

# Agenda

## SCHOOLS FORUM

**Date:** Tuesday 27 September 2016  
**Time:** 2.00 pm  
**Venue:** Knight Hall (Main Room 2), The Coach House,  
Green Park, Aston Clinton

*Reminder - If you are unable to attend a meeting, please send a substitute from the sector you represent.*

<b>Agenda Item</b>	<b>Time</b>	<b>Page No</b>
<b>1 ELECTION OF CHAIRMAN</b>	<b>14.00</b>	
<b>2 APPOINTMENT OF VICE CHAIRMAN</b>		
<b>3 ELECTION OF SCHOOLS FORUM FUNDING GROUP MEMBERS</b>		
<b>4 APOLOGIES FOR ABSENCE / CHANGES IN MEMBERSHIP</b>	<b>14.15</b>	
<b>5 DECLARATIONS OF INTEREST</b> To disclose any Personal or Disclosable Pecuniary Interests		
<b>6 MINUTES OF THE MEETING</b> To confirm the minutes of the meeting held on the 21 June 2016		<b>5 - 16</b>
<b>7 MATTERS ARISING</b>		
<b>8 SCHOOLS FUNDING STRATEGY - FOR INFORMATION</b> Update from Nick Wilson, Service Director Education on the Schools Funding Strategy and the following: <ul style="list-style-type: none"><li>• Education Services Grant</li><li>• High Needs and Growth Fund pressures</li><li>• Fairer Funding Formula</li></ul>	<b>14.30</b>	

<b>9</b>	<b>SEND REVIEW - FOR INFORMATION</b> Update from Nick Wilson, Service Director Education	<b>14.50</b>	
<b>10</b>	<b>EARLY YEARS FUNDING CONSULTATION - FOR INFORMATION</b> Update from Jane Nicholls, Commissioner - Early Years and Childcare  <i>Papers</i> <ul style="list-style-type: none"> <li>• Early Years National Funding Formula (EYNFF) Consultation</li> <li>• Early Years National Funding Formula illustrations</li> </ul>	<b>15.10</b>	<b>17 - 24</b>
<b>11</b>	<b>CHANGES IN THE NATIONAL APPRENTICESHIPS SCHEME AND THE IMPACT ON SCHOOLS - FOR INFORMATION</b> Update from Emma Wilding, Senior Accountant  <i>Paper attached:</i> <ul style="list-style-type: none"> <li>• Changes in National Apprenticeships Scheme and Impact on Schools</li> </ul>	<b>15.20</b>	<b>25 - 28</b>
<b>12</b>	<b>CHARGES FOR PERMANENTLY EXCLUDED PUPILS - FOR DECISION</b> Update from Laura Nankin, Head of Fair Access and Youth Provision  <i>Paper attached:</i> <ul style="list-style-type: none"> <li>• Charges for Permanently Excluded Pupils</li> </ul>	<b>15.25</b>	<b>29 - 34</b>
<b>13</b>	<b>SCHEME FOR FINANCING SCHOOLS - FOR DECISION</b> Update from Emma Wilding, Senior Accountant  Papers attached: <ul style="list-style-type: none"> <li>• Changes to the scheme for Financing Schools</li> <li>• Draft Scheme for Financing Schools</li> <li>• Consultation responses</li> </ul>	<b>15.35</b>	<b>35 - 108</b>
<b>14</b>	<b>CONTINGENCY GROUP UPDATE</b> Update from Michael Moore	<b>15.45</b>	
<b>15</b>	<b>F40 UPDATE</b> Update from Zahir Mohammed, Cabinet Member for Education and Skills	<b>15.50</b>	

**16 DATE OF NEXT AND FUTURE MEETINGS**

**15.55**

The next meeting will take place on Tuesday 18 October 2016, 2pm, Green park, Aston Clinton.

***Future meeting dates for 2016***

29 November

---

If you would like to attend a meeting, but need extra help to do so, for example because of a disability, please contact us as early as possible, so that we can try to put the right support in place.

*For further information please contact: Sharon Griffin on 01296 383691, email: [sgriffin@buckscc.gov.uk](mailto:sgriffin@buckscc.gov.uk)*

## **MEMBERSHIP:**

### **Headteachers**

**Roger Burman, The Aylesbury Vale Academy  
Karen Collett, Haddenham St Mary's Church of England School  
Olwyn Davison-Oakley, Seer Green Church of England School  
Katherine Douglas, Brookmead School  
Karen Duckworth, Padbury CE School  
Janice Freeman, King's Wood School & Nursery  
Andy Gillespie, Burnham Grammar School  
David Hood, Cressex Community School  
Owen Lloyd, Iver Heath Junior School  
Kevin Patrick, Chiltern Hills Academy  
Rebecca Richardson, Haddenham St Marys School  
Alan Rosen, Aylesbury High School  
Debra Rutley, Wycombe Grange PRU  
Sue Skinner, Bowerdean School  
Steven Sneesby, Kite Ridge House PRU  
Kathryn Tamlyn, Cheddington Combined School**

### **Governors**

**Pete Rowe, Princes Risborough School (Chairman)  
John Bajina, Parent Governor, Secondary Sector  
Gaynor Bull, Haddenham St Mary's Church of England School  
Angela Coneron, The Vale Federation of Special Schools  
Simon Kearey, Great Kingshill Church of England School  
Andrew Nobbs, Ashmead School  
Katy Simmons, Cressex Community School  
Peter Ward, Chilternway Academy**

### **Representatives**

**Fiona Brooks, St Mary's Pre-School  
Claudia Glasgow, NASUWT  
Lindsey Grexhammer, Bucks NUT  
Michael Moore, Catholic Diocese of Northampton  
Wendy Terry, Manor Farm Pre-School**

# Minutes

## SCHOOLS FORUM

**MINUTES OF THE MEETING OF THE SCHOOLS FORUM HELD ON TUESDAY 21 JUNE 2016 IN KNIGHT HALL (MAIN ROOM 2), THE COACH HOUSE, GREEN PARK, ASTON CLINTON, COMMENCING AT 2.00 PM AND CONCLUDING AT 4.20 PM**

### PRESENT

Headteachers	Mr P Rowe (Vice-Chairman) Mr D Hood Ms O Davison-Oakley Mr A Rosen Mr S Sneesby Ms S Skinner Mr K Patrick Mr A Gillespie Miss K Douglas Mr O Lloyd Ms J Freeman Ms K Tamlyn Mr R Burman Ms S Stamp Mr M Keen	Princes Risborough School  Cressex Community School Seer Green Church of England School Aylesbury High School Kite Ridge House PRU Bowerdean School Chiltern Hills Academy Burnham Grammar School Brookmead School Iver Heath Junior School King's Wood School & Nursery Cheddington Combined School The Aylesbury Vale Academy Bernwood Liaison Group Aspire
Governors	Mr S Kearey Ms A Coneron Dr K Simmons Mr J Bajina Mr P Ward	Great Kingshill Church of England School The Vale Federation of Special Schools Cressex Community School Parent Governor, Secondary Sector Chilternway Academy
Representative	Fiona Brooks Ms W Terry	St Mary's Pre-School Manor Farm Pre-School
In Attendance	Mr Z Mohammed	
Officers	Mr J Huskinson, Ms E Wilding, Ms A Sayani, Ms S Griffin, Ms J Nicholls, Mr N Wilson, Ms P Richardson, Ms G Shurrock and Ms K Byrne	

## **1 APOLOGIES FOR ABSENCE / CHANGES IN MEMBERSHIP**

Apologies for absence were received from Mrs D Rutley, Mrs K Collett, Mrs G Bull, Mr A Nobbs, Mr M Moore and Mrs K Duckworth.

Mrs S Stamp substituted for Mrs K Duckworth, Mr M Keen substituted for Mrs D Rutley.

### *Changes in Membership*

Subsequent to the recent elections the following had been duly elected as Members of Schools Forum for a period of three years:

Mr D Hood, Headteacher, Cressex Community School  
Mrs J Freeman, Headteacher, King's Wood School  
Mrs K Tamlyn, Headteacher Cheddington School  
Mr R Burman, Executive Principle, Aylesbury Vale Academy  
Mrs K Duckworth, Headteacher, Padbury CofE School  
Mr S Kearey, Governor – Great Kingshill CofE School  
Mr J Bajina, Governor, Sir William Ramsay School  
Mr P Ward, Governor, Chiltern Way

The Chairman thanked Mrs S Hartley, Mrs S Stamp, Mrs T Haddon, Mr D Letheren and Mr A Ogden for the work they had undertaken on behalf of Schools Forum.

## **2 DECLARATIONS OF INTEREST**

Mrs K Simmons and Mr D Hood declared an interest in Item 9, the Contingency Panel update, due to their involvement in the Cressex contingency bid being considered by the Panel.

Mr S Kearey declared an interest as he was a member of the Chiltern Clinical Commissioning Group.

## **3 MINUTES**

The minutes of the meeting held on 3 May 2016 were agreed as a correct record.

## **4 MATTERS ARISING**

The matters arising from the last meeting would be addressed under the relevant agenda items for the meeting.

## **5 BUSINESS CASE FOR CHILDREN'S THERAPIES RECOMMISSIONING**

Kerri Byrne, Children and Young People's Commissioner was welcomed to the meeting.

Ms Byrne highlighted the following key points from the report:

- Children and Young People's therapy services (speech and language therapy, occupational therapy and physiotherapy) were jointly commissioned by the local authority and Aylesbury Vale and Chiltern Clinical Commissioning Groups
- Occupational therapy and physiotherapy were provided by Buckinghamshire Healthcare Trust and speech and language therapy is provided by Oxford Health NHS Foundation Trust.
- The three services are currently run separately in terms of teams, contracts and financially. The best model would be a single, integrated service for those accessing two or more parts of the service in order for the best experience and pathway of care. This was particularly important for those children accessing all three therapy services.
- Parents said separate services resulted in a duplication of work and confusion about the care pathway.
- Therapy services were provided for children with special educational needs and disabilities.
- One of the key points of the service was to work with the child in school to keep them in mainstream schools and increasing inclusivity, capacity and confidence of the schools and so reduce the pressure on high needs block funding.
- A significant amount of money had been saved over the course of the current contracts.
- Combining these services would result in greater resilience and the ability to mitigate against the increasing demand to some extent.

In response to questions raised, the following was noted:

The integration of the speech and language therapy, occupational therapy, and physiotherapy services would result in better communication and working together. The speciality of the service would not be lost; there would continue to be specialists in each therapy area but there could also be some cross-therapy roles which would increase capacity.

The number of EHCP statutory assessments has increased by 43% in Bucks against an increase of more than regionally or nationally. This was putting additional pressure on the current services.

The factors considered as part of the commercial strategic options appraisal (4.1 of the report) were not in any particular order/priority.

A long contract term (5 years plus option to extend) was recommended to allow time for the service to settle and start delivering outcomes before the next re-tendering process, and incentivise providers to put effort and investment into the service. Learning from other areas suggested it took a minimum of 18 months to achieve complete service transformation of this scale. This also follows the precedent of other recently recommissioned large scale services.

Consultation was taking place with Members of Schools Forum to advise them of the direction of travel of the service as the majority of the contribution from Buckinghamshire County Council comes from the high needs block.

One of the most important factors was to provide the core services. The specification for the service could include the ability for schools to purchase additional provision from the new service in order to support a whole-school approach to creating communication-friendly environments and looking at the needs of the whole school population.

**Members of Schools Forum were in AGREEMENT IN PRINCIPLE to the integration of services and the recommendations set out in the business case.**

Concern was noted about the financial commitment of 5 years and the management of a reducing high needs block budget.

## **6 SEND REVIEW UPDATE**

Gill Shurrock, Head of SEND and Penny Richardson, SEN consultant were welcomed to the meeting.

Members of Schools Forum were taken through a presentation (attached) giving details of the interim feedback of the SEND review, during which the following key points were highlighted:

- One of the main reasons for the SEND review was that the current SEND strategy ended in July 2016 and that an updated Strategy that reflected current challenges and priorities was needed to steer SEND development over the next 3-5 years. Another key driver was the trend in spend against the high needs block that was a pressure well known to the Schools Forum.
- The review had involved extensive dialogue with stakeholders, including parents, children and young people, school leaders and support services staff over the spring and first part of the summer term.
- Today's presentation of Interim Findings explained the challenges of Threshold Management and Resource Pressures, both key areas of focus of the review. The review has dealt with the interface of the statutory SEND process and its relationship with and impact on SEND funding.
- The datasets considered by the review have not included qualitative data, such as the quality of education received by children with SEND. This goes beyond the scope of this particular review.

The presentation made to the Schools Forum is attached to these minutes.

The Director of Education reinforced the point that the local authority had statutory duties and informed members of both a projected overspend of £2-3m and increasing cost base to assist specific children.



Members were advised by the Director that the first stage of the SEND review had looked at data and research and that the next stage would be to determine the direction of travel following the Review. In terms of a redesign of services, a whole system approach of the assessment and planning process would be taken and consistency applied across all phases in order to address the current fragmentation of services.

During discussions, members of the Schools Forum commented on:

- Low levels of confidence in pre-school settings about provision for children with SEN on transfer to school, and that this was a key reason for requesting extra help through an EHC Plan
- Bucks was poorly funded in comparison with its statistical neighbours making it difficult to employ staff in SEN support roles and to carry out work schools would like to undertake.
- It would be helpful to see a comparison of the number of students excluded in schools in different areas of Bucks i.e. Wycombe and Aylesbury Vale.
- The requests for top up funding had increased as current funding did not cover the cost of the necessary staffing and schools did not have access to services they used to.
- Inclusive schools had to be able to provide for the needs of their pupils which was not always possible within the current funding envelope.

## **7 CHANGES TO THE SCHEME FOR FINANCING SCHOOLS**

Members were referred to the report which gave details of the changes to the Scheme for Financing Schools to bring it in line with the latest guidance from the Department of Education and which set out the financial relationship between the authority and maintained schools and contained requirements to financial management and associated issues.

Members were advised that there had been one update to the admission appeals since the paper had been circulated which had been updated on the Schools Bulletin version of the document.

Mrs E Wilding explained that at this stage the paper was for information only as the details of the new scheme and changes had been sent to all schools and governors via Schools Bulletin for consultation. Members were advised that the closing date of the consultation was the 21 July 2016;- the comments received would be summarised and presented at the next Schools Forum meeting for agreement following which the new document would be published on the BCC website.

### **ACTION**

**The statutory and optional requirements from the DfE would be clarified in the report – Mrs E Wilding**

## **8 SURPLUSES AND DEFICITS AT 31ST MARCH 2016**

Members were referred to the Surpluses and Deficits report which showed the state of the schools maintained by the local authority in terms of their balances as at 31 March 2016 and which were reported annually to Schools Forum.

Members were advised of the following:

- There were more schools in surplus this financial year (174 compared to 166 in 2014-15) and the total amount of surplus was £16,303,827 compared to £13,290,825 in 2014-15.
- 62 primary schools, 2 secondary schools, 3 special schools and no PRUs increased their surplus by 30% or more from 2014-15 to 2015-16.
- 15 primary schools, 1 secondary school, no special schools and 1 PRU reduced their surpluses by 30% or more from 2014-15 to 2015-16.
- 9 schools had a budget surplus in excess of 15% for 5 years or more. These schools would be asked to provide an explanation for the surplus.
- Deficits would also be looked at in conjunction with Bucks Learning Trust colleagues.

### **ACTION**

**A letter would be sent to the Regional Commissioner expressing concern about the anomaly in legislation which did not give enough contingency for current risk - Chairman.**

**Members of Schools Forum NOTED the state of the maintained school balances and AGREED that further analysis would be brought to Schools Forum Funding Group.**

## **9 CONTINGENCY GROUP UPDATE**

Members of Schools Forum received the following update.

- The Contingency Group should have met on a termly basis but unfortunately had not met this term due to the Chairman being unable to attend the meeting.
- The appeal process used by other authorities had been looked into. The findings were that various models were used; some authorities did not have a contingency fund; in some local authorities officers dealt with this process.
- The appeal panel concept existed in some local authorities.
- There was no appeal structure currently in place in Bucks which resulted in a complex process when legal issues arose.
- Legal clarification of the Contingency Panel and Appeal structure for Bucks was still awaited.
- Due to the expiration of the term of membership of some Members of Schools Forum and subsequent elections, new representatives were needed on the Contingency

- Group.
- A virtual meeting would be arranged if it was not possible to arrange a physical meeting before the end of term.
  - The current appeal process around the Cressex contingency bid would be considered by the newly convened panel.

The membership of the Contingency Group was confirmed as follows:

- Mr M Moore
- Mrs K Douglas
- Mr D Hood
- Mr J Bajina
- Mr S Sneesby
- Mrs J Freeman

## **10 F40 UPDATE**

The Cabinet Member for Education and Skills gave the following update.

- The f40 group had not met since May 2016 and the meeting scheduled for Saturday 25 June had been cancelled.
- The f40 group had been lobbying the DfE about the second stage of the Schools National Funding Formula consultation.

## **11 NATIONAL EDUCATION POLICY DISCUSSION**

This item was deferred as publication of the second part of Schools National Funding Formula was awaited.

## **12 ANY OTHER URGENT BUSINESS**

The Chairman advised that Mrs Davison-Oakley would be retiring at the end of the summer term and that an election would take place for an Academy Primary representative. Thanks were given to Mrs Davison-Oakley for the work she had undertaken on behalf of Schools Forum.

The Chairman explained that due to changes in membership there was a vacancy on the Schools Forum Funding Group. Mrs K Tamlyn was subsequently confirmed as a member of the Schools Forum Funding Group.

## **13 DATE OF NEXT AND FUTURE MEETINGS**

The next meeting will take place on Tuesday 27 September 2016, 2pm, The Knight Room, The Coach House, Green Park, Aston Clinton.

