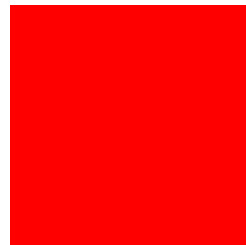
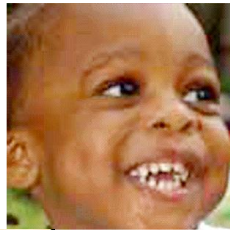


# Introduction Booklet

## Voluntary Managed Childcare Provision.

“A Quality Start for Children”



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### Introduction

Welcome - you are taking on a very valuable role that will give huge benefit to the children and families of your local community.

Warwickshire has many childcare settings run by the voluntary sector, which meet the needs of rural communities and ensure that families are able to access quality childcare provision and funded nursery entitlement locally.

Warwickshire County Council (WCC) currently has a specialist team available that can work with you and your setting, to advise and support you in your role - to ensure quality provision is supplied and maintained to the children that attend.

Our service provides business, financial and quality support for Ofsted registered childcare providers within Warwickshire.

As part of the service, we can support with:

- Sustainability
- Business Planning and Cash flow forecasting
- New provisions
- Marketing and Fundraising
- Committee / director support
- Signposting
- Quality practice and Ofsted support including Professional Development Meetings.
- Staff training and development including Safeguarding and Safer Recruitment.

The Early Years & Childcare Entitlements, Sufficiency and Business team also monitor and audit the Early Education Funded Places that may be delivered by the setting, and support placement of eligible 2 Help children.

Early Years and Childcare is a sector that is changing and developing on a regular basis and it is essential that each setting's management maintains a clear understanding of the current information that applies.

### Know your legal structure

A voluntary managed organisation is a committed group of people who manage a community service.

It is essential that as an individual and a group you clearly understand the legal structure and wider requirements of the business that is being managed.

Many long standing settings are established on a charitable, not for profit basis and voluntary management is a pre-requisite for this. The outcomes for children are the main aim of the organisation and any profit is reinvested into the setting.

Long standing groups that were formed as charities also held status as unincorporated. This essentially means that each individual that forms the committee is **personally** legally and financially responsible for all areas of the business.

As the climate has changed and legal implications have developed there are now a number of voluntary run structures that are used, with many now offering limited liability.

You must identify and understand the legal structure of your group, to ensure that you and the rest of the volunteers are meeting all obligations by following the correct legislation and reporting requirements for the sector.

#### Unincorporated Organisation

This type of organisation can register as a charity and is relatively cheap to set up. The purpose of the organisation remains generally with the collection of individuals, as it will have no separate legal existence. The individual committee members and in some cases the members of the organisation, are personally responsible for the organisation's activities and finances including debts.

#### Incorporated Organisation

There are a number of different forms of this type of organisation that have different requirements and reporting responsibilities. This model is generally preferred in today's climate if the business is involved in taking on any significant financial commitments e.g. employment of staff, premises commitments, grants etc.

In most situations the incorporated organisation holds its own separate legal identity and the personal liability to the individuals running it is protected.

Removing all personal responsibility is not possible if it is found that individuals have acted fraudulently, breached statutory duty, or are proven to have carried out a criminal offence.

Examples of structures used in the sector: -

Unincorporated: -

- Charitable trust
- Unincorporated Organisation
- Charity

Incorporated: -

- Charitable Ltd Company
- Company Ltd by Guarantee
- Charitable Incorporated Organisation
- Community Interest Company

A bit of both!

- Registered Charity, Unincorporated with a Ltd Company (Incorporated) running as a trading arm.

### Governing documents

Whatever the legal entity of the voluntary run organisation, it will have its own set of governing documents. As a new volunteer you must request and read a copy, to ensure you clearly understand your role and responsibilities. This should also be made available to wider members of the group.

This written document will give the clear aims and objectives for the running of the organisation and will include information on: -

- Membership and election.
- Powers of trustees / members.
- Meetings – types and keeping them legal.
- Financial reporting and recording.
- How changes can be made.
- Dissolution (closure).

As well as clear aims it gives: -

- Point of reference and written guidance to the volunteers and members.
- Core purpose which should follow legal guidelines for validity.
- Accountability and a clear decision making process, which external parties with an interest in the group can see.

It is essential that the document meets the needs of the group and it should be reviewed annually to ensure it is reflective of the current climate.

Settings that are registered as a charity are required to notify the Charity Commission of any newly adopted governing documents or if any amendments are made to existing ones. A copy will be retained by them for public information.

The governing document for the group will either be called its constitution, or memorandum and articles of association.

Model governing documents can be purchased from professional membership bodies (sector specific) and in some circumstances it may be a requirement of membership that the professional bodies governing documents are used.

Changes to model documents must be made with caution and only following consultation with the professional bodies. Some professional bodies will have pre-agreed model documents with reporting bodies e.g. Charity Commission, which ensures they meet the necessary legal requirements.

The running of the organisation must be managed in line with the constituted document at all times.

