



Schools Forum Agenda

Date: Tuesday 27 June 2023

Time: 1.30 pm

Venue: The Oculus, Buckinghamshire Council, Gatehouse Road, Aylesbury HP19 8FF

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| Agenda Item | Time | Page No |
|---|--------------|------------------|
| 1 Welcome | 13.30 | |
| 2 Apologies for Absence | | |
| 3 Declarations of Interest To disclose any Personal or Disclosable Pecuniary Interests. | | |
| 4 Minutes of Previous Meeting | | To Follow |
| 5 Update from SFFG Verbal update to be provided by the Chairman of the SFFG. | 13.40 | |

| | | | |
|-----------|---|--------------|------------------|
| 6 | Terms of Reference for SFFG | 13.50 | 5 - 8 |
| 7 | Report of the DSG Spending Review Group To be presented by Ms E Williams, Head of Finance (Children's Services) and Mr S James, Director for Education- Buckinghamshire Council. | 14.00 | 9 - 56 |
| 8 | Final Outturn Report 2022-23 To be presented by Ms E Williams, Head of Finance (Children's Services)- Buckinghamshire Council. | 14.20 | 57 - 60 |
| 9 | Schools Revenue Balances To be presented by Ms E Williams, Head of Finance (Children's Services) and Mr J Carter, Schools Management Accountant- Buckinghamshire Council. | 14.40 | 61 - 64 |
| 10 | Buckinghamshire Scheme for Financing Schools To be presented by Ms E Williams, Head of Finance (Children's Services) and Mr J Carter, Schools Management Accountant- Buckinghamshire Council. | 15.00 | 65 - 136 |
| 11 | Early Years - increase in hourly rates (as announced in the Budget) To be presented by Ms E Williams, Head of Finance (Children's Services)- Buckinghamshire Council. | 15.20 | 137 - 138 |
| 12 | Report from the Schools Specific Contingency Panel To be presented by the Chairman of the Contingency Panel. | 15.40 | 139 - 142 |
| 13 | AOB | | |
| 14 | Date of Next Meeting Tuesday 10 October 2023- 1.30pm The Oculus, The Gateway, Aylesbury, HP19 8FF | 16.00 | |

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: Christina Beevers
democracy@buckinghamshire.gov.uk 01296 382938



Report to Schools Forum

Date: 27th June 2023

Title: Schools Forum Funding Group – Review of Terms of Reference

Author: Liz Williams, Head of Finance – Children’s Services

Recommendations:

- a) To agree the purpose and meeting frequency of the Schools Forum Funding Group
- b) To agree that the SFFG is required to meet twice a year, prior to the June and January Schools Forum meetings, with additional meetings if required, for example in response to DfE consultations on the National Funding Formula

1. Background

- 1.1. At the January meeting of Schools Forum it was agreed that the Terms of Reference for the Schools Forum Funding Group should be reviewed to establish if the group needed to continue in its current form.

2. Schools Forum Funding Group – Current Position

- 2.1. The Schools Forum Funding Group (SFFG) is a formal Sub-Group of Schools Forum. On investigation the original terms of reference for the group could not be located.
- 2.2. The group currently meets prior to each Schools Forum meeting and reviews papers for the Schools Forum agenda. This process enables more detailed discussion on some of the key issues being raised in the papers and ensures that initial questions can be responded to and papers for Schools Forum amended accordingly.
- 2.3. The original purpose of the group is likely to have been focused around considering options for the Buckinghamshire Local Funding Formula to support in considering options for formula factors and making recommendations to Schools Forum. In more recent years Buckinghamshire has agreed to mirror the National Funding Formula (NFF) and therefore local discretion on formula changes has been reduced.
- 2.4. Much of the focus of the Schools Forum agenda currently is the pressure against the High Needs Block and the impact on the DSG deficit. A DSG Expenditure Review

Group has been established to focus specifically on the High Needs Block and the management of the DSG deficit.

3. Proposals for the Schools Forum Funding Group

3.1. Going forwards, the changes to the local formula to mirror the NFF, and the implementation of the DSG Expenditure Review Group to focus on the high needs block, mean that the SFFG does not have a full agenda prior to each Schools Forum meeting. There are however key meetings during the year when it is helpful for the SFFG to meet to support in reviewing the detail of papers, for example papers on the local funding formula, and on financial outturn.

3.2. The following table shows the key papers considered by Schools Forum on an annual cycle and suggests which sub-group should input into those papers.

| Agenda Item | SF Meeting | Proposed SF Sub-Group |
|--|---|---|
| Revenue Budget Monitoring | Standing Item for all meetings | High Needs element to go to DSG Expenditure Review Group Remaining blocks direct to Schools Forum |
| Revenue Outturn | June Meeting | SFFG |
| Schools Revenue Balances | June Meeting | SFFG |
| Schools Budget Proposals and NFF | Initial paper on NFF Guidance in October Budget Proposals to December and January meetings | SFFG to meet prior to the October meeting <u>if</u> there are specific changes proposed to NFF and consulted on by the DfE SFFG to meet prior to January Schools Forum |
| De-delegation Proposals | December | Maintained Schools Committee |
| Schools Specific Contingency Proposals | March | Schools Specific Contingency Panel |
| High Needs Block Update | Standing Item for all meetings | DSG Expenditure Review Group |
| Delivering Better Value in SEND | Standing Item for all meetings | DSG Expenditure Review Group |

3.3. A review of the standing agenda items for Schools Forum suggests that the SFFG should meet prior to the June Schools Forum and the January Schools Forum meetings. A further meeting may be required in the Autumn term to consider any NFF changes proposed by the Department for Education (DfE), particularly if any consultation is required.

3.4. For completeness, the meeting frequency for other sub-groups should remain as follows:

- **DSG Expenditure Review Group** – 5 meetings per year, to align with the Schools Forum meetings
- **Early Years Forum** – as required, ensuring a meeting takes place in January prior to budget setting decisions
- **Maintained Schools Committee** – annual meeting in the autumn term
- **Schools Specific Contingency Panel** – annual meeting, currently held in February/March

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Report to Schools Forum

Date: 27th June 2023

Title: Report of the DSG Expenditure Review Group

Author: Liz Williams, Head of Finance – Children’s Services

Recommendations:

- a) To note the final outturn position for the High Needs Block in 2022-23
- b) To note the update on the SEND Sufficiency Strategy
- c) To note the information on the DBV Programme, including the full introductory pack, and the expected requirements of the DBV Diagnostic phase.

Purpose of Paper

1.1. This paper updates Schools Forum on the most recent meeting of the DSG Expenditure Review Group. The main items discussed were:

- 1) The high needs block outturn for 2022-23
- 2) Update on the SEND Sufficiency Strategy
- 3) Update on the Delivering Better Value in SEND Programme

2. High Needs Block Outturn 2022-23

2.1. Appendix 1 to this report shows a summary of the financial outturn for the high needs block in 2022-23. High Needs Block has a favourable variance of £0.9m at the end of the year.

2.2. This is a movement of £2.4m from the previous forecast. The main changes are:

- **Post-16 spend** – movement of £2.3m
 - Decisions re Continuing Health Care contributions not always clear or timely and therefore health income not fully forecast
 - Data quality – including data on placements in FE Colleges

- **Integrated Therapies** – movement of £0.9m. Additional investment agreed by the Council not utilised by the Provider as additional staffing not recruited.
- **Top Ups and Place Funding** in schools – increased spend of £0.6m compared with forecast
- **Top ups for Early Years** pupils – reduced spend of £0.1m
- **Alternative Provision** – increased spend of £0.2m compared with forecast

3. Update on SEND Sufficiency Strategy

3.1. The group received an update on the review of the SEND Sufficiency Strategy, key points included:

- 1) The Special School property board has now been expanded into the SEND Sufficiency Impact Group and will now report into the SEND Improvement Board.
- 2) The membership of the group has been broadened to include primary, secondary and special school representation. The group has ensured that the membership links with health and social care through the DSCO, DCO and virtual head.
- 3) Previously the group had focused on projects for school aged pupils, but the expanded board will look at sufficiency for all children and young people with EHC plans, with post 16 an important focus. Alongside continuing to monitor the delivery of a range of different projects to deliver both additional ARP, Units and Special School places.

4. Delivering Better Value in SEND

4.1. On 22nd June 2022 the DfE launched the new Delivering Better Value in SEND (DBV) programme, which will be delivered in partnership with Newton Europe Limited and Chartered Institute of Public Finance and Accountancy.

4.2. The programme is supporting 55 local authorities (LAs) with substantial or growing deficits to manage their high needs systems, so they provide effective and sustainable SEND services that achieve good outcomes for their children and young people. A Sector Steering Group will jointly oversee this programme ensuring learning is shared more widely with the sector, building further on the research and guidance publications.

4.3. The programme builds on research published by the DfE on [effective management of high needs systems in local authorities](#) which makes 10 recommendations relating to capacity, partnership culture and developing local provision.

4.4. Buckinghamshire is in Tranche 3 of the DBV Programme and will be engaging with CIPFA and Newton Europe Limited in the summer of this year. Initial learning from Tranche 1 local authorities has now been shared. The priorities in the current

Buckinghamshire DSG Recovery Plan are felt to be in line with the key learning shared to date.

Objectives of the Programme

- 4.5. Delivering Better Value (DBV) is a programme working to identify and implement local and national opportunities to improve the outcomes for children and young people with SEND. Information on the DBV in SEND Programme can be found on the programme's website [Delivering Better Value in SEND Programme \(dbvinsend.com\)](http://dbvinsend.com).
- 4.6. At the end of the first phase the council will be able use the outputs from the diagnostic phase to support a grant application for up to £1m to support the implementation of the high needs management plan.
- 4.7. The Introductory pack provided by Newton Europe Limited and CIPFA is attached as Appendix 2 to this paper. The introductory pack includes information on
 - 1) The aims of the DBV in SEND Programme
 - 2) The purpose and stages of the Diagnostic Phase
 - 3) Expected engagement through the Diagnostic Phase
 - 4) Examples of the output from this phase

Buckinghamshire Engagement to Date

- 4.8. The timeline included in Appendix 2 indicates that the Diagnostic Phase will last for approximately 6 months from initial data collection to the finalisation of a grant application to support the high needs plan.
- 4.9. To date we have had an initial meeting to discuss the data request and are now working on the data returns. Data, including costs, is required at child level from 2017 to 2022 and is a significant task to complete.
- 4.10. A set up meeting will be arranged with the DBV team for a date in June and engagement in the programme will then commence in August with the Module 1 training.

Engagement of Wider Stakeholders

- 4.11. As the DBV in SEND Programme is a whole system approach it will be necessary to engage with a wide stakeholder group throughout the diagnostic phase. The key stakeholders and objectives for engagement are identified as follows:

● Engagement Objectives



The engagement objectives for all groups identified in this pack are:

| | | |
|--|--|--|
| <p>To make sure that the diagnostic and implementation plans are informed by a wide range of stakeholders who have all had a chance to contribute to and shape the outputs – so using the insight and expertise of these individuals to help make the right decisions.</p> | <p>To enable a representative set of people from all stakeholder groups feel they have had a chance to contribute. To enable them to feel that their contributions have been heard and incorporated into findings and plans wherever possible.</p> | <p>To enable partners and stakeholders to actively participate, throughout the diagnostic and into implementation.</p> |
|--|--|--|

The identified groups are:

| | | | |
|---|--|-----------------------|---|
| <p>Children and young people</p> | <p>PCFs and wider parent carers</p> | <p>Schools</p> | <p>Health and social care partners</p> |
|---|--|-----------------------|---|

The suggestions in the following slides are based on approaches used by other DBV local authorities so far, but you will be the best judge of what else could be done to maximise the chance of achieving the above engagement objectives.

Satisfaction of these engagement objectives will be a critical enabler to successful grant approval.

4.12. Suggested ways in which schools can be engaged through the process include:

● Schools



Ensure that a broad range of education colleagues are engaged (including headteachers, Setting Leads, SENCOs, teachers and governors) from the start of the diagnostic so that they understand what the diagnostic is and what it aims to achieve.

Below are several ways we could engage schools' colleagues through and DBV diagnostic:

| | |
|--|--|
| | <p>Invite colleagues from schools and settings to attend practitioner case review workshops to feed in their views on cases.</p> |
| | <p>Agree which schools' forums we should attend to update them on the programme and have a two-way dialogue about current issues and opportunities for improvement.</p> |
| | <p>Share with schools forum (or relevant forums) that we will be launching a survey during module 2 to understand the views of headteachers and SENCOs on the current system, inclusive practice and what support they need to understand how to best share this survey to increase their response rate</p> <ul style="list-style-type: none"> • If surveys have already been carried out locally we will work to build on existing data and to incorporate that data into DBV diagnostic findings. • We have a standard survey that has been shared across each of the LAs but tailored to add specific and relevant questions for that LA. • We also have the relevant communications materials to be shared alongside this survey. |
| | <p>Involve schools' colleagues in the grant application stage by holding working sessions to jointly develop ideas and plans.</p> |
| | <p>Involve schools' colleagues in the implementation phase by inviting them to join relevant working groups or governance forums, as appropriate.</p> |

4.13. It is suggested that this group is the main group for engagement with schools and updating Schools Forum throughout the process. Regular updates will be brought to this group and there is likely to be a need for group members to be involved in workshops etc

Next Steps

4.14. Completion of the data return for the diagnostic.

4.15. Set up meeting to take place in June.

4.16. Attendance at Module 1 training in August (Officers from SEND, Finance and Business Intelligence)

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DSG High Needs Block 2022-23

| Expenditure Type | 2022-23 budget £'000 | | Outturn £'000 | Variance £'000 | Period 10 forecast variance | Movement |
|---|----------------------------|-------------|------------------|-------------------|-----------------------------------|---------------|
| Placements/Top-ups 5-16 year olds | | | | | | |
| Independent Special Schools | 15,747 | | 16,360 | 614 | 500 | 114 |
| Other LA Special Schools (net) | 4,686 | | 4,268 | -418 | -496 | 78 |
| BC Special Schools | 35,515 | | 36,783 | 1,268 | 1,114 | 154 |
| ARPs | 3,849 | | 3,668 | -180 | -293 | 113 |
| Mainstream Top-Ups for pupils with EHCP | 13,600 | | 15,063 | 1,463 | 1,273 | 190 |
| Total Placement/Top-ups in Schools (5-16 year olds) | 73,397 | | 76,143 | 2,746 | 2,097 | 648 |
| Post-16 Placements | | | | | | |
| Post-16 (Independent and FE College) | 12,056 | | 9,696 | -2,360 | -62 | -2,298 |
| Early Years Top-Ups | | | | | | |
| Early Years pupils with EHCPs | 845 | | 569 | -276 | -162 | -114 |
| Total support for pupils with EHCPs (places and top ups) | 86,298 | | 86,408 | 110 | 1,874 | -1,764 |
| SEN Support/Pupils without plans - Early Years | 173 | | 368 | 196 | 191 | 4 |
| Reception Inclusion Funding | 400 | | 384 | -16 | 0 | -16 |
| SEN Support/ Pupils without plans | 474 | | 523 | 49 | -6 | 55 |
| Total top ups for pupils without EHCPs | 1,046 | | 1,275 | 229 | 186 | 43 |
| Total Spend on Places and Top-ups for Pupils | 87,345 | 84% | 87,683 | 339 | 2,059 | -1,720 |
| Alternative Provision | | | | | | |
| Pupil Referral Units | 2,533 | | 2,440 | -92 | -92 | 0 |
| Alternative Provision | 1,396 | | 2,376 | 980 | 834 | 146 |
| Hospital Tuition Service | 237 | | 256 | 19 | 0 | 19 |
| Home Tuition Service | 218 | | 223 | 5 | -22 | 27 |
| Total Alternative Provision - spend on Pupils | 4,383 | 4% | 5,295 | 912 | 720 | 192 |
| Commissioned Contracts | | | | | | |
| Integrated Therapies | 2,207 | | 1,864 | -343 | 521 | -864 |
| Total Commissioned Contracts | 2,207 | 2% | 1,864 | -343 | 521 | -864 |
| Other support for pupils and schools | | | | | | |
| Specialist Teaching and support for pupils | 2,883 | | 2,883 | 0 | 0 | 0 |
| Support for Vulnerable Pupils | 871 | | 871 | 0 | 0 | 0 |
| Educational Equipment | 300 | | 315 | 15 | 0 | 15 |
| Portage | 280 | | 284 | 4 | -1 | 5 |
| Reintegration | 412 | | 431 | 19 | 0 | 19 |
| Support for the Education of Looked After Children | 742 | | 651 | -91 | -97 | 6 |
| Unallocated High Needs Contingency | 1,756 | | 0 | -1,756 | -1,756 | 0 |
| Teachers Pay and Pension Grants and other central costs | 2,883 | | 2,855 | -28 | 0 | -28 |
| Total Contribution Other support (including contingency) | 10,127 | 10% | 8,291 | -1,837 | -1,854 | 17 |
| Total Spend | 104,062 | 100% | 103,133 | -929 | 1,446 | -2,375 |
| BUCKINGHAMSHIRE COUNCIL | - | | - | | | |

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DBV Diagnostic Tranche 3: Early Introduction





What is the diagnostic?

1

2



What feedback has been received from Tranche 1?

3

4

What activities can you expect to be involved in the diagnostic?



What is included in each stage of the diagnostic?



What is the diagnostic?

01

DBV Diagnostic: The Objective & Approach

DBV Programme Objective

Delivering Better Value (DBV) is a programme working to **identify and implement** local and national opportunities to **improve the outcomes** for children and young people with SEND

In order to achieve this we know;



The child or young person must remain at the centre of everything we do.



We must listen to the challenges from the perspective of those receiving support from the system.



Collaboration is key, with your neighbours, partners and the children and families you support.



Funding is a challenge and key source of frustration that should be considered throughout the planning.

Therefore the DBV programme is designing its support through 2 key approaches;

Short Term Help

To identify **sustainable changes in each LA** that can drive **high quality outcomes** for children and young people with SEND, and to support you in building an evidence-based **grant application** to assist the implementation of those changes

Informing Long Term Reform

Build an objective evidence base across a third of the sector, which can be used to:

- **Inform future policy** and reform
- Build a **national playbook** & share best practice
- Inform **future national programmes** of similar scale and intent

DBV Diagnostic: The Objective & Approach

WHAT IS THE DBV DIAGNOSTIC?

The diagnostic will help you **identify sustainable changes** in your LA that can drive **high quality outcomes** for children and young people with SEND, and to support you in building an **evidence-based grant application** to assist the **implementation** of those changes

Participative Process



The process is designed to engage and excite your workforce, local stakeholders and partners, including parent-carers, children and young people, healthcare providers and education providers

Tailoring an Evidence Base



The process will give you a bespoke and tailored evidence base to give your ongoing improvement activities the best possible chance of success

Grant Application



The process is working towards building a grant application for investment to support you through Phase 2 (Implementation)

HOW IS THE DIAGNOSTIC DELIVERED?

