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THE SCHOOLS FORUM

Wednesday, 14th July, 2021 at 5.30 pm –

Microsoft Teams Virtual Meeting

[Join Microsoft Teams Meeting](#)

Schools Members:

Governors: Mr J Ellis (Primary), Mr T Hellings (Primary), Ms H Kacouris (Primary),
Ms C Davies (Special), Mr J Donnelly (Secondary),

Headteachers: Ms K Baptiste (Primary), Ms N Husband (Primary), Mr D Smart
(Primary), Ms T Day (Secondary), Ms M O’Keeffe (Secondary), Ms G
Taylor (Special), Ms C Fay (Pupil Referral Unit)

Academies: Ms H Thomas (Chair), Ms S Ellingham, Mr M Lewis, Ms A Nicou, Ms
Z Thompson, Ms K Turnpenney

Non-Schools Members:

16 - 19 Partnership

Early Years Provider

Teachers’ Committee

Education Professional

Head of Admissions

Overview and Scrutiny Committee

Mr K Hintz

Ms A Palmer

Mr T Cuffaro

Mr A Johnson

Ms J Fear

Cllr S Erbil

Observers:

Cabinet Member

School Business Manager

Education & Skills Funding Agency

Cllr M Uddin

Ms S Mahesh/Ms E Campbell

Mr G Nicolini

MEMBERS ARE ASKED TO TRY AND JOIN THE MEETING FROM 17:20.
THIS WILL ALLOW TIME FOR ANY CONNECTION DIFFICULTIES THAT MAY
ARISE IN JOINING THIS MEETING AND ENABLE A PROMPT START AT 17:30

AGENDA

(Target time)
(17:30)

Mr Peter Nathan will start and chair the meeting until the election of the Chair

1. APOLOGIES FOR ABSENCE AND MEMBERSHIP

- (a) Apologies for absence
- (b) Membership
The Forum are advised that Cllr M Uddin is the new Cabinet Member for Children's Services and replaces Cllr Jewell as an observer on the Forum.

2. DECLARATION OF INTEREST

Members are asked to declare any disclosable pecuniary, other pecuniary or non-pecuniary interests relating to items on the agenda.

3. MINUTES AND MATTERS ARISING FROM THE MINUTES (Pages 1 - 6)

- (a) School Forum meetings held on 12 May 2021 (*attached*)
- (b) Matters arising from these minutes.

4. ITEMS FOR PRESENTATION & DISCUSSION (Pages 7 - 24)

- (a) DSG Budget Outturn Report 2020/21 (*attached*)
- (b) School Balances 2020 – 21
- (c) School Funding Arrangements 2022/23 (*attached*)
- (d) De-Delegated Services For Maintained Schools For 2021/22 and 2022/23 (*attached*)

5. ITEMS FOR INFORMATION (Pages 25 - 36)

- (a) Annual Audit for Maintained Schools (*attached*)

6. WORKPLAN (Pages 37 - 38)

7. ANY OTHER BUSINESS

8. FUTURE MEETINGS

- (a) The Forum are asked to consider whether the next and future meetings should be held face to face, virtually on Teams or a mixture of both.
- (b) Date of next meeting is Wednesday 6 October 2021 at 5.30pm.
- (c) Dates of future meetings are detailed below.

Date	Time	Venue
19/01/2022	5:30 - 7:30 PM	TBC
09/03/2022	5:30 - 7:30 PM	TBC
11/05/2022	5:30 - 7:30 PM	TBC
06/07/2022	5:30 - 7:30 PM	TBC
05/10/2022	5:30 - 7:30 PM	TBC
07/12/2022	5:30 - 7:30 PM	TBC

9. CONFIDENTIALITY

To consider which items should be treated as confidential.

Schools Forum Membership List

Name		Sector	Organisation	Member / Sub Since	End of Term
Ms H Kacouris	G	P	St Andrew's Southgate	Autumn 2017	Autumn 2021
Mr J Ellis	G	P	George Spicer	Autumn 2019	Summer 2023
Mr T Hellings	G	P	Tottenham Infant	Spring 2020	Summer 2024
Ms C Davies	G	Sp	Russet House	Spring 2021	Autumn 2024
Mr J Donnelly	G	S	St Ignatius	Spring 2019	Summer 2023
Ms C Fay	H	PRU	Orchardside	Required	
Mr D Smart	G	P	De Bohun	Autumn 2019	Summer 2023
Ms N Husband	G	P	Firs Farm	Autumn 2019	Summer 2023
Ms K Baptiste	H	P	St Monica's	Autumn 2017	Autumn 2021
Ms T Day	H	S	Bishop Stopford's	Spring 2021	Autumn 2024
Ms M O'Keefe	H	S	St Ignatius	Spring 2021	Autumn 2024
Ms G Taylor	H	Sp	Russet House	Autumn 2020	Summer 2024
Ms H Thomas	H	A	Alma - Attigo	Autumn 2018	Summer 2022
Ms K Turnpenney	H	A	Wilbury - Children First	Spring 2021	Autumn 2024
Ms A Nicou	CFO	A	Enfield Learning Trust	Autumn 2019	Summer 2023
Ms Z Thompson	H	A	Oasis Hadley	Summer 2020	Summer 2024
Ms S Ellingham	CFO	A	Cuckoo Hall Academy Trust	Spring 2021	Autumn 2024
Mr M Lewis	CFO	A	Wren Academy	Spring 2021	Autumn 2024
Ms A Palmer		EY	Right Start Montessori	Autumn 2017	Summer 2021
Mr K Hintz		P16	CONEL	Autumn 2015	Summer 2019
Mr T Cuffaro		All	Union	Summer 2017	Spring 2024
Ms J Fear		All	Local Authority	By Appointment	
Ms A Johnson		All	Local Authority	By Appointment	
Cllr S Erbil		All	Chair of Overview & Scrutiny	By Appointment	
Cllr Uddin	O	All	Cabinet Member	By Appointment	
Ms S Mahesh	O	All	School Business Manager	Nominated	
Mr G Nicolini	O	All	EFSA	By Appointment	

Key

G – Governor
H – Headteacher
O - Observer
P – Primary
S – Secondary
Sp – Special
Ac – Academy
EY – Early Years
P16 – Post 16

MINUTES OF THE SCHOOLS FORUM MEETING
Held on Wednesday, 3 March 2021 12 May 2021 on Microsoft Teams

Schools' Members		
Governors:	<i>Mr J Ellis *</i>	Primary
	Mr T Hellings	Primary
	Ms H Kacouris	Primary
	Ms C Davies	Special
	Mr J Donnelly	Secondary
Headteachers	Ms T Day	Secondary
	<i>Ms K Baptiste *</i>	Primary
	Ms C Fay	Pupil Referral Unit
	Ms N Husband	Primary
	Ms M O'Keefe	Secondary
	Mr D Smart	Primary
	Ms G Taylor	Special
Academies:	Ms H Thomas (Chair)	
	Ms S Ellingham	
	Mr M Lewis	
	<i>Ms A Nicou *</i>	
	Ms Z Thompson	
	Ms K Turnpenney	
Non-School Members		
	Mr K Hintz	16-19 Partnership
	<i>Ms A Palmer *</i>	Early Years Provider
	Mr T Cuffaro	Teachers' Committee
	Mr A Johnson	Education Professional
	Ms J Fear	Head of Admissions
	Cllr S Erbil *	Overview & Scrutiny Committee
Observers		
	Cllr R Jewell *	Cabinet Member
	Ms S Mahesh Ms E Campbell *	School Business Manager
	Mr G Nicolini *	Education & Skills Funding Agency

Also present:

Mr P Nathan, Director of Education
 Mr N Goddard, Head of Budget Challenge
 Mrs L McNamara, Finance Manager
 Sangeeta Brown, Education Resources Manager
 Ms B Thurogood, Head of SEN
 Ms J Cordiner, Consultant
 Dr R Walker, Enfield Advisory Service for Autism
 Mr N Best, Head of Education Strategic Resourcing and Partnerships

Suzu Francis, Head of Educational Psychology
 Alice McLellan – Clerk

Clerk's Notes:

Ms Turnpenney left the meeting at 6.10pm
 Cllr Jewell left the meeting at 6.30pm
 Mr Donnelly left the meeting at 6.45pm
 Ms Fay left the meeting at 6.55pm
 Ms Campbell left the meeting at 7.00pm

* *italics denotes absence*

1. APOLOGIES FOR ABSENCE AND MEMBERSHIP

- (a) Apologies for absence had been received from Mr Ellis, Ms Baptiste, Ms Nicou, Mr Johnson and Cllr Jewell.

Noted the absence of Ms O'Keefe and Ms Palmer.

- (b) **NOTED** that pupil numbers from the January Census had been assessed and the maintained primary membership had to reduce by one. Once a vacancy becomes available, the maintained primary member would be replaced with an academy member.

RESOLVED that the Forum agreed for the proposed membership changes to take place when possible.

2. **DECLARATION OF INTEREST**

An opportunity was provided for Members to declare an interest whether pecuniary or otherwise regarding any of the items on the agenda. No declarations were made.

3. **ITEM FOR DECISION**

RESOLVED that;

- (a) Ms Thomas was elected Chair of Schools Forum for the current municipal year (2021/22).
(b) Ms Nicou was elected Vice Chair of Schools Forum for the current municipal year (2021/22).

NOTED that;

- (a) There was some confusion regarding the regulatory changes relating to Schools Forum meetings. The Forum meetings were able to continue virtually, but Council meetings had to be held face to face. This issue was being discussed with legal. The presumption was that the Forum could agree whether to hold meetings virtually or face to face.
(b) Ms Thomas was unable to take the Chair for this meeting.
The Forum agreed for Mr Donnelly to chair the meeting.

