screens

**Internal Walls – All**

**Capital: as CIPFA code of practice**

**Revenue: Repairs and maintenance**

Glazing to meet statutory Health & Safety requirements

Replacement of broken glass

**Sanitary Services - Lavatories**

**Capital: as CIPFA code of practice**

**Revenue: Repairs and maintenance**

In new buildings provision of all toilet fittings, waste plumbing and internal drainage

Repair/replacement of damaged sanitary ware, fittings, waste plumbing etc

Small areas of refurbishment

Repair/replacement of damaged fittings, waste plumbing etc

**Sanitary Services - Kitchens**

**Capital: as CIPFA code of practice**

**Revenue: Repairs and maintenance**

Kitchens in new buildings complete with fittings, equipment, waste plumbing and internal drainage. Internal finishes and decorations

Maintain kitchen to requirements of Authority. Cleaning out drainage systems. Redecoration

General refurbishment

Repairs

Large and costly items of equipment

Repairs/replacement parts

100

### Mechanical Services – Heating/Hot Water

#### Capital: as CIPFA code of practice

Complete heating and hot water systems to new projects including fuel, storage, controls, distribution, flues etc

Safe removal of old/damaged asbestos boiler and pipework insulation where it is a risk to Health and Safety

Planned replacement of old boilers/control systems past the end of their useful life

Emergency replacement of boiler plant/systems.

#### Revenue: Repairs and maintenance

General maintenance of all boiler house plant including replacement of defective parts. Regular cleaning. Energy saving projects

Monitoring systems. Health and safety issues

Replacement of defective parts

101

### Mechanical Services – Cold water

#### Capital: as CIPFA code of practice

Provision of cold water services, storage tanks, distribution, boosters, hose reels etc in major projects

#### Revenue: Repairs and maintenance

Maintenance and repair/replacement of defective parts such as servicing pipes. Annual servicing of cold water tanks

### Mechanical Services – Gas

#### Capital: as CIPFA code of practice

Distribution on new and major refurbishments, terminal units

#### Revenue: Repairs and maintenance

Repairs, maintenance and gas safety. All servicing

### Mechanical Services – Ventilation

#### Capital: as CIPFA code of practice

#### Revenue: Repairs and maintenance

Mechanical ventilation/air conditioning to major projects.

Provision of local ventilation Repair/replacement of defective systems and units

### **Mechanical Services – Other**

#### **Capital: as CIPFA code of practice**

Swimming pool plant and its complete installation, including heat recovery systems

#### **Revenue: Repairs and maintenance**

Repair/replacement of parts to plant pumps and controls. Water treatment equipment and all distribution pipework. Simple heat recovery systems. Solar heating plant and equipment

### **Electrical Services – General**

#### **Capital: as CIPFA code of practice**

Main switchgear and distribution in major projects

#### **Revenue: Repairs and maintenance**

Testing/replacement of distribution boards. The repair and maintenance of all switchgear and interconnecting cables including that in temporary buildings

Replacement of obsolete and dangerous wiring systems, including distribution boards

All testing, earthing and bonding to meet Health and Safety. All servicing

### **Electrical Services – Power**

#### **Capital: as CIPFA code of practice**

Control gear, distribution, fixed equipment, protection etc

#### **Revenue: Repairs and maintenance**

All testing, repair and replacement of small items of equipment

### **Electrical Services – Lighting**

#### **Capital: as CIPFA code of practice**

Provision of luminaires and emergency

#### **Revenue: Repairs and maintenance**

Replacement of luminaires, all testing, adjustments and

improvements to emergency

### **Electrical Services – Other**

#### **Capital: as CIPFA code of practice**

Lighting protection in new buildings

Alarm systems, CCTV, lifts/hoists etc

New installation of communication systems, radio/TV, call, telephone, data transmission, IT etc and provision in new buildings

#### **Revenue: Repairs and maintenance**

Repair/replacement

Repair and maintenance

Repair/replacement/ maintenance, including all door access systems

### **External Works – Paving**

#### **Capital: as CIPFA code of practice**

Provision of new roads, car parks, paths, courts, terraces, play pitches, steps and handrails, as part of major project, including disabled access

#### **Revenue: Repairs and maintenance**

Maintenance and repair. Car park and playground markings

### **External Works – Miscellaneous**

#### **Capital: as CIPFA code of practice**

Provision of walls, fencing, gates and ancillary buildings as apart of major project

#### **Revenue: Repairs and maintenance**

Maintenance and repair of all perimeter/boundary /retaining walls, fencing and gates.

### **External Works – Drainage**

#### **Capital: as CIPFA code of practice**

Drains, soakaways, inspection chambers and sewage plant as part of new projects

#### **Revenue: Repairs and maintenance**

Maintenance and repair of drains, gullies, grease traps and manholes between buildings and main sewers. Cleaning of the

above and unblocking as necessary

**External Works – Open air pools**

**Capital: as CIPFA code of practice**

Structure, hygiene/safety in new build

**Revenue: Repairs and maintenance**

Hygiene, cleaning, maintenance and repairs including replacement parts. Simple energy saving systems

**External Works – Services distribution**

**Capital: as CIPFA code of practice**

Heating mains, gas mains, water mains, electricity mains, renewal of any of the above

**Revenue: Repairs and maintenance**

Annual servicing



Date:	16th July 2020	<b>AGENDA ITEM: 8</b>
Title:	<b>Social, Emotional and Mental Health Intervention Programme Update</b>	
Responsible officer:	Kevin McDaniel, Director of Children's Services	
Contact officer:	Clive Haines, Schools Leadership Development Manager, Achieving for Children	Email: Clive.haines@achievingforchildren.org.uk

**1. PURPOSE AND SUMMARY**

1.1 The purpose of this report is to provide Schools Forum with an update and feedback for the Social, Emotional and Mental Health (SEMH) intervention programme for preventing exclusions within the primary schools and to agree to trial the programme in two secondary schools during the autumn term 2020.

**2. RECOMMENDATIONS**

**Schools Forum is asked to:**

- note and comment on the contents of this report
- confirm ongoing commitment to the project for academic years 2020/21

**3. BACKGROUND**

- 3.1 In November 2017, a 0.5% budget transfer representing £416,000 from the School Block to the High Needs Block was agreed by the Schools Forum. No commitment was identified in 2018/19, therefore, the full balance was carried forward to 2019/20.
- 3.2 On 25th April 2019 Schools Forum agreed to fund the SEMH Intervention programme to reduce the number of permanent exclusions from RBWM primary schools. In order to recruit appropriately experienced and qualified staff, it was agreed to fund the project for three years with annual reviews.

