
Haringey Schools Forum

THURSDAY, 23RD MAY, 2013 at 16:00 HRS - PROFESSIONAL DEVELOPMENT CENTRE,
DOWNHILLS PARK ROAD, N17.

AGENDA

1. CHAIR'S WELCOME

2. APOLOGIES AND SUBSTITUTE MEMBERS

Clerk to report.

3. DECLARATION OF INTEREST

Declarations are only required where an individual member of the Forum has a pecuniary interest in an item on the agenda.

4. MINUTES OF THE MEETING HELD ON 28 FEBRUARY 2013 (PAGES 1 - 8)

5. MATTERS ARISING

6. THE SCHOOLS INTERNAL AUDIT PROGRAMME (PAGES 9 - 32)

To advise the Schools Forum of the outcomes of the 2010/11 - 2012/13 audit programme; provide the programme of work to be undertaken in 2013/14; and suggest future training and development options for schools.

7. JOHN LOUGHBOROUGH SCHOOL (PAGES 33 - 36)

To inform members of contingency plans for assimilating the former pupils of John Loughborough School in the event of closure.

8. EARLY YEARS SINGLE FUNDING FORMULA FOR TWO YEAR OLDS AND THE PROVISION OF EARLY EDUCATION PLACES (PAGES 37 - 48)

To inform the Schools Forum of the Consultation on the Early Years Single Funding Formula for Two Year Olds.

9. ALTERNATIVE PROVISION (PAGES 49 - 66)

To report on the commissioned strategic review of the delivery of alternative provision and education otherwise than at school (EOTAS) services.

10. FORUM CODE OF CONDUCT (PAGES 67 - 72)

To agree a proposed Code of Conduct.

11. FEEDBACK FROM WORKING GROUPS (PAGES 73 - 94)

- Funding Reform (verbal update)
- High Needs (attached)
- Early Years (verbal update)

12. WORK PLAN FOR REMAINDER OF ACADEMIC YEAR 2012/13 (PAGES 95 - 98)

To inform the Forum of the updated work plan for 2012-13 and provide members with an opportunity to add additional items.

13. ANY OTHER URGENT BUSINESS

14. DATE OF FUTURE MEETINGS

3 July 2013
26 September 2013

TO BE AGREED:-

5 December 2013, 16 January 2014, 27 February 2014, 22 May 2014 and 3 July 2014

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**MINUTES OF THE SCHOOLS FORUM MEETING
THURSDAY 28 FEBRUARY 2013**

Schools Members:

Headteachers:

Special (1) - Martin Doyle * (Riverside),
Children's Centres(1) -Val Buckett (A) (Pembury),
Primary (7) Evelyn Pittman (A)(Tetherdown), Maxine Patterson (A)(Ferry Lane), Fran Hargroves (St Mary's CE), *Will Wawn (Bounds Green) Linda Sarr (A) (St Ann's), Cal Shaw (Chestnuts), *Julie D'Abreu (Devonshire Hill)
Secondary (4) Alex Atherton (A) (Park View), *Tony Hartney (Gladesmore),*Monica Duncan (Northumberland Park), *Simon Garrill (Heartlands)
Academies(2) Paul Sutton (Greig City),* Michael McKenzie (Alexandra Park)

Governors:

Special (1) *Vik Seeborun (The Vale)
Children's Centres (1) *Melian Mansfield (Pembury)
Primary (7) *Miriam Ridge (Our Lady of Muswell), *Asher Jacobsberg (Welbourne),* Louis Fisher (Earlsmead), *Laura Butterfield (Coldfall), Andreas Adamides(A) (Stamford Hill), *Jan Smosarski (Bruce Grove),*Sandra Carr (St John Vianney)
Secondary (4) *Liz Singleton (Northumberland Park),* Imogen Pennell (Highgate Wood), *Marianne McCarthy (Heartlands), *Keith Embleton (Hornsey)

Non School Members:-

Non – Executive Councillor - *Cllr Zena Brabazon
Professional Association Representative- Julie Davies
Trade Union Representative -Pat Forward
14-19 Partnership- June Jarrett
Early Years Providers -*Susan Tudor-Hart
Faith Schools - Mark Rowland

Observers:-

Cabinet Member for CYPS (*Cllr Ann Waters)
Education Funding Agency

Also attending:

Steve Worth, Finance Manager (Schools)
Wendy Sagar, Interim Head of CYPS Finance
Carolyn Banks, Clerk to Forum
Jan Doust, Deputy Director, CYPS
Phil Di Leo, Head of Service to Children & Young People with Additional Needs & Disability
Kirstie Watkins, Head of Inclusion
Ros Cooke, Head of Early Years

*Members present
A Apologies given

TONY HARTNEY [CHAIR] IN THE CHAIR

ACTION

**MINUTES OF MEETING OF THE SCHOOLS FORUM
THURSDAY 28 FEBRUARY 2013**

MINUTE NO.	SUBJECT/DECISION	BY
1.	CHAIR'S WELCOME	
1.1	The Chair welcomed everyone to the meeting. He reported that he had received a resignation letter from Julie Davies, the representative from the Haringey Teachers' Panel. She had expressed her disappointment over the Forum's decision not to de-delegate funding for union representation, support and advice. The Forum AGREED that her letter be appended to the minutes of this meeting.	
	There was some concern raised over the discussions at the last meeting, which, although as agreed were not minuted, had been reported outside of the meeting. It was therefore suggested and AGREED that a code of conduct for Forum members be produced. It was also AGREED that this be discussed at the next meeting.	WS/SW/ CB
	The Chair also reported that Val Buckett had submitted her resignation as the Children's Centre staff representative. During the course of the meeting communication was received to the effect that Julie Vaggers had been appointed as the replacement representative for this category. RESOLVED: That the appointment of Julie Vaggers as the Children's Centre staff representative be approved.	
2.	APOLOGIES AND SUBSTITUTE MEMBERS (Agenda Item 2)	
2.1	Apologies for absence were received from Val Buckett, Maxine Pattison, Linda Sarr, Evelyn Pittman, Andreas Adamides and Alex Atherton	
2.2	There were no substitute members.	
3.	DECLARATION OF INTEREST (Agenda Item 4)	
3.1	There were no declarations of interest made.	
4	MINUTES OF MEETING HELD ON 17 JANUARY 2013 (Agenda Item 5)	
4.1	AGREED: The minutes of the meeting were agreed as a true record subject to the following amendment:- Resolution 10 to read:- That the secondary phase retains the basic allocation for staff supply costs and maintain the statutory requirements.	
5.	MATTERS ARISING	
5.1	MMcK reminded the Forum that Steve Davies had admitted that he may have overstated the employment status of individuals in relation to the Behaviour Support Services. In response to a query about the	

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THURSDAY 28 FEBRUARY 2013**

	consequences of the Forum's decision not to approve this de-delegation JD advised that discussions were currently taking place with the staff affected.	
6.	EARLY YEARS BLOCK BUDGET STRATEGY 2013/14 (Agenda Item 6) <i>report for information/note/consultation/decision</i>	
6.1	SW provided the Forum with background information regarding the budget arrangements for the provision of early years for 2013/14. In addition to the new funding arrangements resulting from the implementation of the School Funding reform for 2013/14, from 1 September 2013 the Local Authority will have a statutory responsibility to provide 15 hours of free early years education for the most vulnerable two year olds. Eligibility would be based on free school meals criteria and was intended to apply to the most disadvantaged 20%. The aim was to support better long term outcomes by improving attainment.	
6.2	Haringey had been providing a two year old pilot programme initially as part of the national pilot. Based on the DfE's assessment and an 80% participation level, the LA expected to provide in the region of 730 places following the statutory entitlement for 882 eligible 2 year olds in September 2013. This means that around 450 additional quality places needs to be identified for this year and for September 2014 when the criteria is widened to 40% a further 800 places will be needed. The two year old funding for 2013-14 and 2014-15 was fixed and not dependant upon participation levels, but would move to a participation basis from April 2015.	
6.3	Although previous meetings had already looked at the early years block, SW drew members' attention to a number of issues. In particular the Forum noted that there was a clawback made in the following financial year to reflect the difference between indicative numbers and actual participation. Details of the movement in participation levels during the current financial year were noted which had generated a clawback of £626K from primary schools and £59K from nursery schools. It was noted that there were 5 schools that would be subject to significant clawback, all of which had significant reductions in funded full time places. In order to minimise turbulence for these schools and enable them to manage the transition a cap of £40,000 for 2012/13 only was agreed. Consequently a clawback of £553,000 would be added to the 2013/14 Early years block funding.	
6.4	SW advised that the DfE had stated, despite reservations being made to them, that funding was at the rate of £5.28 per hour per child from September 2013, which was lower than the rates currently paid. Members of the Forum expressed their concern over this and felt that it was likely to be unacceptable to many providers and could be a barrier to increasing capacity. In response to a question relating to the quality of childminding RC advised that the LA had a central team that monitored quality as well as providing training and support to them.	
6.5	As part of the single funding formula for the two year old provision from September 2013, it was agreed that officers would work with the Early Years Working Group on this matter. Pending this, the Forum agreed that the current rate of £5.74 per hour per child be paid for new places and the market cost for established children's centre places continue to be paid for participation to the end of August 2013. In addition it was	

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	<p>agreed that the Working group would review the formula for 3 and 4 year old provision in order to ensure that the single funding for all early education was properly aligned from April 2014. The working group would also look at how provision and funding can best support the early years strategy and support children affected by the benefits cap. The Forum AGREED the revised terms of reference for the Early Years Working Group as extended to incorporate 2YO expansion, childcare strategy, review of the use of EY funding and links to the EY strategy. There was some discussion around the proposed membership of the working party and it was agreed that WW would contact other primary schools with nursery classes with a view to filling the Primary school place. MM also stated that as she was the children's centre representative there was a further primary school place vacant. The EYWG would try to fill the vacancies. The Forum was of the view that it was important to have good representation across the various groups.</p>	WW
6.6	The Forum noted the summary of the 2012/13 EYB income and expenditure and the resulting revised baseline guaranteed unit of funding.	
6.7	The proposed budget strategy for 2013/14 was to maintain stability and it was AGREED that the transfer funding (£3.699m) for the vulnerable 2 year old entitlement be ring fenced for the delivery of that offer and capacity building. The remaining funding would be available to support delivery of 15 hours of free education for 3 and 4 year olds.	
6.8	It was agreed that a contingency of £669K in 2013/14 be held pending the work of the EYWG. The balance of the early years funding £1.949m has previously been agreed to be centrally retained.	
6.9	The Forum noted that there would be further reports regarding the Early Years block budget for 2014/15 and proposals across a range of early years funding.	
6.10	<p>RESOLVED:-</p> <ul style="list-style-type: none"> (i) That the restatement of the 2012-13 Early Year block and revised baseline be noted (ii) That the indicative Early Years block income 2013-14 of £17.274m be noted. (iii) That the central retention of historic and statutory budgets (£1.949m) within the Early Years Block be approved (iv) That the retention of a three and four year old EYSFF Contingency Fund (£669m) for 2013-14 be approved (v) That the revised terms of reference for a Working Group to work with officers and make recommendations to the Forum at future meetings on key issues be approved. (vi) That the budget adjustments for nursery and primary providers to reflect actual participation in 2012-13 be approved (vii) That a cap of £40,000 in respect of the 3 and 4YO EYSFF 2012-13 be approved (viii) That EYSFF payments of £5.74 per hour per child for all providers for the summer term only, except Children's Centres which will continue to be paid at market cost for the summer term only be approved 	
7.	HIGH NEEDS BLOCK BUDGET STRATEGY 2013/14 (Agenda Item 7) <i>report for information/note/consultation/decision</i>	

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7.1	Further to previous meetings SW gave a detailed presentation on the budget arrangements for provision for pupils up to age 25 with high levels of need for 2013/14. The new arrangements which included significant changes to High Needs provision and funding were being introduced within a challenging timescale for the financial year 2013/14 and with the continuing level of uncertainty it was noted there was a risk to be considered when considering the budget proposals.	
	The Forum noted the background and reasons for the reform and the introduction of an integrated education care and health plan. Underpinning this the DfE was requiring LA's to implement a set of funding arrangements for pupils and students with high needs that is responsive to the needs of individual pupils and students. From 2014 it was noted that parents would be given a new legal right to a personal budget to buy in specialist educational needs (SEN) and care services for their children. From April 2013 it was noted that as part of the school funding reform all high needs pupils would be funded through a place plus methodology, with the exception of Academies and post 16 students where the changes come in from September 2013.	
	The Forum was informed of the details of the funding reform and noted the calculations relating to the notional SEN budget. In addition it was noted that the DfE has recommended a banding system be adopted for the allocation of the top up element for children and young people with high needs, which was similar to the current system. SW stated that the LA would be maintaining the current banding system for the top up element for 2013/14 and would develop revised descriptions and a banding framework from April 2014. In response to a request for further clarification on the £6000 base funding delegated to schools to support high needs pupils SW advised that it was part of the school's budget share, allocated through formula funding and that £3.1m had been moved into the school's budget with only £0.5m retained in contingency. PdiL told the Forum that through the local offer there was a need to assure parents that local needs could be met and there was a cross borough working party looking at this. A new Working Group would be set up to examine the proposals in great detail. There was a discussion around the membership of this Group and concern was expressed that there were no governors on it. It was noted that the proposals would enable the new banding framework to be aligned to the introduction of the Local Core offer and Single Education, Health Care Plan from 2014. The Forum noted that the implementation of the new arrangements whereby schools would be responsible for recovering top ups from other LA's would be challenging, especially for Blanche Neville where pupils came from 11 different authorities.	
	With regard to post 16 LA's will be taking on new responsibilities for SEN students up to the age of 25 in FE settings. A meeting had been held with the DfE to try to ensure that there was a broad understanding of the process. The Forum was also advised that there were concerns over the level of resources that would be required and how it would operate.	
	The potential growth and pressures on school places was noted. The Forum noted that Haringey was part of the NLSA (North London Strategic Alliance) and that work was underway to share approaches to the implementing of the funding reforms and to develop a protocol for cross borough placements in mainstream and special provision. In	

