

2020

Guidance and Requirements of Early Education Funding for 2, 3 and 4 Year Olds



Contents

Section 1 – Introduction	6
1.1 Introduction.....	6
1.2 National and Local Requirements.....	7
1.3 Framework for Delivery.....	8
1.4 The Role of Early Years Providers	9
1.5 The Role of the Local Authority	9
Section 2 – The Funding Process	11
2.1 Determining Eligibility for a Funded Place	11
2.1.1 - Eligibility start dates:	11
2.1.2 - Eligibility criteria for 2 year funding:.....	12
2.1.3 - Eligibility Criteria for the Extended Entitlement - 30 hours funding:.....	12
2.1.4 - The Grace Period.....	14
2.1.5 - 30 Hours funding for children in Foster Care.....	15
2.1.6 - Funded 2 Year olds.....	15
2.1.7 - 3 and 4 year olds.....	16
2.2 Additional Premiums	16
2.2.1 - Early Years Pupil Premium	16
2.2.2 - Deprivation Factor.....	18
2.2.3 - Disability Access Fund (DAF).....	18
2.3 Delayed or Deferred Entry into Reception Year.....	19
2.4 Payment Arrangements	21
2.4.1 - Patterns of Payments.....	22
2.5 Adjustment to Payments	24
2.5.1 - Child Leaving Before Headcount.....	25
2.5.2 - Child Leaving After Headcount.....	25
2.5.3 - Child starting After the Headcount	25
2.6 The ‘Stretch’ Offer.....	26
2.6.1 - Stretch option:	26
2.6.2 - Averaging:	26
2.7 Charges	26
2.8 Parent/Guardian Declaration Form (PDF) – 2, 3 and 4 year olds	27
2.9 Sharing of Funding	29
2.10 Child Attendance	29
2.11 Cross-Border Arrangements	30
2.12 Information for Parents	30

2.13 Changes to Provider Details	30
2.14 Withdrawal from Delivering the Free Entitlement.....	31
2.15 Entering the Headcount claim.....	31
2.16 Early Years CENSUS	32
2.17 Initial Budgets	33
Section 3 – Directory of Providers.....	34
3.1 Local Directory of Providers.....	34
3.2 Provider Agreements & Local Authority Requirements	35
3.3 Advice and Support for Settings	36
3.4 Continuous Quality Improvement, Workforce Development and Safeguarding	37
3.4.1 Quality Improvement	37
3.4.2 Safeguarding	37
3.4.3 Ofsted.....	37
3.5 Inclusion and Special Educational Needs	38
3.6 Financial Management Guidance	39
3.7 Audit Requirements	40
3.8 Additional Requirements.....	42
3.9 Rejection or Removal from the Directory	43
3.10 Appeals Procedure	44
Section 4 – Tax Free Childcare	45
Section 5 – Frequently Asked Questions.....	46
Section 6 – Where to Get Help and Useful Contacts.....	48
Financial Management Guidance – Annex A	50
Parental Declaration Form for 2 Year Olds – Annex B1	55
Parental Declaration Form for 3 & 4 Year Olds – Annex B2.....	60
Early Years Provider Agreement 2020 – Annex C	66
Additional Explanatory Notes for Local Authorities and Providers from the DfE (replacement Fair Processing Notice) – Annex D	88
Health Check and Audit Booking Letter – Annex E	90
Business Health Check and Audit – Annex F.....	92
Business - Audit ONLY– Annex G.....	101
Health Check and Audit Action Plan – Annex H.....	107
Health Check and Audit Final Reminder Letter – Annex I	109
Business Support Team Record of Visit – Annex J	110
Early Years Advisory Team Record of Visit – Annex K	111

3 and 4 Year Old Free Places Leaflet – Annex L 112

2 Year Funding Leaflet – Annex M..... 115

30 Hour Fee Guidance Flow Chart – Annex N 117

30 Hours How to Apply – Annex O..... 118

Stretched Funding Guidance – Annex P 119

Tax Free Childcare Leaflet – Annex Q 124

Section 1 – Introduction

1.1 Introduction

COVID-19 Pandemic – Warwickshire County Council has implemented some temporary changes to the usual funding processes in response to the current pandemic situation to aid financial planning and cash flow for providers.

At the time of publication, the provider agreement and this guidance document continue to reflect the most current statutory requirements. Additional amendments or changes made to the statutory requirements by the government in response to the COVID-19 pandemic will be notified to providers where they change the contractual obligations for delivering early education funded places.

The income criteria for the 30 hours extended entitlement have temporarily been changed by HMRC during the COVID-19 period. To find out about the temporary changes that may affect parents if they are applying for or already receiving Tax-Free Childcare or 30 hours free childcare they should be directed to:

www.childcarechoices.gov.uk

During the coronavirus (COVID-19) outbreak, the DfE are temporarily extending 2 year old entitlements eligibility to include children assessed as being vulnerable and meeting the definition in Section 17 (s17) of the Children Act 1989 and who have No Recourse to Public Funds (NRPF). Parents / carers should apply through www.warwickshire.gov.uk/childcarecosts and their application will be looked at on an individual basis.

Welcome to Warwickshire County Council's 'Guidance and Requirements of Early Education Funding for 2, 3 and 4 Year Olds'.

This guidance reflects 'Early education and childcare - Statutory guidance for local authorities issued by the Department for Education. It explains:

- what 2, 3 and 4 year old funding is
- who is eligible
- how to apply for it
- how to meet the Local Authority requirements
- what will happen if settings receive an Ofsted judgement of Inadequate or Requires Improvement (including what happens if settings are unable to make the necessary improvements)
- changes in response to the COVID-19 pandemic

Warwickshire's Education Strategy 2018 – 2023, is to improve the educational outcomes, and therefore life chances, of learners of all ages in the county.

The delivery of early education funded places specifically supports the key elements of the Warwickshire Education 1 strand:

- Together, we will champion the Early Years Foundation Stage

- Co-ordinate high quality training
- Help parents to provide language-rich learning at home
- Secure sufficient childcare
- Check that safeguarding arrangements are robust

The Statutory Guidance requires Local Authorities to concentrate funding on the highest quality providers wherever possible, funding others only where it is necessary to maintain a sufficient number of places with reasonable access for parents.

This Requirements of Funding guide sets out the Local Authority's expectations for registered providers offering Funded Early Education places, and the Local Authority support available.

1.2 National and Local Requirements

The funded entitlement enables eligible 2 year olds, and every 3 and 4 year old, to access funded early years provision before they reach compulsory school age.

Local Authorities receive the funding to enable them to meet their statutory responsibility to provide these funded places through the Dedicated Schools Grant (DSG) – this is calculated from information collected during the annual Early Years Census in January.

Completing census information is important. If providers do not complete the information on time it has an impact on the amount of funding the Local Authority receives (and therefore the amount of funding providers may receive). Submitting such information is included in the contract for 2, 3 and 4 year old funding which providers must sign before being included in the Local Authority Directory of Providers.

The Local Authority is responsible for maintaining the Directory of Providers, detailing those eligible to claim funding for the provision of funded places.

To be added to the Directory a setting must be:

- An early years provider or a childminder registered on the Ofsted Early Years Register, and have received a Certificate of Registration OR
- A childminder registered with a childminding agency which is itself registered with Ofsted on the Early Register OR
- A school taking children aged two and over and which is therefore exempt from registration with Ofsted as an early years provider

The setting owner / person responsible for the setting must sign an annual Provider Agreement and grant reasonable access to all financial and non-financial records relating to early years entitlement places for financial monitoring and audit purposes to officers from the Early Years and Childcare Team.

All providers must have regard to the Special Educational Needs and Disability Code of Practice: 0 - 25.

This Guide explains how the early years entitlement is administered in Warwickshire, and how to apply for funding.

Please contact the Early Years Funding Team for any specific information not included in this Guide:

01926 742235 / 01926 742233 / 01926 742218

or eyfunding@warwickshire.gov.uk

1.3 Framework for Delivery

The Government has set a national framework, within which local authorities should fund providers to deliver the early years entitlement. These limits secure an offer which will enable children to access regular, quality provision, in keeping with the evidence of the benefits of doing so and promote continuity whilst also maximising flexibility for parents and ensuring a degree of stability for providers.

These limits are:

- No session longer than 10 hours
- No minimum session length (subject to the requirements of registration on the Ofsted Early Years Register)
- Not before 6.00 am or after 8.00 pm
- A maximum of 2 sites in a single day

Local Authorities have a statutory duty to secure sufficient funded early years provision for every eligible child in their area.

In order to meet their statutory responsibilities, Local Authorities are required to ensure that, where reasonably practicable, children are able to take up their funded hours in continuous blocks and avoid artificial breaks being created throughout the day, for example over the lunch period.

Providers can 'stretch' the entitlement by offering fewer hours a week over more weeks of the year, where there is provider capacity and parental demand. This means they can deliver funded places

- Over up to 52 weeks of the year
- Outside of maintained school term times
- At weekends

Further guidance on delivering a 'stretched' offer can be found at [Appendix P](#).

Parents must be made aware that whilst they have a choice of provider, they may not always be offered the full entitlement at the times they want at their provider of choice. The entitlement is to an early education place and does not guarantee a place at any one provider, or a particular pattern of provision.

1.4 The Role of Early Years Providers

All children should be able to take up their entitlement to funded early education in a high quality setting. Providers should consider how to raise the quality of provision through continuous self-evaluation. Throughout the self-evaluation process, everyone who is connected with the setting should be involved – staff team, children, parents and families – to get a clear picture of strengths and limitations and how to address any gaps. Areas for development might include learning new skills, personal or professional development, more training, sharing values and ideas, taking on new staff or creating a more flexible offer.

Settings should be clear about how to deliver a more flexible service. The universal entitlement equates to 570 hours a year accessed over a minimum of 38 weeks of the year (equating to 15 hours a week). Providers can ‘stretch’ this offer so families receive fewer hours per week, but over more weeks per year. This may meet some families’ needs better than a set pattern of 15 hours per week for 38 weeks per year, which has been the traditional offer. The extended entitlement equates to 1140 hours per year and can also be stretched.

Availability, flexibility, business sustainability, affordability and inclusivity are key issues, and this Guide highlights information sources which can help with these areas. Consideration also needs to be given to learning, development, safeguarding and welfare requirements. Well-evidenced evaluation will support providers in maintaining the necessary Ofsted grading that will retain a place in the Local Authority’s Directory of Providers.

If a setting fails to meet Ofsted’s required standards, its funding from the Local Authority is at risk. The Local Authority will adhere to the requirements of the Early Education and Childcare Statutory Guidance when making a decision to withdraw or suspend funding. The Provider Agreement sets out arrangements for termination and withdrawal of funding in more detail. This is a contract between the setting and the Local Authority for delivering funded places and contains details of the Local Authority’s expectations of what providers should do to maintain their place in the Directory of Providers.

Copies of Leaflets for Parents are included as an appendix to this guidance. Settings may find this information useful in helping parents to understand the funding process and make them aware of 2, 3 and 4 year old Funding. Copies can be obtained from the Early Years Funding Team.

1.5 The Role of the Local Authority

The Childcare Acts 2006 and 2016 place a duty on all English Local Authorities to secure free early years provision for all eligible children in their area. The Acts stipulate the type and amount of provision and the age of children to benefit.

‘Early Education and Childcare Statutory Guidance for local authorities’, is a legal framework which all Local Authorities must follow for the delivery of funded early years provision for eligible children.

Local Authorities are required to secure sufficient free places of 570 hours per year over no fewer than 38 weeks of the year for every eligible child in the area from the term after their 2nd birthday, until they reach compulsory school age (or 1140 hours per year for the extended entitlement).

The entitlement can be delivered through a range of providers including nursery schools and classes, private and voluntary sector providers, school-run provision, independent schools, and childminders.

Wherever possible, the Local Authority will concentrate early education funding on the highest quality providers, only funding others where it is necessary to maintain sufficiency and accessibility.

Warwickshire County Council administers the funding for 2, 3 and 4 year olds receiving the free entitlement within the Local Authority area. The funding is paid directly to providers, rather than parents, and is calculated on the number of hours each eligible child attends the setting.

Providers from all parts of the early years sector are funded on the basis of a single funding formula – the Early Years Single Funding Formula (EYSFF). This is a Government requirement, and has to be ‘participation led’, which means the Local Authority funds providers based on how many children they have in the setting each term, and how many hours they attend.

A universal base rate must be used for all types of provider, although additional funding is available for Maintained Nursery Schools via a direct Government grant.

For the Academic year 2020/2021, in response to the impact of COVID-19,

Warwickshire will be temporarily changing the basis of the interim payment for 2, 3 and 4 year old funding entitlement to ensure a more accurate payment to providers. Usually settings receive the first part of their termly payment (the ‘interim’ payment) based on the number of children in the setting for the equivalent period in the previous year. This is because the Local Authority does not have all of the information it needs about current numbers of children when making the first payment. The interim payment is usually 70% of the previous year’s equivalent term’s actual amount.

For the Academic year 2020/2021 the setting’s estimated funded weekly hours will need to be added to the Provider Portal at the very start of the term. The interim payment will be 70% of the calculated amount of the setting’s entered estimated hours.

The second part of the termly payment (the ‘final’ payment) is made towards the end of each term. This is based on the actual number of children a setting had at Headcount Day during the current term, including any adjustments.

The final payment for the term will be based on the actual number of children in attendance during the term, less the interim payment already made.

In exceptional circumstances, to protect funds, Warwickshire County Council may be required to make a financial adjustment for a provider. In these situations, the Local Authority will contact the setting and confirm the arrangements in writing - for example, where information is received that supports concerns about financial sustainability or closure.

Section 2 – The Funding Process

2.1 Determining Eligibility for a Funded Place

In accordance with the Statutory Guidance: -

- A two year old child will be entitled to a funded place from the beginning of the term after both of the following conditions are satisfied: (1) the child has attained the age of two **and** (2) the child or the parent meets the eligibility criteria. 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 three and four year old children are eligible for the universal entitlement from the beginning of the term following their 3rd birthday, until they reach compulsory school age.
- A three or four year old child of working parents will be entitled to the extended 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 30 hour eligibility code.
- Children in foster care will also be eligible for the extended hours providing that they meet **all** of the following criteria: (1) 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 (see [Page 15](#) for the full criteria).

The 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.

2.1.1 - Eligibility start dates:

The following table shows when a child is eligible to receive 2 (where eligible), 3 and 4 year old funding (all dates are inclusive):

<u>A child born between:</u>	<u>Will be eligible for a free place from:</u>
1st January and 31st March	<i>The start of the summer term following their birthday until statutory school age</i>
1st April and 31st August	<i>The start of the autumn term following their birthday until statutory school age</i>
1st September and 31st December	<i>The start of the spring term following their birthday until statutory school age</i>

2.1.2 - Eligibility criteria for 2 year funding:

Two year olds are eligible for 15 hours of early years provision if the parents claim one of the following benefits:

- Income Support
- Income based Job Seekers Allowance (JSA)
- Income-related Employment and Support Allowance (ESA)
- Support under part VI of the Immigration and Asylum Act 1999
- The Guarantee element of the State Pension Credit
- Child Tax Credit or Working Tax Credit, with an annual household income of less than £16,190 before tax
- Working Tax Credit, 4 week run on
- Universal Credit - a parent has an annual net earned income equivalent to and not exceeding £15,400 assessed on up to three of the parents most recent Universal Credit assessment periods

OR

- The child is looked after by the local authority
- The child has left care through adoption, special guardianship or a child arrangement order
- The child has a current statement of Special Educational Need, or an Education, Health and Care Plan
- The child is in receipt of Disability Living Allowance

OR

If you're a non-EEA citizen who cannot claim benefits your 2 year old may get free childcare if you are getting [support under the Immigration and Asylum Act](#) and have either:

- [Claimed asylum](#) in the UK and are waiting for a decision (known as 'part 6')
- Been refused asylum in the UK (known as 'section 4')

A 2 year old you care for may also get free childcare if your household income is £15,400 a year or less after tax, and you have either:

- Leave to remain with 'no recourse to public funds' on [family or private life grounds](#)
- The right to live in the UK because you're the main carer of a British citizen (known as a ['Zambrano Carer'](#))

To check eligibility, parents should make an online application using the Warwickshire website: www.warwickshire.gov.uk/childcarecosts. A paper application is available if the parent does not have access to the internet and can be requested from 2Help@warwickshire.gov.uk

2.1.3 - Eligibility Criteria for the Extended Entitlement - 30 hours funding:

A child is entitled to the extended entitlement from the term following their third birthday until compulsory school age (if they are not taking up a full time reception class place) where the parents meet one of the following criteria:

- the parent (and partner where applicable) should be in qualifying paid work. Each parent (or the single parent in a lone parent household) will need to expect to earn the equivalent of 16 hours at the national living wage over the forthcoming quarter

- where one or both parents are in receipt of benefits in connection with sickness or parenting, they are treated as though they are in paid work
- where one parent in a two parent household is in receipt of specific benefits relating to caring, incapacity for work or limited capability for work, they are treated as though they are in paid work

If either or both parents' income exceeds £100,000 they will not be eligible for the extended entitlement.