*Future meeting dates for 2016:*  
29 December

**CHAIRMAN**



# SEND Review








## Interim Feedback to Schools Forum







**A focus on Threshold Management and Resource Pressures**





**June 21 2016**

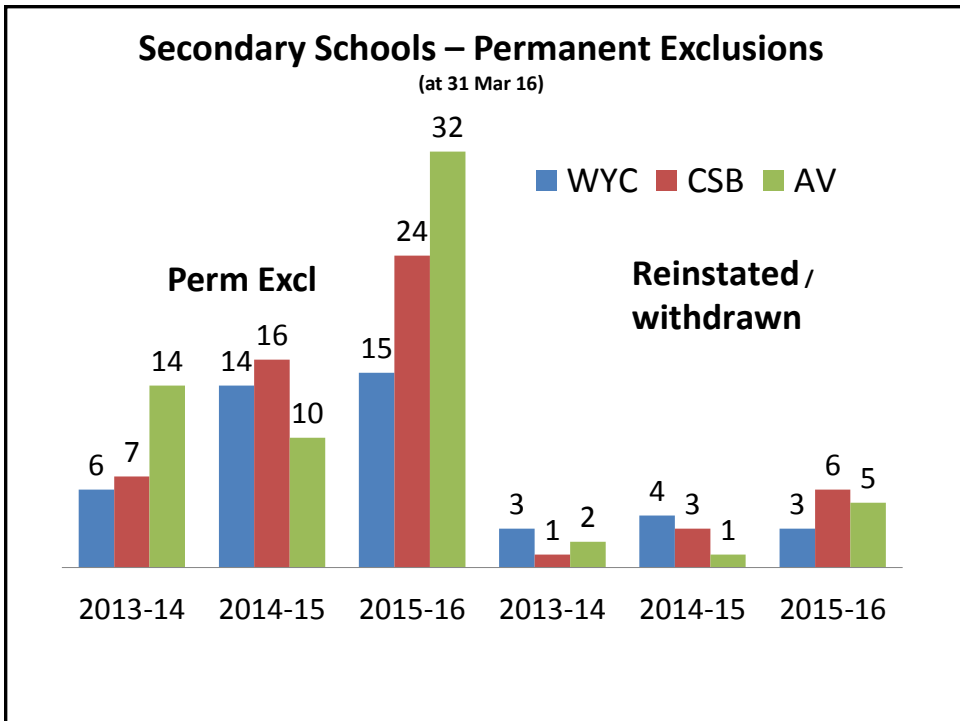
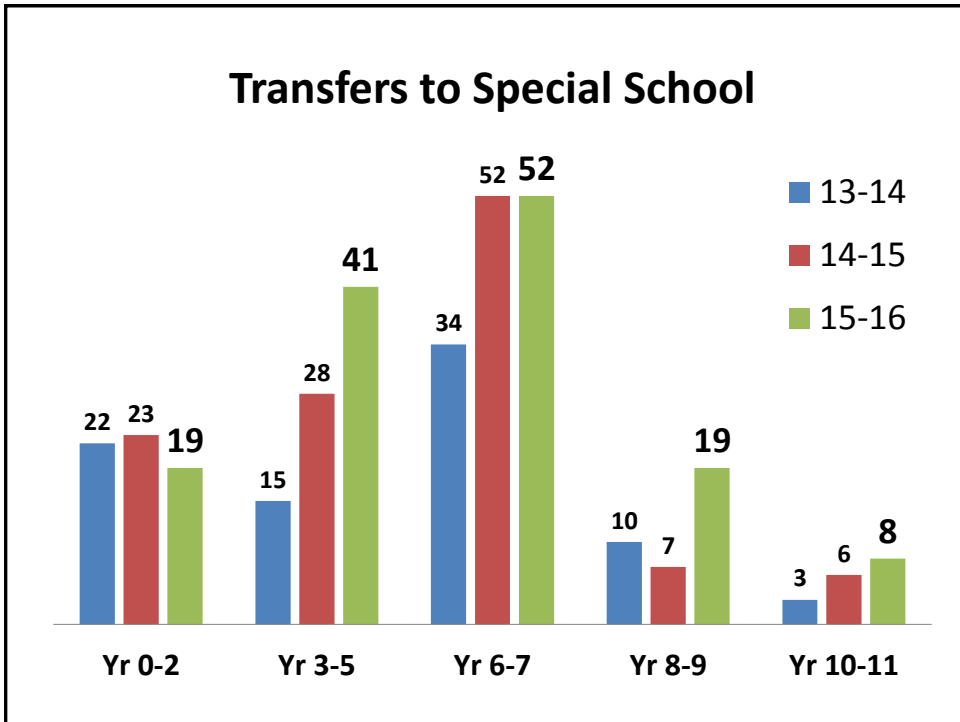
**Gillian Shurrock  
 Penny Richardson**

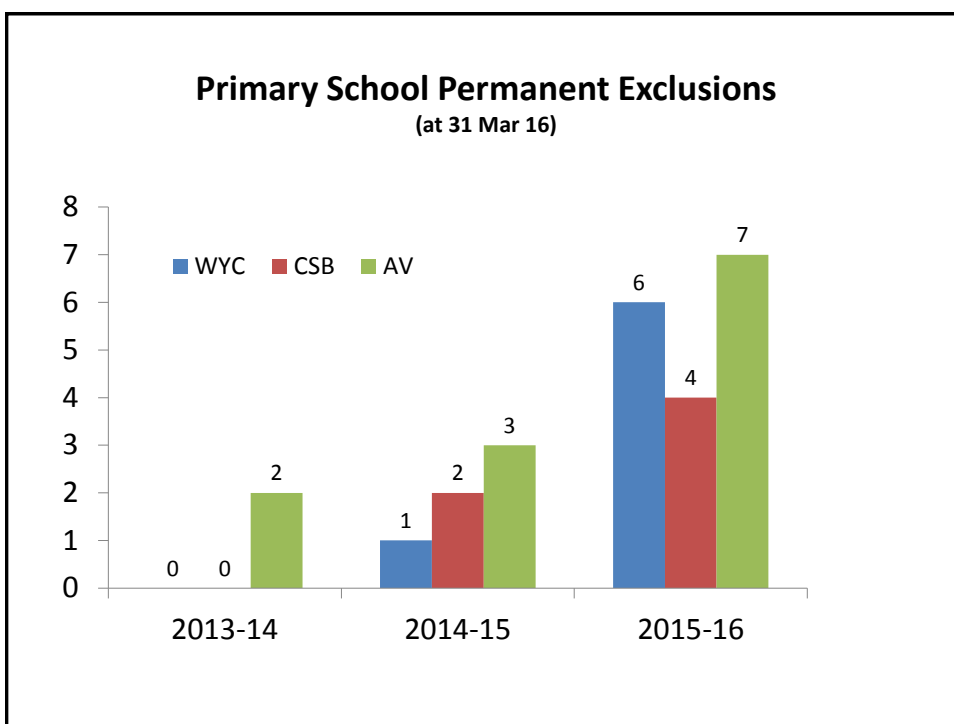



THRESHOLD MANAGEMENT (1)	
<b>Low identification of pupils at SEN Support by mainstream schools</b> 8% sec (nat 12.4%); 9.4% prim (nat 13%)	
<b>Higher % of children with statements in mainstream schools</b> 1.9% sec (nat 1.8%); 1.8% prim (nat 1.4%)	
<b>Numbers of EHCPs &amp; statements</b> 3066 in 2011; 3436 in 2016. <b>+12%</b> in context of change of + 8% pupil population	
<b>Percentage of pupil population with a statement / EHCP</b> Bucks 3.2% ; Nat & Stat Nghbr = 2.8%	
<b>Requests for EHC assessments</b> 187 agreed Sept 14 – Mar 15; 267 agreed Sept 15 – Mar 16. <b>+ 48%</b>	
<b>Average Number of EHC assessments per month</b> (Sept 14 – Mar 15 = 28; Sept 15 – Mar 16 = 40) <b>+ 43%</b>	
<b>Number of first time EHC Plans / statements issued</b> <b>+ 83%</b> between 2014 and 2015	

RESOURCE RELATED PRESSURES (1)	
<b>Permanent Exclusions</b> <b>+ 400% increase</b> Ac yr 14/15 to 15/16 ( from 6 to 19) 96% have SEN ; 66% known to social care; 75% from good or outstanding schools	
<b>Number of places funded in Bucks Special Schools</b> Increase of 171 children (+15%) April 2013 – Jan 2016	
<b>Numbers of funded places in NMI Special Schools</b> A reduction of 13% from 176 in Jan 2013 to 153 in Jan 2016.	
<b>Proportion of statements / EHCPs naming mainstream</b> From 48% (1,532) of all statements in Jan 13 to 44% (1465), Jan 2016	
<b>Proportion of statements / EHCPs naming special school</b> From 41% (Jan 13) to 44% Jan 16)	
<b>Numbers of Bucks children attending special school</b> Increase of 12% 1326 (Jan 13) to 1490 (Jan 16)	

RESOURCE RELATED PRESSURES (2)	
<b>Mainstream Top-Ups</b> (includes pupils with no EHCP (school age) + £635,489 (+11.5%) 14-15 to 15-16	
<b>Top-Up allocations to special schools</b> (From £7.98m in April 13 to £10.8m in Jan 16 = + 35%) (average top-up increased by £1.247 +17.5%) (pupil increase of 171 = +15%)	
<b>Numerical increase in first time EHC Plans by school phase</b> <ul style="list-style-type: none"> <li>• <u>Primary</u> from 108 – 194 (+86 / +80%) 2014-2015</li> <li>• <u>Secondary</u> from 41 – 95 (+ 54 / +131%) 2014 - 2015</li> </ul>	
<b>Increased % of pre-school EHCPs, noticeably different to national and regional position.</b> 8.8% of all first time EHCPs are for children in PVI settings (3.2% nationally and 2.8% regionally).	





### Per Pupil Funding (15-16 planned spend) (National and SN comparison)

Funding focus	Buckinghamshire £	England £	Statistical Nghbr £
Top-Up funding (Maintd & Acad)	250	167	139
Top-Up Independent	120	70	96
SEN Support Services (BLT, SLT, OT, Portage)	51	36	36
All HN Total	455	305	303
Educational Psychology	29	16	18
SEN admin	11	15	17
Parent Partnership	2	2	2



## Buckinghamshire County Council

Visit [democracy.buckscc.gov.uk](http://democracy.buckscc.gov.uk) for councillor information and email alerts for local meetings

# Schools Forum

---

**Title:** Early Years National Funding Formula (EYNFF) Consultation

**Date:** 13<sup>th</sup> September 2016

**Author:** Jane Nicholls

**Contact officer:** Jane Nicholls/Emma Wilding

**Local members affected:** All

### Introduction:

DfE has launched a [consultation](#) on how the Early Years Block of Dedicated Schools Grant (DSG) is allocated across local authorities; the consultation closes on 22<sup>nd</sup> September 2016.

The proposals include:

- introducing a new early years national funding formula for 3 and 4 year olds;
- changing the way local authorities fund the early years providers in their area; and
- making sure that children with special educational needs or disabilities attract the extra funding they need.

Currently LAs receive an hourly funded rate ranging from £3.24 - £9.17 (Buckinghamshire currently receives £4.115) so the aim is to review how funding is distributed to achieve a more equitable arrangement.

### Key Headlines:

New formula commences April 2017 for existing provision, all LAs to be on formula by 2019/20. Rate and budget to be confirmed possibly by December but if not early 2017.

Buckinghamshire is currently 90<sup>th</sup> highest funded LA, moves to 60<sup>th</sup> after transitional arrangements.

Funding floor protection of 10% with maximum loss of 5% per year over 2 years – this doesn't apply to Buckinghamshire as we are not seeing a reduction to our hourly income.

No need to continue Minimum Funding Guarantee

£300m additional national funding for +15 hours, average national hourly rate £4.88 per hour (was £4.56) including EY Pupil Premium (EYPP) – increased on average by 15%

Average rate of £4.88 includes 0.02p Disability Access Funding (DAF), 0.05p EYPP, 0.09p MNS, 0.01p quality & expertise, £4.71 base hourly rate. Buckinghamshire's base hourly rate is proposed at £4.64

No changes to EYPP – 0.53p per hour, outside of EYNFF

+15 hour rate to LAs is same as core (universal) 15 hour rate

Funding continues based on Participation, i.e. bums on seats not capacity.

LA hourly rate based on 3 factors:

1. Universal base rate (89.5% of funding)
2. Additional Needs Factor (ANF)– SEN (FSM 8%, EAL 1.5%, DLA 1%) = 10.5%
3. Base rate + ANF x Area Cost Adjustment (ACA) – geographic costs (salary + premises rateable values) ACA = range from 1-1.9. So ACA can almost double the base hourly rate + ANF. Buckinghamshire's proposed ACA = 1.235

LAs to reduce factors and supplements. All providers to receive same base rate regardless of sector but at least 2 years protection for Maintained Nursery Schools (MNS). Buckinghamshire currently funds all providers the same base hourly rate with the exception of our two maintained nursery schools.

Few Supplements/factors allowed (up to maximum 10% of funding):

1. Deprivation – must have for 3 & 4s (current average 4%)
2. Sparsity – to be judged by distance from nearest provider or provider type – optional
3. Flexibility – guidance due in autumn, to incentivise +15 hours and flexibility - optional
4. Efficiency – efficient models of delivery - optional
5. Growth – new place supplement to manage capacity - optional

Providers may make reasonable charges for consumables and additional services such as meals, nappies, dance lessons but payment cannot be a condition of access

LAs will not be required to self-fund early education as part of 100% Business Rate Retention – or not until the programme is fully implemented.

### **SEND Funding:**

£12.5m per year available for DAF, ring fenced

1. Disability Access Funding (DAF) – for every child on DLA, to be fully pass ported to providers to use at their discretion – similar to EYPP mechanism. Funding not expected to cover full cost of provision, it's a top up from HNF Block but is funded within the core rate to LAs so will require new money to move to HNF.
2. Inclusion Fund – LAs to set up an inclusion fund from EY and/or HNF blocks. Recommended to support SEN Support. DfE has not illustrated this as for LAs to determine how much funding to set aside, which block and criteria for allocation.

If funding is used centrally to buy service and then offered free of charge, this is still considered part of central retention.

### **Central retention:**

Currently LAs retain between 0-20%, average is 6%. Buckinghamshire 16/17 6.5%

17/18 LAs may retain maximum 7%, reducing to 5% from 18/19.

LAs may retain budget to support administration of eligibility but should consider buy back for training and quality improvement.

High Pass Through (95%) – wording used to describe funding which can't be retained centrally

### **Contingency Funding:**

LAs to hold back contingency for in year growth, counted as part of High Pass Through funding.

+15 hours – minimal need for contingency as LA funding based on Jan count.

### **Two Year Olds:**

Current formula continues

EYNFF doesn't apply

Rates to be uplifted from April 2017 from an average of £5.09 to average of £5.39

Bucks rate currently - £5.33 rising to £5.71 April 2017 - £5.33 is fully passported to providers currently

## What this means for Buckinghamshire:

Current hourly rate paid to LA - £4.115

Rate without capping £4.64 (no transitional caps apply in Bucks)

Baseline rate 16/17 - £4.35 for comparison – but we only receive £4.115

MNS 17/18 allocation - £213,354

EYPP – no change

16/17 BCC EY central spend = £1.3K - includes 2YO central spend

## See attached Appendix

BCC has consulted with the Early Years Forum which Zahir Mohammed attended. Illustrations show the challenges ahead in reaching an affordable rate which incentivises the market place to expand ready for + 15 hours.

A response to the consultation has been drafted and will be shared with F40 group prior to finalising.

The issue is still that the funding is insufficient. The annual Childcare Sufficiency Assessment (2016) shows that average childcare fees across Buckinghamshire (January 2016) are:

Primary Planning Area	Day Nursery	Pre-School	Childminder	After School Club
Amersham	£5.74	£6.56	£5.79	£6.08
Aylesbury Town	£5.83	£4.46	£4.69	£4.63
Beaconsfield	£6.51	£7.05	£5.79	£5.84
Bourne End	£6.29	£4.67	£5.24	£5.78
Buckingham	£4.62	£4.23	£4.46	£4.56
Burnham	£6.50	£7.96	£4.84	£4.82
Chesham	£5.23	£4.75	£5.47	£6.11
Farnham & Stoke Poges	£6.29	£5.30	£5.46	£5.58
Gerrards Cross & The Chalfonts	£5.65	£6.14	£5.52	£6.45
Great Missenden		£4.67	£5.80	£5.99
Haddenham	£5.75	£4.64	£4.73	£5.10
High Wycombe	£5.97	£5.05	£5.28	£5.33
Ivers	£4.60	£4.56	£4.00	£4.83
Marlow	£5.99	£5.15	£5.36	£5.27
Princes Risborough	£5.85	£4.83	£4.94	£4.54
Waddesdon	£5.00	£4.73	£4.39	£4.14
Wendover	£5.30	£4.94	£5.07	£5.23
Wing and Minghoe	£5.28	£4.48	£4.99	£5.03
Winslow	£4.65	£4.76	£4.14	£4.19
Wycombe West	£6.08	£6.49	£4.94	£5.09
<b>Buckinghamshire average</b>	<b>£5.64</b>	<b>£5.27</b>	<b>£5.05</b>	<b>£5.23</b>