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	response to a question around the number of pupils in independent places PdiL advised that, although the numbers being placed in residential places was reducing and it was now very rare for a very young child to be placed outside the borough, there would always be some, as these children had complex needs. Work was also taking place with the North London Consortium working across the borough's.	
6.13	Although the education finance settlement did not provide any additional funding for the High Needs Block, the DfE would be considering how funding would change in the future. In response to a request for further clarification SW advised that the LA was looking at the costs for some schools that had large number of statemented pupils and how the requirement to fund the first £6,000 of additional costs compares with the funding they receive. In response to ZB seeking clarification on how the new system would work, PdiL advised that the LA would work closely with parents on the implementation of the changes.	
6.14	With regard to alternative provision with effect from 1 April 2013 the LA was required to establish a management committee and delegate budgets and other responsibilities to the Committee. JD explained that as a result of concerns that the LA had regarding the management and performance at the Octagon, (the secondary PRU) an Interim Executive Board had been put in place. The Forum would be updated at a future meeting with regard to the reconfiguration of alternative provision and a Project Plan was being developed. In response to a query around the number of places that would be available SW advised that there would be 30 secondary and 12 primary places. The Management Committee would have a delegated budget and a top up from the LA. In total, the proposed budget for 2013/14 would be the same as the current year. JD assured the Forum that meeting the needs of the young people attending the Octagon was paramount. To this effect changes were being made to the way that the PRU operated. In response to a comment regarding the lack of information it was AGREED that a report on Alternative Provision be provided to the next meeting.	JD JD/HJ
6.15	The Forum AGREED that a High Needs Working group should be set up to advise officers on the high needs issues and to review funding allocations within the High Needs block to ensure that funding meets needs and supports both the inclusion strategy and the proposed legislation arising from the Green Paper. It was AGREED that there should be three governors, representing primary, special and secondary on the Working Party and a representative from the FE College should also be invited.	SW/WS
6.16	A summary of the High Needs Block income and expenditure 2012/13 was provided together with a summary for 2013/14, which showed the projected income for 2013/14 at £29.84m.	
6.17	The Forum AGREED the budget proposals relating to special schools provision, independent placements, resourced provision, mainstream top up, Alternative provision, SEN Support Services and provision for pupils with SEN, other High Needs services and High Needs Contingency. SG felt that there was a need to understand the number of exclusions and the need to see a map of provision and if necessary more provision be added.	
	In response to a question regarding a traded service being offered for dealing with other local authorities it was noted that although this had	

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	been considered, there was at present, no definitive decision. SW added that this was a year of transition and no firm decisions had been made.	SW/JD
6.18	In response to a query from MM regarding the position for children with statements from 2014, PdiL advised that the DfE had confirmed that they did not want to see families troubled by the changes and if pupils needed an assessment then a statement could be issued. The LA was waiting to hear how pupils would move from a statement to a plan.	
	<p>RESOLVED:</p> <p>1. That the restatement of the 2012-13 High Needs block and revised baseline be noted.</p> <p>2. That the indicative High Needs block income 2013-14 of £29.840m be noted.</p> <p>3. That the budget proposals for 2013-14 be approved</p> <p>4. That the establishment and membership of a High Needs Working Group to work with officers and make recommendations to future meetings of the Forum be approved. It was noted that the terms of reference would be confirmed at the first meeting.</p> <p>5. That the following governors be appointed to the High Needs Working Group:- Jan Smosarksi (Primary), Marianne McCarthy (Secondary) and Vik Seeborum (Special). In addition a representative from the Sixth Form College and the FE College to be invited to the Working Group.</p> <p>6. That the continuing uncertainty regarding responsibility and funding for post 16 high needs pupils and students be noted.</p> <p>7. That a report be presented to the next meeting on Alternative provision.</p>	
8.	THE SCHOOL AND EARLY YEARS FINANCE REGULATIONS 2012 (Agenda Item 8) report for information/note/consultation	
	SW informed the Forum of the publication of the new Finance Regulations and highlighted the main changes that were being introduced for 2013/14.	
	The Forum was advised of the proposed changes to Haringey's Scheme for Financing, which had been previously reported to the Forum and had been the subject of consultation with schools.	
	Details regarding school governing body compliance of the Schools Financial Value Standards together with directed additions to the Scheme were noted.	
	<p>There was a query around the use of the Council's Legal and Personnel costs and some concern was expressed over the quality of the service. Cllr Waters agreed to provide some further information in relation to HR support on offer.</p> <p>RESOLVED:-</p> <p>That the School and Early Years Finance Regulations 2012 be noted and the changes to the Scheme set out in the report be approved.</p>	Cllr Waters

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9.	REVIEW OF 2013/14 SCHOOL FUNDING ARRANGEMENTS (Agenda Item 9) <i>report for information/note</i>	
	<p>The Forum was informed of the consultation document in relation review of 2013/14 funding arrangements from the DfE which had a response date of 26 March.</p> <p>RESOLVED:-</p> <p>That all Forum members be invited to the reconvened Funding Formula Review Group to review the funding formula and to agree the response to the consultation document.</p>	
10.	WORK PLAN FOR 2012/13 (Agenda Item 10) <i>report for information/note</i>	
	<p>WS presented a draft workplan for the remainder of the current Academic year. In addition to the items listed it was noted that there would be a report on the Governors Support and Training Unit.</p> <p>RESOLVED:</p> <p>That the proposed work plan for 2012-13 be approved, subject to the addition of a report on the Governors Support and Training Unit to a future meeting.</p>	SW/WS/ JA
11.	ANY OTHER URGENT BUSINESS	
	<p>In response to a query from MMcC around raising issues and ensuring that governors are informed of initiatives members of the Forum were notified of the new Schools Bulletin, which had recently been introduced as the fortnightly method of communication with schools and governors.</p>	
12.	DATE OF FUTURE MEETINGS	
	<p>23 May 2013 11 July 2013 26 September 2013</p>	

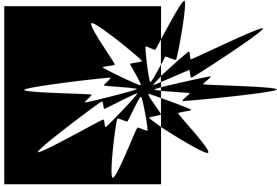
The meeting closed at 6.30 pm

TONY HARTNEY

Chair

Agenda Item

6



Haringey Council

Report Status

For information/note	⌘
For consultation & views	<input type="checkbox"/>
For decision	⌘

The Children and Young People's Service

Report to Haringey Schools Forum – 23 May 2013

Report Title: The schools 2013/14 internal audit programme and outcome of previous years' work.

Author: Head of Audit and Risk Management

Purpose:

To advise the Schools Forum of the outcomes of the 2010/11 - 2012/13 audit programme; provide the programme of work to be undertaken in 2013/14; and suggest future training and development options for schools.

Recommendations

1. That the Schools Forum note the results of the 2012/13 audit programme and the planned programme of audit work for 2013/14 (Appendix A).
2. That the Schools Forum endorses the circulation of the audit test programme (Appendix B) to all schools for their use to assist in improving governance and controls.
3. That the Schools Forum approves the introduction of a pilot programme of pre-audit workshops for school staff.

1. Background and results of audit programme.

1.1 The Council's Corporate Finance service issued the Schools Finance Manual to all schools in 2007. The Manual sets out the financial regulations and procedures that schools should follow and covers all key financial and non-financial processes. In addition, Corporate Finance provides regular guidance and information to all schools in respect of the key financial and non-financial processes at schools.

1.2 Internal Audit undertakes a programme of school audit reviews to ensure that schools are complying with the requirements of the Schools Finance Manual and the risks associated with the key financial and non-financial processes are appropriately managed.

1.3 Internal audit are not required to audit the SFVS, or provide an assessment of schools' compliance with this. However, the programme of routine audit work should assist schools in providing the assurance to Governing Bodies for the SFVS.

1.4 This report:

- Summarises the overall outcomes and assurance levels provided to individual schools from 2010/11 to 2012/13 (to date);
- Provides a further analysis of the assessment of controls in place at schools for those audits undertaken in 2012/13; and the numbers of related recommendations made;
- Highlights some of the areas of non-compliance where recommendations were made; and
- Proposes some training options for the future in order to improve schools' performance overall in key risk areas.

1.5 Table 1 below summarises the overall outcomes and assurance ratings from 2010/11 to 2012/13 (to date) of the internal audits completed. Four primary school audits are still to be finalised from the 2012/13 programme, but initial draft reports indicate that one school will receive a 'substantial' rating and three schools will receive a 'limited' assurance rating.

Table 1

	School audits planned	Substantial assurance rating	Limited assurance rating	Nil assurance rating
2010/11				
Primary Schools (incl. nursery/special)	10	4	6	0
Secondary Schools	4	3	1	0
2011/12				
Primary Schools (incl. nursery/special)	17	7	9	1
Secondary Schools	2	1	1	0
2012/13				
Primary Schools (incl. nursery/special)	19	5	9	1
Secondary Schools	1	0	1	0
Total	53	20	27	2

1.6 For the 16 school audits finalised for 2012/13, **a total of 179 recommendations** were raised. Table 2 below summarises the recommendations made and groups them into the areas which are contained within the individual audit reports issued to schools.

Table 2

Area of Scope	Adequacy of Controls	Effectiveness of Controls	Recommendations Raised		
			Priority 1	Priority 2	Priority 3
Management organisation	Green	Amber	11	24	3
School improvement plan & OFSTED inspections	Green	Amber	1	4	0
Budget setting, monitoring & control	Green	Amber	3	12	2
Staffing	Green	Amber	4	10	1
Disbursement accounting records	Amber	Amber	24	15	1
Asset Management & Inventory Records	Amber	Amber	5	23	2
School unofficial fund	Green	Amber	5	5	0
Income & Lettings	Green	Amber	3	3	1
School meals	Green	Amber	4	11	2
Total			60	107	12

1.7 The areas reported as 'Green' under 'Adequacy of Controls' indicate that, overall, schools have identified appropriate controls which, if put into practice, would be adequate to manage the risks for that area. From Table 2 above, it can be seen that there are two areas – disbursement accounting records and inventory records – where, overall, there weren't adequate controls in place.

1.8 The column headed 'Effectiveness of Controls' is an assessment of whether the controls which should be in place are working as intended. Table 2 highlights that, overall, there are no areas where identified controls are operating as intended which is a worsening position from 2011/12 and is a serious concern from internal audit and corporate finance's point of view.

1.9 Most common areas of non-compliance with the Schools Finance Manual in 2012/13 were as follows:

Items out of date:

- Scheme of Delegation; Bank Mandate; Inventory; Audit of Unofficial Funds

Items missing or non-existent:

- Register of Business Interests; Monthly Budget Monitoring; Terms of Reference for Committees; Evidence of CRB Clearance

Non-ratification/minuting:

- Budget/Revised Budget; Internal Scheme of Delegation; School Development Plan; Use of Pupil Premium

Non-signature:

- Monthly Bank Reconciliation; Weekly Meals Reconciliation

1.10 The Council's Corporate Committee receive details of the outcome of school audits in summary form – the name of the school, the assurance rating and the number of Priority 1, 2 and 3 recommendations made – on a quarterly basis. The next report will be presented to Corporate Committee in June 2013.

2. Internal Audit schools audit programme 2013/14

2.1 Internal audit will continue with a programme of routine audit work for 2013/14. The planned programme of audit visits for 2013/14 is attached at Appendix A.

2.2 Internal Audit liaise with the Head Teachers to arrange a mutually convenient time for the audit visit to take place. Most dates for school audits have already been agreed and are included in Appendix A.

2.3 As is current practice, formal confirmation of the date, together with the areas to be review, audit approach, and documents required for the audit will be provided. The confirmation will usually be made approximately 8 weeks prior to the audit visit. One week prior to the agreed date, Internal Audit will re-confirm the audit with the school.

3. Training/development options

3.1 Attached at Appendix B is the current internal audit test programme for school visits. It is proposed that this is circulated to all schools to assist their understanding of audit requirements and to use as a basis for ensuring their own compliance with the Schools Finance Manual. It should be noted that internal audit may cover other areas not listed in Appendix B, when at the school if risks are identified during the visit.

3.2 At meetings of Primary and Secondary head teachers, it was suggested by internal audit that a short workshop session could be provided to school staff (finance staff, bursars, and head teachers) in advance of audit visits taking place. This was considered a useful suggestion and it is proposed to run a pilot programme of 2 sessions in 2013/14 with school staff. The pilot programme will be reviewed following its completion and a decision on its continuation reported to the Schools Forum.

4. Recommendations.

4.1 That the Schools Forum note the results of the 2012/13 audit programme and the planned programme of audit work for 2013/14 (Appendix A).

- 4.2 That the Schools Forum endorses the circulation of the audit test programme (Appendix B) to all schools for their use to assist in improving governance and controls.
- 4.3 That the Schools Forum approves the introduction of a pilot programme of pre-audit workshops for school staff.

Appendix A

Schools Internal Audit Programme 2013/14

Schools	Agreed start date
<i>Probity Audit: Secondary Schools</i>	
Heartlands High	
Highgate Wood School	
Hornsey School for Girls	
<i>Probity Audit: Primary Schools</i>	
Alexandra	
Bounds Green	
Coldfall	23/04/2013
Earlham	24/04/2013
Ferry Lane	17/06/2013
Lancasterian	
Mulberry	
Rhodes Avenue	
St James CE	
Stamford Hill	07/05/2013
Stroud Green	17/06/2013
Tiverton	10/06/2013
Welbourne	03/06/2013
<i>Probity Audit: Junior Schools</i>	
Rokesly Junior	20/05/2013
<i>Probity Audit: Special Schools</i>	
Blanche Neville Special	29/04/2013

School Financial Self Assessment

School:

Governance

No.	Test	Result	Conclusion	Action
1	<u>Governing Body</u>			
1.1	Instrument of Government is held by the School.			
1.2	Number of Governors as per the Instrument of Government (as per the Regulations should be between 9 and 20)			
1.3	Number of current Governors in post.			
1.4	Governor vacancies and action taken to fill positions.			
1.5	Governing Body meetings over the past academic year.			
1.6	Minutes exist for each Governing Body meeting over the past year.			
1.7	Governing Body minutes signed off as agreed by the Chair at the next meeting.			
1.8	Governing Body minutes include standard agenda item at which individual members may declare any interests of relevance to the agenda.			
1.9	Significant financial issues are brought to the attention of the Governors, for example: <ul style="list-style-type: none"> - Budget approval; - End of year surplus/deficit forecast; - Pupil numbers; - Changes to funding arrangements. 			
1.10	Have all meetings of the Governing Body been quorate, that is, attended by at least 50% +1 of all Governors in post.			
2	<u>Committees</u>			
2.1	What committees have been created by the Governing Body.			
2.2	Are there Terms of Reference for each Committee created.			
2.3	Terms of Reference includes the following: <ul style="list-style-type: none"> - Membership; - Minimum quorum requirement; 			

School Financial Self Assessment

School:

	<ul style="list-style-type: none"> - Minimum meeting frequency; - Remit; - Election of Chair; - Clerk. 			
2.4	Have the Terms of Reference been approved by the Governing Body, and is this clear from the minutes.			
2.5	Do the Committees meet in accordance with the minimum frequency requirements of their Terms of Reference.			
2.6	Do minutes exist to support each meeting of the Committees.			
2.7	Are the minutes signed off by the Chair of the Committee at the next meeting.			
2.8	Do the Governing Body minutes confirm that they have received the minutes of each Committee meeting, and in a timely manner.			
2.9	<p>Is the timing of the Finance Committee meetings appropriate to discuss financial issues in a timely manner:</p> <ul style="list-style-type: none"> - Timely agreement of the annual budget to meet LA timescales; - Six month review of actual against budget to make adjustments to address any variations. 			
3	Procedures			
3.1	Does the school hold a copy of the current LA Scheme of Funding (issued April 2007).			
3.2	Does the school hold a copy of the current LA School Finance Manual (issued July 2007).			
3.3	Are there any local financial policies and procedures developed by the school.			
3.4	Have the LA School Finance Manual and any local finance policies been adopted by the Governing Body.			
3.5	Is the adoption of the Finance Manual and local finance policies clear from the Governing Body minutes.			
3.6	Do the school's finance policies and procedures make clear			

School Financial Self Assessment

School:

	the rules with regard to large purchases, and they include for example: - Requirement to obtain at least three written quotes for purchases over £5,000; - Requirement to undertake a competitive tender exercise for purchases over £25,000.			
3.7	How are the financial policies and procedures made known to staff.			
4	<u>Delegation</u>			
4.1	Is there a Scheme of Delegation for the school.			
4.2	Has the Scheme of Delegation been approved by the Governing Body, and is this clear from the minutes.			
4.3	Has the Scheme of Delegation been reviewed on an annual basis to confirm its continuing relevance.			
4.4	Is the content of the Scheme of Delegation appropriate e.g. does it cover all staff in the school who have some financial role, such as the Headteacher, Deputy Heads, Asst Heads, Business Manager, Finance Officer, Budget holders.			
4.5	Does the Scheme of Delegation state financial limits for staff for approval of orders and virements, and are they consistent with any limits in the Committee terms of reference.			
5	<u>Pecuniary Interests</u>			
5.1	Confirm that for all of the current Governors a declaration of interests form has been completed for the current academic year.			
5.2	In the case that Governors have not completed a declaration, what action has been taken.			
5.3	Are the forms completed in previous years retained and accessible, to confirm that they are reviewed and updated annually.			
5.4	Have staff with financial responsibility completed a declaration of interests form.			