4. **MINUTES AND MATTERS ARISING FROM THE MINUTES**

RECEIVED and agreed the Minutes of the Meeting held on 3 March 2021.

NOTED that a meeting had been held to discuss the response to the consultation on high needs funding, and a response was submitted.

5. **ITEMS FOR DISCUSSION/DECISION**

- (a) Peter Nathan introduced the items for discussion.
(b) SEN Service and position updates on Education, Health & Care Plans (EHCPs), Calculator for Mainstream Schools, Speech & Language Hub, Nurture Groups and Additionally Resourced Provision and Specialist Units.

RECEIVED a presentation by Ms Barbara Thurogood.

REPORTED that the current Code of Practice was expected to be reviewed in the Summer. The potential change could include a new EHCP national template. Current information indicated that there were 60 written statements of action created from weaknesses within the service found during inspections of 117 Local Authorities (LAs).

Joint commissioning was difficult for many LAs with transitions from Children to Adult Services not being seamless. Recent information showed that there were vast differences in the support received by LAs from CAMHS Data showed Enfield receiving lower level of support compared to other local LAs.

There had been significant investment of SEN in Enfield. To support the increase, the Service had restructured and now was split into three teams: Primary/Secondary, Post 16 and Looked After Children (LAC) and Vulnerable Team. Future plans being considered were to retain the LAC and Vulnerable Team and to introduce a Statutory (EHCP) Assessment Team, Annual Review Team and Post-16 Team. School Place Planning was a multi-agency decision.

The Additional Resource Provision (ARPs) in mainstream schools had attracted some pupils with high level of complex / ASD needs. The Authority was looking at setting up discrete specialist units in mainstream schools for pupils with high level of complex / ASD needs. The proposal was for the mainstream school to be provided with outreach support from a special school. This proposal would alleviate pressure to create places in special schools by utilising space in mainstream schools. It was viewed that the new provision may positively affect fixed term exclusions rates and reduce cost of placing pupils in independent provision. The proposal would support the inclusion strategy and enable pupils to remain in a mainstream setting.

NOTED this proposal should lead to a reduction in out borough placements.

RESOLVED that the Forum agreed to progress with the proposal.

(c) Other Updates on High Needs Developments

(i) Special school Review

RECEIVED a presentation by Ms Julie Cordiner.

REPORTED that the DfE SEND review was expected this year. The aim of this local review was to understand how special schools used their funding to meet the needs of pupils at their schools and explore options for allocating top up funding. With the rapid rate of growth to support pupils with high needs, the review considered and define the provision available. The underline principles for any funding system was that it must be transparent and fair with a potential for the values to be updated. An average cost system in Enfield could continue because the individual schools had their own specialisms. An alternative option of banding system may focus on pupils' needs but was an administrative burden introducing and maintaining. The cost model provided in the report shows how a change in places can affect the costs incurred and may help to identify the most cost-effective size of the school and avoid extra pressure on schools and the high needs budget.

In response to **QUESTIONS** regarding:

- the variance or pay ranges of TLRs between 15-73% of the staff. It was stated that giving more allowances to staff must be justified, if staff were paid at higher rates then lower numbers of staff should be necessary. The associated responsibilities for TLRs must be clear as well as the structure and lines of management.
- using banding system it could be possible for children with similar needs to receive different funding as this related to how the school organises its provision rather than the individual needs of the school.
- the matrix system was a relative funding system. Banding focused on the needs per child which were not relative to other children's needs. Whether a mainstream or special school, there was always flexibility to accommodate exceptional requests.

(ii) Advisory Service for Autism Annual Report and Early Intervention to support pupils with autism.

RECEIVED a presentation from Dr Rachel Walker with reference to the Funding Bid document.

REPORTED that the Advisory Service for Autism (ASA) gave a substantial offer for parents and schools across the LA despite the pandemic. There was an online offer with virtual training and consultancy via telephone; the support was well received. There were however countless families with children with ASD that did not access the service. The service relied on schools approaching the service and seeking support. With increased funding, the service planned to be more proactive from September

2021. The service was working on engagement with settings and increasing the Early Years and Post 16 offers as part of their funded support across the borough. A focus was to help at transition points. Monitoring the impact of the service would involve working with AET tools, progression framework, and competencies for staff. Changes to the staffing structure for September were planned with the addition of new roles and increasing the range of expertise for other roles. The planned multi-disciplinary team would include a speech and language therapist and an educational psychologist.

(iii) New place provision

RECEIVED a presentation by Mr Neil Best.

REPORTED that there had been a continuing decline in pupil numbers in recent years. Formal consultation had begun on reducing the planned admission numbers for some schools to try and address the problem. The picture was similar for both primary and secondary with the recent addition of One Degree Academy and Wren having a further impact.

In response to a **QUESTION**, formal consultation had taken place in four schools, there may be other schools with lower pupil numbers. Across London there was a 7% reduction in pupil numbers; the reduction was larger than this in Enfield.

There had been an increase in number of pupils with EHCPs who required high level of support. The possibility of utilising the spaces in mainstream schools for SEN provision was being considered. For September 2021, 190 new SEN places were planned. The strategy was to increase ARP and Satellite Provision.

Separately, the Inclusion Charter was being developed to support inclusion and CYP remaining in mainstream where possible. As the Forum was aware the strategy being pursued was early intervention which aimed to enable children and young people to remain within their local communities. As highlighted earlier in the meeting, a new strand to support this strategy was to develop at least four special units for CYP with high complex needs across the borough within mainstream schools. It was considered this would be in the best interest of CYP.

A speech and language hub was agreed and recruitment process had begun. The hub would support schools to become communication friendly and help CYP to make early progress. Work was taking place to look at how provision can be effectively increased by identifying and reviewing current sites.

In response to **QUESTIONS** regarding:

- Chesterfield Primary was part of ELT and two onsite ARPs were being considered.
- Alternative Provision (AP) currently available in Enfield and whether other models, such as respite placements or partnership agreements when planning expansions could be explored and so avoid permanent exclusions. It was stated that AP was provided in a number of ways and there was some good work being done in this area. It was required further information on how many Enfield's CYP were being supported in AP, reasons for being AP and the associated costs.

Agreed the LA would discuss with secondary Headteacher and other partner to review the current provisions.

ACTION: MR NATHAN & MRS BROWN

(d) New Developments

(i) Early Years Communication and Language Programme

RECEIVED a presentation and report from Ms Christiana Kromidias.

REPORTED it was planned for the I CAN programme to be introduced across the borough in September 2022. Early Talk Boost (ETB) was an I CAN intervention aimed at 3-4-year olds with delayed language and supported children's progress in language and communication. The aim was for 100% of the workforce to be upskilled and trained to provide the intervention. The training involved three modules. It was noted that the programme would not replace speech and language interventions. Children were selected for ETB and sessions were linked to the new Development Matters. The training programme worked in collaboration with parents to support communication.

In response to a **QUESTION**, when EYFS progress data was received from schools, children were tracked back to the settings they came from to identify low attainment.

(ii) Social, Emotional and Mental Health / Trauma Informed Practice in Schools.

RECEIVED a presentation and report from Ms Suzy Francis.

REPORTED in September 2020 Trauma Informed Practice (TIPs) was introduced to partnerships and some schools. TIPs taught CYP to learn to regulate their emotions and for adults to support children to get better outcomes. The approach was to support every action that was taken, and the aim was for all members of staff to be trained. The partnership model had focused on how services could work together consistently. Services that helped with social, emotional and mental health have already been introduced into schools and a steering group had been formed. The programme had been well received in other Boroughs. The aim was for the programme to be rolled out over several years in a sustained way, starting with 10-15 schools. 7 Schools had expressed an interest so far and training would begin in June for three schools. The annual cost of £92,006 would provide the project, leadership and support.

In response to **QUESTIONS**:

- there was a lot of evidence that TIPs had a significant impact. It was noted that the project would increase spending, but this should lead to savings in the longer term.
- regarding fixed term exclusions across the Borough; it was stated that the project would aim to change the culture and ethos in schools, and team members will be upskilled to help reduce the number of exclusions.

RESOLVED that the Forum agreed to support to fund the project from the high needs block and noted this would add to projected overspend.

(e) General Discussion

NOTED that the Forum had received several presentations on supporting high needs. Forum members were invited to comment on the information provided and identify any other areas that could be considered to support the rising demand for SEN support.

There were many projects planned for Autumn 2021 including new buildings and initiatives. There will be opportunities for open discussion and debate about progressing projects during the year with the Forum, SEND Partnership Board and Parent Voice.

6. WORKPLAN

RECEIVED and **NOTED** the workplan.

7. ANY OTHER BUSINESS

No matters were raised.

8. FUTURE MEETINGS

The final meeting of the Forum for the current academic year would be held on 14 July 2021 at 5:30pm. This meeting would be held virtually.

9. CONFIDENTIALITY

No item discussed within this agenda was felt to be confidential.

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London Borough of Enfield

Schools Forum

Meeting Date 14 July 2021

Subject: DSG Budget Outturn Report 2020/21
Cabinet Member: Cllr Uddin**Report Number: 8****Item: 4a**

Purpose of Report

This report provides details of the DSG outturn position for 2020/21.

Proposal

To note the contents of the report and the DSG cumulative deficit position for 31 March 2021.

Relevance to the Council's Council Plan

The Dedicated Schools Grant (DSG) is a ringfenced grant which funds schools and some central education functions. Updates on the DSG position are provided on a quarterly basis to EMT and Cabinet as part of the council's overall financial monitoring reports.

Main Considerations for ERG and Schools Forum

1. Cumulative DSG Deficit Position

Table 1 sets out the cumulative DSG deficit position as at 31 March 2020 which was the position b/f into 2020/21.