The diagnostic is delivered through a **modular approach**, incorporating training, data analysis and engagement activities

This is not a 'one size fits all' approach – support is **tailored** to each Local Authority, within this framework, to ensure everyone receives the best outcome

Evaluation & Setup

Module 1:
Baselines and Forecasts

Module 2:
Root Cause Diagnostics

Module 3:
Implementation Planning

Grant Application

Linking Financial & Operational Performance



From the very **beginning**, you will make use of **your data** to link **financial and operational performance**, to ensure a **sustainable** service can be delivered into the future

In-Person Training



Tactical training will be delivered within groups of Local Authorities (waves), allowing **multiple Local Authorities** to come together to **share expertise**, learn from each other and support each other through the process

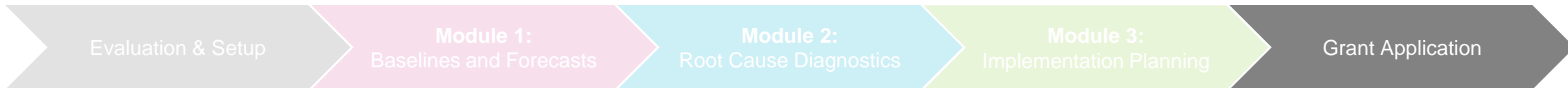
Engagement Activities



Case reviews and deep-dive activities will be completed engaging all relevant system stakeholders, allowing a multi-disciplinary and co-productive approach to be taken

DBV Diagnostic: Aims & Objectives

Objective: To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application



In support of your grant application, we'll work with you to demonstrate the evidence needed to meet the **End of Phase 1 criteria** (either through the completion of the modules or submission of pre-existing evidence). This evidence base will need to be supplemented by an investment case for the grant monies.

END OF PHASE 1 CRITERIA

Page 20

| | | | | |
|---|--|--|--|---|
| <p>Where possible, local partners & stakeholders have been involved in designing the implementation plan and have been briefed on it</p> <p><i>Enabled by Evaluation & Setup</i></p> <p>Relationships with local partners and stakeholders are understood</p> <p>A clear plan to engage local partners and stakeholders</p> <p>The implementation plan has been co-produced and socialised with local partners and stakeholders</p> | <p>You know how the impact on key measures will profile over time</p> <p><i>Enabled by Module 1 outputs</i></p> <p>Clear profiles of spend and numbers of children receiving different support in future mitigated and unmitigated positions</p> <p>Reasonable calculations and assumptions to generate the profiles</p> | <p>You know what to change to have the biggest impact on key measures/outcomes</p> <p><i>Enabled by Module 2 outputs</i></p> <p>Sufficient evidence to determine the priority local changes</p> <p>Identified biggest impact areas based on opportunity for improvement and feasibility</p> | <p>You know the conditions required for a successful implementation and have a plan to meet those conditions</p> <p><i>Enabled by Module 3 outputs</i></p> <p>Resource required to deliver the implementation is known and there is an approach to secure it</p> <p>Digital infrastructure required is known and there is an approach to deliver it</p> <p>Governance for implementation mapped out, decision makers bought in and owners agreed</p> | <p>You have a realistic activity plan to implement the high impact changes</p> <p><i>Enabled by Module 3 outputs</i></p> <p>Defined workstreams within overall implementation plan</p> <p>Activity plan per workstream with clear milestones and expected completion dates</p> <p>Risk analysis of implementation plan, with mitigating actions devised</p> |
|---|--|--|--|---|

DBV Diagnostic: Illustrative Local Authority Experience

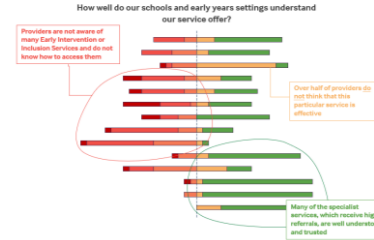
Identify Priority Areas

Understand historical trends and use these to identify priority areas



Understand the Gap

Use deep-dives to understand how to address the largest issues

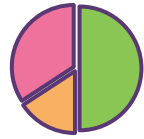


Define the Future Opportunity

Summarise the target total opportunity projected into the future

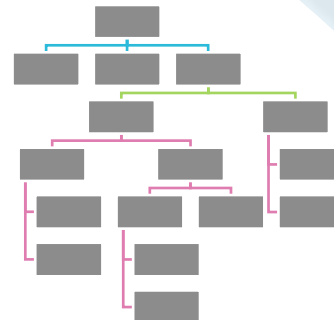
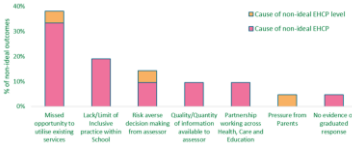
| Area | All 0-5s | 5-16s | 16-25s | 25-64s | 65+ | Total |
|----------------------|----------|-------|--------|--------|-----|-------|
| High Level of Need | 1 | 2 | 3 | 4 | 5 | 15 |
| Medium Level of Need | 2 | 3 | 4 | 5 | 6 | 20 |
| Low Level of Need | 3 | 4 | 5 | 6 | 7 | 25 |
| Total | 6 | 9 | 12 | 15 | 18 | 60 |

Page 21



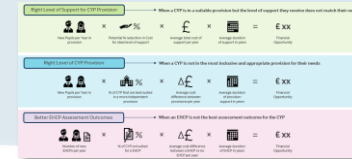
Define What Good Looks Like

Use case reviews to define breakdowns of non-ideal journeys and system barriers



Define the Opportunities

Create an opportunity matrix laying out opportunity areas and potential improvements



Create the Plan

Identify the enablers (people etc) and pull together a plan to realise the opportunities

Module 1

Module 2

Module 3



What sort of sessions can be expected?

DBV Diagnostic: Module Sessions



Page 23

Evaluation & Set-Up

Sharing Data Request

Representative from **Business Intelligence**, Financial Analysis or SEND Analysis teams

System wide DBV Kick-Off Day

(2hr virtual)

SEND Lead, any **Local Area representatives** who will be participating in the diagnostic (incl. LA, Education, Health, Parent/Carers)

Module 1

Training (2 days in-person)

Representatives from **Finance teams** with understanding of financial data, **Budget Holders** from the Service, **SEND Lead**

Holding BI/Finance Team Time (1hr/day)

Representatives from **Business Intelligence** and **Finance teams** with understanding of financial data plus **Budget Holders** from the Service

CIPFA Documentations (8hrs total)

Representatives from **Finance teams** with understanding of financial data, **Budget Holders** from the Service, **SEND Lead**

CIPFA Reviews (2 x 1hr sessions)

Finance teams, SEND Lead

Module 2

Training (2 days in-person)

2-5 representatives from **Business Improvement** roles (or **practitioners** involved in improvement), including **SEND Lead**

Holding BI/Finance Team Time (1hr/day)

Representatives from **Business Intelligence** and **Finance teams** with understanding of financial data plus **Budget Holders** from the Service

Case Reviews (3 x 4hr sessions)

Representatives from training as **facilitators**, 2-5 representatives from each of the following groups: LA, Education, Health, Parents/Carers

Deep-Dives (2 hr sessions TBD)

Representatives from case reviews to facilitate, plus required subject matter experts in deep-dive topics

Module 3

Kick-Off (2hr virtual)

Delivery leads, project manager, change leads (likely to be identified in Module 2)

Designing Implementation (2hr virtual)

Delivery leads, project manager, change leads (likely to be identified in Module 2)

Consolidation Session (1/2 day in-person)

Delivery leads, project manager, change leads (likely to be identified in Module 2)

Playback Days/Grant Clinic (2 days in-person)

Delivery leads, change leads & finance team

| | | | |
|---|---|--|---|
| <p>Weekly Check-In with DBV Team</p> <p>(30 mins weekly virtual)</p> <p>Nominated SEND Lead</p> | <p>End of Module DCS/151 Briefings</p> <p>(3 x 1hr virtual)</p> <p>SEND Lead, 151 Officer, DCS representative</p> | <p>Check-Ins with Local Steering Groups</p> <p>(As Required)</p> <p>Local Authority representatives as usual in each group</p> | <p>Regular Time with Local Partners</p> <p>(As Required)</p> <p>Local Authority representatives with existing relationships</p> |
|---|---|--|---|

*Timeframes are purely indicative and are constantly under review as we learn from Tranches 1 and 2

Getting Set-Up: Data Return & Getting Our Data Ready

- You will receive information about your **data grant** over the coming weeks, which will aid you in finding resource to help complete the **data return** in Spring 2023
- You may have heard from other Local Authorities completing the data return that it can be challenging, as the return may require data to be in a different format to how it is stored within your Local Authority
- Following feedback from Tranche 1 the format has been edited to align with the SEN2 data request, as well as being easier to complete
- The earlier you can begin the process, the easier it will be to complete in a timely fashion, and the smoother you will be able to enter into the diagnostic process
- Do not worry about taking action now!



**What feedback has been
received from Tranche 1?**

03

Module 1

92%

of responses thought the **overall training delivery** was exceptional, very good or good

94%

of responses thought the **level of engagement** was either exceptional, very good or good

Module 2

92%

of responses thought the **overall training delivery** was exceptional, very good or good

97%

of responses thought the **level of engagement** was either exceptional, very good or good

“

Everything you've said has resonated with everyone – it's amazing to see how many common themes there are across the different LAs

”

We rarely get dedicated time to think about the big picture in our day to day, so [this training] has been so helpful in taking a step back

“

What's been so interesting over the past few days has been the focus on ideal outcomes for the child

”

The exercise you've done is the first time we've linked our financial data to our operational data

What is included in each stage of the diagnostic?

DBV Programme Objective

To identify local and national opportunities to **improve the outcomes** for children and young people with SEND

In order to achieve this we know;



The child or young person must remain at the centre of everything we do.



We must listen to the challenges from the perspective of those receiving support from the system.



Collaboration is key, with your neighbours, partners and the children and families you support.



Funding is a challenge and key source of frustration that should be considered throughout the planning.

Therefore the DBV programme is designing its support through 2 key approaches;

Short Term Help

To identify **sustainable changes in each LA** that can drive **high quality outcomes** for children and young people with SEND, and to support you in building an evidence-based **grant application** to assist the implementation of those changes

Informing Long Term Reform

Build an objective evidence base across a third of the sector, which can be used to:

- **Inform future policy** and reform
- Build a **national playbook** & share best practice
- Inform **future national programmes** of similar scale and intent

Short Term Help

To identify **sustainable changes in each LA** that can drive **high quality outcomes** for children and young people with SEND, and to support you in building an evidence-based **grant application** to assist the implementation of those changes

Informing Long Term Reform

Build an objective evidence base across a third of the sector, which can be used to:

- **Inform future policy** and drive legislative and funding changes
- Build a **national playbook** & share best practice
- **Inform future national programmes** of similar scale and intent

This pack is designed to give you in LAs **some initial information** on what the **diagnostic support** will look like and the **activities** we will need to ensure have taken place before the diagnostic begins.

❑ What DBV Diagnostic Support Is:

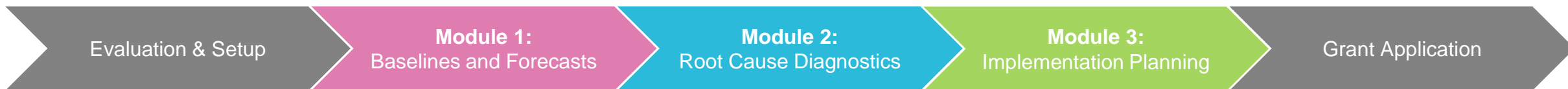
- A **participative process** designed to engage and excite your workforce, local stakeholders and partners, while giving you a bespoke and tailored **evidence base** to give your ongoing service **improvement activities** the best possible chance of success
- Collating evidence on best practice in the sector and shared, thematic challenges
- Build a **grant application** for investment to support Phase 2 (Implementation)

❑ What DBV Diagnostic Support Will Help You Plan For:

- Designing, with frontline staff and CYP/parent/carer networks, the solutions to the biggest problems
- Measuring the impact and iterating in a safe environment
- Adapting the solutions to the needs of individuals, teams or localities
- Creating the assurance and governance mechanisms to assure local adaptations
- Supporting all the relevant staff across the system to work in the new way on an ongoing basis as business-as-usual

DBV Diagnostic: Why have we designed these modules?

Objective: To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application



We have developed the 3 modules you see above as we think these are critical to ensuring you can identify sustainable changes that will drive high quality outcomes for CYP, and support you in developing your grant application.

But why?

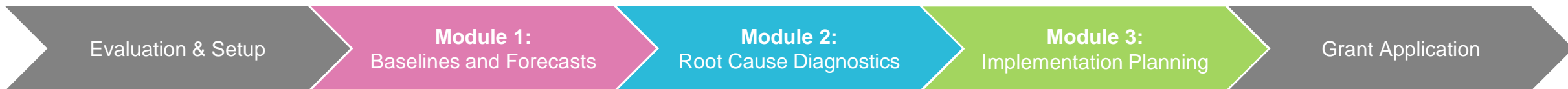
Module 1 – In order to understand the **volume** and **type of support** your CYP have been achieving historically, and what that might look like going forward we need to build a **baseline** and **forecasts**. We also want to see what this could look like if the changes identified in module 2 were successful.

Module 2 – To have a sustained impact on your CYP outcomes we need to dig into the **root cause** of why it has been **difficult** to achieve the high quality outcomes we want previously. We need to perform **detailed analysis** on data sets, review cases, listen to those experiencing and working in the system and conduct deep dives to understand the root causes of the issues in more detail.

Module 3 – To ensure LAs can practically implement solutions to the root causes we discover from module 2, we need to understand how **'ready'** the people, processes and systems are for change.

Grant application – In order to give you the best chance at securing the **necessary funding** to deliver on your plan we will support you to put this evidence into a grant application that is evidence led.

Objective: To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application



Objectives

- Understanding work you already have underway
- Agreeing your detailed **diagnostic plan** (which of the modules and activities you will be receiving)
- Agreeing the plan for Local Area **stakeholder engagement** throughout in order to maximise co-production (across CYP, Education, Health, Parent/Carers etc.)
- Supporting you to **setup** everything that's needed to undertake your tailored diagnostic

Key Activities

- Sharing and discussion of **existing diagnostic outputs** as required
- Local area **stakeholder mapping** and engagement planning
- Weekly sessions to review setup
- **Kick-off day***

Objectives

- Developing a single model that links historic and future **operational and financial performance**, with the ability to **quantify** the impact of different initiatives on key measures and build the foundation to identify root causes in Module 2

Key Activities

- Module 1 training days*
- Baselineing key variables*
- Creating forecasts*
- Building a template of quantified and prioritised opportunities*
- Accounting practice assessment*

Objectives

- Supporting you to **identify and quantify** the highest impact **changes** that could be made to deliver **better outcomes** for children and improved **financial sustainability**
- Engage and excite your workforce, local stakeholders and partners

Key Activities

- Module 2 training days*
- Capacity and demand mapping and analysis*
- Pattern of occurrence and variation analysis*
- Case reviews
- Local Area partner interviews
- Root cause investigations
- Best practice identification

Objectives

- Understanding the system's **readiness for change** and its ability to use data and information to drive operational improvement
- Supporting you to build findings into an **effective implementation plan** that delivers the opportunities identified at pace and mitigates risk, building upon existing programme management practices (this will be incorporated into any existing plans)

Key Activities

- Module 3 training days*
- Readiness for change assessment*
- Behavioural impact analysis
- Partnership working assessment*
- Designing the programme architecture
- Creating a comprehensive implementation plan
- Risk identification and mitigation
- Creating an effective governance structure

Objectives

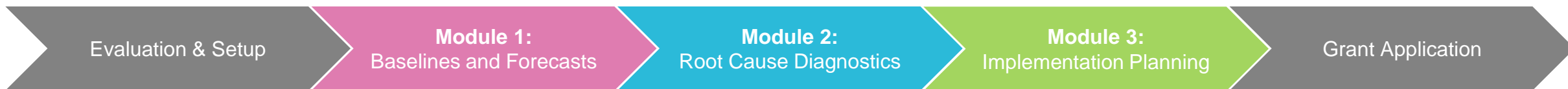
- Supporting you to produce an **evidence-based grant application** using the output of the modules

Key Activities

- Compilation of evidence
- Drafting of investment proposal for grant monies
- Submission of application to DBV Programme Board

* Action required in setup checklist

Objective: To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application



This insight can not be gathered from datasets alone, and therefore will require a number of stakeholders to be engaged through this process to gather the knowledge and experience to identify opportunities in your area. Below we have indicated the types of engagement we will be supporting you to conduct through the different stages, and will aim to make use of existing forums you have in place to conduct these engagements where possible;

Engagement

- Local authority staff and partners engaged with overview and objectives of the DBV diagnostic
- Steering group and working group set up to support throughout diagnostic and identify groups to engage with
- Onboarding of those who will have lead roles (e.g comms, finance, voice of the person, workshops, data)

Engagement

- Finance and service staff engagement with training and modelling activity
- DCS and S151 review of module output

Engagement

- Case review workshops with representatives from education providers, health, Parent/carer networks
- Local area partner interviews with education providers, health. Parent/carer networks
- Small group discussions to understanding root cause of challenges identified in case reviews, interviews and data analysis
- Process mapping with frontline staff
- Regional networks to discuss best practice
- DCS and S151 review of module output