School Financial Self Assessment
School:

School Improvement

No.	Test	Result	Conclusion	Action
1	School Development Plan (SDP)			
1.1	Does a SDP exist for the school.			
1.2	Does the SDP cover the current academic year.			
1.3	Apart from the current academic year, does the SDP identify priorities over the next few years.			
1.4	Does the SDP establish clear priorities, and objectives to be achieved, and for each is the following covered: <ul style="list-style-type: none"> - Individual action to achieve each objective; - Responsibility for each action; - Timescale for each action; - Success criteria for each action; - Monitoring and review of each action. 			
1.5	Is it clear how the SDP priorities were determined, review of prior plan, consultation with stakeholders, OFSTED findings.			
2	Approval			
2.1	Has the SDP been approved by the Governing Body, and is this clear from the minutes.			
3	Monitoring			
3.1	Does the Governing Body receive updates on achievement of the SDP; separately or through the Headteacher's Report.			
4	Budgetary Links			
4.1	Are required resources identified for each action in the SDP and are they costed.			
4.2	Are the costed resource requirements identifiable in the agreed budget.			

School Financial Self Assessment

School:

Budget

No.	Test	Result	Conclusion	Action
1	<u>Budget Setting</u>			
1.1	Is there a timetable for the budget setting process to allow the agreement of the annual budget by the required LA deadlines.			
1.2	Identify the income elements in the budget and confirm the basis of how they were agreed, and are they reasonable.			
1.3	Has the school agreed a balanced budget.			
1.4	In the event that there is a deficit, has a Licensed Deficit Application been prepared and submitted to the LA. Has approval been received.			
1.5	In the event that there is a surplus, is it excessive, that is more than 8% of the LA budget share. If it is excessive, for what purpose is the surplus being accumulated.			
1.6	Has the budget been reviewed and agreed by the Finance Committee, was this in a timely manner, and is it clear from the minutes of the meeting.			
1.7	Has the budget been formally reviewed and agreed by the Governing Body, and is this apparent from the minutes.			
1.8	Is the budget as loaded on RM the same as that agreed by the Governors – select 10 individual budget entries and confirm.			
2	<u>Pupil Premium</u>			
2.1	Is it clear the amount of Pupil Premium the school will receive in the year.			
2.2	What is the use that the school will make of the Pupil Premium.			
2.3	Has this use been reviewed and agreed by the Governing Body, and is this clear from the minutes.			
2.4	Is the Pupil Premium income and expenditure separately			

School Financial Self Assessment

School:

No.	Test	Result	Conclusion	Action
	accounted for in the financial system.			
3	Monitoring			
3.1	Are periodic reports produced of the school's finances for review by the following: <ul style="list-style-type: none"> - Governing Body; - Finance Committee; - Headteacher and SMT; and - Budget Holders. 			
3.2	Are the reports stated in 3.1 produced direct from RM, or a summary of the RM reports. If a summary, how do they confirm it is an accurate reflection of the RM report.			
3.3	How often are the reports stated in 3.1 produced.			
3.4	Is it clear from Governing Body and Finance Committee minutes that such reports are received and reviewed.			
3.5	What is the school's procedure for processing and approving virements.			
3.6	Have any virements been processed in the current year, and if so, were they appropriately approved.			

School Financial Self Assessment

School:

Staffing

No.	Test	Result	Conclusion	Action
1	<u>Payroll</u>			
1.1	Who is responsible for checking of the monthly payroll.			
1.2	What checks are completed on the monthly payroll: <ul style="list-style-type: none"> - Verify names recorded; - Check that amounts per person correct as per grade; - Amount paid is consistent month to month. 			
1.3	How is the monthly payroll data loaded onto RM – complete one journal to debit the relevant salary codes and one entry to credit budget share income?			
2	<u>Overtime</u>			
2.1	Review most recent monthly payroll report(s) and confirm staff in receipt of payroll.			
2.2	Confirm for each person in receipt of overtime as per 2.1 there is an overtime claim form.			
2.3	Confirm for each overtime claim form in 2.2: <ul style="list-style-type: none"> - Signed by employee; - Certified by appropriate officer; - States days worked; - States hours worked each day; - Total number of hours for the claim; - Reason for overtime; and - Total number of hours worked are not excessive. 			
3	<u>Employment Checks</u>			
3.1	Identify new staff in the current academic year.			
3.2	Confirm for each new employee, or a sample of five if a high number, that the following was obtained in advance of start date: <ul style="list-style-type: none"> - List 99 clear; - CRB clearance; 			

School Financial Self Assessment

School:

No.	Test	Result	Conclusion	Action
3.3	<ul style="list-style-type: none"> - Satisfactory written references. Confirm for the new starters examined in 3.2 the following: <ul style="list-style-type: none"> - Amount paid as per latest monthly payroll report is as per contract/statement of particulars; - Pay as per contract/statement of particulars is as per V10 notice of new employee; - V10 notice approved by Headteacher. 			

School Financial Self Assessment
School:

Accounting Records

No.	Test	Result	Conclusion	Action
1	Bank			
1.1	Identify from the most recent bank reconciliation the period reconciled and when. Is it up to date.			
1.2	For the most recent bank reconciliation, do the figures on the reconciliation summary agree with the bank statement, unreconciled transactions report.			
1.3	Confirm whether the bank has been reconciled at least every month.			
1.4	Confirm whether there is evidence that the bank reconciliations have been reviewed and certified by a second officer, and were they appropriate.			
1.5	Review the bank statements and confirm that it has not been overdrawn in the past six months.			
1.6	Obtain the current bank mandate and confirm the following: <ul style="list-style-type: none"> - All bank signatories are current employees; - The signatories are appropriate and in line with the delegation; - None of the signatories access the financial system RM; and - Does the mandate include two Council officers (of the Corporate Finance Section) to enable access in emergencies. 			
2	Payments			
2.1	Obtain a listing from RM of all payments in the past year, such as the Reconciled Expenditure Transactions Report, and note any payments over £5,000.			
2.2	For five of the payments over £5,000 confirm the following: <ul style="list-style-type: none"> - Were at least three written quotations obtained (or a competitive tender process followed); 			

School Financial Self Assessment

School:

No.	Test	Result	Conclusion	Action
2.3	<ul style="list-style-type: none"> - Approval of the order was in line with the Scheme of Delegation for high value payments. Select a sample of 10 payments from the bank statement and confirm the following: <ul style="list-style-type: none"> - Amount as per bank agrees with RM transaction; - For each RM transaction there is a valid invoice; - Each invoice was approved in line with the Scheme of Delegation; - Each invoice was paid within 30 days, unless valid reasons for delay e.g. querying the invoice; - The works, goods or services supplied on each invoice were appropriate; - Where appropriate an Official Order was raised (would not normally expect orders for utilities); - Official Orders were raised in advance; and - Official Orders were approved by an appropriate officer as per the Scheme of Delegation. 			
3	Petty Cash			
3.1	Does the school have a Petty Cash float.			
3.2	Does the actual amount of cash held in the Petty Cash float agree with that as per RM.			
3.3	Is the Petty Cash float periodically reconciled, and is this reviewed and certified by an appropriate second officer.			
3.4	Review petty cash claims, and confirm if approved by an officer as per the Scheme of Delegation.			
3.5	Review the petty cash claims, and confirm if the items are appropriate.			

School Financial Self Assessment

School:

Inventory

No.	Test	Result	Conclusion	Action
1	<u>Inventory Exists</u>			
1.1	Does the school hold an inventory.			
1.2	Who is responsible for maintaining the inventory.			
1.3	In what form is the inventory maintained e.g. paper record or electronic. If electronic, who has access to and what controls on inappropriate amendment.			
1.4	Is there a policy which provides guidance as to what needs to be included.			
1.5	Does the inventory cover IT, Audio Visual and any other desirable and movable assets.			
1.6	Review the inventory and confirm sufficient detail recorded: <ul style="list-style-type: none"> - Asset type e.g. printer; - Model number and make; - Serial number (if applicable); - Location; - Cost; - Supplier; and - Date acquired. 			
1.7	Are assets marked with Haringey Security Labels, and is the security label number recorded on the inventory.			
1.8	Is the inventory checked on an annual basis to the actual assets. If so, who by, and should be someone other than who is responsible for inventory maintenance.			
1.9	Does the inventory allow for the recording of disposal details: <ul style="list-style-type: none"> - Date disposed; - Reason for disposal; - Approval of disposal; - Method of disposal; and - Any funds obtained as a result of disposal. 			

School Financial Self Assessment

School:

No.	Test	Result	Conclusion	Action
1.10	Is there a Asset Write Off and Disposal Policy.			
2	<u>Asset Loans</u>			
2.1	Does the school make any loans of equipment to staff to take off the premises.			
2.2	Are such equipment loans recorded on Staff Loan Form which includes: <ul style="list-style-type: none"> - Asset detail, type, serial number, security number, make and model; - Name of officer taking asset; - Date asset taken; - Approval by; - Statement of the loanees responsibilities. 			

School Financial Self Assessment
 School:

School Unofficial Funds

No.	Test	Result	Conclusion	Action
1	Accounts			
1.1	What unofficial funds does the school have.			
1.2	Have accounts been produced for each of the funds for the most recent year.			
1.3	Have the accounts been audited by an independent examiner (or accountant, for larger funds).			
2	Reporting			
2.1	Have the accounts been presented to and approved by the Governing Body, or delegated Committee.			
2.2	Is this clear from the minutes of the meeting.			
3	Fund Content			
3.1	Review the income received into the funds and confirm that none is official funds received from the LA.			
4	Monitoring			
4.1	Is the fund maintained in a separate ledger (from RM) and bank account.			
4.2	Is the ledger periodically reconciled with the bank statements.			
4.3	Is the periodic reconciliation reviewed and agreed by an appropriate officer.			

School Financial Self Assessment
 School:

Income

No.	Test	Result	Conclusion	Action
1	<u>Type of income</u>			
1.1	Other than the LA cash flow advances, what income does the school receive.			
2	<u>Income Records</u>			
2.1	If the school receives lettings income, is there a Lettings Policy and Schedule of Fees, and when were they last updated. Have these been agreed by the Governing Body, or delegated Committee, and is this clear from the minutes of the meeting.			
2.2	If the school receives lettings income, is there an individual agreement with each hirer.			
2.3	Are invoices and receipt issued for each letting.			
2.4	Does the school retain all remittance advices for all cheques received.			
2.5	Where collections are made within school for trips etc, is a record maintained of each to confirm who has paid and the total received.			
3	<u>Bankings</u>			
3.1	Is a banking prepared by the school once every week.			
3.2	How does the school ensure all income collected in the week is included within the banking.			
3.3	Select four weeks and confirm the following: - A banking was prepared for each week; - The banking total agreed with amounts collected; - Each banking collected promptly by cash collection contractor (CSS); - Amount as per bank statement agrees with banking total; and - Amount as per RM agrees with banking total.			

School Financial Self Assessment

School:

School Meals

No.	Test	Result	Conclusion	Action
1	<u>School Meals System</u>			
1.1	Does the school operate a cash cafeteria system with a private contractor and how cash collections from students and staff are managed.			
2	<u>Cash Cafeteria Private Contractor</u>			
2.1	Confirm how the contractor was selected, was it after a competitive tender exercise.			
2.2	Appointment of the contractor approved by the Governing Body, and recorded in the minutes.			
2.3	How does the school agree the numbers of free meals invoiced by contractor with the numbers of free meals students, and meals actually taken.			
3	<u>Local Authority Kitchen Provider</u>			
3.1	Is there a weekly reconciliation of school meals taken, monies paid by students & staff, income banked and arrears.			
3.2	Where there is a weekly reconciliation of school meals income, is this reviewed by a senior officer.			
3.3	Are student and staff meals arrears periodically identified and what policy does the school follow to recover such amounts.			

School Financial Self Assessment
 School:

School Residential Journeys

No.	Test	Result	Conclusion	Action
1	<u>Approval</u>			
1.1	For any school residential journey has approval been sought in advance by the Governing Body.			
1.2	Has approval been sought from the LA.			
1.3	As part of the process of approval, was a risk assessment of the residential journey completed.			
1.4	As part of the process of approval, was a costing exercise completed to identify all costs involved and the level of contribution required from parents to cover all costs.			
2	<u>Accounting</u>			
2.1	How is residential journey income and expenditure accounted for, and can all expenses involved be supported by a valid receipt/invoice.			
3	<u>Reporting</u>			
3.1	On the completion of the journey, is an End of Trip Statement prepared showing the income and expenditure, and any profit or loss.			
3.2	Has the End of Trip statement been reviewed by the Headteacher, or other delegated officer, and reported to the Governing Body.			

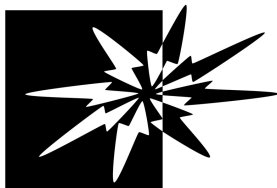
School Financial Self Assessment

School:

Health and Safety

No.	Test	Result	Conclusion	Action
1	<u>Policy</u>			
1.1	Does the school possess its own Health & Safety Policy, or is it a model policy produced by the Council.			
1.2	Has the policy been formally approved by the Governing Body, and is this clear from the minutes.			
2	<u>Publication</u>			
2.1	How has the school made the policy known to members of staff and the public.			
3	<u>Monitoring</u>			
3.1	When was the date of the last health and safety inspection.			
3.2	What were the findings of the last health and safety inspection, and were actions developed to address them.			
4	<u>Governance and Review</u>			
4.1	Have the Governing Body established a Committee with responsibility for health and safety.			
4.2	Where there is a committee, has it met on a periodic basis.			
4.3	Is there a member of staff with specific responsibility for health and safety.			