**Recommendations:**

**To delegate BCC response on the EYNFF to Director of Finance and Cabinet Member Education & Skills.**

**Agree to further illustrate local rates and formula once the outcome of the consultation is published.**



**Buckinghamshire EYNFF Illustrations**

<u>Buckinghamshire</u>	<u>2016-17</u>	<u>2016-17</u> Illustration applying consultation principles	<u>2017-18</u>	<u>2017-18</u> With inclusion fund	<u>2017-19</u> Reducing central spend 5%	<u>2018-19</u>	<u>2018-19</u> With inclusion fund	<u>2018-19</u> Reducing central spend 4%	<u>2019-20</u>	Comments
<b>Numbers:</b>										
PTE	8470	8470	8470	8470	8470	8470	8470	8470	8470	
PTE MNS	184	184	184	184	184	184	184	184	184	
Plus 15 hours PTE	0	0	1583.9	1583.9	1583.9	2715.3	2715.3	2715.3	2715.3	
2YOs PTE	1081.1	1081.1	1081.1	1081.1	1081.1	1081.1	1081.1	1081.1	1081.1	
<b>Universal Allocation</b>										
Provider actual/possible rate	4.10	3.56	4.15	4.06	4.24	4.24	4.15	4.28	4.24	
MNS base rate	4.59	4.59	4.70	4.61	4.84	4.89	4.75	4.90	4.24	
Deprivation	17	0.17	0.17	0.17	0.17	0.17	0.17	0.17	0.17	10.5% Disadv. Informula, BCC actual is 3.6%
<b>Total hourly rate exc. EYPP, MNS</b>	<b>4.27</b>	<b>3.73</b>	<b>4.32</b>	<b>4.23</b>	<b>4.41</b>	<b>4.41</b>	<b>4.32</b>	<b>4.45</b>	<b>4.41</b>	
hourly rate to LA	4.1157	4.0867	£4.64	£4.64	£4.64	£4.64	£4.64	£4.64	£4.64	
EYPP hourly rate	0.53	0.53	£0.53	£0.53	£0.53	£0.53	£0.53	£0.53	£0.53	Fully passported
3 & 4s	£19,870,000	£19,730,000	£22,401,519	£21,901,519	£22,401,519	£22,401,456	£21,851,519	£22,401,456	£22,401,456	Quality & expertise £5m - 0.01p, to be advised
EYPP	£114,365	£114,365	£114,365	£114,365	£114,365	£114,365	£114,365	£114,365	£114,365	
DAF	£0	£0	not yet allocated	not yet allocated	not yet allocated	not yet allocated	not yet allocated	not yet allocated	not yet allocated	
Inclusion Fund				£500,000	£0		£550,000			
MNS	£0	£140,000	£213,354	£213,354	£213,354	£213,354	£213,354	£213,354	£0	£140k MNS lump sum spend + base rate
<b>Total Universal allocation</b>	<b>£19,984,365</b>	<b>£19,984,365</b>	<b>£22,729,238</b>	<b>£22,729,238</b>	<b>£22,729,238</b>	<b>£22,729,175</b>	<b>£22,729,238</b>	<b>£22,729,175</b>	<b>£22,515,821</b>	
<b>Plus 15 hours Allocation</b>										
3 & 4s	£0	£0	£4,189,011	£4,189,011	£4,189,011	£7,181,312	£7,181,312	£7,181,312	£7,181,312	
<b>Total Plus 15 hours allocation</b>	<b>£0</b>	<b>£0</b>	<b>£4,189,011</b>	<b>£4,189,011</b>	<b>£4,189,011</b>	<b>£7,181,312</b>	<b>£7,181,312</b>	<b>£7,181,312</b>	<b>£7,181,312</b>	
<b>2YO Allocation</b>										
Hourly rate to LA	£5.33	£5.33	£5.71	£5.71	£5.71	£5.71	£5.71	£5.71	£5.71	
Possible rate to provider	£5.33	£4.97	£5.31	£5.31	£5.42	£5.42	£5.42	£5.48	£5.42	
Funding allocation 2YO	£3,290,000	£3,290,000	£3,518,785	£3,518,785	£3,518,785	£3,518,785	£3,518,785	£3,518,785	£3,518,785	
<b>Total 2YO Allocation</b>	<b>£3,290,000</b>	<b>£3,290,000</b>	<b>£3,518,785</b>	<b>£3,518,785</b>	<b>£3,518,785</b>	<b>£3,518,785</b>	<b>£3,518,785</b>	<b>£3,518,785</b>	<b>£3,518,785</b>	
<b>Total LA Allocation</b>	<b>£23,274,365</b>	<b>£23,274,365</b>	<b>£30,437,034</b>	<b>£30,437,034</b>	<b>£30,437,034</b>	<b>£33,314,907</b>	<b>£33,314,970</b>	<b>£33,314,907</b>	<b>£33,215,918</b>	
<b>Centrally retained</b>										
overheads	44180									
Performance information	124800	131368						£0		increased for eligibility 0.5FTE +£12k shortfall
Place development	610974	869586						£0		
Qualification grants	304000	253825						£0		
Support staff	217550							£1,183,311		
MNS								£8,534		
2YOs								£140,751		11.5% P & I prorata
Actual	1,301,504	1,254,779			£0			£1,332,596		
Actual % 2s	-	-						4.00%		
Actual % 3 % 4s	6.51%	6.36%						4.00%		
2 YO 7%	£230,300	£230,300	£246,315	£246,315						
3 & 4 YO 7%	£1,390,900	£1,390,900	£1,861,337	£1,861,337						Excl. EYPP, MNS
MNS 7%			£14,935	£14,935						
<b>Total 7%</b>	<b>£1,621,200</b>	<b>£1,621,200</b>	<b>£2,107,652</b>	<b>£2,107,652</b>						
MNS 5%					£10,667.70	£10,668	£10,668			
2YO 5%					£175,939.25	£175,939	£175,939		£175,939.25	
3 & 4 YO 5%					£1,329,526.50	£1,479,138	£1,479,142		£1,479,138.40	
<b>Total 5%</b>					<b>£1,516,133.45</b>	<b>£1,665,745</b>	<b>£1,665,749</b>		<b>£1,655,077.65</b>	

10p on 3 & 4s rate in 17/18 = £573K

10p on 3 & 4s rate in 18/19 = £637K

10p on 2s rate in 18/19 = £61.6K





# Buckinghamshire County Council

Visit [democracy.buckscc.gov.uk](http://democracy.buckscc.gov.uk) for councillor information and email alerts for local meetings

## Schools Forum

---

**Title:** Changes to the Scheme for Financing Schools

**Date:** 7<sup>th</sup> September 2016

**Author:** Emma Wilding

**Contact officer:** Emma Wilding 01296 382012

### Changes in National Apprenticeships Scheme and Impact on Schools

#### Summary

As part of the wide-ranging reforms of Apprenticeship training in England, the Government earlier this year published guidance on the introduction of the Apprenticeship Levy applicable to all large employers; and the Enterprise Bill (February 2016) set out plans to introduce new apprenticeship targets for public sector bodies.

The financial impact of the apprenticeship levy and the implications of the public sector apprenticeship targets as known at present are outlined in this briefing for schools. Further detailed DfE guidance is to be published in October 2016.

#### Key points

- With a commitment to delivering three million apprentice starts by 2020, the government is introducing a set of policy measures that will have financial and reporting implications for all public sector bodies.
- The apprenticeship levy, payable from April 2017 will be charged at 0.5 per cent of the total pay bill.
- Apprenticeship targets will apply to all public sector organisations with more than 250 employees. The government is currently consulting on the detail, but is proposing targets of 2.3 per cent apprenticeships per year, based on headcount.
- Schools should consider how they can make apprenticeships a more integral part of their workforce plans

#### The levy

- The aim of the Apprenticeships Levy is to create long-term investment to support the development of apprentices and is payable by all large employers across all industries

# Buckinghamshire County Council

Visit [democracy.buckscc.gov.uk](http://democracy.buckscc.gov.uk) for councillor information and email alerts for local meetings

- The levy will be payable from April 2017 and charged at 0.5 per cent of the total pay bill collected through PAYE. Employer guidance on how to calculate and pay the apprenticeship levy is to be published by HRMC in October 2016.
- The levy is applicable to all employers with a pay bill (based on total employee earnings) in excess of £3 million and it has been confirmed that the levy will be paid to HM Revenue and Customs through the Pay as you Earn (PAYE) process. This would indicate that the levy will apply to most of Bucks maintained schools. It may also apply to some of our larger academies.
- For example a small primary school with a pay bill of £200,000 would have to pay £1000 under the levy. A large primary school with a paybill of £1.5m would have to pay £7,500. A large secondary with a paybill of £3m would have to pay £15,000.
- Employers will draw down levy funds towards the costs of training apprentices. Money from the levy will be paid into a digital account on a monthly basis and via a voucher system, the funds can be used to cover training and assessment costs. The updated guidance (August 2016) sets out new banding levels for different types of apprenticeships with further details to be published next month.
- The money cannot be used to support apprentice wages
- It is likely that there will be one digital account for the whole of Bucks CC and therefore there will be a need to develop appropriate processes and governance to enable schools to access funds within the account.

## The targets

The government sees the public sector as playing a key role in helping to achieve delivery of three million apprenticeships by 2020 and is establishing targets through the Enterprise Bill:

- The apprenticeship targets will apply to all public sector bodies with more than 250 employees
- The current consultation proposes a target set at 2.3 per cent of headcount and based on estimate figures of all maintained schools, this could be in the region of 230 apprentices. There are currently approximately 25 apprentices in Bucks schools.
- Employers will have to report annually on their progress towards meeting the targets

**Government have still not published their response to the Public Sector Apprenticeship Targets consultation which ended in March 2016. LGA are lobbying to get clarity on several key points raised in particular the impact the levy and targets will have on schools**

## Consultation proposals for changes to funding arrangements:

- New funding bands linked to specific apprenticeship standards and levels of qualifying training – regardless of age of apprentice
- Proposed extra funds for employing apprentices aged 16-18 ( £1000 each for employers and training providers); and also for care leavers
- Proposal to allow employers to transfer up to 10% of their digital accounts to other employers (delivery partners)

The Government propose to move away from the current system of pricing apprenticeship frameworks at three different levels depending on the age of the learner, and move towards a single funding band for individual framework pathways. The new apprenticeship funding system will be made up of 15 funding bands, with the upper limit of those bands ranging from £1,500 to £27,000. All existing and new apprenticeship frameworks and standards will be placed within one of these funding bands. The upper limit of each funding band will cap the maximum amount of digital funds an employer who pays the levy can use towards an individual apprenticeship.

The Government is continuing to gather the views of employers, providers and other stakeholders, to help refine and develop proposals ahead of October 2016, when they will publish:

- The final funding bands that will apply in the new system
- The final, full set of technical rules that underpin the funding system
- Confirmation of how the proportion of pay bill that is paid to employees living in England will be calculated

Then a further publication In December 2016:

- Further employer guidance from HM Revenue and Customs (HMRC) on how to calculate and pay the apprenticeship levy

## Next Steps

1. Clarify the schools that are in scope and the overall likely target for numbers of new apprenticeships in BCC maintained schools
2. To report back to the next Schools Forum once further details are published in October and there is clarification on how the levy will be calculated for schools
3. To consider how to develop a coordinated strategy to increase the numbers of apprentices across Bucks CC schools as part of future workforce plans



**Buckinghamshire County Council**

Visit [democracy.buckscc.gov.uk](http://democracy.buckscc.gov.uk) for councillor information and email alerts for local meetings

# Schools Forum

**Title:** Charges/allocations for Permanently Excluded Pupils

**Date:** 27<sup>th</sup> September 2016

**Author:** Laura Nankin

## 1. PURPOSE OF THE REPORT

To seek agreement from Schools Forum to alter the charges/allocations for pupils permanently excluded from mainstream schools. This report went to the Schools Forum Funding Sub Group on the 16<sup>th</sup> September 2016.

## 2. DECISION

Whether to accept the recommendation of the Schools Forum Funding Sub Group to change the mechanism to calculate exclusion charges/allocations for all mainstream schools and use this mechanism to form an agreement with all academies.

## 3. BACKGROUND –RISING LEVELS OF PERMANENT EXCLUSION

In the last academic year permanent exclusions have risen by nearly 100%.

Table 1 Number of Permanent Exclusions by Academic Year

	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16 YTD
Primary	1	0	0	7	4	6	24
Secondary	52	51	57	47	41	53	91
<b>Total</b>	<b>53</b>	<b>51</b>	<b>57</b>	<b>54</b>	<b>44</b>	<b>59</b>	<b>115</b>

## 4. MAINSTREAM SCHOOLS EXCLUSION CHARGES

The methodology for the calculation of exclusion charges for mainstream pupils is set out within the School Finance Regulations.

The purpose of the charge is to provide a contribution to the cost of alternative school provision as part of the arrangements for pupils educated out of school and if the pupil is admitted to another mainstream school within the funding period, the admitting school's will receive the budget share in accordance with the complete weeks remaining in the funding period during which the pupil is a pupil at the admitting school

The School and Early Years Finance (England) Regulations 2015 states that where a child is permanently excluded the Local Authority must re-determine an excluding school's budget share. All references within the Regulations regarding the amount to reduce by refer to the 'funding period' and not the financial year. The regulations do not provide specific dates for the funding period and schools and the local Authority need to agree this period.

Schools will be aware that the funding formula is calculated according to lagged pupil numbers and data (from the preceding October school census). Therefore, if a pupil is excluded before the October census date, the school will receive no further formula funding for the pupil beyond the end of the current financial year. However, for a pupil excluded after the census date the school will receive funding for the whole of the following financial year. The exclusion charges, therefore, include funding for the relevant period of both years (the funding period).

## 5. CURRENT METHOD USED IN BUCKINGHAMSHIRE

Currently Buckinghamshire only charge the AWPU from the excluding school from the point of exclusion to the end of the current the financial year that ends 31<sup>st</sup> March, and only gives the AWPU to the admitting school from the date of admission to the 31<sup>st</sup> March. This method currently applies to all schools including academies.

## 6. REASONS FOR RECOMMENDED CHANGE

In other Local Authorities they use different methods to calculate the amount they remove/allocate after a permanent exclusion. The proposal below is being recommended for the following reasons:

### 6.1 Fairer Method

- If the pupil is excluded after the October Census then we are not removing (or allocating to the receiving school) the amount for the full period the pupil is funded for.
- By charging/allocating just AWPU, we are not removing/allocating the full amount that has been attributed to the pupil as outlined in appendix one.
- Currently academies that accept a previously permanently excluded pupil do not receive the funding that aligns to their financial year

### 6.2 Removes any financial incentive to Permanently Exclude

- Currently it costs less to permanently exclude a pupil than to place them in alternative provision. Additionally by just removing AWPU the excluding will be able to retain some funding attributed to the pupil even though the pupil is no longer attending their school.

## 6.3 Funding Pressure

- The LA buys places for excluded pupils upfront from the PRUs to ensure that permanently excluded pupils have access to education (6 day provision). There is a finite amount of DSG budget that the LA can use to do this with and if the number of places is exceeded then additional budget will need to be found to spot purchase places. If we leave things as they are and exclusions continue to rise then this will ultimately mean that all schools budgets would need to be reduced further to cover the cost of placing them.

## 7. RECOMMENDATION

### **That Schools Forum accept the following changes to the charging/allocation mechanism for permanent school exclusions.**

Calculate the charge/allocation for the full funding period. i.e. for the remainder of the current financial year and the whole of the next financial year if the exclusion is after the October census and the pupil is not in year 11 and include

Charge/allocate for all the amounts attributable to a pupil of the same age and personal circumstances. Outlined in Appendix 1

Change to calculating the charge/allocation based on the individual school's financial year i.e. to 31<sup>st</sup> March for maintained schools and 31<sup>st</sup> August for academies.

#### \* Example

*If a key stage 3 pupil who has English as an additional language is permanently excluded in 30<sup>th</sup> November 2016 the calculation would be different depending on whether the school was an academy or maintained.*

*KS3 AWPU + EAL for secondary= £4895*

- *Amount charged to a maintained school (4/12 of £4895)+£4895 = £6526*
- *Amount charged to an academy (9/12 of £4895)+£4895 =£8566*

*If the pupil was then placed at another school on the 1<sup>st</sup> February then the amount the admitting school would receive would be calculated as follows:*

- *Amount given to an admitting maintained school (2/12 of £4895)+£4895 = £5711*
- *Amount given to an admitting academy (7/12 of £4895)+£4895= £7750*

If Schools Forum accepts these proposals we will issue a written agreement to all academies that outlines the changes to the current charging mechanism

## Appendix 1

### Funding to be deducted in option 1

The amounts charged to the school will be based on those “*attributable to a pupil of the same age and personal circumstances*”

N.B. pupil characteristics will be taken as at the date of exclusion and not tracked back to the previous October census date.

The following elements will be charged in line with the schools funding formula

- Basic entitlement – Is the pupil primary, KS3 or KS4 educated?

	£
AWPU - Primary (KS 0 - 2)	2,646
AWPU - Key Stage 3	3,758
AWPU - Key Stage 4	4,335

- Deprivation FSM – has the pupil been eligible for a free school meal in the last year?

	£
Free School Meals - Primary	850
Free School Meals - Second:	1050

- Deprivation IDACI – which IDACI band is the pupil (based on home postcode)?

		£
Deprivation (IDACI) - Primary - Band 1	0.2-0.25	210
Deprivation (IDACI) - Primary - Band 2	0.25-0.3	260
Deprivation (IDACI) - Primary - Band 3	0.3-0.4	350
Deprivation (IDACI) - Primary - Band 4	0.4-0.5	425
Deprivation (IDACI) - Primary - Band 5	0.5-0.6	480
Deprivation (IDACI) - Primary - Band 6	0.6-0.7	690
Deprivation (IDACI) - Secondary - Band 1	0.2-0.25	290
Deprivation (IDACI) - Secondary - Band 2	0.25-0.3	380
Deprivation (IDACI) - Secondary - Band 3	0.3-0.4	470
Deprivation (IDACI) - Secondary - Band 4	0.4-0.5	560
Deprivation (IDACI) - Secondary - Band 5	0.5-0.6	620
Deprivation (IDACI) - Secondary - Band 6	0.6-0.7	820

- LAC – is the pupil a looked after child?

	£
Looked After Children	1000



- EAL – has the pupil been identified as EAL in the last 2 years?

	£
English as an Additional Language - Primary	460
English as an Additional Language - Secondary	1,100

- SEN prior Attainment – if primary, did the pupil fail to meet a good level of progress or 78pts at EYFSP? If secondary, did the pupil fail to achieve level 4 in English or Maths at KS2?

	£
Prior Attainment - Primary	1,500
Prior Attainment - Secondary	1,500

The following amounts will be charged in line with the pupil premium allocations

- Deprivation FSMe6 – has the pupil been eligible for a free school meal at any point in the last 6 years?

	£
Primary	1,320
Secondary	935

- Forces ever3 – has the pupil been recorded as a forces child at any point in the last few years

	£
Primary and Secondary	300

- Post-Looked after children (LAC)

	£
Primary and Secondary	1,900

N.B. LAC element follows the pupil and therefore no adjustment is necessary.