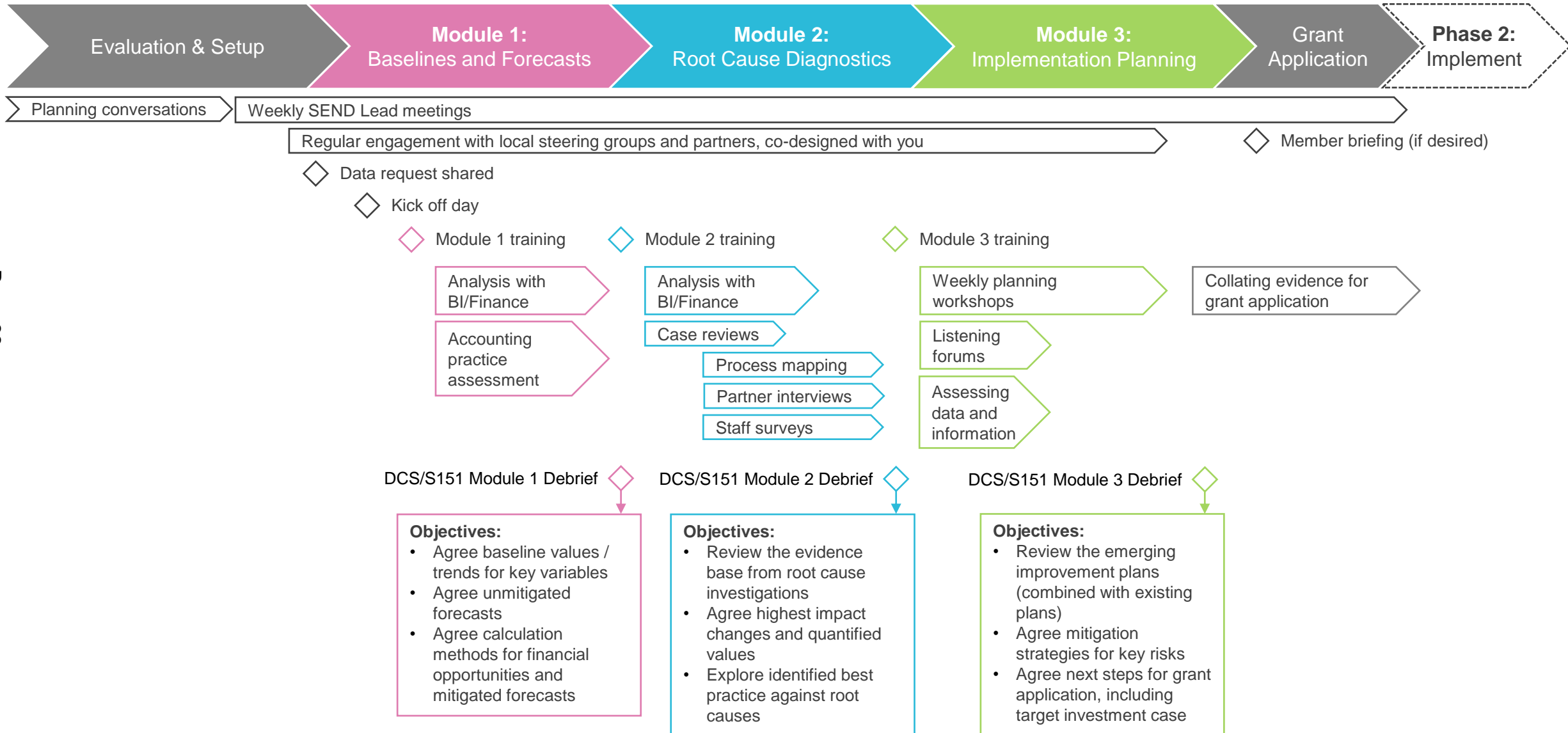
Engagement

- Listening forums and surveys with partners to understand readiness for change
- Management information colleagues to understand system and data sharing practices
- ‘Forward planning’ workshops for steering group to agree next steps and action plan
- DCS and S151 review of module output
- Feedback to local authority staff and partners on key findings from diagnostic

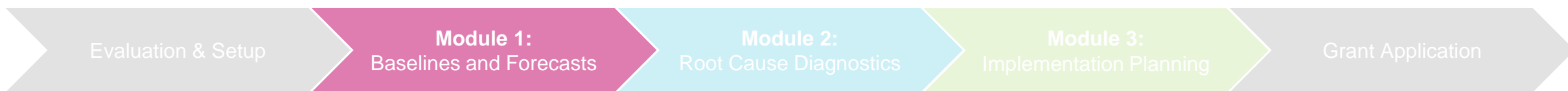
DBV Diagnostic: Illustrative Local Authority Experience



Objective: To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application



Objective: To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application



Diagnostic Activities: Producing Operational and Financial Baselines and Forecasts

❑ Baselining Key Variables

Why? To create a quantified view of historical performance in key operational measures (e.g Number of pupils in need categories, , EHCP growth), to understand historical spend and provide a basis for forecasts

How? Alongside relevant Finance and Service staff and using pre-existing tools and templates developed by the programme, analysing historical performance of key operational measures, agreeing appropriate baseline methods and calculating baselines

❑ Creating Forecasts

Why? To understand likely future movement of key operational measures in mitigated (linked to diagnosed high impact changes) and unmitigated scenarios and how this translates into financial forecasts (e.g. DSG deficit)

How? Alongside relevant Finance and Service staff, and using pre-existing tools and templates developed by the programme, agreeing appropriate forecasting methods to extrapolate operational measures from agreed baselines and applying assumptions at the root-level (informed by diagnostic activities) to produce mitigated forecasts. Forecasting exercises include provisioning for current inflation rates, forecasting demand by need type and modelling the impact on provision requirements

❑ Building a Template of Quantified and Prioritised Opportunities

Why? To summarise opportunities for improvement in outcomes and financial savings against key areas of service delivery

How? Alongside relevant Finance and Service staff and using pre-existing tools and templates developed by the programme, designing calculation methods which build on information from the baselining and forecasting exercises, including assumptions informed by the diagnostic activities, in order to quantify opportunities

❑ Accounting Practice Assessment

Why? To ensure consistency of accounting practice with national guidance

How? Receiving advice through detailed reviews of DSG accounts with CIPFA consultant

Outputs

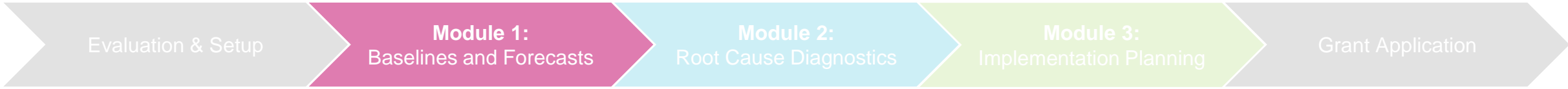
This module will help you to:

Create clear baselines and trend analysis, over up to a 5 year historical and forecast period, of key operational and financial variables

Create forecasts of key operational and financial variables, mapping through to relevant budget lines. The forecasts will include unmitigated scenarios and also the mitigated forecasts based on evidence gathered in Module 2

Produce a table showing the expected operational and financial impacts of changes identified in Module 2

Objective: To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application



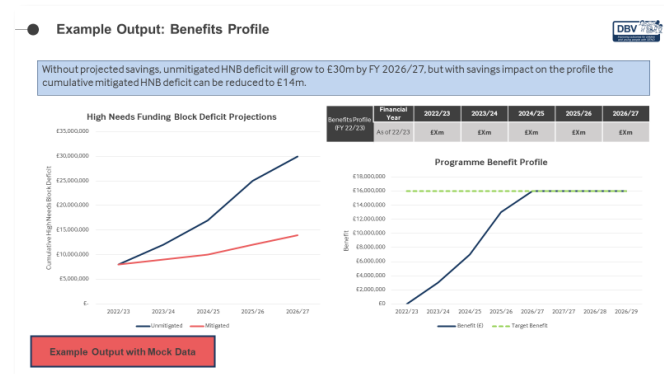
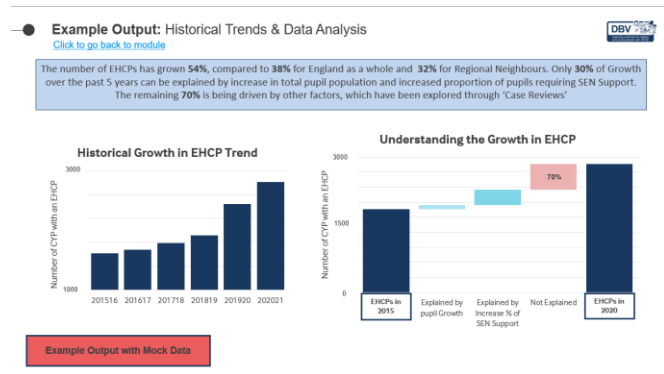
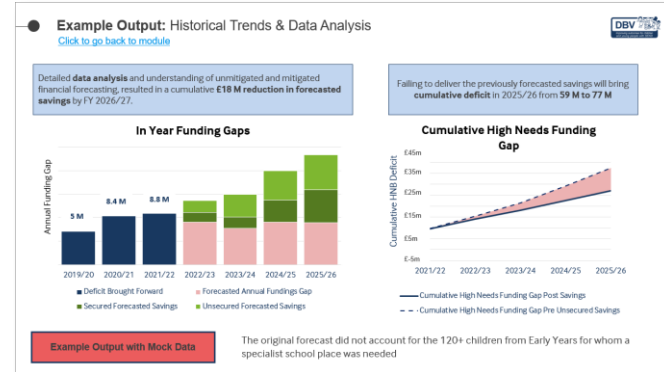
Illustrative Outputs: Producing Operational and Financial Baselines and Forecasts
(Click icons to see more)

Page 35

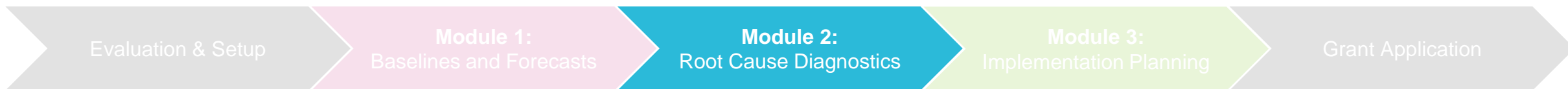
Example Output: 'Opportunity Matrix'

| SETTING | AREA OF OPPORTUNITY | VALUE | % of SPEND | EN-ABLERS |
|---------------------|---|-----------------|------------|-----------|
| MAINSTREAM | THE RIGHT LEVEL OF CYP IN MAINSTREAM | £ 2-3M | ~10% | 👥 |
| | THE RIGHT LEVEL OF PROVISION FOR CYP IN MAINSTREAM | £ 1M | | |
| UNITS | THE RIGHT LEVEL OF CYP IN UNITS | £1-2 | ~10% | 📊 |
| | THE RIGHT LEVEL OF PROVISION FOR CYP IN UNITS | £0.5M | | |
| SPECIALIST SETTINGS | THE RIGHT LEVEL OF CYP IN SPECIALIST SETTINGS | £ 6-12M | ~30% | 👥📊 |
| | THE RIGHT RATIO OF CYP SUPPORTED IN LA AND INDEPENDENT SPECIALIST PROVISION | £ 5M | | |
| | THE RIGHT UNIT COST OF ISP | £ 0.5M | | |
| REVIEWS | THE RIGHT LEVEL OF SUPPORT IN MAINSTREAM AND UNITS AFTER REVIEWS | £ 0.5M | ~3% | 🌟 |
| | THE RIGHT LEVEL OF SUPPORT IN SPECIALIST SETTINGS AFTER REVIEWS | £0.5M | | |
| TOTAL HNB | | £ 17-25M | | |

In order to deliver benefits, the system requires: Aligned System Vision, Improved Relationships with Parents and Carers, Right Capacity in Key Services, Performance Culture & Behavioral Change, Enhanced Digital and Data Usage



Objective: To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application



Diagnostic Activities: Identifying the changes that will have the highest impact on your CYP outcomes

Capacity and Demand Mapping

Why? To identify opportunities for operational improvement, based on capacity constraints or demand management in the system

How? Process mapping interviews with key individuals in service delivery, data analysis to identify capacity and demand at each point

Pattern of Occurrence and Variation Analysis

Why? To identify opportunities for operational improvement based on analysed patterns of occurrence and variation across the service

How? Initial analysis in a template tool using the standard data schedule, followed by detailed analysis to explore areas of interest

Case Reviews

Why? To identify opportunities for improvement based on real cases and where they have deviated from the ideal journey for the CYP

How? Retrospective reviews of real cases, conducted by groups from across the Local Area (incl. education providers, parent/carers, Health)

Local Area Partner Interviews

Why? To identify opportunities for improvement by supplementing analysis with lived experience from local area partners

How? DBV team interviews with nominated representatives from education providers, Parent/Carers, Health

Root Cause Investigations

Why? To investigate identified opportunities in greater depth, seeking to identify and quantify the impact of root causes

How? Varies depending on the identified opportunities, includes data analysis, shadowing of staff, surveys of staff and/or partners etc.

Best Practice Identification

Why? To identify potential improvement initiatives through relevant best practice aligned to the identified root causes

How? Utilising national and regional networks, as well as DBV work to date, to identify best practice which has been shown to have a positive impact on the root causes which have been identified during the DBV diagnostic

Outputs

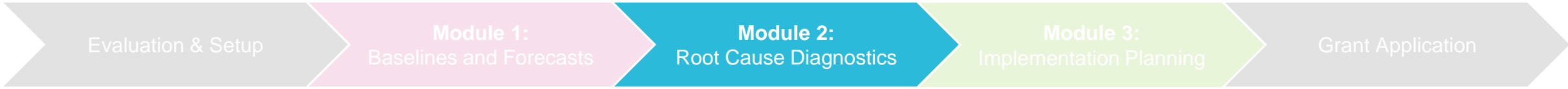
This module will help you to:

Build an evidence base that identifies the potential performance of key operational and financial indicators and the high level changes that would need to be made to deliver that performance

Build an evidence base that identifies the detailed, practical changes that would need to be made to deliver the potential operational and financial performance identified

Engage and excite your workforce, local stakeholders and partners

Objective: To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application



Illustrative Outputs: Identifying the Highest Impact Changes to Make (Click icons to see more)

Page 37

Example Output: Case Review

[Click to go back to module](#)

We have reviewed the journey of CYP with EHCPs with over 25 multidisciplinary practitioners, asking the questions: "Do you think the needs of this young person were met effectively? Was an EHCP the best way to deliver this support?"

For 7% of cases, the CYP needs were met effectively, but an EHCP was not required to meet these needs

For 30% of cases, the CYP needs were not met as effectively as they could have been

The biggest reason for non-ideal outcomes was due to missed opportunities to utilise existing services

For 63% of cases, the CYP needs were met effectively and the EHCP was the best way to do this

Why don't we achieve ideal outcomes?

| Reason | % of non-ideal EHCP cases |
|--|---------------------------|
| Missed opportunities to utilise existing services | 40% |
| Lack of Partnership working | 20% |
| Parental choice different from practitioners opinion | 10% |
| Education provider pressure | 10% |
| Lack of provider capacity | 5% |
| Lack of skills to make decisions | 5% |
| No evidence of guaranteed response | 5% |

Example Output with Mock Data

Example Output: Case Review 'Deep Dive' (1)

Case Reviews showed that the biggest opportunity to improve outcomes for CYP is through looking at missed opportunities to utilise existing services.

To understand opportunities to better utilise our services we need to understand:

- What services do we have to support the inclusion of young people
- How effective are those services in supporting the inclusion of young people
- How well do schools and partners engage with those services

To answer these questions, we looked at:

- Demand and Capacity modelling for services
- Reviewed data in a Management Information Assessment
- Interviewed partners/ stakeholders to understand their view of services

Example Output with Mock Data

Example Output: Case Review 'Deep Dive': Demand & Capacity Forecasting (3)

REQUIRED COMPONENTS OF FORECASTING

- Total Pupil Cohort
- % of Pupils that require SEN Support
- % of Pupils with SEN Support that require EHCP
- % of Pupils with EHCP that can be supported in mainstream
- Understanding our Pupil Cohort
- Understanding our Capacity

FOR EACH COMPONENT WE NEED

- Understanding of Current Picture
- Up to Date View of How It Will Change

WITH THE FOLLOWING UNDERLYING PRINCIPLES

- Forecast is Continuous rather than a Snapshot
- Forecast is informed by wider SEN Service
- Forecast is Regularly Reviewed Against Current Performance
- Reflects National Thinking and Legislation

Example Output with Mock Data

Example Output: Case Review 'Deep Dive': Demand & Capacity Analysis (2)

Through Case Reviews, we identified the opportunity to improve outcomes for CYP through providing for them in different settings

| Service | How much demand do we have each year (2021)? | How much capacity do we have to manage demand? | Potential Change in Demand |
|----------------------|--|--|----------------------------|
| Service 1 | 200 CYP | Unknown | Increase by 10-20 CYP |
| Service 2 | 80 CYP | Unknown | Decrease by 5 CYP |
| Service 3 | 25 CYP | Unknown | |
| Service 4 | 320 CYP | 345 CYP | Increase by 25 CYP |
| Service 5 | 40 CYP | 30 CYP | |
| Service 6 | No easily accessible demand data | Unknown | |
| Service 7 | 405 CYP | 380 CYP | Decrease by 35-50 CYP |
| Specialist Service 1 | 100 young people | Unknown | |
| Specialist Service 2 | 150 young people | Unknown | Increase by 12-15 CYP |
| Specialist Service 3 | 200 young people | Unknown | |

From assessment of Management Information & Data, we found there was lack of data visibility on capacity for the majority of services - where capacity information did exist, it was hard to visualise and needed to be manually calculated. In order to deliver effective outcomes of working with data though...

Example Output with Mock Data

Example Output: Case Review 'Deep Dive': Interviews with Partners (4)

We surveyed 32 partner organisations, including schools, Early Years providers and health providers, to understand how well they understand the support offer.

How well do our schools and early years settings understand our service offer?

- Providers are not aware of many Early Intervention or Inclusion Services and do not know how to access them
- Over half of providers do not think that this particular service is effective
- Many of the specialist services, which receive high referrals, are well understood and trusted

Example Output with Mock Data

Example Output: Case Review 'Deep Dive': Interviews with Partners (5)

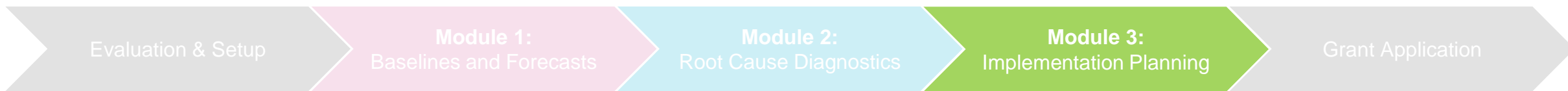
We surveyed over 20 parents of CYP with SEND to understand their perception of our services and found that the majority of parents did not have a positive view of services and did not know where to access more support.