Table 1 – Accumulated DSG Carry Forward 2019/20

		£'000s
Balance brought forward 1 April 2019		0.412
Net Overspend 2019/20		(4.894)
Cumulative Deficit Balance 31 March 2020		(4.482)
Outstanding Adjustments 2019/20		0.110
Net 2019/20 Carry Forward		(4.372)

2. DSG Allocation 2020/21

The original estimate of gross DSG resources for 2020/21 amounted to £351.258m. Of this amount £1.704m would be provided direct by the Education and Skills Funding Agency (ESFA) to fund places in mainstream academy units and academy special schools. Budget allocations for 2020/21 were agreed within this level of resources.

Periodically across the financial year, revised DSG allocations for 2020/21 were published. These allocations reflected updated academy recoupment for the Schools and High Needs Blocks and the latest import/export position. The final DSG position for 2020/21 is summarised in Table 2.

Table 2 – DSG Allocation 2020/21

DSG Summary 2020/21	ORIG 2020/21	Academy Recoup	Import/Export Adj 20/21	Early Years Adj 20/210	FINAL 2020/21
	£000	£000	£000	£000	£000
SCHOOLS BLOCK	267.872				267.872
CENTRAL SERVICES	2.678				2.678
EARLY YEARS BLOCK	25.803			0.449	26.252
HIGH NEEDS BLOCK	54.905		(0.108)		54.797
GROSS DSG	351.258		(0.108)	0.449	351.599
Direct ESFA Funding		(136.558)			(136.558)
Direct ESFA Funding	(1.704)	(0.290)			(1.995)
NET TOTAL DSG	349.554	(136.848)	(0.108)	0.449	213.047

3. DSG Outturn 2020/21

The DSG budget is monitored on a monthly basis and any variances have been shared with DMT prior to being shared with this group and Schools Forum. Table 3 below shows the monitoring position as at 31 March 2021, summarised by block.

Table 3 – DSG Monitor 2020/21 as at 31/01/2021

Block	Deficit b/f	In Year Variance	Position 31/3/21	Adj due in 21/22	Adj Outturn Position
Schools	0	-52	-52	-450	-502
Cent Services	0	-24	-24		-24
Early Years	0	-1,754	-1,754	1,400	-353
High Needs	4,482	5,397	9,878		9,878
TOTAL	4,482	3,567	8,049	950	8,999

A full breakdown of the outturn variances is detailed in the Appendix at the end of the report.

The DSG overspend for 2020/21 has increased by £157k between December 2020 (Quarter 3) and the final outturn position which is mainly due to an increase in the cost of outborough placements, increased costs for Post16 SEN pupils and the impact of the spring term adjustment for exceptional needs pupils in mainstream schools. These increases have been offset by underspends on the other blocks, in particular a significant underspend in the early years block due to a reduction in pupil numbers.

The cumulative net deficit at year end is £8.049m and this will be the first call on the 2021/22 grant allocation and therefore reduce the funding available for next year's allocation. We are, however, expecting adjustments in 2021/22 in relation to 2020/21 and this will increase the deficit to £8.999m. The Schools Block Adj relates to a repayment from a primary school of funds received in advance as they have now moved onto the rolling credit agreement. The Early Years Block Adj relates to a recovery of funding due to an in year reduction in pupil numbers but, as this is largely as a result of the pandemic, the DfE have not confirmed the amount to be clawed back at this stage and it may be lower than the amount stated.

4. Conclusions

The DSG budget remains under considerable pressure due to ongoing high needs overspends. As part of an ongoing programme, additional in borough places have been made available from September 2020 and January 2021, providing the most cost effective way of meeting pupil needs. A High Needs working group is looking at other ways of using high needs funding in the most effective way to reduce the overspend over time and bring expenditure back within budget.

The authority's ongoing and increasing DSG deficit position is a general London and national issue resulting from additional demand for high needs provision which is increasing at a higher rate than the additional funding being provided by Government. The Department for Education are carrying out a review of SEND and it is hoped that the outcome of this will address the shortfall in high needs funding

Updates on the monitoring position for the 2021/22 Financial Year will be provided at future meetings.

Report Author: Louise McNamara
Finance Manager – Schools and Education
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0208 132 1272

Date of report June 2021

Appendices

None

Background Papers

DSG Updates to ERG/Schools Forum during Summer term 2020/21.

Appendix – Detailed DSG Outturn Analysis 2020/21

Education - DSG		Q3	Q3 by Block	Outturn	Total by Block	Variance Q3 to Outturn	
DSG Deficit b/f 01/04/2020	4,482	4,482	4,482	4,482	4,482		
Schools Block							
- Growth Fund		0		(245)		(245)	
Southbury		0		180		180	
Misc - Rates etc		0	0	13	(52)	13	(52)
Central Services Block							
- Appeals Service		(41)		(46)		(5)	
Licences		0	(41)	22	(24)	22	17
Early Years Block							
- Backdated Funding Adj 19/20		(258)		(258)		(0)	
- Salaries underspend		(103)		(65)		39	
Early Years Pupil Premium		0		(30)		(30)	
Provider Allocations		0	(361)	(1,400)	(1,754)	(1,400)	(1,392)
High Needs Block							
- Variance from initial 20/21 budget		2,851		2,851		0	
In Year Adj to HNB Alloc		0		394		394	
- Outborough Placements		(175)		110		285	
Unplaced Pupils		0		(219)		(219)	
- Speech & Language/ Other Therapies		155		223		68	
- BSS Primary		(34)		(63)		(29)	
- BSS Secondary		0		(34)		(34)	
- Parenting Support		12		0		(12)	
- Education Psychology		100		100		0	
- Exceptional Needs		630		804		174	
Special Schools		0		80		80	
- Post 16 High Needs		176		865		690	
Out of School Activities		0		10		10	
- SEN Salaries		98	3,812	136	5,257	39	
LAC Allocated to Schls		0		140	140	140	1,585
Education - DSG TOTAL 20/21		3,410	3,410	3,567	3,567	157	157
Cumulative DSG TOTAL 20/21		7,892	7,892	8,049	8,049		

London Borough of Enfield

Schools Forum
Education Resources Group

Meeting Date 14th July 2021
Meeting Date 22nd June 2021

Subject: SCHOOL FUNDING ARRANGEMENTS 2022/23
Cabinet Member: Cllr Uddin
Report Number: 10 **Item Number: 4c**

PURPOSE OF REPORT

1. This report provides:
 - An update on implementation for areas reviewed during 2020/21;
 - Details the areas of the Dedicated Schools Grant identified for review to inform the funding arrangements for 2022/23.

RECOMMENDATIONS

2. The Schools Forum are asked to note and comment on the updates, proposals and recommendations detailed in paragraph 4.

INTRODUCTION

3. Nationally, for 2022/23, officers have been advised by the DfE that there are unlikely to be significant changes to the current funding arrangements. The earliest the mainstream national funding formula could be move to a hard formula or any outcomes from the two consultations on the SEND Reforms and Call for Evidence be addressed is 2023/24.

As in previous years, officers have been assessing the local arrangements to inform a programme of review. This assessment has included the funding arrangements in place, comments from the prior year's funding consultation and requests to review specific areas by the Schools Forum. The aim of the review programme is to inform the funding arrangements for 2022/23 and subsequent years.

AREAS OF REVIEW

4. This section provides an update on areas reviewed during 2020/21, overview of the areas identified for review and, where available, an update on progress on areas where some work has been done.

4.1 Schools Block: Mainstream Schools

(a) Schools with High Number of EHCPs

Mainstream schools are funded from the Schools block using the National Funding Formula (NFF). The NFF aims to provide:

- basic per pupil costs of approximately £4,000 per pupil (described as Element 1)
- additional educational needs (AEN) and SEND costs of up to £6,000 per pupil (described as Element 2).

The LA from the High Needs Block (HNB) then meets any costs above £6,000 identified on the Education, Health & Care Plan (EHCP) (described as Element 3).

CURRENT ARRANGEMENTS

Locally, the funding arrangements outlined above were not implemented because the Government was still providing annual increases to the DSG and also there was sufficient local flexibility to decide the allocation of the DSG to meet local needs.

The Government then introduced new restriction on the use of the DSG, which included restrictions on moving funds between blocks within the DSG. However, the regulations allowed local authorities to transfer 0.5% of the Schools Block funding to another block. Following this change, it was agreed to transfer funding from the Schools Block to the High Needs block to fund additional £6,000 per pupil (Element 2) to schools with above average number of pupils with EHCPs. This was because schools had stated that the delegated budget did not fully fund this aspect of the funding for pupils with EHCPs.

For 2021/22, following consultation with schools and approval by Schools Forum, 0.5% (£1.367m) was transferred from the Schools Block to the HNB. The funding allocated to schools for the first £6k was limited to the total amount of the transfer. This resulted in the allocations being based on the number of £6000s that could be afforded from the money transferred rather than the Enfield average of the number of pupils with EHCPs. On this basis, 226 x £6ks could be funded, which resulted in an expected school average of 36.75. Funding was allocated to schools for the number of pupils with EHCPs where a school had above a 1/36.75 calculation.

CONSIDERATIONS FOR 2022/23

The Government has stated that they will be publishing the outcomes from the consultations on the SEND Reforms and Call for Evidence in the Summer term. Officers in meetings with the DfE have been advised after the publication of the outcomes that at least two funding consultations will be carried out over the course of the next year to inform the funding arrangements for 2023/24, but no changes to the current funding arrangements were planned for 2022/23. So, this will mean the 0.5% transfer should be allowed but full information is not available as to whether any exemptions to the calculations will be introduced.

The regulations require annual approval for any transfer of funds from the Schools block.

