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DATE: 1 July 2019

CHILDREN, EDUCATION & FAMILIES INFORMATION BRIEFING

Meeting to be held on Tuesday 9 July 2019

QUESTIONS ON THE INFORMATION BRIEFING

The Briefing comprises:

- 1 ECHS RISK REGISTER** (Pages 3 - 18)
- 1 BASIC NEED UPDATE** (Pages 19 - 40)
- 1 SPENDING ON PRIMARY SECONDARY AND SPECIAL SCHOOLS** (Pages 41 - 54)

Members and Co-opted Members have been provided with advanced copies of the Part 1 (Public) briefing via email. The Part 1 (Public) briefing is also available on the Council website at the following link: <http://cds.bromley.gov.uk/ieListMeetings.aspx?CId=559&Year=0>

Paper copies of this Information Briefing will not be available at the meeting of Children, Education & Families Committee.

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Report No.
ECHS19063

London Borough of Bromley

PART ONE - PUBLIC

Decision Maker: CHILDREN, EDUCATION AND FAMILIES POLICY
DEVELOPMENT AND SCRUTINY COMMITTEE

Date: TUESDAY 9 JULY 2019

Decision Type: Non-Urgent Non-Executive Non-Key

Title: EDUCATION, CARE AND HEALTH SERVICES RISK REGISTER
– QUARTER 4, 2018/19

Contact Officer: Naheed Chaudhry, Assistant Director Strategy, Performance and Engagement

Chief Officer: Janet Bailey, Interim Director of Children Social Care

Ward: N/A

1. Reason for report

- 1.1 Risk Management is the identification, analysis and overall control of those risks which can impact on the Council's ability to deliver its priorities and objectives. This report enables the Members to scrutinise risks and the actions taken to control them in line with Audit Sub-Committee recommendations.
-

2. **RECOMMENDATION(S)**

2.1 Members are asked to note:

- An updated Education, Care and Health Services' Risk Register and the existing controls in place to mitigate the risks.

Impact on Vulnerable Adults and Children

1. Summary of Impact:
-

Corporate Policy

1. Policy Status: Not Applicable
 2. BBB Priority: Excellent Council Safe Bromley Supporting Independence Healthy Bromley
-

Financial

1. Cost of proposal: Not Applicable:
 2. Ongoing costs: Not Applicable:
 3. Budget head/performance centre:
 4. Total current budget for this head: £
 5. Source of funding:
-

Personnel

1. Number of staff (current and additional):
 2. If from existing staff resources, number of staff hours:
-

Legal

1. Legal Requirement: Statutory Requirement Non-Statutory - Government Guidance None:
Further Details
 2. Call-in: Not Applicable
-

Procurement

1. Summary of Procurement Implications:
-

Customer Impact

1. Estimated number of users/beneficiaries (current and projected):
-

Ward Councillor Views

1. Have Ward Councillors been asked for comments? Not Applicable
2. Summary of Ward Councillors comments:

3. COMMENTARY

Background

- 3.1 Risk Management is the identification, analysis and overall control of those risks which can impact on the Council's ability to deliver its priorities and objectives. The Education, Care and Health Services Risk Register feeds into the Corporate Risk Register, via the Corporate Risk Management Group, and comprises the high level departmental risks which are underpinned by more detailed registers contained within the divisional business plans.
- 3.2 Audit Sub-Committee agreed that the Corporate and Departmental Risk Registers would be reviewed at their meetings twice a year and then subsequently scrutinised by the relevant PDS Committee. Internal processes require that the departmental risk registers be updated and agreed by the Departmental Leadership Team (DLT) on a quarterly basis and be reviewed by the Corporate Risk Management Group. The ECHS Risk Register was last scrutinised by Children, Education and Families Budget and Performance Monitoring Committee in October 2018.
- 3.3 On 9 January 2019 the Departmental Leadership Team met with the Council's insurers, Zurich Insurers for a 'Check and Challenge' review of the ECHS Risk Register. A full review of the Risk Register was carried out and a number of amendments were made at the time. Further changes were made during the regular quarterly updates. The ECHS Risk Register 2018/19 Quarter 4 updates were agreed by ECHS DLT in April 2019.
- 3.4 The Education, Care and Health Services Risk Register is attached as Appendix 1. The Portfolio Holder's attention is drawn to those risks of relevance to the Children, Education and Families Portfolio as detailed in the table below.

Risk Reference	Risk
1	Failure to deliver ECHS Financial Strategy
3	Failure to deliver effective Children's Services
4a	Recruitment and Retention - Children's Social Care
4c	Recruitment and Retention – Housing
5	Failure to deliver effective Housing Needs services
5a	Temporary Accommodation
5b	Capital Grant
6	Inability to deliver an effective Public Health service
7	Business Interruption / Emergency Planning
8	Contracts and Service Level Agreements
9	School Place Planning
10	Not in Education, Employment or Training (NEET)
11	Transport – School and Adult Social Care
12	SEND Reforms
14	Youth Offending
15	Out of Borough Placements
18	Welfare Reform
20	Data Collections
21	30 hours funded childcare for three and four year olds of working parents
22	Failure to deliver partial implementation of Health & Social Care Integration
23	Speech and Language Therapy
24	Social Care Information System

- 3.5 The following changes have been made to the risks of relevance to the Children, Education and Families Portfolio since October 2018:
- Three risks have been removed from the Risk Register:
 - Risk 13 – School Standards
 - Risk 16 – Foster Carers
 - Risk 17 – Care Leavers’ accommodation
 - Two risks have been added to the Risk Register:
 - Risk 23 – Speech and Language Therapy
 - Risk 24 –Social Care Information System
 - Risk 4 – Recruitment and Retention has been divided into risks for Risk 4a - Children’s Social Care, Risk 4b - Adult Social Care and Risk 4c - Housing Needs
 - Amendment to the scope of one risk which now covers adult service users:
 - Risk 11 – Transport – School and Adult Social Care
 - Amendments to the gross and net (current) risk of XXX risks have been made:
 - Risk 3 – Failure to deliver effective Children’s Services – change of gross risk from 20 to 15
 - Risk 4c – Recruitment and Retention – Housing – change of net risk from 16 to 12
 - Risk 5 – Failure to deliver effective Housing Needs services – change of net risk from 12 to 8
 - Risk 5a – Temporary Accommodation – changes of net risk from 20 to 16
 - Risk 11 – Transport – School and Adult Social Care – change of gross risk from 9 to 15
 - Risk 18 - Welfare Reform – change of gross risk from 12 to 16
 - Risk 21 – 30 hours funded childcare for three and four year olds of working parents – change of gross risk from 6 to 3
- 3.6 Mitigating actions have reduced 9 high risks; 6 to significant risks and 3 to medium risks. 3 significant risks have reduced to medium risks and 1 medium risk has reduced to low risk.

Level of Risk	Gross Risk		Net Risk	
	No.	%	No.	%
High	12	55%	3	14%
Significant	4	18%	7	32%
Medium	4	18%	9	41%
Low	2	9%	3	14%
Total	22	100	22	100

4. IMPACT ON VULNERABLE ADULTS AND CHILDREN

The controls already in place and the further actions outlined in the Risk Register mitigate the adverse impacts on vulnerable children.

5. POLICY IMPLICATIONS

There are no policy implications arising directly from this report. Any policy implications arising from the existing controls and the further action required to mitigate against the risks are reported to the Sub-Committee separately.

6. FINANCIAL IMPLICATIONS

There are no financial implications arising directly from this report. Any financial implications arising from the existing controls and the further action required to mitigate against the risks are reported to the Sub-Committee separately.

7. PERSONNEL IMPLICATIONS

There are no personnel implications arising directly from this report. Any personal implications arising from the existing controls and further action to mitigate against the risks are reported to the Sub-Committee separately.

8. LEGAL IMPLICATIONS

There are no legal implications arising directly from this report. Any legal implications arising from the existing controls and further action to mitigate against the risks are reported to the Sub-Committee separately.

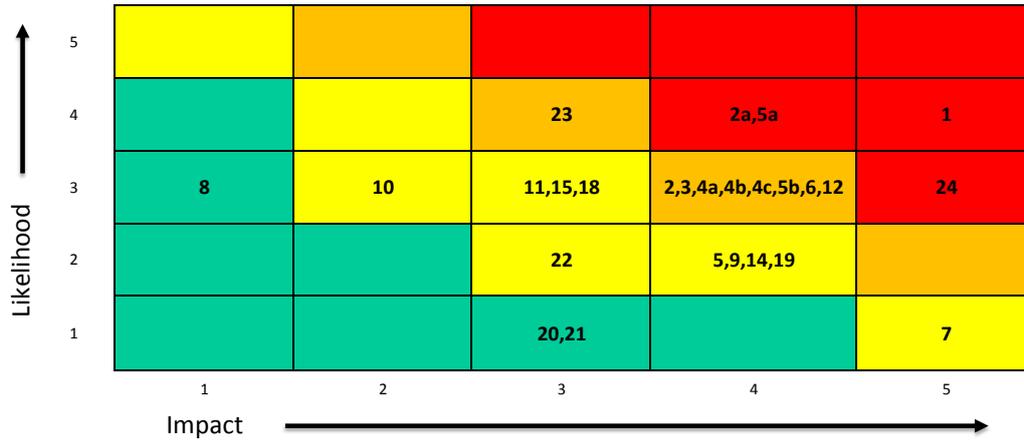
9. PROCUREMENT IMPLICATIONS

There are no procurement implications arising directly from this report. Any procurement implications arising from the existing controls and further action to mitigate against the risks are reported to the Sub-Committee separately.