This includes the relevant meetings, how the committee / trustee board is compiled and where appropriate, if the group changes its model or closes.

### Roles and Responsibilities

The individuals that make up your board will be required to manage the business in line with the governing document – this applies to all legal structures.

Specific roles are often included in the structure which ensures that all necessary work is fulfilled. The key roles will have specific tasks included within them.

All individuals that make up the management board must adhere to and operate within the constraints of the governing document and wider legal requirements e.g. confidentiality policy and Ofsted, that apply to the childcare sector.

It is essential that all members respect each other's points of view and continually work with integrity. A confidentiality agreement is recommended and should be signed by all, with a clear understanding of its meaning, both internally within the group and externally amongst the community.

The lists below give specific roles and key tasks, however in some organisations parts of these roles may be outsourced e.g. payroll or be completed by other individuals of the management board or the childcare staff e.g. invoicing.

What is essential to remember is that even where work is not carried out directly by the board themselves, the collective group is always ultimately responsible for ensuring everything is carried out.

REMEMBER: Ignorance does not count when accountability is questioned.

#### Chair

**This role is the lead member but is not solely responsible for the organisation or for undertaking all work. This remains the responsibility of the whole committee / board of directors / trustees etc. Some of the below responsibilities will need to be shared with other committee individuals to ensure fair management of tasks.**

- Bring together the committee / directors / trustees group.
- Manage the board to effectively manage the staff team.
- Manage committee meetings.
- Lead AGMs / EGMs and other meetings representing the setting.
- Lead meetings and decision making.
- Line management of setting's senior manager including appraisal and supervision.
- Meet, implement and ensure legal requirements are maintained (policies, procedures, Ofsted etc.)



## People Group

- Ensure confidentiality is maintained.
- Recruit staff and committee.
- Keep up to date with relevant information and ensure the full board are informed.
- Act as signatory.
- Instigate regular reviews of all documents relevant to the setting.
- Hold the casting vote.
- Liaise with external organisations e.g. Warwickshire County Council – audit of funding, business health check.
- Monitor the quality of the setting and understand the national childcare requirements.
- Identify and ensure staff and committee training requirements are met.
- Support all board members to achieve a high quality management board.
- Oversee premises needs e.g. lease, repairs, negotiation.

### **Secretary**

- Administrative support.
- Ensure agenda of meetings is circulated 2 weeks prior to meetings and supply minutes no later than 2 weeks after the meeting.
- Accurately minute meetings, recording decisions and actions, distribute copies.
- Act as correspondence point and circulate information to others as required.
- Manage DBS checks.
- Recruitment support – application packs etc.
- Co-ordinate AGM with chair.
- Organise meeting venues, bookings etc.
- Communications / letters to parents.

### **Treasurer**

- Compile financial statements for meetings.
- Prepare present and future financial forecasting information.

- Set and agree forecast figures with whole committee.
- Annual audit / annual returns responsibility – Charity Commission, Companies House etc.
- Maintain and reconcile finances and bank statements.
- Ensure financial procedures and controls are in place.
- Work alongside any others handling cash for the setting.
- Ensure that invoicing, bill payment, banking etc are undertaken in a secure way.
- Payroll.
- Manage insurance policies and inventories.
- Work with whole committee to complete grants applications, review fees, salaries etc.

### **Committee Member (applies to all including key officers)**

- Actively participate in meetings.
- As part of group oversee finances and contribute to decisions.
- Inform business planning and financial forecasting.
- Be aware of and ensure that all legal requirements are met.
- Review and develop the policies and procedures in line with all requirements.
- Ongoing evaluation of service, ensuring it meets the needs of users.
- Support with recruitment of staff and committee members.
- Vote in meetings.
- Undertake any task required of the role.
- Be a positive representative of the setting to staff and parents.
- Fund raising.
- Respect and value strengths of all members.
- Work as a team.

### **Know your titles:**

In order to ensure effective working relations with other agencies, it is essential that as a management board you use the correct reference to your positions. Different

structures will involve different responsibilities and liabilities. Be clear when referring to the organisation and use correct terminology to avoid confusion.

Unincorporated organisations – committee

Incorporated organisations – directors

Charities and trusts – trustees

## Managing Meetings effectively

It is essential to make best use of meeting times for all. Meetings needs to be undertaken, at a minimum, in line with that stated in the governing document and effectively managed to ensure time is used efficiently.

### **Why meet?**

- Information sharing
- Updates and Evaluation
- Decision Making
- Review and progress relevant issues
- Ensure team working
- Meet legal duties

### **Ensuring efficiency?**

- Meeting and agenda items - time limited
- Manage the social aspect – this can take over
- Chair must maintain focus on agenda items and manage the meeting
- Good preparation – focused agenda, stay on track, prompt start
- Identify suitable times / venues
- Commitment to the cause from all – lots of apologies results in inefficiency
- Make understanding information as simple as possible – limit jargon
- Manage strong personalities
- Be efficient when reviewing previous minutes and matters arising
- Accurate minutes taken, showing clear actions and timed completion
- Ensure all feel comfortable to question items that need further clarity
- A.O.B – for minor matters – No huge surprises!
- Include some rolling agenda items for consistency – Safeguarding, finance update, Managers report
- Chair should summarise to conclude the meeting, defining action points

### Recruiting Members

In many cases this process becomes more of an 'arm twisting' process. It is essential to make this a positive process, similar to staff recruitment. The current voluntary management board often feels it is not in a position to do this, but it is essential to recruit effectively and with integrity.