**4. FINANCIAL SUMMARY**

- 4.1 The indicative annual allocation for the 2019/20 academic year was £138,670 representing funding the programme across three years. For the seven months from September until 31<sup>st</sup> March 2020, this equates to £80,890. The total expenditure during this period was £63,643 leaving an in-year underspend of £17,247. This underspend was retained within the ring fenced programme for future years.
- 4.2 It is proposed that £14,110 of this ring fenced funding is allocated to support a pilot of the SEMH Intervention project in two secondary schools. The aim would be to see how we can adapt the project to reduce permanent exclusions from the secondary sector.

## 5. BRIEF SUMMARY OF PROGRAMME AND OUTCOMES

The project centres on 2 aspects:

- Support around a child (no EHCP) at risk of permanent exclusion – SEMH coach/mentor
- Building capacity within the school - SEMH Co-ordinator.

5.1 The aim of the project was to support 12 schools (2 Schools per half term) in the first academic year. Currently we have supported 10 Schools.

5.2 Support around the child:

- 10 children have been supported (9 boys / 1 girl)
- SEMH Coach Mentors worked closely with classroom teachers and support staff to model effective practice
- Schools were introduced to strategies to create baseline assessment data for C&YP with SEMH and ways to monitor progress, A cycle of Assess Plan Do Review information was created
- Systems were developed to encourage daily contact with Parent/Carer. Home visits were made and strategies to build relationships were modelled
- Continued post project support was provided for ½ a term
- £3,000 financial support for Resources and Intervention. Information on deployment and impact available
- **No child supported by the Programme has been permanently excluded**

5.3 Building Capacity within the school:

- SEMH Training - As of 31st March 2020 SEMH training has been delivered to 387 staff across 13 schools and a session for NQTs/Learning Mentors. Flexible delivery. ½ day inset / 2 twilight sessions / TA and Teacher split. All training positively received - overall feedback from participant average 4.7 out of 5. Appendix 1
- Paperwork has been developed including Behaviour Support Plans / Risk Assessments / Physical Intervention reporting etc
- Empowering classroom staff has resulted in SLT having to spend less time dealing with behaviour
- Measurable impact on schools apparent in Evaluation feedback which takes place ½ term post Appendix 2
- SEMH Mentors have been retained by the school following the intervention.
- Schools have taken the SEMH Mentor model and recruited their own learning mentors

## 6. PROJECT DEVELOPMENT

The project has shown flexibility to enable greater capacity when need arises and adapted to the closure of schools whilst maintaining core objectives to support schools and vulnerable pupils within the borough.

There are 3 main areas to focus upon over the forthcoming 2 years:

- **Primary schools**  
The project will continue to support 24 schools over 2020-2022. The SEMH Coordinator will continue to deliver training and support to Primary schools across the borough.

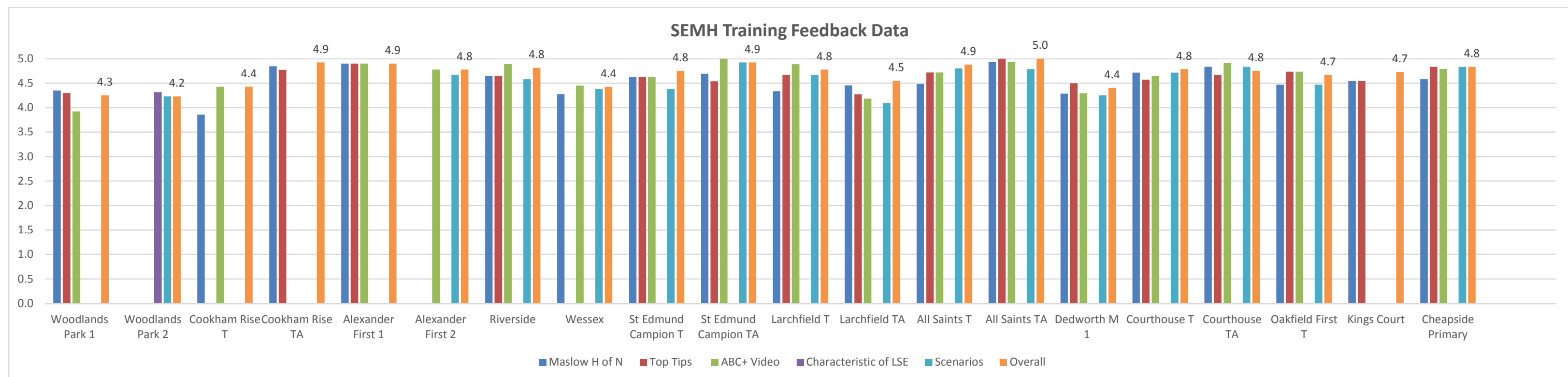
- **Secondary schools**  
A pilot scheme supporting 2 secondary schools will take place in 2019/20 to establish the most effective way of delivering in the Secondary setting if this is agreed.
- **Corona impact**  
As schools focus on the emotional wellbeing of their pupils and staff following closures the service will be in position to provide advice and support.

## 7. **SUSTAINABILITY**

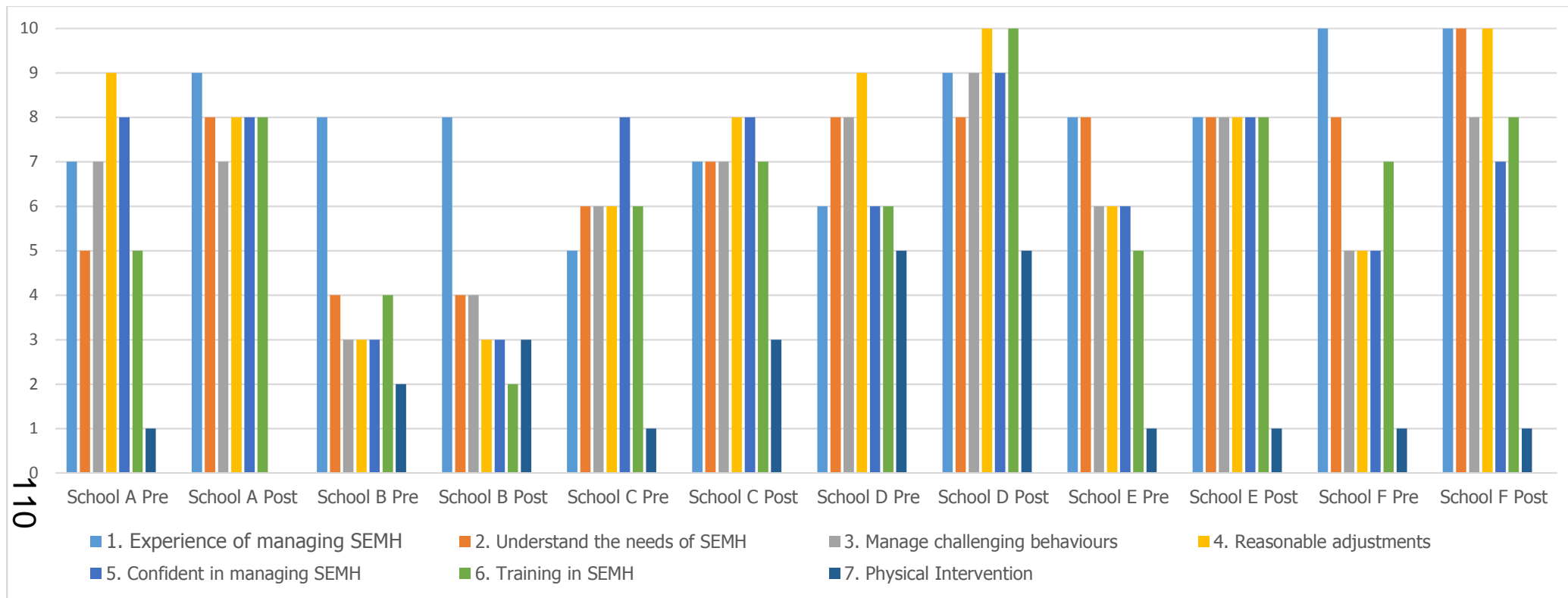
The SEMH Coordinator is working with the Schools Leadership Development Manager creating a business model to enable the service to be sustainable in the long term.