It is suggested that the current arrangements for the 0.5% continue for 2022/23. The rationale for suggesting this is because it is hoped the outcomes from the two SEND consultations will result in a change for 2023/24 that addresses the pressure created by the current requirement for schools to fund Element 2 (£6,000) from within their delegated budget. It would also act as evidence of how this element has been and is being managed by schools with high number of pupils with EHCPs.

4.2 High Needs Block: Mainstream Schools

(a) Mainstream Calculator for Pupils with EHCPs

BACKGROUND

The HNB in Enfield and nationally is overspent, despite this, Enfield, like other local authorities, has a responsibility to ensure that appropriate funding is in place to support those with an EHCP and for schools to be able to use this to deliver what is set out in Section F of the SEND Code of Practice, whilst considering the impact on public funds.

Since the introduction of the School Funding Reforms, top up funding (Element 3) provided to mainstream schools for pupils with EHCPs, has not been reviewed. Following requests from mainstream schools and in consultation with the Schools Forum, it was agreed an alternative methodology to an hourly rate would be developed. It was determined that developing a system to allocate funding based on the actual costs for an individual child or young person (CYP) would be a more equitable method and allow for greater transparency, as well as being an effective use of the HNB. Rather than procure expensive generic commercial banding tools & platforms, officers considered an alternative, which would be personal to Enfield as a borough would be a better solution. SEN Services and other lead

professionals have worked together and developed a local calculator that reflects actual costs and also enables adjustments to reflect any changes to be made, such as hourly pay rates. Therefore, the resulting tool is tailored for use by our borough.

As agreed with the Schools Forum and other consultative groups, an illustrative template was devised. The template costed direct & specific interventions that will be used alongside SEN strategies, whereby regular TA intervention is required. The template was trialled on some existing EHCPs where funding using the old methodology had already been allocated. The illustrative template was reviewed by the Education Resources Group. It was agreed that SEN Services would undertake a pilot of the developed Funding Calculator for a three month period with schools, families and parent representatives having the opportunity to feedback on the impact of the Funding Calculator on the delivery of the plan.

The pilot period was set from 15 March to 15 June 2021 and formal consultation was scheduled to begin from 10th May 2021 to feedback to Schools Forum and the Education Resources Group with findings and adaptations with a view to rolling it out from 1 September 2021. The following schools agreed to take part in the pilot:

- Prince of Wales Primary School
- George Spicer Primary School
- St Ignatius College
- Capel Manor Primary School
- Moonlight Nursery

FINDINGS

Over the three month pilot, there have been 7 new EHCPs issued for pupils attending the pilot schools. These pupils all attended a primary school. It is the view of officers that 7 pupils (0.2% of Enfield pupils with EHCPs) does not constitute sufficient or reliable data, nor does it account for any trial on secondary aged pupils. However, of these 7, there has been no adverse feedback, formally or informally.

A further benefit in conducting the pilot has been that it highlighted gaps in the specification and quantification of provision. This finding has enabled SEN Services to approach advice givers to seek clarity and thus improved and supported the quality development of both EHCPs and professional advice.

CONSIDERATIONS FOR 2022/23

Due to the limited data from the pilot and to ensure that the new methodology is fit for purpose, it is proposed that the pilot be extended to include pupils with a new EHCPs attending any Enfield secondary school with immediate effect. This will then followed by extending the pilot from September 2021 to include pupils with a new EHCPs in primary schools.

During October and November 2021, officers will carry out consultations of the extended pilot and a final review will be carried out in January 2022. The outcomes from the review will be shared, for comment, with the Schools Forum and other consultative groups. Following feedback from the Schools Forum and any other consultative groups, any necessary adaptations will be carried out. The phased introduction of the new methodology will be introduced from May 2022.

(b) Nurture Groups

BACKGROUND

A review of Nurture Groups commissioning was undertaken in consultation with relevant parties. It was agreed that all current full time Nurture Groups be decommissioned and new Nurture Groups would be commissioned on a part time basis (50%) for pupils in Key Stage. The new groups would be commissioned for a three-year period using a revised criteria. The revised criteria included using Key Stage 1 free school meals data to identify schools eligible to host a Nurture Group. The overall funding available for Nurture Groups enabled up to 27 schools to be commissioned and also a centrally funded Nurture Group outreach programme to be developed to support any schools who did not meet the eligibility criteria.

FINDINGS

Eligible schools were invited to bid, but uptake was lower than had been expected, with only 16 schools bidding for a group. An investigation was carried out to ascertain why schools had declined to bid, and the main outcomes were:

- Insufficient funding to run a group for 50% of the week;
- Difficulties recruiting part time staff;
- Difficulties in managing a three year commissioning period;
- Some schools were unsure of benefits and / or did not understand the impact that Nurture Group could have for individual pupils;
- Unclear about the support that would be offered to schools to develop and host a Nurture Group;
- Impact of the pandemic in terms of time and capacity.

Officers' view is that some of the findings could be addressed by providing training and support and or additional funding. Other findings, such as the impact of the pandemic and commissioning the provision for a set period of time, it may not be possible to address.

CONSIDERATIONS FOR 2022/23

The low take up has resulted in not all the funding being allocated and as a result the aim of extending the provision of Nurture Groups to more pupils cannot be met. It is important as part of the early intervention strategy that more schools are encouraged either to host Nurture Groups or embed Nurture Group practice within their school.

Officers have considered a number of options and these include:

1. To work with the 16 schools commissioned to host Nurture Groups and other eligible schools in order to support and encourage more schools to host a Nurture Group;
2. To work with the 16 schools commissioned to host a Nurture Group and provide outreach and support to other schools and transfer any unallocated funding back into the High Needs Block. This option does mean the growth of the project initially envisaged will not be realised.
3. To increase the funding provided to the commissioned Nurture Groups. However, this won't realise the growth envisaged as part of this project.
4. Finally, consider a mix of the first and third option.

These options were discussed with the Education Resources Group. The Group's view was that:

- Option 1 should be pursued to encourage those schools eligible to host a Nurture Group by developing the Outreach provision to support and, where necessary, provide training;
- The initial premise for the funding provided for hosting Nurture Group was not intended to cover all the costs because of the support and benefits it provided to the children and the school as a whole. Officers should raise awareness of Nurture Groups practice and benefits;

- The length of the SLA and funding be assessed.

The Forum are asked to note and comment on the options and feedback from the Education Resources Group.

(c) Special Units

BACKGROUND

The demand for supporting pupils with autism and speech, language & communication needs continues to rise. Recent data highlighted that there were:

- 236 children in Early Years with an EHCP;
- 1386 children in Primary Schools with an EHCP.
- 1,278 (36.78%) pupils with Speech, Language and Communication Difficulties and 891 (25.64%) with Autism.

As part of its Inclusion Strategy, the Authority has begun increasing Additional Resourced Provision (ARP) to support the integration of pupils into mainstream settings to enable them to grow and develop alongside their peers.

As reported to the Schools Forum in March 2021, a new development to support the Inclusion Strategy has been to begin work on setting up Special Units in mainstream schools and meet the demand to support pupils with more complex needs. The Special Units will support developing the pupil's learning skills and some of the benefits will include:

- Peer to peer learning;
- Promoting acceptance;
- Developing socialisation and play skills;
- Increasing inclusion in future environments;
- Developing life-long friendships and community cohesion;
- Respect for others;
- Acceptance and the ability to understand and see difference;
- Alleviating pressure for special school places.

The Special Units will enable the pupils to have access to a mainstream school and yet be supported for their learning in a smaller environment. The requirements for Special Units mean pupils do not have to spend 50% of their time in mainstream settings as is the normal requirement for a pupil in an ARP.

The benefits for the Local Authority are:

- Fulfil the Inclusion agenda;
- Fulfil the SEND CoP on meeting the needs of the local offer;
- Saving on travel assistance (currently reaching over 8m£);
- Reduce the need to develop a special school and creation on more places;
- Reduce reliance on out of borough school provision;
- Support schools seeing falling number of pupils on roll.

The Authority has also discussed this development with the SEND Board and the DfE Advisor for Enfield and they have also confirmed their agreement in principle.

UPDATE - 2021/22

The Authority have begun discussions with De Bohun and Oaktree Schools to work in partnership to develop a special unit. The partnership between the two schools will require De Bohun to be supported by Oaktree. Oaktree will provide support such as sharing resources including speech and language and OT from the funding provided by the Authority for delivering outreach services.

The Funding model for Special Units is being based on the place plus approach used for ARPs. The requirements and funding model for the Unit are that they will:

- Provide provision for an agreed number of pupils named by the Authority;
- Be funded in line with national framework which requires funding split into the three elements described earlier in this document.
 - Element 1 – £4,000 AWPU (part of school's delegated budget)
 - Element 2 – £6,000 place funding (from HNB)
 - Element 3 – £7,990 top up (from HNB)

If the pupil is:

- on the School roll, then £6,000 place funding and £7,990 top up will be provided.
- not on the School roll and the place is vacant , then £10,000 is provided.

Both schools will provide feedback to the Authority on progress, challenges and successes.

CONSIDERATION FROM 2022/23

A number of other schools have shown an interest in hosting a Special Unit. Officers have arranged to meet with these schools to discuss the requirements for a Special Unit. The meetings will be supported by De Bohun and Oaktree schools.

If the feedback from the development with De Bohun and Oaktree is positive and the interest from schools to host a Special Unit continues, then the Authority's aim is to develop Special Units across the borough and reduce the need to develop new special school places. This development would strategically need to be in geographical locations across the borough so that all CYP have the opportunity to attend. Furthermore, it is important that the provision is available across all the school year groups. This will require officers working with secondary schools to secure secondary special unit(s) so that there is a clear-pathway for pupils.

Separately, and as discussed later in this paper, consideration will need to be given as to how this provision and future commissioning of outreach services and funding currently provided to special schools is developed and managed.