Non-Applicable Sections:	[List non-applicable sections here]
Background Documents: (Access via Contact Officer)	[Title of document and date]

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ECHS Risk Register



Risk Ref	Risk Description	Gross Risk Rating	Net Risk Rating
1	Failure to deliver ECHS Financial Strategy	25	20
2	Failure to deliver effective Adult Social Care services	16	12
2a	Failure to deliver effective Learning Disability services	16	16
3	Failure to deliver effective Children's services	15	12
4a	Recruitment and Retention - CSC	20	12
4b	Recruitment and Retention - ASC	20	12
4c	Recruitment and Retention - Housing	20	12
5	Failure to deliver effective Housing Needs services	16	8
5a	Temporary Accommodation	20	16
5b	Capital Grant	16	12
6	Inability to deliver an effective Public Health service	16	12
7	Business Interruption / Emergency Planning	10	5
8	Contracts and Service Level Agreements	4	3
9	School Place Planning	12	8
10	Not in Education, Employment or Training (NEET)	6	6
11	Transport - School and Adult Social Care	15	9
12	SEND Reforms	16	12
14	Youth Offending	12	8
15	Out of Borough Placements (Children and Young People)	9	9
18	Welfare Reform	16	9
19	Deprivation of Liberty	16	8
20	Data Collections	9	3
21	30 hours funded childcare for three and four year olds of working parents	3	3
22	Failure to deliver partial implementation of Health & Social Care Integration	6	6
23	Speech and Language Therapy	12	12
24	Social Care Information System	20	15

ECHS Risk Register

Q4 2018/19

REF	DIVISION	RISK TITLE & DESCRIPTION (a line break - press shift & return - must be entered after the risk title)	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING (See next tab for guidance)					EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)					FURTHER ACTION REQUIRED	RISK OWNER		
					LIKE	LHO	OD	IMPA	CT		RISK	RATI	NG	LIKE	LHO			OD	IMPA
1	All	Failure to deliver ECHS Financial Strategy	<p>Cause(s):</p> <ul style="list-style-type: none"> - Continual reduction in Central Government funding - Demographic changes - Increased demand for services - Demand led statutory services (c. 80% of operations) which can be difficult to predict - Increasing cost volatility due to rise of complex, high cost families or placements requiring services. <p>Effect(s):</p> <ul style="list-style-type: none"> - Lower than anticipated levels of financial resource - Failure to achieve a balanced budget - Failure to secure economy, efficiency, and effectiveness of use of resources leading to a Qualified Independent Auditors' Report - Objectives of the service not met - Reputation is impacted - Wider goals of the Council are not achieved 	Financial		5		5		25	<ul style="list-style-type: none"> - Budget monitoring and forecasting - Regular review of medium term strategy - Regular reporting to DLT and Members via the Committee reporting process - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Monitor demographics, economic indicators and develop insight into future demand - Match financial planning to Council priorities - Internal audit framework - Early intervention with service users - Constantly reviewing service operations for potential efficiencies - Developed a series of commissioning plans, with mitigating actions, for Children's Social Care, Adult Social Care (Mental Health, Learning Disabilities and Older People) and SEND including mitigating actions addressing financial pressures - Growth and mitigation discussions - Service strategies in place to mitigate growth 		4		5		20	<ul style="list-style-type: none"> - Plans covering 10 projects in Children's Social Care went to the Corporate Commissioning Board in September 2018 outlining savings proposals to be implemented. - Plans are in place in Children's Social Care for improving sufficiency whilst reducing identified areas of budget. - Developing Housing Strategy. - Housing Transformation Board to increase rate and pace of affordable housing supply with updates to Members in May 19 for approval for first round of schemes. - Delivering commissioning actions in Transformation Board programme for ASC. 	ECHS DLT Gillian Palmer, Janet Bailey, Sara Bowrey, Naheed Chaudhry, Paul Feven, Kim Carey, Nada Lemic, Jared Nehra.
2	Adult Social Care	Failure to deliver effective Adult Social Care services The Council is unable to deliver an effective adult social care service to fulfil its statutory obligations including the safeguarding of Adults	<p>Cause(s):</p> <ul style="list-style-type: none"> - Increasing demand - Above compounded by associated longer waiting lists leading to deteriorating condition and ultimately increased service user/ carer costs - Failure to deliver effective safeguarding arrangements - Failure to comply with statutory requirements including the Care Act - Potential instability in social care workforce <p>Effect(s):</p> <ul style="list-style-type: none"> - Impact on life chances and outcomes for service users - Failure to keep vulnerable adults safe from harm or abuse 	Legal, Reputational		4		4		16	<p>Care Act - Redesigned processes, including amending forms, and operational procedures in place and Care Act compliance training</p> <p>Improved Better Care Fund - Programme overseen by the Interim Director of Programmes and the CCG</p> <p>Safeguarding - 1. Multi Agency Bromley Adult Safeguarding Board (BSAB) in place. 2. BSAB Training programme (E Learning and Face to Face). 3. Awareness training for vulnerable groups. 4. Care Act compliance training</p> <p>Recruitment - Dedicated HR programme of support in place to recruit social workers to front line posts</p> <p>Performance Monitoring Framework - Review of Performance Management Indicators</p> <p>Procurement and Contract Monitoring - Effective procurement framework and contract monitoring arrangements to ensure acceptable quality of service provision and value for money</p>		3		4		12	<ul style="list-style-type: none"> - Actions as part of LBB's Transformation Plan 	Director, Adult Social Care (Kim Carey)
2a	Learning Disability Service	Failure to deliver effective Learning Disability services Failure to assess service users, establish eligibility criteria and carry out the review process.	<p>Cause(s):</p> <ul style="list-style-type: none"> - Failure to identify and meet service users' needs - Provision of service to ineligible clients - Provision of service prior to/without appropriate authorisation - Failure to manage the transition process of service users from Children's Services to Adult Services leading to increased risk of Judicial Review - Potential instability in social care workforce <p>Effect(s):</p> <ul style="list-style-type: none"> - Costs associated with Legal process - Ongoing care package costs as a result of Legal process outcome - Placement predictions leading to financial pressures (cross refer ECHS Budget risk) 	Legal, Reputational		4		4		16	<ul style="list-style-type: none"> - Close monitoring of placements and eligibility criteria - Budget monitoring and forecasting - Regular review of medium term strategy - Regular reporting to DLT and Care Services PDS - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Hold provider to account for poor performance - Monitor demographics, economic indicators and develop insight into future demand 		4		4		16	<ul style="list-style-type: none"> - LD Strategy in development - Actions as part of LBB's Transformation Plan 	Director, Adult Social Care (Kim Carey)
3	All Children's Social Care and Safeguarding Sections	Failure to deliver effective Children's services The Council is unable to deliver an effective children's service to fulfil its statutory obligations in safeguarding and protect those at risk of significant harm or death, sexual exploitation or missing from care	<p>Cause(s):</p> <ul style="list-style-type: none"> - Local authority response to Bromley Safeguarding Children's Board following Wood Review. <p>Effect(s):</p> <ul style="list-style-type: none"> - Impact on life chances and outcomes for children 	Legal, Reputational		3		5		15	<ul style="list-style-type: none"> - Multi Agency Bromley Children's Safeguarding Board (BCSB) Training programme 2019 to be set. - Dedicated HR programme of support in place to recruit social workers to front line posts - Scrutiny of Performance Management Framework and Indicators - Effective procurement framework and contract monitoring arrangements to ensure acceptable quality of service provision and value for money - under review - Quality Assurance Audit Programme Phase 3 - Children's Service Practice Improvement Board to commence April 2019 to deliver Ofsted and local authority recommendations. - Continued reduction of caseloads & within Caseload Promise on average - Identified training plan for qualified social workers and other professionals reviewed and updated quarterly 		3		4		12	<ul style="list-style-type: none"> - Ofsted validation - report published 7 January 2019 and action plan agreed - Phase 3 - 'to excellence' plan in development 	Director, Children's Services Janet Bailey)

ECHS Risk Register

Q4 2018/19

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					LIKE	LIHO	OD	IMPA	CT		RISK	RATI	NG	LIKE	LIHO			OD	IMPA
4a	Children's Social Care	Recruitment and Retention - CSC Failure to recruit and retain key skilled staff with suitable experience/qualifications	Cause(s): - Failure to compete with other organisations to recruit the highest quality candidates to build an agile workforce - Small pool of experienced children's Social Workers Effect(s): - Failure to identify and meet service user needs - Provision of service to ineligible clients - Provision of service prior to/without appropriate authorisation - Lack of skill set results in an inability to deliver effective children's services to fulfil statutory safeguarding obligations, impacting on life chances and outcomes	Personnel		5		4		20	- Dedicated HR role to support managers in recruiting social workers to front line posts - Joint meetings held between HR and employment agencies to improve the quality and speed of locum assignments - Review of the current Recruitment and Retention package through Recruitment and Retention Board - Recruitment drive to convert locums to permanent staff - Commissioning of improvements to the Council's recruitment web site to include a video virtual tour of the Council - Support in effectively managing staff performance - Provision of training measures to include targeted leadership and management training programmes including partners and other stakeholders - Tailored individual career plan for staff - Launch of Social Work Academy in April 2019. - Bespoke training for first line managers on-going with cohort 2 - Training and quality assurance of practice		3		4		12		Director, Children's Services (Janet Bailey) Director, Human Resources (Charles Obazuaye)
4b	Adult Social Care	Recruitment and Retention - ASC Failure to recruit and retain key skilled staff with suitable experience/qualifications	Cause(s): - Failure to compete with other organisations to recruit the highest quality candidates to build an agile workforce - Small pool of experienced adult's Social Workers Effect(s): - Failure to identify and meet service user needs - Provision of service to ineligible clients - Provision of service prior to/without appropriate authorisation - Lack of skill set results in an inability to deliver effective adults' services to fulfil statutory safeguarding obligations, impacting on life chances and outcomes	Personnel		5		4		20	- Joint meetings held between HR and employment agencies to improve the quality and speed of locum assignments - Review of the current Recruitment and Retention package through Recruitment and Retention Board - Recruitment drive to convert locums to permanent staff - Commissioning of improvements to the Council's recruitment web site to include a video virtual tour of the Council - Support in effectively managing staff performance - Provision of training measures to include targeted leadership and management training programmes including partners and other stakeholders - Tailored individual career plan for staff - Bespoke training for first line managers - Training and quality assurance of practice - Dedicated HR worker to focus on Adult Social Care recruitment		3		4		12		Director, Adult Social Care Services (Kim Carey) Director, Human Resources (Charles Obazuaye)
4c	Housing Needs	Recruitment and Retention - Housing Failure to recruit and retain key skilled staff with suitable experience/qualifications	Cause(s): - Failure to compete with other organisations to recruit the highest quality candidates to build an agile workforce - Small pool of experienced workers Effect(s): - Failure to identify and meet service user needs - Provision of service to ineligible clients - Provision of service prior to/without appropriate authorisation - Lack of skill set results in an inability to deliver effective housing services, impacting on life chances and outcomes	Personnel		5		4		20	- Recruitment drive to convert locums to permanent staff - Council's recruitment web site includes a video virtual tour of the Council in housing - Support in effectively managing staff performance - Bespoke training for first line managers - Training and quality assurance of practice - Role on Recruitment and Retention Board - Review the recruitment/retention of housing staff including packages for retaining staff		3		4		12	- Benchmarking of gradings and role responsibilities for key posts - Developing recruitment and retention package with dedicated support from HR	Director, Housing (Sara Bowrey) Director, Human Resources (Charles Obazuaye)
5	Housing Needs	Failure to deliver effective Housing Needs services The Council is unable to deliver an effective Housing Needs service to fulfil its statutory obligations	Cause(s): - very demand led - lack of trained staff - homelessness is increasing number and complexity of cases Effect(s): - Impact on life chances and outcomes for individuals and families in need of Housing Services - Reputational damage - Legal challenge	Legal		4		4		16	- Focus on preventing homelessness and diversion to alternative housing options through:- - Landlord and Tenancy advice support and sustainment - Assistance (including financial aid) to access the private rented sector - Access to employment and training - Debt, money, budgeting and welfare benefits advice, including assistance to resolve rent and mortgage arrears - Sanctuary scheme for the protection of victims of domestic violence - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Implementation of the More Homes Bromley initiative to ensure the supply reduces the reliance on nightly paid accommodation - Implementing the Homelessness Strategy - setting up the multi-agency Homelessness Forum and taking forward the priorities of the Strategy - New incentive campaign for private sector landlords embedded and benefits being realised.		2		4		8	- Housing Transformation Board programme being implemented. Report to Members in May 19. - Continue to develop partnership working with private sector landlords to assist households to remain in private sector accommodation - Work innovatively with a range of providers to increase access to a supply of affordable accommodation - Monitoring impact of implementation of Homelessness Reduction Act - Housing Strategy drafted	Director, Housing (Sara Bowrey)