What do our parents think of our service

- The LA understands the needs of my child: Only 11% of parents think the Local Authority understands the needs of their child or young person
- I feel the current service is meeting my child's need: Over 90% of parents don't think the service is meeting the needs of their child or young person
- I know where to go to for support or to get advice on the services required for my Child: Almost all parents felt they didn't have someone to ask for support or advice
- The offer of support is simple and easy to understand: 78% of parents find it difficult to understand the different support options

Example Output with Mock Data

Objective: To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application



Diagnostic Activities: Understanding the Practicalities of Making the Changes

❑ Readiness for Change Assessment

Why? To understand cultural, structural and organisational barriers to the potential changes which have been identified

How? Facilitating listening forums, smaller interviews and surveys with Local Authority SEND staff against a readiness for change framework

❑ Behavioural Impact Analysis

Why? To understand the complexity of the behavioural changes, across all key stakeholder groups, which will be required to support the improvement plan

How? Identifying the likely, specific behaviour changes which each key stakeholder group will go through and evaluating the complexity against the group's current behaviours and wider context

❑ Partnership Working Assessment

Why? To identify the strengths and challenges in working relationships across a range of partners

How? Facilitating listening forums, smaller interviews and surveys with Local Area partners against a partnership working framework

❑ Management Information Assessment

Why? To identify the digital, data-based, or decision-making barriers to effective service delivery, management and improvement

How? Investigation of existing data sources, reports and governance forums (formal or informal) which seek to enable service delivery, management and improvement

Outputs

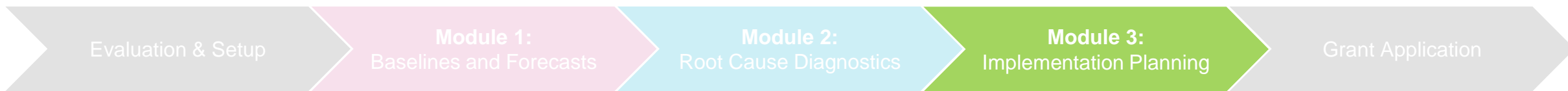
This module will help you to:

Create a robust and evidence-backed articulation of the cultural, behavioural and structural barriers to change. This will cover frontline staff and leadership in the Local Authority, as well as wider stakeholders in the local area (e.g. parents, education providers)

Develop a rich insight into the organisation's data and information barriers to effective service delivery and the managerial barriers to service management and improvement

Further engage and develop relationships with local stakeholders (Education, Health, Parents/Carers)

Objective: To identify sustainable changes that will drive high quality outcomes for CYP & support you in developing your grant application



Diagnostic Activities: Developing a Plan to Deliver the Changes

❑ Designing the Programme Architecture

Why? To identify a work breakdown structure which addresses the areas of opportunity identified through the root cause diagnostics

How? Workshopping a set of improvement workstreams with distinct deliverables and success criteria, integrating with existing work where necessary

❑ Creating a Comprehensive Implementation Plan

Why? To build on existing improvement plans with comprehensive and realistic implementation plans to realise the opportunity identified through the root cause diagnostics

How? Workshopping implementation plans against each workstream based on findings from Module 1 through 3, integrating with each other and with existing work where necessary

❑ Risk Identification and Mitigation

Why? To pro-actively mitigate risk against the implementation plan

How? Workshopping risks against the implementation plans and designing appropriate mitigation strategies and ownership

❑ Creating an Effective Governance Structure

Why? To control and coordinate the body of improvement work such that progress is tracked, risks are mitigated and wider stakeholders are appropriately engaged

How? Wherever possible, identifying the home for governance within existing system forums and structures and aligning workstream objectives, milestones and progress tracking to existing reporting

Outputs

This module will help you to:

Address the opportunity areas that have been identified by designing workstreams with a clearly defined scope and success criteria.

Articulate how the deliverables and success criteria for each scoped workstream will be delivered.

Identify risks and agree mitigation strategies, considering all evidence gathered in the diagnostic and Newton/CIPFA experience.

Have an effective governance process in place that is efficient, provides the right oversight across the programme and is effective at unblocking issues.

DBV Diagnostic: Describing the Experience

What will be the Newton/CIPFA support approach feel like?

Our support is outcomes-focused as the primary driver, although we know that financial sustainability is a critical factor for DBV, and therefore we want to take the time to listen to your staff, partners, the CYP you support and their families. We want to work in partnership with you, mixing our skills and experiences for maximum impact. We will be respectful but challenging and we will ask you to be the same.

How do I manage that support? Can I ask for more or less?

You will have two DBV senior points of contact throughout your diagnostic, who will be at the end of the phone to discuss any questions, queries or requests you have around your DBV diagnostic support. We are asking you to setup weekly meetings between your SEND lead and these contacts too.

What will training be like?

Our number one goal is to facilitate knowledge and skills transfer to your teams that outlives the DBV support. Wherever possible, we'll make training days face-to-face. They will contain a lot of theory, but we'll make them engaging and practical too.

How do we make this support tailored?

Over the next few weeks, the subject of our meetings will turn to the specific activities which you wish to undertake in order to support you to develop the most sustainable plan for improving the outcomes for CYP you support. We'll pick and choose between the activities in this pack and speak in detail about the nature of engagement you'd like us to have and/or support with Local Area partners.

What will actually be different by the end of the diagnostic?

No policies or processes will have changed. The main output will be clarity on the priority changes to make, the expected impact of those changes and the plan to achieve them. We hope that people from the Local Area who have participated will feel energised and excited to do more.

What expectations will be on us after we've delivered the modules?

We'll support you to collate the module outputs as your supporting evidence for a DBV grant application. You'll be asked to add one thing: an investment case for the grant monies. We'll be happy to review that too. Once the grant has been approved, it's over to you to deliver the improvement plans.



NEWTON

We have worked with **over 100 public sector organisations**, including **more than 40 Local Authorities**.

These partnerships have delivered **measurable and sustainable improvements in outcomes for people, transformed ways of working and staff engagement, while saving in excess of £300m** (and rising) on a 100% contingent fee basis.

We continuously build practical **knowledge of best-in-class performance in children's services** through our work with national organisations include LGA and CCN.

We use this **local insight to drive sector thought leadership with national organisations** and to support central government in developing policy and **delivering complex national programmes**.



“We are delighted that the Department for Education chose us to be their delivery partners for DBV. It’s been a pleasure to meet so many of you through the Planning Conversations and we can’t wait to get started on the Diagnostics.”
Steve Knight, Newton Partner – Local Government

CIPFA

We are the only professional accountancy body in the world **dedicated exclusively to public finance**.

Our **14,000 members** work to ensure **public money is effectively and efficiently managed and champion high performance in public services**.

We have extensive experience working in Central and Local Government.

Our team of chartered accountants includes **experienced Local Government finance directors and Section 151 Officers** with **deep knowledge of the education funding system**.



“We are really pleased to be working with Newton and the DFE on the DBV Programme as we believe that working with Local Authorities in this way, together we will be able to make a real difference in the financing and delivery of SEND services for the future.”
John O'Halloran, CIPFA Head of Consultancy

Example Output



Example Output: 'Opportunity Matrix'

[Click to go back to module](#)

| SETTING | AREA OF OPPORTUNITY | VALUE | % of SPEND | EN-ABLERS |
|---------------------|---|---------------------|------------|-----------|
| MAINSTREAM | ENSURING CYP ARE SUPPORTED IN THE PROVISION WHICH IS BEST FOR THEM (MAINTSTREAM) | £ 2-3M | ~10% | |
| | THE RIGHT LEVEL OF PROVISION FOR CYP IN MAINSTREAM | £ 3M | | |
| UNITS | THE RIGHT LEVEL OF CYP IN UNITS | £1-2M | | |
| | THE RIGHT LEVEL OF PROVISION FOR CYP IN UNITS | £0.5M | | |
| SPECIALIST SETTINGS | ENSURING CYP ARE SUPPORTING IN THE PROVISION WHICH IS BEST FOR THEM (SPECIALIST SETTINGS) | £ 3-7M | ~30% | |
| | THE RIGHT RATIO OF CYP SUPPORTED IN LA AND INDEPENDENT SPECIALIST PROVISION | £ 4M | | |
| | THE RIGHT UNIT COST OF ISP | £ 0.5-1.5M | | |
| REVIEWS | THE RIGHT LEVEL OF SUPPORT IN MAINSTREAM AND UNITS AFTER REVIEWS | £ 0.5M | ~3% | |
| | THE RIGHT LEVEL OF SUPPORT IN SPECIALIST SETTINGS AFTER REVIEWS | £1M | | |
| TOTAL HNB | | £ 15.5-25.5M | | |

Page 43

Example Output with Mock Data

In order to deliver benefits, the system requires:
 Aligned System Vision, Improved Relationships with Parents and Carers, Right Capacity in Key Services, Performance Culture & Behavioural Change, Enhanced Digital and Data Usage

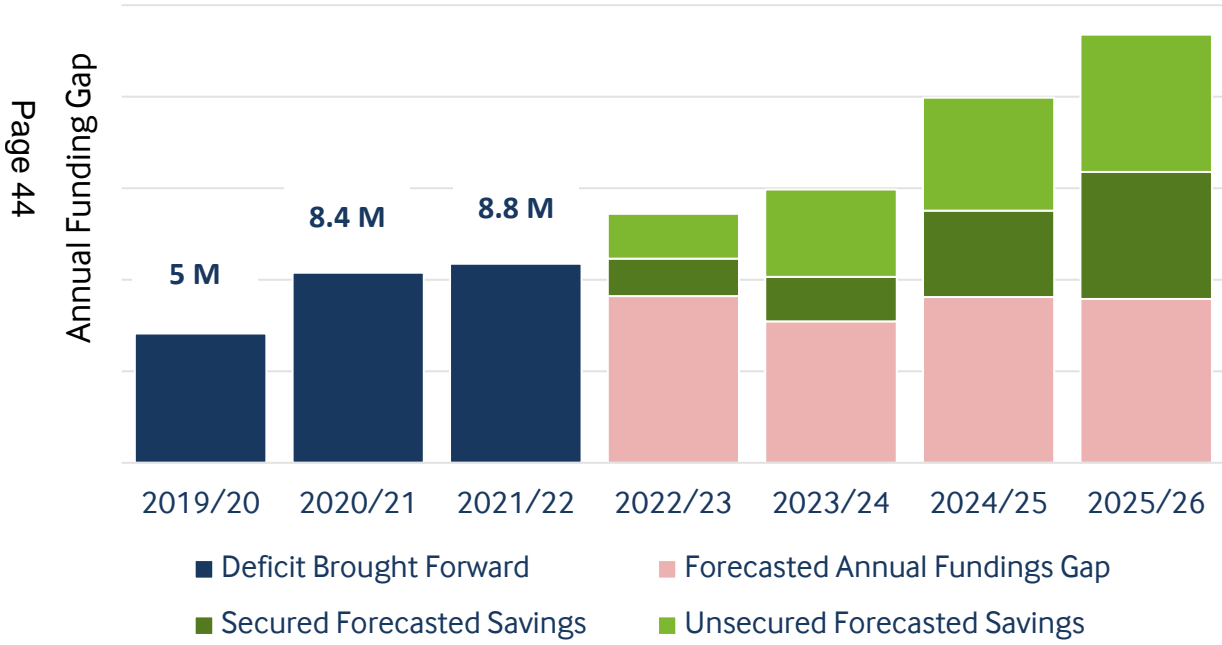
Example Output: Historical Trends & Data Analysis

[Click to go back to module](#)

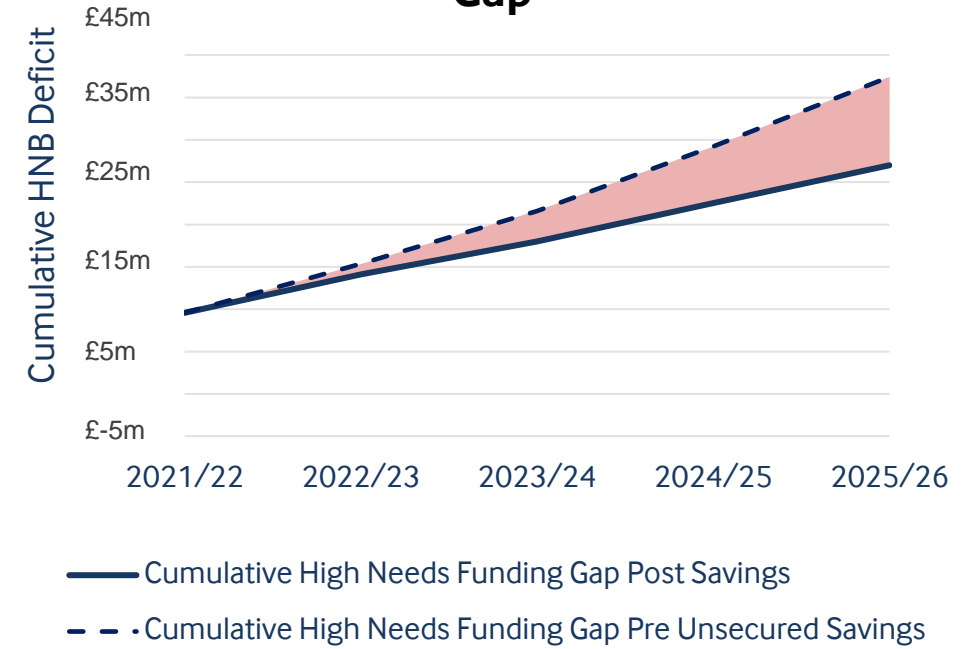
Detailed **data analysis** and understanding of unmitigated and mitigated financial forecasting, resulted in a cumulative **£18 M reduction in forecasted savings** by FY 2026/27.

Failing to deliver the previously forecasted savings will bring **cumulative deficit** in 2025/26 from **59 M to 77 M**

In Year Funding Gaps



Cumulative High Needs Funding Gap



Example Output with Mock Data

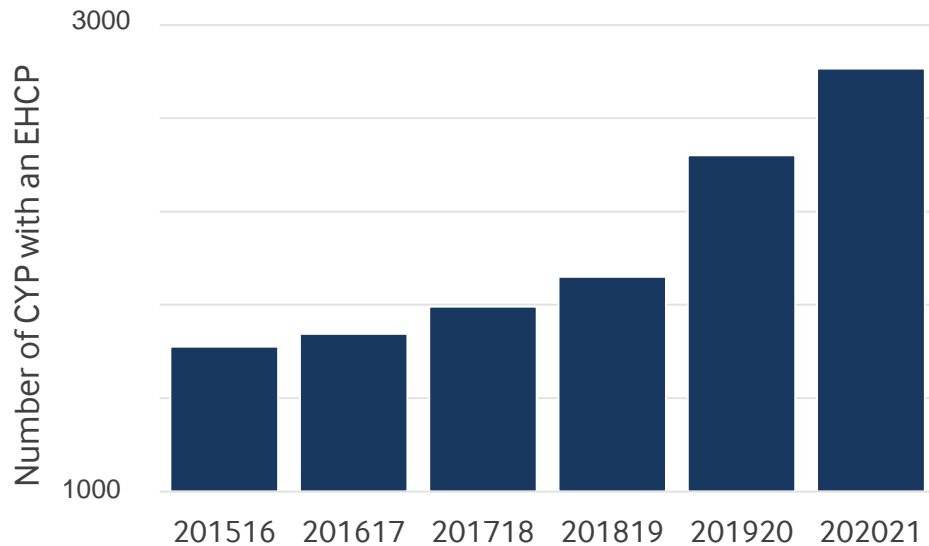
The original forecast did not account for the 120+ children from Early Years for whom a specialist school place was needed

Example Output: Historical Trends & Data Analysis

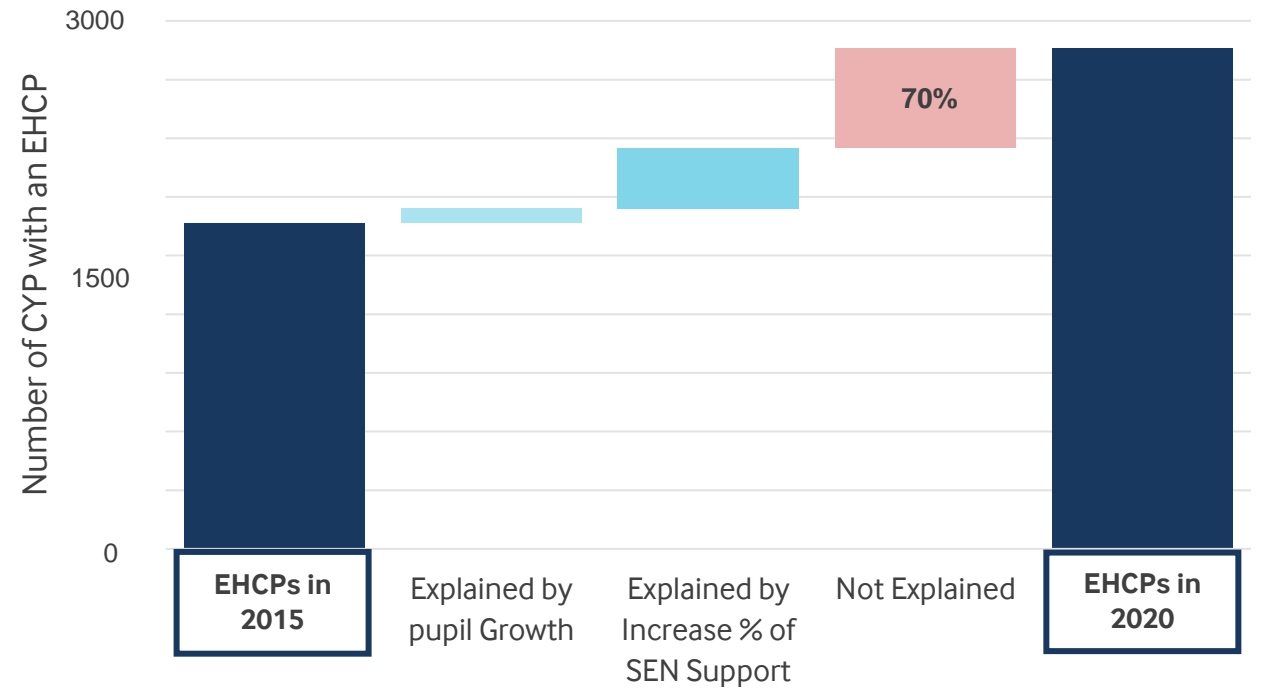
[Click to go back to module](#)

The number of EHCPs has grown **54%**, compared to **38%** for England as a whole and **32%** for Regional Neighbours. Only **30%** of Growth over the past 5 years can be explained by increase in total pupil population and increased proportion of pupils requiring SEN Support. The remaining **70%** is being driven by other factors, which have been explored through 'Case Reviews'

Historical Growth in EHCP Trend



Understanding the Growth in EHCP



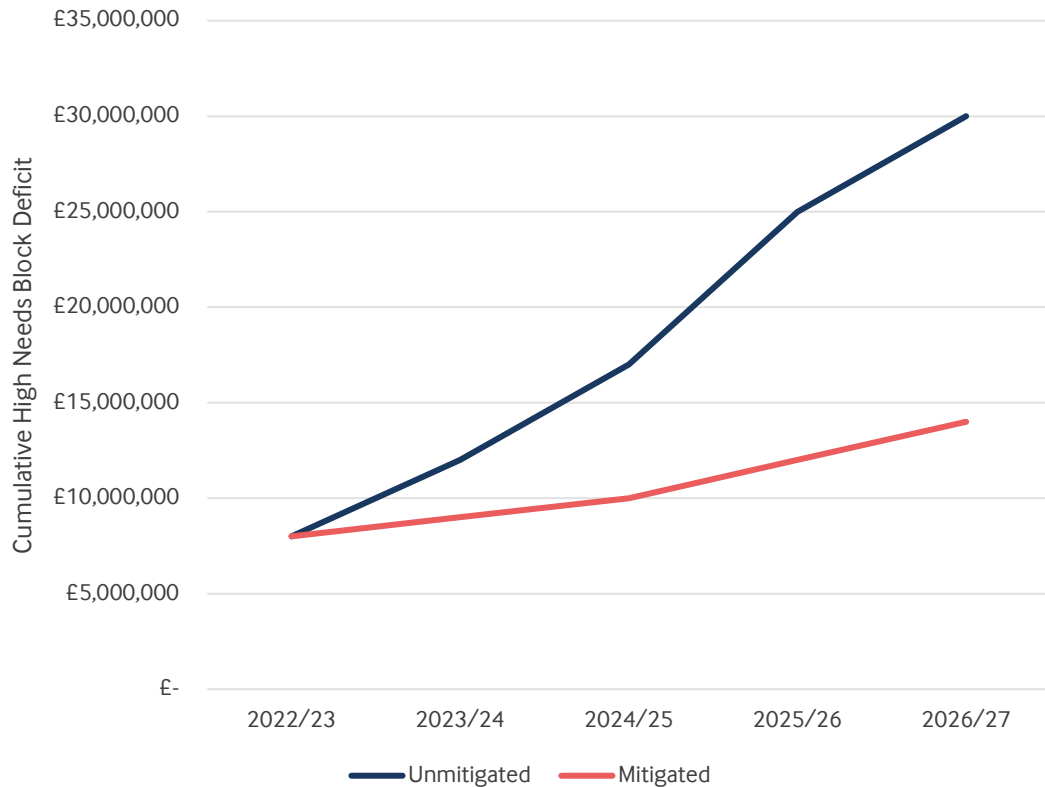
Example Output with Mock Data

Example Output: Benefits Profile

[Click to go back to module](#)