To be eligible for the 30 hours Extended Entitlement, the parent **MUST** have applied through the HMRC's website: www.childcarechoices.gov.uk and have a current confirmation of eligibility from HMRC.

If the parent needs further guidance, they will need to call the Customer Interaction Centre at HMRC on 0300 123 4097.

If the parent does not agree with the eligibility outcome, there is an appeals process available. The review and appeals process is managed by HMRC. Their complaints form is available at: <https://www.gov.uk/guidance/complain-to-hm-revenue-and-customs>. **Local Authorities do not have any involvement in this process.**

If eligible, the parent will be issued with an 11 digit code starting with 500, to give to their childcare provider to verify eligibility.

If a permanent code cannot be issued, HMRC will issue a parent with a temporary code beginning with 11.

Once the parent has been issued with a 30 hour code, the process is as follows:

- The parent must give the details of the 30 hour code to their nursery provider together with their NI number and child's date of birth
- Written consent **MUST** be obtained from the parent(s) whose details are being checked, the PDF should be completed or the provider's equivalent document
- The code must be validated using the Eligibility Checker on the Provider Portal before a start date for the additional funding is agreed with the parent, preferably the term before funding will start
- The provider must make a note of the validity start date, end date and Grace Period end date in order to be aware of the expiry dates
- The provider must make sure that the validity start date is valid for the term in which the parent wants to start the 30 hours funding. The code must have a validity start date on or before the last day of the previous term, unless the Funding Team advise otherwise:

Autumn term: a validity start date on or before 31st August
Spring term: a validity start date on or before 31st December
Summer term: a validity start date on or before 31st March

- If a validity start date is dated after the start of term (1st of the month following the above dates) the child will not be entitled to the extended funding until the start of the **following** term
- The parent must make sure that the code is re-confirmed if the validity end date expires before the term starts. A child cannot start a new funded place or a new setting in a Grace Period
- The code must have a validity **end date** dated after the start of the term if a child is a new starter or new to your setting
- The code has to be re-confirmed by parents **every 3 months**. The parent should be prompted by text or email from HMRC; but providers should prompt the parent prior to the validity end date
- The eligibility of the code must be validated using the Synergy Provider Portal **before** the child is able to take up the additional free hours
- Once a code has been validated, providers must take a note of the validity start and end dates and when the Grace period ends

Please note: a child **cannot** take up their funded place during a Grace period.

See [Annex O](#) for further information.

2.1.4 - The Grace Period

The Local Authority will continue to fund a place for a child whose parents cease to meet the eligibility criteria or do not re-confirm their code at the validity end date until the end of a **Grace Period**, the end date of the grace period is shown on the Eligibility Checker.

During the grace period they should continue to receive the additional 15 hours a week, or fewer if the entitlement is being stretched, over the equivalent of 38 weeks of the year.

If the parent has not been able to re-confirm their code before the end of the grace period, the funding will cease for the additional hours and they will not be funded for them in the following term.

When a code falls into the grace period, an exclamation mark will be displayed next to the child's name on the Provider Portal. This is to prompt providers to contact the parent to re-confirm their code.

The table below shows the grace period dates if a child is no longer eligible. The Local Authority will send reminders to the provider when a code falls into the grace period asking them to remind parents to re-confirm their code. This is to avoid parents and providers from losing their 30 hours funding in the following term.

Date Parent receives ineligible decision on reconfirmation:	LA audit date:	Grace Period End date:
1 Jan – 10 Feb	11 February	31 March
11 Feb – 31 March	1 April	31 August
1 April – 26 May	27 May	31 August
27 May – 31 August	1 September	31 December
1 September – 21 October	22 October	31 December
22 October – 31 December	1 January	31 March

2.1.5 - 30 Hours funding for children in Foster Care

Children in foster care are eligible for 30 hours childcare if the following criteria are met:

- Accessing the extended hours is consistent with the child's care plan and
- In single parent foster families, the foster parent engages in paid work outside their role as a foster parent
- In two parent foster families, both partners engage in paid work outside their role as a foster parent. If one partner is not a foster parent, then they must be in qualifying paid work and earn a minimum of the equivalent to 16 hours at national minimum/living wage

The foster carer **must** contact the child's Social Worker for an application form, which must be signed by Warwickshire County Council's designated person, as detailed on the form.

The Early Years Funding Office will allocate a code to the foster carer, as the Government Childcare Service will not be able to make the relevant checks. Details of the code will be sent to the foster carer by email.

The code, starting with 400, can then be treated in the same way as the standard 30 hour code. It will still need to be re-confirmed every 3 months with the Early Years Funding Office.

2.1.6 - Funded 2 Year olds

A child will be entitled to the 2 year old funding entitlement hours from the term after **both** of the following criteria are met: (1) the child has attained the age of two and (2) the child or parent meets the eligibility criteria.

- Each child's place is approved on an individual application basis. Families must meet the specific criteria as set out in the 'Statutory guidance for local authorities'
- Families must apply online at www.warwickshire.gov.uk/childcarecosts
- The provider **MUST** see a copy of the Placement Confirmation letter, which is posted or emailed to the parent, before offering a 2 year old funded place
- The EY voucher code on the letter will need to be entered on to the EY voucher box on the Parental Declaration Form (PDF) and in the Provider Portal

- All parents accessing a 2 year old funded place must complete the current 2 year funding Parent/Guardian Declaration Form (PDF). See [Annex B1](#)
- Once a child's eligibility is confirmed via the application process, they will be entitled to keep their place until they become eligible for 3 and 4 year old funding
- Where the family circumstances improve or change, the place will not be removed

2.1.7 - 3 and 4 year olds

- All 3 & 4 year olds are entitled to the 15 hours Universal Entitlement from the start of the term following their third birthday
- A child will be entitled to the 15 hours Extended funding, giving them a total of 30 hours funding, from the start of the term after their third birthday or the start of the term after the 30 hour code validity start date, whichever is the latest, and where the child's parent has a current confirmation of eligibility from HMRC of a valid 11 digit code beginning with 500
- It is the responsibility of the setting to check the details of each child, including date of birth. To ensure eligibility, this must include sight of an original birth certificate or other identifying documents e.g. passport, medical certificate or Health records and be recorded on the Parental Declaration Form (PDF)
- Children must remain in the setting until the 'Headcount day' in order to be eligible for the funding. Should parents choose to remove their child before this qualifying period, it is the provider's responsibility to make the parent aware that they will be liable for all costs incurred
- If a child starts after the Headcount date they will not normally be entitled to funding until the start of the following term. The provider **MUST** contact the Early Years Funding Office to agree exceptional funding if appropriate
- Providers are encouraged to establish a written agreement between themselves and their parents / guardians, setting out agreed hours of attendance and the funded hours to be claimed
- All parents accessing 3 and 4 year old Funded Entitlement places must complete the current Parent/Guardian Declaration Form (PDF). See [Section 2.8](#) and [Annex B2](#) for more details.

2.2 Additional Premiums

2.2.1 - Early Years Pupil Premium

The Early Years Pupil Premium (EYPP) is additional funding, up to £302.10 per financial year (0.53p per hour), paid termly to providers who have children receiving the 3 & 4 year funding Universal entitlement and where the child's parents are in receipt of qualifying benefits.

Providers are able to use this extra funding to support each eligible child and improve outcomes for them. Detailed information should be kept about what the funding was used for, how the decision was made to use it, and how outcomes for each child have been improved – Ofsted will ask providers about how they have supported eligible children when they inspect the setting.

A child will be eligible for the Early Years Pupil Premium if:

- Their parents are in receipt of one or more of the following benefits or credits
 - Income Support
 - Income-based Jobseekers Allowance
 - Income-related Employment and Support Allowance
 - Support under Part VI of the Immigration and Asylum Act 1999
 - The guaranteed element of State Pension Credit
 - Child Tax Credit, but not Working Tax Credit, with an annual gross income of no more than £16,190
 - Working Tax Credit run-on – paid for 4 weeks after you stop qualifying for Working Tax Credit
 - Universal Credit – if the parent is entitled to Universal Credit, they must have an annual net earned income equivalent to and not exceeding £7,400, assessed on up to three of the parent's most recent Universal Credit assessment periods

Or

- The child has
 - Been Looked After by the local authority for at least one day
 - Been Adopted from care
 - Left care through Special Guardianship
 - A child arrangement order

How to claim

To claim for the Early Years Pupil Premium (EYPP), providers should advise parents that they must fully complete the EYPP application section on the PDF (Parental Declaration Form) and sign the Declaration.

The parent **MUST** sign the Declaration before EYPP can be claimed as this is the parent's agreement to use their personal details to check for eligibility using the Government's Eligibility Checking Service (ECS).

Their details should then be entered on to the Parent/Carer tab on the Synergy portal with the termly Headcount claim.

It is recommended that all children that may qualify complete the EYPP application as the Primary Schools admissions policy 2020/2021 states:

In the event that a Warwickshire Community or Voluntary Controlled primary school is oversubscribed, then the following oversubscription criteria will be used when allocating places:

- Children who are in receipt of the Early Years Pupil Premium, with no more than 14% of the places available to be allocated under this category. The child must be in receipt of the premium at the time the application is made.

EYPP payment will be made with the Actual payment for the term. Providers **must** check the Synergy portal after the Headcount week to make sure that all children are present on their claim and to check that those children that applied, have been allocated the EYPP funding. This will be seen in the **Weightings** column.

If any children have not been added as expected, it will mean that eligibility cannot be confirmed using the ECS or the required information was not added to the Provider Portal. The provider should check the information added to the Provider Portal for accuracy and contact the parent if they believe that they meet the eligibility criteria. The provider will need to ask them to provide additional supporting information to confirm this and contact the Funding Office.

Note: Warwickshire Looked After Children (LAC) will automatically have the EYPP weighting added. To add EYPP for a LAC from another LA, providers will need to send supporting information to the Funding Office.

2.2.2 - Deprivation Factor

The Deprivation Factor (DF) is an additional premium of £0.53 per hour paid to the provider based on children living in a postcode that falls within the most deprived 30% of postcodes as determined by IDACI (Income Deprivation Affecting Children Index). The DF is paid automatically to the provider and can be used to benefit all children in the setting.

If this has been added to the child's funding base rate, 'DF' will show in the **Weightings** column next to the child's name on the provider portal.

2.2.3 - Disability Access Fund (DAF)

The Equality Act 2010 offers protection against discrimination, harassment and victimisation, and applies to statutory and non-statutory early years organisations. Local authorities must comply with the provisions of the Act in finding suitable provision for eligible disabled children.

The Disability Access Fund (DAF) was introduced to support disabled children's access to the entitlements for three and four year olds. Providers receive £615 per eligible child per calendar year. The funds could be used, for example, to support providers in making reasonable adjustments to their settings and/or helping with building capacity, either for the child in question or for the benefit of children as a whole attending the setting.

Three and four year olds will be eligible for DAF if they meet the following criteria:

- the child is in receipt of Disability Living Allowance (DLA)
- and
- the child receives the universal 15 hours entitlement

Please note that children do not have to take up the full 570 hours of early education funding that they are entitled to in order to receive the DAF. Children will be eligible where they take up any period of funded entitlement and receive DLA.

Four year olds in primary school reception classes are not eligible for DAF funding.

Early years providers are responsible for identifying eligible children and should use the 3 & 4 Year Old Parental Declaration Form (PDF), which includes a DAF declaration. Providers will need

to check eligibility by seeing evidence of the child's Disability Living Allowance (DLA) award letter. A copy of this must be sent to the Local Authority using the secure **Document upload tab** on the provider portal during the Headcount period, in order that the claim can be authorised.

All early years providers who are eligible to receive funding for three and four year olds, qualify to receive DAF payments if they have eligible children.

Local authorities must fund all settings providing a place for DAF eligible children at a fixed annual rate of £615 per eligible child. The DAF is payable as a lump sum and will not be reduced if a child does not take up their full 15 hours entitlement.

Local authorities should distribute DAF funding in its entirety to providers, and DAF funding should not be offset against any other funding which the local authority may ordinarily be providing for children eligible for the DAF.

If a child eligible for the DAF is splitting their funded entitlement across two or more providers, the local authority will ask parents to nominate the main setting. This setting will receive the DAF for the child.

If a child receiving DAF moves from one setting to another, the new setting is not eligible to receive DAF funding for this child until the anniversary of the first payment has passed. DAF funding received by the original setting will not be reclaimed. Where children are still eligible for the DAF; providers should receive a second payment one year later; that is, one year after they first received the DAF.

In cases where a child who lives in one local authority attends a setting in another local authority area, the local authority where the setting is based is responsible for funding the DAF for the child and eligibility checking.

DAF is usually paid as an adjustment with the termly final (actual) payment. It can be seen in the Adjustment Payments in the Summary tab in the Provider Portal.

2.3 Delayed or Deferred Entry into Reception Year

Warwickshire County Council provides full time places in school reception classes for all children in the September following their fourth birthday. Three and four year old funding as detailed in this guidance does not apply to children attending school reception classes of maintained schools, as they will be funded through school budgets and have different administrative arrangements.

Children attending a non-maintained (independent) school remain eligible to claim funding until they are of statutory school age, which is the term after their fifth birthday.

The Local Authority's (LA) policy is that pupils should be educated in the year group appropriate to their chronological age.

Some children may start in Reception later in the school year, perhaps due to medical issues or because they are a summer-born child and are not considered ready to start school in September. This is referred to as Delayed Entry. The child has a school place, in their correct academic cohort, but is not taking up the place until later in that academic year.

Early Years funding may be claimed in the usual way in respect of a child whose parent/guardian has **formally** arranged with the Head Teacher and Local Authority to **delay** the child's entry into school, until they reach statutory school age, the term following their 5th birthday. Please note that this does not apply to a child who is being "phased in" during the Autumn Term at the beginning of the reception year, as Early Years funding cannot be claimed once a child is on the school's register.

Parents must still apply for a school place in line with the co-ordinated admission arrangements, and meet the standard Local Authority deadlines, so that an offer of a school place can be made **before** the request for delayed entry is agreed. Parents must be made aware of this requirement, and all enquiries about delayed entry should be referred to the School Admissions Service at www.warwickshire.gov.uk/admissions

In a small number of cases, it may be appropriate for parents to request that the child starts school a year later, so that the child is educated in the chronological year group below where they would normally be. This is referred to as Deferred Entry.

In September 2015 the Department for Education (DfE) wrote to all Local Authorities to advise that the School Admissions Code (2014) would be updated in respect of the admission of summer born children into schools. Requests for children who are due to start school can be made to the Local Authority, and those requests will be considered in line with Local Authority guidance. Requests for children to be educated outside of their year group who are already of compulsory school age will be considered on an individual basis, in line with the guidance. Warwickshire's 'Guidance Notes relating to the education of children outside of their chronological year group' can be found at <https://www.warwickshire.gov.uk/applying-school-place-reception/deferringstartingschool/3?documentId=792&categoryId=20165>

Parents need to make a formal request for deferred entry, along with an application for the child to start school, in line with the co-ordinated admission arrangements. Parents must be made aware of this requirement, and all enquiries about deferred entry should be referred to the School Admissions Service at www.warwickshire.gov.uk/admissions

There are significant implications for a child who is educated out of year group, and parents need to consider the long term view of their child's educational needs. It is important to also be aware that children who are in receipt of Warwickshire's SEND Inclusion Grant will not be able to continue receiving it if they delay/defer their entry into school.

If providers are aware of potential delayed or deferred entry children, these **MUST** be discussed with the Statutory Assessment Team as early as possible, to ensure Early Years providers are aware of the statutory obligations that they will have to meet when Reception aged children remain with childminders or in nursery provision.

The Statutory Assessment Team can be contacted at edassessmentteam@warwickshire.gov.uk

2.4 Payment Arrangements

Current hourly rates are as follows:

- **2 year olds:**
 - all providers - £5.37 per hour
- **3 and 4 year olds:**
 - PVI sector including Childminders - £4.09 per hour
 - Maintained Nursery Classes – £4.09 per hour
 - Maintained Nursery Schools - £4.09 per hour (additional funding is provided by the Government until a national review of Nursery Schools is completed)
 - Additional premium for Early Years Pupil Premium (EYPP) £0.53 per hour
 - Additional premium for Deprivation Factor £0.53 per hour
 - Disability Access fund (DAF) £615 per year usually paid annually from start of eligibility.

Providers will be informed in advance of any changes to these rates.

Funding is paid for a maximum of 570 hours per year for the universal entitlement and 1140 hours per year for the extended entitlement. These entitlements can be taken in a variety of ways in order to meet the needs of the family.

2, 3 and 4 year old Funding is provided for a minimum of 38 weeks per year. In order to assist in your financial planning, the funding will always be paid as follows:

Autumn Term	14 weeks
Spring Term	11 weeks
Summer Term	13 weeks

This pattern may not always correspond to school term dates. A Termly Information letter will be sent out, towards the end of each term, with all the important dates and deadlines for the following term.