Training info							
School	Attendees	Date	Delivery	School	Attendees	Date	Delivery
Woodlands Park 1	20	11/09/2019	Twilight	Cheapside	24	06/01/2020	Inset 2hr
Woodlands Park 2	13	16/10/2019	Twilight	Larchfield T	9	08/01/2020	Twilight
Cookham Rise T	7	17/10/2019	Twilight	Larchfield TA	11	08/01/2020	1¼ hr
Cookham Rise TA	13	17/10/2019	1½ hr	All Saints T	25	15/01/2020	Twilight
Alexander First 1	10	22/10/2019	Twilight	All Saints TA	14	15/01/2020	1½ hr
Kings Court	11	24/10/2019	Twilight	Dedworth Middle 1	28	21/01/2020	Twilight
Riverside	48	06/11/2019	Inset 2hr	NQTs + LM	19	30/01/2020	2½ hr
Wessex	40	22/11/2019	Twilight	Courthouse TA	12	03/03/2020	1½ hr
St Edmund Campion T	8	20/11/2019	Twilight	Courthouse T	14	03/03/2020	Twilight
St Edmund Campion TA	13	20/11/2019	1½ hr	Oakfield First T	15	04/03/2020	Twilight
Alexander First 2	9	02/12/2019	Twilight	Dedworth Middle 2	24	10/03/2020	Twilight
	<b>192</b>				<b>195</b>	<b>Total</b>	<b>387</b>

SEMH Training Feedback Data																				
School	Woodlands Park 1	Woodlands Park 2	Cookham Rise T	Cookham Rise TA	Alexander First 1	Alexander First 2	Riverside	Wessex	St Edmund Campion T	St Edmund Campion TA	Larchfield T	Larchfield TA	All Saints T	All Saints TA	Dedworth M 1	Courthouse T	Courthouse TA	Oakfield First T	Kings Court	Cheapside Primary
Maslow H of N	4.4		3.9	4.8	4.9		4.6	4.3	4.6	4.7	4.3	4.5	4.5	4.9	4.3	4.7	4.8	4.5	4.5	4.6
Top Tips	4.3			4.8	4.9		4.6		4.6	4.5	4.7	4.3	4.7	5.0	4.5	4.6	4.7	4.7	4.5	4.8
ABC+ Video	3.9		4.4		4.9	4.8	4.9	4.5	4.6	5	4.9	4.2	4.7	4.9	4.3	4.6	4.9	4.7		4.8
Characteristic of LSE		4.3																		
Scenarios		4.2				4.7	4.6	4.4	4.4	4.9	4.7	4.1	4.8	4.8	4.3	4.7	4.8	4.5		4.8
Overall	4.3	4.2	4.4	4.9	4.9	4.8	4.8	4.4	4.8	4.9	4.8	4.5	4.9	5.0	4.4	4.8	4.8	4.7	4.7	4.8







School Name	School A		School B		School C		School D		School E		School F	
Question	Pre	Post	Pre	Post	Pre	Post	Pre	Post	Pre	Post	Pre	Post
1. Experience of managing SEMH	7	9	8	8	5	7	6	9	8	8	10	10
2. Understand the needs of SEMH	5	8	4	4	6	7	8	8	8	8	8	10
3. Manage challenging behaviours	7	7	3	4	6	7	8	9	6	8	5	8
4. Reasonable adjustments	9	8	3	3	6	8	9	10	6	8	5	10
5. Confident in managing SEMH	8	8	3	3	8	8	6	9	6	8	5	7
6. Training in SEMH	5	8	4	*2	6	7	6	10	5	8	7	8
7. Physical Intervention	1	0	2	3	1	3	5	5	1	1	1	1
<b>Objectives achieved</b>		Yes		Yes		Yes		Yes		No		Yes

\* The SEMH training was not delivered until after the project

School evaluation takes place ½ term post intervention therefore 4 more school to complete.

## ROYAL BOROUGH OF WINDSOR & MAIDENHEAD SCHOOLS FORUM

<b>Date:</b>	16 <sup>th</sup> July 2020	<b>AGENDA ITEM: 9</b>
<b>Title:</b>	<b>Wellbeing Team and Behaviour Support Team Future Planning</b>	
<b>Responsible officer:</b>	Kevin McDaniel, Director of Children's Services	
<b>Contact officer:</b>	Rebecca Askew (Senior Educational Psychologist)	<b>Email:</b> rebecca.askew@achievingforchildren.org.uk

### 1 PURPOSE AND SUMMARY

1.1 The purpose of this report is to provide the Schools Forum with:

- The current and future service provision from the Wellbeing and Behaviour Support Teams based on local SEMH considerations and developments to support increasing SEMH need.
- The projected costs and income for the Behaviour Support Team and Wellbeing Team 2020-2021.
- Proposals for changes to the Wellbeing Team and Behaviour Support Team from academic year 2020-2021 onwards.

### 2 RECOMMENDATIONS

**Schools Forum is asked to note:**

2.1 Based on the current finance schools forum are asked to consider proposal 7.1. The additional proposals outlined (7.2-7.4) will be reviewed at a later date.