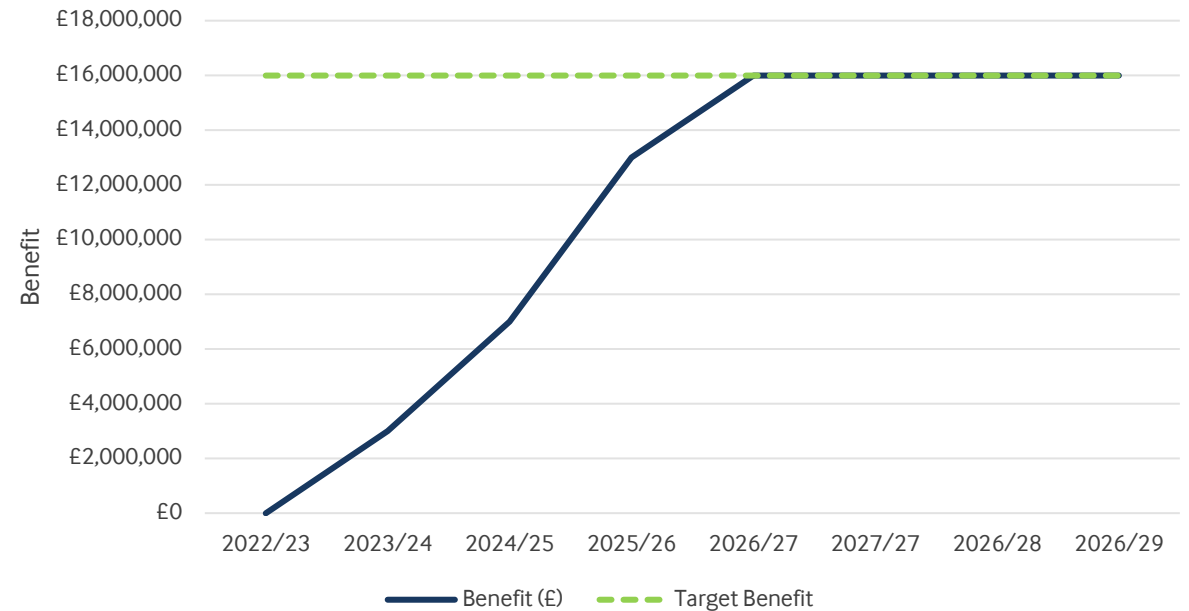
Without projected savings, unmitigated HNB deficit will grow to £30m by FY 2026/27, but with savings impact on the profile the cumulative mitigated HNB deficit can be reduced to £14m.

High Needs Funding Block Deficit Projections



| Benefits Profile (FY 22/23) | Financial Year | 2022/23 | 2023/24 | 2024/25 | 2025/26 | 2026/27 |
|-----------------------------|----------------|---------|---------|---------|---------|---------|
| | As of 22/23 | £Xm | £Xm | £Xm | £Xm | £Xm |

Programme Benefit Profile



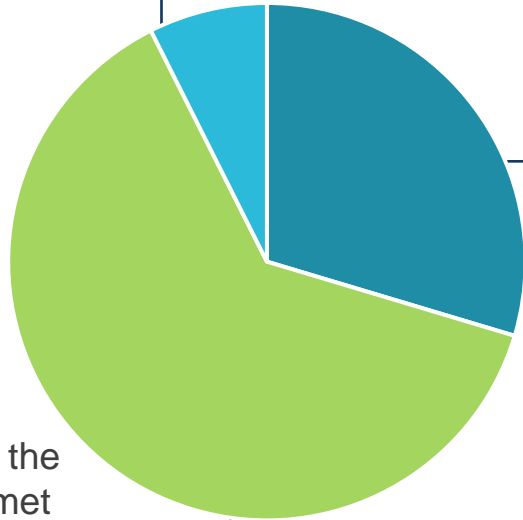
Example Output with Mock Data

Example Output: Case Review

[Click to go back to module](#)

We have reviewed the journey of CYP with EHCPs with over 25 multidisciplinary practitioners, asking the questions: “Do you think the needs of this young person were met effectively? Was an EHCP the best way to deliver this support?”

For **7%** of cases, the CYP needs were met effectively, but an EHCP was not required to meet these needs

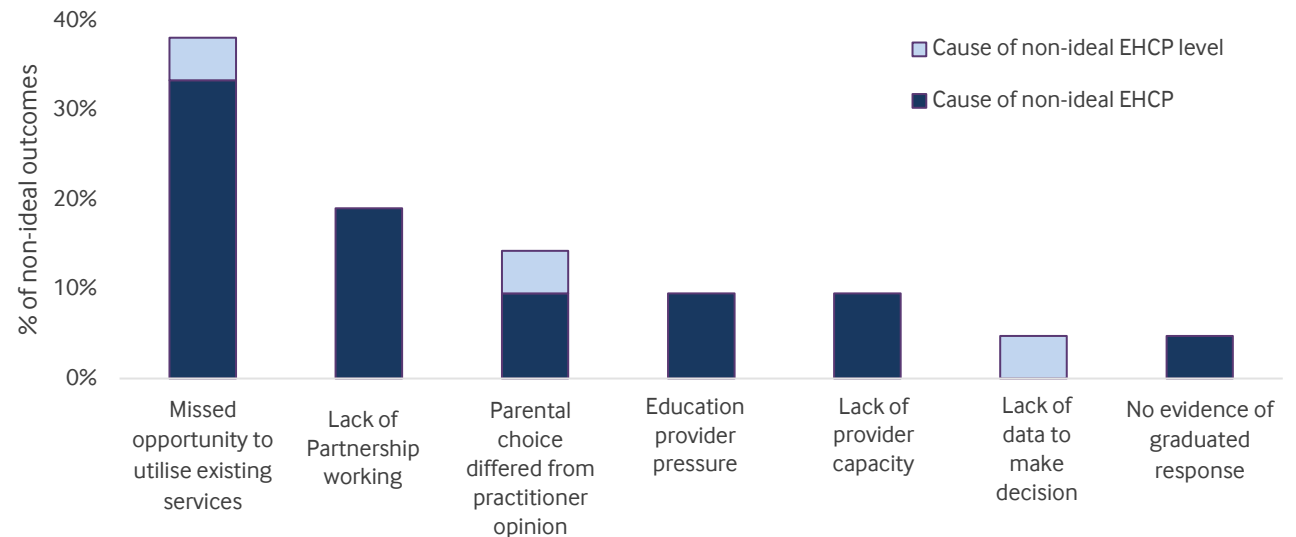


For **30%** of cases, the CYP needs were not met as effectively as they could have been

The biggest reason for non-ideal outcomes was due to **missed opportunities to utilise existing services**

For **63%** of cases, the CYP needs were met effectively and the EHCP was the best way to do this

Why don't we achieve ideal outcomes?



Example Output with Mock Data

Example Output: Case Review 'Deep Dive' (1)

[Click to go back to module](#)

Case Reviews showed that the biggest opportunity to improve outcomes for CYP is through looking at missed opportunities to utilise existing services.

To understand opportunities to better utilise our services we need to understand:



What services do we have to support the inclusion of young people



How effective are those services in supporting the inclusion of young people



How well do education providers and partners engage with those services

To answer these questions, we looked at:

- Demand and Capacity modelling for services
- Reviewed data in a Management Information Assessment
- Interviewed partners/ stakeholders to understand their view of services

Example Output: Case Review 'Deep Dive': Demand & Capacity Analysis (2)

[Click to go back to module](#)

Through Case Reviews, we identified the opportunity to improve outcomes for CYP through **providing for them in different settings**

| Service | How much demand do we have each year (2021)? | How much capacity do we have to manage demand? | Potential Change in Demand |
|----------------------|--|--|----------------------------|
| Service 1 | 200 CYP | Unknown | ↑ Increase by 10-20 CYP |
| Service 2 | 80 CYP | Unknown | ↓ Decrease by 5 CYP |
| Service 3 | 25 CYP | Unknown | |
| Service 4 | 320 CYP | 345 CYP | ↑ Increase by 25 CYP |
| Service 5 | 40 CYP | 30 CYP | |
| Service 6 | No easily accessible demand data | Unknown | |
| Service 7 | 405 CYP | 380 CYP | ↓ Decrease by 35-50 CYP |
| Specialist Service 1 | 500 young people | Unknown | |
| Specialist Service 2 | 150 young people | Unknown | ↑ Increase by 12-15 CYP |
| Specialist Service 3 | 900 young people | Unknown | |

Page 49

From assessment of Management Information & Data, we found there was **lack of data visibility on capacity** for the majority of services – where capacity information did exist, it was hard to visualise and needed to be manually calculated. In order to deliver effective services of working with data though...

Example Output with Mock Data



Data Capture
Ensuring we have the right underlying data capture across our services



Data Driven Culture
Developing a culture of decision making based of data, with the right accountability on agreed KPIs

Example Output: Case Review 'Deep Dive': Demand & Capacity Forecasting (3)

[Click to go back to module](#)

REQUIRED COMPONENTS OF FORECASTING

Total Pupil Cohort

% of Pupils that require SEN Support

% of Pupils with SEN Support that require EHCP

% of Pupils with EHCP that can be supported in mainstream

Understanding our Pupil Cohort

Understanding our Capacity

FOR EACH COMPONENT WE NEED



Understanding of Current Picture



Up to Date View of How It Will Change

WITH THE FOLLOWING UNDERLYING PRINCIPLES



Forecast is Continuous rather than a Snapshot



Forecast is informed by wider SEN Service



Forecast is Regularly Reviewed Against Current Performance



Reflects National Thinking and Legislation

Example Output: Case Review 'Deep Dive': Interviews with Partners (4)

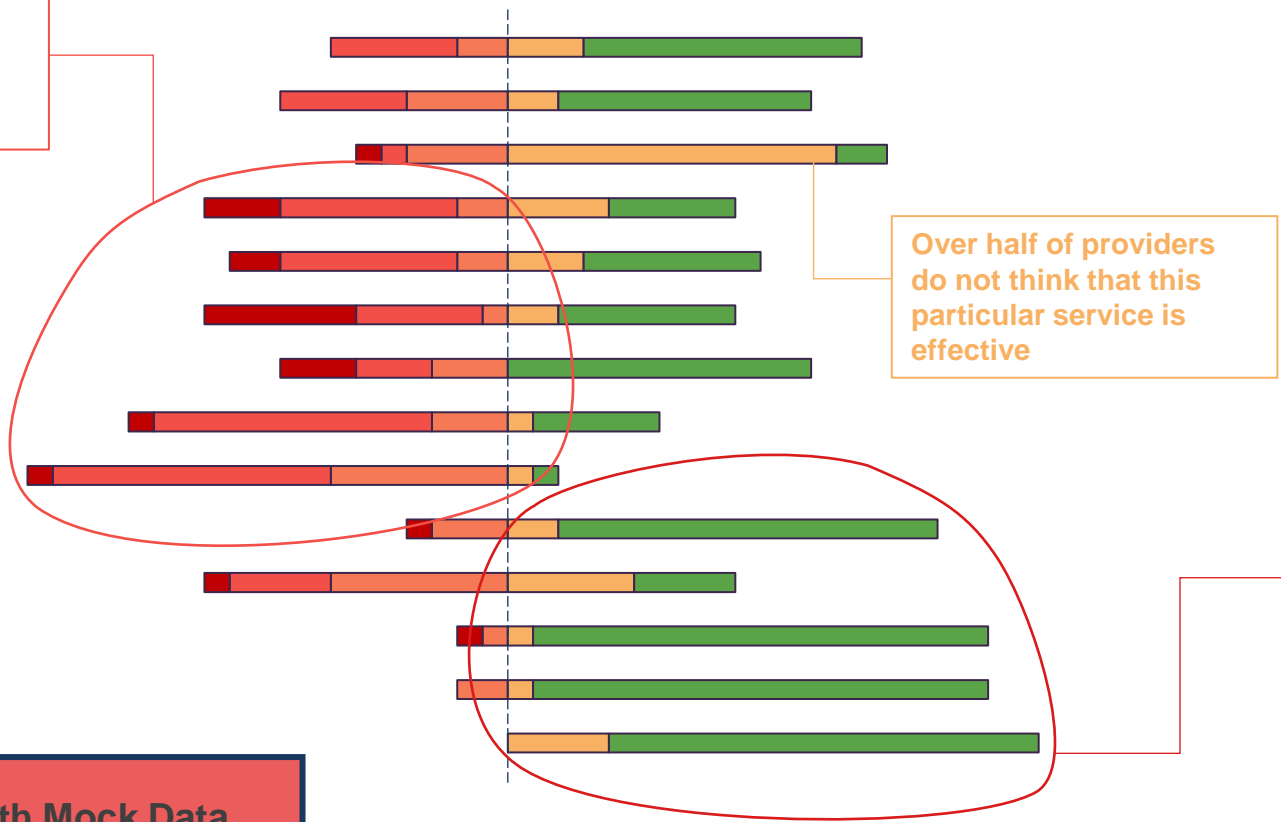
[Click to go back to module](#)

We surveyed 32 partner organisations, including schools, Early Years providers and health providers, to understand how well do they understand the support offer.

How well do our schools and early years settings understand our service offer?

Providers are not aware of many Early Intervention or Inclusion Services and do not know how to access them

Page 51



Over half of providers do not think that this particular service is effective

- I am not aware that this service exists
- I am aware that this service exists, but unsure what it does, or how to access
- I know what this service is, and what it does, but not how to access it
- I know what this service is/does, and how to access it, but I do not believe it delivers effective outcomes
- I know what this service is/does, and how to access it, and I think it delivers effective outcomes

Many of the specialist services, which receive high referrals, are well understood and trusted

Example Output with Mock Data

Example Output: Case Review 'Deep Dive': Interviews with Partners (5)

[Click to go back to module](#)

We surveyed over 20 parents of CYP with SEND to understand their perception of our services and found that the majority of parents did not have a positive view of services and did not know where to access more support.

What do our parents think of our service

The LA understands the needs of my child



Only 11% of parents think the Local Authority **understands the needs of their child or young person**

I feel the current service is meeting my child's need



Over 90% of parents don't think the service is meeting the needs of their **child or young person**

I know where to go to for support or to get advice on the services required for my Child



Almost all parents felt they didn't have someone to **ask for support or advice**

The offer of support is simple and easy to understand



78% of parents find it **difficult to understand** the different **support options**



Example Output: Environment for Change

The Environment for Change is a description of how ready a system is to support a transformation, highlighting its strengths and barriers to change. Landing an change in an organisation requires maximising the strengths and overcoming the barriers, through better change management and design. We facilitate a survey which produces strengths and areas to improve across the 6 areas:

Practicalities of this change

- The data is trusted and measures can be easily baselined
- The organisational structure is simple (# of sites/ people/ locations)
- The change is simple to understand

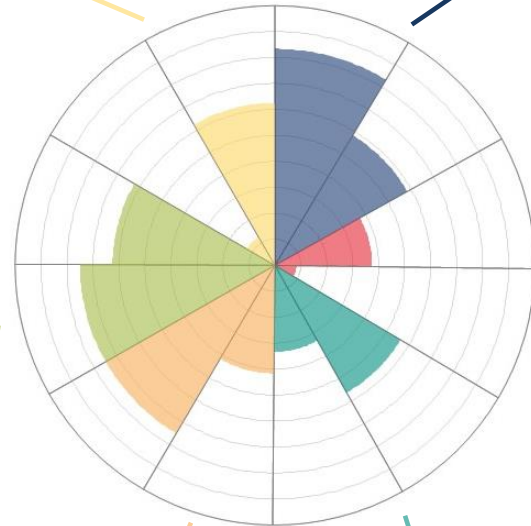
Page 53

Capacity

- Key stakeholders have the capacity to be visible and support the programme
- Front line staff have the capacity to go through the change – including training and practising new ways of working
- There is business support and specialist change team resource to support this programme

Capability

- Front line staff have all the necessary skills for their BAU roles
- Managers are able to measure and improve staff and team performance
- There are no internal or external risks to this work



Leadership

- Senior leaders are united on a clear direction and the organisation has a clear set of business priorities
- Senior leaders are all aligned on the need for this specific change and are willing to be held accountable

Internal communications & engagement

- A comms team exists and supports the business priorities with effective communication plans
- Operational teams have a culture of communicating and engaging with staff and use face-to-face opportunities regularly and effectively

Culture

- Staff understand their roles and responsibilities and work collaboratively
- There's a drive towards continuous improvement
- Staff are trusted, empowered, listened to and valued

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Report to Schools Forum

Date: 27th June 2023

Title: Dedicated Schools Budget – Outturn 2022-23

Author and contact officer: Liz Williams, Head of Finance (Children’s Services)

Recommendations: Schools Forum is asked to note the final outturn position against the Dedicated Schools Grant in 2022-23 and the impact on the DSG reserve.

Reason for decision: For Information

1. Purpose of the Report

1.1. This report updates Schools Forum on the Dedicated Schools Grant (DSG) allocation, outturn for 2022-23, the DSG Reserve, and the impact of 2022-23 outturn on the 2023-24 financial year.

2. DSG Allocation 2022-23

2.1. The final DSG allocation for 2022-23 and the income received is as follows:

Table 1: Reconciliation of DSG Allocation and Income Received 2022-23

| DSG Block | Allocation prior to Academy Recoupment and other Deductions £'000 | Less Academy Recoupment and other Deductions £'000 | Final Allocation After Recoupment and Other Deductions £'000 |
|--|--|---|---|
| Schools Block | 387,291 | 214,193 | 173,098 |
| High Needs Block | 112,080 | 7,999 | 104,081 |
| Early Years Block | 34,579 | 0 | 34,579 |
| Central Schools Services Block | 5,295 | 0 | 5,295 |
| Total DSG Allocation 2022-23 | 539,244 | 222,192 | 317,053 |
| Income Received in 2022-23 | | | (317,550) |
| Difference in income compared to allocation | | | (497) |
| Difference due to: | | | |
| Early Years prior year adjustment | | | (497) |

3. Outturn 2022-23

3.1. The final outturn position for 2022-23 was a net underspend of £2.2 million against the overall Dedicated Schools Budget. This is a favourable movement of £2.5m from the previous report to Schools Forum. The reasons for the movement compared to forecast are summarised in the following paragraphs.