Actual payment dates, and Headcount dates set by the Department for Education for the Academic Year 2020/2021:

Twice termly paid funded providers

Term	Headcount Date	Deadline date for submissions	Interim Payment Date		Actual Payment Date	
			2 YO	3 & 4 YO	2 YO	3 & 4 YO
Autumn Term 2020/2021	1st October 2020	16 th October 2020	18/09/2020	16/09/2020	20/11/2020	18/11/2020
Spring Term 2020/2021	21st January 2021	29 th January 2021	22/01/2021	18/01/2021	12/03/2021	10/03/2021
Summer Term 2020/2021	20 th May 2021	28 th May 2021	07/05/2021	05/05/2021	25/06/2021	23/06/2021

Term	Headcount Date	Deadline date for submissions	Interim Payment Dates			Actual Payment Date
			1 st Payment	2 nd Payment	3 rd Payment	4 th Payment
Autumn Term 2020/2021	1st October 2020	16 th October 2020	15 th September 2020	15 th October 2020	13 th November 2020	15 th December 2020
Spring Term 2020/2021	21st January 2021	29 th January 2021	15 th January 2021	15 th February 2021	-	15 th March 2021
Summer Term 2020/2021	20 th May 2021	28 th May 2021	23 rd April 2021	14 th May 2021	15 th June 2021	15 th July 2021

2.4.1 - Patterns of Payments

Schools and Settings, excluding Childminders

The funding for 2, 3 & 4 year olds is paid twice per term:

- The **interim payment**, 70% of the estimated total funding, paid within 3 weeks of the start of the term. (*See Temporary arrangements during the COVID-19 period)
- The **Actual** or balance payment is made following the Headcount funding claim being completed. This will be approximately 6 weeks after Headcount day.

Interim payments:

The Funding Team will enter all interim payments into the funding system directly. The interim payments are calculated as follows:

- The interim payment for the 3 & 4 year old universal and extended entitlements is calculated by using the Single Funding Formula. The interim amount is 70% of the previous year's equivalent term's total payment. (*See Temporary arrangements during the COVID-19 period)
- The interim payment for 2 year olds will be calculated by using the previous term's hours unless the local authority is advised by the setting otherwise. The interim amount is 70% of the previous term's total payment. (*See Temporary arrangements during the COVID-19 period)

***Temporary arrangements during the COVID-19 period:**

Interim payments for 2 year old universal funding and 3 & 4 year old universal and extended funding will be calculated using the estimated hours entered by providers into the Estimates tab on the Synergy Provider Portal. The interim amount will be 70% of the estimated payment amount based on this figure.

The change to the usual process is being implemented to enable Warwickshire to pay providers an accurate interim amount. This change takes into account the actions that providers may have to make changes to their operational practices during the COVID-19 period and to avoid any large discrepancies in providers' payments, for example, due to a reduction or increase in numbers.

Guidance will be issued with the process on how to enter the estimated hours on the Provider Portal.

PVI actual or final payment:

This is the remaining 30%, or the balance after the Headcount figures have been calculated, minus the interim payment already paid.

Childminders:

All childminders are paid monthly

- The interim payment will be made using the actual hours for the children that appear in the portal at the Interim hours submission deadline date. (*See Temporary arrangements during the COVID-19 period)

The provider portal will open 2 weeks before the start of term for childminders to enter or delete their children's hours. The local authority will use the number of hours that are shown in each childminder's record, on the Interim hours submission deadline date, to calculate the interim payment.

It is **very important** that childminders check the list of children during the first week of each term, to make sure the children and hours shown are correct. Childminders may not receive the correct funding payments otherwise.

***Temporary arrangements during the COVID-19 period:**

Interim payments for 2 year old universal funding and 3 & 4 year old universal and extended funding will be calculated using the estimated hours entered by Childminders into the Estimates tab on the Synergy Provider Portal. The interim amount will be 70% of the estimated payment amount based on this figure.

The temporary change to the usual process is being implemented to enable Warwickshire to pay Childminders an accurate interim amount, during the COVID-19 period, to avoid any large discrepancies in Childminder's payments.

Guidance will be issued with the process on how to enter the estimated hours on the Provider Portal.

Childminders are still able to make changes to their Headcount until the submission deadline date if the hours they need to claim change.

Monthly payments

The **interim** payment will usually be split into 3 payments for the Autumn and Summer term and 2 payments in the Spring term*. The final payment will be the balance calculated after the Headcount claim has been completed.

- The interim payment for 2, 3 & 4 year olds will be 70% of the term's actual funding amount based on the estimated hours entered into the portal by the Interim hours submission deadline date

- The first 3 payments will be calculated by dividing the childminder's interim payment(s) by 3 equal amounts
- The final or balance payment will be made after the Headcount has been completed, and will be based on the childminder's actual Headcount numbers that have been entered, minus the interim payments made
- If the number of children/hours is increased at the Headcount week, the additional funding will be paid in the childminder's final payment
- If there has been an overpayment of interim funding, this final balance will be a minus amount and an invoice will be sent to the childminder

The regular monthly payment dates are as follows:

- 1st interim payment is paid within the 2nd week of term
- 2nd payment 15th day of the 2nd month of term
- 3rd payment 15th day of the 3rd month of term
- 4th Final or balance payment paid on the 15th day of the 4th month of term

** the number of payments may vary depending on the number of weeks in the term.*

Headcount Summary

After the headcount information is submitted, a detailed breakdown of the funding allocated to each child will be shown on the provider's Synergy portal. The Universal Hours and the Extended 30 hours will be shown separately. Please access this information from the portal to check the funding received.

Please note: The Funding Office are not able to make any changes to funding after the term has closed. Any adjustments can only be made during the current term. The local authority may reclaim funding relating to a previous term following an audit visit.

No adjustments will be made for any inset days taken, up to a total of 5 days per school year.

The Local Authority is required to secure a minimum of 38 weeks of pre-school education over the course of an academic year. The phased induction for three year olds should be completed within the first three weeks of the term of admission.

2.5 Adjustment to Payments

2, 3 & 4 Year Olds

Funding will normally be paid for the whole term to the provider the child attends on Headcount day.

For children attending a setting on Headcount day, a claim should be made for the whole of the term, even if they joined after the term has started. This will enable the provider to pass a

proportion of the funding to another Warwickshire setting if the child has already taken sessions with them, if agreed between the two settings.

2.5.1 - Child Leaving Before Headcount

If a child leaves before the Headcount date they **cannot** be included in the funded numbers and the local authority **cannot** pay for any hours they have already attended.

Please ensure that parents are aware of this, as they will be responsible for paying for these hours as outlined in the Parent/Guardian Declaration Form (PDF).

Providers **may** be able to receive this proportion of the term's funding by agreement from the setting who makes the Headcount claim. This should be arranged directly between the providers concerned. However, this is not obligatory.

2.5.2 - Child Leaving After Headcount

If a child leaves after the Headcount date and the provider has made a funding claim for them, they are entitled to retain the funding for the remainder of the term.

If there is agreement, the provider can arrange to pass the relevant proportion of the funding entitlement to the new setting, for the remainder of the term. This should be arranged directly between the providers concerned. However, this is not obligatory.

2.5.3 - Child starting After the Headcount

If a child starts after the Headcount date they will not normally be entitled to funding until the following term.

The provider **MUST** contact the Early Years Funding Office to agree **exceptional funding** if appropriate. This may include the following:

- If a child/parent moves house in the claim period
- If the child's primary carer changes in the claim period resulting in the need to change setting
- Where a sibling moves school and the child is able to attend adjacent/nearby nursery provision
- Military family posted in / out of the area
- Child protection and safeguarding issues

Children who are eligible for 2 year funding can start immediately, if they meet the age criteria for the term.

Please ensure that all parents/guardians sign their PDF each term, which sets out the hours and patterns of access to the funded entitlement that the parent and provider have agreed to.

Examples of the current PDFs are shown at [Annex B](#). Please contact the Funding Office to discuss individual situations or for further advice.

2.6 The 'Stretch' Offer

Stretch and Averaging of Funding

Be aware of the difference between:

2.6.1 - Stretch option:

Annual Funded entitlement hours offered and attended by the child over more than 38 weeks per year - the number of funded hours per week attended multiplied by the number of weeks you are offering it per year **to enable the maximum take up of entitlement** e.g. 12 hours per week x 47.5 weeks per year. The number of funded hours will remain the same once agreed. Any additional hours taken in excess of the stretched number of funded hours per week / month are to be charged at the provider's published fee rate. These hours may vary each week/month, depending upon the agreement that is in place with the parent.

Note: the setting must be open for the number of weeks the funded hours are stretched over.

2.6.2 - Averaging:

Funded hours offered for a specified number of weeks per year, usually 38 weeks. Any additional hours and additional weeks taken above the specified free entitlement weeks are charged at the provider's published fee rate. Funded hours and paid-for sessions are totalled for a complete year and divided by the agreed number of months or weeks as per contract arrangements, to provide parents with a standard invoice each payment period. **Parents are able to spread the cost of childcare equally by paying the same amount each week, month or term throughout the year.**

Please note: Providers must ensure that the model of funded hours offered (and how this relates to invoicing and payment requirements) is clearly shown in writing to parents at the outset, and links to the invoices issued. If the child leaves before the end of the year, the number of funded hours taken will need to be calculated in relation to the 38 weeks entitlement. This is to ensure the child has received the correct amount of funded hours and any outstanding charges due to the setting are identified.

Please see the Stretched Guidance - [Annex P](#) for more detailed information.

2.7 Charges

Government funding is intended to deliver 15 or 30 hours a week of funded, high quality, flexible childcare. It is not intended to cover the cost of meals, other consumables, additional hours or additional services.

Providers should be aware that they can charge for meals and snacks as part of a funded place, and that they can also charge for consumables, such as sun cream, and additional services, such as trips. These charges must be voluntary for the parent. Where parents are unable or unwilling to pay, providers who choose to offer the funded entitlements are responsible for setting their own

policy on how to respond, with options including waiving or reducing the cost of meals and snacks, or allowing parents to supply their own meals and consumables.

The local authority will not intervene where parents choose to purchase additional hours of provision or additional services, provided that this does not affect the parent's ability to take up their child's funded place.

Children accessing any of the funded entitlements must receive the same quality and access to provision, regardless of whether their parents opt to pay for optional hours, services, meals or consumables.

There must be no charges associated with the funded entitlement, and providers must not charge "top-up" fees (the difference between the provider's normal charge to parents and the funding they receive from the local authority to deliver the funded entitlement) in relation to any funded hours. The Local Authority must ensure that no other fees are being charged in relation to the funded entitlement, for example for registration or uniform. Providers risk removal from the Directory of Providers and withdrawal of funding if they do so.

Providers can charge a deposit to secure a funded place which must be refunded to the parent within a reasonable time scale and, except in exceptional circumstances, by the end of the first month of attendance. The provider is entitled to retain the deposit where the child does not take up the place.

Where children are accessing the funded entitlement over the lunch period, any charge that a provider makes for lunch must be agreed with the parents in advance and parents must be given the option of providing a packed lunch.

If a child's attendance exceeds the funded entitlement, providers may charge a fee for the additional hours which are not covered by the funded place.

Clear written information must be given to parents outlining the funded entitlement and any fees charged for additional services, including any extra hours that the parents have agreed to buy.

Providers must ensure their invoices and receipts are clear, transparent and itemised so that parents can see that they have received their child's funded entitlement completely free of charge and can identify and understand fees paid for any additional hours or services.

The provider must ensure that the business name and address is shown on invoices and receipts, so they can be clearly identified as coming from a specific provider.

2.8 Parent/Guardian Declaration Form (PDF) – 2, 3 and 4 year olds

A Parental Declaration Form (PDF) must be fully completed in pen, signed and retained for each child by the provider.

There are separate PDFs for 2 Year Olds and 3 and 4 Year Olds. A copy of the current PDF is shown at [Annex B1](#) and [B2](#).

Only one PDF per child should be completed each academic year; and it must be updated and signed **each term** by parents to confirm agreed attendance patterns.

PDFs must be retained by the setting for 6 years plus the current year (7 years) and should be available in the event of any queries and for audit purposes.

Providers are encouraged to establish an additional written agreement between parents and themselves to outline agreed hours of attendance and funded entitlement claimed. However, the standard PDFs must still always be completed.

Please ensure that all parents/guardians are aware that:

- A child can only be funded if they meet the eligibility criteria for the funding type
- All hours attended by their child at all settings must be declared on the form, not just the funded hours
- The parent specifies where the Universal 15 hours are to be paid if they are sharing their funding between more than one provider
- For 3 & 4 year old funding, the parent must have a valid code for the term to claim 30 hours Extended funding. The code must be entered on the PDF
- For 2 year old funding, the parent must have a funding confirmation letter or email with an EY voucher code. The code must be entered on the PDF
- The Local Authority will only pay for a maximum of 15 hours per week over 38 weeks per year for each entitlement
- The maximum number of hours payable per day is 10
- The 570 or 1140 hours annual entitlement must be taken over no fewer than 38 weeks per year
- The entitlement can be stretched by offering fewer hours per week over more weeks of the year up to the maximum entitlements
- The parent will be liable for the cost of the funded hours if the child leaves before the Headcount Date
- Funding will not be paid for a child starting after Headcount day, please refer to [Section 2.5](#) for exceptions
- The parent must make sure that their child regularly attends the funded hours they are claiming for
- The provider must give the parent a copy of the PDF agreement for their records
- If a parent is claiming the Extended hours using a 30 hour code, the details must be fully completed on the PDF to give consent to check eligibility using the ECS checking system
- If a parent wants to claim for EYPP the correct section of the PDF must be completed to give consent to check eligibility using the ECS checking system

- If a parent wishes to claim Disability Access Fund (DAF), the correct section of the PDF must be completed and returned with a copy of the Disability Living Allowance award letter

2.9 Sharing of Funding

Every session attended by a child must be declared on the PDF. Where the Funded entitlement is accessed through a partnership of 2 providers or more, their combined offer should be within the national minimum standards outlined in [Section 1.3](#).

The Parent/Guardian Declaration Form (PDF) must show how the funding is going to be split over all providers and where the Universal entitlement is to be paid if the 30 hours Extended entitlement is being claimed.

Where a child attends two providers and receives in total more than the maximum funded entitlement, the Local Authority will apportion the amount of funding payable in respect of that child, based on the number of hours accessed at each setting. Parents will be liable to pay the provider(s) for any additional hours taken over and above the funded entitlement.

2.10 Child Attendance

Providers are responsible for ensuring parents are aware of the need to achieve regular, fully attended patterns of attendance. Settings should always check and record why a child is absent and record any follow up action they have taken if they have any concerns about the absence. Providers should be alert to patterns of absence that may indicate wider safeguarding concerns (please also refer to [Section 3.4.2 Safeguarding](#)).

Issues of poor attendance will be reviewed at audit and may result in loss of funding for the setting.

Providers can only claim for hours that are regularly attended by the children, and the Parent/Guardian Declaration Form (PDF) must reflect the attendance and claim patterns for every child.

Warwickshire County Council will not penalise providers for short term absences of children, for example through sickness or a family emergency, but if absence is recurring or for extended periods the Local Authority may reclaim funding. The provider's attendance/absence management policy will be taken into account, how effectively appropriate follow up action has been taken or support provided to the family, when considering whether funding should be reclaimed.

The provider should keep all correspondence relating to the management of poor attendance issues.

If further guidance on how attendance can affect funding is needed, please contact the Early Years Funding Officers.

For further guidance on Warwickshire's Children Missing Early Years Education policy, please refer to Appendices 3a and 3b in the 'Joint Protocol Children Missing from Home, Care & Education (Warwickshire)' which can be found at -

www.safeguardingwarwickshire.co.uk/safeguarding-children/i-work-with-children-and-young-people/interagency-safeguarding-procedures

2.11 Cross-Border Arrangements

The Local Authority where the child is accessing the funded place, rather than where they live, pays the Funded Entitlement. Therefore, providers in Warwickshire should claim for all eligible children on their register irrespective of where the children live. If a child also attends another setting which is not in Warwickshire, please ensure that no more than the maximum 15 or 30 funded hours are claimed between the different authorities. These details should be clearly indicated on the PDF to avoid any potential over payments.

Cross checking arrangements are always carried out with neighbouring local authorities to identify any potential funding issues.

2.12 Information for Parents

Copies of the information leaflets for parents and providers are shown at [Annexes L](#) and [M](#). Further copies are available from the Early Education Funding Office on **01926 742235 / 01926 742233 / 01926 742218**.

Parents may also obtain information about the early education entitlements, and get help in choosing and applying for childcare, by going to the Warwickshire County Council website www.warwickshire.gov.uk/childcarecosts

2.13 Changes to Provider Details

The Local Authority and Ofsted must be informed, in writing, of any changes to a registered providers details e.g. change of premises, ownership or payment details. Both MUST be informed immediately should the setting close.

Providers should give parents reasonable notice of any changes that may impact on the level of services provided.

A change in registration with Ofsted may mean that the old registration will close, and a new registration is opened. If this is the case, it will have an impact on funding and access to the Synergy Provider Portal. A new Provider Agreement and new access to the Provider Portal may be required. This will result in delays to payments if the Local Authority is not made aware of changes in advance.