## Funding rates to reclaim

The funding rates reclaimed will be the unit values agreed with Schools Forum for the relevant financial year. Pupil premium rates will be as per the allocations from the Department.

## References

The *Schools and Early Years Finance (England) Regulations 2015*

Section 2.2.1 of the *Academy and Free School: Master Funding Agreement*

<https://www.gov.uk/government/publications/academy-and-free-school-multi-model-master-funding-agreement>



# Schools Forum

---

<b>Title:</b>	<b>Changes to the Scheme for Financing Schools</b>
<b>Date:</b>	7 <sup>th</sup> September 2016
<b>Author:</b>	Emma Wilding
<b>Contact officer:</b>	Emma Wilding 01296 382012
<b>Local members affected:</b>	Maintained School members only

## Summary

This paper details changes to the Scheme for Financing Schools to bring it into line with the latest guidance from the Department for Education. The scheme sets out the financial relationship between the authority and the maintained schools which it funds. It contains requirements relating to financial management and associated issues, binding on both the authority and on schools.

## Recommendation

That comments from the consultation are acknowledged and the final version of the document is agreed. It will then be published on the Buckinghamshire County Council external website so it is accessible to all.

## The proposed Scheme

The current “Scheme for Financing Schools and Defining Working Relationships between Governing Bodies, Headteachers and the Local Authority” is found on SchoolsWeb.

<https://schoolsweb.buckscc.gov.uk/finance-zone/scheme-of-financial-delegation/>

This has not been updated for a number of years and there are many aspects of it that are out of date. Therefore the proposed new scheme is based on the DfE Statutory guidance for having a Scheme for Financing Schools found at the following link.

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/486440/Scheme\\_for\\_Financing\\_Schools\\_Dec\\_2015.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/486440/Scheme_for_Financing_Schools_Dec_2015.pdf)

The proposed new scheme is attached as Appendix 1.

## Responses from the consultation

The consultation on the new scheme was published in Governor times and Schools Bulletin and closed on 21<sup>st</sup> July 2016.

There were 3 responses from schools about the 3 sections summarised below:-

1. **2.9 Register of business interests** : added relationships between staff and governors and the fact that the register has to be published required by the latest DfE scheme

One school queried the fact that governors' business interests have to be published on the school's website.

It was clarified that this is the case and there is a template available to members of the NGA (National Governors' Association) on the NGA website.

2. **2.3 Submission of budget plans**: It is proposed that only the governing body can approve the formal annual budget plan, previously it could be a committee of the governing body.

Two schools queried the practicality of having a Full governing body meeting between the time budgets were available and the date due for submission. One school have asked whether email approval from the Full Governing Body would be acceptable. Their full responses are found in Appendix 2.

3. **4.8 Balances of closing and replacement schools**: When a school closes any balance (whether surplus or deficit) reverts 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, except that a surplus transfers to an academy where a school converts to academy status under section 4(1)(a) of the Academies Act 2010.

One school made the following point about this section:-

Whilst this is still clearly a matter for the DfE, it seems iniquitous that a school can take a surplus to academy status but not a deficit for which the local authority is then liable – the LA has to clear the debt using funds held on behalf of other maintained schools therefore depriving those children of resources due to profligacy of schools that convert.

## **Decisions to be made by Forum**

It was requested at the Schools Forum meeting in June that it was made clear which decisions about the scheme were Schools Forum Decisions and which were imposed by the DfE.

Nearly all the changes proposed are to bring the document up to date and in-line with the DfE scheme. However, there are 3 areas where the decision is a Schools Forum one:-

1. **2.3 Submission of budget plans**: It has been decided that only the governing body can approve the formal annual budget plan, previously it could be a committee of the governing body.

The DfE scheme gives the flexibility to Local Authorities to decide whether to allow a committee of the Governing body to approve the budget plan or insist that the Full Governing Body approves the budget plan. The Local Authority is proposing to change the scheme to insist that the Full Governing Body approves the budget plan in order to provide more accountability and control.

2. **Section 6** now contains all the circumstances in which charges may be made as required by the latest DfE scheme, including the ability of the authority to charge the budget share of a school for costs 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.

By adding this section it gives the Local Authority the ability to change the funding arrangements for admissions appeals in the future. If this was to be the case, a paper would be submitted to a future Schools Forum meeting setting out the suggested change and its implications. By adding this section to the scheme we are keeping our options open.

3. **4.2 Controls on surplus balances** – Excessive surpluses are now defined as 15% or more (on all the school's income) for the last 5 years and at least £10,000 each year, and Schools Forum still reserves the right to clawback excess balances following consultation with Schools Forum.

This is the definition that was agreed at schools forum last year as it is the criteria that the Education Funding Agency (EFA) use, therefore it is proposed to incorporate it into the scheme.



## **Buckinghamshire County Council**

# **Scheme for Financing Schools**

Maintained in accordance with Section 48 of the School Standards  
and Framework Act 1998, and Schedule 14 to the Act

## Contents

The outline scheme	3
Section 1: Introduction	5
Section 2: Financial controls	7
Section 3: Instalments of the budget share; banking arrangements	15
Section 4: The treatment of surplus and deficit balances arising in relation to budget shares	17
Section 5: Income	20
Section 6: The charging of school budget shares	22
Section 7: Taxation	24
Section 8: The provision of services and facilities by the authority	24
Section 9: PFI/PPP	27
Section 10: Insurance	27
Section 11: Miscellaneous	28
Section 12: Responsibility for repairs and maintenance	31
Section 13: Community facilities	32
Annex A: The list of schools to which this scheme applies	37
Annex B: Responsibility for redundancy and early retirement costs	42
Annex C: Categories of work which governing bodies must finance from their budget	45

## Purpose of the Scheme

Buckinghamshire County Council is required to have Scheme for Financing Schools, which defines the financial relationship between the authority and the schools in its area (School Standards and Framework Act 1998, sections 45-53). The scheme covers such matters as banking, accounting and audit arrangements.

## Expiry or review date

This guidance will be reviewed annually and updated when necessary.



## What legislation does this guidance refer to?

- Section 48 of the [School Standards and Framework Act 1998](#), and Schedule 14 to the Act
- [School and Early Years Finance \(England\) Regulations 2014](#)

## Who is this guidance for?

This guidance is for Buckinghamshire County Council and all the schools it maintains.

## The outline scheme

References throughout this statutory guidance to:

“the Act” are to the School Standards and Framework Act 1998;

“the authority” means Buckinghamshire County Council, and

“the Regulations” are to the School and Early Years Finance (England) Regulations 2014 made under the Act.

The scheme deals with the following matters:

1. The carrying forward from one funding period to another of surpluses and deficits arising in relation to schools’ budget shares.
2. Amounts which may be charged against schools’ budget shares.
3. Amounts received by schools which may be retained by their governing bodies and the purposes for which such amounts may be used.
4. The imposition, by or under the scheme, of conditions which must be complied with by schools in relation to the management of their delegated budgets and of sums made available to governing bodies by the authority which do not form part of delegated budgets, including conditions prescribing financial controls and procedures.
5. Terms on which services and facilities are provided by the authority for schools maintained by them.
6. The payment of interest by or to the authority.
7. The times at which amounts equal in total to the school’s budget share are to be made available to governing bodies and the proportion of the budget share to be made available at each such time.
8. The virement between budget heads within the delegated budget.

9. Circumstances in which the authority may delegate to the governing body the power to spend any part of the authority's non-schools education budget or schools budget in addition to those set out in section 49(4)(a) to (c) of the 1998 Act.
10. The use of delegated budgets and of sums made available to a governing body by the authority which do not form part of delegated budgets.
11. Borrowing by governing bodies.
12. The banking arrangements that may be made by governing bodies.
13. A statement as to the personal liability of governors in respect of schools' budget shares having regard to section 50(7) of the 1998 Act.
14. A statement as to the allowances payable to governors of a school which does not have a delegated budget in accordance with the scheme made by the authority for the purposes of section 519 of the 1996 Act.
15. The keeping of a register of any business interests of the governors and the head teacher.
16. The provision of information by and to the governing body.
17. The maintenance of inventories of assets.
18. Plans of a governing body's expenditure.
19. A statement as to the taxation of sums paid or received by a governing body.
20. Insurance.
21. The use of delegated budgets by governing bodies so as to satisfy the authority's duties imposed by or under the Health and Safety at Work etc Act 1974.
22. The provision of legal advice to a governing body.
23. Funding for child protection issues.
24. How complaints by persons working at a school or by school governors about financial management or financial propriety at the school will be dealt with and to whom such complaints should be made.
25. Expenditure incurred by a governing body in the exercise of the power conferred by section 27 of the 2002 Act.

# Section 1: Introduction

## 1.1 The Funding Framework

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

Under this legislation, the authority determine for themselves the size of its schools budget and its non-schools education budget – although at a minimum the authority must appropriate its entire Dedicated Schools Grant to their schools budget. 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 the authority's maintained schools except for capital and certain miscellaneous items. The authority may deduct funds from their schools budget for purposes specified in regulations made by the Secretary of State under s.45A of the Act (the centrally retained expenditure). The amounts to be deducted for these purposes are decided by the authority, subject to any limits or conditions (including gaining the approval of the 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).

The authority must distribute the ISB amongst its 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 this scheme made by the authority in accordance with s.48 of the Act and regulations made under that section. All proposals to revise this 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 s.50 of the Act. This includes 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 (s50(3A) of the Act.)

The authority may suspend a school's right to a delegated budget if the provisions of this 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 (schedule 17 to the Act).

The 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 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 are set out in directions issued by the Secretary of State, but each school must receive a copy of 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 its scheme and any revisions to it on a website accessible to the general public, by the date that any revisions come into force, together with a statement that the revised scheme comes into force on that date.

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

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

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

The scheme applies in respect of all community, nursery, voluntary, foundation, community special or foundation special schools and pupil referral units (PRUs) maintained by the authority. It does not apply to schools situated in the authority's area which are maintained by another authority. Nor does it apply to academies.

The schools which the authority will be maintaining are listed in Annex A.

## **1.3 Publication of the scheme**

The scheme will be published on the authority's website which is accessible to the general public and any revised version will be published by the date the revisions come into force, together with a statement that the revised scheme comes into force on that date.

## **1.4 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 the schools forum for their approval.

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

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

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

The governing body is responsible for setting the school's annual financial plan. The first formal plan of each financial year and subsequent revisions must be approved by the governing body. The headteacher is responsible for managing the school's finances on a day to day basis within the approved plan and may have delegated authority to vary the plan up to an agreed limit. This limit needs to be set at a level which allows the headteacher sufficient flexibility to deal with the practical problems which may arise in the running of the school and the level will vary according to the size of individual schools. The headteacher must inform the governing body or the relevant committee of the governing body when any such variation has been made.

## **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 school where some of the expenses are, by statute, payable by the governing body). This includes the funding system put in place under sections 45 to 53 of the School Standards and Framework Act 1998.

# **Section 2: Financial controls**

## **2.1 General procedures**

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

All Schools covered by this scheme are required to abide by the authority's requirements on financial controls and monitoring, not only those in the scheme but also those requirements contained in the Local Management Handbook.

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

Schools are required to provide the authority with details of anticipated and actual expenditure and income, in a form and at times determined by the authority in order that schools' financial positions can be taken into account as part of the authority's overall monitoring. Monitoring information will not be required more often than once every three months, unless the authority has notified the school in writing that in its view the school's financial position requires more frequent submission or the school is in its first year of operation. Reports for this purpose are required to be submitted in a format compatible with the Consistent Financial Reporting framework. Detailed guidance is set out in the Local Management Handbook. Reports connected with tax (including VAT), or banking reconciliation, may be required more frequently.

The details of these requirements are set out in Financial Regulations F1 - available to schools as part of the existing Local Management Handbook.

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

Procedures for the payment of salaries and bills will vary according to the choices schools make about the holding of bank accounts and the supplier of payroll or other services.

The procedures appropriate to these choices are set out in the following documents available to schools as part of the existing Local Management Handbook.

- Financial Regulations F1
- Guidance on coding of expenditure and income F6

## **2.1.4 Control of assets**

Each school is required to maintain an inventory of its moveable non-capital assets with a value in excess of £1,000. Guidance on the form of such inventories and the arrangements for disposing of assets is set out in the Local Management Handbook. Schools are free to determine their own arrangements for keeping a register of assets worth less than £1,000. They should keep a register in some form. .

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

Schools must abide by the accounting policies and procedures issued by the authority from time to time. For year-end procedures, instructions will be communicated annually on Schools Web. In all cases, detailed instructions will be published and schools will be notified of any amendments or revisions.

## **2.1.6 Writing off of debts**

Governing bodies are authorised to write off debts up to £1,000. If a school wishes a debt to be written off between £1,000 and £10,000 the Finance Director of Children's Social Care and Learning must be contacted. Above this level, the Director of Assurance must be contacted (see the Local Management Handbook).

## **2.2 Basis of accounting**

The authority requires that reports and accounts sent to the authority must be on an accruals basis. However, schools internal systems may be either on a cash or an accruals basis.

## **2.3 Submission of budget plans**

Each school is required to submit a plan to the authority by dates published on Schoolsweb, showing its intentions for expenditure in the current financial year and the assumptions underpinning the budget plan. The plan should take account of any estimated surplus or deficit balance accumulated by the school as at the previous 31 March. Schools must notify the authority of any revision to their financial plans agreed by the governing body during the course of the financial year.

Plans must be submitted in a form notified by the authority and in accordance with the Consistent Financial Reporting Framework. Guidance is available in the Local Management Handbook.

The school's formal annual budget plan must be approved by the governing body.

Financial Forecasts for the current year are required at specified points throughout the year, but will not be required more often than once every 3 months.

### **2.3.1 Submission of Financial Forecasts**

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.

## **2.4 Efficiency and Value for Money**

Schools must seek to achieve efficiencies and value for money, to optimise their resources and invest in teaching and learning, taking into account the purchasing, tendering and contracting requirements outlined in section 2.10.

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 is important for schools to review their current expenditure, compare it to other schools and think about how to make improvements.

## **2.5 Virement**

Schools are free to vire between budget headings in the expenditure of their budget shares, but governors are advised to establish criteria for virements and financial limits above which the approval of the governing body is required. School federations are free to vire between school budget heads.

## **2.6 Audit: General**

Schools are required to cooperate both with auditors employed by the authority (internal audit) and with external auditors.

With regard to internal audit, all schools come within the audit regime determined by the authority, details of which are set out in the Local Management Handbook.

With regard to external audit, all schools come within the authority's external regime as determined by the external auditors.

## **2.7 Separate external audits**

A governing body is permitted if it chooses to spend funds from its budget share to obtain external audit certification of its accounts, separate from any authority internal or external audit process.

There is no expectation by the Secretary of State that routine annual external audit at school level of budget share expenditure should be a usual feature of the funding system; merely that schools should not be prevented from seeking an additional source of assurance at their own expense.

The authority's audit regime may include sample visits to schools by the authority's external auditors.

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

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



The purpose of this provision is to allow the authority to satisfy itself that public funds are not being misused and to ensure that private funds under the control of the governing body can be included within the school's return under the Consistent Financial Reporting Framework.

Guidance on the form in which these should be reported is set out in the Local Management Handbook.

## **2.9 Register of business interests**

The governing body of each school is required to have a register which lists for each member of the governing body and the head teacher:

Any business interests they or any member of their immediate family have;

Details of any other educational establishments that they govern;

Any relationships between school staff and members of the governing body;

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

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

All Schools covered by this scheme must abide by the authority's financial rules and standing orders in purchasing, tendering and contracting matters. This includes a requirement to assess in advance, where relevant, the health and safety competence of contractors, taking account of the authority's policies and procedures. Further details of the requirements can be found in the Local Management Handbook.

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

Schools have the right to opt out of authority arranged contracts.

Although governing bodies are empowered under paragraph 3 of schedule 1 to the Education Act 2002 to enter into contracts, in most cases they do so on behalf of the authority as maintainer of the school and the owner of the funds in the budget share. Other contracts may be 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 can make sums available to schools from central funds, in the form of allocations which are additional to and separate from the schools' budget shares. Such

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

Schools should account for any allocations of this nature in such a way as to be able to demonstrate that this requirement has been complied with.

Such allocations might, for example, be sums for SEN or other initiatives funded from the central expenditure of the authority's Schools Budget or other authority budget.

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

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

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

Under s.50(3) governing bodies are allowed to spend budget shares for the purposes of the school, although this is subject to regulations made by the Secretary of State and any provisions of this scheme. 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. The School Budget Shares (Prescribed Purposes)(England) Regulations 2002 (SI 2002/378), have been amended by the School Budget Shares (Prescribed Purposes)(England)(Amendment) Regulations 2010 (SI 2010/190), allowing schools to spend their budgets on pupils who are on the roll of other maintained schools or academies.

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

Governing bodies are permitted to use their budget shares to meet the cost of capital expenditure on the school premises. This includes expenditure by the governing body of a voluntary aided school on work which is their responsibility under paragraph 3 of Schedule 3 of the Act. If the expected capital expenditure from the budget share is greater than £20,000 the governing body must notify the authority; and that it must take into account any advice from the Director - Children's Social care and Learning as to the merits of the proposed expenditure. If the premises are owned by the authority, or the school has voluntary controlled status, then the governing body should seek the consent of the authority to the proposed works, but such consent can be withheld only on health and safety grounds.

The reason for these provisions is to help ensure compliance with the current School Premises Regulations and DfE Construction Standards, and health and safety legislation.

These provisions would not affect expenditure from any capital allocation made available by the authority outside the delegated budget share.

## **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 Director of Assurance and the Director - Children's Social care and Learning, 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
- 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 this provision 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, and determining the requirements included within it, is to safeguard the financial position of the authority or school.

The notice of concern will be withdrawn once the governing body has complied with the requirements the authority has imposed.

The Notice of Concern will also inform the governing body of their right to appeal to the Secretary of State against the suspension, or a decision by the authority not to restore delegation when the withdrawal is formally reviewed and the time limit within which such an appeal can be brought. The Secretary of State may uphold or reject any such appeal.