Table 2: Final Outturn 2022-23

| | Budget £'000 | Actual £'000 | Variance £'000 | Previous report to Schools Forum £'000 | Movement £'000 |
|-------------------|-----------------|-----------------|-------------------|--|-------------------|
| Central Block | 5,054 | 4,962 | -92 | 131 | -223 |
| Early Years Block | 34,579 | 33,435 | -1,144 | -1,292 | 148 |
| High Needs Block | 104,062 | 103,133 | -929 | 1,446 | -2,375 |
| Schools Block | 174,797 | 174,785 | -12 | 0 | -12 |
| | 318,492 | 316,315 | -2,176 | 285 | -2,461 |

3.2. The following amounts have been transferred into the DSG reserve from the Schools Block at the end of the year prior to finalising the outturn:

- Underspend against the pupil growth fund £0.782m

3.3. This amount has been rolled forward into earmarked reserves and is expected to be drawn down during 2023-24. The agreed plan for growth funding in 2023-34 requires utilisation of the underspend from 2022-23.

3.4. It should also be noted that no funds have been de-delegated from maintained schools for the school specific contingency in 2022-23 (as agreed by Schools Forum in December 2022) and therefore it is expected that the remainder of the balance rolled forward from previous years will be utilised in 2023-24. Following the most recent meeting of the Schools Specific Contingency Panel there remains a balance of £250k for utilisation against 2023-24 contingency applications.

3.5. The High Needs Block is £0.9 million underspent at the end of the year against the budget of £104.1 million. This is a favourable movement of £2.4m compared with the previous forecast. The main reason for the movement is summarised as follows:

1) **Post-16 spend** – favourable movement of £2.3m

- Decisions re Continuing Health Care contributions not always clear or timely and therefore health income not fully forecast during the year. This is being addressed for future years.
- Data quality – including data on placements in FE Colleges

2) **Integrated Therapies** – favourable movement of £0.9m

- additional investment agreed by the Council not fully utilised by the Provider as additional staffing not recruited.

3) Top Ups and Place Funding in schools

- increased spend of £0.4m compared with forecast

3.6. Further detail on the high needs block spend for 2022-23 is contained in the report of the DSG Spending Review Group.

3.7. The Early Years block is underspent by £1.1m, most of which is against the budget for the free entitlement for early education and childcare for 3 and 4 year olds. It is possible that this amount, or a proportion of it, will be clawed back when the DSG allocation is updated for January 2023 census data.

4. DSG Reserve

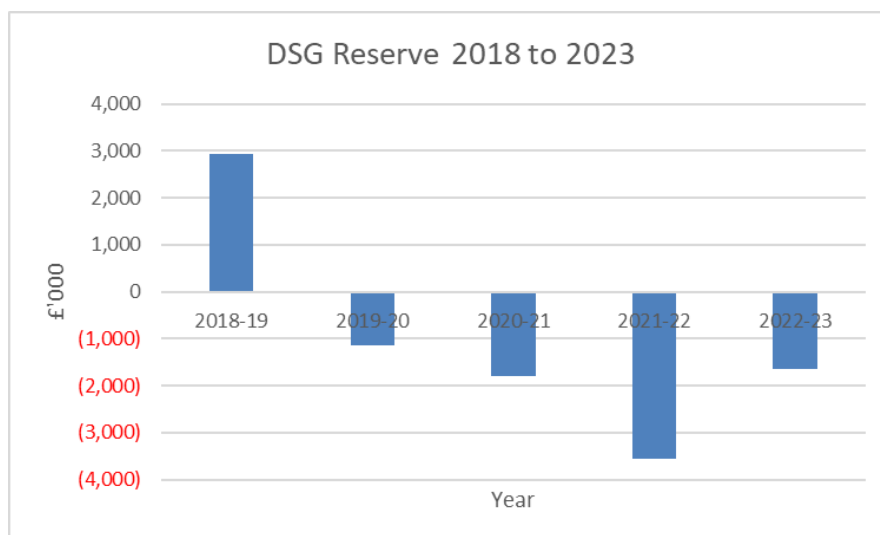
4.1. Any variance against the DSG is to be managed through the DSG reserve which is ringfenced. At the end of the 2022-23 financial year the council has a deficit of £1.653m against its DSG reserve. This is a reduction of £1.913m in the council's DSG deficit compared with the previous year. It is important to note that this includes the transfers to reserves from the Schools Block (para 3.2 above) and an underspend against the early years block, which may be subject to clawback.

Table 3: Summary of DSG Reserve 31 March 2023

| DSG Reserve - Surplus/(deficit) | £'000 |
|--|----------------|
| Opening Balance 2022-23 | (3,566) |
| Recovery Actions agreed by Schools Forum | |
| Unallocated Historic Commitment funding to hold against pressures in future years as part of agreed savings plan | 241 |
| Balance following agreed Actions | (3,325) |
| Drawdown from Reserves 2022-23 | |
| Drawdown of last years reserve - Growth | (1,681) |
| Contingency Payments | (104) |
| Total Drawdowns from Reserve | (1,785) |
| Contributions to Reserves 2022-23 | |
| Growth Fund underspend - committed in 2023-24 | 783 |
| Early Years cash adjustments - additional income for 2021-22 | 497 |
| Total contribution to reserve | 1,280 |
| Contribution to reserve for in year Underspend | 2,176 |
| Closing Balance 2022-23 - Surplus/(Deficit) | (1,653) |

4.2. The DSG deficit has increased year on year since the 2018-19 financial year until 2022-23 when we have seen the deficit reduce.

Figure 1: DSG Reserve 2018-19 to 2022-23



5. Impact on 2023-24

- 5.1. The budget set for 2023-24 takes into account the additional £11.5 million funding allocated to the High Needs Block in the 2023-34 funding settlement. The allocation of the growth has prioritised the impact of demand from previous years, expected increases in demand in 2022-23 and proposals from the DSG Spending Review Group aimed at reducing costs in future years, including mitigating savings. Budgets will be closely monitored to identify risks of overspend at an early point in the year.
- 5.2. The Council will also be engaging with the Delivering Better Value in SEND Programme in the summer of this year. This will support us to further understand trends in expenditure and develop plans for a more sustainable high needs system. More detail is provided in the report of the DSG Spending Review Group.



Report to Schools Forum

Date: 27th June 2023

Title: School Balances at 31st March 2023

Author and/or contact officer: Liz Williams, Head of Finance (Children's Services), Jonathan Carter, Schools Accountant.

Recommendations: To note the surplus and deficit balances for maintained schools at 31 March 2023.

Reason for decision: for information

1. Purpose of the Report

1.1. This report is for information and looks at the balances at the financial year end for the 154 maintained schools in Buckinghamshire. Academies account for their own balances and report to the Department for Education.

2. Overall position

2.1. Overall school revenue balances are £23.4m in surplus, an increase of £2.7m compared to 2021/22. Capital balances increased by £2.1m to £4.0m.

| | Number of schools | Total Income | Revenue Balance 2021-22 | Revenue Balance 2022-23 | Movement in Revenue Balance 2021-22 to 2022-23 |
|--------------|-------------------|---------------------|-------------------------|-------------------------|--|
| | | £ | £ | £ | £ |
| Nursery | 2 | -1,405,030 | -177,274 | -161,452 | 15,821 |
| Primary | 137 | -193,863,419 | -15,196,305 | -15,435,736 | -239,431 |
| Secondary | 5 | -41,730,941 | -3,353,896 | -5,374,029 | -2,020,133 |
| Special | 8 | -33,376,081 | -1,434,213 | -1,887,536 | -453,323 |
| PRU | 2 | -2,457,498 | -514,948 | -547,113 | -32,165 |
| Total | 154 | -272,832,970 | -20,676,636 | -23,405,867 | -2,729,231 |

2.2. Total Income includes all sources of funding including government grants and school generated income.

3. Schools with Surplus Balances

3.1. There are 35 schools with surpluses that are considered as “excessive” as per the Buckinghamshire Council scheme. Excessive uncommitted revenue balances are defined as those which have over 15% of all income.

| Name | 21/22 Revenue Balance | 22/23 Revenue Balance | Movement Revenue Balance | Balance as a % of Income |
|-------------------------------------|-----------------------|-----------------------|--------------------------|--------------------------|
| Little Missenden CE School | -150,481 | -165,579 | -15,099 | 37.1% |
| Whaddon CE School | -114,641 | -161,595 | -46,954 | 35.0% |
| Dagnall School | -122,303 | -169,485 | -47,182 | 32.4% |
| Heritage House School | -889,286 | -869,653 | 19,633 | 31.9% |
| St Michael's Catholic School | -2,082,481 | -3,513,485 | -1,431,003 | 29.6% |
| Mursley CE School | -126,560 | -147,554 | -20,994 | 28.8% |
| Swanbourne CE School | -229,280 | -216,762 | 12,519 | 27.6% |
| Foxes Piece School | -226,697 | -363,471 | -136,774 | 27.3% |
| Marsworth CE Infant School | -92,314 | -93,150 | -837 | 27.2% |
| Bierton CE Combined School | -623,394 | -570,058 | 53,336 | 26.4% |
| Bucks Primary PRU | -426,747 | -408,993 | 17,753 | 26.3% |
| Westfield School | -464,778 | -538,723 | -73,944 | 24.5% |
| Twyford CE School | -143,228 | -163,464 | -20,236 | 23.6% |
| Drayton Parslow Village School | -79,901 | -99,237 | -19,335 | 21.8% |
| St Mary's Farnham Royal Comb School | -313,234 | -349,977 | -36,743 | 20.8% |
| William Harding Combined | -619,583 | -969,027 | -349,444 | 20.2% |
| Tylers Green First School | -135,687 | -203,697 | -68,010 | 20.0% |
| Haddenham Infant School | -100,546 | -164,961 | -64,414 | 19.9% |
| Holmer Green Junior School | -223,449 | -263,402 | -39,953 | 19.1% |
| Burford School | -201,247 | -422,465 | -221,217 | 18.9% |
| Ley Hill School | -188,091 | -222,519 | -34,428 | 18.5% |
| Iver Village Junior School | -227,918 | -247,111 | -19,193 | 18.2% |
| Iver Village Infant School | -134,967 | -219,958 | -84,991 | 18.2% |
| Stoke Poges School | -299,701 | -400,815 | -101,114 | 17.7% |
| Juniper Hill School | -303,576 | -397,041 | -93,464 | 17.5% |
| Wendover CE Junior School | -380,586 | -315,622 | 64,965 | 17.4% |
| Speen CE School | -38,091 | -80,960 | -42,869 | 17.2% |
| Cheddington Combined School | -242,125 | -189,065 | 53,061 | 16.8% |
| Henry Allen Nursery School | -66,865 | -67,146 | -281 | 16.6% |
| Prestwood Junior School | -196,589 | -210,054 | -13,466 | 16.3% |
| Oakley CE Combined School | -38,444 | -114,798 | -76,354 | 16.0% |
| Elangeni School | -199,019 | -192,928 | 6,091 | 15.9% |
| High Wycombe CE Combined School | -55,471 | -174,858 | -119,387 | 15.3% |
| Kiteridge PRU | -88,201 | -138,120 | -49,918 | 15.3% |
| St Michael's CE Combined School | -162,659 | -161,507 | 1,152 | 15.1% |

- 3.2. Appendix 1 shows the position for these schools over the last 5 years.
- 3.3. The LA requires a surplus balances declaration to be completed by schools meeting the criteria of excess surplus balances (greater than 15% of all income) for 5 consecutive years. Plans are monitored by the Schools Accountancy Support Team.
- 3.4. All schools with surplus balances greater than 15% of all income have been contacted and the responses are summarised as follows:
- a) **Staffing costs** – 7 schools stated that a proportion of the surplus arose due to recruitment issues for budgeted posts. 19 schools identified that surpluses would be used to support rising staff costs and recruitment.
 - b) **Delayed expenditure** – 6 schools stated that delayed expenditure contributed to the cumulative surplus balance. This expenditure now has been budgeted in the current financial year.
 - c) **Additional Income** – 7 schools identified non- budget share income streams as a contributory factor to increased surpluses.
 - d) **Refurbishment/ Capital Expenditure on equipment including ICT upgrades**– 21 schools have responded to say that a proportion of the surplus balance is to be spent on refurbishments of premises including outdoor areas and IT spend.
 - e) **Future budgetary pressures** – 10 schools stated that surpluses had been accumulated to address future budgetary pressures. Half of these schools specifically cited rising energy costs as a concern.

4. Schools with deficits

- 4.1. There are 21 schools with deficits as of 31 March 2023, compared with 18 schools at the end of 2021/22. During the year 5 schools cleared their deficit and 8 schools went into deficit from a surplus position (see below). A summary of deficit schools is shown in Appendix 2.
- 4.2. The majority of schools listed in Appendix 2 are already receiving support from the Schools Accountancy Support Team. The 3 schools with newly identified deficits will start to receive support from 2023/24.
- 4.3. Of the schools that had continuing deficit balances, 9 schools reduced their deficits and 4 increased their deficits.
- 4.4. Schools with deficit balances receive support and challenge from the Schools Accountancy Support Team who work closely with schools to understand the reasons for any deficit, the cost base for the school and the potential for financial recovery. The team also works closely with the School Improvement Team and Early Years to ensure the sustainability of plans.
- 4.5. Section 4.5 of the Buckinghamshire Council Scheme for Financing Schools requires the governing body to seek authorisation from the Authority if it intends to set a deficit budget. The Authority is able to license a deficit budget where the governing

body provides details of the steps being taken to fully recover the deficit, usually within 3 financial years. In exceptional circumstances this may be increased to a 5 year recovery period. In the event that a school is unable to set a balance budget over three years may trigger a “Notice of Concern”. Such a notice will set out the reasons and evidence for it being made and may place on the governing body restrictions which may include for example:

- A requirement 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
- requirements for the provision of monthly accounts to the authority
- regular financial monitoring meetings at the school attended by authority officers

4.6. Budget plans for 2023-24 were submitted by schools in mid-May and those schools submitting a deficit budget for the year will be contacted to establish the plans for recovery. Schools will be required to formally apply for a licensed deficit and to submit recovery plans to enable that deficit to be approved.

4.7. In addition to ensuring that schools and governing bodies are considering the actions that need to be taken to recover any deficit, this also ensures that the Schools Accountancy Support Team can prioritise support where required.



Report to Schools Forum

Date: 27th June 2023

Title: Scheme for Financing Schools

Author: Liz Williams, Head of Finance – Children’s Services

1. Purpose of Report

- 1.1. Buckinghamshire Council is required to have a Scheme for Financing Schools, which defines the financial relationship between the authority and the schools in its area. The scheme covers such matters as banking, accounting and audit arrangements.
- 1.2. The statutory guidance requires us to consult on any changes to our scheme for financing schools. The updates we have made are to bring our scheme in to line with the latest guidance and to correct any outdated names and titles.
- 1.3. The revised scheme is attached as Appendix 1 to this paper. Other than changes to update names, titles etc there are no major changes. The revised scheme now takes into account all of the latest guidance.
- 1.4. Schools Forum is asked to review the Scheme and comment where necessary prior to publishing.

Buckinghamshire 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

Updated May 2023

Contents

| | |
|---|----|
| Section 1: Purpose of the Scheme | 3 |
| Section 2: The outline scheme | 3 |
| Section 3: Introduction | 5 |
| Section 4: Financial controls | 8 |
| Section 5: Instalments of the budget share and banking arrangements | 17 |
| Section 6: The treatment of surplus and deficit balances arising in relation to budget shares | 19 |
| Section 7: Income | 22 |
| Section 8: The charging of school budget shares | 24 |
| Section 9: Taxation | 26 |
| Section 10: The provision of services and facilities by the authority | 26 |
| Section 11: Private Finance Initiative (PFI)/Public Private Partnership (PPP) | 29 |
| Section 12 Insurance | 29 |
| Section 13: Miscellaneous | 30 |
| Section 14: Responsibility for repairs and maintenance | 33 |
| Section 15: Community facilities | 34 |
| Annex A: The list of schools to which this scheme applies | 39 |
| Annex B: Responsibility for redundancy and early retirement costs | 42 |
| Annex C: Categories of work which governing bodies must finance from their budget | 46 |

Section 1: Purpose of the Scheme

Buckinghamshire 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 Council and all the schools it maintains.

Section 2: The outline scheme

References throughout this statutory guidance to:

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

“the authority” means Buckinghamshire 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 3: Introduction

- 3.1 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.

The detailed publication requirements for financial statements are set out in directions issued by the Secretary of State.

- 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.

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- **3.2 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.

- **3.3 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.

- **3.4 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.

- 3.5 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.

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

- 3.6 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.

- 3.7 Maintenance of schools

The authority is responsible for maintaining the schools covered by the scheme, and this includes the duty of defraying all the expenses of maintaining them (except in the case of a voluntary 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 4: Financial controls

- 4.1 General procedures

- 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 on the SchoolsWeb.

- 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 on the SchoolsWeb. 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 SchoolsWeb.

- 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 SchoolsWeb.

- Financial Regulations F1
- Guidance on coding of expenditure and income available as Schools GL Code List on SchoolsWeb.

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- 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 on the SchoolsWeb FI10. Schools are free to determine their own arrangements for keeping a register of assets worth less than £1,000 you should register any item that is portable and attractive (e.g. Camera, etc.). They should keep a register in some form.

- 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.

- 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 Service Director/Finance Service must be contacted. Above this level, the Director of Finance must be contacted (see the SchoolsWeb).

- 4.2 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.

- 4.3 Submission of budget plans

- Schools are required to do the following
- Each school is required to submit a draft budget plan to Buckinghamshire Council by the end of February each year. This does not need formal approval of full governing body or a committee of the governing body but governors are expected to have been made aware of and discussed these proposals before submission to Buckinghamshire Council.
- Each school is required to submit a formal budget plan to Buckinghamshire Council before the end of May Half term (Whitsun) break begins. The school's formal annual budget plan must be approved by the governing body or a committee of the governing body.
- The plans should cover the following financial year plus two further years. They should show:
 - The expected levels of income from Dedicated Schools Grant (school budget share)
 - The expected income from other grants and income sources
 - The expected expenditure
 - The estimated surplus or deficit balance accumulated by the school at 31st March each year (i.e. brought forward from the current year and carried forward in each of the next three years)
 - Assumptions underpinning the budget plan.
- Schools must notify the authority of any revision to their financial plans agreed during the course of the financial year. There is no requirement for all schools to regularly submit revised plans or financial forecasts on a more frequent basis. Schools are expected to monitor progress against budget plans on a regular basis and identify any issues.
- If a revised plan is necessary the revised plan should be agreed by the governing body or a committee of the governing body. Circumstances where a revised plan is expected include:
 - Any change resulting in a deficit budget in any financial year.
 - Significant changes in assumptions underlying budget proposals for the next three years. e.g. resulting in income or spend changing by more than 2% or £10,000 (whichever is the higher) compared to original assumptions.
- The formal budget plan in May is not expected to significantly differ from the draft proposals in February if the assumptions made have been robust, tools and checklists have been used and monitoring of in year budgets have been reliable. For example, the estimated surplus or deficit should not be significantly different to the draft budget plan if monitoring and forecasting is robust.
- All plans (draft, formal or revised) must be submitted in a form notified by the authority and in accordance with the Consistent Financial Reporting Framework.
- Further guidance is available on the SchoolsWeb.