Changes to bank details:

If there is a change to bank details, providers must contact the Warwickshire County Council Exchequer Services Department, email: suppliermaintenance@warwickshire.gov.uk

Changes to setting contact details:

If there is a change to contact details, **especially the email address** or telephone number, please advise the following as soon as possible as most correspondence and information is sent electronically:

Early Years Funding at: eyfunding@warwickshire.gov.uk

Exchequer Services at: suppliermaintenance@warwickshire.gov.uk

Ofsted at: 0300 123 1231

2.14 Withdrawal from Delivering the Free Entitlement

Where a provider chooses to withdraw from delivering the free entitlement, or closes, they should inform the parents and the local authority in writing, giving where possible at least 3 months / one term's notice to enable parents to make alternative arrangements.

The person/s responsible for the setting will be invoiced if an overpayment of funding occurs when a setting closes or withdraws from the Funded Entitlement scheme.

2.15 Entering the Headcount claim

The providers' Headcount claim, including EYPP and DAF, is made through the Synergy Provider Portal.

The Provider must have access to the internet and the relevant associated resources and equipment in order that they can complete funding claims, sufficiency and census returns and other requests for information. All related communications are made using internet linked systems or email.

The details of the claim must be entered using the information taken from the completed PDF, signed by the parent and the setting manager.

It is the provider's responsibility to input the Headcount return within the deadlines given by the Funding Office and to check its accuracy on completion at the end of each term.

At the end of each term, providers will be sent the **Termly Funding Information Letter**. This includes all of the important dates and deadlines needed for the next term.

Providers will need access to the internet to enter the Headcount claim on to the Synergy Provider Portal

- The web address is: <https://admissions.warwickshire.gov.uk/synergy/providers>
- Sign in using the unique username and password issued by the Funding Office

- If providers have not used the system before, please contact the Funding Office for these details and for a copy of the FIS Synergy Portal User Guide document.

To enter the Headcount claim correctly, settings will need to follow the Synergy FIS Provider Portal Online Funding Guidance, which is sent on an annual basis by the Early Years Funding Team. If providers need further copies, please contact the Funding Office.

Providers are also issued with the EY Funding Guidance on a termly basis, which explains the general requirements of the Early Years Funding process.

2.16 Early Years CENSUS

The Department for Education (DfE) requires Local Authorities to carry out an annual Early Years Census of all providers of funded 2, 3 & 4 year old places in the private, voluntary and independent sectors. The Early Years Census is mandatory, and data has to be collected at the individual child level. There may be additional Census collections as required by the Department for Education.

The Early Years Census information is collected using the Synergy Provider Portal. The Census form will be found under the 'Forms' tab at the start of the Spring term. Please refer to the **Synergy FIS Provider Portal Online Funding Guidance**.

It must be completed by the Submission deadline date as detailed in the Termly Funding Information Letter for the Spring term.

The process:

Census Provider Details

Information will be sent to each provider at the end of the Autumn term giving the details of the Census Collection date (normally Headcount Day, the third Thursday in January or a date advised by the Funding Office). **It is essential that the online form is completed and submitted by the due date, in accordance with the instructions.**

Individual Child Details

The requirement to collect individual child details will be fulfilled using the Spring term Headcount or a collection date advised to providers by the Funding Office.

The child details are taken from the Spring term Headcount claim, taking the information providers have inputted on to the Synergy Provider Portal.

This information must be taken from the Parent/Guardian Declaration Forms (PDFs).

The Early Years Census information will be used to determine the funding allocated to Warwickshire County Council by the Department for Education. Any delays or errors in the data returns will affect the funding allocation for Warwickshire and may affect funding for individual providers too.

School Census returns for Maintained Settings and Nursery Schools

It is vitally important that schools continue to keep the SIMS system up to date, as this will be used to create the statutory school census returns in October, January and May. Registered pupils of the school (2, 3 and 4 year olds depending on the statutory age range of the school) **must** continue to be included in these returns in line with the specified PAN.

Please refer to the separate Census Guide for Schools with Early Years provision, summarised below:

- The school must be aware of its statutory age range. Where the school has 2, 3 and 4 year olds as registered pupils of the school, they must be included on the Schools Census via SIMS.
- Children attending the nursery class/school who are not within the statutory age range need to be counted as attending a 's27 Governor Run provision' and included in the Early Years Census – an Early Years Census form must be completed via Synergy in the Spring term.
- For Schools who only have a maintained nursery class, (without s27 Governor Run provision), the children need to be included in the School's Census via SIMS.
- For Schools who have a maintained nursery class and a 's27 Governor Run provision', the children who are pupils of the school (within the Published Admission Number (PAN)) must be added to the School Census (SIMS). Any children above the PAN will need to be counted as a pupil of the 's27 Governor Run provision' and included in the Early Years Census (Synergy).

CAUTION: Where children are registered pupils of the school they must be recorded **once only**. Where a child attends both maintained and 's27 Governor Run provision' (e.g. for a 30 Hours place), this information must be submitted **ONLY** via the Schools Census (SIMS) if the child is a registered pupil of the school.

In the event of any change of provider details, of any kind, the provider is responsible for informing the Early Years Funding Office and any other regulatory bodies including Ofsted.

2.17 Initial Budgets

Historical payment information is supplied to enable providers to manage their financial planning and give an initial budget.

Providers can access this information via The Summary Tab in the Synergy Provider Portal which gives the actual funding amounts paid to the setting for the Summer, Autumn and Spring term in the previous year.

Providers will be able to access actual updated budget information on a termly basis once each terms Headcount is completed. This information will be notified via The Summary Tab for the current term.

Section 3 – Directory of Providers

3.1 Local Directory of Providers

All Local Authorities are required to keep a Directory of Providers. Providers cannot offer funded places until they have been registered on this Directory.

The Directory of Providers is maintained by the local authority.

Funded 2 Year Olds

To become eligible to register to offer 2 year old funded places, providers must be based in Warwickshire and be one of the following:

- A Private, Voluntary or Independent early years setting registered on the Ofsted Early Years Register
- or
- A school taking children aged 2 and over and therefore exempt from separate registration with Ofsted as an early years provider,
- or
- A Childminder registered on the Ofsted Early Years Register (or registered with a Childminder agency which is itself registered with Ofsted on the Early Years Register)

All newly registered providers can normally offer funded places for 2 year olds until their first full Ofsted inspection judgement is published. When providers have received an Ofsted inspection, Warwickshire County Council will normally only fund 2 year olds if the judgement is 'Good' or 'Outstanding', although the Local Authority may sometimes allow 'Requires Improvement' providers to offer 2 year old funded places if sufficient local places cannot otherwise be secured.

Funded 3 and 4 Year Olds

To become eligible to register to offer 3 and 4 year old funded places, providers must be based in Warwickshire and be one of the following:

- A Private, Voluntary or Independent early years setting registered on the Ofsted Early Years Register
- or
- A school taking children aged 2 and over and therefore exempt from separate registration with Ofsted as early years providers
- or
- A Childminder registered on the Ofsted Early Years Register (or registered with a Childminder agency which is itself registered with Ofsted on the Early Years Register)

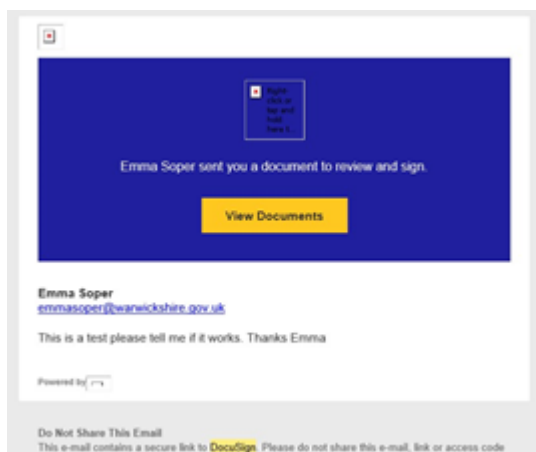
All newly registered providers can normally offer funded places for 3 and 4 year olds until their first full Ofsted inspection judgement is published. When providers have received an Ofsted inspection, Warwickshire County Council will only fund 3 and 4 year olds if the judgement is at least 'Requires Improvement' (or 'Effective' in the case of a childminder agency).

Prior to acceptance onto the Directory of Providers, the owner / person responsible for the setting (or childminder) must make contact with their Warwickshire County Council Early Years Business

Support Officer to arrange signed completion of the current Provider Agreement ([Annex C](#)). Providers will then be issued with the full Guidance and Requirements of Early Education Funding.

Starting from Academic year 2020/21 we have improved the process for signing and returning Provider Agreements:

- The Provider Agreement will be sent electronically from DocuSign EU. Providers will receive the following message via email:



- Click view document – then follow the on screen instructions to complete the form and sign electronically. Once submitted the completed Provider Agreement will be sent back to Warwickshire County Council.
- On completion, recipients will get another email from DocuSign EU with a link to the completed document, this can be downloaded / printed for the providers own records.

Following the return of the signed Provider Agreement to the Funding Office, an email will be sent with information about the process for claiming funding and the deadlines that must be met. Providers will be given a Unique Reference Number (URN) for the Local Authority, which is used for Census purposes (please note that this is a **different** number to the Ofsted Registration Number).

Claims for all funded children must be submitted by the provider via the Synergy portal. The Early Years Funding Office will set up a provider account and supply passwords, links and guidance for the system.

Warwickshire County Council's Exchequer Services Department will send an email with a data capture form attached. This is to collect the setting's bank details and add the provider to the Local Authority's Finance system for the funding payments to be made. It will appear as suppliermaintenance@warwickshire.gov.uk - please respond to this as soon as possible. **Funding cannot be paid until this form is returned and processed.**

3.2 Provider Agreements & Local Authority Requirements

All providers registered to claim funding for 2, 3 and 4 year old funded places must sign the annual Provider Agreement. Please see [Annex C](#). All providers must have regard to the current 'Early Education and Childcare Statutory guidance for Local Authorities' and follow all Department for Education requirements.

The Local Authority is required by legislation to secure information, advice and training for the following childcare providers:

- Those registered on the Ofsted Early Years Register who are judged less than 'Good' by Ofsted in their most recent inspection report
- Newly registered providers on the Ofsted Early Years Register who have not yet had an inspection report published

Information, advice and training must include the following:

- Meeting the requirements of the Early Years Foundation Stage
- Meeting the needs of children with special educational needs and disabilities, vulnerable and disadvantaged children
- Effective safeguarding and child protection

The Local Authority currently offers support via an Early Years Adviser or Early Years Advisory Practitioner to settings who are judged less than 'Good' by Ofsted.

The Local Authority will conduct Business Health Checks and Funding Audits to ensure that providers are meeting the requirements laid down in the Provider Agreement. These requirements include:

- 2, 3 and 4 year old funded places are delivered completely free of charge to parents
- Funding provided is used properly and in accordance with any local authority arrangements made with providers
- Providers offer funded places in accordance with 'Early education and childcare - Statutory guidance for local authorities'

Please see [Section 3.7](#) and [Annex F](#) for more information about the audit process.

3.3 Advice and Support for Settings

Where settings categorised by Ofsted as below 'Good' are delivering the funded entitlement, they will need to improve the quality of their provision, and complete actions identified in their Ofsted inspection report. This may include, where applicable, participation in training or other quality improvement programmes, and peer support from other settings.

The Local Authority currently offers support via an Early Years Adviser or Early Years Practitioner to settings who are judged less than 'Good' by Ofsted. This support will focus on addressing the issues identified in the Ofsted report, which will form the basis for the setting action plan.

Support will also be available following a Business Health Check and Funding Audit where areas have been identified for development or actions are required to be completed by the setting.

A written record of visit will be sent to the setting following any support visits given. Please see [Annexes H, J and K](#) for further information.

3.4 Continuous Quality Improvement, Workforce Development and Safeguarding

3.4.1 Quality Improvement

Every child should have access to an Early Years setting where there is excellent learning and development adapted to the needs of each individual child and delivered by well qualified and well-trained practitioners. All parents should be confident that the setting their child attends is aspiring to deliver the best quality provision.

In order to ensure that children have the best start in life, they need high quality provision.

Warwickshire County Council currently commissions learning and development opportunities through the Early Years Teaching School. Providers can find more information at www.warwickshireearlyyears.co.uk

Settings are able to access training at other providers, including those delivering online training, if they wish.

3.4.2 Safeguarding

Every setting has a duty under the Childcare Act 2006 to comply with the Statutory Framework of the Early Years Foundation Stage, under which they are required to demonstrate that they take the necessary steps to safeguard all children in their care. Please also refer to [Section 2.10](#) Child Attendance and Warwickshire's Children Missing Early Years Education policy.

Providers who receive Early Education Funding must meet all the requirements laid down in the Provider Agreement that all settings must sign before they are entitled to access funding. (See [Annex C](#)). This will include completion of an annual Safeguarding Audit. Failure to complete the Audit, or any other return that the Local Authority requires, may result in a delay to funding payments.

Providers must also comply with all safeguarding arrangements as laid down by the Safeguarding Warwickshire Partnership.

Information may be shared with other agencies in order to ensure effective safeguarding and promote the welfare and protection of children.

3.4.3 Ofsted

Before being accepted by Warwickshire County Council onto the Directory of Providers and deemed eligible to claim 2, 3 and 4 year old funding, settings **must** be registered with Ofsted. A childminder may register with a childminder agency which is itself registered with Ofsted, instead of holding an individual Ofsted registration.

The Local Authority will withdraw funding with immediate effect if it is notified by Ofsted that they have suspended or terminated a provider's registration.

Providers **MUST** inform the Local Authority of the outcome of an Ofsted inspection within 3 working days. If the Ofsted inspection has resulted in an 'Inadequate' or 'Not Effective' judgement, the Local Authority will not fund any places for children who have started at the setting after the publication of the Ofsted inspection report.

Following inspection, if a setting is judged by Ofsted to be less than 'Good', it is a requirement that the setting works to improve the quality of their provision, by addressing the issues identified in the Ofsted inspection report. The requirements may include, where applicable, participating in training or other quality improvement programmes.

Providers delivering 2 year old funded places must generally hold an Ofsted grading of Good or above, unless the Local Authority cannot otherwise secure sufficient local provision.

If a provider receives a 'Requires Improvement' judgement or childminder agency receives a 'not effective' judgement, Warwickshire County Council will not fund any new places for 2 year olds at the setting, although new places for 3 and 4 year olds will continue to be funded, and existing funded 2 year olds may retain their place.

Funding will be withdrawn and alternative provision secured for new funded children if Ofsted publishes an inspection judgement of 'Inadequate' (or 'Not Effective' in the case of a childminder agency). Warwickshire County Council may allow existing funded children to remain at the provision in order to maintain continuity of care, but each individual case will be considered separately. The Local Authority will not fund any new places in a setting that receives an Ofsted judgement of 'Inadequate' (or 'Not Effective' in the case of a childminder agency).

Warwickshire County Council will adhere to the requirements of the Early Education and Childcare Statutory Guidance when making a decision to withdraw or suspend funding.

3.5 Inclusion and Special Educational Needs

In order to ensure an inclusive approach, providers must have regard to the Special Education Needs and Disability Code of Practice 2015 and the Equality Act 2010 and ensure all staff members are aware of their duties under it.

Settings must have:

- An up to date SEND or Inclusion Policy that meets the requirements of EYFS and the SEND Code of Practice and describes what the setting does to identify, assess and intervene with regard to SEN and disabilities
- A named and fully trained SENCO (Special Educational Needs Co-ordinator) specific to the setting and based on site
- Regular professional development for the setting SENCO and other staff to meet the needs of children with SEND. Providers must regularly attend SENCO surgeries
- Universal practice of identification, intervention, and monitoring of children with possible/identified SEND which must meet the requirements of the SEND Code of Practice

- Targeted and Specialist support which must be implemented, monitored, recorded and reviewed with parents/carers for any child with possible or previously identified additional educational, health or social care needs. This cycle of intervention must involve referral to external professionals as required
- A commitment to work fully with families in the development of SEND provision not only for their child but across the setting
- Information on Warwickshire SEND and Advice Service (SENDIAS) which is available to all parents. Parents must be signposted to the Local Authority's Local Offer

Children and parents must be involved at all stages of identifying and assessing need, and reviewing targets identified within targeted and specialist intervention, wherever possible.

The Equality Act 2010 brings together disability, sex, race and other grounds of discrimination within one piece of legislation. The Equality Act 2010 requires providers to comply with two main duties:

- Not to treat a child, parent/carer or member of staff with a disability 'less favourably'
- To make 'reasonable adjustments' for those with disabilities

Where there is a newly designated SENCO, support and training will be available from the IDS Specialist Early Years Teachers. All SENCOs will be able to access general SEND support and advice when needed and will be expected to attend briefings and "SENCO Surgeries" to update their knowledge and skills.

Setting managers, pre-school SENCOs & childminders can access support and guidance from the Integrated Disability Service (IDS) for children with specific needs and/or disabilities. See [Section 6](#) for contact details.