ECHS Risk Register

Q4 2018/19

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5a	Housing Needs	Temporary Accommodation Inability to effectively manage the volume of people presenting themselves as homeless and the additional pressures placed on the homelessness budgets	Causes: - changes in government funding - rising number of placements (approx. 20 per month) Effect(s): - Failure to fulfil statutory obligations - Impact on life chances and outcomes for individuals and families in temporary accommodation - Increased risk of legal challenge due to provision of unsuitable accommodation (including shared accommodation) - Pressure on other services	Social		5		4		20	- Focus on preventing homelessness and diversion to alternative housing options through:- - Landlord and Tenancy advice support and sustainment - Assistance (including financial aid) to access the private rented sector - Access to employment and training - Debt, money, budgeting and welfare benefits advice, including assistance to resolve rent and mortgage arrears - Sanctuary scheme for the protection of victims of domestic violence - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Implementation of the More Homes Bromley initiative to ensure the supply reduces the reliance on nightly paid accommodation - Implementing the Homelessness Strategy - setting up the multi-agency Homelessness Forum and taking forward the priorities of the Strategy - New incentive campaign for private sector landlords embedded and benefits being realised.		4		4		16	- Housing Transformation Board progressing projects to increase cost-effective temporary accommodation and affordable housing supply. Member approval to be sought in May 2019. - Transformation Board action plan in place for next 3-4 years. - Continue to develop partnership working with private sector landlords to assist households to remain in private sector accommodation - Work innovatively with a range of providers to increase access to a supply of affordable accommodation - Implement Intake and Early Intervention service to meet Homelessness Reduction Act - Complete tender process for modular homes supplier for temporary accommodation	Director, Housing (Sara Bowrey)
5b	Housing Needs (Housing Strategy)	Capital Grant Failure to deliver the Council's affordable housing strategy in support of statutory obligations Lack of infrastructure in place where growth is occurring (Section 106 monies)	Cause(s): - Lack of availability of external capital grant (Housing Associations) to deliver key housing schemes - Lack of available suitable sites within the borough on which to develop new affordable housing schemes over the short to medium term - Potential fluctuations in house prices and supply chains Effect(s): - An inadequate supply of housing will lead to an inability to meet housing needs of a range of client groups in support of statutory housing and homelessness duties.	Social		4		4		16	- Lead negotiations on the affordable housing provision on section 106 applications, ensuring that the affordable housing obligation reflects local adopted planning policy and local statutory and high priority housing need - Determination at planning stage to ensure collection of obligations due - Conditions attached to funding received to ensure it is spent on preventing homelessness - Development group with Housing Associations established to improve relationships with planners and developers to increase supply of affordable housing		3		4		12	- Additional measures will be explored once the Housing Strategy is developed. - Seeking to increase capacity for housing development support to ensure Housing Associations are supported and encouraged to develop affordable homes and that planning is aligned to the Local Plan. - Using Development Group to work with Housing Associations to encourage increased affordable housing development.	Director, Housing (Sara Bowrey)
6	Public Health	Inability to deliver an effective Public Health service The Council is unable to deliver an effective Public Health service to fulfil its statutory obligations	Cause(s): - Reduced budget which has led to funding cuts, reduced service and redundancies. Withdrawal of non-statutory services. - Potential fluctuating medicines market Effect(s): - Increased clinical risk to patients and Bromley residents - Reputational risk to council - Gaps and potential blocks in health service between NHS and Local Authority	Professional, Legal, Reputational		4		4		16	- Working with partners including the CCG and Hospital Trust to jointly deliver Public Health functions and mitigate impact of reduced funding - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money		3		4		12	Plans for further integration of some functions and services with CCG	Director, Public Health (Nada Lemic)
7	All ECHS Divisions	Business Interruption / Emergency Planning Failure to provide Council services or statutory requirements of mass illness/fatalities scenario following a business interruption or emergency planning event	Cause(s): - Business Interruption could be caused by Loss of Facility (fire, flood etc.), Staff (illness, strike) or IT (cyber attack). - Mass fatalities or illness has a range of causes and this risk to the council could be caused by council staff being impacted resulting in failure to manage statutory requirements of mass illness/fatalities scenario (e.g. registering of deaths within timescales) Effect(s): - Business interruption - failure to deliver services, loss of customer / resident satisfaction. - Emergency planning - failure to deliver statutory duties.	Personnel, Reputational		2		5		10	Business Interruption - Civil protection and emergency planning policies in place at corporate level overseen by the Corporate Risk Management Group - Business Continuity Plans in place at service level - Contracts contain business continuity provision - Communication to all staff prior to all impending industrial action, informing of any possible service disruption as well as explaining implications of strike action for individual staff members Emergency Planning - Robust plans in place, including Outbreak Plan, Flu Plan and Pandemic Flu Plan - Alert system via the South East London Health Protection Unit (SEL HPU) - Annual Flu vaccination programme in place - Introduction of Humanitarian and Lead Officer (HALO) role		1		5		5	- Business Continuity Plans being reviewed and updated.	ECHS DLT

ECHS Risk Register

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8	All ECHS Divisions	Contracts and Service Level Agreements Failure to effectively procure and/or manage key contractors or partners, leading to the department being unable to deliver key services, including attracting appropriate contractors or partners to deliver services	Cause(s): - Failure of provider - Provider withdrawing from the contract Effect(s): - Failure to deliver required quality/quantity/value for money services	Contractual, Partnership		4		1		4	- Timely and effective procurement process - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Business Continuity plans - Contracts Sub-Committee established (a sub-committee of the Executive and Resources PDS Committee which considers a range of contracts issues including legal requirements, contract clauses and contract management to ensure value for money). - Traffic light system in use to assess the current status of each procurement project, as part of the Corporate Contract Management System) and any projects with a red status are tracked and reported to fortnightly divisional management team meetings - Commissioners and Procurement and Contract Compliance staff implement recovery plans for projects with red status alerts in order to mitigate all risks and to ensure that the department operates within financial regulations		3		1		3	- Ensuring appropriate adjustment of prices following introduction of the National Living Wage	ECHS DLT
9	Education	School Place Planning Failure to meet the statutory requirement to ensure sufficient school places to meet the needs of the population in the area	Cause(s): - Failure to secure sufficient Primary and Secondary school places in the area - Failure to secure sufficient educational placements for children with disabilities and special educational needs - Failure to secure sufficient alternative provision Effect(s): - Disruption to the education of children and impact on their life chances	Political, Legal, Professional		3		4		12	- Strategic needs analysis (birth rate, dwelling stock and migration) to project demand - Review analysis of demand annually - SEN sufficiency strategy will inform long term planning of specialist provision - Implement Basic Need programmes - Maintain relationships with DIE ESFA to support delivery of Free School and PSBP programmes - Monitor contractor performance in uncertain market		2		4		8	- Keep under review the provision of places for September 2019 at Bullers Wood School for Boys	Director, Education (Jared Nehra)
10	Children's Social Care	Not in Education, Employment or Training (NEET) Failure to meet requirements of Education, Care and Skills Act 2008 - duty on all young people to participate in Education, Employment or Training until their 18th birthday	Cause(s): - Lack of control over Academies Effect(s): - Disruption to Education - Impact on life chances for young people	Professional, Legal		3		2		6	- Provision offered by Bromley Youth Support Programme (BYSP) - Advice and Guidance Drop in sessions - One to one support - Looked After Children NEET support - YOT NEET support - Provision offered by Bromley Education Business Partnership (BEBP) - Bromley Youth Employment Scheme (YES) - Bromley Flexible Learning programme - Mentoring programme - Skills Xtra - Work experience and apprenticeships for Children Looked After - Tracking service in conjunction with South London CCIS Service - 'Door knocking' - Additional NEET worker started, based in Leaving Care service - a 4 year pilot programme, in partnership with Lewisham and Greenwich, providing support for care leavers most at risk of NEET.		3		2		6		Director, Children's Services (Janet Bailey)
11	Education/Adult Social Care/Programmes	Transport - School and Adult Social Care Failure to provide appropriate home to school transport assistance for children and young people with special educational needs and disabilities and home to day activities for vulnerable adults	Cause(s): - Fluctuating demand year on year - Rising numbers of children meeting criteria for transport provision and associated increase in costs - Interim transport service arrangements for adults currently uncertain Effect(s): - Disruption to education - Impact on life chances and outcomes for children and young people - Impact on outcomes for vulnerable adults	Legal Financial		5		3		15	- Budget monitoring and forecasting - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Travel Training Programme - Route review and rationalisation - Gateway review to improve efficiency - Options for adult transport being explored to cover period from Sept 2019 to August 2020		3		3		9	- Review of policy - Gateway review for adult and children's re-commissioning of transport services from September 2020 to be considered by Executive in July 2019	Director, Education (Jared Nehra) Director, Adult Social Care (Kim Carey) Director, Programmes (Paul Feven)
12	Education	SEND Reforms Failure to meet expectation of SEND reforms	Cause(s): - Ineffective and inaccurate identification of SEND - Failure of schools to make reasonable adjustments to meet needs of individual children and young people - Failure to provide appropriate and effective support for children with identified needs and their schools - Pattern of provision which does not meet the needs of the local population resulting in placements in independent schools Effect(s): - Costs associated with the Legal process - Escalating cost of provision - Impact on education and life chances of children and young people	Financial Legal Professional		4		4		16	- SEND4Change completed a root and branch review of Bromley's response to SEND reforms - An Improvement Plan agreed for 2018/19 - Transfer of statements to EHC Plans completed March 2018 - SEN service realigned to improve decision making and management oversight - SEN Inspection Readiness team established with ongoing review and scrutiny - SEN Advisory Teams realigned to maximise resource and fill gaps in support with a specific focus on CYP with EHCPs in mainstream provision - Joint Commissioning arrangements established across a number of key services - Service Level Agreements being established with mainstream settings with additionally resourced provisions to provide clarity across both parties		3		4		12	- Readiness for SEND inspection monitored - QA programme for placements in independent schools to be implemented - Local Offer Development Officer being recruited to strengthen and promote the Local Offer - ASD Joint Strategy in development - Engagement framework in final stages - CYP Participation Officer post extended with workplan agreed - CAMHS trailblazer project to be implemented - Bromley Teaching Schools leading SEN training collaborative to support school improvement. - Placement planning framework in development for September 2020 and beyond - Legal advice to be drawn in to support complex tribunal cases	Director, Education (Jared Nehra)