The governing document will give clear guidance on how many individuals are required to make up the management board, when and how people can be recruited and (on very rare occasions) the process for removing unsuitable individuals.

Ensuring new recruits within the board keeps the management team fresh with a continued drive for success. It gives individuals the opportunity to give something back to the setting and the wider community and allows them to use their wider skills to benefit the group and indirectly their own and others' children.

Too frequent and / or whole board changes can have a negative effect on the management - a clear vision of regular recruitment, with a long term succession plan and a few in / few out routine is the most effective model.

#### Skills Set

To ensure a robust board it is essential to identify what skills are required for the running of the setting.

Some suggested areas of useful skills are: -

- Childcare / teaching
- Organisation and fundraising
- Finance / accountancy
- I.T
- Legal
- Administrative
- Team management
- Business and marketing
- HR and recruitment

When looking at identifying new individuals, think about advertising to the wider community. Many people have a keen interest in keeping local, not for profit organisations alive within their area and will step forwards to help. The most effective management board will be made up of a varied mix from both parent and non-parent individuals of a variety of ages and backgrounds.

Develop an induction pack to help support new members and allow them time to absorb the relevant information. See also Safeguarding Section.

### The Employer's Role

The voluntary management board is responsible for the appropriate recruitment and retention of the staff team that run the childcare provision on a day to day basis.

It is essential that the board works closely alongside the team, as they are the professionals delivering the service on the board's behalf.

The board may be reliant on the staff for the detailed knowledge and understanding of how the provision is required to run and how the legislation applies directly to the service.

Employment law can change annually and the board must ensure that it is meeting the statutory employment requirements as well as those relevant to the childcare sector – [www.gov.uk](http://www.gov.uk) for further information.

Employment contracts should be issued and regardless of what is in writing in a contract both employers and employees are expected to abide by certain obligations.

The employer must:

- Pay wages as agreed
- Provide work
- Ensure a safe workplace
- Cover out of pocket expenses
- Provide reasonable notice
- Maintain a relationship of trust and confidence and behave reasonably to the employee

The employee must:

- Give faithful service to the employer
- Obey reasonable and lawful orders in line with their contract
- Maintain confidentiality
- Exercise reasonable care and skills

The Employer must meet certain legal rights towards the employee:

- Equality - equal pay, without discrimination etc.
- Appropriate leave – annual entitlement, maternity, paternity, adoption, sick etc.
- Contracts – written statements, written notice of termination, flexible working etc.
- National Minimum Wage, National Living Wage – minimum wages that must be paid to employees of specific ages – rates are reviewed annually by government
- Pension obligations

Things to consider as employers: -

- Know the basic rights of employees, and employer obligations
- Are Health and Safety policies and Risk Assessments in place?
- Do staff have contracts including written statement of terms and conditions – that include information on: - sickness, absence, annual leave entitlement?
- Are there disciplinary and grievance procedures in place?
- Does the setting have a robust induction procedure including probation periods, staff handbook etc?
- Pension information – statutory for all businesses to provide workplace pensions from 2013 – [www.gov.uk](http://www.gov.uk) / Pensions Regulator - for more information

Additional policies and / or procedures for: -

- Salary reviews
- Staff supervision and appraisal (See also EYFS)
- Maternity / Paternity / adoption and parental leave
- Compassionate leave
- Requests for flexible working
- Absence
- Redundancy
- Whistle blowing

### HM Revenue and Customs

The employers must be registered with HM Revenue and Customs – tax and NI contributions must be paid in line with legal requirements – failure to do this can result in fines.

External support may need to be accessed for payroll services, to ensure all correct practices are completed – <https://www.gov.uk/government/organisations/hm-revenue-customs>

### Recruitment of staff

The employer's role includes ensuring individuals employed to work in the childcare provision are safe, suitable and qualified to undertake the specific role (Ofsted - Requirements of the Early Years Register and Childcare Register).

The relevant qualifications required for roles are stipulated in the Early Years Foundation Stage and the Requirements of the Childcare Register.

As well as statutory employment requirements, the board are responsible for undertaking safe recruitment of staff.

There must be robust systems in place that cover the whole recruitment process from deciding on role requirements, advertising, interviewing, selection and deeming suitability.

This process of deeming suitability of individuals must be recorded in the setting's Single Central Record to ensure that all decisions can be evidenced.