4.3 High Needs Block: Special Schools and Pupil Referral Unit

(d) Place Funding – Special Schools and PRU

BACKGROUND

Enfield has six special schools and a pupil referral unit. In 2013, an average cost model was introduced to calculate funding per place at each school and the pupil referral unit. For each school, the place funding calculation was derived by dividing the total funding delegated to the school by number of pupils on roll. This has resulted in each having their own unique average cost per place. The average costs calculated in 2013 have not changed. The special schools have sought a review of their place funding. In consultation with the Schools Forum, it was agreed that a review of special school place funding would be carried out during 2021/22.

An independent Consultant was commissioned to carry out an initial review of the place funding arrangements and the financial position of each special school. At the last meeting of the Schools Forum, the findings from this review were presented. The findings highlighted considerable inconsistencies in how each school used the resources provided from the HNB. Therefore, it was considered unreasonable to either confirm the appropriateness of the current place funding or inform a change without a detailed assessment of the types of needs being supported at each school and whether this reflected the variability in the use of resources.

CONSIDERATIONS FOR 2022/23

Another independent Consultant has been engaged to test the findings against an appraisal of the pupils in each school and their needs. Following this appraisal, a funding model will be developed.

The Consultant will be carrying out this work over the summer. Initial feedback and options will be provided to the Schools Forum in the Autumn term with a view to consult on any options to inform the funding arrangements in the Autumn term.

(e) Outreach

BACKGROUND

The aim of the outreach provision is for special schools to use their expertise to provide support to mainstream settings in a variety of ways, from advice on strategic issues such as SEN policies and inclusion, to working with individual teachers and pupils to ensure appropriate and effective provision is being made.

The review carried out by the special school place funding found that three schools provided an outreach offer in return for a flat rate of £112,000 and for one the funding was included in the funding provided to the Enfield Advisory Service for Autism (EASA). The schools provide services to mainstream schools using the funding to cover portions of staff salaries and other costs.

The review also highlighted that the funding was not ring fenced solely to outreach, so possibly being treated as delegated funding. This was due to the Authority not monitoring the use of this funding and schools being allowed to retain any unspent allocations.

CONSIDERATIONS FOR 2022/23

The options drawn out by the review included:

- (i) Include a notional number of places in the top up funding arrangements, treating it as delegated funding. The number of funded outreach places would need to provide sufficient funding for a small school to offer the service with no detriment to its core provision. The LA would not be able to set conditions for the use of the money under this option.
It is the view of the Authority that this is not too far from the current arrangements and will maintain the current lack of transparency on how this funding was being used;
- (ii) Keep the outreach funding as a separate lump sum (the current system). With this option, the funding would have to be classified as devolved funding and ring fenced for a particular purpose if required. Ring fencing would require reporting and monitoring. This option will have resources implications for special schools, mainstream schools being supported, and the Authority;
- (iii) Mainstream schools commission outreach support from special schools or other providers, either from existing budget shares or from additional funding allocations. The drawback to this arrangement is that at times of budget pressure, schools may not see it as a priority. This option will have resources implications for special schools and the mainstream schools commissioning the support;
- (iv) To cease the funding for the outreach service.

It is the Authority's view that the three schools currently funded to provide an outreach service are advised that the funding will cease at the end of the next academic year (2021/22).

During the 2021/22 academic year, the Authority will review and consider with schools and key partners the purpose of an outreach service and then develop the criteria and monitoring arrangements for any future outreach service to be commissioned.

The outreach funding used for EASA will continue as there are separate monitoring arrangements in place for this provision.

The feedback from Education Resources Group was that the funding should be linked to identifiable projects / activities with agreed outcomes. Furthermore, it was requested that officers should initially meet with special school headteachers and the review engages and consults key stakeholders.

The Forum are asked to note and comment on the proposal and the feedback from the Education Resources Group.

4.5 High Needs Block: Alternative Provision

Alternative Provision

BACKGROUND

The Schools Forum at the March 2021 meeting highlighted that Alternative Provision be considered as an area of review.

CONSIDERATIONS FOR 2022/23

As this is an area recently identified for review, further information and discussion is required to fully understand the current provision and identify any gaps or unmet demand.

It was proposed that a sub-group of key stakeholders be set up to consider the current provision. Initial requests for volunteers for the sub group has resulted in Celeste Fay, Headteacher Orchardside, Gail Weir, Headteacher Waverley and Mervin Cato, Head of Secondary Behaviour Support. The sub group will be chaired by Peter Nathan.

The sub group will assess the current provision and consider areas for further development.

To ensure that there is full representation, the secondary headteachers on the Education Resources Group was asked to put forward a nomination from a secondary school.

4.6 Early Years Block: Inclusion Fund

BACKGROUND

In 2017, the Inclusion Fund was introduced to support pupils and enable local authorities to work with providers to address the needs of individual children with SEND. The use of the inclusion fund locally was split between individual providers being able to access targeted resources to support pupils with SEND and centrally commissioned specialist provision to support all providers. The targeted resources are administered through an Inclusion Panel consisting of officers, with representation from headteachers, settings, and other professionals as required. Specialist support is commissioned from Educational Psychology and the Early Years Inclusion Team (provided in the form of Area SENCOs).

CONSIDERATIONS FOR 2022/23

There have been some changes to the regulations governing the Inclusion Fund in relation to using the Fund to commission professionals to deliver a service. Below is an extract from the guidance on the Inclusion Fund:

Local authorities are required to have SEN Inclusion Funds for all three and four-year olds with special educational needs (SEN) who are taking up the free entitlements, regardless of the number of hours taken. These funds are intended to support local authorities to work with providers to address the needs of individual children with SEN.

Local authorities should target SENIFs at children with lower level or emerging SEN. Children with more complex needs and those in receipt of an education, health and care plan (EHCP) continue to be eligible to receive funding via the high needs block of the DSG..

As with other elements of early years funding, SENIFs should apply to children attending settings in the relevant local authority area, regardless of where they live.

Value

The value of the fund should take into account the number of children with SEN in the local area, their level of need, and the overall capacity of the local childcare market to support these children. Local authorities must consult with early years providers to set the value of their local SENIF.

Allocation of funding

Local authorities should pass the majority of their SEN inclusion fund to providers in the form of 'top up grants' on a case-by-case basis.

As part of the preparation and review of their 'local offer', local authorities must consult with early years providers, parents and SEN specialists on how the SEN inclusion fund will be allocated. Under this 'local offer', local authorities should publish details on how their SENIF will be used to support their early years SEN cohort. These details should include the eligibility criteria for the fund, the planned value of the fund at the start of the year, and the process for allocating the fund to providers.

Officers are currently assessing the regulations and developing options to present to the Schools Forum in the Autumn term with a view to consult on any options to inform the funding arrangements in the Autumn term.

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London Borough of Enfield

Schools Forum
Education Resources Group

Meeting Date 14 July 2021
Meeting Date 22 June 2021

Subject: De-Delegated Services for Maintained Schools for 2021/22 and 2022/23

Cabinet Member: Cllr Uddin

Report Number: 11

Item Number: No 4d

PURPOSE OF REPORT

1. This report provides an update on:
 - The central services where funding was to be de-delegated for 2021/22 as agreed by the maintained schools representatives on the Forum;
 - The central services available for de-delegation for 2022/23.

RECOMMENDATIONS

2. The maintained schools' representatives on the Schools Forum are asked to:
 - (a) For 2021/22, consider and confirm how the shortfall in the provision of long service awards should be addressed;
 - (b) Note and comment on the central services available for de-delegation for 2022/23.

BACKGROUND AND INTRODUCTION

3. The regulations enable local authorities to seek approval for money to be de-delegated from maintained schools to provide general duties that were previously funded from the Education Support Grant. The approval for de-delegation is required on an annual basis. De-delegated funds are a deduction from maintained schools' budget shares, after calculation of Schools Block allocations. It should be noted that academies are not included in this process and may buy back these services from the Local Authority from their allocated budget share.

CURRENT POSITION

4. The process for this financial year began at this time last year and included discussions and presentation of impact analysis to the Education Resources Group and the Schools Forum. Each sector discussed separately the services available for de-delegation. For 2021/22, the services for de-delegation which were finally signed off by the two sectors were as follows:

Service	Primary	Secondary
Licenses & Subs – CLEAPPS	Yes	Yes
General Data Protection Regulation	Yes	Yes
Free School Meals Eligibility	Yes	Yes
Union Duties	Yes	Yes
NQT Recruitment Support & Applicant Tracking System	To August 21	Yes
School Improvement Service	To August 21	Yes
Support for Schools in Difficulties	To August 21	Yes
Long Service Awards	To August 21	Yes

Updates from Services 2021/22

- (a) **Union duties:**

In line with the conditions agreed as part of the de-delegation process, Union representatives have met with the headteacher groups and are developing an SLA for this service.

(b) General Data Protection Regulation:

The Forum is advised that a new permanent Data Protection Officer (DPO) has started and will be joined by a Deputy DPO. The new DPO brings extensive school experience and knowledge. The DPO will continue to:

- inform and advise schools and its staff about its obligations to comply with the UK GDPR and other data protection laws
- monitor compliance with the UK GDPR and other data protection laws, and with the schools data protection policies. This includes:
 - raising awareness of data protection issues
 - training staff
 - advise on, and to monitor, data protection impact assessments
 - be the first point of contact for the ICO and for individuals whose data is processed (staff, parents, children etc).

(c) Long Service Awards:

The awards are issued during the financial year after the member of staff has achieved 25 years of service. The Service has advised that the £2,300 de-delegated will not be sufficient to meet the cost of paying the long service award if the same number (30) as in previous years are eligible for an award. The current provision will only fund half this number.

The Service continues to be contacted by staff from schools to seek an update on when they will be eligible for a long service award.