ECHS Risk Register

Q4 2018/19

REF	DIVISION	RISK TITLE & DESCRIPTION (a line break - press shift & return - must be entered after the risk title)	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING (See next tab for guidance)					EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)					FURTHER ACTION REQUIRED	RISK OWNER
					LIKE	LIHO	OD	IMPA	CT		RISK	RATI	NG	LIKE	LIHO		
14	Children's Social Care	Youth Offending Failure to deliver effective youth offending services to protect children and young people and reduce their vulnerability	Cause(s): - Increase in youth offending Effect(s): - Impact on life chances and outcomes for children - Failure to protect the public and actual or potential victims (assessment of risk to others and planning to manage the risk and protect the public)	Professional Reputational			3	4	12	- Learning from the Youth Justice follow up Inspection of February 2017. Action plan developed, fortnightly Improvement Board implemented to ensure action plan carried out. - Improved inspection result - Good in 2017 - Implementation of Strategic Plan 2017/19 - Youth Justice Board self-assessment audit of National Standards - 2 moderation exercises carried out and YJB assured that this reflected service standards - Bi-monthly audits with quality assurance check by SIT Team - Monthly YOS performance meeting to review national KPIs, act upon trends and drive improvement plan - Triage support to divert low level offenders from YJS - Packages of support to manage young people's risk appropriately in the community for those who are sent to custody. - YOS Partnership Improvement Board is overseeing the Improvement Plan - YOS Inspection preparation by all partners.			2	4	8		Director, Children's Services (Janet Bailey)
15	Children's Social Care	Out of Borough Placements (Children and Young People) Inability to reduce reliance on out of borough placements Financial implications	Cause(s): - Failure to provide/commission sufficient local placements for children with disabilities and children in care Effect(s): - Cost implications of out of borough placements (Cross refer ECHS Budget risk) - Impact for children's welfare and development	Professional Financial			3	3	9	- Close monitoring of placements and eligibility criteria - Budget monitoring and forecasting - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money - Monitor demographics, economic indicators and develop insight into future demand - Out of borough officer in Placements Team reviewing OOB placements and those placed in Bromley from other authorities			3	3	9	- Carrying out a review of how to move this forward. - Review of children's residential, IFA and semi-supported 16+ market in borough and discussions with Bromley providers to increase our ability to place with them.	Director, Children's Services (Janet Bailey) Director, Programmes (Paul Feven)
18	Housing Needs	Welfare Reform Impact of Welfare Reform legislation (including Universal Credit).	Cause(s): - Universal Credit payments commenced on 18th January 2016 in Bromley for single people only. From this time, there is no separate Housing. - Benefit payment direct to the Landlord - Further roll out planned for 2018 which will increase the impact of this reform Effect(s): - Increased Rent Arrears - Subsequent evictions and landlords reluctant to rent properties to claimants.	Social			4	4	16	- Notification, advice and support provided through:- - Housing Association transfers - Negotiations with landlords - Budgeting/debt advice - Moves to cheaper areas - Prevention grants/welfare fund/Credit union loans and savings - Access to child care and employment - Awareness raising campaign for Universal Credit Digital rollout and monitor impact from July 2018. Structures to support changes reviewed and money advice support extended.			3	3	9	- Work in partnership with Housing Benefit, the DWP, partner landlords and Social Care to minimise the impact of the Welfare Reform Act - Setting up working group with Housing Associations to explore additional measures to support residents with the rollout of Universal Credit - CAB Universal Credit advice service goes live in April 2019. Close working with CAB to ensure identification and support to those at risk.	Director, Housing (Sara Bowrey)
19	Adult Social Care	Deprivation of Liberty Failure to prevent unlawful deprivation of liberty	Cause(s): - Risk increased due to change in legislation increasing scope. - Any claim by service user with a community package of care if DoL not in place Effect(s): - Failure to comply with statutory requirements pursuant to Section 4 (Section 4A) and paras 129, 180 and 182 of Schedule A (Schedule A1) of the Mental Capacity Act 2005 (as amended to incorporate the Deprivation of Liberty Safeguards 2009)	Legal			4	4	16	- Core administrative function maintained - Framework in place to deliver the functions of the Best Interest Assessor and the 'Section 12' Doctor - Rolling out training for all social workers to become Best Interest Assessors - will be reviewed in light of future change in legislation - Scoping of potential deprivation of liberty cases in the community completed on CareFirst and cases prioritised accordingly			2	4	8		Director, Adult Social Care (Kim Carey)
20	Strategy, Performance and Engagement	Data Collections Failure to undertake statutory statistical data collections; including pupil census, attainment data and key adults' and children's social care information, thereby adversely affecting government grant allocations and performance assessments	Cause(s): - Business Interruption Effect(s): - Failure to commission effectively - Adverse impact on the timing and quality of decision making	Data and Information			3	3	9	- Schedule of statutory returns has been incorporated into the Performance and Information team's work programme - Specialist members of the team for each area - Other staff trained to provide 'back up' for specialist members of the team - Good project planning in place to co-ordinate all data collections including contributions from other services			1	3	3		Assistant Director, Strategy, Performance and Engagement (Naheed Chaudhry)

Risk Assessment Guidance

Likelihood	Almost Certain (5)	5	10	15	20	25	<table border="1" style="display: inline-table; vertical-align: middle;"> <tr><td style="background-color: red;">15+</td></tr> <tr><td style="background-color: orange;">10 - 12</td></tr> <tr><td style="background-color: yellow;">5 - 9</td></tr> <tr><td style="background-color: green;">1 - 4</td></tr> </table>	15+	10 - 12	5 - 9	1 - 4	<p>High Risk - review controls and actions every month</p> <p>Significant Risk - review controls and actions every 3 months</p> <p>Medium Risk - review controls and actions every 6 months</p> <p>Low Risk - review controls and actions at least annually</p>
	15+											
	10 - 12											
	5 - 9											
	1 - 4											
Highly likely (4)	4	8	12	16	20							
Likely (3)	3	6	9	12	15							
Unlikely (2)	2	4	6	8	10							
Remote (1)	1	2	3	4	5							
		Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)		Impact				

Risk Likelihood Key					
	Score - 1	Score - 2	Score - 3	Score - 4	Score - 5
	Remote	Unlikely	Possible	Likely	Definite
Expected frequency	10 - yearly	3 - yearly	Annually	Quarterly	Monthly

Risk Impact Key					
Risk Impact	Score - 1	Score - 2	Score - 3	Score - 4	Score - 5
	Insignificant	Minor	Moderate	Major	Catastrophic
Compliance & Regulation	Minor breach of internal regulations, not reportable	Minor breach of external regulations, not reportable	Breach of internal regulations leading to disciplinary action Breach of external regulations, reportable	Significant breach of external regulations leading to intervention or sanctions	Major breach leading to suspension or discontinuation of business and services
Financial	Less than £50,000	Between £50,000 and £100,000	Between £100,000 and £1,000,000	Between £1,000,000 and £5,000,000	More than £5,000,000
Service Delivery	Disruption to one service for a period of 1 week or less	Disruption to one service for a period of 2 weeks	Loss of one service for between 2-4 weeks	Loss of one or more services for a period of 1 month or more	Permanent cessation of service(s)
Reputation	Complaints from individuals / small groups of residents Low local coverage	Complaints from local stakeholders Adverse local media coverage	Broader based general dissatisfaction with the running of the council Adverse national media coverage	Significant adverse national media coverage Resignation of Director(s)	Persistent adverse national media coverage Resignation / removal of CEX / elected Member
Health & Safety	Minor incident resulting in little harm	Minor Injury to Council employee or someone in the Council's care	Serious Injury to Council employee or someone in the Council's care	Fatality to Council employee or someone in the Council's care	Multiple fatalities to Council employees or individuals in the Council's care

INSTANT GUIDE TO RISK MANAGEMENT

Identify your risks	Assess your risks	Control your risks	Monitor and Review your risks
<p>Brainstorming session using IE&E plans and departmental objectives, to identify threats and opportunities.</p> <p>Useful analytical tools:</p> <p>Political Economic Social Technological Legal Environmental</p> <p>PESTLE provides a simple and useful framework for identifying and analysing external factors which may have an impact on your service.</p> <p>Strengths Weaknesses Opportunities Threats</p> <p>Using the PESTLE output SWOT is a technique that can help a service to focus on areas for improvement and opportunities that could be pursued.</p> <p>Remember if it can go wrong it will go wrong.</p>	<p>We use a 5 x 5 matrix to assess risks (see Risk Assessment Guidance tab).</p> <p>Risk is scored using a traffic light system:</p> <p>Red = High Amber = Significant Yellow = Medium Green = Low</p> <p>There are two risk variables that make up the overall risk rating:</p> <p>Impact – how minor / severe is it when it happens? Likelihood – how likely is it / how often does it happen?</p> <p>The Risk Management Toolkit provides detailed guidance on how to score these.</p> <p>Some of these assessments can be based on past experience. In other cases you will need to take a view.</p> <p>We measure both gross risk (before any controls are taken into account) and net or residual risk.</p>	<p>Consider the controls you have in place to mitigate or reduce the risk.</p> <p>What further controls are required? Record these as actions until they are completed.</p> <p>Consider the cost of any controls against the potential benefit gained.</p> <p>What is our Risk Appetite? An element of risk is unavoidable or we would never do anything!</p> <p>AVOID a risk – stop doing the activity</p> <p>REDUCE a risk – put additional controls in place</p> <p>TRANSFER a risk – by insuring or passing the risk to a third party</p> <p>TAKE a risk – monitor to ensure the impact and likelihood do not change</p> <p>Risk of service failure can be minimised by ensuring effective Business Continuity Plans are in place. For guidance contact Laurie Grasty x4764..</p>	<p>Risks should be reviewed at least annually and whenever your business plans change.</p> <p>Remember risks evolve and change over time. Are the controls still effective?</p> <p>Your aim should be to:</p> <p>Manage threats that may hinder delivery of priorities and maximise opportunities that will help to deliver them.</p> <p>The Bromley Risk Register is maintained centrally by Audit and includes details of the risks, risk owners, controls and actions. Contact James Newell x4842.</p> <p>Further guidance on Risk Management can be found in the Managers' Toolkit on onebromley. This also provides links to the Risk Management Strategy, Risk Management Toolkit and Risk Register.</p> <p>The site also provides a link to the Health and Safety Unit who carry out H&S risk assessments. For guidance contact the Corporate Safety Advisor Charlotte Faint x7584.</p>