- The authority will provide the following
- Buckinghamshire Council wants to support schools in managing budgets effectively and working with schools in having sustainable budget proposals over three years. To help schools Buckinghamshire Council will provide:
 - Draft delegated budget shares for schools will be published by early January each year (subject to DfE checking of budget calculations)
 - An expenditure modelling tool and training will continue to be accessible to schools (the salary modeller tool provided through a traded service) to help them plan their expenditure.
- The purpose of the draft plan being submitted in February is for Buckinghamshire Council to review the plans and evaluate the financial risk of each school earlier. This enables Buckinghamshire Council to offer schools assistance at any earlier stage and ideally before the financial year starts.
- Schools should be aware that plans that show a deficit in any year will require approval of Buckinghamshire Council and that schools who are unable to set a balance budget over three years may trigger a “Notice of Concern” which could lead to delegation of budgets being withdrawn from Governors.
- Where plans have significantly changed Buckinghamshire Council will review these in detail to understand why budget plans had changed and whether the school needs more support.
- Buckinghamshire Council will review actual spend and income using the Council’s SAP system, which schools financial systems feed in to. This will take place at least twice a year (mid-year and end of year). This will support Buckinghamshire Council in identifying financial assessment and audit risk. If significant discrepancies are identified schools will be contacted to explain these. This includes significant changes in formal budget plans compared to draft budget plans, especially where surplus or deficit balances at year end have significantly varied from draft budget plans.

- Submission of Financial Forecasts

The authority requires schools to submit a financial plan covering a 3 year budget forecast.

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.

- 4.4 School Resource Management

Schools must seek to achieve effective management of resources and value for money, to optimise the use of their resources and to invest in teaching and learning, taking into account the purchasing, tendering and contracting requirements outlined in section 4.10.

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.

- 4.5 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.

- 4.6 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 on the SchoolsWeb.

With regard to external audit, all schools come within the authority's external audit regime as determined by the Local Audit and Accountability Act 2014.

- 4.7 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.

- 4.8 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.

A school refusing to provide audit certificates to the local authority as required by the scheme is in breach of the scheme and the authority can take action on that basis.

Guidance on the form in which these should be reported is set out on the SchoolsWeb.

- 4.9 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.

- 4.10 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.

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

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

Further details of the requirements can be found in the Finance Zone of the Schools Web.

Schools may seek advice on a range of compliant deals via buying for schools (<https://www.gov.uk/guidance/buying-for-schools>)

- 4.11 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.

- 4.12 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 carried to the point of assimilating the allocations into the school's budget share.

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 funding from centrally retained funds should only be spent on the purposes for which it is given, or on other budget heads for which earmarked funding is given. Schools must be able

to demonstrate that this requirement has been complied with. 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 grant.

- 4.13 Spending for the purposes of the school

Under s.50(3) of the Schools Standard and Framework Act 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.

- 4.14 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 of Children's Services 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 meet responsibilities with the School Premises (England) Regulations 2012, the Workplace (Health, Safety and Welfare) Regulations 1992, the Regulatory Reform (Fire Safety) Order 2005, the Equality Act 2010 and the Building Regulations 2010.

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

- 4.15 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 Finance & Procurement and the Director of Children's Services, the school has failed to comply with any provisions of the scheme, or where actions need to be taken to safeguard the financial position of the authority or the school.

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

These may include:

- insisting that relevant staff undertake appropriate training to address any identified weaknesses in the financial management of the school
- insisting that an appropriately trained/qualified person chairs the finance committee of the governing body
- placing more stringent restrictions or conditions on the day to day financial management of a school than the scheme requires for all schools – such as the provision of monthly accounts to the authority
- insisting on regular financial monitoring meetings at the school attended by authority officers
- requiring a governing body to buy into an authority's financial management systems
- 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 issuing of a notice of concern will not be used in the place of withdrawal of financial delegation where this is the appropriate action to take. The notice of financial concern provides a way making the governing body aware of the authority's concerns and identifying the actions a governing body should take to improve their financial management to avoid withdrawal of delegation.

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.

- 4.16 Schools Financial Value Standard (SFVS)

All local authority maintained schools including nursery schools and PRUs that have a delegated budget) must demonstrate compliance with the SFVS and complete the assessment form on an annual basis. The authority will specify the internal deadline for submission of the SFVS.

Governors must demonstrate compliance through the submission of the SFVS assessment for 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 progress of these actions to ensure that all actions are cleared within specified deadlines.

- 4.17 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 5: Instalments of the budget share and 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.

- 5.1 Frequency of instalments

For non-chequebook book schools the authority will make entire budget share available from the end of month 3. For chequebook 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.

- 5.2 Proportion of budget share payable at each instalment

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

- 5.3 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%.

- **5.4 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%.

- **5.5 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.

- **5.6 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.

- **5.7 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 upon request.

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 on the SchoolsWeb.

- 5.8 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. From time to time, however, the Secretary of State may introduce limited schemes in order to meet broader policy objectives. Schools may use any scheme that the Secretary of State has said is available to schools without prior approval.

Schools may not use interest bearing 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 6.10).

Further advice about borrowing is available on the SchoolsWeb.

Section 6: The treatment of surplus and deficit balances arising in relation to budget shares

- 6.1 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 chequebook book school it must do so on 1st April and 50% of the provisional balance will transferred 4 weeks previously, pending a later reconciliation.

- 6.2 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.

- 6.3 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 SchoolsWeb F5

- 6.4 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.

- 6.5 Planning for deficit budgets

No school may plan for a deficit balance without the consent of the authority (see para 6.9). Schools must submit a recovery plan to the Local Authority regardless of the size of the deficit

- 6.6 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.

- 6.7 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.

- 6.8 Balances of closing and replacement schools

Where in the funding period, a school has been established or is subject to a prescribed alteration as a result of a closure of a school, the local authority may add an amount to the budget share of the new or enlarged school to reflect all or part of the unspent budget share, including any surplus carried over from previous funding periods, of the closing school for the funding period in which it closes. Except that a surplus automatically transfers to an academy where a school converts to academy status under section 4(1)(a) of the Academies Act 2010.

- 6.9 Licensed deficits

A licensed deficit is the arrangement whereby the authority may allow a school to plan for a deficit budget. In exceptional circumstances the Authority may agree to license a deficit (see Licensed Deficits Policy)

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.

- 6.10 Loan schemes

The authority operates a loan arrangement for chequebook 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 the SchoolsWeb under Finance guidance and forms / Emergency cash advance.

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

Section 7: Income

Schools may retain income except in certain specified circumstances.

- 7.1 Income from lettings

Schools are allowed to retain income from casual lettings of the school premises which would otherwise accrue to the authority. 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. However, where land is held by a charitable trust, it will be for the school's trustees to determine the use of any income generated by the land.

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

- 7.2 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 Charges for Educational Activities Guidelines on the SchoolsWeb. 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.

- 7.3 Income from fund-raising activities

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

- 7.4 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. Any retention of funds from

the sale of land assets is subject to the consent of the Secretary of State, and any conditions the Secretary of State may attach to that consent relating to use of proceeds.

The retention of sale proceeds for premises not owned by the authority will not be a matter for the scheme. (See Section 13)

- 7.5 Administrative procedures for the collection of income

Where schools collect income which accrues to the authority, 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 on the SchoolsWeb.

- 7.6 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 8: The charging of school budget shares

- 8.1 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 Head of Finance (Children's Services).

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.

- 8.2 Charging of salaries at actual cost

The authority will charge salaries of school-based staff to school budget shares at actual cost, where a school buys the LA payroll service.

- 8.3 Circumstances in which charges may be made

- Where premature retirement costs have been incurred without the prior written agreement of the authority to bear such costs the 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;
- Other expenditure incurred to secure resignations where there is good reason to charge this to the school (see Annex B);
- 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.

- Expenditure by the authority in carrying out health and safety work or capital expenditure for which the authority is liable where funds have been delegated to the governing body for such work, but the governing body has failed to carry out the required work;
- Expenditure by the authority incurred in making good defects in building work funded by capital spending from budget shares, where the premises are owned by the authority or the school has voluntary controlled status;
- Expenditure 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;
- Recovery of monies due from a school for services provided to the school, where a dispute over the monies due has been referred to a disputes procedure set out in a service level agreement, and the result is that monies are owed by the school to the authority;
- Recovery of penalties imposed on the authority by the Board of Inland Revenue, the Contributions Agency, HM Revenue and Customs, Teachers' Pensions, the Environment Agency or other regulatory authorities as a result of school negligence.
- Correction of authority errors in calculating charges to a budget share (e.g. pension deductions)
- 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.
- Legal costs which are incurred by the authority because the governing body did not accept the advice of the authority.
- Costs of necessary health and safety training for staff employed by the authority, where funding for training had been delegated but the necessary training not carried out.
- Compensation paid to a lender where a school enters into a contract for borrowing beyond its legal powers, and the contract is of no effect.
- Cost of work done in respect of teacher pension remittance and records for schools using non-authority payroll contractors, the charge to be the minimum needed to meet the cost of the authority's compliance with its statutory obligations;
- Costs incurred by the authority in securing provision specified in a Education, Health and Care Plan(EHCP) where the governing body of a school fails to secure such provision despite the delegation of funds in respect of low cost high incidence SEN and/or specific funding for a pupil with High Needs;
- Costs incurred by the authority due to submission by the school of incorrect data;
- Recovery of amounts spent from specific grants on ineligible purposes;
- Costs incurred by the authority as a result of the governing body being in breach of the terms of a contract.

- Costs incurred by the authority or another school as a result of a school withdrawing from a cluster arrangement, for example where this has funded staff providing services across the cluster.
- Costs incurred by the authority 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 9: Taxation

- 9.1 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 on the SchoolsWeb. Amounts so reclaimed will be passed back to the school.
- 9.2 CIS (Construction Industry Taxation Scheme)

Schools should abide by procedures issued by the authority in connection with CIS. The procedures are set out on the SchoolsWeb.

Section 10: The provision of services and facilities by the authority

- 10.1 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 permitted under the Schools and Early Years Finance Regulations or the dedicated schools grant conditions of grant.

- 10.2 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 or extensions relating to the same services.

However, schemes for contracts for supply of catering services may be limited to a maximum of 5 years, with a maximum agreement of 7 years if the contract is extended.

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.

- 10.4 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.

- 10.4 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.

- 10.5 Teachers' Pensions

In order to ensure that the performance of the duty on the authority to supply Teachers Pensions with information under the Teachers' Pensions Scheme Regulations 2014, the following conditions are imposed on the authority and governing bodies of all maintained schools covered by this Scheme in relation to their budget shares.

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 monthly return of salary and service to Teachers' Pensions and to produce its audited contributions certificate. The authority will advise schools each year of the timing, format and specification of the information required. A governing body shall also ensure that any such arrangement or agreement is varied to require that Additional Voluntary Contributions (AVCs) are passed to the authority within the time limit specified in the AVC scheme. The governing body shall meet any consequential costs from the school's budget share.

Section 11: Private Finance Initiative (PFI)/Public Private Partnership (PPP)

- 11.1 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.

Among PFI and PPP provisions may be one which formally sets out the power of the Authority to charge to the school's budget share amounts agreed under a PFI or PP agreement entered into by the governing body of a school.

Section 12 Insurance

- 12.1 Insurance cover

The scheme should contain a provision which stipulates that if funds for insurance are delegated to any school, the Authority may require the school to demonstrate that cover relevant to an Authority's insurable interests, under a policy arranged by the governing body, is at least as good as the relevant minimum cover arranged the Authority if the Authority makes such arrangements, either paid for from the central funds or from contributions from schools' delegated budget.

The evidence required to demonstrate the parity of cover should be reasonable, not place an undue burden upon the school, nor act as a barrier to the school exercising their choice of supplier.

The scheme must require the Authority to have regard to the actual risks which might reasonably be expected to arise at the school in question in operating such a requirement, rather than applying an arbitrary minimum level of cover for all schools. Instead of taking out insurance, a school may join the Secretary of State's Risk Protection Arrangement (RPS) for risks that are covered by the RPA.

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

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

Section 13: Miscellaneous

- 13.1 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 (e.g. earmarked funds) on the school.

- 13.2 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.

- 13.3 Governors' Allowances

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).

- 13.4 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.
- 13.5 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 the SchoolsWeb) on health and safety matters in the management of the budget share.

- 13.6 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.

- 13.7 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.

- 13.8 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

- 13.9 '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 Council's website.

- 13.10 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.

- 13.11 Redundancy / early retirement costs

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

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- 13.12 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.

Section 14: Responsibility for repairs and maintenance

14.1 Annex C shows the categories of work which governing bodies must expect to finance from their budget.

14.2 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.

14.3 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 15: Community facilities

- 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 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

- 15.1 Consultation with the authority – financial aspects

Changes made by the Children and Families Act 2014 mean that schools no longer need to consult the authority when establishing community facilities under Section 27 of the Education Act 2002. Nor do they have to have regard to advice given to them by their authority.

However, as public bodies, they are expected to act reasonably, and this includes consulting those affected by decisions that they make.

- 15.2 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.

- 15.3 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.

- 15.4 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.

- 15.5 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.

- 15.6 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.

- 15.7 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 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.

- 15.8 Insurance

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

- 15.9 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.

- 15.10 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 May 2022)

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 |
| 2175 | BEDGROVE INFANT 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 |
| 2191 | CHESTNUT LANE SCHOOL |
| 2235 | CLAYTONS PRIMARY SCHOOL |
| 3035 | COLESHILL CHURCH OF ENGLAND INFANT SCHOOL |
| 3309 | CUDDINGTON & DINTON C OF E SCHOOL |
| 2026 | DAGNALL SCHOOL |
| 5208 | DANESFIELD SCHOOL |
| 2027 | DENHAM VILLAGE SCHOOL |
| 2000 | DISRAELI COMBINED SCHOOL - THE |
| 2009 | DOWNLEY SCHOOL |
| 2030 | DRAYTON PARSLow VILLAGE SCHOOL |
| 2031 | DROPMORE INFANT SCHOOL |

2025 EAST CLAYDON SCHOOL
2282 ELANGENI 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
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 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
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
5206 LOUDWATER COMBINED SCHOOL
3057 MAIDS MORETON CHURCH OF ENGLAND SCHOOL
2196 MANOR FARM COMMUNITY INFANT 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
 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
 5201 OVERSTONE COMBINED SCHOOL
 2084 PRESTWOOD INFANT SCHOOL
 2204 PRESTWOOD JUNIOR SCHOOL
 3074 QUAINTON 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
 3033 ST GEORGE'S CHURCH OF ENGLAND INFANT SCHOOL
 3008 ST JAMES & ST JOHN C OF E PRIMARY SCHOOL
 3328 ST MARY & ALL SAINTS CHURCH OF ENGLAND PRIMARY SCHOOL
 3320 ST MARY'S C OF E PRIMARY 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
 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
 2219 THOMAS HICKMAN SCHOOL
 2113 THORNBOROUGH INFANT 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
 3029 WENDOVER CHURCH OF ENGLAND JUNIOR SCHOOL
 3065 WESTCOTT CHURCH OF ENGLAND SCHOOL
 3030 WESTON TURVILLE CHURCH OF ENGLAND SCHOOL
 3018 WHADDON CHURCH OF ENGLAND SCHOOL
 2251 WHITCHURCH COMBINED SCHOOL

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| 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

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| 4004 | BUCKINGHAM SCHOOL |
| 5407 | COTTESLOE SCHOOL - THE |
| 4072 | CRESSEX COMMUNITY SCHOOL |
| 4034 | GRANGE SCHOOL - THE |

Special Schools

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| 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 |

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) |
|--------------------|---|---|---|
| Foundations | | | |
| Structure | | | Repairs to all structural work to walls or wall support below ground including underpinning piles, ground beams, pier bases, footings. |
| Frames | | | |
| 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. |

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) |
|--------------------|-------------------------|---|---|
| Foundations | | | |
| Structure | | | Replacement or initial provision of structural work to walls or wall support below ground including underpinning piles, ground beams, pier bases, footings. |
| Frames | | | |
| Structure | | | Replacement or initial provision of structural members in steel, concrete or timber frames including ties, bracings (including wind bracing), bolts, base |

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| External Walls | | | |
| Structure, Masonry, Cladding | Preventative measures to prevent cracking etc, e.g. tree removal. | Minor repairs to non-structural cracks and pointing. | Minor repairs to structural walls, below de minimis value. |
| External Finish | | Repair/ replacement/ repointing of small parts of an existing structure, e.g. 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, e.g. repointing / recladding / dpc / expansion and mortar joints. |
| Masonry Chimneys | | | |
| Structure | | Repair/ replacement of small parts of the existing structure, e.g. repointing / recladding | Work required to prevent imminent, or correct, actual major failure of the structure, e.g. |

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| | | | plates and wedgings. |
| External Walls | | | |
| Structure, Masonry, Cladding | | | All structural work to walls involving underpinning/ propping and major repairs resulting from structural failure or movement, above de minimis 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. |
| Masonry Chimneys | | | |
| Structure | | | Work required to prevent imminent, or correct, actual major failure of the structure or |

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| | | / pots/ cowls/ flashings in isolated areas where failure has occurred. | repointing / recladding / dpc / expansion and mortar joints. |
| Flat Roofs - Felt, Asphalt, Metal and Other Finishes | | | |
| 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 |
| Flat Roof Screed/ Insulation | Repairing minor roof leaks. | Work to repair/ replace small areas of screed. | Replaceme nt/ repair of all/ substantial ly all. Improvem ent to insulation standards would be part of the replaceme nt work. |
| Flat Roof Finishes | | Repair/ replaceme nt of small areas of defective roof finish on an existing building to prevent immediate water penetratio n. (Covered by Buyback) | |
| Flat Roof Edge Trim/ Fascia | Cleaning and repainting. | Isolated/ individual repairs/ | |