Providers who have 3 and 4 year olds in receipt of Disability Living Allowance (DLA) at their setting are entitled to receive an additional payment (currently £615 per year) to support disabled children's access to funded sessions - the Disability Access Fund (DAF). Providers are responsible for identifying eligible children, and ensuring parents complete the relevant section on the Parental Declaration Form (PDF). Please see [Section 2.2.3](#) for more information.

3.6 Financial Management Guidance

All providers in receipt of 2, 3 and 4 year old funding must ensure that they have robust financial procedures in place in order to ensure that payments for funded places are administered appropriately.

Financial guidance from Warwickshire County Council is detailed in [Annex A](#).

The guidance also includes a number of financial controls that are essential tools to help provide a degree of financial security from the misappropriation of money from the business. The guidance also sets out how employees can protect themselves from allegations of theft or impropriety.

To ensure that there are robust financial management procedures in place, officers from the Early Years Business Support Team will conduct regular Business Health Checks and Audits. (See [Annex F](#) for a copy of the Business Health Check and Audit template)

3.7 Audit Requirements

The Statutory Guidance for Local Authorities places a duty on the local authority to ensure:

- early education places are delivered completely free of charge to parents
- early education places are provided flexibly in a pattern which should meet the needs of parents
- that the funding provided is used properly and in accordance with any arrangements made with providers
- that providers meet the needs of disabled children and children with special educational needs
- effective safeguarding and promotion of the welfare of the children for whom the early education is provided
- that providers actively promote fundamental British values
- that providers take any measures identified in a report from Ofsted to improve the overall effectiveness of the provision
- there are effective administration arrangements

Warwickshire County Council will audit providers on a regular basis, in conjunction with a Business Health Check, to monitor the above requirements. The Local Authority will also audit where a concern or complaint has been received, or where additional support may be required – e.g. if there is a new manager or owner, or the setting appears to be in financial difficulties. Settings must agree to these visits as part of the Provider Agreement.

Please see [Annex E](#) for the information that will be requested to undertake the audit.

The Local Authority will need to be satisfied that the required paperwork has been completed correctly, the funding claim has been made in accordance with the instructions given by the Early Years Funding Office and that the setting complies with the Statutory Guidance.

Guidance will be given at the time of the health check and audit, or on request, to support providers if they are not sure of the correct procedures or if it is found that they are not administering the funding correctly.

Particular attention is given to:

- The number of hours claimed on the Parent/Guardian Declaration Form (PDF), that all the relevant sections are completed and signed, and that it corresponds to the 'Actual' funding claim made and the setting's attendance records
- Children's attendance, which must match the hours claimed for by the provider
- The funded place being given completely free at the point of delivery, with no 'top up' fee charged. Invoices issued to parents/guardians must clearly state the number of funded hours delivered and a breakdown of any additional hours or services

Following the health check and audit, a report with the outcome, detailing any actions, will be sent. The provider will be required to make any necessary changes identified as actions to meet the requirements of funding.

The Local Authority may need to undertake further visits to confirm that the requirements of funding are being met.

Where actions following the health check and audit remain outstanding, the Local Authority may review the provider's ability to offer funded places and future funding could be at risk.

A letter will be issued notifying the provider of this intent – See [Annex I](#).

2, 3 and 4 year old Funding payments may be suspended if a setting does not take reasonable steps to comply with any changes required by the Local Authority.

The provider must ensure that the following information is retained for 7 years (6 years plus current year):

- Parent/Guardian Declaration Forms (PDFs)
- Actual session reports – Synergy system
- Registers or records of attendance
- Invoices and / or £0 Charge forms
- Copies of receipts

COVID-19 Funding Audit Changes

Audits of Summer Term 2020 funding will include checks of the following:

- Summer Term 2020 funding based on the Spring Term 2020 claim
- Evidence of confirmation of the Summer Term place for new starters received prior to the end of the Spring Term 2020
- Claims for increased hours were for made for children who were actually attending the setting in the Summer Term 2020
- All relevant sections on the PDF completed and settings have obtained a signed hard copy or an email confirmation accepting the terms and conditions and confirming that all details are correct. Any email confirmations must be kept with the PDF
- Any claims that were made for children who attended the setting who's funding could not be offset by children not attending their place

Please refer to the Updated Termly Information Letter for Summer Term 2020 for further details on the funding process

3.8 Additional Requirements

The additional conditions that providers must meet are as follows:

- Settings must ensure that standard Parent/Guardian Declaration Forms (PDF) are **fully** completed for every child eligible to claim funding prior to making the funding claim. Only one PDF needs to be completed each academic year and this form should be updated and amended as necessary

Parental Contributions and Charges – 2, 3 and 4 year old funding

- Warwickshire County Council must ensure that the basic entitlement is completely free at the point of delivery – providers **MUST NOT** charge any fees in respect of the funded entitlement. Providers must also ensure that parents are not charged in advance for funded places and then refunded at a later date (other than a deposit, which must be refunded to the parent within a reasonable time scale and, except in exceptional circumstances, by the end of the first month of attendance)
- Providers can charge for additional services and the level of such fees should be a private matter for agreement between the provider and the parent. However, parents must not be required or expected to take up additional services in order to access a funded place. Arrangements for charging for additional services must be clear and transparent

- As a condition of receiving 2, 3 & 4 year old funding all settings will need to comply with all auditing and monitoring requirements for children accessing funding. This will include the requirement to:
 - Accurately complete and submit online 3 headcount forms per academic year using the Synergy system (or any replacement Warwickshire County Council system)
 - Accurately complete and submit online the Department for Education (DfE) Early Years Census Information using the Synergy system (or any replacement Warwickshire County Council system)
 - Accurately complete and return any other audit or monitoring information required by Warwickshire County Council or the Department for Education in relation to 2, 3 & 4 year old funding

Please note that all forms must be completed online, as advised in termly communications. Funding may be delayed or withdrawn if a provider does not complete all the required forms and meet the specified deadlines.

3.9 Rejection or Removal from the Directory

If a provider fails to meet any of the conditions that Warwickshire County Council has set, in line with Statutory Guidance, the setting may be removed from the Directory. The provider may be required to repay the whole or part of any funding that has been paid in respect of funded places. If removed from the Directory of Providers, the setting will no longer be eligible to claim for funded places for two and / or three and four year olds.

Rejection or removal from the local Directory of Providers may occur if:

- The local authority is notified by Ofsted that they have suspended or terminated a Provider's registration, or there has been a breach of statutory requirements, or serious safeguarding concerns
- The setting receives an Inadequate Ofsted judgement and does not make significant progress in working towards improved quality with an agreed action plan. This must address the required improvements as identified in the provider's Ofsted inspection report
- The setting receives a second Inadequate Ofsted judgement (or a childminder agency receives a second 'Not Effective' judgement).
- The setting fails to comply with the conditions of Warwickshire County Council's Guidance and Requirements of Early Education Funding

Any decision regarding refusal or removal from the Directory will be made in writing and the provider will be given the date by which an application to appeal against the decision must be made.

3.10 Appeals Procedure

Providers wishing to appeal against the decision to be removed from the Directory of Providers should:

- Write to the Early Years Funding Team (which will have provided a written explanation of the reason for removal from the Directory), clearly stating the grounds for having the decision re-considered. Providers should take into account the requirements of the Early Education and Childcare Statutory Guidance when considering this step
- If the original decision is upheld, the provider may then write to the Assistant Director, Education Services, Warwickshire County Council, who will review the case
- No further appeals are available, but providers have the option to write to the Local Government Ombudsman if they believe their case has not been correctly considered.

The address for the Local Ombudsman is:

Local Government Ombudsman
Earlsdon Park
53-55 Butts Road
Coventry
CV1 3BH

Tel: 0300 061 0614
Email: advice@lgo.org.uk
Website: www.lgo.org.uk

Section 4 – Tax Free Childcare

Working parents are able to apply for Tax-Free Childcare through the digital childcare service, www.childcarechoices.gov.uk For every £8 parents pay into their childcare account, the Government will add an extra £2, up to a maximum of £2,000 per child per year, or £4,000 per year, if the child is disabled. Parents can then use these funds to pay for registered childcare outside of the funded entitlements.

The eligibility criteria for Tax-Free Childcare are broadly aligned with 30 hours funded childcare. The main differences are that Tax-Free Childcare is available for children under 12, or 17 if disabled, and is not available to parents in receipt of tax credits, Universal Credit or childcare vouchers.

As part of their childcare service application, parents in receipt of Tax Credits, Universal Credit or childcare vouchers can choose whether they want to keep these benefits and apply for 30 hours funded childcare only, or apply for Tax-Free Childcare as well as 30 hours funded childcare.

Parents can use Tax-Free Childcare alongside 30 hours funded childcare to cover additional childcare costs, e.g. during school holidays.

Many parents are not aware of the benefits of Tax Free Childcare, and Warwickshire County Council encourages providers to promote the scheme to parents - this additional funding can help to make the business more sustainable financially, because parents are getting help with their childcare fees. This makes it easier for settings to charge a realistic market rate for their services. See Tax Free Childcare Leaflet - [Annex Q](#).

Childcare providers need to sign-up to the childcare service in order to receive Tax-Free Childcare payments using the Childcare Service at www.childcarechoices.gov.uk All providers registered with a regulator (e.g. Ofsted) will have received an invitation to apply, containing the information they need to sign up.

Providers who need assistance with the sign-up process should contact the digital childcare service helpline on 0300 123 4097.

SUMMARY

All of the requirements detailed in this Guide must be met. They have been introduced to ensure that funding is spent in accordance with the 'Early Education and Childcare Statutory Guidance for Local Authorities' and to meet the financial requirements of Warwickshire County Council.

If a setting fails to meet these requirements, Warwickshire County Council will take action which may result in the withdrawal of funding.

Section 5 – Frequently Asked Questions

When can a child access a funded place? [Section 2.1](#)

2 year olds: eligible children are funded from the start of the term after their second birthday until they are eligible for 3 & 4 year old funding.

3 & 4 year olds: from the start of the term following their third birthday, all children are entitled to up to six terms of funded early education before reaching statutory school age (the first term following their fifth birthday).

Depending on local arrangements for admission to school, many children start full time education in school reception classes before reaching compulsory school age.

What is the minimum funded early education entitlement? [Section 2.1](#)

The 2 year old and 3 and 4 year old universal funded entitlement is for 570 hours per year delivered over a minimum of 38 weeks of the year (equating to 15 hours a week). The extended entitlement for 3 and 4 year olds is for 1140 hours per year. The funded entitlement is a guarantee of a funded place, but it does not offer a guarantee of a place at any one specific provider or a particular pattern of provision. Parents may need to contact more than one provider to obtain the offer that meets their particular circumstances.

What if providers are not open for the full 38 weeks?

A parent can choose a provider that is open for fewer than 38 weeks of the year and receive 15 or 30 hours per week during fewer weeks. The funded entitlement hours cannot be compressed i.e. a parent cannot take more than 15 or 30 hours per week over fewer than 38 weeks of the year.

Local Authorities should ensure that there are sufficient 38 week places to meet parental demand and have a responsibility to provide information regarding settings that do offer 38 weeks of provision.

Does it matter which Local Authority the child is resident in? [Section 2.11](#)

All Local Authorities have a duty to provide sufficient early education places for three and four year olds. Local Authorities receive funding for the number of children attending funded early education places within their area, regardless of where the children live. As a result, no child should be refused a funded place on the basis of where they live and the Local Authority in whose area the setting is situated will receive and administer the funding.

Will parents be expected to make a financial contribution towards their child's funded early education place? [Section 2.7](#) and [3.8](#)

Parents cannot be required to contribute to the cost of the basic funded entitlement but may be charged fees for additional services or hours. Parents should be made aware of these charges in advance of their child taking up a funded place. Providers must not levy any fee in respect of the funded entitlement nor should they charge parents fees in advance for their entitlement to be refunded at a later date (other than a deposit to reserve a place, which must be refunded within a reasonable time scale, as advised in 2.7 and 3.8). All invoices for parents must clearly show the number of funded hours they have received completely free, and how the charges have been

calculated for any additional hours/services that the parent has agreed to pay for over and above the funded entitlement.

Do parents have a right to a place with a particular provider?

The right to a funded early education place is for a funded place in the local area, not the right to a funded place with a particular provider.

What happens to the 3 and 4 year old funding if a child moves from one provider to another during the course of a term? [Section 2.5](#)

Normally the setting where the child is attending during headcount week receives the funding for the whole of the term. Adjustments to payments for Funding will only be made in exceptional circumstances as outlined in Section 2.5.

Providers should use Parent/Guardian Declaration Forms, which set out the hours and patterns of access to the funded entitlement that the parent and provider have agreed to, usually on a termly basis. An example Parent/Guardian Declaration Form is shown at [Annex B1](#) and [B2](#).

What happens if a child attends sessions at more than one provider? [Section 2.9](#)

Parents should detail the hours and pattern of attendance for all settings their child attends on the Parent/Guardian Declaration Form (PDF).

Shared providers will be funded on a pro-rata basis according to the amount of funded provision taken at each provider. Where a child attends two providers and receives in total more than the minimum funded entitlement, if a local agreement cannot be made on how the funding will be allocated, the Local Authority will apportion the amount of funding payable in respect of that child, based on the number of hours accessed at each provision.

Can parents receive 3 & 4 year old funding if their child attends both a School Nursery and PVI provider? [Section 2.9](#)

The same rules apply to the LA and PVI sector. If a child attends two providers and receives in total more than the minimum funded entitlement, the Local Authority will apportion the amount of funding payable in respect of that child based on the number of funded hours accessed at each provision.

How is funding for the provision of funded places allocated to Local Authorities?

Funding is provided through the Dedicated Schools Grant (DSG), which is a ring-fenced grant provided to Local Authorities to fund educational provision in all types of provider. This includes PVI providers offering funded early education. The Warwickshire Schools Forum approves how the DSG is allocated, and the Early Years sector has representatives who sit on this body.

Local Authorities have a statutory duty to secure sufficient funded places for every three and four year old whose parents want a place and for every eligible 2 year old. They are also responsible for determining the rate at which providers will be funded for delivering the funded entitlement and the arrangements for making associated payments. The Warwickshire Schools Forum approves the level of funding rates for early years' providers, based on the Department for Education's guidance.

Section 6 – Where to Get Help and Useful Contacts

Early Years and Childcare, Sufficiency and Business Support Team
Saltisford Office Park
Ansell Way
Warwick CV34 4UL

Mandy Latham
Senior Officer, Early Years Sufficiency & Business Support
01926 742216
mandylatham@warwickshire.gov.uk

Mandy Bell
Administrator, Early Years Sufficiency & Business Support
01926 742633
earlyyearsadmin@warwickshire.gov.uk

Early Years Funding Enquiries
01926 742235
eyfunding@warwickshire.gov.uk and 2help@warwickshire.gov.uk

Michelle Taylor
Early Years Funding Officer
01926 742218
michelletaylor@warwickshire.gov.uk

Penny Ibrahim
Early Years Funding Officer
01926 742233
pennyibrahim@warwickshire.gov.uk

Early Years Business Support Enquiries
earlyyears@warwickshire.gov.uk

Jessica Holderness
Early Years Business Support Officer
01926 742995
jessicaholderness@warwickshire.gov.uk

Sonia Waszczak
Early Years Adviser
07867 390443
earlyyearsadvisors@warwickshire.gov.uk

Dawn Jearum
Early Years Practitioner
07769 914668
earlyyearsadvisors@warwickshire.gov.uk

Integrated Disability Service (IDS) Birth to Five Team
01926 413737



Follow us on Facebook: - [/www.facebook.com/wccearlyyears/](https://www.facebook.com/wccearlyyears/)



Tel: 0845 090 8044 (Local Rate)

Email: fis@warwickshire.gov.uk

Website: www.warwickshire.gov.uk/fis

Department for
Education

www.gov.uk/government/organisations/department-for-education



Easy access to the public services you use and the information you need, delivered by the UK government

www.gov.uk

www.gov.uk/government/organisations/ofsted

HMRC

Apply for 30 hours code and Tax Free Childcare - www.childcarechoices.gov.uk

Customer Care Line: 0300 123 4097



www.warwickshire.gov.uk

www.warwickshire.gov.uk/childcarecosts

Childcare
Choices

www.childcarechoices.gov.uk

Financial Management Guidance – Annex A

This guidance includes recommended financial controls which will help to embed good levels of financial practice - reducing the risk of financial instability, misappropriation and allegations against staff and individuals linked to the business.

GUIDELINES FOR GOOD FINANCIAL MANAGEMENT & CONTROL

All settings should ensure that the following financial management and controls are in place. The business should be in a position to provide assurance to Warwickshire County Council that their financial management process is operating effectively. Robust business and financial planning systems must be used to help inform this.

Financial and Business Planning

- annual cash flow forecast including projections for future years and a budget that is reviewed and agreed prior to the start of each new financial year;
- cash flow forecasts should cover a minimum of 3 years;
- robust business planning systems that link to financial plans, budgets and forecast e.g. business plan reviewed at least annually;
- business planning including market research, advertising, short, medium and long term planning.