Report No.
ED18060

London Borough of Bromley

PART ONE - PUBLIC

Decision Maker: CHILDREN, EDUCATION AND FAMILIES POLICY
DEVELOPMENT AND SCRUTINY COMMITTEE

Date: Wednesday 9 July 2019

Decision Type: Non-Urgent Non-Executive Key

Title: BASIC NEED PROGRAMME UPDATE

Contact Officer: Robert Bollen, Head of Strategic Place Planning
Tel: 020 8313 4697 E-mail: robert.bollen@bromley.gov.uk

Chief Officer: Director of Education

Ward: (All Wards);

1. Reason for report

This report provides an update on the capital schemes included within the Council's Basic Need Programme

2. **RECOMMENDATION(S)**

2.1 **That Members note progress in the delivery of the Basic Need Capital Programme**

Impact on Vulnerable Adults and Children

1. Summary of Impact: This programme is currently benefitting local children through providing 1,710 temporary and 2,470 permanent school places in both mainstream and specialist settings since 2011.
-

Corporate Policy

1. Policy Status: Existing Policy
 2. BBB Priority: Children and Young People
-

Financial

1. Cost of proposal: Estimated Cost
 2. Ongoing costs: Non-Recurring Cost
 3. Budget head/performance centre: Education Capital Programme
 4. Total current budget for this head: £86,360k
 5. Source of funding: DfE Basic Need Capital Grant, DfE SEND Capital Grant, DfE Capital Maintenance Grant, S106 contributions
-

Personnel

1. Number of staff (current and additional):
 2. If from existing staff resources, number of staff hours:
-

Legal

1. Legal Requirement: Statutory Requirement
 2. Call-in: Applicable
-

Procurement

1. Summary of Procurement Implications: There are no procurement implications arising from this report. The procurement strategy for Basic Need has been set out in previous reports.
-

Customer Impact

1. Estimated number of users/beneficiaries (current and projected): In excess of 4,000 pupils in Bromley
-

Ward Councillor Views

1. Have Ward Councillors been asked for comments? Not Applicable
2. Summary of Ward Councillors comments:

3. COMMENTARY

- 3.1 This report provides a progress update on the delivery of the Council's Basic Need Capital Programme over the past year.
- 3.2 The Council receives Basic Need Capital Grant from the Department for Education (DfE) to support the delivery of sufficient school places, with a total of £77.8m so far allocated for 2011-2020. The Council has received no additional mainstream allocation for the years 2019-20 and 2020-21. Further allocations are awaiting the outcome of the Government's future comprehensive spending review.
- 3.3 The Council has recently received an additional SEN capital allocation of £1,207,688 in addition to funding announced by the DfE in 2017 and May 2018. These allocations are separate to the Basic Need Capital Grant that local authorities receive to support the capital requirement for providing new pupil places. The formula for allocation is based principally on projected population growth for children and young people aged 2-18 between the years 2018-19 and 2020-21.

Basic Need Allocation	
2011-12 allocation	£4,496,771
Autumn 2011 exceptional in-year allocation	£1,277,936
2012-13 allocation	£2,404,519
Spring 2012 exceptional in-year allocation	£1,590,436
2013-15 allocation	£9,968,079
2015-16 allocation	£20,635,153
2016-17 allocation	£21,666,911
2017-18 allocation	£8,837,573
2018-19 allocation	£6,895,846
Total allocation to date:	£77,773,224
SEND Provision Capital Funding	
2018-19 allocation	£865,510
2019-20	£865,510
2020-21	£865,510
Additional 2018-21 allocation (May '18)	£603,844
Additional 2018-21 allocation (Dec '18)	£1,207,688
Total allocation to date:	£4,408,062
Total Grant Funding	£82,181,286

- 3.3 The table above provides details of all the Basic Need Capital Grant and SEND Provision Capital Funding received by the Council.
- 3.4 In addition, the Basic Need capital programme also includes capital contributions from a range of other capital funding programmes including Capital Maintenance Grant and Section 106 contributions. These are detailed in Section 6 of this report.
- 3.5 Appendix 1 provides an update on those projects recently completed, currently being delivered or under development
- 3.7 Appendix 2 provides details of the Basic Need Programme and the funding allocated for individual projects. Projects are categorised as follows:
- A Completed projects, including projects that are in defects and yet to reach final account.

- B Projects in Delivery (Funded) – schemes that are in the delivery phase, including projects under construction and in procurement, and have available funding allocated to them to allow delivery
- C Projects in Delivery (Unfunded) – schemes that are not an immediate priority and are therefore not fully funded, but are being developed to a stage where they can be delivered when they are required and/or funding becomes available.
- 3.9 Since the last Basic Need Update Report to the Executive in July 2018, works have focused on the delivery of schemes in the funded programme.

4, IMPACT ON VULNERABLE ADULTS AND CHILDREN

- 4.1 The Basic Need Capital Programme has added 1,680 temporary and 2,470 permanent school places in mainstream and specialist settings, with a further 300 permanent places being added at Bishop Justus from September 2019 and 210 places at Stewart Fleming Primary School from 2020.

4. POLICY IMPLICATIONS

- 5.1 Bromley Council has an established policy for the review and strategic planning of school places and related school organisation. The need to ensure sufficient school places, the quality of those places and their efficient organisation is a priority within the Council's strategy 'Building a Better Bromley' and contributes to the strategy to achieve the status of An Excellent Council. This policy also contributes to key targets within the Education Portfolio Plan.

5. FINANCIAL IMPLICATIONS

- 6.1 The Council has been allocated £81m in 100% Basic Need Capital Grant and SEND Provision Capital Funding for the financial years 2011-21 to meet the need for mainstream, specialist and alternative provision school places. The programme also includes various transfers from other schemes to support the delivery of the Council's Basic Need Programme. Allocations have also been made to Basic Need to support other education capital schemes, resulting in a total current budget of £86.4m as shown in the table below.

	£'000s
Basic Need Allocation 2011-21	77,773
SEND Provision Capital Funding 2018-21	4,408
Total DfE mainstream and SEND place provision funding	82,181
Other funding streams	
Approved S106 allocations	3,595
Transfers from DfE Capital Maintenance Grant	1,294
Transfer from Reconfiguration of Special Schools Scheme	113
DfE payment for Trinity CE Primary School MUGA	301
	5,303
Total Basic Need Budget	87,484
Transfer to Highway Capital Project	-650
Transfer to Beacon House Capital Project	-577
Transfer back from Highway Capital Project to Basic Need	103
New Basic Need Capital Programme	86,360

- 6.2 The table above sets out the Council’s updated Basic Need Capital Programme including the most recent SEND Provision Capital Funding (£1,208k).
- 6.3 For the purposes of monitoring total Basic Need related expenditure, and to ensure that any underspends are returned to Basic Need, the £650k and £577k transfers to the Highway Primary Rebuild and Beacon House Refurbishment Schemes respectively have been added back in to the list of projects, and the Section 106 funding removed and shown as other funding. Other the past year £103k has been passed back to Basic Need from the Highway Capital project which is now closed.
- 6.5 To date, a total of £96.4m expenditure has been committed (completed schemes plus schemes in delivery), of which £77.8m is funded from the Basic Need Capital Grant. The balance of funding has come from a range of other funding sources that are detailed in Appendix 2.

7. LEGAL IMPLICATIONS

- 7.1 The distribution and application of monies received from Central Government is subject to guidance and advice from the Department for Education. Under Section 14 Education Act 1996 the Council has a statutory duty to ensure that there are enough primary and secondary school places are available to meet the needs of pupils in its area.
- 7.2 Section 106 monies must be spent in accordance with the Education contribution clauses.

8. PROCUREMENT IMPLICATIONS

- 8.1 This report provides details on the funding allocations and priorities for the Council’s Basic Need Capital Programme. The procurement strategy, as set out in previous Executive reports, is not altered by this report.

Non-Applicable Sections:	6. PERSONNEL IMPLICATIONS
Background Documents: (Access via Contact Officer)	[Title of document and date]

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APPENDIX 1 – PROJECT UPDATE REPORT

	School/Academy	Current Project Status	Description
B1	Beacon Academy Orpington	Project in Delivery (Funded)	<p>This project represents the final phase in the reorganisation of arrangements for education of children with Social Emotional and Mental Health (SEMH) needs, phase 1 being the opening of Beacon House in 2016. The accommodation on site has historically been considerably under the size recommended by BB104, the DfE’s guidelines for special school accommodation.</p> <p>Phase 1 which delivered external works was completed in Autumn 2019. Phase 2 which includes the new build block and partial refurbishment was completed in May 2019. Phase 3 which completes refurbishment is in the process of being awarded.</p>
B2	Bishop Justus	Project in Delivery (Funded)	The scheme expands the school from 6 to 8 Forms of Entry. The contract for the remaining works was awarded in March 2018 with completion due in 2019.
B3	Bromley Trust Academy (Nightingale PRU)	Project in Delivery (Funded)	New facilities to tackle inadequacies in current accommodation. A consultant is currently being procured to undertake the feasibility and design of the proposal.
B4	Oaklands Primary School	Project in Delivery (Funded)	Phase 1 works are due to complete in August 2019. Without these works there would be insufficient suitable accommodation for the school to admit 3FE across each year group and comply with class size legislation in KS1.
B5	Pickhurst Primary School (SEN & Access)	Project in Delivery (Funded)	In support of a new SEN resource provision, existing class spaces are being remodelled to provide New Hygiene and sensory room along with refurbishment of class spaces and dedicated outside play space. Contract awarded with works being undertaken summer 2019.