Champions for children and families



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### 3 The Wellbeing Team - Overview

- 3.1 The Wellbeing Team was set up in response to increasing concerns about the mental health and wellbeing of children & young people (C&YP) and was specifically identified by school audits as an area of need. The purpose of the team is to support children and young people and their families at the earliest stages to understand and effectively manage (where appropriate) mental health concerns. This was to ensure schools and other professionals feel supported with the aim to reduce the need to escalate to specialist services both in CAMHS and Social Care.
- 3.2 Support from the team is open to all children and young people in RBWM schools (5-18 years) with the exception of private schools. It was agreed that this team would offer both direct work such as consultation and initial assessment, time limited focused interventions, such as Cognitive Behavioural Therapy (CBT) informed strategies and group work/workshops with children and young people and indirect work such as training, Early Help meeting support and signposting.
- 3.3 During the last academic year members of the team have continued to support children and young people known to the PODS through the provision of Dyadic Developmental Therapy based consultations for 0.4fte. The team have continued to deliver preventative work: PPEPCare Training, the Wellbeing Champions programme, mental health training for specific services e.g. Young Carers and group sessions for parents/carers with a focus on managing their child's anxiety.
- 3.4 During this academic year two full time Wellbeing Practitioners left the team. The reasons for this were limited opportunity to progress within the current team structure and lack of children/young people's focused course options/funds for CBT Diploma (IAPT Higher Intensity) training whilst remaining with the Wellbeing Team. The only alternative for the practitioner being to leave RBWM Wellbeing Team and enrol on an NHS Recruit to Train programme. This has added further pressure to the Wellbeing Team this year with no reduction on referrals through the Early Help Hub or other group and whole school initiatives. Therefore, Early Help Hub wait times have increased.
- 3.5 There are currently six Wellbeing Practitioners in the Wellbeing Team:  
Counsellor 0.2 fte.  
Play Therapist 0.4fte  
Art Psychotherapist 0.4fte  
CBT Practitioners 1.4fte  
Dyadic Developmental Psychotherapist 0.5fte  
With the implementation of the Getting Help Teams from September 2020 there will be an additional 1.5fte of practitioner time (CBT) available to RBWM. The Getting help Wellbeing Practitioners are employed by Berkshire Healthcare Foundation Trust (BHFT) but will support within the Wellbeing Team using the Early Help systems.
- 3.6 The actual cost to run the Wellbeing Team is £120,000 per annum. The contribution from the PODS equates to a further income of £15,000 per annum.

## 4 The Behaviour Support Team - Overview

- 4.1 The Behaviour Support Team offers a broad range of individual, group and systems based support to schools, children/young people and their families in the borough. The service is freely accessible with no additional charge to maintained primary schools. Requests for individual pupil support can be accessed through the Early Help Hub, group work and training requests can be emailed directly to the team. Academies, middle and secondary schools can purchase any one of five package options at any point during the academic year with flexibility to tailor packages to meet the particular needs of the school. Multiple packages can be purchased to cover additional requirements.
- 4.2 During this academic year one full time team member left to pursue training to join a Mental Health Support Team in Wokingham and another team member retired. This has reduced the Behaviour Support staff capacity from 3.4fte to 1.8fte (two support workers).
- 4.3 The team have continued to deliver the Nurture programme but have had to scale back the offer of in-school transition work. However, recognising the increased need regarding transition support at the current time the Onwards and Upwards Summer Transition programme for vulnerable children about to enter secondary school is going to proceed with planning considerations taking into account safety measures and government guidelines.
- 4.4 The net budget for The Behaviour Support Team is approximately £50,000. Traded service buy back in 2019-2020 equated to £7,200 and for 2020-2021 will be £7,953.

## 5 Referral Rates and Wait Times

19/20	Social Care	EH	Social Care and Early Help	Not Known	Total EH Referrals	Total Cases progressed to Hub	Youth Service	Children's Centre	Wellbeing	Behaviour Support	Alt. Provision
May	19	5	18	25	67	45	4	3	9	2	2
April	22	8	25	27	83	55	12	6	15	5	0
June	14	4	24	31	78	54	22	1	9	3	1
Q1	36	12	49	58	161	109	34	7	24	8	1
July	30	6	47	51	139	63	12	7	9	8	2
Aug	18	4	17	9	49	28	5	10	3	1	0
Sept	7	6	35	21	70	37	5	21	1	0	1
Q2	55	16	99	81	243	128	22	38	13	9	3
Oct	22	18	27	42	109	77	13	14	15	9	2
Nov	19	11	38	36	119	84	12	14	10	2	0
Dec	23	8	50	33	103	59	10	11	10	3	0
Q3	64	37	115	111	331	220	35	39	35	14	2
Jan	30	6	50	17	115	87	4	10	1	2	2
Feb	38	5	57	12	102	59	9	12	13	2	0
March	34	9	65	22	118	75	19	20	11	6	0

Q4	102	20	172	51	335	221	32	42	25	10	2
20/21											
April 2020	32	1	85	13	112	73	15	23	10	2	3
May 2020	51	0	69	18	135	75	16	15	6	3	1

- 5.1 COVID-19 has further compounded team wait times, despite telephone check ins and online teletherapy sessions that have been delivered. This is for two predominant reasons: firstly, some children understandably do not want to engage by telephone or via online platforms and secondly, it is difficult to close cases during this period because of the limitation in generalising therapeutic strategies and therefore reliably evaluating a reduction in symptoms. There is currently a nine month wait for Dyadic Developmental Psychotherapy, an eight month wait for Counselling and a six month wait for Art Psychotherapy, Play Therapy and Cognitive Behavioural Therapy. In an effort to reduce Play Therapy wait times one practitioner will increase her fte from 0.4 to 0.6 from July 2020. The Wellbeing Team will also be supporting a PTUK volunteer Play Therapist for 0.2fte from September 2020.
- 5.2 It may also be useful to highlight that there is currently no further capacity at the No.22 Youth Counselling Service in Maidenhead although there is some capacity for additional referrals in Windsor. It was reported in May that there has been a noticeable increase in referrals for young people under 18yrs (40% of the wait list under 18yrs). There were 424 young people on the counselling wait list (May 2020) a reduction of 35%, this is largely due to greater client flexibility to attend online sessions. The breakdown of these cases by area is 201 RBWM and 39 Slough.
- 5.3 As of 30/06/20 the Wellbeing Team Practitioners are holding a total of 41 cases, there are 88 children/young people on the wait lists and 6 children/young people are currently being assessed prior to intervention. The Behaviour Support Team are holding a total of 18 cases with 27 cases on their wait list, there is currently a five month wait time for cases that have been triaged as lowest priority.
- 5.4 The cases for both teams have become more complex during the last couple of years, with referrals to the hub regularly outlining self-harm and an increase in reference to PTSD, OCD, risk of exclusion and incidences of aggressive behaviours towards parents, school staff and peers.