Employees

- employees should have an up to date formal contract, including clear terms and conditions, working hours and remuneration, holiday entitlement, workplace pension, sick pay arrangements, notice periods and information regarding disciplinary and grievance procedures;
- the contract should be signed promptly by the employee and a nominated member of the voluntary committee / board as the employer;
- a secure personal file should be in place for each employee.

Income

- pre-numbered duplicate receipts must be issued for all cash / cheque income received. Duplicate receipts ensure that there is a copy for records;
- robust systems need to be in place for handling cash transactions, two persons should receive cash payments - count and record;
- child attendance must be recorded which clearly identifies hours of attendance including specific number of Funded hours;
- additional hours after Funded hours should be charged at the settings advertised rates;
- invoices for chargeable attendance must be raised regularly;
- £0 charge forms or invoices for funded only children must be issued regularly;
- late payment procedures should be in place for unpaid invoices, unpaid invoices should be followed up promptly;
- cash and cheques must be locked away at all times, banking should be undertaken daily;
- in the unlikely event that money is taken home at night, personal insurance should be in place for the individual;
- income must be paid into the bank promptly and in full. Bank paying in slips must clearly show the split between cash and cheques and should list each cheque individually;
- income must not be used for cashing personal cheques, other payments, or topping up petty cash;
- Fidelity insurance should be held (financial protection from employee theft).

Payroll

It is important that the person processing the payroll should have relevant experience or undertake training in this area.

- only the Proprietor / Management Committee / Board should authorise new starters;
- the Proprietor / Management Committee / Board should hold a list of all employees and this list should be updated with new starters and leavers. Ofsted must be notified of a change in manager or committee members;
- making appointments, changes to individuals' conditions or terminating the employment of staff should be separate from the duties of processing wage claims;
- only staff authorised by the Proprietor / Management Committee / Board should approve claims;
- HMRC payments for employees' tax and NI must be made when due;
- employees' personnel files should be held securely to comply with the Data Protection Act and General Data Protection Regulations (GDPR);
- employees should have access to their own file under the supervision of a responsible person.

Petty Cash

- maximum petty cash levels should be agreed, with clearly defined responsibility for its administration;
- only authorised staff should have access to petty cash;
- income should not be added to petty cash;
- payments from petty cash should be limited to minor items only;
- all expenditure from petty cash should be supported by receipts;
- a record should be kept of amounts paid into and taken out of the petty cash fund;
- the petty cash fund should be periodically monitored and reconciled by an independent person, for example, the Treasurer;
- personal cheques should not be cashed from petty cash;
- petty cash must be held securely.

Expenditure

- a minimum of two signatures/authorisations should be required to raise a cheque/BACS payment;
- supporting documentation should be made available when authorising payments to safeguard against inappropriate expenditure;
- cheque stubs must be fully completed;
- only staff authorised to sign orders, invoices and cheques must do so. A list of authorised staff should be maintained;
- all expenditure should be supported by a receipt, invoice, or pay claim / contract of employment for wages/salaries;
- approval should be sought for all expenditure above a predetermined limit where necessary;
- pre-numbered, duplicate orders should be used;
- telephone orders should always be confirmed with a written order;
- quotes should be obtained for goods and services over a predetermined amount;
- goods and services should be reconciled against orders. This should be done by someone other than the person who authorised the order;
- the invoice should be reconciled to the order prior to payment;
- payment should be made within the terms and conditions stated on the invoice;
- to avoid a duplicate payment, once the invoice has been paid, it should be marked with the transaction number, the word 'Paid', the date paid, and stored securely.

Retention of Documents

- it is a requirement of funding that all documents and financial records relating to the claim should be retained for 7 years (i.e. current year plus 6 years).

Voluntary Run Organisations

Warwickshire County Council has produced a short guide to support members of Voluntary Managed settings – please contact your Early Years Business Support Officer for a copy.

All voluntary Management Committees / Boards should meet on a regular basis. The role of the volunteers and any members should be clearly defined to enable everybody to understand what is expected of them. Every member of the Management Committee / Board must be aware of the need to act reasonably and responsibly to avoid personal liability.

Management arrangements should be reviewed annually, and this should include making all staff aware of their individual roles and responsibilities.

An important role of the Management Committee / Board is overseeing the financial management of the business. They should be in a position to provide assurance to Warwickshire County Council that the financial management is operating effectively. Recommended systems:

- annual cash flow forecast including projections for future years and a budget that is reviewed and agreed prior to the start of each new financial year;
- cash flow forecasts should cover a minimum of 3 years;
- robust business planning systems that link to financial plans, budgets and forecast e.g. business plan reviewed at least annually;
- business planning including market research, advertising, short, medium and long term planning;
- agree Finance Officer/Secretary roles and responsibilities;
- agree expenditure limits for specified roles i.e. secretary, manager, treasurer, without full committee / board permission;
- receive + review regular financial reports from the Financial Officer/Secretary (at least quarterly), which shows how the business has performed against cash flow projections / budget, explanatory notes should be included for variations;
- question unexplained variations;
- make sustainable decisions on expenditure;
- authorise expenditure above a predetermined limit;
- ensure a robust system is in place for authorising expenditure and salary payments e.g. multiple signatures / authorisations required for BACS / Cheque payments;
- ensure HMRC payments in respect of employees' Tax and NI have been made;
- ensure correct pension systems are in place for all employees;
- ensure that minutes are taken of all meetings which reflect the full committee's / board's review of financial reports presented, information discussed, and all decisions taken;
- ensure the Chair, with another committee / board member, signs off the minutes as an accurate reflection of the meetings;
- monitor the effect of major decisions at future meetings;
- authorise staff members responsible for raising orders, paying invoices and signing cheques and ensure that robust procedures are in place e.g. one staff member should not be responsible for performing all tasks;
- review and approve the annual accounts.

Finance Officer, Treasurer and Secretary

The roles of the Finance Officer, Treasurer and Secretary should be separated to provide a division of duty between monitoring and financial reporting and recording and maintaining records. The role(s) of the Finance Officer, Treasurer and Secretary should be clearly defined in line with the specific responsibilities as outlined below. The responsibilities should be supported by good financial management and controls as outlined in this document.

Robust accounting systems should be in place to ensure that funds are managed, and a clear audit trail is in place.

Various systems can be used for this purpose e.g. computerised accounting packages or manual ledger options.

The designated Finance Officer / Secretary should be responsible for:

- preparing and submitting Funding Entitlement returns to the Warwickshire County Council Funding Team as required under regulations;
- ensuring financial, admission and attendance records are maintained, providing evidence that children being claimed for are entitled to funding;
- ensuring all parents complete, sign and return a Parental Declaration Form as required. Any amendments should be added to the form and signed and dated by parents;
- promptly informing the Early Years Funding Team of any exceptional changes;
- providing the Early Years team with any necessary documents requested to evidence funding claims including business health checks and audits;
- raising invoices, including 'zero charge' invoices for children receiving funded hours;
- raising orders within the constraints of delegated financial limits;
- checking that goods or services have been received and are satisfactory;
- raising cheques for payment (should **not** act as a signatory) for expenditure;
- managing income, fees, funding + grants etc.;
- banking income promptly, maintaining accurate banking records;
- safe storage of cash, cheque books and bank statements – lockable storage should be used;
- safeguarding of other documentation that falls under the Data Protection Act 1998 and General Data Protection Regulations (GDPR).

It is acknowledged that these duties may be carried out on a day to day basis by another member of staff or an external service on behalf of the setting.

The Treasurer is responsible for:

- producing annual cash flow forecast;
- producing all relevant financial monitoring reports, reconciliation against approved annual budgets/ cash flows and preparation of monitoring reports for committee / board meetings;
- performing regular bank reconciliation, addressing discrepancies;
- fulfilling the HMRC, Pension, Companies House and the Charity Commission requirements, e.g. VAT (if registered), Corporation Tax, national insurance, income tax payments and relevant annual returns;
- preparing the annual accounts and submission for relevant auditing;
- presenting accounts to committee / directors for their review and approval.

<i>Type of Organisation</i>	<i>Annual Accounts Requirement</i>
Private Providers and Independent Schools	Independent Audit
Unincorporated Associations	Independent Audit or accounts signed off by a suitably qualified person
Company limited by guarantee	Comply with Companies House requirements
Registered charities	Comply with Charity Commission requirements

Parental Declaration Form for 2 Year Olds – Annex B1

Only one form to be completed per academic year updated termly

PARENT/GUARDIAN DECLARATION FORM (PDF) for 2 YEAR OLDS FREE ENTITLEMENT 2020/2021

PLEASE COMPLETE ALL PARTS OF THIS FORM AS APPROPRIATE (*mandatory)

Provider Name: (Setting A)			
*Child's Legal Family Name:		*Child's Legal Forename(s):	
Name by which child is known (if different from above):		*Male/Female:	
*Date of Birth:		*Ethnicity:	
*Address:		*Post Code:	
*Documentary proof of DOB Type (e.g. Birth Certificate/Passport):		*Document recorded by (Full name):	*Date Recorded (dd/mm/yyyy):

2 Year Funding EY Voucher code details for the Provider Portal:

*EY Voucher Code:	*Code Start Date:	*Copy of confirmation email/letter taken: (Y/N)

CHILDMINDERS ONLY:

Please tick to confirm that you are not a close relative of this child*

☐

*Close relative is defined under the Childcare Act as a parent, grandparent, aunt, uncle, brother or sister.

FUNDING

AUTUMN TERM Funded hours - 14 weeks funded:

Maximum entitlement 210 hours

Settings Name(s)		Please enter funded entitlement hours attended per day					Total number of hours per week	Number of weeks per year (e.g. 38, 45, 51)	Hours added to portal (A x B/38 = C)
		Mon	Tue	Wed	Thur	Fri			
A									
B									
C									
Total Daily Funded Hours									
Additional hours per day - Setting A									
*Parent/Carer Name:						*Parent/Carer Signature			*Date:

FUNDING

SPRING TERM Funded hours - 11 weeks funded:

Maximum entitlement 165 hours

Settings Name(s)		Please enter funded entitlement hours attended per day					A	B	C
							Total number of hours per week	Number of weeks per year (e.g. 38, 45, 51)	Hours added to portal (A x B/38 = C)
		Mon	Tue	Wed	Thur	Fri			
A									
B									
C									
Total Daily Funded Hours									
Additional hours per day - Setting A									
*Parent/Carer Name:					*Parent/Carer Signature				*Date:

FUNDING

SUMMER TERM Funded hours - 13 weeks funded:

Maximum entitlement 195 hours

Settings Name(s)		Please enter funded entitlement hours attended per day					A	B	C
							Total number of hours per week	Number of weeks per year (e.g. 38, 45, 51)	Hours added to portal (A x B/38 = C)
		Mon	Tue	Wed	Thur	Fri			
A									
B									
C									
Total Daily Funded Hours									
Additional hours per day - Setting A									
*Parent/Carer Name:					*Parent/Carer Signature				*Date:

PROVIDER AND PARENT/GUARDIAN AGREEMENT

Warwickshire County Council's (WCC) terms to provide the entitlements for eligible 2 year olds. It is important that the parent and the provider read it, sign and date **BEFORE** making a claim.

- The parent must show evidence of their entitlement to the provider in the form of a funding confirmation letter or email from a Local Authority
- Providers must ensure they have seen the funding confirmation email or letter before offering a 2 Year old funded place
- WCC will fund eligible children for the 2 year old entitlement for 570 hours per year over no fewer than 38 weeks of the year and up to 52 weeks of the year, this can be outside of maintained school term times and at weekends. This equates to 15 hours per week for 38 weeks. Children may stretch their entitlement over more than 38 weeks and up to 52 weeks by taking fewer hours a week subject to a maximum of 570 hours a year
- The relevant child eligibility dates are:
 - Children born in the period 1st January to 31st March: the start of term beginning on or after **1st April** after the child's 2nd birthday
 - Children born in the period 1st April to 31st August: the start of term beginning on or after **1st September** after the child's 2nd birthday
 - Children born in the period 1st September to 31st December: the start of term beginning on or after **1st January** after the child's 2nd birthday
- The Local Authority will continue to fund a place once they have taken it up until the point when the child becomes eligible for the 3 & 4 year old entitlement
- The funded place should be delivered free of charge without paying 'top up' fees or registration fees as a condition of their funded place
- Parents should be made aware of the admissions policy and understand the hours/sessions which can be taken as funded provision. The parent must pay for any additional services provided which are not covered by the entitlement.
- The provider should give the parent full details of their pricing tariff, in writing, for the additional services taken
- The parent should be given clear written information to show how they have received their child's funded sessions
- The provider where the child is in attendance on Headcount Day, as advised by WCC, will receive the funding entitlement for the whole of the term
- If a child leaves to attend another setting in Warwickshire before or after Headcount Day, the providers should arrange to transfer a proportion of the funding to the other setting
- If a child becomes eligible for funding after Headcount Day, the provider must arrange funding with the Early Years Funding office
- The parent must make sure that their child attends the hours/sessions that they are claiming the funding for in an agreed pattern of attendance. If the child has persistent non-attendance, WCC reserves the right to re-claim those hours from the provider
- A child is allowed to take short term absences without the funding being withdrawn e.g sickness or holidays but reference should be made to the Early Years Funding office for extended periods
- The parent should comply with any notice period requirement in accordance with the contract or agreement they have made with the provider
- Any changes to the details on the Parental Declaration Form (PDF) must be initialled and dated by the parent
- The parent should be made aware of the complaints procedure in relation to the funding entitlements

DECLARATION

I confirm that the information I have provided above is accurate and true. I understand and agree to the conditions set out in this document. I agree for...

*Name of Provider:	
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To claim the 2 year old funding entitlement on behalf of my child.

In addition, I also agree that:

- The Information I have provided can be shared with the Local Authority and Department of Education, who will access information from other government departments to confirm my child's eligibility and enable this provider to claim the 2 year old funding entitlement.

*Parent/Carer/Guardian with legal responsibility	*Childcare Provider
Signed:	Signed:
Print Name:	Print Name:
Date:	Date:

Your Information Rights:

This service provides child care funding for children attending early years placements. Our valid lawful basis for processing personal data is a legal obligation. To see how we use your personal data and what your information rights are, please read WCC's Education Services privacy notice at www.warwickshire.gov.uk/childcarecosts . It should be read in addition to the council's overall customer privacy notice at www.warwickshire.gov.uk/privacy which includes the contact details if you have a complaint about your information rights. For general enquiries, please contact Warwickshire County Council 's Customer Service Centre on 01926 410410. Information may be shared to ensure effective safeguarding and promote the welfare and protection of children.

COPY OF THE PROVIDER AND PARENT/GUARDIAN AGREEMENT TO HAND TO PARENT

PROVIDER AND PARENT/GUARDIAN AGREEMENT

Warwickshire County Council's (WCC) terms to provide the entitlement for eligible 2 year olds. It is important that the parent and the provider read it, sign and date **BEFORE** making a claim.

- The parent must show evidence of their entitlement to the provider in the form of a funding confirmation letter or email from a Local Authority
- Providers must ensure they have seen the funding confirmation email or letter before offering a 2 Year old funded place
- WCC will fund eligible children for the 2 year old entitlement for 570 hours per year over no fewer than 38 weeks of the year and up to 52 weeks of the year, this can be outside of maintained school term times and at weekends. This equates to 15 hours per week for 38 weeks. Children may stretch their entitlement over more than 38 weeks and up to 52 weeks by taking fewer hours a week subject to a maximum of 570 hours a year
- The relevant child eligibility dates are:
 - Children born in the period 1st January to 31st March: the start of term beginning on or after **1st April** after the child's 2nd birthday
 - Children born in the period 1st April to 31st August: the start of term beginning on or after **1st September** after the child's 2nd birthday
 - Children born in the period 1st September to 31st December: the start of term beginning on or after **1st January** after the child's 2nd birthday
- The Local Authority will continue to fund a place once they have taken it up until the point when the child becomes eligible for the 3 & 4 year old entitlement
- The funded place should be delivered free of charge without paying 'top up' fees or registration fees as a condition of their funded place
- Parents should be made aware of the admissions policy and understand the hours/sessions which can be taken as funded provision. The parent must pay for any additional services provided which are not covered by the entitlement.
- The provider should give the parent full details of their pricing tariff, in writing, for the additional services taken
- The parent should be given clear written information to show how they have received their child's funded sessions
- The provider where the child is in attendance on Headcount Day, as advised by WCC, will receive the funding entitlement for the whole of the term
- If a child leaves to attend another setting in Warwickshire before or after Headcount Day, the providers should arrange to transfer a proportion of the funding to the other setting
- If a child becomes eligible for funding after Headcount Day, the provider must arrange funding with the Early Years Funding office
- The parent must make sure that their child attends the hours/sessions that they are claiming the funding for in an agreed pattern of attendance. If the child has persistent non-attendance, WCC reserves the right to re-claim those hours from the provider
- A child is allowed to take short term absences without the funding being withdrawn e.g sickness or holidays but reference should be made to the Early Years Funding office for extended periods
- The parent should comply with any notice period requirement in accordance with the contract or agreement they have made with the provider
- Any changes to the details on the Parental Declaration Form (PDF) must be initialled and dated by the parent
- The parent should be made aware of the complaints procedure in relation to the funding entitlements

Your information rights:

This service provides child care funding for children attending early years placements. Our valid lawful basis for processing personal data is a legal obligation. To see how we use your personal data and what your information rights are, please read WCC's Education Services privacy notice at www.warwickshire.gov.uk/childcarecosts. It should be read in addition to the council's overall customer privacy notice at www.warwickshire.gov.uk/privacy which includes the contact details if you have a complaint about your information rights. For general enquiries, please contact Warwickshire County Council's Customer Service Centre on 01928 410410.