The Service has highlighted that removal of de-delegation will create an administrative burden for both the Council and school staff. Currently, schools are only charged for the actual amount provided to their member of staff and not the costs associated with administration and management of the awards.

As with all de-delegated services, the initial funding was held by the Council to pay for these types of services, but with the changes to the funding regulations, the funding was taken from the Council and delegated to schools. The Council's view is that removal of long service awards is not viable because it will create an inequity between staff working for the Council and schools.

The options which are available are:

- To reinstate de-delegation, which will retain equity between staff working for the Council and schools and also reduce the administrative burden.
- To amend the Scheme for Financing for 2022/23 so the Council can charge the cost of the awards through the advances. This will continue to be a burden on Council and school staff. It will also continue to create friction where schools question paying for a member of staff who has just moved to the school.

The Education Resources Group were asked to provide their views on how to manage the shortfall for the current year and consider arrangements for next year. The primary members advised they would seek the views of primary headteachers and secondary headteachers confirmed that they had supported the continuation of long service award.

FOR CONSIDERATION FOR 2022/23

5. The services for which de-delegation is being sought are listed below and this information was shared with Education Resources Group.

Table 2: De-delegated Services

Areas of Funding	2021/22 De-delegated Budget
	£
Licenses & Subs – CLEAPPS	4,012
Free School Meals Eligibility	28,890
NQT Recruitment Support & Applicant Tracking System	8,566
Union Duties	79,243
School Improvement Service	183,271
Support for Schools in Difficulties	66,156
General Data Protection Regulation	77,739
Long Service Awards	2,302
Total	450,179

The Education Resources Group was advised of the timeline for approving de-delegated services for 2022/23. The timeline requires initial views of the Group in the early part of the Autumn term with final approval by the maintained schools representatives on the Forum at the December meeting of the Forum.

The sector representatives confirmed that they would share the information with their sector to seek the views of the headteachers in their sector.

Recommendation

6. There are two issues for the maintained schools' representatives on the Forum to consider and advise on how to progress:
 1. How should the shortfall for the current year (2021/22) be met;
 2. The options available for the coming year (2022/23).

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Dear Headteacher, Chair of Governors and Chair of Finance/Resources

All Headteachers
All Chairs of Governors
All Chairs of Finance/Resources

Please reply to: Gemma Young

E-mail: gemma.young@enfield.gov.uk

Phone: 07900 168938

Textphone:

Fax:

My Ref:

Your Ref:

Date: June 2021

2020/21 Annual School Audit Report

As part of the 2020/21 Internal Audit Plan approved by the Council's General Purposes Committee, Internal Audit carried out reviews in nine schools across the borough, six of which were full scope governance and financial reviews. Of the remaining three, two were targeted procurement audits and one was a grant certification. Due to the impact of the Covid-19 restrictions, this is a relatively lower number of reviews when compared to previous years.

Our work involved carrying out targeted internal audit testing to assess the adequacy and effectiveness of financial management within each school visited.

We examined major processes to assess compliance with the Scheme for Financing Schools and the Council's Finance Manual for Schools, including the Contract Procedure Rules, General Data Protection Regulations and to confirm that good governance, operational and financial practices were applied throughout.

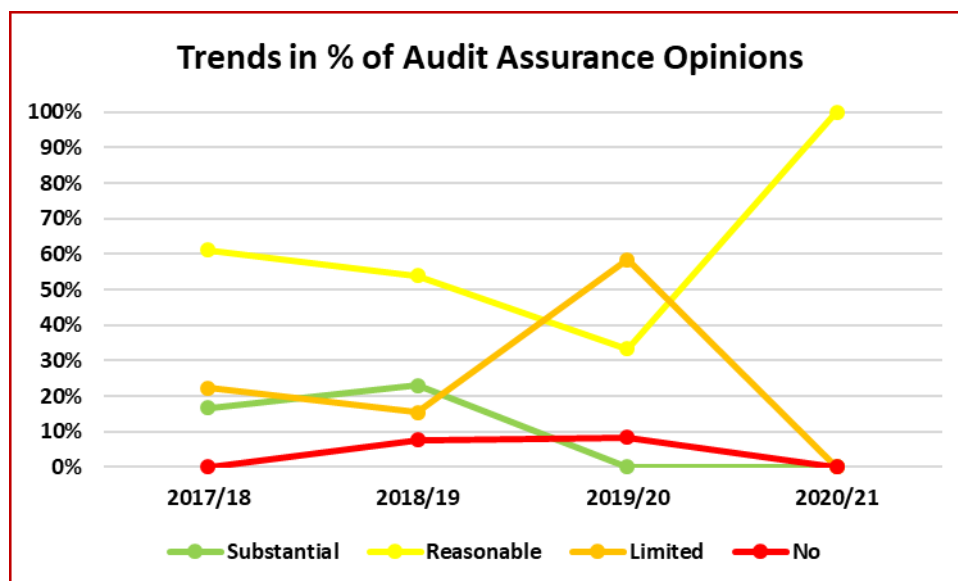
In 2020/21, the Council's school audit programme was revised so that it follows the SFVS headings. We also prepared a framework (the School Audit Framework) providing an outline of the areas that will be covered in audits and key documentation that will be required as part of the audit. The Framework is available on the Schools' HUB and we hope schools will find this useful.

We hope that School Leadership Teams will use this report to identify potential risk areas or opportunities and to make improvements as necessary. It may also help as a prompt when completing the 2021/22 SFVS return.

Overall report opinions

The six full scope reviews undertaken covered the operating effectiveness of processes and controls falling under 9 scope areas. These scope areas are detailed in **Appendix 1**.

The trend in assurance opinions over four years, are shown in the charts below:

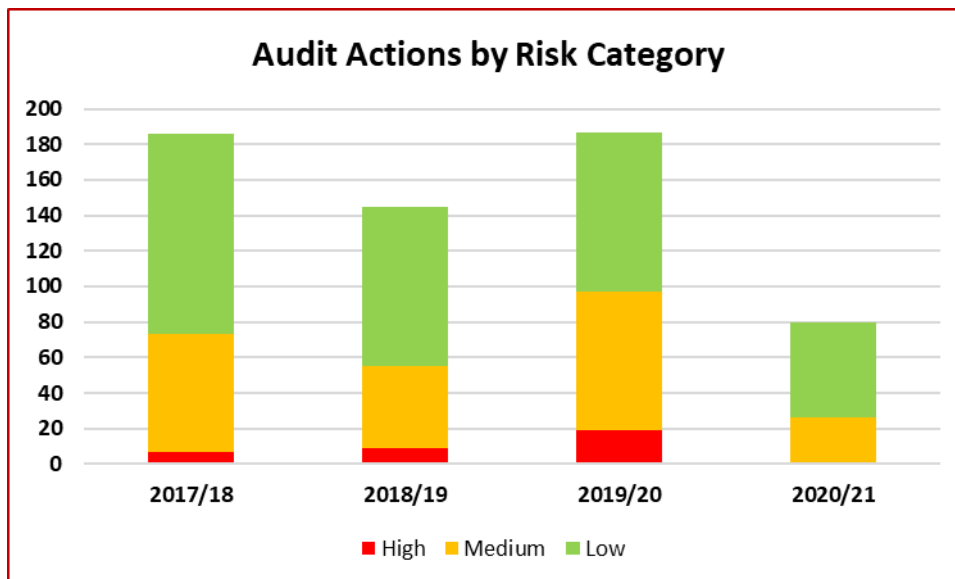


Whilst it is difficult to compare 2020/21 results to previous years, given the reduced number of audits, it should be noted that all six schools reviewed received a Reasonable Assurance, demonstrating good control over the associated risks identified within the relevant scope areas.

Definitions of risk categories and assurance opinions are detailed in **Appendix 2**.

Analysis of agreed actions

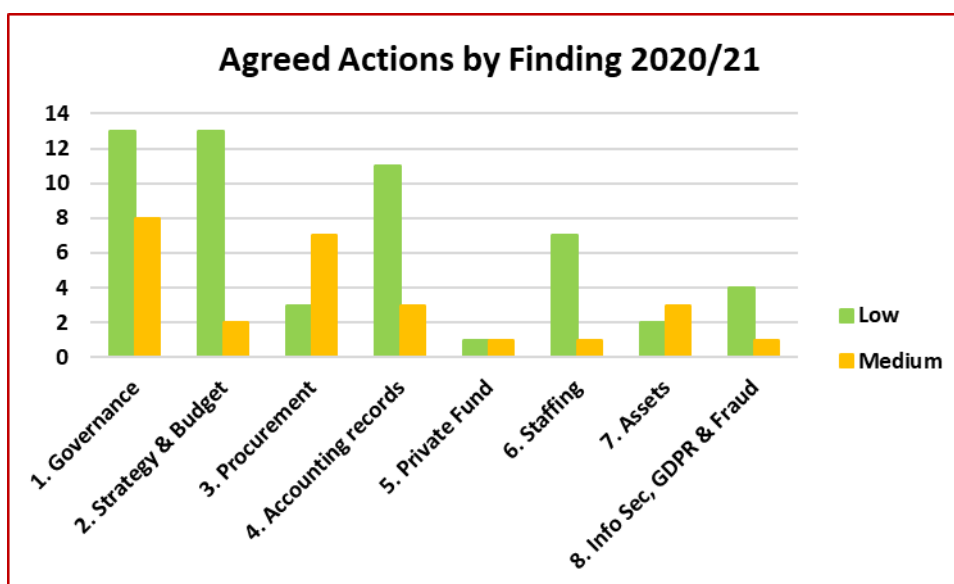
As part of our process, actions to address the risks identified by our audits are agreed with Headteachers. The total number of actions agreed in 2020/21 decreased to 80 from 187 in 2019/20. Although the number of schools reviewed in 2020/21 decreased by 50% over 2019/20, this shows an improvement on a pro rata basis. Also, as can be seen from the following graph, no high risk actions were agreed in 2020/21. This is a significant improvement over previous years where there was an upward trend in terms of high risk actions agreed.