## 6 National and Local SEMH Considerations

- 6.1 There is a rising demand for social, emotional, wellbeing and mental health support. Waiting times for completion of triage within specialist CAMHS are increasing particularly for those young people who need non-urgent assessment and intervention. More than 36% of referrals to CAMHS CPE were found to not need specialist assessment and many of these cases are therefore referred through to Early Help in addition to requests from schools and other professionals e.g. Social Workers. However, CAMHS also refer complex cases to Early Help that often require long term intervention and/or higher intensity training, neither of which can be met by the Wellbeing Team within the Early Help process.

## 6.2 Impact of COVID-19

- Wider impact and scale of bereavement due to COVID-19 of family and others close to CYP – not the usual opportunity for grief.
- Heightened anxiety and emerging depression.
- Increased impact on vulnerable (already seen through lockdown) with increasing complex cases needing greater resource likely to continue alongside demand increases.
- Many CYP have not been referred (lower demand since lockdown) what will be likely impact of ‘pent up’ demand hitting the system once contact with key professionals returns.
- CYP have deferred existing intervention as online or telephone not preferred preventing good flow of YP through service – creating backlogs and it decrease effectiveness (maybe) due to waiting.
- Consequences of economic downturn, loss of jobs in families and communities and increasing effect of poverty on household mental health.
- Staff wellbeing and arrangements, anxiety/ fatigue, skill and confidence as returning to f2f arrangements or delivery with social distancing rules in place.

## 6.3 Pre-COVID prevalence data

The most up to date prevalence figures for England (NHS Digital, 2018) suggest:

- 12.8% (1 in 8) 5-19 year-olds have at least one MH disorder - this is 11.7% in the South East.
- Emotional disorders are most prevalent (8.1%) and have risen from previous figures.
- 7.2% experience an anxiety-based disorder; 2.1% a depressive disorder of 22.4% girls aged 17-19 have an emotional disorder.
- 4.6% have a behavioural or conduct disorder.
- Rates of MH disorders were 3-4 times higher in CYP with special educational needs, poor general health, parents experiencing MH difficulties, and in less healthy functioning families. Rates were slightly elevated in CYP in low-income households (figures on the number of CYP falling into these categories can be found on the DfE or Children's Commissioner websites).

## 6.4 PTSD

- The baseline prevalence rate for PTSD in the UK is approximately 3-4% - comorbidity with common MH difficulties is high (Fisher et al. 2015; Royal College of Psychiatry, 2013).
- Approximately 16% of CYP exposed to a traumatic event develop PTSD, rising to 25.2% for those experiencing an interpersonal trauma such as physical or sexual abuse/attack (Alisic et al. 2014).
- CYP with lower levels of social support, peri-trauma fear, social withdrawal, and poor family functioning post-trauma are at greater risk of developing PTSD (Trickey et al. 2012).

## 6.5 Potential Impact of COVID-19 on psychological/mental health in CYP: Research from Prior Pandemics

There is little research regarding the impact of prior pandemics on CYP MH. Sprang and Silman (2013) studied 398 parents and CYP in the worst affected areas of the US during the Avian Flu Pandemic. This was a self-selecting sample and based on parental report only.

- 1/3 CYP in social isolation or quarantine required MH services during or after the pandemic
- 30% CYP in social isolation or quarantine scored above cut-off on PTSD measures – average scores were four times higher than those not in isolation/quarantine.
- Parent and CYP PTSD symptoms were significantly associated with one another.

## 6.6 Research into the Impact of Social Isolation

Loades and colleagues (2020) have undertaken a rapid review of 63 studies into social isolation, quarantine, and loneliness, covering 51,576 CYP. Conditions of social isolation/quarantine varied. At the time of isolation and loneliness:

- CYP were 5.8 times more likely to score over clinical cut-offs for depression and 1.63-5.49 times more likely to score over clinical cut-offs for anxiety - rates were higher for females and older CYP.
- Isolation/Loneliness was also associated with suicidal ideation, self-harm, and eating disorder-related risk behaviours.

### Longer-term

- There is a clear association between social isolation/loneliness and MH up to nine years later - strongest association with depression.
- CYP in enforced isolation/quarantine were up to 5 times more likely to require a MH service.
- There is some tentative evidence that sleep moderates the link between social isolation and general anxiety, social anxiety and depression (Richardson et al. 2019), and that family connectedness reduces suicidal risk in socially isolated CYP (Hall-Lande et al. 2007). However, these studies were during "normal times" and the way social isolation was measured was limited.

## 6.7 Research into Bereavement

At present we do not have figures on the number of CYP likely to have been affected by bereavement during the current pandemic. Social distancing measures are likely to have affected CYP experiencing bereavements of any kind, not solely those related to COVID-19 (see Winston's Wish website).

- A large-scale longitudinal study in the Netherlands found the majority of CYP experiencing a family bereavement (parent/sibling) showed acute grief reactions including sleep problems, anger, irritability, and behaviour problems - however, 75-80% did not go on to develop MH problems (Stikkebroek et al. 2016).
- In the above study, there were 22% new cases of internalizing disorder post-bereavement compared to 5.5% in the non-bereaved group.
- A study comparing CYP experiencing the sudden death of a parent with non-bereaved CYP found high rates of PTSD and depression two-years post-bereavement even when pre-death factors were controlled for - no effect was found on anxiety (Pham, Porta & Beismesser, 2018).
- Interestingly, a small-scale study of CYP who had experienced parental death around three-months prior to the study found that CYP experiencing a sudden death showed lower levels of post-traumatic stress or maladaptive grief than those where the death was expected (Kaplow, Howell & Layne, 2014).

*Research information sourced from a paper shared with the Thames Valley MH Cell collated by Dr Gavin Lockhart, Consultant Clinical Psychologist: Clinical Lead CYP Mental Health, NHS England South East Clinical Delivery Network/Mental Health Cell, Health Education England, Kent, Surrey & Sussex. Victoria Sopp, Research Assistant, University of Sussex/Sussex Partnership Foundation Trust.*

- 6.8 There are wider roles for both the Behaviour Support Team and Wellbeing Team in relation to collaborative team support for bereavement and emotionally based school refusal (which is likely to increase). These are outlined in the Phase 3 Action Plan Menus of Support.

## 7 **Team Proposals:**

### 7.1 **Proposal 1 – Retention of experienced staff**

Development of a senior position within the Wellbeing Team.

The development of one Senior Post within the Wellbeing Team at Grade 7 (£33,018 - £36,613 1.0fte). An expression of interest has already been highlighted within the team and would require an increase 0.5fte to 0.7fte. The indicative incremental cost being £9,000 per annum inclusive of on-costs.