	School/Academy	Current Project Status	Description
A41	Poverest Primary School	Project in Delivery (Funded)	The project to expand the school from 2 to 3 Forms of Entry has involved the development of a new dining hall and entrance block, refurbishment of the existing school and conversion of the existing dining hall and children and family centre into a dedicated EYFS block. All works are now complete with the exception of some minor external adaptations and the project is in the defects phase.
B6	Stewart Fleming Primary School	Project in Delivery (Funded)	Final Phase of building works was awarded in May 2018 to enable expansion of the school from 2 to 3 Forms of Entry. Involves demolition of existing building, new 2 storey block with roof top play deck and refurbishment works. However, the contractor went into administration and the works have had to be re-tendered. The summer enabling works contract has been awarded and the Main Phase 2 works are due to be awarded by the Executive on 10 July 2019 with completion summer 2020.
B7	Trinity CE Primary School	Project in Delivery (Funded)	Refurbishment works at the former EDC to provide sufficient space for the school to admit to expand to 3FE. Tender in the process of being awarded.
C1	Farnborough School	Project in Delivery (On hold)	Following decision of planning appeal project is currently on hold.
C2	Red Hill Primary School	Project in Delivery (Unfunded)	Feasibility work underway on increasing the school KS2 Published Admission Number from 110 to 120, in order to ensure that all pupils leaving Mead Road Infant School have a guaranteed place at KS1 to KS2 transfer. Space planning and initial feasibility work complete.

	School/Academy	Current Project Status	Description
C3	St John's CE Primary School	Project in Delivery (Unfunded)	Proposal to expand school from 1.5 to 2 FE. School has taken bulge class in 2016. The scheme would also remove the last split year teaching in a non-rural Bromley School. Planning application has been developed but not submitted as school is currently ranked as Requires Improvement.
B7/ C4	Trinity CE Primary School	Project in Delivery (Unfunded)	Scheme has planning consent for a phased expansion from 2 to 4FE. New teaching and link blocks currently on hold until sufficient need and funding available.
C5	Marian Vian Primary School	Project in Delivery (Unfunded)	Local authority originally undertook feasibility of expansion from 3 to 4FE and school admitted bulge classes in 2015 and 2016. However, currently there is no need for additional school places due to 2 local Free Schools opening. Scheme being developed that would address present transports issues at site, the need to find a compliant use for the former Elmers End Children and Family Centre, provide accommodation for the bulge classes, replace the dilapidated Year 6 block and if needed allow the school to expand at a later date. The scheme will be funded from S106 when it becomes available and CIF funding (if school is successful in bidding). Planning application due to be determined July 2019.
C7	St Mary Cray Primary School	Project in Delivery (Unfunded)	Feasibility was completed during 2017 investigating whether there is an option to redevelop the school, including the neighbouring former Duke Youth Centre. Options from the feasibility to be further developed.

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APPENDIX 3 - BASIC NEED PROGRAMME 2011-21

	School	Description of Works	Type	Year (S)	Status	Project Cost	Funding Sources			Description	Budget Changes		
							Basic Need	SEND Capital	Other		Cost July 2018	Change	Explanation
Completed Projects													
A1	Balgown Primary School	Internal refurbishment	Bulge Class	2014	Complete	£10,000	£10,000				£10,000	£0	
A2	Balgowan Primary School	Access works at school	Access initiative	2017	Complete	£235,000	£200,000				£225,000	£10,000	
A3	Bickley Primary School	Kitchen works to complete 2FE expansion	Permanent Expansion	2010-11	Complete	£103,000	£103,000				£103,000	£0	
A4	Blenheim Primary School	Minor works to support admission of additional pupils	Bulge Class	2014	Complete	£23,877	£23,877				£9,983	£13,894	Includes costs of Feasibility and works
A5	Bronley Beacon Academy (Beacon House)	Refurbishment of site to provide vocational offer and extend services to KS2 and girls.	SEN Expansion	2015-16	Final Account	£4,897,412	£197,412		£4,700,000	DSG	£4,897,412	£0	Estimated final account below estimated project cost
A6	Bromley Beacon Academy (Orpington Site) Phases 1 & 2	External works and new build block	SEN Expansion	2017-19	Defects/ Final Account	£4,036,000	£3,728,600		£307,400	CIF Funding	£4,036,000	£0	Phase 2 complete May 2019

A7	Burnt Ash Primary School	Internal SEN unit modifications to address OfSTED recommendations	SEN	2013	Complete	£50,000	£50,000				£50,000	£0	
A8	Castlecombe Primary School	Permanent expansion of the school to 2FE in KS2 including temporary accommodation	Temporary Accommodation	2016-17	In defects	£3,564,662	£3,202,496		£362,166	DSG, CIF	£3,711,015	-£146,353	Removal of temporary classrooms about to take place
A9	Churchfields Primary School	Internal refurbishment, infill expansion, new nursery block	3 x bulge class, 1FE permanent expansion	2011-16	Complete	£1,367,000	£1,367,000				£1,367,000	£0	
A10	Clare House Primary School	Internal modifications to existing school, 3 temporary classroom units, demolition of existing school and construction of new 2FE school building.	3 x bulge class, 1FE permanent expansion	2011-2016	Complete	£6,756,736	£6,627,736		£129,000	DSG	£6,756,736	£0	
A11	Coopers School	Feasibility into options for expansion	Feasibility	2015	Complete	£5,000	£5,000				£5,000	£0	
A12	Crofton Infant School	New build class and facilities for additional 'Busy Bees' class	Additional SEN Unit Class	2014	Complete	£409,000	£384,000		£25,000	Access Initiative	£409,000	£0	

A13	Crofton Junior School	Access Works - New hygiene room, lift and ramps	Access initiative	2017	Complete	£392,442	£392,442				£400,000	-£7,558	Final Account reached
A14	Darrick Wood School	AccessWorks - acoustic partitions and associated ICT/M&E works	SEN	2012	Complete	£45,000	£45,000				£45,000	£0	
A15	Darrick Wood Infants School	Review of space at school	Site sufficiency	2014	Complete	£3,395	£3,395				£3,395	£0	
A16	Darrick Wood Junior School	Review of space at school	Site sufficiency	2014	Complete	£3,395	£3,395				£3,395	£0	
A17	Dorset Road	To allow school to admit 30 in each class	Potential Expansion	On hold	Feasibility	£24,000	£24,000				£0	£24,000	
A18	Edgebury Primary School	New build to support expansion from 1 FE to 2 FE	Permanent Expansion	2016	Complete	£4,455,174	£3,642,936		£812,238	S106 & Planned Maintenance	£4,455,174	£0	
A19	Farnborough Primary School	Internal refurbishment and FF&E	2 x bulge classes	2015 & 2016	Complete	£230,685	£230,685				£70,000	£160,685	Includes all costs associated with 2 bulge classes and feasibilities
A20	Glebe	New classroom block to support 2FE ASD secondary expansion	SEN Expansion	2015-16	Defects	£4,887,000	£0		£4,887,000	DSG, School, S106	£4,887,000	£0	Awaiting agreement on Final Account.
A21	Green Street Green	Feasibility on options to expand the school from 2FE to 3FE	Potential Expansion	2015	Complete	£58,211	£58,211				£0	£58,211	Previously Scheme in Development

A22	Harris Beckenham Green (Bromley Road Primary)	Internal remodelling/ refurbishment to provide accommodation for the re-organised school	Change of age range + linked to Worsley Bridge	2015-16	Defects	£1,124,988	£1,124,988				£1,124,988	£0	Additional Final costs resulting from dealing with historic nature of building
A23	Harris Primary Academy Crystal Palace	Minor refurbishment and temporary toilet unit to facilitate an extra form of entry in 2011 & 2012. Internal refurbishment and external works to Permanent support permanent expansion of school	3 x bulge classes and permanent expansion	2011-2016	Complete	£1,159,488	£1,138,688		£20,800	DSG	£1,159,488	£0	Amalgamated Costs all Phases. Estimated final account and associated costs above estimated project cost
A24	Harris Primary Academy Kent House	Modular accommodation to provide an additional form of entry in 2011.	Bulge Class	2011	Complete	£263,000	£263,000				£263,000	£0	
A25	Harris Primary Academy Orpington	Works to SEN Unit	SEN	2010/11	Complete	£100,000	£57,000		£43,000	Primary Capital Programme	£100,000	£0	
A26	Hawes Down Infants School	Internal refurbishments for single bulge class	Bulge Class	2012	Complete	£115,000	£115,000				£115,000	£0	
A27	Hawes Down Junior School	Additional class to admit bulge class from infant school and SEN Unit class	Bulge Class	2015	Complete	£829,325	£763,299		£66,026	S106	£829,325	£0	

A28	James Dixon Primary School	Temporary reception block and relocation of contact centre	2 x Bulge Class	2014 & 2015	Complete	£851,631	£729,951		£121,680	DSG	£851,631	£0	
A29	Keston CE Primary School	internal and external works to provide permanent facilities for 2012 class.	Bulge class	2012	Complete	£935,804	£935,804				£935,804	£0	
A30	Langley Park School for Boys	Internal refurbishment	Bulge class	2015	Complete	£56,000	£56,000				£56,000	£0	
A31	Leesons Primary School	Internal refurbishment and FF&E	3 x Bulge Class	2014-16	Complete	£30,000	£30,000				£30,000	£0	
A32	Leesons Primary School	Refurbishment of area separated from former day care centre and new teaching block to support 1 to 2 FE expansion	Permanent Expansion	2017-18	Procurement	£4,426,000	£3,816,216		£609,784	S106, Early Years Capital and Seed Challenge	£4,426,000	£0	Subject to Final Account
A33	Marian Vian Primary School	Internal works and FF&E For Bulge class in advance of new facilities being brought forward.	2 x Bulge Class	2015 & 2016	Complete	£154,869	£154,869				£58,140	£96,729	Includes bulge classes, feasibility and development of design
A34	Mead Road Infants School	Review of space at school	Site sufficiency			£19,080	£19,080						
A35	Midfield Primary School	Internal refurbishment, new classroom block and nursery	3 x bulge classes and permanent expansion	2012 -2015	Complete	£1,624,077	£1,606,277		£17,800	S106	£1,624,077	£0	