Summary of findings

Local Authority maintained schools are required to complete an annual Schools Financial Value Standard (SFVS) return. Governing Bodies are responsible for ensuring appropriate controls are in place to meet the regulatory framework for finance and financial management as required by statute and detailed in the local Scheme for Financing.

The chart below summarises the number of 2020/21 agreed actions categorised under the audit scope areas, better which have been aligned with the SFVS headings:



The main themes and key exceptions identified during our 2020/21 audits are detailed below. We recommend that Governing Bodies review this table against current practices in their schools to ensure, with respect to these common areas, compliance with the SFVS requirements.

Theme	Key exceptions identified:
Governance	
Business Continuity and Disaster Recovery Plan	<ul style="list-style-type: none"> Disaster recovery plans were either not in place, not regularly reviewed or were lacking in key details and review dates.
Delegated Authority	<ul style="list-style-type: none"> Organisational Arrangements were out of date or still in draft form and not properly approved. Schemes of Delegation (SoD) lacked clear segregation of duties for some key financial processes. Several key financial processes were not included in the SoD.
Governor Attendance Register	<ul style="list-style-type: none"> Out of date Governors' attendance registers were published online.
Minutes of Governing Body Meetings	<ul style="list-style-type: none"> Several key decisions were not clearly recorded in Governing Body Meeting Minutes.
Governing Body Skills Assessment	<ul style="list-style-type: none"> A comprehensive review of governors' skills had not been undertaken.
Strategy & Budget	
Pupil Premium	<ul style="list-style-type: none"> Pupil premium reviews and discussions were not approved by the Governing Body. Pupil premium information published on the school's website was not up to date.
Benchmarking	<ul style="list-style-type: none"> No benchmarking exercises were completed or carried out.
Procurement	
Lettings	<ul style="list-style-type: none"> Signed agreements for all long-term and ad hoc lets were not in place. Signed agreements for long term and ad hoc lets were not available for review. As a consequence, we could not confirm appropriate insurance arrangements were in place. Agreements were not signed by the school's delegated officer.
Purchase Testing	<ul style="list-style-type: none"> Order forms had not been raised or were raised retrospectively. Order forms did not record key information including date,

Theme	Key exceptions identified:
	order number and goods/ service receipt.
Contracts	<ul style="list-style-type: none"> The Council's Contract Procedure Rules had not been adhered to. Minutes did not reflect that the Governing Body had approved high value contracts.
Accounting records	
ParentPay Debts	<ul style="list-style-type: none"> Outstanding ParentPay debts were not being pursued in line with the Debt Recovery Policy.
Reconciliations	<ul style="list-style-type: none"> Reconciliations were not completed in full, and had no evidence of independent review.
Private fund	
Accounting records	<ul style="list-style-type: none"> Monthly bank reconciliations were not completed monthly. The audit statement for the private fund had not been approved by the Governing Body.
Staffing	
New starters	<ul style="list-style-type: none"> There were delays in issuing contracts of employment. These should be issued by day one of permanent employment.
Assets	
Fixed Asset Register	<ul style="list-style-type: none"> The fixed asset register did not capture key information including the date assets were acquired, the purchase costs or disposal details. There was no evidence that annual fixed assets checks were carried. Assets were loaned to staff without completion of an asset loan form.
Information Security, GDPR & Fraud	
Security of Data	<ul style="list-style-type: none"> No process or mechanism in place to prevent staff from using unencrypted removable media on school equipment.

Action Implementation

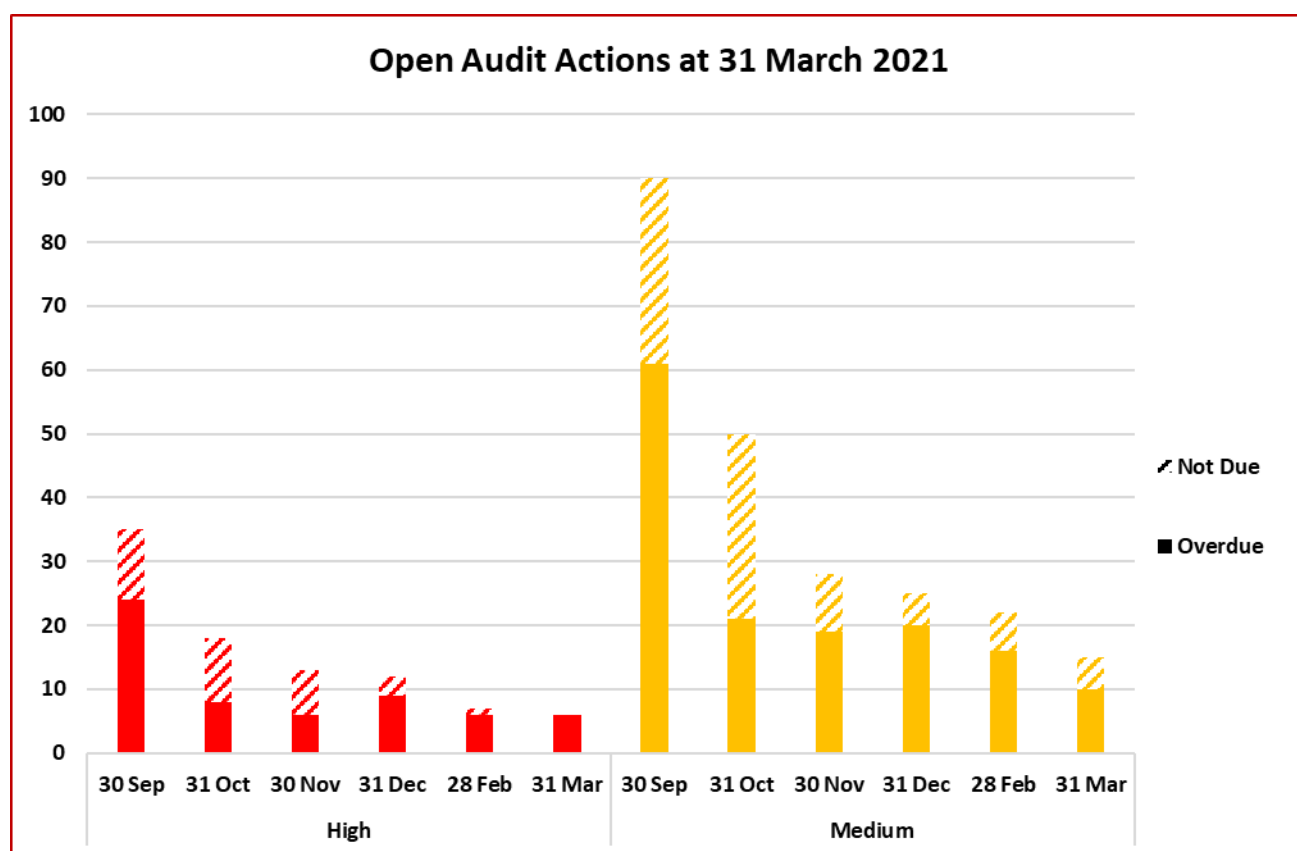
The Council takes the implementation of audit actions seriously and overdue actions are reported to both the Assurance Board and the General Purposes Committee.

Where an adverse internal audit assurance opinion is received by a school, (Limited or No Assurance), the following process is applied:

- Findings from the internal audit are reported to the Assurance Board and the Council’s General Purposes Committee.
- Follow up emails and/or visits will be undertaken in accordance with the target dates agreed within the report.
- If timely and appropriate responses are not received to the initial request this will be escalated to the Audit and Risk Manager and if necessary, to the Director of Education.
- If it is deemed during the follow up process/visit that sufficient responses have not been received, and/or satisfactory progress has not been made to implement the agreed actions, this will be followed up with the Director of Education. Actions taken will be reported to the Assurance Board.

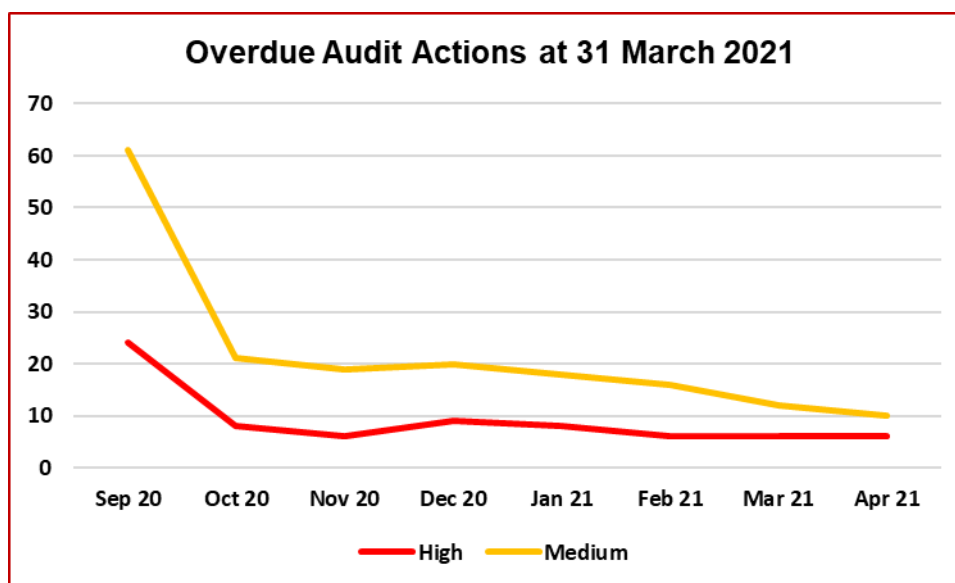
The Director of Education will also consider whether the Headteacher and/or the Chair of Governors should attend a future Assurance Board meeting. Attendance would be to advise the Assurance Board of action being taken to address the findings from the internal audit report.