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

All Buckinghamshire 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. This should be completed in accordance with the timetable published on Schoolsweb.

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 head teacher 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 those controls. This information must also be included in the induction for new school staff and governors.

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

The authority has adopted the CIPFA Code of Practice for Treasury Management. For the purposes of this section, Budget Share includes any place-led funding for special schools or pupil referral units.

### **3.1 Frequency of instalments**

For non-cheque book schools the authority will make entire budget share available from the end of month 3. For cheque book schools budget share instalments are made to schools on a monthly basis. Top up payments for pupils with high needs are made on a monthly basis.

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

For non-cheque book schools the authority will make entire budget share available from the end of month 3. For cheque book schools the budget share is made available in twelve equal monthly instalments. Funds allocated will be gross of salary costs.

### **3.3 Interest clawback**

The authority may deduct from budget share instalments an amount equal to the estimated interest lost by the authority in making available the budget share in advance. Any advances will accrue interest charges at the rate of the Bank of England Base rate minus 1%. Therefore charges will only apply if the Bank of England Base rate is above 1%.

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

Where the payments of budget share instalments are the result of an authority error, interest will be paid at the rate of the Bank of England Base rate minus 1%. Therefore payments will only apply if the Bank of England Base rate is above 1%.

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

For schools for which approval for discontinuation has been secured, the authority reserves the right to make budget shares will available until closure on a monthly basis net of estimated pay costs.

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

All maintained schools may have external bank accounts into which their budget share instalments (as determined by other provisions) are paid. Schools that have such accounts shall be allowed to retain all interest payable on the account unless they choose to have an account within an authority contract which makes other provision.

Schools without bank accounts cannot have one until any deficit balance is cleared.

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

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

### **3.5.1 Restrictions on accounts**

A list of which banks or building societies accounts may be held with for the purpose of receiving budget share payments is available in the Local Management Handbook.

Schools may have accounts for budget share purposes which are in the name of the school rather than the authority. However, if a school has such an account the account mandate must provide that the authority is the owner of the funds in the account; that it is entitled to receive statements; and that it can take control of the account if the school's right to a delegated budget is suspended by the authority.

However, schools wishing to take advantage of the authority's group scheme with Lloyds must have their account set up by the authority and BCC will be the first part of the account name.

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

Further guidance about restricting signatories for bank accounts is given in the Local Management Handbook.

## **3.6 Borrowing by schools**

Governing bodies may borrow money (which includes the use of finance leases) only with the written permission of the Secretary of State. The Secretary of State's general position is that schools will only be granted permission for borrowing in exceptional circumstances. Schools can use any scheme that the Secretary of State has said is available to schools without specific approval, for example the [Salix](#) scheme, which is designed to support energy saving.

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

The restrictions do not apply to Trustees and Foundations, whose borrowing, as private bodies, makes no impact on Government accounts. These debts may not be serviced

directly from the delegated budget, but schools are free to agree a charge for a service which the Trustees or Foundation are able to provide as a consequence of their own borrowing. Governing bodies do not act as agents of the authority when repaying loans.

This provision does not apply to loan schemes run by the authority (see section 4.10).

Further advice about borrowing is available in the Local Management Handbook.

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

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

Schools will carry forward from one financial year to the next any shortfall in expenditure relative to the school's budget share for the year plus/minus any balance brought forward from the previous year. If a school becomes a cheque book school it must do so on 1<sup>st</sup> April and 50% of the provisional balance will be transferred 4 weeks previously, pending a later reconciliation.

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

Schools that have excessive surplus balances will be required to report to Schools forum on an annual basis. Excessive surpluses are defined as 15% or more (on all the school's income) for the last 5 years and at least £10,000 each year. The authority reserves the right to clawback excessive surpluses following consultation with Schools Forum. Further information can be found in the policy for supporting good financial management.

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

Balances held by the Authority on behalf of schools will attract interest of Base Rate minus 1%. Therefore interest will only be applied if the Base Rate is above 1%. Further guidance is available on monitoring income and expenditure set out in the Local Management Handbook F5

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

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

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

No school may plan for a deficit balance without the consent of the authority (see para 4.9).

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

The authority does not currently charge interest on deficit balances, but reserves the right to do so following consultation with Schools Forum.

## **4.7 Writing off deficits**

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

The authority may give assistance towards elimination of a deficit balance through the allocation of a cash sum, from the authority's schools budget (from a centrally held budget specified for the purpose of expenditure on special schools and pupil referral units in financial difficulty or, in respect of mainstream maintained schools, from a de-delegated contingency budget where this has been agreed by Schools Forum). Information about contingency is available on Schoolsweb.

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

When a school closes any balance (whether surplus or deficit) reverts 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, except that a surplus transfers to an academy where a school converts to academy status under section 4(1)(a) of the Academies Act 2010.

## **4.9 Licensed deficits**

A licensed deficit is the arrangement whereby the authority may allow a school to plan for a deficit budget. Details of the scheme are set out in the Policy for Supporting Good Financial Management in Buckinghamshire Schools.

The authority reserves the right to invite schools holding balances in external bank accounts to use some or all of those balances to back the arrangement.

Balances held by a school in an external bank account remain the property of the authority (if made available by the authority initially) and therefore may legally be taken into account by the authority in assessing the total level of loans which it might wish to make to schools. Prior to any such arrangement being put in place, schools will be asked to give a view as to whether the authority should take them into account in this way.

## **4.10 Loan schemes**

The authority operates a loan arrangement for schools which does not operate by way of a licensed deficit but rather by way of actual payments to schools or expenditure by the authority in respect of a particular school on condition that a corresponding sum is repaid from the budget share. The parameters of the arrangement are available on Schoolsweb under Finance guidance and forms / Emergency cash advance.

### **4.10.1 Credit union approach**

In some areas, as an alternative if no other scheme is available, schools may wish to group together to utilise externally held balances for a credit union approach to loans. If



so the authority would require audit certification, if the authority does not itself act as administrator of the arrangement.

## **Section 5: Income**

Schools may retain income except in certain specified circumstances.

### **5.1 Income from lettings**

Schools are allowed to retain income from lettings of the school premises which would otherwise accrue to the authority, subject to alternative provisions arising from any joint use or PFI/PPP agreements. Schools are allowed to cross-subsidise lettings for community and voluntary use with income from other lettings, provided the governing body is satisfied that this will not interfere to a significant extent with the performance of any duties imposed on them by the Education Acts, including the requirement to conduct the school with a view to promoting high standards of educational achievement. However, schools should be required to have regard to directions issued by the authority as to the use of school premises, as permitted under the Act for various categories of schools.

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

For the avoidance of doubt, the term “lettings” in this sub-paragraph does not include any residential letting or lease of premises.

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

Schools are allowed to retain income from fees and charges except where a service is provided by the authority from centrally retained funds. Schools are required to follow the policy statements on charging produced by the authority. This can be found in F7 Charges for Educational Activities in the Local Management Handbook. Income from boarding charges is collected on behalf of the authority and should not exceed that needed to provide board and lodging for the pupils concerned.

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

Schools are allowed to retain income from fund-raising activities.

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

Schools are allowed to retain the proceeds of sale of assets except in cases where the asset was purchased with non-delegated funds (in which case it should be for the authority to decide whether the school should retain the proceeds), or the asset

concerned is land or buildings forming part of the school premises and is owned by the authority.

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

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

Where schools collect income which accrues to the authority (e.g. where a school has contracted with the council meals service), separate guidance will be issued.

Because of the potential VAT implications of providing services for which fees and charges may be made, schools should ensure that they follow the appropriate administrative procedures for the collection of and accounting for income.

Guidance is set out in the Financial Instructions in the Local Management Handbook.

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

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

## Section 6: The charging of school budget shares

### 6.1 General provision

The budget share of a school is allowed to be charged by the authority without the consent of the governing body **only** in circumstances expressly permitted by the scheme, and requires authorities to consult schools as to the intention to so charge, and notify schools when it has been done.

In case of any dispute over such charges, schools should contact the Finance Director (Children's Social Care and Learning).

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

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

The authority may de-delegate funding for permitted services without the express permission of the governing body, provided this has been approved by the appropriate phase representatives of the Schools Forum.

#### 6.1.1 Charging of salaries at actual cost

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

6.2.1 Where premature retirement costs have been incurred without the prior written agreement of the authority to bear such costs the full amount will be charged.

Where prior written agreement has been obtained the amount charged will be only the excess over any amount agreed by the authority;

6.2.2 Other expenditure incurred to secure resignations where the school had not followed authority advice;

6.2.3 Awards by courts and industrial tribunals against the authority, or out of court settlements, arising from action or inaction by the governing body contrary to the authority's advice

Awards may sometimes be against the governing body directly and would fall to be met from the budget share. Where the authority is joined with the governing body in the action and has expenditure as a result of the governing body not

taking authority advice, the charging of the budget share with the authority expenditure protects the authority's position.

- 6.2.4 Expenditure by the authority in carrying out health and safety work or capital expenditure for which the authority is liable where funds have been delegated to the governing body for such work, but the governing body has failed to carry out the required work;
- 6.2.5 Expenditure by the authority incurred in making good defects in building work funded by capital spending from budget shares, where the premises are owned by the authority or the school has voluntary controlled status;
- 6.2.6 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 be arranged by the authority;
- 6.2.7 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;
- 6.2.8 Recovery of penalties imposed on the authority by the Board of Inland Revenue, the Contributions Agency, HM Revenue and Customs, Teachers' Pensions, the Environment Agency or other regulatory authorities as a result of school negligence.
- 6.2.9 Correction of authority errors in calculating charges to a budget share (eg pension deductions)
- 6.2.10 Additional transport costs incurred by the authority arising from decisions by the governing body on the length of the school day, or failure to notify the authority of non-pupil days resulting in unnecessary transport costs.
- 6.2.11 Legal costs which are incurred by the authority because the governing body did not accept the advice of the authority.
- 6.2.12 Costs of necessary health and safety training for staff employed by the authority, where funding for training had been delegated but the necessary training not carried out.
- 6.2.13 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.
- 6.2.14 Cost of work done in respect of teacher pension remittance and records for schools using non-authority payroll contractors, the charge to be the minimum needed to meet the cost of the authority's compliance with its statutory obligations;
- 6.2.15 Costs incurred by the authority in securing provision specified in a statement of SEN where the governing body of a school fails to secure such provision despite

the delegation of funds in respect of low cost high incidence SEN and/or specific funding for a pupil with High Needs;

6.2.16 Costs incurred by the authority due to submission by the school of incorrect data;

6.2.17 Recovery of amounts spent from specific grants on ineligible purposes;

6.2.18 Costs incurred by the authority as a result of the governing body being in breach of the terms of a contract.

6.2.19 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.

6.2.20 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.

## **Section 7: Taxation**

### **7.1 Value Added Tax**

The authority has established procedures to enable schools to utilise its ability to reclaim VAT on expenditure relating to non-business activity. Schools should follow the procedures laid down from time to time in the Local Management Handbook. Amounts so reclaimed will be passed back to the school.

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

Schools should abide by procedures issued by the authority in connection with CIS. The procedures are set out in the Local Management Handbook.

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

### **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 both traded services and non-traded support (e.g. Premature Retirement Compensation [PRC] and redundancy costs).

Services will be provided on an equal basis to all categories of schools, except 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 bought back from the authority using delegated budgets**

The term of any arrangement with a school to buy services or facilities from the authority is limited to a maximum of three years from the date of the agreement, and periods not exceeding five years for any subsequent agreement relating to the same services.

There is no minimum period, although arrangements lasting less than two years may well be uneconomic.

When a service is provided for which expenditure is not retainable centrally by the authority under the Regulations made under section 45A of the Act, it should be offered at prices which are intended to generate income which is no less than the cost of providing those services. The total cost of the service should be met by the total income, even if schools are charged differentially.

This provision complements the implied requirements of the regulations on central retention of funds. It is recognised that absolute break-even or profit is not always achievable over fixed financial years: it is for the authority to show during audit tests that the charging policy can reasonably be expected to avoid central subsidy of services.

### **8.2.1 Packaging**

The Authority may provide on a buyback basis, any service for which funding has been delegated. However these must be offered in a way which does not unreasonably restrict schools' freedom of choice among the services available, and where practicable, this will include provision on a service-by-service basis as well as in packages of services.

## **8.3 Service level agreements**

The scheme should provide that service level agreements must be in place by a certain date to be effective for the following financial year, and that schools must have at least a month to consider the terms of agreements.

The scheme should contain a provision which stipulates that if services or facilities are provided under a service level agreement - whether free or on a buyback basis - the terms of any such agreement starting on or after the inception of the scheme will be reviewed at least every three years if the agreement lasts longer than that.

Services, if offered at all by the authority, will be available on a basis which is not related to an extended agreement, as well as on the basis of such agreements.

Where services are provided on an ad hoc basis they may be charged for at a different rate than if provided on the basis of an extended agreement.

Centrally arranged premises and liability insurance are excluded from these requirements as to service supply, as the limitations envisaged may be impracticable for insurance purposes.

## **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



## **Section 9: PFI/PPP**

### **9.1 Insurance cover**

The authority shall have the power to issue regulations from time to time in respect of Private Finance Initiative and Private Public Partnership projects. Amongst other issues these might deal with the reaching of agreements with the governing bodies of schools as to the basis of such charges; and the treatment of monies withheld from contractors due to poor performance.

## **Section 10: Insurance**

### **10.1 Insurance cover**

If a school proposes to arrange its own insurance under delegated funds, rather than purchasing the core insurance package offered by the authority, the governing body shall be responsible for securing that the headteacher (or another member of staff who has been nominated by the headteacher) demonstrates to the satisfaction of the authority that cover sufficient to protect the authority's financial interest will be provided under those proposed arrangements. The headteacher (or nominated member of staff) shall provide that information to the authority not less than six weeks before the date on which the insurance is due to commence, unless the authority has agreed a shorter period in a particular case. The Authority may, where a school proposes to make its own insurance arrangements, also stipulate minimum levels of cover.

(see also 6.2.6)

## **Section 11: Miscellaneous**

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

Governing bodies must supply all financial and other information which might reasonably be required to enable the authority to satisfy itself as to the school's management of its delegated budget share, or the use made of any central expenditure by the authority (eg earmarked funds) on the school.

### **11.2 Liability of governors**

As the governing body is a corporate body, and because of the terms of s.50(7) of the Act, governors of maintained schools will not incur personal liability in the exercise of their power to spend the delegated budget share provided they act in good faith.

An example of behaviour which is not in good faith is the carrying out of fraudulent acts. Breaches of the scheme are not in themselves failures to act in good faith; neither is rejection of authority advice as to financial management.

### **11.3 Governors' expenses and training**

The authority may delegate to the governing body of a school yet to receive a delegated budget, funds to meet governors' expenses.

The amounts of such allowances would be set by the authority.

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. Details of allowable expenditure can be found in the LMS Handbook

The authority offers training to all governors. It is understood that training is required to enable governors to perform their role effectively. This is particularly the case in respect of newly-appointed governors, those who chair their governing body or one of its committees (e.g. finance, or staff discipline), or those who have specific responsibilities (e.g. safeguarding). A Model Code of Conduct for Governors, approved by the Buckinghamshire Governor Consultative Board and the Buckinghamshire Association of School Governors for adoption by governing bodies, includes a commitment to attend training and for individual members to take responsibility for their own learning and development as a governor. Expectations as to governor training also arise from the School Financial Value Standard (SFVS).

## **11.4 Responsibility for legal costs**

Separate advice will be issued on the procedure schools should follow in obtaining legal advice where there is a conflict between the Authority and the governing body. Governing bodies may be permitted to use their delegated budgets to seek independent legal advice if there is a conflict of interest between the school and the LA.

## **11.5 Health and Safety**

Governing bodies should, in expending the school's budget share, to have due regard to duties placed on the authority in relation to health and safety, and the authority's policy (found on Schoolsweb) on health and safety matters in the management of the budget share.

## **11.6 Right of attendance for Chief Finance Officer**

Governing bodies must permit the Chief Finance Officer of the authority, or any officer of the authority nominated by the Chief Finance Officer, to attend meetings of the governing body at which any agenda items are relevant to the exercise of her or his responsibilities.

The Chief Finance Officer's attendance should normally be limited to items which relate to issues of probity or overall financial management; such attendance should not be regarded as routine. The authority should give prior notice of such attendance unless this is impracticable.

## **11.7 Special educational needs**

Schools are required to use their best endeavours in spending the budget share, to secure appropriate provision for pupils with or without statements of special educational needs. Failure to do so may result in the authority invoking Section 6.2.16 of this scheme.

## **11.8 Interest on late payments**

Schools should be aware there is a statutory requirement to pay interest on late payments. More details can be found on the website Gov.uk

## **11.9 'Whistleblowing'**

Schools are required to ensure that staff are aware of the procedure to be followed by persons working at a school or school governors who wish to complain about financial management or financial propriety at the school, and how such complaints will be dealt with. These are set out in the "Whistleblowing" policy document which has been circulated to all schools and which is available on the County Council's website.

## **11.10 Child protection**

All schools are required to follow the local authority's policy and guidance on Child Protection found on Schools Web. The authority does not make any payments to support this.

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

The Authority's policy on redundancy, premature retirement cost and severance payments in schools is attached as Annex B.

## **11.12 Interests in Land**

Governors of Community and Voluntary Controlled schools shall not dispose of any freehold, leasehold or other legal interest in land and buildings used for the purposes of the school and owned by the Authority.

The above condition applies to such matters as selling land, taking or granting leases and tenancies, or granting rights of way.

The condition follows from the fact that the site and buildings of the school are normally owned by the Authority.

The condition does not preclude the ordinary lettings of parts of the school premises on a purely temporary basis.

## **11.13 Delegation to new schools**

The Authority has the power to delegate selectively and optionally to the governing bodies of schools which have yet to receive delegated budgets.