Information may be shared to ensure effective safeguarding and promote the welfare and protection of children.

Parental Declaration Form for 3 & 4 Year Olds – Annex B2

Only one form to be completed per academic year updated termly

PARENT/GUARDIAN DECLARATION FORM (PDF) for 3 & 4 YEAR OLDS FREE ENTITLEMENT(S) 2020/2021

PLEASE COMPLETE ALL PARTS OF THIS FORM AS APPROPRIATE (*mandatory)

Provider Name: (Setting A)			
*Child's Legal Family Name:		*Child's Legal Forename(s):	
Name by which child is known (if different from above):		*Male/Female:	
*Date of Birth:		*Ethnicity:	
*Address:		*Post Code:	
*Documentary proof of DOB Type (e.g. Birth Certificate/Passport):		*Document recorded by (Full name):	*Date Recorded (dd/mm/yyyy):

If a claim is being made for the Extended hours - 30 hours funded childcare code details:

Parent/Carer Forename and Surname:	*Parent/Carer National Insurance Number:	*30hr 11-digit voucher code: e.g. 50005678912

Enter into the Parent/ Carer details on the Provider Portal

CHILDMINDER'S ONLY:

Please tick to confirm that you are not a close relative of this child*

☐

*Close relative is defined under the Childcare Act as a parent, grandparent, aunt, uncle, brother or sister.

FUNDING

AUTUMN TERM Funded hours - 14 weeks funded:

Maximum entitlements 210 or 420 hours

Settings Name(s)		Funded Hours Claimed	Please enter funded entitlement hours attended per day					Total number of hours per week	Number of weeks per year (e.g. 38, 45, 51)	Hours added to portal (A x B/38 = C)
			Mon	Tue	Wed	Thur	Fri			
A	Universal									
	Extended									
B	Universal									
	Extended									
C	Universal									
	Extended									
Total Daily Funded Hours										
Additional hours per day - Setting A										
*Parent/Carer Name:				*Parent/Carer Signature				*Date:		

FUNDING

SPRING TERM Funded hours - 11 weeks funded:

Maximum entitlements 165 or 330 hours

Settings Name(s)		Funded Hours Claimed	Please enter funded entitlement hours attended per day					A	B	C
			Mon	Tue	Wed	Thur	Fri	Total number of hours per week	Number of weeks per year (e.g. 38, 45, 51)	Hours added to portal (A x B/38 = C)
A		Universal								
		Extended								
B		Universal								
		Extended								
C		Universal								
		Extended								
Total Daily Funded Hours										
Additional hours per day - Setting A										
*Parent/Carer Name:						*Parent/Carer Signature				*Date:

FUNDING

SUMMER TERM Funded hours - 13 weeks funded:

Maximum entitlements 195 or 390 hours

Settings Name(s)		Funded Hours Claimed	Please enter funded entitlement hours attended per day					A	B	C
			Mon	Tue	Wed	Thur	Fri	Total number of hours per week	Number of weeks per year (e.g. 38, 45, 51)	Hours added to portal (A x B/38 = C)
A		Universal								
		Extended								
B		Universal								
		Extended								
C		Universal								
		Extended								
Total Daily Funded Hours										
Additional hours per day - Setting A										
*Parent/Carer Name:						*Parent/Carer Signature				*Date:

Disability Access Fund (DAF):

Three and four year old children who are in receipt of child Disability Living Allowance (DLA) and are receiving the funded Early Education entitlement are eligible for the Disability Access Fund (DAF). DAF is paid to the child's nursery at a fixed annual rate of £815 per eligible child per calendar year.

Is your child eligible and in receipt of Disability Living Allowance (DLA)?

- ☐ Yes
☐ No

If you have ticked Yes, a copy of the DLA Award letter must be given to your early years provider.

If your child is splitting their funded Early Education entitlement across two or more providers please nominate the setting where the local authority should pay the DAF:

Name of Provider:	
-------------------	--

Tick the correct box for DAF on the Provider Portal

Early Years Pupil Premium

The Early Years Pupil Premium (EYPP) gives providers additional funding to support some three and four year old pupils. Children with EYPP will have a higher priority when applying for a school place where a school is oversubscribed.

Eligibility

Three and four year olds will be eligible for EYPP if the child receives the universal 15 hours entitlement and they meet any of the following criteria:

Their family gets one of the following:

- Income support
- Income-based Jobseeker's Allowance
- Income-related Employment and Support Allowance
- Support under part VI of the Immigration and Asylum Act 1999
- The guaranteed element of State Pension Credit
- Child Tax Credit (provided they are not also entitled to Working Tax Credit, and have an annual gross income of no more than £16,190)
- Working Tax Credit run-on, which is paid for 4 weeks after they stop qualifying for Working Tax Credit
- Universal Credit – If a parent is entitled to Universal Credit they must have an annual net earned income equivalent to and not exceeding £7,400

OR

- They are currently being looked after (LAC) by the Local Authority*

* Warwickshire LAC will automatically have EYPP weighting added. LAC from another LA will need supporting information.

OR

• They have left care through:

- an adoption order **
- a special guardianship or child arrangement order **

** (copies of the relevant orders or adoption birth certificate will need to be given to your provider or sent directly to WCC Early Years Funding Team)

If you believe that your child may qualify for the EYPP please provide the following information for the main benefit holder to enable the local authority to confirm eligibility:

*Parent/Carer Surname:	*Parent/Carer Forename:	*Parent/Carer Date of Birth:	*Parent/Carer National Insurance No or NASS Reg. No:

Enter details in Parent/Carer tab on the Provider Portal

PROVIDER AND PARENT/GUARDIAN AGREEMENT

Warwickshire County Council's (WCC) terms to provide the entitlements for eligible 3 & 4 year olds. It is important that the parent and the provider read, sign and date it BEFORE making a claim.

- WCC will fund eligible children for the Universal and Extended entitlements for 570 Universal or 1140 Extended hours per year over no fewer than 38 weeks of the year and up to 52 weeks of the year, this can be outside of maintained school term times and at weekends. This equates to 15 hours per week for 38 weeks. Children may stretch their entitlement over more than 38 weeks and up to 52 weeks by taking fewer hours a week subject to a maximum of 570 Universal or 1140 Extended hours a year
- A child will be eligible for the Extended entitlement from the term after both of the following conditions are satisfied:
 - The child has attained the age of three
 - The parent has an eligible code from HMRC
- The relevant child eligibility dates are:
 - Children born in the period 1st January to 31st March: the start of term beginning on or after 1st April after the child's 3rd birthday
 - Children born in the period 1st April to 31st August: the start of term beginning on or after 1st September after the child's 3rd birthday
 - Children born in the period 1st September to 31st December: the start of term beginning on or after 1st January after the child's 3rd birthday
- The 30 hours code must be verified using the Eligibility Checker on the Synergy Provider Portal before the child takes up their Extended hours
- The Local Authority will continue to fund a place if the parents no longer meet the eligibility criteria until the end of the code's Grace Period
- The LA will advise providers to communicate to the parent when the grace period is due to end and when the extended funding will cease if the code is not re-confirmed by the deadline date
- If the parent no longer meets the eligibility criteria for Extended hours after the grace period has ended, they can continue to take up the child's universal entitlement at the provider of their choice as stated on the PDF
- The funded place should be delivered free of charge without paying 'top up' fees or registration fees as a condition of their funded place
- Parents should be made aware of the admissions policy and understand the hours/sessions which can be taken as funded provision. The parent must pay for any additional services provided which are not covered by the entitlements
- The provider should give the parent full details of their pricing tariff, in writing, for the additional services taken
- The parent should be given clear written information to show how they have received their child's funded sessions
- The provider where the child is in attendance on the Headcount Day, as advised by WCC, will receive the funding entitlement for the whole of the term. Funded hours cannot be increased after this date
- If a child leaves before Headcount Day the parent will be liable to pay the provider for the sessions already taken
- If a child leaves after Headcount Day, to move to another setting in Warwickshire, an agreement should be made between the providers to transfer that proportion of funding to the new provider. This is an agreement between providers and is not obligatory
- The parent must make sure that their child attends the hours/sessions that they are claiming the funding for in an agreed pattern of attendance. If the child has persistent non-attendance, WCC reserves the right to re-claim those hours from the provider
- A child is allowed to take short term absences without the funding being withdrawn e.g. sickness or holidays but reference should be made to the Early Years Funding office for extended periods
- The parent should comply with any notice period requirement in accordance with the contract or agreement they have made with the provider
- Any changes to the details on the Parental Declaration Form (PDF) must be initialled and dated by the parent

DECLARATION

I confirm that the information I have provided above is accurate and true. I understand and agree to the conditions set out in this document. I agree for...

*Name of Provider:	
--------------------	--

To claim Early Years funding on behalf of my child.

In addition, I also agree that:

- The Information I have provided can be shared with the Local Authority and Department for Education, who will access information from other government departments to confirm my child's eligibility and enable this provider to claim 30 Hours Funding, Early Years Pupil Premium (EYPP) or Disability Access Fund (DAF)

*Parent/Carer/Guardian with legal responsibility	*Childcare Provider
Signed:	Signed:
Print Name:	Print Name:
Date:	Date:

Your Information Rights:

This service provides child care funding for children attending early years placements. Our valid lawful basis for processing personal data is a legal obligation. To see how we use your personal data and what your information rights are, please read WCC's Education Services privacy notice at www.warwickshire.gov.uk/childcarecosts. It should be read in addition to the council's overall customer privacy notice at www.warwickshire.gov.uk/privacy which includes the contact details if you have a complaint about your information rights. For general enquiries, please contact Warwickshire County Council's Customer Service Centre on 01926 410410.

Information may be shared to ensure effective safeguarding and promote the welfare and protection of children.

COPY OF THE PROVIDER AND PARENT/GUARDIAN AGREEMENT TO HAND TO PARENT

Warwickshire County Council's (WCC) terms to provide the entitlements for eligible 3 & 4 year olds. It is important that the parent and the provider read, sign and date it **BEFORE** making a claim.

WCC will fund eligible children for the Universal and Extended entitlements for 570 Universal or 1140 Extended hours per year over no fewer than 38 weeks of the year and up to 52 weeks of the year, this can be outside of maintained school term times and at weekends. This equates to 15 hours per week for 38 weeks. Children may stretch their entitlement over more than 38 weeks and up to 52 weeks by taking fewer hours a week subject to a maximum of 570 Universal or 1140 Extended hours a year

- A child will be eligible for the Extended entitlement from the term after both of the following conditions are satisfied:
 - The child has attained the age of three
 - The parent has an eligible code from HMRC
- The relevant child eligibility dates are:
 - Children born in the period 1st January to 31st March: the start of term beginning on or after 1st April after the child's 3rd birthday
 - Children born in the period 1st April to 31st August: the start of term beginning on or after 1st September after the child's 3rd birthday
 - Children born in the period 1st September to 31st December: the start of term beginning on or after 1st January after the child's 3rd birthday
- The 30 hours code must be verified using the Eligibility Checker on the Synergy Provider Portal before the child takes up their Extended hours
- The Local Authority will continue to fund a place if the parents no longer meet the eligibility criteria until the end of the code's Grace Period
- The LA will advise providers to communicate to the parent when the grace period is due to end and when the extended funding will cease if the code is not re-confirmed by the deadline date
- If the parent no longer meets the eligibility criteria for Extended hours after the grace period has ended, they can continue to take up the child's universal entitlement at the provider of their choice as stated on the PDF
- The funded place should be delivered free of charge without paying 'top up' fees or registration fees as a condition of their funded place
- Parents should be made aware of the admissions policy and understand the hours/sessions which can be taken as funded provision. The parent must pay for any additional services provided which are not covered by the entitlements
- The provider should give the parent full details of their pricing tariff, in writing, for the additional services taken
- The parent should be given clear written information to show how they have received their child's funded sessions
- The provider where the child is in attendance on the Headcount Day, as advised by WCC, will receive the funding entitlement for the whole of the term. Funded hours cannot be increased after this date
- If a child leaves before Headcount Day the parent will be liable to pay the provider for the sessions already taken
- If a child leaves after Headcount Day, to another setting in Warwickshire, an agreement should be made between the providers to transfer that proportion of funding to the new provider. This is an agreement between providers and is not obligatory
- The parent must make sure that their child attends the hours/sessions that they are claiming the funding for in an agreed pattern of attendance. If the child has persistent non-attendance, WCC reserves the right to re-claim those hours from the provider
- A child is allowed to take short term absences without the funding being withdrawn e.g. sickness or holidays but reference should be made to the Early Years Funding office for extended periods
- The parent should comply with any notice period requirement in accordance with the contract or agreement they have made with the provider
- Any changes to the details on the Parental Declaration Form (PDF) must be initialled and dated by the parent
- The parent should be made aware of the complaints procedure in relation to the funding entitlements

Your Information Rights:

This service provides child care funding for children attending early years placements. Our valid lawful basis for processing personal data is a legal obligation. To see how we use your personal data and what your information rights are, please read WCC's Education Services privacy notice at www.warwickshire.gov.uk/childcarecosts. It should be read in addition to the council's overall customer privacy notice at www.warwickshire.gov.uk/privacy which includes the contact details if you have a complaint about your information rights. For general enquiries, please contact Warwickshire County Council's Customer Service Centre on 01926 410410.

Information may be shared to ensure effective safeguarding and promote the welfare and protection of children.

Early Years Provider Agreement 2020 – Annex C



Full Name and address of setting:	
Setting Telephone Number:	Contact email Address:
Mobile Contact Number:	
<p>All Providers must have regard to the <i>Statutory Guidance for Local Authorities: Early Education and Childcare</i> issued by the Department for Education and follow these requirements.</p> <p>The additional conditions that Warwickshire County Council has laid down are detailed below. This information is required to ensure that the funding is spent in accordance with the Statutory Guidance and to meet the auditing requirements of Warwickshire County Council.</p> <p>As a condition of Early Education Funding, Warwickshire County Council requires the setting owner, or the person responsible for the setting, to sign this agreement.</p>	

Warwickshire County Council

Provider Agreement

Funded Early Years and Childcare Provision

September 2020 – August 2021|

Contents

Section 1: Overview	3
Who is the Provider Agreement for?	4
Supplementary provisions	5
Legal framework and statutory guidance	5
Section 2: Provider agreement requirements	7
Key Local Authority responsibilities	7
Key Provider responsibilities	7
Safeguarding	8
Eligibility	8
The Grace Period	9
Flexibility	10
Partnership working	11
Special educational needs and disabilities	12
Social mobility and disadvantage	13
Quality	13
Business planning	15
Charging	16
Funding	17
Compliance	19
Termination and withdrawal of funding	19
Dispute Resolution and Appeals process	20
Complaints process	21
General Terms	22
Information Rights	22

Section 1: Overview

COVID-19 Pandemic – Warwickshire County Council has implemented some temporary changes to the usual funding processes in response to the current pandemic situation to aid financial planning and cash flow for providers.

At the time of publication this provider agreement and additional guidance document 'Guidance and Requirements of Early Education Funding for 2, 3 and 4 year olds, 2020' continue to reflect the most current statutory requirements. Additional amendments or changes made to the statutory requirements by the government in response to the COVID-19 pandemic will be notified to providers where they change the contractual obligations for delivering early education funded places.

- 1.1. This Provider Agreement from Warwickshire County Council sets out the Local Authority's expectations of what funded early years' Providers should do and how they should provide funded early learning places. It refers to early years' provision free of charge (sections 7 and 7A of the Childcare Act 2006) and free childcare (section 2 of the Childcare Act 2016) as the 'free entitlement(s)' or 'free hours' or a 'free place'.
- 1.2. The agreement applies to the 15 hour entitlement for the most disadvantaged two-year-olds, the 15 hour entitlement for parents of three and four year olds (the universal entitlement) and the 30 hours entitlement for working parents of three and four year olds (the extended entitlement).
- 1.3. The agreement includes the standard headings and wording developed by the Department for Education, which is intended to bring greater consistency to Provider agreements across all local authorities and all types of Providers.
- 1.4. Warwickshire County Council has included further detail to set out local level processes and requirements where indicated.
- 1.5. This document does not provide guidance on how Providers operate their private businesses, including charges for provision over and above a child's free hours. Local authorities should not intervene where parents choose to purchase additional hours of provision or additional services providing that this does not affect the parent's ability to take up their child's free place.
- 1.6. This agreement will apply for the period from 1 September 2020 to 31 August 2021, unless it is extended at the discretion of the Local Authority and will be reviewed and updated as necessary if there are changes to statutory and/or operational guidance.