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Haringey Council

The Children and Young People's Service

Report to Haringey Schools Forum – Thursday 23rd May 2013

**Agenda Item
7**

Report Status

For information/note
 For consultation & views
 For decision

Report Title: John Loughborough School

Authors:

Wendy Sagar – Interim Head of Children and Young People's Finance
 Contact: 0208 489 3539 Email: wendy.sagar@haringey.gov.uk

Steve Worth – Finance Manager (Schools Budget)
 Contact: 0208 489 3708 Email: Stephen.worth@haringey.gov.uk

Purpose: To inform members of contingency plans for assimilating the former pupils of John Loughborough School in the event of closure.

Recommendations:

1. That, in the event of John Loughborough closing, the remaining balance of the school's budget share is transferred to the Growth Contingency.
2. That the Forum make an in principle decision to underwrite the financial impact of the bulge classes at Park View from the DSB and that a report setting out the financial implications is presented to the Forum in September.

1. Background.

- 1.1. John Loughborough School has been in a category of concern for some years. On 16th April 2013 the Cabinet of Haringey Council took the decision to close the school.
- 1.2. The decision was taken only after substantial effort by the Council and by the Seventh-day Adventist South of England Conference to support the school, effect real change and improve pupil attainment. However, in the light of recent Ofsted Reports and poor GCSE results the Cabinet decided that it needed to take substantive action to give the pupils the opportunity to access a good education. The option of becoming an Academy rather than being closed was pursued in parallel with the consultation on closure but no sponsor acceptable to the DfE has been found.
- 1.3. The Council has followed the statutory requirements that govern the closure of a school and has consulted widely and listened to all those involved.
- 1.4. Following the Cabinet decision the Governing Body of John Loughborough has appealed to the Schools Adjudicator. The Adjudicator's review does not halt the process but decisions will be subject to the outcome of the adjudication process.
- 1.5. In its contingency planning the main Council priority has been the pupils of John Loughborough School and the duty Haringey, as the local authority, has to provide a good education for all its children both now and in the future. The most significant concern has been for the pupils in the current Year 10 who are at a critical point of their education as they prepare to sit their GCSE examinations in 2014.
- 1.6. A contingency plan for the current Year 10 has been developed giving them the opportunity to conclude their GCSE studies in a group together [the preferred option being at Park View].
- 1.7. The Council will also make provision for pupils in younger groups to decide whether they wish to continue their education at the same school as their siblings in Year 10 or to choose a different school.

2. Financial Implications.

- 2.1. The school budget share for John Loughborough, summarised in Table 1, was calculated for a full financial year. If the school closes the balance for the remainder of the year will revert to the Dedicated Schools Budget (DSB). In this event the Council proposes that the balance is incorporated in the Growth Contingency as there will be a need to secure education provision for displaced pupils. There may be other costs associated with closure that will be a charge against the unfunded

School Specific Contingency and will also need to be met from any release of the school budget share.

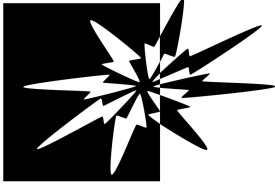
Table 1. John Loughborough- School Budget Share 2013-14

	Full Year	September to March
Pupils funded	261	
	£	£
Pupil-led funding	2,022,935	1,180,045
Lump Sum	170,000	99,167
Total	2,192,935	1,279,212

- 2.2. School Budget Shares are expected to fund individual pupils joining a school within a financial year. If John Loughborough closes its former pupils will be applying for places through the usual admissions process and will be accommodated in schools with spaces. It is not expected that schools taking these pupils will require additional funding, although this could be reconsidered if there were significant numbers going to particular schools. The Council is therefore not, at this time, proposing that any special provision is made for individual pupils changing schools in September; however, the Council would welcome the Forum's view on this.
- 2.3. In the event of closure the Council is seeking to create bulge classes at Park View for those pupils currently in year 10. This is to ensure that they receive the maximum support in their GCSE year. Park View's Governing Body has agreed to look at the issue but has not yet taken a decision.
- 2.4. Preparation for the bulge classes has already begun but puts Park View at financial risk due to the lead in time in appointing staff. Park View runs the danger of having an expanded staffing structure without adequate funding in the following circumstances.
- 2.4.1. The adjudicator decides against closing John Loughborough.
- 2.4.2. The adjudicator modifies the date of the closure, either to August 2014 or to an earlier date in the next academic year.
- 2.4.3. The Governing Body of Park View votes against the school taking bulge classes.
- 2.4.4. John Loughborough closes but the increase in staff is greater than the number of pupils transferring to Park View warrant.
- 2.5. The Council has a formula for funding bulge classes, agreed on 17th January 2013, but this is not appropriate to the transfer of a senior year group in these circumstances. The Council's view is that securing the future of these children is paramount and is proposing that the Forum

make an in principle decision to underwrite the financial impact on the school from the DSB. The underwriting would come from the funding released by the closure of John Loughborough if that proceeds, or, if necessary, by utilising future year DSB resources.

- 2.6. If this is agreed in principle a report will be presented to the Forum in September giving an update on John Loughborough and setting out the costs incurred by Park View. If John Loughborough has closed or is closing the report will also set out the other costs associated with its closure.



Haringey Council

The Children and Young People's Service

Report to Haringey Schools Forum – 23rd May 2013

**Agenda Item
8**

Report Status

For information/note
 For consultation & views
 For decision

Report Title: Early Years Single Funding Formula for two year olds & the provision of early education places for two year olds in Haringey

Authors: Ros Cooke

Purpose: To inform the Schools Forum of the Consultation on the Early Years Single Funding Formula for Two Year Olds

Recommendations:

- **That the Schools Forum note that a consultation is being held on the Single Funding Formula for Two Year Olds**
- **That the outcomes of the Consultation and recommendations are taken to the Schools Forum meeting on July 3rd 2013**

1. Consultation on a single funding formula for two year olds.

The Council has a new statutory duty to provide places for eligible two year olds whose families would meet the eligibility criteria for free school meals from September 2013. As part of the preparation for delivery of the programme we are required to create a single funding formula for payments to providers in Haringey.

2. The Early Years Working Group of the Schools Forum has been working to create the formula.

3. There are two options to be considered;

- i. A range of different rates to reflect the different costs of providers
- ii. A single flat rate for all providers in line with average rate of the funding provided by the DfE

4. Purpose of the Consultation.

The Council must implement a single funding formula for funding places for eligible two year olds, in line with that for three and four year olds, in consultation with the Schools Forum. We are therefore seeking the views of all relevant stakeholders on the proposed formula in order to inform the Haringey Schools Forum recommendation to the Council.

5. In the consultation we are seeking consideration on:

- a) the outline of the formula
- b) the principles of the formula and in particular the fairness of the formula.

6. Haringey Schools Forum will consider the consultation responses in July 2013 and make a recommendation to Haringey Council. We will implement the formula, as finally agreed, from September 2013.



Haringey Council

Consultation on Funding for the Free Entitlement for Two Year Olds

Purpose of the Consultation.

The Council must implement a single funding formula for funding places for eligible two year olds, in line with that for three and four year olds, in consultation with the Schools Forum. We are therefore seeking the views of all relevant stakeholders on the proposed formula in order to inform the Haringey Schools Forum recommendation to the Council.

In this paper we are seeking consideration on:

- the outline of the formula
- the principles of the formula and in particular
- the fairness of the formula.

The Early Years Working Group of the Schools Forum including officers of the Council has developed the proposed formula.

Haringey Schools Forum will consider the consultation responses in July 2013 and make a recommendation to Haringey Council. We will implement the formula, as finally agreed, from September 2013.

Consultees:

- Chairs of Governors of maintained schools, academies and nursery schools.
- Headteachers of maintained schools, academies and nursery schools.
- The Ofsted registered provider of all private, voluntary and independent settings providing the free entitlement.
- All members of the Haringey Schools Forum
- Children's Centre managers.
- Childminders
- Haringey Councillors.
- Any other interested parties.

How to respond;

You may like to use the response form at the end of this document, alternatively if you wish to respond more fully in a separate letter that will be acceptable. However, we would ask that all responses reflect clearly the details of the person responding and the capacity in which the response is being made. The postal and e-mail addresses for return are included on the form and all responses must be received by 7th June 2013.

We will also take comments and feedback at the workshop consultation meetings to be held during May and June.



Haringey Council

Two Year Old Programme Funding Consultation meetings		
Date	Time	Venue
16.05.2013	6.30pm	The Resource Centre, Park Lane, London N17 0HJ
21.05.2013	6.30pm	Rokesly CC, Elmfield Ave, N8 8QG
23.05.2013	12-2pm (within PVI Forum)	PDC, Downhills Park Rd, N17 6AR
03.06.2013	4.30pm	Broadwater Farm CC, Adams Road, London N17 6HE

Equality Impact Assessment.

As with all major developments there is a need to ensure that the approach being proposed does not result in unexpected or unintended consequences when considered alongside other policies either of the Council or the Government.

Equality Impact Assessments (EIA) allow us to assess the effects a policy, strategy or function may have on people depending on their ethnicity, disability, gender, age religion and belief or sexual orientation.

The Two Year Old Funding Formula will distribute resources between the range of settings delivering places. There is a set amount of funding determined by the Government available to deliver all the required places within Haringey. Eligibility for places from September 2013 is based upon family income ie those children who would match the criteria used for free school meals.

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1. Background to the two year old programme

- 1.1 Evidence shows that high quality early education at age two brings benefits to children's development. In line with Government guidance Haringey will, as far as possible, only deliver places through providers of good or better quality.
- 1.2 The current programme has developed out of the pilot programme and has been delivering places for children referred by professionals against a set of criteria based on deprivation and vulnerability. It has been delivering up to 280 places mainly through Local Authority maintained provision with additional places in the PVI sector.
- 1.3 From September 2013 local authorities will have a legal duty to secure early education places for eligible two year olds ie those that meet the eligibility criteria. The Government has indicated that there are 880 two year olds entitled to an early education place in Haringey this year. A further expansion of places may be required for September 2014; however it is not yet clear how many additional places may be needed. We estimate that another 800 will be required.
- 1.4 Eligibility for this year 2013-14 is based on the criteria that are used for free schools meals, so places will be needed across the borough. However, as the programme is designed to improve outcomes for children from economically deprived backgrounds most places will need to be developed in those areas of the borough with the highest levels of deprivation. The delivery of this programme will be aligned to our Early Years Strategy, delivering high quality services to support better outcomes for children in Haringey.

Year	Places
2009-10	130
2010-11	250
2011-12	133
2012-13	280
2013-14 (estimated)	700
2014-15 (estimated)	1500

2. Changes required for the new programme from September 2013.

- 2.1 The current programme has so far delivered the vast majority of places through the maintained sector, principally within children's centres and nursery schools with some additional places in good quality playgroups. The funding for the programme up until now has been sufficient for us to pay providers according to their market charges. However, from September 2013 the Government is providing a set amount of funding for places totalling £2.122 million which equates to an average rate of £5.28 per child per hour. The Local Authority is required to create an agreed formula



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(as we do for the three and four year old free entitlement) to ensure a transparent and fair apportionment of the total funding pot.

- 2.2 Government guidance states that the formula for the programme from September 2013 should be either composed of a single base rate for all providers or a number of base rates differentiated by type of provider. Funding must be based on a count of children attending provision conducted at least three times a year.
- 2.3 At the present time the vast majority of places are within the maintained sector and have been funded at a higher rate. In order to build additional capacity for the new programme we propose that we create a range of rates for different types of providers, as we are seeking a way of delivering enough places within the total funding pot provided by the Government.
- 2.4 The new programme will necessitate a rapid expansion of places. We propose to deliver the programme through a mixed economy of providers including children's centres, nursery schools, primary schools, academies, private, voluntary and independent providers and childminders.
- 2.5 The Government is currently undertaking a consultation on proposed changes to the role of the local authority in early education and childcare. Within their consultation one proposal is that all local authorities should use a single flat rate to pay all providers for two year old places. If this is implemented it would not be before September 2014. One option for Haringey would be to pay every provider from September 2013 at the rate the Government has suggested of £5.28.

3 Haringey Consultation on a Two Year Old Single funding Formula.

- 3.1 Haringey is now consulting on the proposed hourly rate for places and will be holding a series of consultation workshops for every type of provider. Providers and interested parties will also be able to respond to the consultation by e mail or letter.
- 3.2 **Basic hourly rate;** it is intended that the basic hourly rate contributes towards the costs of providing places on the programme for two year olds. As the new two year old programme, from September 2013, is focused on deprived children and is not a universal provision for all two year olds it is not expected that there will be additional supplements for deprivation.
- 3.3 The Department for Education allocation to Haringey is £2.65 million which averages as £5.28p per child per hour. Experience from the implementation of the funding formula for 3 & 4 year olds has been that the cost of provision varies between different providers.
- 3.4 The setting groups we propose to use are:
 1. Childminders
 2. Private, Voluntary and Independent day-care settings
 3. Local authority maintained schools, academies and nursery schools
 4. Playgroups
 5. Children's Centres
- 3.5 We would need to ensure that the hourly rate(s) paid would allow the local authority to build on our current places which are mainly within the maintained sector, while developing sufficient new places within the funding envelope the Government has



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provided but also allow time for necessary changes to be made for funding maintained places if a single flat rate becomes a requirement in the future.

Consultation Question 1

Please indicate in the response section how many places you could provide for the rates shown.

4 Government consultation.

- 4.1 The Government is holding a national consultation on changes to local authorities. Within that consultation is a proposal to set a single flat rate for all providers of two year old places within any local authority. If this does become a requirement it is likely to take effect in 2014 - 2015.

Consultation Question 2

If the Government requires local authorities to set a single flat rate for all providers after 2014-15:

- a. would you provide places, where the rate varies between different types of settings from 2013?
- b. would you provide places from 2014 onwards on a flat rate?

[Government current proposals would suggest a figure based on £5.28]

5 Sustainability and the provision of new places.

- 5.1 The Local Authority has a duty to provide sufficient early education places for eligible two year olds to meet parental demands from September 2013. The Government's regulations make it clear that funding must, other than in exceptional circumstances, be based on participation and not on planned places.
- 5.2 In order to incentivise providers to deliver new places for the two year old programme from September 2013 – March 2015 we propose to agree to pay providers for an agreed number of places according to need in any area for an agreed period. The take up of these places would be monitored carefully to establish whether the planned number of places will be fully used.
- 5.3 After the agreed period of time all payments will be based on participation and the number of children to be funded will vary according to the termly counts

Consultation Question.3

Do you agree that providers should be supported through place based funding for new provision for an agreed period of up to a year in their first year of delivery?