## Section 12: Responsibility for repairs and maintenance

- 12.1 Annex C shows the categories of work which governing bodies must expect to finance from their budget.
- 12.2 The Authority will delegate funding for repairs and maintenance to maintained and voluntary aided schools. Only capital expenditure is retained by Authority. For these purposes, expenditure may be treated as capital only if it fits the definition of capital used by the local authority for financial accounting purposes in line with the CIPFA Code of Practice on local authority accounting. The de minimis limit for capital expenditure is £4,000.
- 12.3. Eligibility for capital grant from the Secretary of State for capital works at voluntary aided schools is dependent on the de minimis limit applied by DfE to categorise such work, not the de minimis limit used by the authority.

## **Section 13: Community facilities**

### **13.1 Introduction**

Schools which choose to exercise the power conferred by s.27 (1) of the Education Act 2002 to provide community facilities will be subject to a range of controls. Firstly, regulations made under s.28 (2), if made, may specify activities which may not be undertaken at all under the main enabling power. Secondly, the school is obliged to consult the authority and have regard to any advice from it. Thirdly, the Secretary of State issues guidance to governing bodies about a range of issues connected with exercise of the power, and a school must have regard to that guidance.

However, under s.28(1), the main limitations and restrictions on the power will be those contained in this Scheme. Paragraph 2 of Schedule 3 to the Education Act 2002 extends the coverage of delegation schemes to the powers of governing bodies to provide community facilities.

Schools providing community facilities are therefore subject to prohibitions, restrictions and limitations in the scheme for financing schools.

This section of the scheme does not extend to: joint-use agreements; transfer of control agreements; or, agreements between the Authority and schools to secure the provision of adult and community learning.

The budget share of a school may not be used to fund community facilities – either start-up costs or ongoing expenditure - or to meet deficits arising from such activities.

Mismanagement of community facilities funds can be grounds for suspension of the right to a delegated budget as allowed for in the Policy for Good Financial Management

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

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. The procedure for such consultation is set out in the Local Management Handbook.

### **13.3 Funding agreements – local authority powers**

The provision of community facilities in a school may be dependent on the conclusion of a funding agreement with a third party, either to supply funding, or both to supply funding and to take part in the provision. A very wide range of bodies and organisations may be involved.

Any such proposed agreement should be submitted to the authority for its comments. The authority has no right of veto on such agreements, either directly or through requiring a right to countersign the agreement; but schools should be aware that if an agreement has been, or is to be, concluded against the wishes of the Authority, or has been concluded without informing the Authority, and in the view of the Authority it is seriously prejudicial to the interests of the school or the Authority, that may constitute grounds for suspension of the right to a delegated budget.

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

The authority may require, in a specific instance of use of the community facilities power by a governing body where the authority has good reason to believe that the proposed project carries significant financial risks, that the governing body concerned makes arrangements to protect the financial interests of the authority by either carrying out the activity 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.

### **13.6 Supply of financial information**

The authority may require schools which exercise the community facilities power To provide the authority every six months with a summary statement, in a form determined by the authority, showing the income and expenditure for the school arising from the facilities in question for the previous six months and on an estimated basis, for the next six months.

The authority, on giving notice to the school that it believes there to be cause for concern as to the school's management of the financial consequences of the exercise of the community facilities power, may require such financial statements as are specified in paragraph 13.8 to be supplied every three months; and, if it sees fit, to require the submission to it of a recovery plan for the activity in question.

Financial information relating to community facilities will be included in returns made by schools under the Consistent Financial Reporting (CFR) Framework, and these will be relied

upon by the authority as the main source of information for the financial aspects of community facilities.

### **13.7 Audit**

Schools must grant access to the school's records connected with their exercise of the community facilities power, in order to facilitate internal and external audit of relevant income and expenditure.

Schools, in concluding funding agreements with other persons pursuant to the exercise of the community facilities power, are required to 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.

### **13.8 Treatment of income and surpluses**

Schools are allowed to retain all net income derived from community facilities except where otherwise agreed with a funding provider, whether that be the authority or some other person. Schools should ensure that costs have been correctly apportioned between the school budget share and the community facilities.

Schools are allowed to carry over such retained net income from one financial year to the next as a separate community facilities surplus; or, subject to the agreement of the authority at the end of each financial year, to transfer all or part of it to the budget share balance.

If the school is a community or community special school, and the authority ceases to maintain the school, any accumulated retained income obtained from the exercise of the community facilities power shall revert to the authority, unless otherwise agreed with a funding provider.

### **13.9 Health and safety matters**

The general provisions of this scheme in respect of health and safety extend to the community facilities power.



The governing body is responsible for the costs of securing Disclosure and Barring Service (was Criminal Records Bureau ) clearance for all adults involved in community activities taking place during the school day. A governing body is free to pass on such costs to a funding partner as part of an agreement with that partner.

## **13.10 Insurance**

It is the responsibility of the governing body to ensure adequate arrangements are made for insurance against risks arising from the exercise of the community facilities power, taking professional advice as necessary. Such insurance should not be funded from the school budget share. The school should seek the authority's advice before finalising any insurance arrangement for community facilities.

The authority is empowered to undertake its own assessment of the insurance arrangements made by a school in respect of community facilities, and if it judges those arrangements to be inadequate, to make arrangements itself and to charge the resultant cost to the school. Such costs could not be charged to the school's budget share.

## **Taxation**

Schools should seek the advice of the authority and the local VAT office on any issues relating to the possible imposition of Value Added Tax on expenditure in connection with community facilities, including the use of the local authority VAT reclaim facility.

If any member of staff employed by the school or authority in connection with community facilities at the school is paid from funds held in a school's own bank account (whether a separate account is used for community facilities or not) the school is likely to be held liable for payment of income tax and National Insurance, in line with HM Revenue and Customs rules.

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

## **13.12 Banking**

Schools must ensure that they make appropriate arrangements for the banking and accounting of funds for community facilities, either through the maintenance of separate bank accounts, or by means of adequate internal accounting controls to maintain

separation of funds. Schools without local bank accounts may use the authority's banking arrangements, subject to appropriate accounting within their local finance system.

Schools may not borrow money without the written consent of the Secretary of State. This requirement does not extend to monies lent to schools by the authority.

# Annex A: The list of schools to which this scheme applies

(revised June 2016)

**DfE No.                      School Name**

## **Nursery Schools**

1005    BOWERDEAN  
1000    HENRY ALLEN

## **Primary Schools**

2132    ASH HILL PRIMARY SCHOOL  
2286    ASHMEAD COMBINED SCHOOL  
2250    ASTON CLINTON COMBINED SCHOOL  
2225    BEARBROOK COMBINED SCHOOL  
2175    BEDGROVE INFANT SCHOOL  
2169    BEDGROVE JUNIOR SCHOOL  
5203    BEECHVIEW SCHOOL  
3022    BIERTON CHURCH OF ENGLAND COMBINED SCHOOL  
2008    BLEDLOW RIDGE SCHOOL  
2126    BOOKER HILL SCHOOL  
5200    BROOKMEAD SCHOOL  
2179    BROUGHTON INFANT SCHOOL  
2152    BROUGHTON JUNIOR SCHOOL  
5205    BRUSHWOOD JUNIOR SCHOOL  
2002    BUCKINGHAM PARK CE PRIMARY SCHOOL  
2245    BUCKINGHAM PRIMARY SCHOOL  
2220    BURFORD SCHOOL  
2186    BUTLERS COURT COMBINED SCHOOL  
3329    CADMORE END CHURCH OF ENGLAND SCHOOL  
2176    CARRINGTON INFANT SCHOOL  
2157    CARRINGTON JUNIOR SCHOOL  
5204    CASTLEFIELD SCHOOL  
2005    CEDAR PARK SCHOOL  
2016    CHALFONT ST GILES INFANT SCHOOL AND NURSERY  
2182    CHALFONT ST GILES JUNIOR SCHOOL  
2151    CHALFONT ST PETER INFANT SCHOOL  
2197    CHARTRIDGE COMBINED SCHOOL  
2019    CHEDDINGTON COMBINED SCHOOL  
2020    CHENIES SCHOOL  
3034    CHESHAM BOIS CHURCH OF ENGLAND COMBINED SCHOOL  
2191    CHESTNUT LANE SCHOOL  
2235    CLAYTONS PRIMARY SCHOOL  
3035    COLESHILL CHURCH OF ENGLAND INFANT SCHOOL  
3309    CUDDINGTON & DINTON C OF E SCHOOL  
3038    CURZON CHURCH OF ENGLAND COMBINED SCHOOL

2026 DAGNALL SCHOOL  
 5208 DANESFIELD SCHOOL  
 2027 DENHAM VILLAGE INFANT SCHOOL  
 2000 DISRAELI COMBINED SCHOOL - THE  
 2028 DORNEY SCHOOL  
 2009 DOWNLEY SCHOOL  
 2030 DRAYTON PARSLOW VILLAGE SCHOOL  
 2031 DROPMORE INFANT SCHOOL  
 2032 EAST CLAYDON SCHOOL  
 2033 EDLESBOROUGH SCHOOL  
 2282 ELANGENI SCHOOL  
 2181 ELMHURST SCHOOL  
 2213 ELMTREE SCHOOL  
 2271 FARNHAM COMMON INFANT SCHOOL  
 2142 FARNHAM COMMON JUNIOR SCHOOL  
 2507 FOXES PIECE SCHOOL  
 3330 FRIETH CHURCH OF ENGLAND COMBINED SCHOOL  
 2037 FULMER INFANT SCHOOL  
 3063 GREAT HORWOOD CHURCH OF ENGLAND COMBINED SCHOOL  
 3039 GREAT KIMBLE CHURCH OF ENGLAND SCHOOL  
 3040 GREAT KINGSHILL CHURCH OF ENGLAND COMBINED SCHOOL  
 2167 GRENDON UNDERWOOD COMBINED SCHOOL  
 2040 HADDENHAM INFANT SCHOOL  
 2276 HADDENHAM JUNIOR SCHOOL  
 3073 HADDENHAM ST MARY'S CHURCH OF ENGLAND SCHOOL  
 2333 HALTON COMBINED SCHOOL  
 2233 HANNAH BALL INFANT SCHOOL  
 3072 HAWRIDGE & CHOLESBURY CHURCH OF ENGLAND SCHOOL  
 2162 HAYDON ABBEY SCHOOL  
 3333 HAZLEMERE CHURCH OF ENGLAND COMBINED SCHOOL  
 3025 HIGH ASH CHURCH OF ENGLAND COMBINED SCHOOL  
 3334 HIGH WYCOMBE CHURCH OF ENGLAND COMBINED SCHOOL  
 2352 HIGHWORTH COMBINED SCHOOL AND NURSERY  
 2150 HOLMER GREEN INFANT SCHOOL  
 2200 HOLMER GREEN JUNIOR SCHOOL  
 2345 HOLTSPUR SCHOOL  
 3347 HOLY TRINITY CHURCH OF ENGLAND SCHOOL  
 2242 HUGHENDEN PRIMARY SCHOOL  
 2059 HYDE HEATH INFANT SCHOOL  
 3335 IBSTONE CHURCH OF ENGLAND INFANT SCHOOL  
 2270 IVER HEATH INFANT SCHOOL AND NURSERY  
 2168 IVER HEATH JUNIOR SCHOOL  
 2315 IVER VILLAGE INFANT SCHOOL  
 2061 IVER VILLAGE JUNIOR SCHOOL  
 2189 JOHN HAMPDEN SCHOOL WENDOVER  
 2065 JORDANS SCHOOL  
 2199 JUNIPER HILL SCHOOL  
 3377 KINGSWOOD PRIMARY SCHOOL

2228 LANE END PRIMARY SCHOOL  
 3037 LEE COMMON CHURCH OF ENGLAND SCHOOL  
 2226 LENT RISE COMBINED SCHOOL  
 2068 LEY HILL SCHOOL  
 2153 LITTLE CHALFONT PRIMARY SCHOOL  
 2071 LITTLE KINGSHILL COMBINED SCHOOL  
 3337 LITTLE MARLOW CHURCH OF ENGLAND INFANT SCHOOL  
 3325 LITTLE MISSENDEN CHURCH OF ENGLAND SCHOOL  
 2261 LONG CRENDON SCHOOL  
 3043 LONGWICK CHURCH OF ENGLAND COMBINED SCHOOL  
 5206 LOUDWATER COMBINED SCHOOL  
 3057 MAIDS MORETON CHURCH OF ENGLAND SCHOOL  
 2196 MANOR FARM COMMUNITY INFANT SCHOOL  
 2263 MANOR FARM COMMUNITY JUNIOR SCHOOL  
 3044 MARLOW CHURCH OF ENGLAND INFANT SCHOOL  
 3012 MARSH GIBBON CHURCH OF ENGLAND SCHOOL  
 2049 MARSH SCHOOL  
 3315 MARSWORTH CHURCH OF ENGLAND INFANT SCHOOL  
 2007 MARY TOWERTON SCHOOL - THE  
 2123 MEADOWS SCHOOL - THE  
 2006 MILLBROOK COMBINED  
 3046 MONKS RISBOROUGH CHURCH OF ENGLAND COMBINED SCHOOL  
 3068 MURSLEY CHURCH OF ENGLAND SCHOOL  
 2335 NAPHILL & WALTERS ASH SCHOOL  
 3061 NEWTON LONGVILLE CHURCH OF ENGLAND COMBINED SCHOOL  
 2021 NEWTOWN INFANT SCHOOL AND NURSERY  
 3014 NORTH MARSTON CHURCH OF ENGLAND SCHOOL  
 2001 OAK GREEN SCHOOL  
 3100 OAKLEY CHURCH OF ENGLAND COMBINED SCHOOL  
 2184 OAKRIDGE SCHOOL  
 3375 OUR LADY'S CATHOLIC PRIMARY SCHOOL  
 5201 OVERSTONE COMBINED SCHOOL  
 3015 PADBURY CHURCH OF ENGLAND SCHOOL  
 2084 PRESTWOOD INFANT SCHOOL  
 2204 PRESTWOOD JUNIOR SCHOOL  
 2011 PRINCES RISBOROUGH PRIMARY SCHOOL  
 3074 QUINTON CHURCH OF ENGLAND COMBINED SCHOOL  
 3339 RADNAGE CHURCH OF ENGLAND INFANT SCHOOL  
 2292 ROBERTSWOOD COMBINED AND NURSERY SCHOOL  
 2038 ROUNDWOOD SCHOOL  
 3340 SPEEN CHURCH OF ENGLAND SCHOOL  
 2255 SPINFIELD SCHOOL  
 3367 ST EDWARD'S CATHOLIC JUNIOR SCHOOL  
 3033 ST GEORGE'S CHURCH OF ENGLAND INFANT SCHOOL  
 3008 ST JAMES & ST JOHN C OF E PRIMARY SCHOOL  
 3336 ST JOHN'S CHURCH OF ENGLAND COMBINED SCHOOL  
 3371 ST JOSEPH'S CATHOLIC COMBINED SCHOOL  
 3372 ST JOSEPH'S CATHOLIC INFANT SCHOOL

3376 ST LOUIS CATHOLIC COMBINED SCHOOL  
 3328 ST MARY & ALL SAINTS CHURCH OF ENGLAND PRIMARY SCHOOL  
 3320 ST MARY'S C OF E PRIMARY SCHOOL  
 3020 ST MARY'S CHURCH OF ENGLAND SCHOOL  
 3053 ST MARY'S FARNHAM ROYAL C OF E PRIMARY SCHOOL  
 3017 ST MICHAEL'S CHURCH OF ENGLAND COMBINED SCHOOL  
 3342 ST PAUL'S CHURCH OF ENGLAND COMBINED SCHOOL  
 3361 ST PETER'S CATHOLIC PRIMARY SCHOOL  
 3102 ST PETER'S CHURCH OF ENGLAND COMBINED SCHOOL  
 2107 STEEPLE CLAYDON SCHOOL  
 2108 STOKE MANDEVILLE COMBINED SCHOOL  
 2354 STOKE POGES SCHOOL  
 2269 STOKENCHURCH PRIMARY SCHOOL  
 3028 STONE CHURCH OF ENGLAND COMBINED SCHOOL  
 3305 SWANBOURNE CHURCH OF ENGLAND SCHOOL  
 2205 THOMAS HARDING JUNIOR SCHOOL  
 2219 THOMAS HICKMAN SCHOOL  
 2113 THORNBOROUGH INFANT SCHOOL  
 2180 TILEHOUSE COMBINED SCHOOL  
 2289 TURNFURLONG INFANT SCHOOL  
 2280 TURNFURLONG JUNIOR SCHOOL  
 3056 TWYFORD CHURCH OF ENGLAND SCHOOL  
 2115 TYLERS GREEN INFANT SCHOOL  
 2203 TYLERS GREEN MIDDLE SCHOOL  
 2317 WADDESDON VILLAGE PRIMARY SCHOOL  
 2258 WATERSIDE COMBINED SCHOOL  
 3029 WENDOVER CHURCH OF ENGLAND JUNIOR SCHOOL  
 2055 WEST WYCOMBE COMBINED SCHOOL  
 3065 WESTCOTT CHURCH OF ENGLAND SCHOOL  
 3030 WESTON TURVILLE CHURCH OF ENGLAND SCHOOL  
 3018 WHADDON CHURCH OF ENGLAND SCHOOL  
 2251 WHITCHURCH COMBINED SCHOOL  
 2254 WIDMER END COMBINED SCHOOL  
 2288 WILLIAM HARDING COMBINED SCHOOL  
 3031 WINGRAVE CHURCH OF ENGLAND COMBINED SCHOOL  
 3101 WINSLOW CHURCH OF ENGLAND COMBINED SCHOOL  
 2143 WOODSIDE JUNIOR SCHOOL

### **Secondary Schools**

4004 BUCKINGHAM SCHOOL  
 5407 COTTESLOE SCHOOL - THE  
 4072 CRESSEX COMMUNITY SCHOOL  
 4034 GRANGE SCHOOL - THE  
 4067 MANDEVILLE SCHOOL  
 4042 MISBOURNE SCHOOL - THE  
 4701 ST MICHAEL'S CATHOLIC SCHOOL

## **Special Schools**

7028 BOOKER PARK  
7013 CHILTERN WOOD SCHOOL  
7023 FURZE DOWN SCHOOL  
7018 HERITAGE HOUSE SCHOOL  
7010 PEBBLE BROOK SCHOOL  
7016 STOCKLAKE PARK SCHOOL  
7014 STONY DEAN SCHOOL  
7035 WESTFIELD SCHOOL

## **Pupil Referral Units**

1112 BUCKINGHAMSHIRE PRIMARY P.R.U.  
1105 KITE RIDGE  
1106 ASPIRE P.R.U

## Annex B: Responsibility for redundancy and early 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 was a good reason, 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

Costs of early retirements or redundancies may only be charged to the central part of the Schools Budget 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.