You need to know what documentation is in place for: -

- Advertising positions including safeguarding information
- Application process – application forms, monitoring form, short listing process, selection process, suitability checking.
- Induction – handbook, procedure

Settings offering Early Education Funding for eligible 9 month old, 2, 3 and 4 year olds must comply with any wider safeguarding requirements which include having individuals trained in Safer Recruitment.

The board must ensure it has a succession plan in place for when board members change.



### Ofsted

Ofsted is the government body responsible for registration, inspection and enforcement for childcare providers and is the sole arbiter of quality in provision.

Ofsted's legal power is set out in the Childcare Act 2006 and gives protection for children and reassurance to parents.

Inspecting registered childcare providers contributes to improving the quality of childcare and early education by making judgements about the quality of the care that childcare providers offer, and recommendations about how to improve this. Registered childcare providers must show evidence of their continued suitability and how they meet the relevant requirements at inspection.

Ofsted often receives information from parents and others about childcare provision. To ensure that registered providers continue to remain suitable for registration, Ofsted may carry out an inspection, refer the information back to the provider, or investigate the matter without carrying out a full inspection.

Where childcare providers cannot give evidence that they meet requirements, Ofsted may give them actions to improve. Where there are serious concerns, Ofsted may take other enforcement action to bring about improvement. These powers include, in extreme cases, prosecution and refusal, suspension or cancellation of registration.

There are two registers that providers can register on:

- ❖ The [Early Years Register](#) (children from birth to 31 August after fifth birthday) – must meet and follow the requirements of the register which include The [Early Years Foundation Stage \(EYFS\)](#)
- ❖ [Childcare Registers](#) (made up of two parts - Compulsory - children from 31<sup>st</sup> August after fifth birthday to seven and Voluntary - children over 8) and must meet the requirements of the Childcare Registers

*Copies of the above legislations must be read by all new board members to ensure a clear understanding of the service they are agreeing to deliver.*

#### **The Registered Person:**

This can be either one individual, or an organisation made up of a number of individuals. The registered person is the entity which has overall responsibility for the childcare.

**For childcare that is run by a voluntary management board, the committee, or directors as a whole body are the registered person.** If Ofsted takes action against the registered person who fails to meet legal requirements, this can include

action being taken against individual committee members of an unincorporated organisation. For Incorporated organisations, action would be taken against the limited company **not** the individuals.

**Nominated Person:** There will be one member of the management board that will be required to take on the role of nominated person. This role does not mean they hold any more responsibility than the other members, but they will act as a point of contact with Ofsted for any communication required e.g. notifying changes. This person is also responsible for ensuring that all other members of the management board and staff team are kept informed of any information relating to the registration.

**Suitability:** For settings registered on the Early Years Register and / or the Compulsory part of the Childcare Register, Ofsted will make decisions on whether each individual of the management board is suitable to have contact with children. Changes to any individual's membership following an AGM, EGM or any resignation must be notified to Ofsted. Any new individual will be required to complete a DBS check via Ofsted, sign up for the annual update service (not compulsory but strongly recommended) and an EY2 form online and submit it to Ofsted. The person's suitability will then be checked and confirmed by Ofsted.

For key roles e.g. chairperson and / or Nominated Person, Ofsted may carry out a visit and a suitable person interview with the individual concerned.

In very rare cases suitability may be declined – the board must have a process in place for dealing with this rare occurrence.

**Management Board:** In very rare cases the organisation may fail to find a new management board, and in a situation where no individuals are available to make up the registered person Ofsted must be notified immediately. Ofsted will make a decision on a case by case basis about the registration continuing.

**Childcare on Non-Domestic Premises:** Where childcare takes place on non-domestic premises, it is the responsibility of the management board to carry out suitability checks on any staff members or other individuals that live or work on the premises where the childcare is provided. The management board are responsible for carrying out checks and making decisions that ensure that all people, including volunteers, are suitable and allowed to have contact with children. (See further information – Early Years Foundation Stage – Statutory Framework).

### Inspection

All settings are inspected by Ofsted and will be inspected at least once within a given inspection cycle. For settings with a 'good' or 'outstanding' grading this is likely to be within a 6 year period.

For settings that have received a grading of 'Inadequate' or 'Requires Improvement' there should be a re-inspection within 12 months or sooner. The local authority has a duty to support these settings to improve.

The Ofsted report for the setting will be placed on the Ofsted website and is a public document.

**Registration Fee** – the setting is required to pay an annual registration fee based on the service provided, to remain registered with Ofsted and to continue to operate. In the event that the fee is not paid, the registration will be cancelled and the provision may no longer be able to operate.

## Safeguarding

The voluntary management board has the responsibility of ensuring that all areas of safeguarding children within the provision are met.

The setting should have an up to date Safeguarding Children Policy in place that includes the necessary procedures for Warwickshire Front Door services (Formerly MASH). The policy must also include a procedure for dealing with allegations of professional abuse made against staff / committee / board members.