A36	Mottingham Primary School	Internal refurbishment, kitchen and utilities works	KS2 bulge classes	2014 & 2015	Complete	£1,019,340	£1,019,340				£1,019,340	£0	
A37	Oaklands Primary School	Conversion of former KS1 classroom to kitchen	Ensuring Sufficient Accommodation	2016	Complete	£97,086	£97,086				£97,086	£0	
A38	Parish CE Primary School	3 New reception classrooms, new teaching block and secondary path to support 2 to 3FE expansion	Permanent Expansion	2012 -2014	Complete	£3,509,000	£3,509,000				£3,509,000	£0	
A39	Parish Primary School	Kitchen works to support 2 to 3FE expansion				£175,000	£175,000				£146,620	£28,380	Tenders higher than PTE
A40	Poverest Primary School	Internal refurbishments	3 x Bulge Class	2014-16	Complete	£81,650	£81,650				£81,650	£0	
A41	Poverest Primary School	New accommodation block and refurbishment of dining hall and CFC to form new early years block, enabling 1 to 2 FE expansion	Permanent Expansion	2017-18	Procurement	£5,500,000	£4,833,000		£667,000	S106, Early Years Capital and School Contribution	£5,710,734	-£210,734	Subject to final account
A42	Red Hill Primary School	Improvement of toilet facilities to support increase in pupil numbers	Bulge Class	2012	Complete	£82,000	£82,000				£57,000	£25,000	Additional external works in support of taking additional pupils in KS2
A43	Ravensbourne School	Move Gym to provide new classroom	Bulge Class	2015-16	Complete	£950,890	£950,890				£950,890	£0	
A44	Ravenswood School	First stage of Feasibility	Feasibility	2015	Complete	£6,375	£6,375				£0	£6,375	Previously Scheme in Development

A45	Riverside School	New school hall and ASD specific entrance	SEN Expansion	2013-14	Final Account	£1,220,000	£817,147		£402,853	S106	£1,220,000	£0	
A46	Scotts Park Primary School	Refurbishment of early years area and temporary accommodation block	4 x Bulge Class	2012-14	Complete	£498,000	£463,000		£35,000	S106	£498,000	£0	
A47	St George's CE Primary School	Conversion of existing space to form single bulge class	Bulge Class	2015	Complete	£2,660,000	£2,581,410		£78,590	S106	£2,884,000	-£224,000	Cost of FF&E for additional bulge classes
A48	St John's CE Primary 2 Classroom refurbishment	Works during Summer 2017 to convert smaller spaces into classrooms	Bulge Classes		In defects	£369,898	£369,898				£200,000	£169,898	Includes bulge classes and development of proposals to planning stage
A49	St Mark's CE Primary School	Refurbishment of reception classrooms	Suitability	2013	Complete	£135,000	£135,000				£135,000	£0	
A50	St Marys Cray Primary School	Minor works to support admission of additional pupils	Additional Pupils	2012	Complete	£78,705	£78,705				£11,000	£67,705	Costs of taking additional pupils and feasibility
A51	St Nicholas CE Primary School	Expansion of School to 2FE Primary School	Potential Relocation and Expansion	2015 to 2016	Scheme on hold	£71,000	£71,000				£0	£71,000	Previously Scheme in Development
A52	St Paul's Cray CE Primary School	Mixed refurbishment and new build to allow expansion from 1 to 2 FE	Permanent Expansion	2015	Complete	£2,561,720	£2,462,199		£99,521	Early Year Capital, Seed Challenge, UKPN	£2,561,720	£0	
A53	Stewart Fleming Primary School	Temporary accommodation block and internal refurbishment	2 x Bulge Class plus decant accommodation	2015	Complete	£795,000	£421,000		£374,000		£795,000	£0	

A54	Stewart Fleming Primary School	Phase 1 of main school expansion	Expansion 2 to 3 FE		In defects	£2,945,000	£2,945,000				£0	£2,945,000	Reflects Phase 1 project is now complete and has been moved from projects in delivery
A55	Trinity CE Primary School	Temporary accommodation block and internal refurbishment, new access road and multi use games area	Bulge Class	2013-16	Complete	£1,781,772	£1,139,772		£642,000	S106, ESFA & DSG	£1,781,772	£0	
A56	Tubbenden Primary School	New unit classroom and ancillary accommodation	SEN Expansion	2017	Defects	£1,056,398	£171,602	£1,056,398	£42,000	School	£1,270,000	-£213,602	In defects
A57	Unicorn Primary School	Temporary Classroom and new build expansion to ensure sufficient hall space, new classroom accommodation for 'bulge' class and hygiene facilities	Bulge Class	2015	Complete	£1,438,000	£1,410,000		£28,000	DSG	£1,438,000	£0	
A58	Valley Primary School	Modular accommodation to facilitate an extra form of entry in 2011 & 2012.	Bulge Class	2011	Complete	£353,000	£353,000				£353,000	£0	
A59	Widmore Center	Review of accommodation	Feasibility		Complete	£7,000	£7,000				£7,000	£0	

A60	Worsley Pridge Primary School	Temporary modular classrooms for additional 2 classes in 2013, refurbishment and extension	Permanent Expansion and School Re-organisation	2013-16	Complete	£4,850,718	£4,756,718		£94,000	DSG	£4,850,718	£0	
A61	The Highway Primary School	Contingency to cover over-spend on project	Suitability	2010-11	Complete	£547,000	£547,000				£650,000	£-103,000	
A62	Capitalised Staffing Costs	Capitalised Project Management Costs	n/a	2013-18	n/a	£369,878	£369,878				£300,000	£69,878	Reflects Additional Year's costs
Cost of Completed Schemes						£76,405,681	£60,963,026	£1,056,398	£14,564,858			£2,841,508	

	School	Description of Works	Type	Year (S)	Status	Project Cost	Funding Sources			Description	Budget Changes		
							Basic Need	SEND Capital	Other		Cost July 2017	Change	Explanation
Projects in Delivery (Funded)													
B1	Beacon Academy (Orpington Phase 3)	Expansion of provision to KS2	Permanent Expansion	2017	Award	£1,184,000	£0	£1,184,000			£5,355,800	£-4,171,800	Phase 2 Tender awarded below PTE and inflation increase in cost estimate for Phase 3
B2	Bishop Justus	All Phases of Scheme	Permanent Expansion	2016-17	Construction	£4,820,000	£3,224,105		£1,595,895	S106	£4,571,000	£249,000	Tenders higher than PTE
B3	Nightingale (PRU)	New facilities				£1,205,000	£1,205,000				£0	£1,205,000	New Scheme
B4	Oaklands	Provision of New reception block to ensure school has sufficient pupil accommodation	Sufficiency and Suitability	2017-19	Construction	£2,512,000	£2,512,000				£1,887,300	£624,700	Only Phase 1 being delivered but involves works and costs to enable later phases

	School	Description of Works	Type	Year (S)	Status	Project Cost	Funding Sources			Description	Budget Changes		
							Basic Need	SEN	Other		Cost March 2016	Change	Explanation
Projects in Delivery (Unfunded)													
C1	Farnborough Primary School	Following failure to obtain planning consent works to bring school up to standard to accommodate 2 bulge classes	Bulge Classes	2017-18	Scheme on hold	£1,500,000	£1,500,000				£1,500,000	£0	
C2	Red Hill Primary School	To allow school to admit all children leaving Mead Road Infants School	4FE in KS2 (40 extra pupils)	TBC	Feasibility							£0	
C3	St John's CE Primary School	Refurbishment and new accommodation block to enable expansion 1.5 FE to 2 FE	Permanent Expansion	2017-18	On hold/Planning	£4,430,300	£4,430,300				£4,430,300	£0	
C4	Trinity CE Primary School	Remaining Phases for expansion to 4FE	Permanent Expansion	2017 -	Post Planning	£3,013,000	£3,013,000				£3,600,000	-£587,000	Reflects additional works being delivered in line B7
C5	Marian Vian Primary School			TBC		£4,002,000	£4,002,000				£4,002,000	£0	
C6	Scotts Park Primary School	New classroom block to complete 2 to 3 FE expansion	Permanent Expansion	TBC	On hold/Planning	£2,970,000	£2,970,000				£2,970,000	£0	

C7	St Mary Cray	Re-organisation of school and Duke Youth Centre	Re-development	TBC	Feasibility	£2,970,000	£2,970,000				£2,790,000	£180,000	
Total cost of schemes in delivery						£18,885,300	£18,885,300					-£407,000	

Report No.
ECHS19054

London Borough of Bromley

PART ONE - PUBLIC

Decision Maker: **Schools' Forum**

Date: **20th June 2019**

Decision Maker: **Education, Children and Families Policy Development and Scrutiny Committee**

Date: **9th July 2019**

Decision Type: Non-Urgent Non-Executive Non-Key

TITLE: SPENDING BY PRIMARY, SECONDARY AND SPECIAL MAINTAINED SCHOOLS IN 2018/19

Contact Officer: Mandy Russell, Head of Schools' Finance Team
Tel: 020 8603 3572 E-mail: amanda.russell@liberata.com

Chief Officer: Jared Nehra, Director of Education

Ward: Boroughwide

1. Reason for report

1.1 This report provides information on all revenue and capital balances held by Primary, Secondary and Special Maintained Schools as at 31 March 2019, and also provides a comparison to the balances held at the same time in the previous year.

2. **RECOMMENDATION(S)**

2.1 **The Committee is invited to consider the financial position of Primary, Secondary and Special Maintained Schools at the end of the 2018/19 financial year and to identify any matters for specific comment and referral to the Portfolio Holder.**

2.2 **The Schools' Forum is asked to note the balances for information.**

Corporate Policy

1. Policy Status: N/A
 2. BBB Priority: Children and Young People
-

Financial

1. Cost of proposal: N/A
 2. Ongoing costs: N/A
 3. Budget head/performance centre: Dedicated Schools Grant 2018/19
 4. Total current budget for this head:
 5. Source of funding:
-

Staff

1. Number of staff (current and additional) – N/A
 2. If from existing staff resources, number of staff hours – N/A
-

Legal

1. Legal Requirement: Non-statutory - Government guidance:
 2. Call in: Applicable
-

Customer Impact

1. Estimated number of users/beneficiaries (current and projected) - N/A
-

Ward Councillor Views

1. Have Ward Councillors been asked for comments? No
2. Summary of Ward Councillors comments:

3. COMMENTARY

- 3.1 This report highlights the financial position of Primary, Secondary and Special Maintained Schools as at 31 March 2019 the end of the 2018/19 financial year.
- 3.2 Balances are reported in accordance with the DfE Consistent Financial Reporting (CFR) Regulations. This is the framework for reporting income and expenditure and balances. It provides schools with a benchmarking facility for comparison between similar schools to promote self-management and value for money. A CFR return is produced for all schools maintained by the Local Authority as at 31 March 2019.
- 3.3 The CFR framework consists of five balances, which provide an overall picture of a school's resources available from one year to the next, and gives information on balances carried forward. The balances are categorised as follows:
- BO1 Committed Revenue Balances
 - BO2 Uncommitted Revenue Balances
 - BO3 Devolved Formula Capital Balances
 - BO5 Other Capital Balances
 - BO6 Community Focused Extended Schools Balances
- Nb BO4 Other Standard Fund Capital Balances has been deleted as it related to standards funds which no longer exist.
- 3.4 The average level of revenue balances (BO1 and BO2) both committed and uncommitted for Maintained Primary School stands at 11% of School Budget Shares which remains unchanged from end of 2017/18. Secondary school balances have decreased significantly from 7% to 0%. Special School balances remain unchanged at 8%.
- 3.5 A comparison of the levels of school balances as at 31 March 2019 compared to the previous year is shown in the table below.