Responsibilities would include:

- Attendance at Early Help Hub
- Line management, staff training and team development plans
- Supervision and appraisals
- Intervention, project and evaluation monitoring
- Recruitment and induction
- Budget oversight

This will ensure that current management capacity is increased to allow for additional focus on strategic planning. This will be crucial for the development of mental health support through Social Care, both to enhance Social Workers understanding of mental health and available interventions in order to develop consistency in referrals. These developments are also required to reduce the overall expenditure to external providers through enhancement of mental health data sets in Social Care, conducting assessments of therapeutic need and increased scrutiny in panel meetings. In addition, there will need to be a further focus on the continued implementation and planning of the Getting Help Teams from September 2020 and the Mental Health Support Teams from January 2021.

### 7.2 **Proposal 2 – Increasing counselling capacity to minimise backlog of referrals and wait time**

Recruitment of an additional counsellor for two days per week at Grade 5 (£24,807 - £28,247 1.0fte). We currently employ a part time counsellor for 0.2fte (1 day a week).

Based on spend to date and last year's income, the services are unable to afford the additional Counsellor post at present.

### 7.3 **Proposal 3 – Integration of Teams**

Future consideration of integration of the Wellbeing Team and Behaviour Support Team into one service. There are complexities in carrying this forward due to the different funding streams.

### 7.4 **Future Consideration – Retention of staff**

Considerations regarding finance for additional training in High Intensity Cognitive Behavioural Therapy to ensure that we retain staff and that staff are suitably qualified to support high intensity casework e.g. cases where PTSD or OCD are of primary concern.

## 8 Developments to Support Strategic and Local SEMH Planning and Service Delivery

### 8.1 CReST Measurement Tool

The Systems Dynamic Measurement Tool has been created to help with planning within commissioning of Children and Young People's Mental Health Services. The online platform is freely available, easy to access, and combines modelling for both community and inpatient services. The tool is designed to enable a 'whole system' view, irrespective of the commissioning / funding route, the setting or the provider.

8.2 Further recovery and restoration planning is underway across East Berkshire.

8.3 There will be continued development of the early intervention offer as outlined in the Local Transformation Plan for Children and Young People's Mental Health (East Berkshire). This will help RBWM to realise the NHS Long Term Plan's ambitions and increase the number of children and young people accessing services.

### 8.4 Getting Help Teams

Service Manager – Sharon Brookes

Team Lead – Pauline Peters

Project Manager – Allison Bradshaw

Senior Clinical Supervisor/Therapist – Vacant Post (0.60wte)

Administrator – 0.50wte

Clinical Supervisor – Katie Brown (0.75wte) Triage of cases in SPA and Wellbeing Allocation Meeting

Recruit to Train – Amethyst Cunningham (1.0wte)

Qualified CWP – Bonnie Brittle (1.0wte)

Qualified CWP – Eleanor Cammegh (0.50wte)

### 8.5 Mental Health Support Teams

This is a new NHS-funded team (trained and recruited under this programme) of mental health support staff. They will:

1. Provide interventions for CYP with mild to moderate needs in schools and colleges across their patch,
2. Work with school or college staff – including designated mental health leads - to ensure mental health and wellbeing is supported as part of a 'whole school' approach.
3. Work as part of an integrated referral system with CYP mental health services
  - Each MHST consists of 7.5WTE to cover population of 8000 and 500 interventions
  - Prescribed function and interventions
  - Start working in schools RBWM schools from January 2021.

<b>Individual clinical</b> CBT-based interventions for Anxiety, Low mood, self harm PT Interventions for conduct problems Behavioural intervention	<b>Group clinical</b> For anxiety, low mood, social problems Mild conduct problems & managing ADHD Multi family groups based on social learning theory
Group low intensity – child & parent/carer workshops for anxiety, self harm, bullying, eating problems, behavioural problems	

The MHSTs will be employed by Berkshire Healthcare NHS Foundation Trust (Berkshire Healthcare) but will sit in, and form part of, LA Early Help teams working peripatetically in the cohort of selected education settings.

**Each team will consist of:**

	NHS Grade	Insert WTE
Admin		0.5
Education Mental Health Practitioners (EMHPs)	5	4
Supervisor/Practitioner	6	1.
Supervisors/higher level therapists	7	1
Team Leader	8a	0.5

### 8.6 Health and Wellbeing in East Berkshire Schools Survey

University of Oxford – Department of Psychiatry have over recent years been partnership working with colleagues in other areas - schools, local authorities and mental health services, to work out how best to support the mental health and wellbeing of children and adolescents. In 2019, they started an important survey of school pupils in Oxfordshire. Over 4000 pupils in 36 schools took part and they were able to share all relevant results with schools and services.

In partnership with researchers at the University of Oxford, we have been offered an exciting opportunity for schools in Berkshire to take part in this study for pupils aged 9 to 18 years (Years 5 to 13). This study - **Online Mental Health and Wellbeing Survey 2020** - will investigate school pupils' health and wellbeing by asking young people to log in anonymously to an online survey either at home, or when returned to school. This year's survey has been tailored so that it is relevant to the current COVID-19 challenges and is **funded by a University of Oxford COVID-19 Research Response Fund** so schools can take part at no cost.

The aim of the survey is to help **inform schools and local services across health, education and social care of how lockdown is impacting pupils**, and includes questions to address how the pandemic has impacted both mental wellbeing and learning. Schools will be given their own results from July 2020 and will be able to login to the data online, to compare themselves to the county average from this year (but will not be able to identify other schools), to generate automatic reports (e.g. for Ofsted), and to identify areas where pupils most need support. Additionally the survey can be used for more strategic planning across Health, Education and Social Care.



There are currently 19 schools in RBWM signed up to take part in the study.

## 8.7 Wellbeing Champions

The Wellbeing Champions programme will continue next year with both staff and Wellbeing Champions being supported by the Wellbeing Practitioners. The aim of the Wellbeing Champions programme is to raise awareness and knowledge of positive mental health and to create an open, supportive culture around mental health in schools. The objectives are as follows:

- To equip students with knowledge and understanding on emotional wellbeing during a one day training workshop.
- To encourage students to tackle stigma and discrimination by raising awareness of emotional difficulties and inform peers about how to look after themselves and others.
- To empower students to develop anti-stigma campaigns that will be rolled out in their school with the support of a lead member of staff.

## 8.8 The Nurture Group Programme

8.1 Nurture groups are an effective, inclusive evidenced based nationally recognised intervention for children with social, emotional and behavioural difficulties (SEBD). This intervention addresses these difficulties in the context of attachment theory, and considers the challenging early experiences that may underlie these difficulties. They aim to provide a safe, encouraging environment to support social and emotional development at the same time as giving the child the opportunity to access the curriculum in a way that is developmentally appropriate to them. The intervention aims to equip children to cope with the social and cognitive demands of the mainstream classroom so they can re-join their peers full time.