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 Schools Forum agree, 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 agree 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: Categories of work which governing bodies must finance from their budget

### REVENUE

("Repair" = Revenue)

Building Element	School Responsibilities	Shared Responsibilities *(but subject to a School's financial threshold)	Authority Responsibilities (BCC Property Services)
<b>Foundations</b>			
Structure			Repairs to all structural work to walls or wall support below ground including underpinning piles, ground beams, pier bases, footings.
<b>Frames</b>			
Structure	Repairs to painting/decoration and fire protective cladding.		Repairs to all structural members in steel, concrete or timber frames including ties, bracings (including wind bracing), bolts, base plates and wedgings.
<b>External Walls</b>			
Structure, Masonry, Cladding	Preventative measures to prevent cracking etc, eg tree removal.	Minor repairs to non-structural cracks and pointing.	Minor repairs to structural walls, below de minimis value.

### CAPITAL

(Above de minimis of £4000 only. Below de minimis = Revenue)

Building Element	School Responsibilities	Shared Responsibilities *(but subject to a School's financial threshold)	Authority Responsibilities (BCC Property Services)
<b>Foundations</b>			
Structure			Replacement or initial provision of structural work to walls or wall support below ground including underpinning piles, ground beams, pier bases, footings.
<b>Frames</b>			
Structure			Replacement or initial provision of structural members in steel, concrete or timber frames including ties, bracings (including wind bracing), bolts, base plates and wedgings.
<b>External Walls</b>			
Structure, Masonry, Cladding			All structural work to walls involving underpinning/ propping and major repairs resulting from structural failure or

External Finish		Repair/ replacement/ repointing of small parts of an existing structure, eg recladding isolated areas of a wall or applied surface finishes, renderings, tile hanging, boarding, where failure has occurred.	Work required to prevent imminent, or correct, actual major failure of the structure, eg repointing/ recladding/ dpc / expansion and mortar joints.
<b>Masonry Chimneys</b>			
Structure		Repair/ replacement of small parts of the existing structure, eg repointing/ recladding/ pots/ cowls/ flashings in isolated areas where failure has occurred.	Work required to prevent imminent, or correct, actual major failure of the structure, eg repointing/ recladding/ dpc / expansion and mortar joints.
<b>Flat Roofs - Felt, Asphalt, Metal and Other Finishes</b>			
Flat Roof Structure		Replace small areas of rotten or defective timber; make good minor areas of spalling concrete where reinforcing bars exposed.	Repairs to existing structure to prevent imminent or correct actual failure of the structure

			movement, above diminimis value.
External Finish			Work required to prevent imminent, or correct, actual major failure of the structure or replacement build to all or substantial parts of a building.
<b>Masonry Chimneys</b>			
Structure			Work required to prevent imminent, or correct, actual major failure of the structure or replacement build to all or substantial parts of a building.
<b>Flat Roofs - Felt, Asphalt, Metal and Other Finishes</b>			
Flat Roof Structure			Replacement of all or substantial part of an existing structure to prevent imminent or correct actual major failure of the structure

Flat Roof Screed/ Insulation	Repairing minor roof leaks.	Work to repair/ replace small areas of screed.	Replacement/ repair of all/ substantially all. Improvement to insulation standards would be part of the replacement work.
Flat Roof Finishes		Repair/ replacement of small areas of defective roof finish on an existing building to prevent immediate water penetration. (covered by BuyBack)	
Flat Roof Edge Trim/ Fascia	Cleaning and repainting.	Isolated/ individual repairs/ replacement.	
Flat Roof Drainage	Clearing out gutters and downpipes. Replacement/ repair/ repainting of individual gutters/ pipes/ hoppers etc.		
Flat Roof Other  (eg flashings, rooflights)	Cleaning of individual items.	Repair/ replacement of individual items.	
<b>Pitched Roofs - Slates, Tiles and Other Finishes</b>			
Pitched Roof Structure		Replace/ repair small areas of rotten/ defective joists, rafters, purlins etc	Repairs to an existing structure to prevent imminent or correct actual major failure of the structure.

Flat Roof Screed/ Insulation			Replacement/ repair of all/ substantially all. Improvement to insulation standards would be part of the replacement work.
Flat Roof Finishes			Replacement of all/ substantially all of an existing roof finish which has life expired.
Flat Roof Edge Trim/ Fascia			Replacement of all/ substantially all on existing roof.
Flat Roof Drainage			Replacement of all/ substantially all of existing roof drainage system.
Flat Roof Other  (eg flashings, rooflights)			Replacement of all/ substantially all on existing roof.
<b>Pitched Roofs - Slates, Tiles and Other Finishes</b>			
Pitched Roof Structure			Replacement of all or substantial part of an existing structure to prevent imminent or correct actual major failure of the structure.

Pitched Roof Insulation	Providing insulation where none exists or is below current standards.	Repair of insulation to original standard where damaged as a result of maintenance work and below threshold limit.	Repair of insulation to original standard where damaged as a result of maintenance work and above threshold limit.
Pitched Roof Finishes	Repairing minor roof leaks.	Replace missing/damaged tiles.  (covered by BuyBack) (NB any asbestos materials must be removed by specialists organised by BCC).	
Pitched Roof Bargeboards/ Fascias	Cleaning and repainting.	Repairs/ replacement areas of rotten/ defective boards. (NB any asbestos materials must be removed by specialists organised by BCC).	
Pitched Roof Drainage	Clearing out gutters and downpipes. Replacement/ repair/ repainting of individual gutters/ pipes/ hoppers etc.	Replacement of all/ substantially all on existing roof, below threshold and deminimis limits.	
Pitched Roof Other  (eg Flashing/ Roof Windows)	Cleaning of individual items.	Replacement of individual items.	
<b>Other Roof Finishes</b>			
Other Roof Finishes ie Steel, Copper, Lead	Repairing minor roof leaks.	Repair/ replacement of small areas. (as for other roof finishes)	

Pitched Roof Insulation			Replacement of all or substantially all insulation to current standard as part of roof replacement work.
Pitched Roof Finishes			Replacement of all/ substantially all on existing roof.
Pitched Roof Bargeboards/ Fascias			Replacement of all/ substantially all on existing roof.
Pitched Roof Drainage			Replacement of all/ substantially all on existing roof, above threshold and deminimis limits.
Pitched Roof Other  (eg Flashing/ Roof Windows)			Replacement of all/ substantially all on existing roof.
<b>Other Roof Finishes</b>			
Other Roof Finishes ie Steel, Copper, Lead			Replacement of all/ substantially all.  (as for other roof finishes)

Thatched Roof		Repair/ replacement of small areas by specialists.	
<b>Other External &amp; Ancillary Structures</b>			
Other outbuildings ie: garages, greenhouses, outside stores, sheds, shelters, cycle racks, signs, canopies, flagpoles, etc	Generally all repair/ maintenance and renewal of outbuildings.	Repair/ replace small areas of masonry structures where built as an integral/ permanent part of the original school	Repairs to a masonry structure where built as an integral/ permanent part of the original school.
Demolition			All work associated with the demolition of buildings. (Excludes those buildings where School has accepted full responsibility)
Transportable Buildings  (inc Pre-Engineered)	Repair and maintenance of small areas and individual items as described elsewhere.	Repair/ maintenance of all/ substantially all as described elsewhere.	
Timber Preservation Treatment	Treatment of all/ substantially all of a building.	Remedial and active measures against wet rot and dry rot (by specialists).	
Pest Control/Disinfection	All works associated including preventative measures.	Remedial and active measures against insect attack (by specialists).	
Covered Links	All repairs and maintenance of covered links installed by school.	General repairs and maintenance.	
Porches	All repairs and maintenance of porches installed by	General repairs and maintenance.	

Thatched Roof			Replacement of all/ substantially all by specialists.
<b>Other External &amp; Ancillary Structures</b>			
Other outbuildings ie: garages, greenhouses, outside stores, sheds, shelters, cycle racks, signs, canopies, flagpoles, etc			Replacement of all/ substantially all of a masonry structure where built as an integral/ permanent part of the original school.
Demolition			
Transportable Buildings  (inc Pre-Engineered)			
Timber Preservation Treatment			
Pest Control/Disinfection			
Covered Links			Rebuild all or sustantially all of structure and finish of existing covered link.
Porches			Rebuild all or substantially all of structure and finish of

	school.		
<b>Floors</b>			
Ground Floor		Repair/ replacement of small parts of an existing structure/ dpm.	
Structure and Damp Proof Membranes (dpm)			
Ground Floor	Minor repairs and maintenance of screed and finishes. Replacement of mats/ matwells. Maintenance eg revarnishing wooden floors, replacement of carpets/ tiles in a room.	Replacement of all/ substantially all of existing floor – eg replacement of wood block or granwood flooring.	
Screed and Finishes, including Raised Access Floors			
Floor Ducts	Minor repairs to finishes.		
Staircases	Minor repairs and maintenance to finishes, coverings, applied nosings, soffits, levelling screeds.	Replacement of all/ substantial part of staircase/ landings, balustrades, hand- rails, (other than external metal fire escape).	
Metal Fire Escape Staircases	Regular cleaning and redecoration.	Regular maintenance and minor repairs to	Renewal/ replacement of all/ substantially all of the structure.

			existing porch.
<b>Floors</b>			
Ground Floor			Replacement of all or substantial part of an existing structure to prevent imminent or correct actual major failure of the structure/ dpm.
Structure and Damp Proof Membranes (dpm)			
Ground Floor		Replacement of all/ substantially all of existing floor – eg replacement of wood block or granwood flooring.	
Screed and Finishes, including Raised Access Floors			
Floor Ducts			Replacement of all or substantially all of existing floor ducts.
Staircases		Replacement of all/ substantial part of staircase/ landings, balustrades, hand- rails, (other than external metal fire escape).	
Metal Fire Escape Staircases			Renewal/ replacement of all/ substantially all of the



		ensure the escape is always useable.	
Upper Floor Structure		As ground floor – minor repairs and maintenance to structure, joists, etc.	
Upper Floor Screed and Finishes	As ground floor.	As ground floor.	
Accesses (other than stairs)	Regular cleaning and redecoration.	Regular maintenance and minor repairs to ensure the access is always useable.	Renewal/ replacement of all/ substantially all of the structure.
<b>Ceilings - (Plaster Linings, Tiling Boards, Access Hatches, Panels, Coves)</b>			
Top/ Only Storey	Repair/ replacement, inc suspension and all decoration, inc resulting from water damage.		
Suspended Ceilings			
Plasterboard/ Fixed Other	Repair/ replacement, inc decoration, inc resulting from water damage.		
Access Panels	Repair/ replacement.		
Lower Storeys	Repair/ replacement, inc suspension and all decoration.		
Suspended Ceilings			

			structure.
Upper Floor Structure			As ground floor – replacement of all/ substantially all of an existing floor.
Upper Floor Screed and Finishes		As ground floor.	
Accesses (other than stairs)			Renewal/ replacement of all/ substantially all of the structure.
<b>Ceilings - (Plaster Linings, Tiling Boards, Access Hatches, Panels, Coves)</b>			
Top/ Only Storey			
Suspended Ceilings			
Plasterboard/ Fixed Other			
Access Panels			
Lower Storeys			
Suspended Ceilings			

All Ceilings	Specialist removal/ replacement of damaged/ disturbed Asbestos based materials (including Artex ceiling coatings) <u>as part of a Self-Help project</u> , applying sealant coats to exposed asbestos surfaces for protection, inspection/ air testing. Specialist has to be organised by BCC.	Specialist removal/ replacement of damaged/ disturbed Asbestos based materials (including Artex ceiling coatings), applying sealant coats to exposed asbestos surfaces for protection and inspection/ air testing. Specialist has to be organised by BCC.	
(Asbestos materials)			
<b>Windows &amp; Doors - Wood, Metal, PVCU</b>			
External Windows and Doors	Repair/ replacement of individual windows and doors including framing, including sashes, cills, moulds, storey height frames, window boards, linings, architraves, mastic joints to brickwork. All decoration and repainting.		
Curtain Walling	Repair/ replacement of individual elements as for external windows and doors.		
<b>General</b>			

All Ceilings		Specialist removal/ replacement of damaged/ disturbed Asbestos based materials (including Artex ceiling coatings), applying sealant coats to exposed asbestos surfaces for protection and inspection/ air testing. Specialist has to be organised by BCC.	Specialist removal/ replacement of damaged/ disturbed Asbestos based materials as part of a planned replacement programme, applying sealant coats to exposed asbestos surfaces for protection, inspection/ air testing. Specialist has to be organised by BCC.
(Asbestos materials)			
<b>Windows &amp; Doors - Wood, Metal, PVCU</b>			
External Windows and Doors			Replace all or substantially all external windows and doors as part of a phased structural replacement programme.
Curtain Walling			Replace all or substantially all curtain walling, as part of a phased replacement programme. Includes replacement of all structural elements.
<b>General</b>			

Glazing (inc safety film)	Replacing broken glass, safety film, gaskets, silicones, mastics/ other sealants and decoration of any beading/ putty. Temporary boarding for security.	Upgrading existing external glazing to meet statutory safety requirements.	Replacement of all/ substantially all safety filming to glass as part of a replacement programme.
Ironmongery	Repair/ replacement, upgrading locks etc, including winding gear, stays, fasteners, opening cords, pulls etc.		
Jointing	Replacement including mastic joints.		
Painting & Decorating	All external and internal decoration including cleaning down and preparation.		
Internal Joinery, Fixtures and Fittings etc	General repair and maintenance of skirtings, architraves, dado rails, curtain battens/ tracks, curtains, blinds, shelving, battens, bearers, hooks, rails, racks, cupboards, benches, fittings, lockers, display boards, signs, seating, bleachers, furniture etc.		
Gymnasium Equipment	All fixed (and loose) sports and gymnasium		

Glazing (inc safety film)		Upgrading existing external glazing to meet statutory safety requirements.	Replacement of all/ substantially all safety filming to glass as part of a replacement programme.
Ironmongery			
Jointing			
Painting & Decorating			
Internal Joinery, Fixtures and Fittings etc			
Gymnasium Equipment			

	equipment, court markings etc.		
<b>Internal Walls - Loadbearing or Non-Loadbearing</b>			
Solid Walls	Repairs and redecoration to internal plaster/ linings, tiles, pinboards etc, including applied finishes.		
Partitions  (non load-bearing)	Repairs and redecoration.	Complete/ replacement of all/ substantially all of the defective non load-bearing wall structure including linings, framing, glazing, decoration etc.	
Ducts	Repairs and redecoration.	Complete repair/ replacement of all, as for non load-bearing partitions.	
Doors and Screens  (inc toilet and shower cubicles)	Internal maintenance and redecoration. Repair/ replacement of individual defective doors and screens.	Complete replacement of all/ substantially all of the structure including glazing, ironmongery and jointing.	
All Internal Glazing	Replacement of broken glass.	Glazing to meet statutory Health & Safety requirements.	
Roller Shutters		Maintenance, repair and	

<b>Internal Walls - Loadbearing or Non-Loadbearing</b>			
Solid Walls			Replacement of all/ substantially all of the entire defective wall structure including various internal finishes and linings.
Partitions  (non load-bearing)		Replacement of all/ substantially all of the defective non load-bearing wall structure including linings, framing, glazing, decoration etc.	
Ducts		Complete repair/ replacement of all, as for non load-bearing partitions.	
Doors and Screens  (inc toilet and shower cubicles)	Internal maintenance and redecoration. Repair/ replacement of individual defective doors and screens.	Complete replacement of all/ substantially all of the structure including glazing, ironmongery and jointing.	
All Internal Glazing		Glazing work to meet statutory Health & Safety requirements.	
Roller Shutters		Replacement of shutters	

		replacement.	
Sliding/Folding Partitions	Maintenance, repair and replacement where installed by the school.	Maintenance, repair and replacement where not installed by the school.	
<b>Sanitary Services</b>			
Changing Rooms/Lavatories	<p>Repair/ replacement of damaged or worn fittings (inc automatic fittings), waste plumbing etc.</p> <p>Repair/ replacement of damaged or worn sanitaryware, sinks, baths, showers, basins, wc suites, urinals, drinking fountains, fittings, including waste plumbing etc.</p> <p>Large scale Changing Room and toilet refurbishments.</p>	Replacement of all/ substantially all of the individual banks of sanitaryware, basins, including all fittings, cubicles, plumbing and drainage.	
Kitchens	General refurbishment. Drain & gulley cleaning. Redecoration & repairs. Equipment repairs & replacement.		
<b>Mechanical Services</b>			

Sliding/Folding Partitions		Replacement where not installed by the school.	
<b>Sanitary Services</b>			
Changing Rooms/Lavatories		Replacement of all/ substantially all of the individual banks of sanitaryware, basins, including all fittings, cubicles, plumbing and drainage.	
Kitchens			
<b>Mechanical Services</b>			

Heating/ Hot Water	Regular cleaning of mechanical plant.	General maintenance of all mechanical plant including replacement of minor defective parts.	Planned replacement of old boilers (LPG, Oil & Gas)/ controls/ systems past the end of their useful life, including:	Heating/ Hot Water			Planned replacement of old boilers (LPG, Oil & Gas)/ controls/ systems past the end of their useful life, including:
Boilers and Burners	NB Energy saving projects are now part of BCC Energy Team's remit.	Regular cleaning/ servicing.	Heating and HWS boilers and burners and associated flues, fittings and components	Boilers and Burners			Heating and HWS boilers and burners and associated flues, fittings and components
		Monitoring systems.					
		Health and Safety issues.	Heating, HWS and sump pumps, calorifiers, pressurisation units and expansion vessels, cylinders, valves, gauges. Oil storage tanks, pipes, valves, gauges and associated equipment				Heating, HWS and sump pumps, calorifiers, pressurisation units and expansion vessels, cylinders, valves, gauges. Oil storage tanks, pipes, valves, gauges and associated equipment
		Regular servicing.	Control equipment and associated components, wiring and control panels for heating and HWS systems including zone, optimum start and energy management controls and sub metering.				Control equipment and associated components, wiring and control panels for heating and HWS systems including zone, optimum start and energy management controls and sub metering.
		(all covered by BuyBack)	Steel chimney structures with associated				Steel chimney structures with associated