Are you aware of: -

- The settings Safeguarding policy
- The Warwickshire Safeguarding referral process
- The Warwickshire Safeguarding website [www.safeguardingwarwickshire.co.uk](http://www.safeguardingwarwickshire.co.uk)
- Front Door
- The publication '[What to do if you're worried a child is being abused](#)'

These must all be in place within the childcare provision and the management board must be aware of them.

The document '[Working Together to Safeguard Children](#)' – lays down the specific requirements that must be undertaken and this publication informs Warwickshire County Council's Safeguarding Schedule linked to the funded places for 9 month olds, 2, 3 and 4 year olds.

Safeguarding is not just about child protection – it informs and supports all of the practice and procedures in place that run through the setting and must be adhered to by both board and employees.

Do you know how your setting safeguards children in the following areas?

- Health and Safety
- Child Protection
- Recruitment – volunteers and staff
- EYFS and Requirements of the Childcare Register
- Environment and premises
- Policy, procedure and risk assessment
- Practice – volunteers and staff
- Training

All local authorities must have a Local Safeguarding Children Board. The board is in place to ensure the safety of children.

- Are you as a board member aware of Warwickshire Safeguarding's procedures?
- Have you read and understood the policies of your provision?
- Do you know how to contact Warwickshire Safeguarding?
- Who is the Local Authority Designated Officer (LADO), what are their contact details and what must you report to them?
- Are you familiar with the document '[Keeping Children Safe in Education](#)'?

### Training

**Safer Recruitment** – the training provides the necessary information and tools to support the setting to recruit safely. This training is good practice for any type of childcare provision and is recommended for all types of provision e.g. out of school clubs, holiday clubs etc and must have been attended for settings offering 2, 3 and 4 year old funding.

**Designated Person** – the setting must have at least one trained member available to support at all times. This individual will be responsible for ensuring all of the necessary actions are undertaken if child protection situations arise. They will support and inform decision making related to policy and practice.

**Child Protection Training** - All staff individuals should hold a valid level 1- child protection certificate ideally approved by Warwickshire Safeguarding. Every person involved in a childcare provision is responsible for safeguarding and ensuring they are informed and able to take any action that may be required.

### Board Meetings

Safeguarding should form a standard agenda item for the management board's meetings.

Specific child details will not be discussed but the board need to be aware of up to date information relating to Safeguarding – policy reviews, procedure changes, training, suitability issues, any referrals made etc.

### Disclosure and Barring Service (DBS) checks

**Management Board:** All individuals making up the management board must be checked. Disclosure and Barring Service (DBS) Checks replaced CRB checks in 2013 following a review by the government.

The individuals that make up the voluntary management board will have their check initiated by Ofsted, who are responsible for deeming each individual suitable to undertake their role. The check must be applied for via the Ofsted website before completing any other Ofsted paperwork. As volunteers these checks should be **free** of charge. It is recommended to sign up to the annual update service once the DBS check is confirmed – failure to complete this process within the stipulated timeframes will remove the update service option for that specific DBS check.

Portability – some individuals will have DBS checks completed for roles with other organisations and may subscribe to the annual update services. Ofsted will advise on an individual case by case basis as to whether a new check will be required for the position.

**Staff and Volunteers:** All staff and volunteers working directly with the children or in a position of having access to children should also hold a current DBS check (or pre 2013 a CRB). The management board are responsible for initiating DBS checks for prospective employees and must use this check alongside additional recruitment tools e.g. interview, references and qualifications to deem each individual suitable for their role and to be in contact with children.

The childcare provision will be registered with an umbrella organisation that they will use to complete the DBS checks.

A charge is now made for each individual DBS check unless covering a voluntary role. The applicant can now join the annual update service for a charge which will ensure that regular reviews of the checks can be made.

DBS / CRB information should be recorded alongside other information in the setting's Single Central Record.

Settings should agree their policy on whether to renew DBS checks, replace old CRB checks and whether to request all employees' sign up to the DBS annual update service.

Further information available – [www.gov.uk](http://www.gov.uk) and <https://www.gov.uk/government/organisations/ofsted>

### Financial Matters

The management board are collectively responsible for ensuring that the business is financially sustainable. At times this can involve making challenging decisions that could directly impact on themselves as individuals e.g. increasing fees.

The treasurer for the organisation will oversee the finances on behalf of the group; however, the board as a whole hold's responsibility for the financial running of the setting. It's essential to ensure that any conflicts or declarations of interest are dealt with appropriately.

Informed financial decisions must be made by the board collectively and in the best interest of the business, while meeting the aims of the organisation.

Finances should be reported on at every meeting of the board and include:

- Income
- Expenditure
- Information on how current figures compare to forecasts
- Any issues that have arisen that need reviewing by all members

**Annual Returns** - All voluntary organisations should keep accounts and most are legally obliged to have them in place. The majority of organisations will be required to report information to either the Charity Commission and / or Companies House on an annual basis. Failure to meet these return dates may result in fines against the organisation.

**Registered Charities** – all information submitted is displayed on the Charity Commission website and is accessible to the general public – this gives a clear picture of how the charity is meeting its aims. Financial information is included in this and any late submissions are shown.