	Primary Schools £000	Secondary Schools £000	Special Schools £000
Revenue balances only as at: 31.03.19			
Committed Revenue Balances (BO1)	48 (1%)	0 (0%)	171 (2%)
Uncommitted Revenue Balances (BO2)	681 (10%)	3 (0%)	557 (6%)
	729 (11%)	3 (0%)	728 (8%)
Revenue balances only as at: 31.03.18			
Committed Revenue Balances (BO1)	57 (1%)	28 (0%)	169 (1 %)
Uncommitted Revenue Balances (BO2)	509 (10%)	333 (7%)	597 (7 %)
	566 (11%)	361 (7%)	766 (8%)

- 3.6 Full details of schools balances can be seen at **Appendix 1**

- 3.7 All schools with balances in excess of 8% have been asked to complete a proforma detailing the reason for holding a high balance and their plans for reducing the balance in year.
- 3.7 The DFE also require further analysis to be undertaken in relation to this data. LAs are required to provide information on how they are proposing to address the issue if an:

A: LA has overspent its Dedicated Schools Grant by 2% or more (ie it is 2% or more in deficit)

B: LA has underspent its Dedicated Schools Grant by 5% or more (ie it is 5% or more in surplus)

C: LA has 2.5% of its schools that have been in deficit of 2.5% or more for the last 4 years and their individual deficit must have been at least £10,000 each year. We will only ask LAs for more information where at least three schools in the LA meet the criteria

D: LA has 5% of schools that have had a surplus of 15% or more for the last 5 years and their individual surplus must have been at least £10,000 each year. LAs will only be asked for more information where at least three schools in the LA meet the criteria.

Schools that would fall into these categories have been highlighted on the table at **Appendix 2** – for 2018/19 no schools fall into this category.

- 3.8 This report also provides information on those schools with a deficit revenue balance. As at 31 March 2019, there were no schools with a deficit balance.
- 3.9 In accordance with DfE requirements the SFT will work with schools with high balances to ensure that they are being used effectively. Schools are advised that revenue funding is allocated on an annual basis to support the cost of education for their current pupils and therefore it is not acceptable for schools to retain high levels of revenue funding to protect against possible funding reductions in future years.
- 3.10 **Appendix 3** shows a statement from each of the schools with large uncommitted surplus balances outlining the reasons for this and the management action to be taken to reduce the balances to a reasonable level.

4. FINANCIAL IMPLICATIONS

- 4.1 Whilst this report provides details of school balances, there are no financial implications to be considered.

Non-Applicable Sections:	Policy, Legal and Personnel Implications
Background Documents: (Access via Contact Officer)	

	2018-19								2017-18			Appendix 1	
	BO1 Committed Revenue Balances	BO2 Uncommitted Revenue Bal 31/03/2018	B02 Rev Bal as % of 2019/20 SBS	BO1 & B02 Rev Bal as % of 2019/20 SBS	School Budget Share 2019-20	BO3 Devolved Formula Cap Balances	BO5 Other Capital Balances	BO6 Community Focussed Ext Schools	Total Balance C/fwd as at 31-Mar-18	BO1 Committed Revenue Balances	BO2 Uncommitted Revenue Bal 31/03/2017	B02 Rev Bal as % of 2017/18 SBS	BO1 & B02 Rev Bal as % of 2017/18 SBS
Primary Schools	£	£			£	£	£	£	£	£	£		
Bickley Primary	18,041	73,808	4%	6%	1,652,686	23,716	0	0	115,565	28,157	84,683	5%	7%
Downe Primary	0	53,290	11%	11%	470,889	15,773	0	0	69,063	0	28,224	6%	6%
Edgebury Primary	0	185,736	15%	15%	1,237,295	14,464	0	0	200,200	0	76,655	7%	7%
Poverest Primary	23,505	211,844	12%	14%	1,723,303	13,015	13,163	0	261,527	18,993	185,828	11%	13%
Southborough Primary	6,616	156,647	9%	9%	1,822,255	3,847	28,600	0	195,709	10,320	133,757	7%	8%
Sub-total	48,161	681,325	10%	11%	6,906,428	70,814.91	41,763	0.00	842,064	57,470	509,146	10%	11%
Secondary Schools													
St. Olaves	0	3,267	0%	0%	5,243,221	0	65,712	0	68,978	28,000	333,248	7%	7%
Sub-total	0	3,267	0%	0%	5,243,221	0.00	65,712	0.00	68,978	28,000	333,248	7%	7%
Special Schools													
Marjorie Mcclure	131,553	95,419	4%	9%	2,588,620	12,341	0	0	239,313	105,989	95,547	4%	8%
Riverside	39,509	461,657	7%	8%	6,205,665	38,082	33,913	33,141	606,302	62,946	501,556	8%	9%
Sub-total	171,062	557,076	6%	8%	8,794,285	50,423	33,913	33,141	845,614	168,935	597,103	7%	8%
TOTAL	219,223	1,241,667	6%	7%	20,943,934	121,238	141,387	33,141	1,756,657	254,405	1,439,497	8%	9%

	2018-19		2017-18		2016/17		2015/16		2014/15	
	BO1 & B02									
	Combined	Rev Bal								
	Rev Bal	as %								
Primary Schools		of 2019/20		of 2018/19		of 2017/18		of 2016/17		of 2015/16
		SBS								
Bickley Primary	£91,848	6%	£112,840	7%	£201,053	12%	£112,840	7%	£211,532	13%
Downe Primary	£53,290	11%	£28,224	6%	£658	0%	£28,224	6%	£21,322	4%
Edgebury Primary	£185,736	15%	£76,655	7%	£82,699	8%	£76,655	7%	£165,309	16%
Poverest Primary	£235,349	14%	£204,820	13%	£248,163	18%	£204,820	13%	£234,088	12%
Southborough Primary	£163,263	9%	£144,077	8%	£179,247	10%	£144,077	8%	£149,406	8%
Secondary Schools										
St. Olaves	£3,267	0%	£361,248	7%	£500,677	10%	£361,248	7%	£460,919	9%
Special Schools										
Marjorie McClure	£226,972	9%	£201,536	8%	£173,576	7%	£201,536	8%	£136,847	2%
Riverside	£501,166	8%	£564,502	9%	£431,123	8%	£564,502	9%	£354,630	7%

School: Southborough Primary

If the balance of B02 on the CFR Report shows a surplus of more than 8% of the 2019/20 School Budget Share, please include details of how the school plans to reduce the surplus.

Final Year End Balance 2018/19	£156,647	(A)
Balance as % of 2019/20 SBS	9%	

Brief explanation of reason for high balances:

Over the last three years strategic planning and budgeting has been most problematic. This has been due to a number of reasons including;

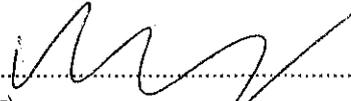
- Lack of clarity about funding pay rises
- Lack of clarity about pay rises
- Lack of clarity about budgets from year to year
- Lack of clarity about funding of increases to employee pension increases
- Decreases in real terms of school budget share

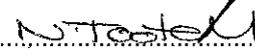
This has meant that strategic planning has been most difficult. We have taken the decision at Southborough to be prudent in our spending and to dynamically oversee the budget on a day to day basis. This has meant that we have made savings over this financial year to enable us to fund staffing for the next year.

The reason for the slightly high balance is due to our prudence and efficiency in running the budget this year ensuring that we have monies to carry forward to mitigate against the cuts we have received in our budget for the next financial year. This will mean that we are able to continue with our staffing levels for the next financial year.

It is worth mentioning that the school has had high levels of attainment and progress over the last three years, within the top 10% of schools nationally and this is due to our staffing levels.

	£
Additional teacher in year 6 (0.8)	£44,280
4 TA's @ £20 429	£81,716
Retention of 3rd Assistant Head	£30,192
Total Planned Expenditure	£156,188 (B)
Total Unallocated	£459 (A) - (B)

Signed  Date: 2/5/19
 (Headteacher)

Signed:  Date: 2/5/19
 (Chair of Governors/Chair of Finance)

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School: Poverest Primary

If the balance of B02 on the CFR Report shows a surplus of more than 8% of the 2019/20 School Budget Share, please include details of how the school plans to reduce the surplus.

Final Year End Balance 2018/19	£211,844	(A)
Balance as % of 2019/20 SBS	12%	

Brief explanation of reason for high balances:	
<p>£37 k of funding received in March that had not been notified to the school earlier.</p> <p>Delay to some capital projects.</p>	

Brief description of planned expenditure with detailed costings:	£	
Reception Canopy sides	4500	
Rendering	3500	
Reception Climbing Frame	5000	
Improved CCTV	2250	
Subsidising Revenue overspend planned for 2019-2020	54000	
Total Planned Expenditure	69250	(B)

Total Unallocated	£	(A) - (B)
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Signed  Date:..... 01/05/2019
 (Headteacher)

Signed :  Date:10.05.2019.....
 (Chair of Governors/Chair or Finance)

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School: Edgebury Primary

If the balance of B02 on the CFR Report shows a surplus of more than 8% of the 2019/20 School Budget Share, please include details of how the school plans to reduce the surplus.

Final Year End Balance 2018/19	£185,736	(A)
Balance as % of 2019/20 SBS	15%	

Brief explanation of reason for high balances:	
<p>Following a difficult financial year ending March 2018, we conducted a very tight budget 2018-19.</p> <p>Several areas of expenditure (listed below!) were put on hold until we could be sure the schools finances were able to accommodate them whilst also allowing for unexpected costs such as maternity/ sick leave.</p>	

Brief description of planned expenditure with detailed costings:	£	
Subject Leaders resources	18,000	
New classroom set up resources & furnishings	15,000	
Release Deputy from Class 2dys p/week from May half term 3dys x 7wks (supply £3,990 or UPS	4,340	
Sports premium equipment	8,000	
Part playground refurbishment	15,000	
Boiler refurbishment	5,000	
New laptops & replace PC hard drives	20,000	
Additional TA dedicated to SEN support	16,000	
Additional fencing (H&S)	4,000	
Hall speakers & lighting	4,000	
New dining tables, chairs, kitchen equipment, dishwasher for expanding school	2,000	
Total Planned Expenditure	£111,340.00	(B)

Total Unallocated	£74,396.11	(A) - (B)
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Signed *J-Box* Date: *7/05/19*
 (Headteacher)

Signed : *John Dux* Date: *7.5.19*
 (Chair of Governors/Chair of Finance)

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