Boiler Room Ancillary Equipment			components, insulation and external finishes.	Boiler Room Ancillary Equipment			components, insulation and external finishes.
			Fan convector heating casings, heating batteries, valves and fittings.				Fan convector heating casings, heating batteries, valves and fittings.
		NB Energy saving projects are now part of BCC Energy Team's remit.					
			Room heaters, including guards, flues, thermostats, controls, associated pipework, tanks and cylinders.				Room heaters, including guards, flues, thermostats, controls, associated pipework, tanks and cylinders.
Automatic Controls				Automatic Controls			
Steel Chimneys				Steel Chimneys			
Fan Convectors	External cleaning.			Fan Convectors			
Oil and Gas Fired				Oil and Gas Fired			

Room Heaters			
Mixing Valves	(see legionella testing)	Servicing etc as above.  (covered by BuyBack)	Replacement of manual and thermostatically controlled mixing valves and blenders and associated components.
Asbestos Materials in Mechanical Services Installations	Specialist removal/ replacement of damaged/ disturbed Asbestos based materials (including Artex ceiling coatings) <u>as part of a Self-Help project</u> , applying sealant coats to exposed asbestos surfaces for protection, inspection/ air testing. Specialist has to be organised by BCC.	Specialist removal/ replacement of damaged/ disturbed Asbestos based materials (including Artex ceiling coatings), applying sealant coats to exposed asbestos surfaces for protection, inspection/ air testing. Specialist has to be organised by BCC.	Specialist removal/ replacement of damaged/ disturbed Asbestos based materials (including Artex ceiling coatings), as part of a planned replacement programme or during emergency replacement of boiler plant/ systems/ equipment/ controls, applying sealant coats to exposed asbestos surfaces for protection, inspection/ air testing. Specialist has to be organised by BCC.
Cold Water		Minor maintenance and repair/ replacement of defective parts such as servicing pipes. Annual servicing of cold water tanks. (covered by BuyBack)	

Room Heaters			
Mixing Valves			
Asbestos Materials in Mechanical Services Installations	Specialist removal/ replacement of damaged/ disturbed Asbestos based materials (including Artex ceiling coatings) <u>as part of a Self-Help project</u> , applying sealant coats to exposed asbestos surfaces for protection, inspection/ air testing. Specialist has to be organised by BCC.	Specialist removal/ replacement of damaged/ disturbed Asbestos based materials (including Artex ceiling coatings), applying sealant coats to exposed asbestos surfaces for protection, inspection/ air testing. Specialist has to be organised by BCC.	Specialist removal/ replacement of damaged/ disturbed Asbestos based materials (including Artex ceiling coatings), as part of a planned replacement programme or during emergency replacement of boiler plant/ systems/ equipment/ controls, applying sealant coats to exposed asbestos surfaces for protection, inspection/ air testing. Specialist has to be organised by BCC.
Cold Water			Planned replacement of cold water services, storage tanks, distribution, pipework boosters, hose reels etc.



Legionella Testing	Regular testing of water quality and temperature in line with BCC guidance.	Annual inspections/ testing and carrying out of any remedial works required in line with BCC guidance. (covered by BuyBack)	
Gas		Day to day repairs, maintenance and gas safety. All servicing.  (covered by BuyBack)	
Ventilation  (Mechanical, Comfort Cooling, Heat Pumps and Air Conditioning Systems)	Cleaning accessible surfaces and local fans, including associated hoods and canopies. Resetting time clocks.  Maintenance, repairs, servicing and replacement of all air handling units and duct mounted fans, wiring, mountings, supports, controls, isolators, time clocks, etc <u>where installed by School.</u>	Repair/ replacement of defective systems and cleaning of units where not installed by school.  (covered by BuyBack)	

Legionella Testing			Planned compliance remedial works
Gas			Planned replacement/ major refurbishment of distribution pipework and control equipment.
Ventilation  (Mechanical, Comfort Cooling, Heat Pumps and Air Conditioning Systems)			Renewal/ replacement of all/ substantially all extract fans, wall and roof mounted including wiring, mountings, controls and isolators.  Renewal/ replacement of all/ substantially all air handling units and duct mounted fans, wiring, mountings, supports, controls, isolators, time clocks, heating coils, dampers, ductwork, insulation, filters, and louvres, where not provided by school.

Biomass Boilers  (inc all associated plant and pellet storage)	Day to day maintenance and operating regime as set down by installer. Maintenance of storage area to the required atmospheric conditions.	Minor repair/ replacement of defective parts and servicing (covered by BuyBack if not subject to terms of an installation contract)	Planned replacement/ major refurbishment of boiler and associated fittings, including storage facilities, and flues.
Building Energy Management Systems (BEMS)	General day to day maintenance and setting (in conjunction with BCC Energy Team)	Repairs to system. Annual servicing.  (covered by BuyBack)	Planned replacement of system.
Swimming Pool Plant	Summerisation and winterisation of pools.  (subject to Buy-Back supplement)	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.  (subject to BuyBack supplement)	
Science Equipment inc Fume Cupboards and Gas Taps	General repair and servicing.	Replacement of extract fans, ductwork, controls, gas/ water/ electrical services.	
<b>Electrical Services</b>			

Biomass Boilers  (inc all associated plant and pellet storage)				Planned replacement/ major refurbishment of boiler and associated fittings, including storage facilities, and flues.
Building Energy Management Systems (BEMS)				Planned replacement of system.
Swimming Pool Plant				Swimming pool plant planned maintenance.
Science Equipment inc Fume Cupboards and Gas Taps				
<b>Electrical Services</b>				

General	Resetting of tripped circuit breakers.	Testing/ replacement of individual distribution boards. The repair and maintenance of all switchgear and interconnecting cables including that in temporary buildings. (covered by BuyBack)	Renewal/ replacement of main switchgear and distribution in major projects.	General			Planned renewal/ replacement of main switchgear and distribution.
Health & Safety			All testing, earthing and bonding to meet Health and Safety. Renewal/ replacement of obsolete and dangerous wiring systems, including distribution boards.	Health & Safety			
Power	All testing, repair and replacement of small items of equipment. (PAT testing)		Renewal/ replacement of control gear, distribution, fixed equipment, protection, etc.	Power			Planned renewal/ replacement of control gear, distribution, fixed equipment, protection, etc.
Lighting	Replacement of tubes, bulbs, diffusers etc.	Replacement of individual luminaires.	Renewal/ replacement of all/ substantial part of luminaires.	Lighting			Planned renewal/ replacement of all/ substantial all luminaires.
Intruder Alarm Systems/ CCTV / Panic Alarms	Renewal/ replacement of any intruder alarm, CCTV systems and panic alarms.	Repair and servicing for DDA toilet alarm systems.		Intruder Alarm Systems/ CCTV / Panic Alarms			
Door Access Systems	Day to day minor repairs and servicing, including all door access systems (other than DDA).	Day to day minor repairs and servicing for DDA door access systems.		Door Access Systems			

		(covered by BuyBack)	
IT Cabling, TV Aerials & Satellite Dishes	All maintenance and repair of IT cabling, IT distribution, IT equipment, aerials and dishes.		
Lightning Protection		Maintenance and inspection.  (covered by BuyBack)	Renewal/ replacement of all/ substantially all lightning protection and external earthing systems.
Lifts, Hoists and other DDA Lifting Equipment	Servicing/ renewal/ replacement of lifting aids.		Servicing/ renewal/ replacement of lifts/ hoists including wiring controls and isolators.
Fire Alarm Systems, Emergency Lighting and Time Controls	Resetting of fire alarms, fire detection, time controls and clocks.	Servicing of fire alarms, fire detection, time controls and clocks.  Minor maintenance and repair/ replacement of defective parts. (covered by BuyBack except closed protocol systems which would be subject to	

IT Cabling, TV Aerials & Satellite Dishes			
Lightning Protection			Renewal/ replacement of all/ substantially all lightning protection and external earthing systems.
Lifts, Hoists and other DDA Lifting Equipment			Renewal/ replacement of lifts/ hoists including wiring controls and isolators.
Fire Alarm Systems, Emergency Lighting and Time Controls			Renewal/ replacement of all/ substantially all emergency lighting, fire detection and alarm systems, call bell system and master clock systems. All wiring and components associated with these systems including electro-magnetic door holders (but excluding door closers).

		a separate agreement)					
Fan Convectors	Cleaning grilles and filters. Resetting of thermostats and time switches.	Servicing of fans, motors, batteries, minor maintenance and repair/ replacement of defective parts.  (covered by BuyBack)		Fan Convectors			Renewal/ replacement of all/ substantially all units, including internal and external wiring, switches, controls, remote thermostats and time switches.
Electrical Space and Water Heating Equipment	Portable electrical heating equipment and associated flexes and plugs.	Servicing and minor maintenance and repair/ replacement of defective parts.  (covered by BuyBack)	Electric incinerators and macerators including wiring, elements, linings, controls, isolators.	Electrical Space and Water Heating Equipment			Renewal/ replacement of all/ substantially all electric water heating equipment and associated equipment/ devices, wiring and controls.  Underfloor heating and ceiling heating systems including elements, wiring, controls and isolators.
Ventilation Equipment inc Dust Extraction	Cleaning accessible surfaces including associated hoods, wall fans, canopies etc. Resetting time clocks. Emptying of extraction collectors.	General day-to-day maintenance, repairs and servicing where <u>not</u> installed by school.		Ventilation Equipment inc Dust Extraction			Renewal/ replacement of all/ substantially all extract fans, wall and roof mounted including wiring, mountings, controls and isolators.

	Maintenance, repairs and servicing of all air handling units and duct mounted fans, wiring, mountings, supports, controls, isolators, time clocks, etc <u>where installed by School.</u>	(covered by BuyBack)					Renewal/ replacement of all/ substantially all air handling units and duct mounted fans, wiring, mountings, supports, controls, isolators, time clocks, where not installed by school.
Catering kitchen extract systems	Maintenance, repairs and servicing of catering kitchen extract systems.				Catering kitchen extract systems		
Specialist Equipment	Stage lighting including associated dimmers, controls and wiring.  Maintenance and servicing of electric hand and hair dryers.	General day-to-day maintenance, repairs and servicing of all items in right-hand column.	Renewal/ replacement of all/ substantially all sewage plant, water boosters, pumps, and standby generators.		Specialist Equipment		Renewal/ replacement of all/ substantially all sewage plant, water boosters, pumps, and standby generators.
Radon Monitoring			Installation and maintenance of all radon detection and monitoring equipment.		Radon Monitoring		Installation of all radon detection and monitoring equipment.
<b>Services: General</b>				<b>Services: General</b>			
All Mains Services Intakes/ Distribution	Main services upgrade resulting from self-financed project.				All Mains Services Intakes/ Distribution		All repairs/ renewals of heating mains, gas mains, water mains, electricity mains. Supply companies responsible for mains meters.

Catering Kitchens	Maintenance and repair of all kitchen catering equipment inc cookers, ovens, ban marries, fridges, chillers, freezers and server units etc.		
Solar and Photovoltaic Systems, Wind Turbines	All maintenance and repair of solar and photovoltaic systems, and wind turbines.		
<b>External Works &amp; Miscellaneous</b>			
Paved Areas, etc.	General day to day maintenance and repair (including patch repairs), sweeping and cleaning of play, and paved areas, paths, car parks, courts, playgrounds and playground markings.	Renewal and replacement of all/ substantially all roads, car parks, paths, courts, terraces, play pitches, playgrounds, steps and handrails.	
Multi-Use Game Areas (MUGAs) & Synthetic Pitches	All maintenance and repairs, including to surfaces, markings, goals, nets, fencing, drainage, and floodlighting.		
Walls, Fencing, Gates etc.	General day to day maintenance and repair of all perimeter walls, boundary walls, fencing, gates and bollards.	Replacement of all/ substantially all walls, fencing, gates and ancillary buildings. Repair of retaining walls.	

Catering Kitchens			
Solar and Photovoltaic Systems, Wind Turbines			
<b>External Works &amp; Miscellaneous</b>			
Paved Areas, etc.		Renewal and replacement of all/ substantially all roads, car parks, paths, courts, terraces, play pitches, playgrounds, steps and handrails.	Provision of disabled access requirements via the Schools Access Initiative (SAI) fund. (Funded by Service Area)
Multi-Use Game Areas (MUGAs) & Synthetic Pitches			
Walls, Fencing, Gates etc.		Replacement of all/ substantially all walls, fencing, gates and ancillary buildings. Repair of retaining walls.	

Drainage	Cleaning and general day-to-day maintenance of drains, gullies, grease traps, macerators, dosing systems, clay traps, soakaways, manholes, and connections to main sewers, including unblocking and descaling as necessary. Emptying of septic tanks	Maintenance/ repair of pumps within drainage systems.		Drainage			Replacement/ reconstruction of drains, manholes, soakaways, inspection chambers and sewage plant, incl. septic tanks.
Internal and External				Internal and External			
Swimming Pools	Hygiene, cleaning, maintenance and repairs, including replacement of minor parts. Simple energy saving systems.			Swimming Pools			Renewal/ replacement of all/ substantially all of the structure including linings, hygiene/ safety and electrical servicing, SUBJECT TO Service Director approval.
(excluding plant)				(excluding plant)			
Telecommunication masts	Repair and maintenance of masts and all associated equipment as agreed with the provider.			Telecommunication masts			
Play Equipment	The maintenance and repair of all play equipment, including supporting structure and associated safety surfaces, fixed and moveable goal posts, jumping pits			Play Equipment			



	and run-up areas.		
Grounds Maintenance	The regular maintenance and inspection of the grounds (soft landscaping) such as all trees, shrubs, grass, plant beds. Line markings for team games.		
Fire Fighting Equipment	Servicing repair and replacement of fire extinguishers, blankets, hose reels and winding mechanism.	General servicing and repair of sprinkler and other fire suppression systems.	
Vandalism/Malicious Damage/Pest Control	All repairs etc due to vandalism/ malicious damage together with all forms of pest control.	Repairs associated with minor fire or flood damage.	Repairs only associated with major fire or significant flood damage.

Grounds Maintenance			
Fire Fighting Equipment			Renewal/ replacement of all/ substantially all of the sprinkler or other fire suppression systems.
Vandalism/Malicious Damage/Pest Control			Repairs only associated with major fire or significant flood damage, SUBJECT TO Loss Adjuster approval.



## Appendix 2 Anonymised responses to consultation on the changes to the Scheme for Financing Schools

### Response 1

As a school Bursar I would like to respond to the Consultation on changes to the Scheme for Financing Schools. I am mainly concerned with the practical aspects of complying with the proposed changes in 2.3:

**"2.3 Submission of budget plans:** It has been decided that only the governing body can approve the formal annual budget plan, previously it could be a committee of the governing body."

There is usually a very short time between final end-of-year figures being made available and the deadline for submission of the new year budget plan. In 2016 the figures were available on May 3rd and the budget plan needed to be submitted by 18th May. It is hard enough to schedule a Finance Committee meeting in that window in order to approve a new budget, but if schools also have to schedule a Full Governing Body meeting this could be very difficult. If all schools are going to ask for these Full Governing Body meetings to be clerked by BLT then I imagine that BLT will have a problem supplying clerks too.

In any case, dates for FGB meetings are already set for Summer 2017 and many will be in the second half of the term. However, their previous meetings in the second half of the Spring term will be too early to approve a budget.

On a more personal note, I also work in several schools, so have a compounded problem of scheduling this several times over. Would e-mail approval from the FGB members be a possible solution to replace an actual meeting before budget submission?

### Response 2

#### *2.3 Submission of budget plans*

Each school is required to submit a plan to the authority by dates published on Schoolsweb, showing its intentions for expenditure in the current financial year and the assumptions underpinning the budget plan. The plan should take account of any estimated surplus or deficit balance accumulated by the school as at the previous 31 March. Schools must notify the authority of any revision to their financial plans agreed by the governing body during the course of the financial year.

Plans must be submitted in a form notified by the authority and in accordance with the Consistent Financial Reporting Framework. Guidance is available in the Local Management Handbook.

The school's formal annual budget plan must be approved by the governing body.

Financial Forecasts for the current year are required at specified points throughout the year, but will not be required more often than once every 3 months.

**This is unclear – previously the governing body has delegated approval to the Finance committee with ratification at the next FGB. The wording here does not necessarily preclude that although there are a number of scenarios that could arise from this guidance:**

- 1. That there has to be a clerked FGB between the issuing of the budget in late March (it has been as late as 31 March in the past) and approval by May. This means that all schools in Bucks would need to develop their budget and have a clerked FGB in a very short window which would be logistically challenging for governor services to be able to deliver.**
- 2. That a non clerked FGB could meet for one agenda item in place of a finance committee and agree the budget – this would not replace the ‘regular’ FGB.**
- 3. Email approval by FGB of the plan after agreement by the finance committee.**
- 4. The status quo where authority is delegated to the finance committee and then approved at the next scheduled FGB.**

**Of these, I see option 1 as being very difficult for schools to deliver if they are to be in line with the new manual. I would not support this route.**

**Option 2 would be a possibility – is there legitimacy in the fact that it would not be clerked?**

**Option 3 would secure approval – but e-mail routes tend not to invite discussion in the same way as a meeting and may still cause issues with a lack of clerking.**

**Option 4 recognises that the FGB has delegated this decision to the finance committee, but still retains veto in a clerked meeting (although this may well be after the submission deadline). This is the most practical route for schools and does not appear out of step with the wording of the new handbook, but clarity is needed.**