Schools have continued to make progress on action implementation, and the escalation process has not been needed this year. Progress made can be seen in the following chart:



The outstanding high risk actions have been carried forward from previous years.

This next chart demonstrates the significant improvement in action implementation made during the year:



Training

We offer audit and fraud training for both Governors and School Business Managers (SBMs). The training will provide an overview of the Council's Internal Audit and Counter Fraud services. Training will be delivered by experienced officers and will provide:

- an overview of audit scope areas
- the importance of good controls
- key fraud risks faced by schools, with a particular focus on cybercrime.

Further information on the audit and fraud training can be found on the Schools' HUB.

Acknowledgement

We would like to take this opportunity to thank those schools who were included in the audit programme in 2020/21. We recognise and appreciate the additional work and effort involved during this difficult period due to Covid-19 restrictions.

Should you have any comments on this report, require further clarification or wish to raise any concerns, the Internal Audit team would be happy to discuss these with you (please see below for contact details).

Yours sincerely,

Gemma Young
Head of Internal Audit and Risk Management

Internal Audit Contact Details

Internal Audit: internal.audit@enfield.gov.uk

APPENDIX 1 – Audit Scope Areas





Scope area:	To ensure that:
Governance	<ul style="list-style-type: none"> • Appropriate Governance structures are in place; are appropriately resourced; and operate in line with Council regulations and best practice. • Relevant policies are in place; are reviewed and up to date; and are available on the school's website. Website content complies with DfE requirements. • The school has up to date business continuity and disaster recovery plans in place.
Strategy and Budget	<ul style="list-style-type: none"> • The School has a realistic, sustainable and flexible financial strategy in place for at least the next 3 years which has a demonstrable link to the school development plan. • The school sets a well-informed and balanced budget each year and this budget is scrutinised and approved by the Governing Body. The budget includes realistic assumptions and can be flexed if required. • Performance against budget is monitored throughout the year; variances are investigated; and remedial actions are taken where necessary.
Procurement	<ul style="list-style-type: none"> • All expenditure incurred: <ul style="list-style-type: none"> ○ Is necessary for the running of the school; ○ Complies with the Council's Finance Manual for Schools' and the Council's Contract Procedure Rules (CPRs); and ○ Is appropriately authorised and is supported by appropriate documentation.
Accounting Records	<ul style="list-style-type: none"> • All transactions are authorised and are supported by appropriate documentation. • Regular reconciliations are made between the accounting records and supporting information. • Payments are made within agreed timescales; are made in line with policy; and are appropriately authorised. • All adjustments to the financial records are appropriately recorded and authorised. • VAT is appropriately accounted for.

Scope area:	To ensure that:
	<ul style="list-style-type: none"> • Income is fully accounted for and is banked promptly. • Debts are reviewed to ensure prompt payment is received.
Private Fund	<ul style="list-style-type: none"> • The standard for the governance of the private fund is as rigorous as that for the administration of the school's delegated budget and complies with the Council's Finance Manual for Schools
Staffing	<ul style="list-style-type: none"> • The school reviews and challenges its staffing structure regularly to ensure it is the best structure to meet the needs of the school whilst maintaining financial integrity. • Staff are adequately vetted to ensure their suitability for employment. • Payments to permanent, supply and agency staff are valid and are appropriately authorised. • IR35 assessments are carried out as necessary.
Assets	<ul style="list-style-type: none"> • Fixed assets and stock are properly accounted for; are kept securely; and are periodically checked for existence and condition.
Information Security, GDPR and Fraud	<ul style="list-style-type: none"> • Access to the school's systems and data is well controlled. • The school complies with GDPR legislation and best practice. • All appropriate steps are taken to reduce the likelihood of fraud.
SVFS and Risk Assessment Returns	<ul style="list-style-type: none"> • The Governing Body has approved the final checklist and dashboard. • Follow up actions have been identified and actioned. • Approved returns are submitted to the Council by the required deadlines.

APPENDIX 2 - Definition of Risk and Assurance Ratings

Risk rating	
<p>Critical</p> <p>●</p>	<p>Life threatening or multiple serious injuries or prolonged workplace stress. Severe impact on morale & service performance. Mass strike actions etc.</p> <p>Critical impact on the reputation or brand of the organisation which could threaten its future viability. Intense political and media scrutiny i.e. front-page headlines, TV. Possible criminal, or high profile, civil action against the Council, members or officers.</p> <p>Cessation of core activities, Strategies not consistent with government’s agenda, trends show service is degraded. Failure of major Projects – elected Members & SMBs are required to intervene</p> <p>Major financial loss – Significant, material increase on project budget/cost. Statutory intervention triggered. Impact the whole Council; Critical breach in laws and regulations that could result in material fines or consequences</p>
<p>High</p> <p>●</p>	<p>Serious injuries or stressful experience requiring medical many workdays lost. Major impact on morale & performance of staff.</p> <p>Significant impact on the reputation or brand of the organisation; Scrutiny required by external agencies, Audit Commission etc. Unfavourable external media coverage. Noticeable impact on public opinion</p> <p>Significant disruption of core activities. Key targets missed; some services compromised. Management action required to overcome med – term difficulties High financial loss Significant increase on project budget/cost. Service budgets exceeded. Significant breach in laws and regulations resulting in significant fines and consequences</p>
<p>Medium</p> <p>●</p>	<p>Injuries or stress level requiring some medical treatment, potentially some workdays lost. Some impact on morale & performance of staff.</p> <p>Moderate impact on the reputation or brand of the organisation; Scrutiny required by internal committees or internal audit to prevent escalation. Probable limited unfavourable media coverage.</p> <p>Significant short-term disruption of non-core activities. Standing Orders occasionally not complied with, or services do not fully meet needs. Service action will be required.</p> <p>Medium financial loss - Small increase on project budget/cost. Handled within the team. Moderate breach in laws and regulations resulting in fines and consequences</p>
<p>Low</p> <p>●</p>	<p>Minor injuries or stress with no workdays lost or minimal medical treatment. No impact on staff morale</p> <p>Internal Review, unlikely to have impact on the corporate image. Minor impact on the reputation of the organisation</p> <p>Minor errors in systems/operations or processes requiring action or minor delay without impact on overall schedule. Handled within normal day to day routines.</p> <p>Minimal financial loss – Minimal effect on project budget/cost. Minor breach in laws and regulations with limited consequences</p>
<p>Advisory</p> <p>●</p>	<p>Advisory findings or observation that would help to improve the system or process being reviewed or align it to good practice seen elsewhere.</p>

APPENDIX 2 (cont'd) - Definition of Risk and Assurance Ratings

Level of assurance	
Substantial 	No significant improvements are required. There is a sound control environment with risks to key service objectives being well managed. Any deficiencies identified are not cause for major concern.
Reasonable 	Scope for improvement in existing arrangements has been identified and action is required to enhance the likelihood that business objectives will be achieved.
Limited 	The achievement of business objectives is threatened and action to improve the adequacy and effectiveness of the risk management, control, and governance arrangements is required. Failure to act may result in error, fraud, loss or reputational damage.
No 	There is a fundamental risk that business objectives will not be achieved, and urgent action is required to improve the control environment. Failure to act is likely to result in error, fraud, loss or reputational damage.

London Borough of Enfield

Schools Forum

Meeting Date 14 July 2021

Subject: Workplan
Cabinet Member: Cllr Uddin
Report Number: 13

Item: 6

Recommendation

To note the workplan.

<u>Meetings</u>		<u>Officer</u>
May 2021	High Needs	PN
July 2021	Schools Budget – Outturn (2020/21) School Balances (2020/21) & Budget Review (2020/21) School Funding Arrangements (2022/23) De-delegation of Central Services Annual Audit – Update	LM SB SB SB LB
October 2021	Schools Budget: 2021/22 – Monitoring School Funding Arrangements (2022/23) High Needs Monitoring and Review - Update	LM SB PN/SB
December 2021	Schools Budget: 2021/22 – Monitoring Schools Budget: 2022/23: Update School Funding Arrangements (2022/23) Central Services Budgets	LM LM SB CS
January 2022	Schools Budget: 2021/22 – Monitoring Schools Budget: 2022/23: Update West Lea Annual Report 2020-21 BSS & SWIRREL Annual Reports 2021-22 Advisory Service for Autism Speech & Language Hub High Needs Strategy – Update	LM LM WL MC / NE-J RW BT SB
March 2022	Schools Budget: 2021/22: Update High Needs Places & Review Scheme for Financing - Revisions	LM SB SB
May 2022	Single item agenda	
July 2022	Schools Budget – Outturn (2021/22) School Balances (2020/21) & Budget Review (2021/22) High Needs Review Annual Audit – Update	LM SB SB LB

Dates of Meetings

Date	Time	Venue	Comment
20 January 2021	5:30 - 7:30 PM	Virtual meeting	
3 March 2021	5:30 - 7:30 PM	Virtual meeting	
12 May 2021	5:30 - 7:30 PM	Virtual meeting	
14 July 2021	5:30 - 7:30 PM	Virtual meeting	
06 October 2021	5:30 - 7:30 PM		
08 December 2021	5:30 - 7:30 PM		
19 January 2022	5:30 - 7:30 PM		
09 March 2022	5:30 - 7:30 PM		
11 May 2022	5:30 - 7:30 PM		
06 July 2022	5:30 - 7:30 PM		
05 October 2022	5:30 - 7:30 PM		
07 December 2022	5:30 - 7:30 PM		

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Date of report 5 July 2021

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