8.2 Nurture groups are typically an in-school intervention, facilitated by at least two members of teaching staff. In a classic Nurture Group model the child/young person would attend the nurture group for the majority of their school week, gradually moving towards re-integration into the main classroom. The Behaviour Support Team currently provide a package of training and quality assurance support for schools to set up and run their own Nurture Groups.

8.3 The intended outcome of Nurture groups is to see an improvement in skills related to capacity for learning and a reduction in behaviours indicating underlying social or emotional difficulties. Successful movement towards these outcomes is measured using the Boxall Profile; an assessment tool completed by the young person's class teacher. *The cost of a pupil with social/emotional difficulties being provided with just one of the many additional educational resources during their school careers (from year 3 to year 12) will cost the education system at least twice as much as it would by addressing those difficulties through effective Nurture Group provision before the start of Year 3 and considerably higher than this if the child has to attend an alternative provision and/or attend a special school. Existing evidence estimates the additional costs to families and educational and social services of children with anti-social behaviour as ranging from £5,960 to £15,282 per year. This would suggest that investment in*

*a Nurture Group provision is likely to pay for itself after just two years for each child whose problem behaviour is reduced to the normal range.*

- 8.4 The Behaviour Support Team currently support 14 schools across RBWM with the implementation and running of their Nurture Groups. The income from this programme last year was £6,910. The Behaviour Support Nurture programme Package consists of the following:
- Nurture Practitioner Training (at least two members of staff per school)
  - Twilight Training (whole school)
  - Termly Nurture Hubs
  - Nurture You 2 Check ins – Quality Assurance
  - Annual half day conference
- The Behaviour plan to enhance their nurture offer next academic year to include Whole School Nurture practice. This will complement the work of the Virtual School in offering the AfC Virtual School, Attachment Aware Schools Award 2020-21. However, this preventative work will necessitate a quicker reduction in Behaviour Support Team wait times and a filtering of future referrals received through the Early Help Hub.

#### 8.5 **Transitions Support**

There will also be increased need for the Behaviour Support transitions work for the remainder of this academic year and into 2020-2021. This is included in the Phase 3 Action Plan Menus of Support. The Behaviour Support Team have already produced transition guidance for schools, have offered advice at the SENDCo cluster meetings and are currently planning the Onwards and Upwards programme for this summer with due consideration of health and safety measures.

## Appendices

### Appendix 1: Mental Health Support Teams

The 2017 [Green Paper for Transforming children and young people's mental health](#) set out proposals to improve mental health support in schools and colleges. The Department of Health and Social Care and the Department for Education published its [Response to the Children and Young People's Mental Health Green Paper Consultation](#).

The three key elements of the Green Paper being implemented are:

1. every school and college will be encouraged to appoint a Senior Mental Health Lead (lead DfE)
2. **creating community-based Mental Health Support Teams, helping children and young people in schools and colleges (lead NHS E)**
3. pilots in a small number of areas to test the feasibility of achieving and maintaining a 4-week waiting time for NHS children and young people's mental health services (lead NHS E)

#### How is this programme funded?

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- Health Education England: Provide all training and salary support costs for the new roles and supervisor training during year one for the Mental Health Support Teams
- NHS England: Provide all project initiation and implementation costs, pay and non-pay costs for the Mental Health Support Teams
- Department for Education: Provide funding for Senior Mental Health Lead Training

The new Mental Health Support Teams are fully funded. Funding will be allocated to CCGs, once accepted as a trailblazer site.

#### What are the functions of the Mental Health Support Teams (MHSTs)?

MHSTs will have three core functions

- 1) To deliver evidence-based interventions for mild to moderate mental health issues, alongside existing provision such as counselling, educational psychologists and school nurses. This will build on the menu of support already available and will not be replacing it.
- 2) To support a Senior Mental Health Lead in each education setting to introduce or develop a whole school or college approach.
- 3) To give timely advice to school and college staff and liaising with external specialist services to help child and young people get the right support and stay in education.

#### What will the Mental Health Support Teams look like?

## Education Mental Health Practitioners (EMHP)

Each MHST will have 4 Education Mental Health Practitioners, who will support a pupil population of up to 8,000. Their role will be to deliver evidence-based interventions for mild to moderate mental health issues through:

- **Face to face work:** for example, effective brief, low-intensity interventions for children, young people experiencing anxiety, low mood, friendship difficulties and behavioural difficulties.
- **Group work:** for pupils or parents such as drop ins, and group Cognitive Behavioural Therapy for young people for conditions such as self-harm and anxiety.
- **Group parenting classes:** to include issues around communication difficulties.

The teams will also equip and support schools to do more on mental health by:

- Working with Senior Mental Health Leads and existing service providers, to map what provision is already in place and where opportunities to improve are.
- Training education staff through support and consultation on whole class approaches, to issues such as bullying.

An important function of this role is also to ensure that children and young people are supported to get the right help when they need it as quickly as possible through integrated working with specialist Children and Mental Health Services.

## Higher level therapist

Each MHST will be supported by senior level therapists who will act/train as their supervisors throughout their year of training, and once the team becomes fully operational.

## Team manager

Each MHST will be managed by a team manager/lead that will oversee the day-to-day operational aspects of the service and will be supported by a dedicated administrator.

## What is the commitment from educational settings?

Educational settings will be required to commit to:

- Providing a name of a senior lead/point of contact who would work with the project team in setting up the MHST.
- Supporting and enabling a whole school approach to mental health and wellbeing.
- Involving children and young people and their families/carers in the design and set-up of the teams.
- Engaging fully with the monitoring and evaluation requirements, including taking part in a benchmarking survey on the support currently available in your setting.

- Recognising that the MHST workforce will complement, rather than substitute for existing support and therefore committing to not reducing any existing pupil support/pastoral care.
- Supporting EMHPs in their training year, where it is possible to do so.

### What is the role of the Senior Mental Health Lead?

#### All schools that are part of the programme will need to commit to having a named Senior Mental Health Lead

The Senior Mental Health Lead will:

- Oversee the help the school gives to pupils with mental health problems
- Help staff to spot pupils who show signs of mental health problems
- Offer advice to staff about mental health
- Refer children to specialist services if they need to

125 All education settings will also be offered the opportunity to enhance the skills and experience of the education senior lead through fully funded Senior Mental Health Lead training commissioned by the Department for Education. The learning outcomes of the training closely align to Public Health England’s ‘eight principles for promoting a whole-school approach to emotional health and wellbeing’.