6 Payments and In Year Adjustments.



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6.1 After an initial period of place funding, as set out in paragraph 5.2, participating two year old children must be counted at least once every term. The process for payments will be created in line with that for the three and four year old free entitlement and will be based on participation. These arrangements are set out below.

6.2 Pupil count– maintained settings.

6.2.1 The basis of all early years funding will be the actual termly count of hours of free entitlement provided. The count will usually take place in the third week of each term.

6.2.2 Maintained schools and academies will be provided with indicative budgets for the full financial year based on pupil attendance as recorded on the January PLASC return. Any adjustments due to be made, based on the three termly counts for the year will be actioned as an adjustment to the school's budget for the following year.

6.2.3 Schools will continue to receive monthly cash advances in the normal way including resources for the provision for the free entitlement for eligible two year olds.

6.3 Private, Voluntary and Independent Provision (PVI) and Childminders.

6.3.1. PVI settings and childminders will also be provided with indicative budgets for the full financial year using data collected through the January Early Years Count extended to include two year olds together with data from the previous financial year, where available. Payments will be made in the first three months of each term as set out below.

6.3.2 To ensure that all PVI settings and childminders have sufficient cash flow before the actual termly count is completed, we propose that the first payment(s) will be made using monthly instalments of the indicative budget (see paragraph 6.3.1). Once the actual count is available the sum due for the term will be determined and this, less advances, will be paid over the remaining term.

7 Conclusion

This is an important programme developed to support better outcomes for young children. We hope many providers will want to deliver places for the programme. We welcome your views on our proposals, either on the attached response form or by letter. This programme will be challenging to deliver but has the potential to make a real difference to children in Haringey. We hope you will be able to participate and provide places for eligible two year olds.



Haringey Council

The Children and Young People's Service

Free Entitlement for Eligible Two Year Olds Funding Formula Response Form

This form brings together the questions in the body of the consultation document and allows you to give your opinion on various points; it also allows you to comment more generally on the Two Year Old Funding Formula. You may use this form if you wish although we are happy to receive other written responses such as by letter. In all cases we would be grateful if responses could indicate your full details including the capacity in which the response is being made.

This response is from

Name of responder	School/organisation

I am responding as an:

Individual

On behalf of a group

If the latter, please specify

Name of group	Role of responder



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Please indicate the setting that best reflects your organisation

PVI settings	Maintained settings
Private day care/nursery	Children's Centre
Playgroup	Primary School
Childminder	Nursery school

Question 1.

Please indicate how many places you could provide for the rates shown:

£4.00 per hour per child

£4.50 per hour per child

££5.00 per hour per child

£5.28 per hour per child

£5.50 per hour per child

£6.00 per hour per child

Comments;



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Question 2

If the Government requires local authorities to set a single flat rate for all providers after 2014-15:

a. Would you provide places, where the rate varies between different types of settings from 2013?

Yes

No

b. Would you provide places from 2014 onwards on a flat rate?

[Government current proposals would suggest a figure based on £5.28]

Yes

No

Comments;

Question 3.

Do you agree that providers should be supported through place based funding for new provision for an agreed period of up to a year in their first year of delivery?

Yes

No

Comments;



Haringey Council

Additional comments

If you would like to make any additional comments on aspects of the consultation document please feel free to do so here.

Please return this form by Friday June 7th 2013 to;

**Jess Kaur
The PDC
Downhills Park Road
London N17 6AR or
e. mail to; jess.kaur@haringey.gov.uk**

HARINGEY COUNCIL

PROJECT INITIATION DOCUMENT

ALTERNATIVE PROVISION TRANSFORMATION PROJECT

Date: APRIL 2013

Project Name:	ALTERNATIVE PROVISION TRANSFORMATION PROJECT
Project Sponsor:	JAN DOUST
Project Manager:	PAUL SENIOR
Project Start Date:	April 2013
Project Completion Date:	TBC

DOCUMENT CONTROL**Revision History**

Version	Revision Date	Status	Author(s)	Summary of Changes
V1	7 May 2013	Draft	Paul Senior	Draft document

Reviewers

Name/ Group	Job/ Role Title	Project Role	Date
Jan Doust	Deputy Director – Children and Young People Services	Project Sponsor	9 May 2013
Paul Senior	Consultant – Children and Young People Services	Project Manager	9 May 2013
?????	Project Lead Haringey 54k	Haringey 54K Programme	TBC
EIG	Executive Interim Group	PRU Governance	7 May 2013
Other ?			

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1. EXECUTIVE SUMMARY

- 1.1 In April 2013, Haringey Council commissioned a strategic review of the delivery of alternative provision and education otherwise than at school (EOTAS) services in Haringey. The objective was to consider how the existing service, systems, policies and processes could be re-configured to build on existing good practice, respond to local needs and meet the requirement to provide suitable full time suitable educational provision to all pupils needing to be educated otherwise than at school. This objective will be required whilst taking account of the changing national policy landscape for the EOTAS agenda, local needs and national funding changes from April 2013. The outcomes from this work stream will help to shape and progress the proposals identified in this project implementation document.
- 1.2 The overall objective of this Project is to scope, create and design a, modernised, flexible, cost effective Alternative Provision Service that has coherence structurally and operationally, which meets the diverse needs of local schools and partner agencies to enable them to more effectively meet the diverse needs of children and young people at risk of social and educational exclusion, through high quality early help and interventions, working in close partnership with local schools, families and other agencies. The Project will consist of three key targeted strands of work which are service transformation – redesign; consultation and stakeholder engagement; and service design - implementation:
- 1.3 **Service transformation:** this strand will focus on the development of a new Alternative Provision and EOTAS delivery model which reflects good practice, addresses wider changes to the funding framework and operating context, minimises duplication of activity, and fills gaps in provision. Existing services to be considered in developing the new model include: the Local Authority's Alternative Provision Service, including Pupil Referral Units (PRUs), Haringey Education Tuition Service, Looked After Children Education Team, Educational Welfare Service and Virtual School Role Officer together with other support provided through the work of local alternative provision providers and the Targeted Youth Support Service functions from the LA Youth, Community and Participation Service.
- 1.4 **Communications and stakeholder engagement:** it is essential that this strand aligns with both the service design and implementation strands and seeks to build widespread ownership and support for the new model among all key stakeholders, including councillors, mainstream schools, service users (children and parents) and existing services working with excluded pupils and/or those at risk of social and educational exclusion. It will also ensure that the new model is informed by a wide range of experience and expertise and that consultation with employee representatives is effectively managed. The full range of communication activity will be set out in a detailed Communication Strategy, with activity closely aligned with key service design and implementation milestones, including formal consultation processes.
- 1.5 **Service redesign – implementation:** this strand will focus on implementation of the new service model. It will include detailed work to assimilate/ and or recruit staff to roles in the new service; and, to assess and define accommodation needs to ensure that the new Service is delivered in the most cost effective way.

1.6 The outcome of this project reflects specific alignments to the Council's strategic objectives and will deliver:

- An integrated and co-ordinated approach to the procurement, commissioning and quality assurance of alternative providers from the private, voluntary, community and faith sectors on behalf of schools partner agencies and the Local Authority;
- Increased reductions in the number of fixed term and permanent exclusions;
- Strong links between the Alternative Provision Service, the Additional Educational Needs/Disability Service and the YCP Service and Early Help Family Support Service (tbc) through either hub and spoke arrangements or co-location of services;
- Improved integrated specialist assessment, pupil respite and targeted support for particular groups of vulnerable pupils, those at risk of poor outcomes and those newly arrived in order to prevent an escalation of difficulties and to avoid high-cost Borough specialist placements.
- A more cost efficient and focused model of service delivery thereby reducing the planned place costs of Pupil Referral Units alongside increased devolution of funding to schools;
- An extended remit for the Pupil Referral Units which includes a strong core offer of outreach to mainstream schools, dual registration, pre-exclusion/ behavioural, attendance and multi-agency work.

1.7 Operational and strategic risks that may be associated with the project work stream and supporting activity, along with mitigating actions have been set out in this paper. However, the work will be undertaken in a climate of uncertainty, given the rapidly changing policy and funding context facing the alternative education sector and mainstream schools. This equally underlines the need to ensure that existing services are more strongly positioned to respond to new strategic, financial and operational demand.

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1.1 Strategic Review of Alternative Education Services and Challenges

1.1.1 In April 2013, the Children and Young People Directorate commissioned a strategic review of the delivery of alternative education services in Haringey. The objective was to consider how the existing range of alternative provision and EOTAS services could be re-configured to build on existing good practice, to meet the requirement to provide full time education to all pupils out of school whilst taking account of falling permanent exclusions locally, national policy and required funding changes from April 2013, which will be further informed by the work of the existing DFE Exclusions pilot. The strategic review identified a number of key themes:

- **The need to develop a more needs - led, proactive, preventative model** - Schools are the main education provision for the majority of pupils. Evidence suggests that life chances are significantly reduced for pupils who spend a significant amount of time out of school and whose education is thereby disrupted. An increased emphasis on preventative and short term work is required involving a changed pattern of resourcing, improved joined up working between agencies and much greater collaboration and ownership from schools.
- **An evidenced lack of effective extended support for excluded pupils** - some key services – such as the Virtual School Role Project - are highly valued by schools, reflected in the level of take up. However, the current structure of PRUs is based on a traditional schools model, with few non-teaching resources, such as parent mentors, and limited access to CAMHS, social workers and educational psychologists.
- **Responding to the changing funding framework** - The Alternative Education Service is a high cost service. Under new funding reforms Pupil Referral Units now receive delegated budgets and control over staffing (from April 2013) with the base funding set at £8,000 per place. On current estimates some PRU places in Haringey, owing to low attendance numbers at the Octagen PRU, some places for alternative provision locally cost in excess of £30,000 (**needs to be confirmed**). Developing proposals to redirect resources to fund a mixed model of support focused on early help, improved partnership working and better commissioning arrangements may lead to more cost effective provision.
- **The need for cultural and structural change** - the core objective for the work of the Alternative Provision Service and Pupil Referral Units in Haringey is primarily to provide alternative provision for permanently excluded pupils and children unable to attend mainstream school settings for reasons of health, behaviour and/ or other as defined in the section 19 duties for education otherwise than at school. Owing to the changing landscape nationally for the work of PRUs and alternative provision providers, cultural and structural change is required to take account of new national policy directions and provide extended and individualised learning opportunities for some of the most vulnerable pupils within the Authority.

- **The need to respond to new service trends and demographic pressures** - Population growth and pupil mobility, causing pressure on secondary school places, has meant that it has become increasingly difficult to reintegrate pupils who have been out of school for any length of time. In the future it will be important locally to drive down permanent exclusions, to enable the freeing up of space in the Pupil Referral Units to consider new ways of working and address any gaps in specialist support and provision for vulnerable pupils. Increasingly the DfE will be scrutinising throughput within place-plus funded schools and questioning the need for provision with consistently high vacancy levels.
- **Accommodation issues** – Local PRU and alternative provision provider sites differ in size and the quality of accommodation; some have potential for greater utilisation but accommodation at some sites is unsatisfactory or inadequate. In some cases buildings constrain effective working practice in terms of curriculum, deployment of staff and pupil groupings.

Options for Change

1.1.2 A number of options for change will need to be considered. These are likely to include:

- **Option 1:** Maintenance of the status quo
- **Option 2:** Redesign of the existing service, systems and processes to create a unified approach
- **Option 3:** The existing Pupil Referral Units to become Alternative Provision Academies
- **Option 4:** The direct outsourcing of alternative provision and supporting services.

1.1.3 While the current Project will therefore focus on developing and implementing a new service model, it is recognised that changes to existing services may be radical and are likely to provide a springboard for a more mixed market approach, with a wider range of colleges and other providers commissioned to provide services. There would also remain longer-term options for local schools and PRUs to elect to go down the Academy route following modernisation and potential rationalisation of the service.

1.2 Project Description

The overall objective of this Project is to provide a, modernised, flexible, cost effective Alternative Provision Service that has coherence structurally and operationally, which meets the diverse needs of children and young people at risk of social and educational exclusion through high quality early help and interventions, working in close partnership with schools, families and other agencies. The Project consists of three key targeted strands of work which are service transformation – redesign; consultation and stakeholder engagement; and service design - implementation:

1.2.1 **Service transformation -re-design stage** – this strand will focus on the development of a new Alternative Provision Service model which reflects good practice, addresses wider changes to the funding framework and operating context, minimises duplication of activity, and fills gaps in provision. Existing services to be considered in developing the new model include: the Local

Authority's Alternative Education Service, including Pupil Referral Units (PRUs), Haringey Education Tuition Service (HETs) and Looked After Children Education Team, Pre- and Virtual School Role Officers together with other support provided through the Targeted Youth Support element of the Youth, Community and Participation Service.

- 1.2.2 **Communications and stakeholder engagement** - this strand will run in parallel to both the service design and implementation strands and seek to build widespread ownership and support for the new model among all key stakeholders, including councillors, mainstream schools and existing services working with excluded pupils and/or those at risk of exclusion. The full range of communication activity will be set out in a detailed Communication Strategy, with activity closely aligned with key service design and implementation milestones, including formal consultation processes.
- 1.2.3 **Service redesign – implementation** – this strand will focus on implementation of the new service model. It will include detailed work: to fully clarify roles and responsibilities in the new structure; to assimilate/ and or recruit staff to roles in the new service; and, to assess and define accommodation needs to ensure that the new Service is delivered in the most cost effective way.

1.3 Project Objectives

1.3.1 Specific project objectives are to achieve:

- An integrated and co-ordinated approach to the procurement, commissioning and quality assurance of alternative providers from the private, voluntary, community and faith sectors on behalf of schools partner agencies and the Local Authority;
- Increased reductions in the number of fixed term and permanent exclusions;
- Strong links between the Alternative Provision Service, the Additional Educational Needs/Disability Service and the YCP Service and Early Help Family Support Service (tbc) through either hub and spoke arrangements or co-location of services;
- Improved integrated specialist assessment, pupil respite and targeted support for particular groups of vulnerable pupils, those at risk of poor outcomes and those newly arrived in order to prevent an escalation of difficulties and to avoid high-cost Borough specialist placements.
- A more cost efficient and focused model of service delivery thereby reducing the planned place costs of Pupil Referral Units alongside increased devolution of funding to schools.
- An extended remit for the Pupil Referral Units which includes a strong core offer of outreach to mainstream schools, dual registration, pre-exclusion/ behavioural, attendance and multi-agency work.