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| | | | replaceme nt build to all or substantial parts of a building. |
| Flat Roofs - Felt, Asphalt, Metal and Other Finishes | | | |
| Flat Roof Structure | | | Replacem ent of all or substantial part of an existing structure to prevent imminent or correct actual major failure of the structure |
| Flat Roof Screed/ Insulation | | | Replacem ent/ repair of all/ substantial ly all. Improvem ent to insulation standards would be part of the replaceme nt work. |
| Flat Roof Finishes | | | Replacem ent of all/ substantial ly all of an existing roof finish which has life expired. |
| Flat Roof Edge Trim/ Fascia | | | Replacem ent of all/ substantial |

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| | | replaceme nt. | |
| Flat Roof Drainage | Clearing out gutters and downpipes . Replaceme nt/ repair/ repainting of individual gutters/ pipes/ hoppers etc. | | |
| Flat Roof Other (e.g. flashings, rooflights) | Cleaning of individual items. | Repair/ replaceme nt of individual items. | |
| Pitched Roofs - Slates, Tiles and Other Finishes | | | |
| 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. |
| 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 maintenan ce work and below threshold limit. | Repair of insulation to original standard where damaged as a result of maintenan ce work and above threshold limit. |
| Pitched Roof Finishes | Repairing minor roof leaks. | Replace missing/ damaged tiles. | |

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| | | | ly all on existing roof. |
| Flat Roof Drainage | | | Replacem ent of all/ substantial ly all of existing roof drainage system. |
| Flat Roof Other (e.g. flashings, rooflights) | | | Replacem ent of all/ substantial ly all on existing roof. |
| Pitched Roofs - Slates, Tiles and Other Finishes | | | |
| Pitched Roof Structure | | | Replacem ent of all or substantial part of an existing structure to prevent imminent or correct actual major failure of the structure. |
| Pitched Roof Insulation | | | Replacem ent of all or substantial ly all insulation to current standard as part of roof replaceme nt work. |
| Pitched Roof Finishes | | | Replacem ent of all/ substantial ly all on |

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| | | (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 de minimis limits. | |
| Pitched Roof Other (e.g. Flashing/ Roof Windows) | Cleaning of individual items. | Replacement of individual items. | |
| Other Roof Finishes | | | |
| Other Roof Finishes i.e. Steel, Copper, Lead | Repairing minor roof leaks. | Repair/ replacement of small areas. (As for other roof finishes) | |

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| | | | 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 de minimis limits. |
| Pitched Roof Other (e.g. Flashing/ Roof Windows) | | | Replacement of all/ substantially all on existing roof. |
| Other Roof Finishes | | | |
| Other Roof Finishes i.e. Steel, Copper, Lead | | | Replacement of all/ substantially all. (as for other roof finishes) |

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| Thatched Roof | | Repair/ replacement of small areas by specialists. | |
| Other External & Ancillary Structures | | | |
| Other outbuildings i.e.: 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 | Remedial and active measures against insect | |

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| Thatched Roof | | | Replacement of all/ substantially all by specialists. |
| Other External & Ancillary Structures | | | |
| Other outbuildings i.e.: 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 | | | |

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| | ve measures. | 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 school. | General repairs and maintenance. | |
| Floors | | | |
| 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 e.g. revarnishing wooden floors, replacement of carpets/ | Replacement of all/ substantially all of existing floor – e.g. replacement of wood block or granwood flooring. | |

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| Covered Links | | | Rebuild all or substantially all of structure and finish of existing covered link. |
| Porches | | | Rebuild all or substantially all of structure and finish of existing porch. |
| Floors | | | |
| 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 – e.g. replacement of wood block or granwood flooring. | |

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| Screed and Finishes, including Raised Access Floors | tiles in a room. | | |
| 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 ensure the escape is always useable. | Renewal/replacement of all/substantial all of the structure. |
| 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 | Renewal/replacement of all/substantial |

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| 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/substantial all of the structure. |
| Upper Floor Structure | | | As ground floor – replacement of all/substantial all of an existing floor. |
| Upper Floor Screed and Finishes | | As ground floor. | |
| Accesses (other than stairs) | | | Renewal/replacement of all/substantial |

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| | | ensure the access is always useable. | ly all of the structure. |
| Ceilings - (Plaster Linings, Tiling Boards, Access Hatches, Panels, Coves) | | | |
| 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 | | | |
| All Ceilings | Specialist removal/ replacement of damaged/ disturbed Asbestos based materials (including Artex ceiling coatings) <u>as part of a Self-Help project,</u> | Specialist removal/ replacement of damaged/ disturbed Asbestos based materials (including Artex ceiling coatings), applying sealant coats to | |

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| | | | ly all of the structure. |
| Ceilings - (Plaster Linings, Tiling Boards, Access Hatches, Panels, Coves) | | | |
| 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), applying sealant coats to | Specialist removal/ replacement of damaged/ disturbed Asbestos based materials as part of a planned replacement programme, applying sealant |

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| (Asbestos materials) | applying sealant coats to exposed asbestos surfaces for protection , inspection / air testing. Specialist has to be organised by BCC. | exposed asbestos surfaces for protection and inspection / air testing. Specialist has to be organised by BCC. | |
| Windows & Doors - Wood, Metal, PVCU | | | |
| 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. | | |

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| (Asbestos materials) | | exposed asbestos surfaces for protection and inspection / air testing. Specialist has to be organised by BCC. | coats to exposed asbestos surfaces for protection , inspection / air testing. Specialist has to be organised by BCC. |
| Windows & Doors - Wood, Metal, PVCU | | | |
| 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 |

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| General | | | |
| 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. | | |

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| | | | structural elements. |
| General | | | |
| 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 | | | |

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| 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 equipment, court markings etc. | | |
| Internal Walls - Loadbearing or Non-Loadbearing | | | |
| Solid Walls | Repairs and redecoration to internal plaster/ linings, tiles, pinboards etc, including applied finishes. | | |
| Partitions | Repairs and redecoration. | Complete/ replacement of all/ substantially all of the | |

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| Internal Joinery, Fixtures and Fittings etc | | | |
| Gymnasium Equipment | | | |
| Internal Walls - Loadbearing or Non-Loadbearing | | | |
| Solid Walls | | | Replacement of all/ substantially all of the entire defective wall structure including various internal finishes and linings. |
| Partitions | | Replacement of all/ substantially all of the defective | |

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| (Non load-bearing) | | 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 replacement. | |
| Sliding/Folding Partitions | Maintenance, repair and replacement where installed by the school. | Maintenance, repair and replacement where not installed by the school. | |
| Sanitary Services | | | |

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| (Non load-bearing) | | 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 | |
| Sliding/Folding Partitions | | Replacement where not installed by the school. | |
| Sanitary Services | | | |

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| 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 | <p>General refurbishment.</p> <p>Drain & gulley cleaning.</p> <p>Redecoration & repairs.</p> <p>Equipment repairs & replacement.</p> | | |
| Mechanical Services | | | |
| Heating/ Hot Water | Regular cleaning of mechanical plant. | General maintenance of all mechanical plant including | Planned replacement of old boilers (LPG, Oil & Gas)/ |

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| Changing Rooms/Lavatories | | Replacement of all/ substantially all of the individual banks of sanitaryware, basins, including all fittings, cubicles, plumbing and drainage. | |
| Kitchens | | | |
| Mechanical Services | | | |
| Heating/ Hot Water | | | Planned replacement of old boilers (LPG, Oil & Gas)/ |

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| Boilers and Burners | NB Energy saving projects are now part of BCC Energy Team's remit. | replaceme nt of minor defective parts. | controls/ systems past the end of their useful life, including: | Boilers and Burners | | | controls/ systems past the end of their useful life, including: |
| | | Regular cleaning/ servicing. | Heating and HWS boilers and burners and associated flues, fittings and componen ts | | | | Heating and HWS boilers and burners and associated flues, fittings and componen ts |
| | | Monitorin g systems. | | | | | |
| | | Health and Safety issues. | Heating, HWS and sump pumps, calorifiers, pressurisat ion units and expansion vessels, cylinders, valves, gauges. Oil storage tanks, pipes, valves, gauges and associated equipment | | | | Heating, HWS and sump pumps, calorifiers, pressurisat ion units and expansion vessels, cylinders, valves, gauges. Oil storage tanks, pipes, valves, gauges and associated equipment |
| | | Regular servicing. | Control equipment and associated componen ts, wiring and control panels for heating and HWS systems including zone, optimum | | | | Control equipment and associated componen ts, wiring and control panels for heating and HWS systems including zone, optimum |

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| Boiler Room Ancillary Equipment | | (All covered by Buyback) | <p>start and energy management controls and sub metering.</p> <p>Steel chimney structures with associated components, insulation and external finishes.</p> <p>Fan convector heating casings, heating batteries, valves and fittings.</p> | Automatic Controls | | NB Energy saving projects are now part of BCC Energy Team's remit. | <p>Room heaters, including guards, flues, thermostats, controls, associated pipework, tanks and cylinders.</p> |
| Boiler Room Ancillary Equipment | | | <p>start and energy management controls and sub metering.</p> <p>Steel chimney structures with associated components, insulation and external finishes.</p> <p>Fan convector heating casings, heating batteries, valves and fittings.</p> | Automatic Controls | | | <p>Room heaters, including guards, flues, thermostats, controls, associated pipework, tanks and cylinders.</p> |

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| Steel Chimneys | | | |
| Fan Convectors | External cleaning. | | |
| 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 | 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 | 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 |

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| Steel Chimneys | | | |
| Fan Convectors | | | |
| Oil and Gas Fired 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 | 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 | 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 |

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| | testing. Specialist has to be organised by BCC. | organised by BCC. | 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) | |
| 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. | |

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| | testing. Specialist has to be organised by BCC. | organised by BCC. | / 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 | | | Planned compliance remedial works |
| Gas | | | Planned replacement/ major refurbishment of distribution pipework and control equipment. |

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| | | (Covered by Buyback) | | | | | |
| Ventilation | Cleaning accessible surfaces and local fans, including associated hoods and canopies. Resetting time clocks. | Repair/ replacement of defective systems and cleaning of units where not installed by school. | | Ventilation | | | Renewal/ replacement of all/ substantially all extract fans, wall and roof mounted including wiring, mountings, controls and isolators. |
| (Mechanical, Comfort Cooling, Heat Pumps and Air Conditioning Systems) | 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> | (Covered by Buyback) | | (Mechanical, Comfort Cooling, Heat Pumps and Air Conditioning Systems) | | | 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 | Day to day maintenance and operating regime as set down by installer. Maintenance of storage | Minor repair/ replacement of defective parts and servicing (covered by Buyback if not | Planned replacement/ major refurbishment of boiler and associated fittings, including storage | Biomass Boilers | | | Planned replacement/ major refurbishment of boiler and associated fittings, including storage |

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| (inc. all associated plant and pellet storage) | area to the required atmospheric conditions. | subject to terms of an installation contract) | 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. | |
| Electrical Services | | | |

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| (inc. all associated plant and pellet 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 | | | |
| Electrical Services | | | |

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| 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. |
| Health & Safety | | | All testing, earthing and bonding to meet Health and Safety. Renewal/ replacement of obsolete and dangerous wiring systems, including distribution boards. |
| Power | All testing, repair and replacement of small items of equipment. (PAT testing) | | 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. |

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| General | | | Planned renewal/ replacement of main switchgear and distribution. |
| Health & Safety | | | |
| Power | | | Planned renewal/ replacement of control gear, distribution, fixed equipment, protection, etc. |
| Lighting | | | Planned renewal/ replacement of all/ substantial all luminaires. |

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| 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. | |
| 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. (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. |

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| Intruder Alarm Systems/ CCTV / Panic Alarms | | | |
| Door Access Systems | | | |
| 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. |

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| 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 a separate agreement) | | 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 electromagnetic door holders (but excluding door closers). |
| Fan Convectors | Cleaning grilles and filters. Resetting of thermostats and time switches. | Servicing of fans, motors, batteries, minor maintenance and repair/ replacement | | Fan Convectors | | | Renewal/ replacement of all/ substantially all units, including internal and external |

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| | | nt of defective parts. (Covered by Buyback) | | | | 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 | 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, |

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| | clocks. Emptying of extraction collectors. | (Covered by Buyback) | | | | | 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> | | | | | | |
| 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 Monitoring | | Installation of all radon detection |

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| | | | radon detection and monitoring equipment |
| Services: General | | | |
| All Mains Services Intakes/ Distribution | Main services upgrade resulting from self-financed project. | | |
| 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. | | |
| External Works & Miscellaneous | | | |
| Paved Areas, etc. | General day to day maintenance and repair (including patch repairs), sweeping and cleaning of | Renewal and replacement of all/ substantially all roads, car parks, paths, courts, terraces, | |

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| | | | and monitoring equipment |
| Services: General | | | |
| 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 | | | |
| Solar and Photovoltaic Systems, Wind Turbines | | | |
| External Works & Miscellaneous | | | |
| Paved Areas, etc. | | Renewal and replacement of all/ substantially all roads, car parks, paths, courts, terraces, | Provision of disabled access requirements via the Schools Access Initiative (SAI) fund. (Funded |

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| | play, and paved areas, paths, car parks, courts, playgrounds and playground markings. | 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. | |
| 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, | Maintenance/ repair of pumps within drainage systems. | |

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| | | play pitches, playgrounds, steps and handrails. | 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 | | | Replacement/reconstruction of drains, manholes, soakaways, inspection chambers and sewage plant, incl. septic tanks. |

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| Internal and External | including unblocking and descaling as necessary. Emptying of septic tanks | | |
| Swimming Pools (Excluding plant) | Hygiene, cleaning, maintenance and repairs, including replacement of minor parts. Simple energy saving systems. | | |
| Telecommunication masts | Repair and maintenance of masts and all associated equipment as agreed with the provider. | | |
| Play Equipment | The maintenance and repair of all play equipment, including supporting structure and associated safety surfaces, fixed and moveable goal posts, jumping pits and run-up areas. | | |

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| Internal and External | | | |
| Swimming Pools (Excluding plant) | | | Renewal/ replacement of all/ substantially all of the structure including linings, hygiene/ safety and electrical servicing, SUBJECT TO Service Director approval. |
| Telecommunication masts | | | |
| Play Equipment | | | |

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| 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. |

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| 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. |



Report to Schools Forum

Date: 27th June 2023

Title: Early Education and Childcare Entitlements and Funding Updates

Author: Liz Williams, Head of Finance (Children's Services), Sue Bayliss, Early Years Manager

Recommendations:

- a) **To note the funding update for Early Years entitlements following the Spring Budget 2023**
- b) **To agree that if funding announcements are made for implementation in September 2023, it should be delegated to the Early Years Forum to determine how that is applied in the Early Years Single Funding Formula (in line with DfE guidance)**

1. Background – Budget Announcements Spring 2023

1.1. In the government's spring budget, the Chancellor announced reforms to childcare entitlement as follows:

- From April 2024, all working parents of 2-year-olds can access 15 hours per week
- From September 2024, all working parents of children aged 9 months up to 3-years-old can access 15 hours per week
- From September 2025, all working parents of children aged 9 months up to 3-years-old can access 30 hours free childcare per week

1.2. The budget also announced additional funding of £204 million from this September rising to £288 million next year (financial year 2024 to 2025) to increase the funding paid to nurseries for the existing free hours offers. This investment will allow the national average rate for local authorities for 2-year olds to increase by 30% from the current national average rate of £6 per hour to around £8 per hour from September 2023. The national average 3 to 4 year old rate for local authorities will rise in line with inflation from the current national average rate of £5.29 per hour to over £5.50 per hour from September 2023.

1.3. The rates currently received by Buckinghamshire are £6.69 for 2 year olds and £5.26 for 3 to 4 year olds.

2. Implementing Funding changes mid year

2.1. As noted above, the council is expecting an increase in hourly rates for the current Early Years funded hours to be applied from September 2023. No detail has yet been received of the uplifted hourly rates for Buckinghamshire. It is expected that any announcement may be made in July, along with the usual announcements of Early Years DSG adjustments.

2.2. In order to respond swiftly to any announcement, and ensure money can be allocated quickly to settings, it is proposed that the Early Years Forum meet to determine how any increase should be applied to the current Early Years Single Funding Formula. Any decision will need to be made in line with DfE guidance. This decision can then be reported back to the October Schools Forum meeting for ratification.

3. Update following the Early Years Forum held on 12th June 2023

3.1. As noted above, the Early Years Forum met and discussed how any increase awarded to early years funding should be applied to the current Early Years Single Funding Formula. A proposal was made to retain the amount as of April in all funding elements and to apply any increase, less the < 5% the LA is permitted to retain for central costs, through to the base rate only. This proposal was unanimously agreed to. The Early Years Forum will meet again in August if new conditions are imposed in the DfE operational guidance expected in July.



Report to Schools Forum

Date: 27th June 2023

Title: Report from the Schools Specific Contingency Panel

Author: Liz Williams, Head of Finance (Children's Services)

Recommendations:

Schools Forum is asked to:

- 1. Note the outcomes of the Schools Specific Contingency Panel meeting held in May 2023 to review applications for support with energy costs.**

1. Purpose of the Report

- 1.1. This report updates members of Schools Form on the decisions of the Schools Specific Contingency Panel at its meeting on 15th May 2023 for support with energy costs in the financial year 2022-23.

2. Contingency Fund Applications

- 2.1. The available budget to meet any claims for energy costs in 2022-23 was agreed as £83,933.
- 2.2. The group considered applications from 13 schools totalling £157,605, one claim was considered to not meet the criteria.
- 2.3. In view of the inconsistency of calculated amounts requested, the panel agreed all eligible bids would be paid 50% of the difference between 2021-22 and 2022-23 actual energy costs, subject to affordability. As the 50% value for successful claims exceeded the budget available all amounts paid were agreed at 84% of the maximum eligible value.
- 2.4. Appendix 1 shows details of anonymised applications and payments agreed for this financial year.

3. Review and Next Steps

3.1. Schools have received the allocated funding.

3.2. It was confirmed at the meeting that energy costs will not be eligible for contingency funding in 2023-24 as they will not meet the criteria for unforeseen in year costs

Appendix 1

| Table 1: Energy Contingency Decisions 2022-23 | | |
|--|---------------------------------|--------------------------|
| Energy Cost Contingency bids for Financial Year 2022-23 | | |
| Anonymised list of 14 schools | | |
| | Requested | Agreed 15/05/2023 |
| 1 | £10,686 | £6,464 |
| 2 | £25,927 | £13,959 |
| 3 | £6,559 | £2,945 |
| 4 | £2,794 | £2,578 |
| 5 | £24,196 | £11,529 |
| 6 | £10,118 | £11,233 |
| 7 | £9,347 | £5,129 |
| 8 | £8,457 | £7,381 |
| 9 | £18,701 | £7,552 |
| 10 | £4,706 | £2,964 |
| 11 | £8,914 | £3,423 |
| 12 | £3,756 | £4,503 |
| 13 | £8,444 | £4,273 |
| 14 | £15,000 | £0 |
| | £157,605 | £83,933 |
| | Budget for Energy costs 2022-23 | £83,933 |
| | C/f from 2021-22 | £0 |
| | Total Available | £83,933 |
| | Balance 2023-24 | £0 |

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