They will also need to commit to fully engaging with the MHSTs and work with the CCGs and project team to plan for implementation. Consultation with schools suggests that to operate effectively, leads ideally are part of the senior leadership team or with express senior endorsement. The lead will be required to commit towards achieving the key aims and principles of the programme, including:

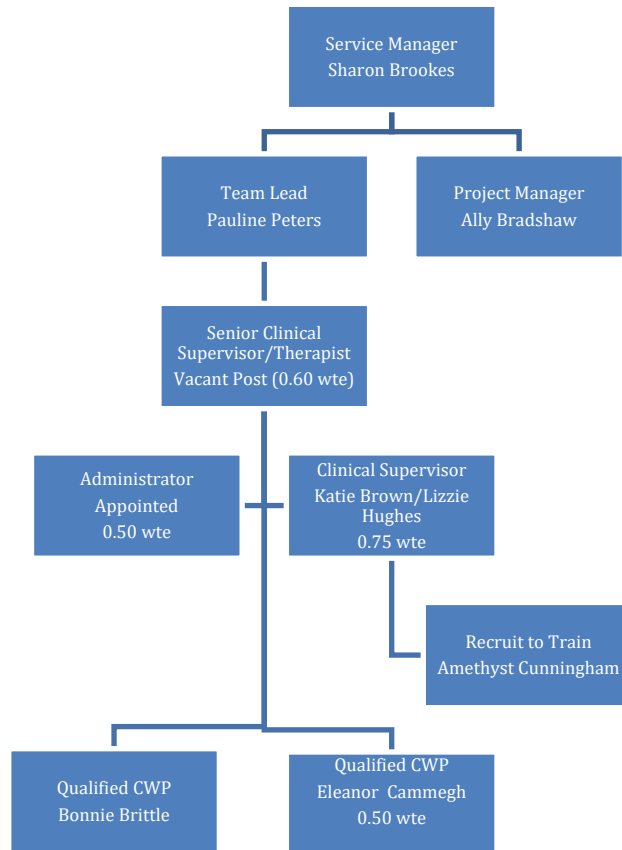
- Sharing best practice and lessons learnt.
- Engaging fully with the monitoring of the programme to help inform future rollout
- Support the MHSTs engagement and fit with statutory roles in the school including the SENCO, Designated Safeguarding Lead, Designated Teachers for Looked-After and Previously Looked-After Children.

### Additional Information

The multiagency [Local Transformation Plan For Children and Young People’s Mental Health and Wellbeing](#) (Oct 19 – Oct 2020) sets out further information about a wider programme of local transformation.

Further plans for the development of children and young people’s mental health care are detailed in the [NHS Long-Term Plan](#)

## Appendix 2: Getting Help Teams Structure Chart



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## Appendix 3: Health and Wellbeing in East Berkshire Schools Survey

### A bit about the survey:

- Measures the wellbeing (Health and Happiness) of Children and Young People.
- Asks questions about life style and school life, factors assessed in the survey include mental wellbeing, anxiety, indicators of vulnerability, sleep patterns, online safety, protective factors such as exercise and healthy eating, and attitudes to accessing mental health support.
- Is for pupils in years 4 -13, there are 3 age-matched versions (years 4-7, years 8-11, years 12-13).
- The Primary, Secondary, and the Year 12/FE surveys differ slightly and are **age appropriate, approved by the University of Oxford Research Ethics Committee**.
- The survey is anonymous and designed to be engaging and easy for pupils to use, takes most pupils **about 30 minutes** and can be comfortably fitted into a (remote or in-school) lesson period.

The aim of the survey is to help **inform schools and local services across health, education and social care of how lockdown is impacting pupils**, and includes questions to address how the pandemic has impacted both mental wellbeing and learning. Schools will be given their own results from July 2020 and will be able to login to the data online, to compare themselves to the county average from this year (but will not be able to identify other schools), to generate automatic reports (e.g. for Ofsted), and to identify areas where pupils most need support. Additionally the survey can be used for more strategic planning across Health, Education and Social Care.

This lockdown survey is part of a study that has been approved by the University of Oxford Research Ethics Committee. Details can be found on the following website: <https://www.psych.ox.ac.uk/research/schoolmentalhealth>

## Appendix 4: Phase 3 Action Planning Menus of Support

### Well-Being

#### Prior to pupils returning/ongoing support

- Check in with early help cases via email or telephone depending on RAG rating
- Completion of assessments and teletherapy online linking with other Inclusion/Early Help teams to coordinate support/contact. Google form to gather feedback/evaluate sessions
- Consultation for staff, providing them with a space to discuss their own needs/ feelings and concerns (delivered virtually by video link/telephone call)
- Telephone calls to conduct risk assessments of both Early Help and Social Care cases.
- Provision of online and telephone Social Care consultations regarding therapeutic support.

#### Within first 2-3 weeks of return

- Supporting children, young people and their families/carers specifically regarding transition if mental health is impacted.
- Supporting contact with children, young people and their families/carers regarding emotionally based school refusal and those with CAMHS involvement - linkage with EP/EWO team and Clare R.

#### Longer term

- Primary and Secondary online check in and training with teachers supporting Wellbeing Champions trained this year.
- Provision of telephone and online Social Care consultations regarding therapeutic support.
- Video training considerations related to mental health and wellbeing. Educational Psychology team and Wellbeing team to link directly with Education Welfare Officers to support and guide for the delivery of anxiety sessions.
- Offer a 3-way conversation between a young person/parent, EWO and a well-being practitioner' and ' Well-being and Education Welfare Officers to work closely around managing parent and pupil anxieties going forward. '
- Wellbeing Practitioner involvement in ELSA supervision sessions - linking with EP supervisor.
- Group reflective supervision to be offered by Educational Psychology/Well-being Services to Education Welfare Services.
- Continued coordination and communication to teams and schools with regard to Getting Help teams development and the Mental Health Support Teams planning.
- Face-to-face individual/group work to be resumed with agreement from schools and families following the latest school COVID health & safety guidelines.



## Behaviour Support

### Prior to pupils returning/ongoing support

- Supporting schools and pupils remotely by telephone or video with considerations regarding transitions - building upon the Embracing Change document. Link with SENDCo cluster meetings.

### Within first 2-3 weeks of return

- Nurture Hub check ins and communication to prepare Nurture Practitioners for return - focus on Whole School Nurturing approaches.
- Coordinate an online schools forum across school age phases to share practice regarding transition support - if a traded school this will be coordinated via consultation with other teams e.g. EWOs.

### Longer term

- Delivery of an online Nurture Network (in place of the Nurture Conference) with a focus on whole school nurture approaches.
- Moving on up programme delivered as a consultation with staff in maintained schools extending support to parents/carers where relevant/required.
- Onwards and Upwards year 6 delivery - prioritising referrals from Early Help and Social Care with transition being the predominant concern.
- Face-to-face individual/group work to be resumed with agreement from schools and families following the latest school COVID health & safety guidelines.

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