1.4 Key Milestones

Milestone (proposed)	Planned Date	Notes
PRU staffing model option paper for September 2013	7 th May 2013	Recommended PRU management and staffing model for September 2013 drafted
Outline proposals for future of PRUs and Alternative Provision in Haringey published for consultation	w/c 13 th May 2013	Outline proposals published and shared with stakeholders
Consultation on new service structure/funding model with Schools Forum	23 rd May 2013	
Informal staff/trade union consultation on draft proposals	tbc	
Phase one (September 2013) proposals confirmed and circulated to staff	???? May 2013	
New Executive Head/ AP Commissioner (or equivalent) Post Advertised	c 3 rd June 2013	Aspiration to have post-holder in place by September 2013
New Executive Head/ AP Commissioner (or equivalent) Post short listing and interviews	wc 24 th June 2013	Aspiration to have post-holder in place by September 2013
PRU staffing model option paper for January and September 2014	10 th June 2013	Recommended PRU management and staffing model for January and September 2014 drafted
Phase two and three (January and April 2014) proposals confirmed and circulated to staff	???? June 2013	
Formal staff consultation on phase two and three proposals begins	??? June 2013	
Internal consultation and formal processes take place regarding staff model proposal for September 2013	10 th June – 19 th July 2013	Formal HR and statutory processes adhered to
Contract end for interim Head of Octagon PRU	19 July 2013	
New structure goes live	April 2014	Will need to be transitional arrangements in place of pupils and staff. These will be addressed in the formal consultation document

Communications Requirements	
Requirement	Support Service Owner
Ad hoc communication advice will be required to meet the change management process.	Corporate Communications – resources to be identified as required.

2. BUSINESS CASE

2.1 Risks and Issues

2.1.1 Based on the assumed delivery of Option 2 and the three related work streams, the key risks associated with this Project and related mitigating actions are set out below:

Risk No.	Risk Description	Probability (H/M/L)	Impact (H/M/L)	Mitigation	Risk Owner
1	Head of Alternative Education Service leaves role	H	H	Appoint interim or appoint substantive Head of Service	Paul Senior
2	Failure to secure Member support for the restructuring proposals and other difficult decisions Potential impact – slower project delivery	M	H	Lead and other relevant Members brought into the project at early stage – including early soundings on proposals	Jan Doust
3	Staff/union opposition to restructuring and/or revised working practices Potential impact – reduced staff morale, poorer business performance, slower project delivery	M	H	Early engagement and involvement with staff to build understanding and support for proposed approach. Early and consistent HR advice and assistance	Paul Senior/ Jan Doust
4	Schools fail to engage with proposals to redevelop the Alternative Provision Service	M	H	Stress mutual benefits of cooperation and engage in face to face discussions, especially with head teachers through all possible meetings/groupings	Paul Senior/ Jan Doust
5	Wider stakeholder opposition to plans and proposals	L	H	Clear communications and engagement strategy for different aspects of project development and delivery	Paul Senior
6	New policy changes/guidance from central government during project delivery	M	H	Early identification of changes in wider policy environment and impact assessment	Paul Senior
7	Options for change trigger AP Academy proposals	H	H	Provide flexible and scalable options. Ensure existing service continues to be of high quality with good pupil outcomes	Paul Senior
8	Expansion of Academies and other types of schools leads to a reduced demand for LA provided alternative provision	M	H	Ensure partnership working and engagement, as far as possible ensure that new arrangements have	Paul Senior

Risk No.	Risk Description	Probability (H/M/L)	Impact (H/M/L)	Mitigation	Risk Owner
				degree of flexibility	
9	National funding framework increases complexities at local level	M	H	Ensure Schools Forum is fully informed of national funding changes, particularly those which impact on the AP formula	Paul Senior
10	Uncertainty at Council level about accommodation utilisation for PRUs and uncertainty about funding of improvements	M	M	Ensure synergy with LA Capital Strategy and liaise with	Paul Senior
11	Ofsted inspection of LA AP, EOTAS and PRU services	H	H	Reputational risk mitigated by Council establishing credibility in commissioning transformation programme in response to evidenced performance gaps	Paul Senior

2.2 Financials – Costs

PROJECT COSTS

All project costs will be met within the central element of the Schools Budget.

Project Delivery Costs	2013/14 £'000s	Total (current & future) £'000s	Notes
Specialist Project Management Costs	TBC	TBC	To support development of financial model and other service design work
Project Management Costs	TBC	TBC	Full time project management support until end of August 2013.
Total Project Delivery Costs	TBC	TBC	
Funded from service/other budgets			
OC Project Delivery Costs			

Redundancy Costs	Current year £'000s	Future years £'000s	Total (current & future) £'000s	Notes
Statutory redundancy - one-off	TBC	TBC	TBC	Final post reductions and resulting costs will be estimated at the end of the service design stage.

Additional voluntary severance payment - one-off	TBC	TBC	TBC	
Total one-off (met from central redundancy provision)				
Actuarial strain on pension fund/capitalisation (early retirement cases) - met from service budgets	TBC	TBC	TBC	
Redundancy Costs (redundancy, severance and actuarial strain)	TBC	TBC	TBC	

Capital Costs	Current year £'000s	Future years £'000s	Total (current & future) £'000s	Notes
Capital cost	N/A	N/A	N/A	
Total Capital Costs	N/A	N/A	N/A	
Capital receipts (arising directly from the project)	N/A	N/A	N/A	
Net capital costs (capital costs less capital receipts)	N/A	N/A	N/A	

2.3 Financials – Benefits

Financial benefits will help to address the historic deficit in the Schools Budget.

Net Operational Savings (gross budget savings less additional operational costs)	2013/14 £'000s	2014/15 £'000s	2015/16 £'000s	Notes
<Gross budget saving A>	TBC	TBC	TBC	The level of savings will be confirmed at the end of the service design stage. Additional costs are not anticipated.
<Gross budget saving B>	TBC	TBC	TBC	
<Gross budget saving C>	TBC	TBC	TBC	
Total Budget Saving	TBC	TBC	TBC	
<Additional operational cost A>	None	None	None	Assume nil additional costs but will confirm at end of service design stage.
<Additional operational cost B>	None	None	None	
Total Additional Operating Costs	None	None	None	
NET BUDGET SAVING (budget saving less additional operational cost)	TBC	TBC	TBC	

2.4 Non-financial Benefits

Benefit Description	Baseline Measure	Target Measure	Estimated period of realisation	Notes
Improved access for schools to targeted respite provision for vulnerable pupils	TBC	TBC	12 months	Data available
Reduction in number of permanent exclusions	TBC	TBC	12 months	Data available
Reduction in number of fixed term exclusions	TBC	TBC	12 months	Data available
Improvement in attendance levels and days of education lost	TBC	TBC	12 months	Data available
Improvement in information sharing/sharing of expertise between PRUs and mainstream schools	TBC	TBC	12 months	Feedback from PRUs, School's Forum and Head Teacher's Forums
Integrated strategic and operational approach from LA services such as AP and SEN to interface with schools	TBC	TBC	12 months	Data available
Wider range of providers offer personalised programmes for individual pupils at risk of poor outcomes	TBC	TBC	12 months	Data count
Commissioned alternative provision providers receive capacity building challenge and support to being optimally Ofsted ready	TBC	TBC	12 months	Data available
Easier access to related support services, such as behaviour support, CAMHS, Youth, Community and Participation Service, family support and educational psychologists and improved multi-disciplinary working	TBC	TBC	12 months	Feedback from PRUs, School's Forum and Head Teacher's Forums and other stakeholders
Greater career opportunities for staff	TBC	TBC	12 months	Feedback from service managers and staff
Increased work with families around behaviour and attendance	TBC	TBC	12months	Feedback from service managers and staff.

2.5 Staff/Post Reductions – FTE Numbers

Post Deletions	2013/14 FTE	Total FTE (current & future years)	Notes
Vacant posts deleted (FTE)	TBC	TBC	To be confirmed at the end of the service design stage.

Redundancies (FTE)	TBC	TBC	
Total posts reduced (vacancies and redundancies FTE)	TBC	TBC	

3. PROJECT ORGANISATION

3.1 Project Organisation Structure

3.1.1 A Project Board, chaired by the Deputy Director, Children and Young People Services (tbc), will be responsible for the strategic lead and oversight of the Project and will meet on a monthly basis between April 2013 and August 2013 to oversee progress, with additional meetings as required. The Board will take key decisions related to the Project and sign off Project Status Reports prepared for the Haringey 54k Programme. The Board may invite additional members, including HR and Finance Managers, on an ad hoc basis as required.

Project Board Members	Roles	Key responsibilities
Jan Doust	Deputy Director and Project Sponsor and Chair	<ul style="list-style-type: none"> Chair meeting QA of deliverables Accountability for overall delivery and direction of project Identifying and managing interdependencies
Paul Senior	Project Manager	<ul style="list-style-type: none"> Present update reports
Kathy o' Sullivan (proposed)	Nominated Primary School Headteacher	<ul style="list-style-type: none"> Provide challenge, updates and input
Tony Hartney (proposed/unconfirmed)	Nominated Secondary School Headteacher	<ul style="list-style-type: none"> Provide challenge, updates and input
Martin Doyle	Nominated Special Heads Headteacher	<ul style="list-style-type: none"> Provides challenge, updates an input
Andy Beckett	Chair EIG	<ul style="list-style-type: none"> Provides challenge, updates an input
Phil DiLeo	Head of SEN/ Additional Need Services	<ul style="list-style-type: none"> Ensure that this work joins up with the approach to SEN and wider inclusion
Helen Gaffney	HR Services Manager, Haringey Council	<ul style="list-style-type: none"> Ensure HR and change management processes are robust
Wendy Sagar	Strategic Finance lead, Children and Young People	<ul style="list-style-type: none"> Ensure financial modelling for new service is robust.

3.1.2 A Project Group, chaired by the commissioned Consultant leading the process, will be responsible for the operational lead of the Project and will meet on a monthly basis between April 2013 and August 2013 to update on progress, with additional meetings as required. The Group will take key decisions related to the Project and prepare project update reports prepared for the Project

Board. The Project Group may invite additional members, including HR and Finance representatives, on an ad hoc basis as required.

Project Group Members	Roles	Key responsibilities
Paul Senior	Chair	<ul style="list-style-type: none"> • Chair meeting • QA of deliverables • Accountability for overall delivery and reporting of project • Identifying and managing interdependencies
Deborah Tucker	Virtual School Role lead/ AP Commissioner focus	<ul style="list-style-type: none"> • Provide challenge, updates and input
Kirstie Watkins	AP SIP focus	<ul style="list-style-type: none"> • Provide challenge, updates and input
Sharon Rossi	Finance rep	<ul style="list-style-type: none"> • Provides challenge, updates an input
TBC	HR rep	<ul style="list-style-type: none"> • Provide challenge, updates and input

4. PROJECT CONTROLS

4.1 Risk Management

4.1.1 Risks will be logged through Project Status Reports and managed through the Project Team and Project Board meeting.

4.2 Quality Management

4.2.1 The project will conform to the following quality standards:

- The project will follow the Haringey 54k approach to quality management.
- All outputs/deliverables produced will be internally reviewed by the Project Manager to ensure they are of the acceptable quality and cover the relevant content required to enable the Project Sponsor and Project Board to make a decision.
- In situations where outputs/deliverables are not of an appropriate standard, this will be fed back to the Project Sponsor and, where appropriate, the Project Board.
- Restructure plans and related options and financial appraisals will be subject to challenge and scrutiny by Project Delivery Team and Board.
- Project status reports will be submitted to the Haringey 54k Programme Management Office as required.

4.3 Equality Impact Analysis

4.3.1 Groups with protected characteristics are significantly represented within the client base of Alternative Provision Services. A predictive equality impact assessment will be undertaken at an early stage in the project process.

5. COMMUNICATIONS AND STAKEHOLDERS

5.1 Main stakeholder and communication and engagement methods are set out below. A more detailed communications strategy for the project is currently in development and will be used to ensure effective delivery of Work Stream 3.

KEY STAKEHOLDERS (R – Responsible, A – Accountable, C – Consulted, I – Informed)		
Stakeholder(s)	RACI	Project Communication / Interaction and methods to be used
Lead Member / Council Executive	A	Regular updates from the Project Sponsor
CYP DMT	R	Regular updates from Project Sponsor and Project Manager as required.
Performance Team	R	Submission of regular stats reports and ad hoc meetings with Project Manager
Alternative Provision and other CYP departmental staff	C	Engagement in project delivery structures, team briefings and regular project briefings
PRU EIG Management Committee	C	Updates at EIG meetings
Schools /Head Teachers	C	Engagement in project delivery structures, and via key education forums, the Head Teachers' Bulletin and Schools' Intranet
Other external stakeholders, including CAMHS, YCP, YOS and other potential /existing service providers	C	1:1 direct engagement and via consultation on new structure
Alternative Provision pupils and their parents	C	Focus groups to support project design

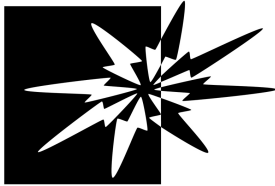
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Appendix A: Outline timeline for required changes to Octagon PRU and AP staffing model for January 2014

The timeline below is an example of the milestones and timescales required

Project	The Octagon Restrastructure : Milestones	10/6//2013	Committee/ report paper finalised and submitted to Lead Member Report /appropriate level committee	New JD's evaluated	End of term	22/7/2013	2/9//2013	30 Day consultation period	Response to consultation issued	14/10/2013	21/10/2013	Notice period - 28 October 2013 - deadline for notice to be given (in half term)Recruit to stay period / Notices issued	Last Day of Service for decommissioned staff – 24 December 2013	17/12/2013	10/12/2013	3/12/2013	25/11/2013	18/11/2013	11/11/2013	4/11/2013	28/10/2013	7/10/2013	30/9/2013	23/9/2013	16/9/2013	9/9/2013	15/7/2013	8/7/2013	1/7/2013	24/6/2013	17/6/2013	10/6//2013
		15/7/2013			End of term									17/12/2013																		

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Haringey Council

The Children and Young People's Service

Report to Haringey Schools Forum – Thursday 23rd May 2013

Agenda Item

10

Report Status

For information/note
For consultation & views
For decision

Report Title: Forum Code of Conduct.

Authors:

Carolyn Banks –Schools Forum Clerk
Contact: 0208 489 5030 Email: carolyn.banks@haringey.gov.uk

Purpose: To agree a proposed Code of Conduct.

Recommendations:

That the proposed Code of Conduct be approved.

1. Schools Forum

- 1.1. Forum members will recall that there were some concerns raised at the last meeting regarding discussions of confidential Forum business outside of the meeting. Consequently a request was made for a Code of Conduct to be produced.
- 1.2. A suggested code is attached at Appendix A , which would form an Appendix to the constitution.
- 1.3 The code is based on Haringey's conduct for elected Members at meetings and the ten principals of selflessness, honesty and integrity, objectivity, accountability, openness, personal judgement, respect for others, duty to uphold the law, stewardship, and leadership. Additionally a section on confidentiality is proposed.