**Sustainability** – ensure that the business has long term viability. In order for this to be achieved robust financial forecasting, budget management and business planning processes should be in place.

**Financial Management** – The board should ensure there are robust systems in place to manage all elements of the provision's finances.

This should include:

- Forecasting projections – recommended for 3 years ahead
- Income – systems for payments, invoicing, receipts, cash handling, banking etc.

- Expenditure – access to bank accounts, signatories – more than one
- Petty Cash – receipts, amounts, banking, process for using, specified amount, what for etc.
- Debt Management
- Late Payment

Wider information can be found in the Warwickshire County Council documents 'Guidance and Requirements of Early Education Funding for 2, 3 and 4 Year Olds'

### **Business Plan**

The organisation should have a robust business plan that is reviewed at least annually that includes: -

- Executive summary
- Description of business and premises
- Market analysis and research
- SWOT analysis
- Risk Analysis
- Marketing plan
- Staffing overview
- Legislative overview
- Action plan

The business plan should link to the financial forecasting and budget information and inform the business outcomes.

### **Financial forecasting**

It is strongly recommended that the provision should have a cash flow forecast that looks ahead for a minimum of 3 years, managed alongside actual figures and annual budgets.

A forecast will ensure the board is aware in advance of financial issues that will give time to take planned action.



Information required for accurate forecasting and budget setting: -

- All income streams – fees, 9 month old, 2, 3 and 4 year old funding, regular grants etc – specific amounts
- Predicted and previous occupancy figures – any trends identified
- All outgoings – salaries, rent, utilities, insurances, consumables, resources, registration fees, training including any not currently paid e.g. rent free period
- Contingency planning – based on minimum 3 months running costs, any ring fenced funds
- Legal requirements – staff: child ratios, minimum wage etc.
- External factors – increased housing, new providers, major developments e.g. HS2

### Funded Places

The setting may be signed up with Warwickshire County Council to provide funded places for eligible 9 month olds (meeting specific eligibility criteria), 2 year olds (meeting specific eligibility criteria) and all 3 (term after third birthday) and 4 year olds up until statutory school age.

In accordance with the Statutory Guidance: -

- A 2-year-old child a child will be entitled to the 2Help funding entitlement when both of the following criteria are met: (1) from the term after the child has attained the age of two and (2) the child or parent meets the eligibility criteria, and a successful application has been completed. They continue to receive a place until they become eligible for the universal entitlement (from the term following their third birthday). The child remains eligible even where the child or parent ceases to meet these criteria at a later date - once a child has been given a funded place, they will keep it.
- ALL 3- and 4-year-old children are eligible for the 15 hours Universal funding entitlement from the beginning of the term following their 3rd birthday, until they reach compulsory school age.
- A 3- or 4-year-old child of working parents will be entitled to the extended 30 hour entitlement from the term after both of the following conditions are satisfied: (1) the child has attained the age of three: (2) the child's parent has a current positive determination of eligibility from HMRC i.e. a valid eligibility code, until the child reaches compulsory school age, the beginning of the term following their fifth birthday or where the child is taking up a full time school place in reception, whichever is the earlier.

- a 2-year-old child of working parents is entitled to the expanded 15 hour entitlement for working parents from the term after both of the following criteria are met: (1) the child has attained the age of two and (2) the child's parent has a current positive determination of eligibility from HMRC i.e. a valid eligibility code.
- a child is entitled to the expanded 15 hour entitlement for working parents of children 9 months old and above from the term after both of the following criteria are met: (1) the child has turned 9 months old and (2) the child's parent has a current positive determination of eligibility from HMRC i.e. a valid eligibility code.
- 3- and 4-year-old children in foster care are eligible for the extended 30 hour entitlement providing that they meet all of the following criteria: (1) the term after the child has attained the age of three; (2) that this is consistent with the child's care plan; (3) the foster parent is taking up paid employment outside of their fostering role.
- 2-year-old children in foster care will be eligible for the expanded 15 hours entitlement providing that they meet all of the following criteria: (1) the term after the child has attained the age of two; (2) that this is consistent with the child's care plan; (3) the foster parent is taking up paid employment outside of their fostering role.
- Children from the age of 9 months in foster care will be eligible for the expanded 15 hours entitlement providing that they meet all of the following criteria: (1) the term after the child has attained the age of 9 months; (2) that this is consistent with the child's care plan; (3) the foster parent is taking up paid employment outside of their fostering role.

The universal entitlements are for 570 hours per year, delivered over a minimum of 38 weeks of the year (equating to 15 hours a week). Children may stretch their entitlement over more than 38 weeks (and up to 52 weeks). This means taking fewer hours per week, subject to a maximum of 570 hours a year until the child reaches compulsory school age (the beginning of the term following their fifth birthday). Children entitled to the Extended Entitlement (30 Hours funding) may claim a maximum of 1140 hours per year.