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HARINGEY SCHOOLS FORUM APPENDIX A- MEMBERS CODE OF CONDUCT

The conduct of Forum Members at meetings will follow the principles laid down below:-

The 11 principles are;

1. Selflessness

Members should serve only the public interest and should never improperly confer an advantage on any person or individual school.

2. Honesty and Integrity

Members should not place themselves in situations where their honesty and integrity may be questioned, should not behave improperly and should on all occasions avoid the appearance of such behaviour.

3. Objectivity

Members should take decisions on merit

4. Accountability

Members should be accountable for their actions and the manner in which they carry out their responsibilities, and should co-operate fully and honestly with any scrutiny appropriate to their role

5. Openness

Members should be as open as possible about their actions and should be prepared to give reasons for those actions.

6. Personal Judgement

Members should take account of the views of their elective / nominating bodies to reach conclusions on the issues before them and act in accordance with those conclusions.

7. Respect for Others

Members should promote equality by not discriminating unlawfully against any person, and by treating people with respect, regardless of their race, age, religion, gender, sexual orientation or disability. They should respect the impartiality and integrity of the local authority's officers.

8. Duty to Uphold the Law

Members should uphold the law, and on all occasions, act in accordance with the trust that their elective / nominating group is entitled to place in them.

9. Stewardship

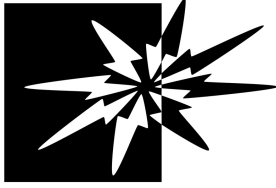
Members should do whatever they are able to ensure that the local authority uses Dedicated Schools Grant prudently and in accordance with regulations.

10. Leadership

Members should promote and support these principles by leadership, and by example, should act in a way that secures or preserves schools confidence.

11. Confidentiality

Members should observe complete confidentiality when matters are deemed confidential or where they concern specific members of the Forum. Forum members will exercise the greatest prudence at all times when discussions regarding Schools Forum business arise outside a Forum meeting.



Haringey Council

For Decision

11

1.1 The Children and Young People's Service

1.2 Report to Haringey Schools Forum –

Report Title: feedback from High Needs Funding Working Group

Authors:

Phil DiLeo – Head of C&YP with Special Needs
Contact: 0208489 3848 Email: phil.dileo@haringey.gov.uk

Wendy Sagar – Interim Head of Finance, CYPS
Contact: 0208 489 3539 Email: wendy.sagar@haringey.gov.uk

Steve Worth – Finance Manager (Schools Budget)
Contact: 0208 489 3708 Email: Stephen.worth@haringey.gov.uk

Purpose:

To report to the Schools' Forum on the progress of the High Needs Funding Steering Group.

Recommendations:

- (i) The Forum is asked to note the report

1. Background and Introduction.

1.1. The Schools Forum of 28th February appointed a High Needs Working Group to advise on high needs issues and review funding allocations within the High Needs block to ensure that funding meets needs and supports both the Inclusion Strategy and the proposed legislation arising from Children and Families Bill.

1.2. The Forum agreed the Terms of Reference and membership of the working group. A membership list is attached as Appendix A.

- 1.3. The Working group meets monthly and has met twice to date.
- 1.4. The Working group has agreed a Work Plan which is updated for each meeting and is attached as Appendix B.

2. Progress

- 2.1 Mainstream and special schools have received their notional budgets. Information on the impact was circulated to Working Group. Budgets and the impact of movement of pupils will continue to be monitored.
- 2.2 Mainstream schools have received an estimation of top up funding for Haringey pupils with statements through their monthly cash flow. Budgets will be adjusted following final agreements between schools and the Local Authority.
- 2.3 Academies will continue under the old arrangements until July 2013 with the new arrangements coming into effect from September. The estimation for the summer term is included in the cash flow. From September the top up funding will be estimated and adjusted following final arrangements between the school and the Local Authority.
- 2.4 In Special Schools estimates for top up funding are based on in borough pupils using the profile of high, medium and low banding system Costs will be adjusted once final agreements have been reached between the schools and the Local Authority. In the case of Blanche Nevile where a significant number of pupils are from other Local Authorities, financial support is being provided through the cash flow pending negotiations with each borough and payments received.
- 2.5 Guidance to all heads re new funding and in particular in relation to pupils in Haringey schools from other LAs has been sent to all schools.
- 2.6 The Working party has agreed to use the LGA Protocols for schools and colleges and the Individual Agreements between the C&YPS and schools setting out the funding arrangements for children and young people with statements. These will be completed for each child and young person and circulated to all schools by July 2013. Once in place they can be amended for any changes arising from Annual Reviews and they will meet the requirements of the proposed Education, Health and Care plans from 2014. Copy of protocol and Individual Agreement attached at Appendix C and D.
- 2.7 Data on Haringey pupils in Haringey and out of borough schools has been confirmed and payment arrangements are in place.
- 2.8 New statements issued from April 2013 include costs for education provision and the equivalent hours. The working group has agreed to move away from including hours in statements as this will provide greater flexibility in providing individual needs within the school's context.

- 2.9 Work is underway to support schools to develop their Local Offer and to show link to High Needs Funding. A Pilot group with parents from Haringey, Camden, Enfield and Redbridge is underway to look at how to .strengthen parental confidence in schools' ability to meet needs without recourse to statements for high incidence needs. Work is also underway with SENCOs with regular updates at SENCO conference including feedback from Pathfinders. The Local Offer will also be covered at the Governors Conference on 18th May.
- 2.10 Top up funding bands for special schools have been agreed and a meeting for bursars is planned in May.
- 2.11 The North London Strategic Alliance continues to meet to share approaches and top up funding arrangements. The group is currently discussing how LAs can continue to track cross borough consultations and admissions. A meeting has been arranged for 16 May with Colleges in the region to discuss plans for Sept 2013.
- 2.12 A letter regarding the new arrangements has been sent to parents and is attached at Appendix E.
- 2.13 The last meeting looked at the SEN services in the HN block and detailed information was provided on areas covered and outcomes. The group has asked for details of trends re children with disabilities before making recommendations regarding this service.

3 Next Steps

- 3.1 The Working Group will continue to monitor the progress of the Work plan.
- 3.2 The on 24th May will consider the funding arrangements for Alternative Provision. (AP);
- 3.2 The meeting in June will consider the new responsibilities from September 2013 for 16 -25 year olds in education.

Appendix A**Terms of Reference****Terms of Reference for the High Needs Funding Block (HNFB) Working Party of the Schools Forum****Purpose;**

To bring together representatives from Schools, Alternative Provision and Local Authority Officers to recommend to the Schools' Forum the use of the HNBF to support the implementation of the SEN Funding reforms and deliver the desired outcomes within sustainable funding.

Proposed Membership;**Schools and Alternative Provision representatives;**

Mainstream Schools	Head teachers	Will Wawn Tony Hartney Mike McKenzie Sue Head Nick Hunt
Special Heads	Head teachers	Margaret Sumner Martin Doyle Sarah McClay Veronica Held
Resourced provision Haringey 6 th Form Centre Governors	Head teacher Principal	Simon Garrill Bill Barker Jan Smosarski Melian Mansfield Marianne McCarthy Vic Sandeer

Local Authority representatives;

Interim Head of Finance	Wendy Sagar
School Finance Manager	Stephen Worth
Alternative Provision	Paul Senior & Heather Johnston
Head of Early Years	Ros Cooke
Head of Inclusion	Kirstie Watkins
SEN Team Manager	Janet Miller
Finance Officer	Cynthia Dako
14 -19	Sean May
Additional Needs and Disabilities	Phil Di Leo (Chair)

Objectives:

- 1 To work together to devise fair, understandable and transparent eligibility criteria for the allocation of HNB funding and aligned to ensure best fit with the needs and preferences of children, young people and their parents;
- 2 To develop Place Plus funding for special schools, resourced and alternate provision to ensure funding is on an equivalent basis;

- 3 To determine and agree the number of planned places to be commissioned at each setting/provider;
- 4 To consider maintaining the threshold between low needs and high needs in mainstream schools at 15 hrs for a further year (2013-14) for primary and secondary pre-16 pupils;
- 5 Oversee the introduction of delegated budgets for Alternative Provision including PSCs and Tuition;
- 6 Oversee the introduction of commissioning arrangements in relation to top-up funding;
- 7 Clarification of new arrangements for assessing a pupil's needs and the menu of interventions that should be managed via the school (£6k) and top up interventions funded by the High Needs Block (Above £10k);
- 8 Developing the "Local Offer" due for implementation in September 2014 and determining how arrangements will work in the interim i.e. development of the menu of interventions expected from Schools for notional SEN and menu of intervention from the HN block;
- 9 Monitor the implementation of arrangements for dealing with schools who might require additional support over and above the notional SEN budget (i.e. exceptional high number of HN pupils, in-year movement);
- 10 To oversee the transfer of responsibilities for Post 16 funding from the EFA and the commissioning of specialist provision and payment of top-up funding;
- 11 To engage and support all stakeholders through this period of change and to produce guidance and procedures for top-up allocations to enable schools manage this process, including the DfE Contract;
- 12 To establish agreed protocols with neighbouring Local Authorities so that cross border funding systems and charges are clear and understood;
- 13 To agree thresholds with other Local Authorities for recovering top-up costs and providing advice to schools for operational arrangements.

The Working Party will ensure that in taking forward this review they will ensure that: -

- (i) the agreed solutions are clear and transparent;*
- (ii) the agreed solutions allocate the resources in an equitable manner;*
- (iii) the agreed solutions are clearly documented and available to all concerned;*
- (iv) the recommendations meet the aims of the Local Authority's Strategic Plan for Special Educational Needs and Alternative Provision;*
- (iii) outcomes derived from the recommendations reduce administration, bureaucracy and focus appropriately on meeting the need of children and young people;*
- (iv) achievement and progression for children and young people is taken into account when delivering a curriculum (including raising the participation age);*
- (v) it takes account of proposed legislation arising from the Green Paper 'Support and Aspiration' DfE 2011.*

Appendix B

High Needs Funding Work Plan				
Themes	Actions	Lead	When	Progress
Mainstream pre-16 formula	Consider impact of notional SEN budget and Top Up arrangements for mainstream schools and academies	HNF WG	March 2013	30/4/13 Mainstream and special schools have received notional budgets. Information on impact circulated to Steering Group. Budgets and impact of movement of pupils will continue to be monitored.
	Guidance to all heads re new funding and in particular in relation to pupils in Haringey schools from other LAs.	PDL	April 2013	130/4/13 information sent to all schools.
	Complete Individual Agreements with schools	SEN Team	April – May 2013	30/4/13 Information received from DfE to say there will not be a standard agreement. Draft LGA forms have been sent which can be used / adapted. Steering group to discuss.
	Confirm data on Haringey pupils in Haringey and out of borough schools and set up payment arrangements	SEN Team	From 15 th April	30/4/13 Completed
	Cost all new statements from April 2013	SEN Panel	From April 2013	30/4/13 New statements issued from April 2013 include costs for education provision and the equivalent hours.
	Support implementation of schools' local offer	HNFWG	From April 2013	30/4/13 Pilot group with parents from Haringey,

High Needs Funding Work Plan				
Themes	Actions	Lead	When	Progress
				Camden, Enfield and Redbridge underway. Regular updates at SENCO conference including feedback from Pathfinders. Will also be covered at Governors Conference on 18 th May.
	Align processes with proposed Education, health and Care Plans		On going	
Special schools and resourced provision	Agree numbers and top up budgets for in borough provision	SW/PDL	April 2013	30/4/13 Top up for each banding level agreed.
	Support schools and resource bases to agree top up costs for pupils from other LAs	SEN team	April 2013	30/4/13 Discussed at Heads meeting. Meeting with Bursars scheduled for late May
	Work with special schools and resource bases to look at the impact of in year pupil movement and the potential for including occupancy factors within top up rates	SW/PDL		
	Review descriptors and banding levels for implementation for 2014 including stakeholders consultation	PDL/YW/VM-M	May – Sept 2013	
	Define and agree banding moderation process for resource bases and special schools	CD/PDL	Sept 2013	
	Numbers of residential and day	SEN	From April	

High Needs Funding Work Plan				
Themes	Actions	Lead	When	Progress
	independent places to be agreed and any impact on funding identified			
Alternative Provision	Confirm AP Place numbers and top up budgets		April 2013	
	Align process with recommendations from the IEG			
Post 16	Post-16 data collection for 2012/13 and identification of place numbers for 2013/14 to be carried out and confirmed to EFA	SEN team /EFA	March 2013	
	Agree 'top up' funding with providers for each placement	JAM/SW	By end of May 2013	
	Estimate costs of high needs placements 2013/4 based analysis of data	JAM	May /June 2013	
	Inform colleagues in health and social care of likely numbers of young people requiring joint funding	PDL	May /June 2013	
	Ensure key worker or other arrangements in place to liaise with the young person and their family until the placement is confirmed	14+ Transition Panel	On going	
	Agree contracts with providers		June 2013	

High Needs Funding Work Plan				
Themes	Actions	Lead	When	Progress
	Identify gaps between forecasts of student numbers and need and currently available provision	JAM	June 2013	
	Develop 16-25 SEN High Needs education/training commissioning strategy 2014-2018	HNFWG	June 2013	
Cross borough arrangements	Develop, where possible, agreements with neighbouring local authorities regarding the approach to purchase of cross border placements	SW/PDL	April	30/4/13 This is ongoing work. Agreement in place between Haringey and Hackney to continue to consult the LA as well as the identified school when making out of borough applications.
Communication	Letter to parents /carers outlining changes	PDL	April 2013	30/4/13 Completed
	Information sessions for SENCOs /EPS/Support Services/Health and Social Care teams on reforms	KW/PDL	On going	30/4/13 SENCOs, EPS, SEN services completed. Multi agency sessions planned.
	Road shows for heads / Governors/ Bursars	SW/PDL	On going	30/4/13 Governors Conference 18 May; regular updates at SENCO mtgs; Special School bursars ;
Personalisation	Develop personal budgets approach and align with work with Short breaks and health plans for implementation in 2014.		Sept 2013	
Central support services	Review services in HNF block and	HNFWG		30/4/13 Agenda for 30.04.13

High Needs Funding Work Plan				
Themes	Actions	Lead	When	Progress
	develop proposals on approach and funding arrangements			
Budget management	Determine monitoring and reporting arrangements for HNF block and ensure pressures are identified, tracked and addressed	WS	July 2013 Oct 2013 Dec 2013 Feb 2014	
	Monitor calls on contingency budget and impact on notional budgets from 2014	SW	On going	30.04.13 This was added at Steering Group

Appendix C

PROTOCOL BETWEEN SCHOOLS AND X LOCAL AUTHORITY FOR THE PROVISION OF SERVICES FOR PUPILS WITH SPECIAL EDUCATION NEEDS.

This protocol aims to define the arrangements between [] local authority and schools (maintained and academies) regarding the additional support provided for pupils with high levels of special educational need (SEN) and to ensure that there is clarity over the funding arrangements for pupils with SEN between schools and the authority.