Current hourly rates can be found on the website by accessing the specific terms funding information letters. [Early Education Funding Entitlements – Education and Early Years providers \(warwickshire.gov.uk\)](http://www.warwickshire.gov.uk/Early-Education-Funding-Entitlements-Education-and-Early-Years-providers)

To offer funded places an annual provider agreement (contract) is signed setting down specific criteria that must be met by the provider.

Ensure you have read a copy of the provider agreement.

The setting must maintain appropriate levels of quality and if the Ofsted grading falls below acceptable levels funding may be withdrawn.

A business health check and audit may be undertaken by the Council at any time to ensure appropriate use of funds.

More detailed information regarding the Early Education Funding including eligibility criteria, the funding process, and the requirements of delivering the funding, can be found in Warwickshire County Council Requirements of Early Education and Childcare Funding Entitlements and Warwickshire County Council Guidance for Early Education and Childcare Funding Entitlements.

Please visit the website to access the current editions:- [\\_Early Education Funding Entitlements – Education and Early Years providers \(warwickshire.gov.uk\)](http://www.warwickshire.gov.uk/EarlyEducationFundingEntitlements)

### Fundraising

How fundraising is undertaken will depend on how the business is set up. It is essential that any legal requirements are identified and followed when fundraising, applying for grants, asking for donations etc.

Some organisations will use fundraising as a part of the regular income. This is not recommended as standard practice, and if a setting is too reliant on fundraising to meet standard running costs it leaves the business in a vulnerable position.

Does your organisation have a fundraising committee?

It is essential to ensure that any fundraising groups are run in accordance with the group's constituted document, and funds raised should be allocated to specific items or projects.

Too often fundraising is not planned and occurs in response to a sudden realisation that there is a shortfall in income.

Where possible have: -

- An annual fundraising plan
- Specific fundraising objectives
- Estimated amounts to be achieved
- Identified specific activities
- Fundraising group – sufficient willing volunteers
- Local knowledge – avoid duplication or join forces
- Advertising

## Useful Contacts

<u>Organisation</u>	<u>Contacts</u>	<u>Support</u>
Warwickshire County Council Early Years Business Support Team	Tel: 01926 742633 <a href="mailto:earlyyears@warwickshire.gov.uk">earlyyears@warwickshire.gov.uk</a>	Business support, marketing, sustainability, training, Ofsted requirements
WCC – Early Years Entitlements Team	Tel: 01926 742233 Tel: 01926 742218 <a href="mailto:eyfunding@warwickshire.gov.uk">eyfunding@warwickshire.gov.uk</a>	Advice and support for Early Years Funding Team – Universal offer and working parent entitlements
WCC - 2 Help Officers	Tel: 01926 742218 Tel: 01926 742233 <a href="mailto:2help@warwickshire.gov.uk">2help@warwickshire.gov.uk</a>	Advice, support and referrals for 2 Help funded places
WCC – Early Years Advisors	<a href="mailto:earlyyearsadvisors@warwickshire.gov.uk">earlyyearsadvisors@warwickshire.gov.uk</a>	Advice and support with Safeguarding and the EYFS
HM Revenue and Customs (HMRC)	<a href="https://www.gov.uk/government/organisations/hm-revenue-customs">https://www.gov.uk/government/organisations/hm-revenue-customs</a>	Tax, NI, employment advice
Information Commissioners Office	<a href="https://ico.org.uk/">https://ico.org.uk/</a>	Data Protection Act, GDPR, registration
Action For Children	<a href="http://www.actionforchildren.org.uk">www.actionforchildren.org.uk</a>	Professional body supporting childcare sector
Early Years Alliance	<a href="https://www.eyalliance.org.uk/">https://www.eyalliance.org.uk/</a>	Professional body supporting childcare sector

## People Group

<u>Organisation</u>	<u>Contacts</u>	<u>Support</u>
National Day Nurseries Association	<a href="http://www.ndna.org.uk">www.ndna.org.uk</a>	Professional body supporting childcare sector
Foundation Years	<a href="http://www.foundationyears.org.uk">www.foundationyears.org.uk</a>	EYFS, sector specific updates, current information, consultations
ACAS	<a href="http://www.acas.org.uk">www.acas.org.uk</a>	Free advice for employment issues
Charity Commission	<p><a href="https://www.gov.uk/government/organisations/charity-commission">https://www.gov.uk/government/organisations/charity-commission</a></p> <p><a href="https://www.gov.uk/guidance/guidance-for-charities-with-a-connection-to-a-non-charity?utm_source=61f424aa-e009-4e4e-8fc0-e6832d448897&amp;utm_medium=email&amp;utm_campaign=govuk-notifications&amp;utm_content=immediate">https://www.gov.uk/guidance/guidance-for-charities-with-a-connection-to-a-non-charity?utm_source=61f424aa-e009-4e4e-8fc0-e6832d448897&amp;utm_medium=email&amp;utm_campaign=govuk-notifications&amp;utm_content=immediate</a> – for charities operating alongside a Company Ltd by Guarantee.</p>	Compliance and registration for registered charities
Companies House	<a href="https://www.gov.uk/government/organisations/companies-house">https://www.gov.uk/government/organisations/companies-house</a>	Compliance and registration for registered companies
Ofsted	<a href="https://www.gov.uk/government/organisations/ofsted">https://www.gov.uk/government/organisations/ofsted</a>	Registration information and compliance
Central Government	<a href="http://www.gov.uk">www.gov.uk</a>	Employment, DBS, pensions, childcare legal requirements etc
Community And Voluntary Action	<a href="http://www.wcava.org.uk/">http://www.wcava.org.uk/</a>	Support for voluntary sector
Cov & Works CDA	<a href="http://www.cwcda.co.uk/home">http://www.cwcda.co.uk/home</a>	Support for voluntary sector