Safeguarding

1. All parties agree to meet their safeguarding duties by following the safeguarding procedures described by the [] Safeguarding Children Board.

Timescales

2. This Protocol is effective from : and will continue until : . It will be reviewed by :

Information to be provided by each School

3. Schools shall make available to the local authority details of policies that affect the provision of support for pupils with SEN including those on behaviour and discipline, physical restraint, exclusion, child protection, and for the handling of complaints.
4. The school will provide key contact details of staff responsible for special educational needs and finance.

Information to be provided by the Authority

5. The authority will provide named contact/s in respect of each pupil and also notify schools of its procedures for out of office hours' contact.
6. The authority will provide schools with all necessary information regarding pupils who are assessed to need 'top up funding' including a copy of the pupil's SEN Statement or Educational Health and Care Plan (EHCP) and any other relevant reports or information available and, where appropriate, a Care Plan and Personal Education Plan.
7. The authority will provide each school with copies of all relevant correspondence between the authority and each high needs pupil studying at the school and his or her parent(s), where appropriate.
8. The authority will offer the school access to any relevant professional advice

which it may have available in respect of the care and educational needs of a pupil with high level SEN studying at the School.

Pupil Review

9. Review meetings arranged by a school will be planned in consultation with the authority, the pupil and where appropriate the parent and others concerned with the pupil's welfare and education.
10. Each School shall be responsible for producing and maintaining a written record of review meetings, with a copy of the record being sent to the authority within two weeks of the meeting.

High Needs Funding

11. The authority is responsible for the top-up funding to enable the school to deliver the outcomes described in the SEN statement/EHCP, as specified in the High Needs Pupil Agreement, apart from any parental contributions.
12. All amounts due will be exclusive of VAT, unless otherwise agreed between a school and the authority.
13. Funds will be provided by the authority in line with already agreed financial procedures, or as described within the High Needs Pupil Agreement. These procedures shall be as simple as possible for the sake of all parties whilst ensuring effective financial assurance.

Parental or Pupil Contributions

14. Schools shall be entitled to request voluntary contributions from a parent in line with the school's policy on parental contributions. Parental contributions shall be met by the parent / guardian or pupil (if over 18). The authority accepts no financial responsibility for the payment of such contributions.

Direct Payments

15. Where direct payments are made the parent/ guardian or pupil will agree in writing with both the school and the authority the services subject to the direct payments. The authority accepts no financial responsibility for the payment of such contributions or for the services.

The Authority will not pay high needs top up funding in the following circumstances:

16. When a pupil has been permanently excluded. The authority's liability will cease on the day that the exclusion is confirmed by a school in accordance with any arrangements for appeals or 15 days after the Headteacher has notified the Authority of the exclusion whichever is the earlier.
17. When a pupil has been excluded for a fixed term period exceeding 15 days

and the school is unable to provide suitable alternative education for the period of the exclusion. The authority will pay the funding beyond 15 days and will resume paying on the date that the pupil returns to school.

18. Where a pupil is absent on account of illness and the school is unable to continue to provide suitable and appropriate education or if the authority has to provide home tuition, after 15 days the authority will deduct the cost of this support.
19. In the case of a permanent exclusion, the date of exclusion shall be that date on which, in accordance with a school's or policy on exclusion, following appropriate notice and consultation, it is deemed that a return to the school will not be possible.

Statutory and other Regulations

20. Schools shall operate fully in accordance with all relevant Acts of Parliament, amendment or re-enactment of any Act, Statutory Regulation, and other such laws and statutory guidance.
21. Schools shall ensure that any communication sent to the Authority regarding the health and safety of any student within the scope of Reporting of Injuries, Diseases and Dangerous Occurrences (RIDDOR) 1995 and fatal road traffic accidents is also sent to the Education Funding Agency as soon as practically possible.

Records, Information and Data Protection

22. Each school will fully comply with the relevant records regulations and for a minimum of 10 years or longer, if the authority specifically requests so in writing.
23. Schools will provide the authority with information to allow for the monitoring, review and assessment of each school's capabilities to provide the standards of education, health and care required by pupils with special educational needs as defined in the SEN statement / EHCP / Pupil's Details.
24. When a pupil with SEN leaves a school, the school shall ensure that they maintain all files and records, including the pupil's individual record, case notes and information held by school in full compliance with all relevant legislation and guidance.
25. Schools will ensure that where a pupil attends a new school or college all relevant files and records shall be forwarded or copied to the pupil's new school or college within three (3) weeks of the pupil starting at their new school or college.
26. Schools will use best endeavours to assist the authority in meeting its obligations under the Freedom of Information Act (FOIA) and fully comply with appropriate and reasonable requests from the authority for that purpose

within 10 working days of the request being made. Any relevant FOIA request made direct to a school will be immediately forwarded in writing to the authority.

27. Within the requirements of the Data Protection Act 1998, the authority will share appropriate data about pupils with SEN with the Education Funding Agency and the Department for Education.

Monitoring of Service Provision

28. Schools acknowledge the right of the authority to monitor the provision made for pupils specified in the SEN Statement/ EHCP or High Needs Pupil Agreement. This will include monitoring all aspects of education and support made for pupils with Special Educational Needs, irrespective of the funding body.
29. Where the SEN provision delivered by schools is subject to inspection by Her Majesty's Inspectorates and the inspection results in the provision being assessed as inadequate, the authority may, in its absolute discretion, take whatever action it deems appropriate.

Schools shall send copies of their annual SEN report to the authority.

Transfer of a pupil to another school or college

30. Where a parent of a pupil or a young person chooses, for whatever reason, to transfer to another school or college, the local authority will cease to pay the top up funding. Every effort will be taken to ensure that the top up funding associated with the pupil is available with immediate effect in the new school or college, however consideration will be given to paying for residual employment obligations of the previous school associated with the pupil's SEN support.

Resolution of Disputes between Parties

31. If a dispute arises regarding a pupil with High Needs, the school and authority will use best endeavours to settle the dispute by negotiation.

Signed on behalf of schools :

Signed on behalf of the local authority :

Date :

Appendix D

HIGH NEEDS PUPIL AGREEMENT

For Pupils with high levels of special educational needs

1.

PUPIL'S DETAILS

Family Name:				
First Name:				
Known As (if applicable):				
Pupil's Personal Identity Number:				
Learner's Unique Number (if different):				
Date of Birth:		Gender:	Male <input type="checkbox"/>	Female <input type="checkbox"/>
EHC:	<input type="checkbox"/>	SEN:	<input type="checkbox"/>	

2 Date of commencement : (DD/MM/YYYY)	
Review/ End Date	

3 School Details

Name & Address of School or College:			
		Postcode:	
Telephone:		Fax:	
Email:			
Name of Principal / Head Teacher:			

4.

LOCAL AUTHORITY KEY CONTACTS

EDUCATION OFFICER	
Name:	
Team Name:	
Based at:	

Teleph one:		Mobile:	
Fax:			
E-mail:			
OTHER LOCAL AUTHORITY OFFICER CONTACT:			
Name:			
Role			
Based at:			
Teleph one:		Mobile:	
Fax:			
E-mail:			

5 SCHOOL KEY CONTACTS

SEN LEAD

Name:			
Based at:			
Telephone:		Mobile:	
Fax:			
E-mail:			

FINANCE LEAD

Name:			
Based at:			
Telephone:		Mobile:	
Fax:			
E-mail:			

6 OTHER RELEVANT CONTACTS

Role:

Name:			
Organisation			
Address:			
Telephone:		Mobile:	
E-mail:			

Role:

Name:			
-------	--	--	--

Organisation			
Address:			
Telephone:		Mobile:	
E-mail:			

7 High Needs Funding				
£		Per week <input type="checkbox"/>	Per term <input type="checkbox"/>	Per year <input type="checkbox"/>
Made up of	Amount		Funded by	
Element 3 Top Up Funding	£			
	Details:			
Arrangements for Payment £ paid	Per Month	Per term <input type="checkbox"/>	Per year <input type="checkbox"/>	Other
8 Variations to the Contract or Schedule resulting in Supplementary Costs				
Detail Variation	of			Supplementary Costs
Review date:		End Date:		£
Review date:		End date:		<input type="checkbox"/> per hour
				<input type="checkbox"/> per week
				<input type="checkbox"/> per term
9 Contributors to the Funding:				
SOURCE	%	COST	PERIOD (eg Per Week, Month, Term, Year)	
LA Social Care	%	£	Per	
LA Education	%	£	Per	
Health	%	£	Per	
Direct Payment	%	£	Per	
Other funding (Please specify):	%	£	Per	

10 Signatures of Agreeing Parties	
This Agreement is signed and agreed by:	
Authorised Signatory on behalf of the School	
Signature Signed by: (PLEASE PRINT NAME)	
Designation: (PLEASE PRINT)	
Dated:	

Duly Authorised Signatory on behalf of the Authority

Signed by: (PLEASE PRINT NAME)	
Designation: (PLEASE PRINT)	Dated:

Appendix E

Letter to parents/carers of children with statements attending special schools and resourced provision in and out of borough.

Dear Parent / Carer,

School Funding Reforms

We are writing to you to inform you of the planned changes to school and SEN Funding. You may be aware that from April 2013 there has been a number of changes to the way schools are funded. These are national changes from the Department for Education (DfE) and all Local Authorities (LAs) must follow the revised regulations.

The reason for the reforms is to make the way that schools are funded simpler, easier to understand and more equitable across the country.

It is important to note these changes will not affect the level of the support your child receives, and the school will continue to deliver the provision in statements.

The DfE want a national approach to the funding arrangements for special schools. Haringey previously used a planned place formula based on three funding levels. From April, places in all our special schools and resourced provision will receive a base level of funding at £10,000 per place. Top Up funding will be provided to the school to meet the needs of individual pupils within each banding level.

Some Haringey children with statements attend special schools or resourced provision out of borough. In these circumstances the school in the other borough will contribute the first £10,000 and Haringey will provide the Top Up. Haringey will pay the Top Up directly to the school rather than to the other LA as happened previously.

You will also be aware that the DfE are planning to replace statements with a new Education, Health and Care Plan in the future. Work is underway on how these plans will look and work. Therefore it is unlikely that we will amend all statements in 2013 to reflect the funding changes.

There is no need for you to do anything at this point.

Your child's Statement will not change as a result of these funding arrangements and the support set out in the statement will continue to be provided as now. The current regulations as set out in the SEN Code of Practice remain in force.

The Annual Review will continue to be the opportunity to monitor the progress your child makes and to make any amendments in relation to meeting your child's needs.

Yours

Letter to parents/carers of children with statements attending mainstream schools in and out of borough.

Dear Parent / Carer,

School Funding Reforms

We are writing to you to inform you of the planned changes to school and SEN Funding. You may be aware that from April 2013 there has been a number of changes to the way schools will be funded. These are national changes from the Department for Education (DfE) and all Local Authorities (LAs) must follow the revised regulations.

The reason for the reforms is to make the way that schools are funded simpler, easier to understand and more equitable across the country.

It is important to note these changes will not affect the level of the support your child receives, and the school will continue to deliver the provision in statements.

The way LAs fund SEN and Statements of SEN varies hugely across the country. Previously in Haringey, mainstream schools were given an indication of the amount within their budgets that could have been used to support pupils with SEN. It was for schools to decide how to use their funding to meet these needs. When a child had a statement of special educational needs, the LA funded the full cost of a statement with an allocation of 15 hours Teacher Assistant and above.

The DfE want a national approach to funding Statements and SEN, whereby the schools must contribute the initial £6,000 of support for all statements, including those with 15 hours Teaching Assistant and above. The LA will provide a "Top Up" to the school where the cost of the provision in the statement exceeds £6,000. Therefore, for example, if the cost of the Teaching Assistant hours in a statement is £12,000, the school will contribute £6000 and the LA will provide the Top Up of £6,000. We will put the cost of provision in new and amendand gradually move away from allocating support hours as the system becomes embedded. The funding formula for allocating school budgets have been adjusted to take account of these changes.

Some Haringey children with statements attend mainstream schools out of borough. In these circumstances the school in the other borough will contribute the first £6,000 and Haringey will provide the Top Up above this £6,000 if the allocation in the statement is more than this amount. Haringey will pay the Top Up directly to the school rather than to the other LA as happened previously.

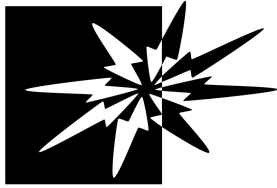
You will also be aware that the DfE are planning to replace statements with a new Education, Health and Care Plan in the future. Work is underway on how these plans will look and work. Therefore it is unlikely that we will amend all statements in 2013 to reflect the funding changes but we will let you know the cost of the provision in your child's statement, including the contribution from the school and the Top Up from the LA.

There is no need for you to do anything at this point.

Your child's Statement will not change as a result of these funding arrangements and the support set out in the statement will continue to be provided as now. The current regulations as set out in the SEN Code of Practice remain in force.

The Annual Review will continue to be the opportunity to monitor the progress your child makes and to make any amendments in relation to meeting your child's needs.

Yours faithfully



Haringey Council

The Children and Young People's Service

**Agenda Item
12**

Report Status

For information/note
 For consultation & views
 For decision

Report to Haringey Schools Forum – Thursday 23rd May 2013

Report Title: Schools Forum Work Plan 2012-13.

Authors:

Wendy Sagar – Interim Head of Children and Young People's Finance
 Contact: 0208 489 3539 Email: wendy.sagar@haringey.gov.uk

Steve Worth – Finance Manager (Schools Budget)
 Contact: 0208 489 3708 Email: Stephen.worth@haringey.gov.uk

Purpose: To inform the Forum of the updated work plan for 2012-13 and provide members with an opportunity to add additional items.

Recommendations:

That the updated work plan for 2012-13 is approved.

1. Schools Forum

- 1.1. It is good practice for Schools Forum to approve a work plan so that members ensure that key issues are considered in a robust and timely way.
- 1.2. Schools Forum approved a work plan for the balance of the Academic Year 2012-13 at it's meeting on 28 February. An updated workplan is attached at Appendix A.
- 1.3. Members of the Forum are asked to consider whether there are any additional issues that should be added to the work plan for this Academic Year.
- 1.4. A draft work plan for the Academic Year 2013-14 will be submitted for approval to the Forum at it's meeting on 3 July.

Haringey Schools Forum - Draft Work Plan Academic Year 2012-13

23 May 2013

The Schools Internal Audit Programme
Consultation on Two Year Old Funding Formula
Closure of John Loughborough School
Alternative Provision
Schools Forum Code of Conduct
Feedback from Working Groups:

- Funding Reform
- High Needs
- Early Years

Workplan 2012-13

3 July 2013

Schools and Dedicated Schools Budget Outturn 2012-13
School Budget Plans 2013-14
Review of membership
Two Year Old Funding Formula
Alternative Provision
Feedback from Working Groups:

- Funding Reform
- High Needs
- Early Years

Work plan 2013-14

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