## Additional Resources

Publication	ISBN / Information
Working Together to Safeguard Children	Obtain from: - <a href="https://www.gov.uk/government/publications/working-together-to-safeguard-children--2">https://www.gov.uk/government/publications/working-together-to-safeguard-children--2</a>
Keeping Children Safe in Education	Obtain from: - <a href="https://www.gov.uk/government/publications/keeping-children-safe-in-education--2">https://www.gov.uk/government/publications/keeping-children-safe-in-education--2</a>
Voluntary but Not Amateur	ISBN 978 1 906294 07 6
Early Years Foundation Stage (EYFS)	Statutory Framework – <a href="https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2">https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2</a>
Requirements of the Childcare Register	<a href="https://www.gov.uk/guidance/childminders-and-childcare-providers-register-with-ofsted/registration-requirements">https://www.gov.uk/guidance/childminders-and-childcare-providers-register-with-ofsted/registration-requirements</a>  Tel: 0300 123 1231
Requirements of the Early Years Register	<a href="https://www.gov.uk/guidance/childminders-and-childcare-providers-register-with-ofsted/registration-requirements">https://www.gov.uk/guidance/childminders-and-childcare-providers-register-with-ofsted/registration-requirements</a>  Tel: 0300 123 1231
‘Guidance and Requirements of Early Education Funding for 9 Month Olds, 2, 3 and 4 Year Olds’	WCC Early Years Entitlements Team – See contact sheet. This document will be updated and re-issued each academic year.  Please visit the website for current edition. <a href="http://www.warwickshire.gov.uk/Early-Education-Funding-Entitlements-Education-and-Early-Years-providers">Early Education Funding Entitlements – Education and Early Years providers (warwickshire.gov.uk)</a>
Getting It Right Legally – two publications by Playwork partnerships & Bates Wells and Braithwaite solicitors	<a href="https://www.glos.ac.uk/playwork-partnerships/publications-and-research/">https://www.glos.ac.uk/playwork-partnerships/publications-and-research/</a>
EYA publications – various	<a href="https://www.eyalliance.org.uk/">https://www.eyalliance.org.uk/</a>

Your Organisation

<p><u>Full Name and Address of Business:</u></p>  <p><u>Telephone Number:</u></p> <p><u>Email Address:</u></p>	
<p><u>Legal Structure/s of organisation:</u></p>  	
<p><u>Voluntary Management Team</u></p>	
<p><u>Chairperson</u></p>	<p><u>Treasurer</u></p>
<p><u>Name:</u></p> <p><u>Address:</u></p> <p><u>Telephone:</u></p> <p><u>Email:</u></p>	<p><u>Name:</u></p> <p><u>Address:</u></p> <p><u>Telephone:</u></p> <p><u>Email:</u></p>
<p><u>Secretary</u></p>	<p><u>Other committee / directors / trustees</u></p>
<p><u>Name:</u></p> <p><u>Address:</u></p> <p><u>Telephone:</u></p> <p><u>Email:</u></p>	

Annual General Meeting (Month):

Ofsted

Registration Number:

Nominated Person:

Registered Person:

Suitable Person:

Ofsted Grading:

Inspection Date:

Charity Commission

Organisation Type:

Charity Number:

Annual Return Date:

Companies House

Company Number:

Annual Return Date:

Disclosure and Barring Service

Umbrella Body:

UR Number:

Contacts:

Information Commissioners Officer (ICO)

Registration Number:



Contacts:

Registration Renewal Date:

Premises Information

Landlord:

Tenancy Agreement + Type:

Financial Requirements:

Renewal Date:

Early Education Funding and 2 Help

UR Number:

Contacts:

Synergy System:

Insurance

Company:

Policy Number:

Renewal Date:

Contacts:

Free Milk

Company:

UR Number

Contacts:

Environmental Health

Registration Number:

Grading:

Last inspected:

Professional Memberships e.g. EYA

1. Organisation Name, Contact and UR number, Renewal date etc.....
- 2.
- 3.
- 4.

Include any other specific information here:

*All legal requirements are the responsibility of the business to maintain and ensure they reflect the correct + current business information and relevant legislation. WCC cannot take any responsibility for their content relating to registration requirements and compliance.*

*Reviewed – Summer 2024*