Who is the Provider Agreement for?

1.7. This agreement is for:

- Early Years Providers who are referred to as 'Providers' and include:
 - Early Years Providers and childminders registered on the Ofsted Early Years Register;
 - Childminders registered with a childminder agency that is registered with Ofsted;
 - Independent Schools and Academies taking children aged two and over and which are exempt from registration with Ofsted as an Early Years Provider;
 - Schools taking children aged 2 and over which are exempt from registration with Ofsted as an Early Years Provider and where the children are not registered pupils of the school

Supplementary provisions

- 1.8. This Provider Agreement sets out the Local Authority's expectations of how Providers should deliver the free entitlements. It is not intended to replace, supersede or negate the requirements or expectations set out in legislation, other published statutory guidance and government advice, and using the Department for Education's model agreement as a basis for this Provider Agreement does not prevent the Local Authority from exercising its statutory powers to include other requirements.
- 1.9. Local authorities and Providers must comply with all relevant legal obligations.
- 1.10. The Local Authority has developed its Provider Agreement in line with its own legal advice, and includes the following provisions:
 - A right to unilaterally vary the agreement to reflect changes in legislation and departmental guidance.
 - A clause stating that references to legislation will be to that legislation as amended from time to time, without express change in the model agreement and/or Provider Agreement.
 - Freedom of Information provisions.
 - Termination and enforcement clauses, to cover all enforcement stages up to and including termination of the agreement. The Local Authority is clear that we do not waive the right to act if we do not act immediately (a slower evidence-based approach may be required on occasion).
 - An obligation to comply with all relevant legislation.
 - Provisions for dealing with data protection and confidentiality.
 - An obligation to take out and maintain adequate levels of insurance.
 - Provisions dealing with how funding must be accounted for and recorded for audit purposes.
 - A clear process for resolving any disputes.
- 1.11. The Local Authority cannot impose requirements which subject the quality of the early years' provision, or services provided by the childminder agency, to a quality assessment process by the Local Authority; or require the Provider to attend any training or other quality improvement programme, other than any training or quality improvement programme identified in an early years' provision inspection report where the Provider is judged less than 'Good'.

Legal framework and statutory guidance

- 1.12. The following frameworks and legislation underpin this model agreement:
 - Early Education and Childcare, Statutory guidance for Local Authorities 2018
 - Childcare Act 2006

- Childcare Act 2016
- Equality Act 2010
- School admissions code 2014
- Statutory framework for the early years foundation stage 2017
- Local Authority, (Duty to Secure Early Years Provision Free of Charge) Regulations 2014
- The Childcare (Early Years Provision Free of Charge) (Extended Entitlement) Regulations 2016
- Special educational needs and disability code of practice: 0 to 25 years 2015
- Data Protection Act 2018 and General Data Protection Regulation (GDPR)

Section 2: Provider agreement requirements

Key Local Authority responsibilities

- 2.1. Local authorities must secure a free entitlement place for every eligible child in their area.
- 2.2. The Local Authority will work in partnership with Providers to agree how to deliver free entitlement places.
- 2.3. The Local Authority will be clear about their role and the support on offer locally to meet the needs of children with special educational needs and/or disabilities (SEND) as well as their expectations of Providers.
- 2.4. The Local Authority must contribute to the safeguarding and promotion of the welfare of children and young people in their area.

Key Provider responsibilities

- 2.5. Should the Provider fail to return this agreement duly completed and signed, the Local Authority will withhold or permanently withdraw funding.
- 2.6. The Provider must comply with all relevant legislation and insurance requirements as outlined in the EYFS and elsewhere.
- 2.7. The Provider should deliver the free entitlements consistently to all parents, whether in receipt of 15 or 30 hours and regardless of whether they opt to pay for optional services or consumables. This means that the Provider should be clear and communicate to [parents](#) details about the days and times that they offer free places, along with their services and charges. Those children accessing the free entitlements should receive the same quality and access to provision as those who are not.
- 2.8. The Provider must follow the EYFS and have clear safeguarding policies and procedures in place that link to the Local Authority's guidance for recognising, responding to, reporting and recording suspected or actual abuse.
- 2.9. The Provider must have arrangements in place to support children with special educational needs and/or disabilities (SEND). These arrangements should include a clear approach to identifying and responding to SEND. Providers should utilise the SEN inclusion fund and Disability Access Fund to deliver effective support, whilst making information available about their SEND offer to parents. Details of how to claim are included at 2.39 and 2.40.
- 2.10. The Provider must have access to the internet and the relevant associated resources and equipment in order that they can complete funding claims, sufficiency and census returns and other requests for information. All related communications are made using internet linked systems or email.

Safeguarding

- 2.11. The Local Authority has overarching responsibility for safeguarding and promoting the welfare of all children and young people in their area. It has a number of statutory functions under the 1989 and 2004 Children Acts which make this clear, and the 'Working Together to Safeguard Children' 2018 guidance sets these out in detail.
- 2.12. The Provider must follow the EYFS and have clear safeguarding policies and procedures in place that are in line with local guidance and procedures for responding to and reporting suspected or actual abuse and neglect. A lead practitioner must take responsibility for safeguarding and all staff must have training to identify signs of abuse and neglect. The Provider must have regard to 'Working Together to Safeguard Children' 2018 guidance.
- 2.13. Providers must comply with all safeguarding arrangements as laid down by Warwickshire Safeguarding, or Safeguarding Partners once operational arrangements have been published, in line with Working Together 2018. This will include undertaking an annual audit of the safeguarding arrangements across the setting, which must be submitted to the Local Authority, and training all staff to address any gaps in knowledge.
- 2.14. Providers must have an attendance/absence management policy in place and ensure that appropriate follow-up action and support takes place if a child fails to attend regularly.

Eligibility

- 2.15. The Provider must check original copies of documentation to confirm a child has reached the eligible age on initial registration for all free entitlements and should sign the Parental Declaration Form (PDF) to confirm they have seen a copy. To see how we use personal data and for information rights, please read WCC's Education Services privacy notice at www.warwickshire.gov.uk/childcarecosts
- 2.16. The Provider should offer places to eligible two-year-olds on the understanding that the child remains eligible until they become eligible for the universal entitlement for three- and four-year-olds. If children are not expected to remain at the setting for their funded early learning place when they turn three, settings should support parents to find alternative suitable provision.
- 2.17. The Local Authority must ensure that a child has a free entitlement place no later than the beginning of the term following the child and the parent meeting the eligibility criteria for the free entitlements.
- 2.18. Alongside the 30 hours eligibility code, which is the child's unique 11-digit number, and original copies of documentation (see 2.15), a Provider must acquire written consent from the parent to be able to receive confirmation and future notifications from the Local Authority of the validity of the parent's 30 hours eligibility code. The Local Authority will supply Providers with a Parental Declaration Form (PDF). This form must be completed and signed by parents before the code can be validated.

- 2.19. Once a Provider has received written consent from the parent, they must verify the 30 hours eligibility code with the Local Authority, following the processes set out in the Warwickshire County Council Funding Guidance.
- 2.20. The Local Authority will confirm the validity of 30 hours eligibility codes to allow Providers to offer 30 hours places for eligible three- and four-year-olds. The Local Authority will provide a validity checking service to Providers to enable them to verify the 30 hours eligibility code via the Synergy Provider Portal. The Eligibility Checking Service (ECS) allows instant checks for code validity. Once the code has been validated, the Provider must record the validity start and end dates, and when the Grace period ends, as displayed on the Synergy Provider Portal page.
- 2.21. Thereafter, the Local Authority will complete audit checks to review the validity of eligibility codes for children who qualify for 30 hours free childcare at 6 fixed points in the year, both at half-term and at the end of term across the year (in line with the dates as listed at table A below). It is the Local Authority's responsibility to notify a Provider where a parent has fallen out of eligibility and inform them of the grace period end date, as detailed in the WCC Funding Guidance.

Table A:

Date Parent receives ineligible decision on reconfirmation:	LA audit date:	Grace Period End date:
1 Jan – 10 Feb	11 February	31 March
11 Feb – 31 March	1 April	31 August
1 April – 26 May	27 May	31 August
27 May – 31 August	1 September	31 December
1 September – 21 October	22 October	31 December
22 October – 31 December	1 January	31 March

The Grace Period

- 2.22. A child will enter the grace period when the child's parents cease to meet the eligibility criteria set out in the Childcare (Early Years Provision Free of Charge) (Extended Entitlement) Regulations 2016, as determined by HMRC or a First Tier Tribunal in the case of an appeal. Providers and the Local Authority do not make these decisions and will refer parents back to HMRC in the case of any queries received about eligibility.
- 2.23. Local Authorities will access information about whether a child has ceased to meet the eligibility criteria and entered the grace period via the Eligibility Checking Service. The grace period end date will automatically be applied to eligible codes.

- 2.24. The Local Authority will continue to fund a place for a child who enters the grace period as set out in the Early Education and Childcare Statutory guidance for Local Authorities 2018 until the end of the grace period.

Flexibility

- 2.25. The Provider shall make written information about their offer and admissions criteria available to parents prior to the agreement of a placement at the setting. The Provider shall work with the Local Authority and share information about time / periods during which they are able to provide funded places, as well as the number of places on offer and current availability.
- 2.26. If the Provider is unable to offer full entitlements to parents, but operates over at least 38 weeks per year, the Provider shall inform Parents that they can take the remainder of their entitlement with another Provider.
- 2.27. If the Provider is open for less than 38 weeks of the year, the Provider shall make Parents aware that they can take up the rest of their entitlement with another Provider.
- 2.28. Provision must be offered within the national parameters on flexibility as set out in Section A2 of Early Education and Childcare Statutory guidance for Local Authorities. This means that Providers must adhere to the following restrictions:
- No session to be longer than 10 hours in duration;
 - No minimum session length (subject to the requirements of registration on the Ofsted Early Years Register);
 - No session to begin before 6.00 am or end after 8.00 pm; and
 - No child to attend more than two sites in a single day (where separate provision on a school site is counted as one site).

For the avoidance of doubt, the minimum number of days the weekly entitlement can be taken is across two days for 15 hours, or 3 days for 30 hours.

Where it is reasonably practical, children should be able to take up their free hours in continuous blocks during the day, and avoid artificial breaks being created throughout the day, for example over the lunch period.

Parents should be made aware that free places can be delivered:

- Over up to 52 weeks of the year, if the Provider is open for the full 52 weeks. Providers should publish their weeks of opening so that this information is clearly available – for instance 51 weeks per year if they close for 1 week over the Christmas period;
- Outside of maintained school term times; and/or
- At weekends.

There is no requirement that Providers must be open for at least 38 weeks of the year, although funding will be adjusted to reflect the number of open weeks if a Provider opens for less than 38 weeks per year.

- 2.29. The Provider should work with the Local Authority and share information about the times and periods at which they are able to offer free entitlements to support the Local Authority to secure sufficient stretched and flexible places to meet parental demand in the Local Authority. The Provider should also make information about their offer and admissions criteria available to parents at the point the child first accesses provision at their setting. This information must be clear and transparent so that it is readily understood by parents.
- 2.30. Parents can split their free entitlement between multiple Providers, though no more than 2 sites in one day. Where parents choose to split their child's free entitlement between Providers, they will need to distinguish between the 15 hours universal entitlement and the additional 15 hours extended entitlement. They will need to list the settings they attend on the Parental Declaration Form (PDF) and state which Provider(s) will receive the universal entitlement and which Provider(s) will be claiming the extended entitlement.

The universal hours and extended hours will be recorded separately on the Headcount claim, on the Synergy portal, and for Census and Grace periods.

It is up to the parent to decide which Provider(s) they will nominate for the universal entitlement, and this must be decided at the outset so that if a parent ceases to be eligible for the extended entitlement, the ongoing entitlement to funding payments is clear.

Providers offering the stretch model will need to take care that the hours they offer, in relation to both entitlements, do not exceed the maximum allowed. If a child leaves before the end of the year, the number of free hours taken will need to be calculated in relation to the 38 weeks entitlement, to ensure the child has received the correct number of funded hours.

Partnership working

- 2.31. Partnerships should be supported by local authorities on four levels between:
- i. Local authorities and Providers
 - ii. Providers working with other Providers, including childminders and schools
 - iii. Providers and parents
 - iv. Local authorities and parents
- 2.32. The Local Authority will promote partnership working between different types of Providers, including childminders, across all sectors and encourage more Providers to offer flexible provision, alongside other Providers. It will do this by facilitating review and discussion at EY Managers Meetings, cluster/briefing meetings and other events.

- 2.33. The Provider must work in partnership with parents, carers and other Providers to improve provision and outcomes for children in their setting, as laid out in the EYFS Statutory Framework. Providers must enable a regular two-way flow of information with parents and carers, and between Providers if a child is attending more than one setting.
- 2.34. The Provider should discuss and work closely with parents to agree how a child's overall care will work in practice when their free entitlement is split across different Providers, such as at a maintained setting and childminder, to ensure a smooth transition for the child.
- 2.35. Providers with Looked After Children are required to ensure a Personal Education Plan is in place by working in partnership with social workers, carers and health visitors. Information should be shared with the Virtual Head Teacher as requested.

Special educational needs and disabilities

- 2.36. The Local Authority will strategically plan support for children with special educational needs and/or disabilities (SEND) to meet the needs of all children in their local area as per the Special Educational Needs and Disability code of practice: 0 to 25 years (May 2015).
- 2.37. The Provider must ensure owners and all staff members are aware of their duties in relation to the SEND Code of Practice and the Equality Act 2010. There must be an up to date inclusion policy in place that meets the requirements of the EYFS and the SEND Code of Practice, names the setting Special Educational Needs Coordinator ("SENCO"), and describes what the setting does to identify, assess and intervene with regard to special educational needs and disabilities. There must also be an up to date policy in place to reflect knowledge of the Equality Act 2010.

There must be a named and fully trained SENCO specific to the setting and based on site.

There must be regular professional development for the setting SENCO and other staff to meet the needs of children with SEND. It is expected that Providers will regularly attend SENCO surgeries wherever possible.

The universal practice of identification, intervention and monitoring of children with possible/identified SEND must meet the requirements of the SEND Code of Practice.

- 2.38. The Local Authority must be clear and transparent about the support on offer in their area, through their Local Offer, so parents and Providers can access that support. The Provider must be clear and transparent about the SEND support on offer at their setting and make information available about their offer to support parents to choose the right setting for their child with SEND. Targeted and Specialist support must be implemented, monitored, recorded and reviewed with parents/carers for any child with possible or previously identified additional educational, health or social care needs/disability. This cycle of intervention must

involve referral to external professionals as required.

Information on Warwickshire SEND Information and Advice Service (SENDIAS) must be made available to all parents, and parents must be signposted to the Local Authority's Local Offer.

- 2.39 Providers must use the Parental Declaration Form to identify children who are eligible for Disability Access Fund (DAF) payments. They must see evidence of the child's DLA letter and send a copy to the Local Authority by using the secure Document Upload facility on Synergy.
- 2.40 Providers must complete the SEND Universal Provision Matrix (Pre-School) before making a referral to IDS. This document must also be used to request inclusion grant funding for individuals with high level SEND at targeted and specialist level, and when applying for Wincks status for the setting.

Social mobility and disadvantage

- 2.41 The Local Authority will promote equality and inclusion, particularly for disadvantaged families, looked after children and children in need by working to remove barriers of access to funded places and working with parents to give each child support to fulfil their potential.
- 2.42 The Provider should ensure that they have identified the disadvantaged children in their setting as part of the process for checking EYPP eligibility. The information required to claim EYPP for eligible families is included in the Parental Declaration Form (PDF), and this section must be completed by parents who meet the criteria. Settings must use EYPP to improve outcomes for this group as well as any other locally available funding streams or support. The EYPP weighting will automatically be added for Warwickshire's Looked After Children (LAC). An EYPP claim for LAC from outside of the county will require supporting information.

Quality

- 2.43. The Early Years Foundation Stage (EYFS) statutory framework is mandatory for all schools that provide early years' provision, and for Ofsted (or Ofsted registered Childminder Agencies) registered early years Providers in England. The EYFS sets the standards that all early years' Providers must meet to ensure that children learn and develop well and are kept healthy and safe. All funded settings must ensure that they are registered with Ofsted or an Ofsted registered Childminder Agency as an early years' Provider (unless exempt), and that the setting is meeting all EYFS requirements (unless the Provider has been granted exemptions from the EYFS).
- 2.44. Providers must undertake a progress check for all children aged between 2 and 3 and provide parents/carers with a short written summary of their child's development in the prime areas.
- 2.45. Ofsted (or the appropriate Ofsted registered Childminder Agency) are the sole arbiters of quality for all free entitlements, and, together with

inspection of independent schools, have regard to the EYFS in carrying out inspections and reporting on the quality and standards of provision. The Local Authority will use these inspection judgments when assessing whether an established Provider is eligible to provide funded early education places.

- 2.46. Local authorities have a legal duty to provide information, advice and training for Providers who are rated less than 'Good' by Ofsted, or newly registered Providers who have not yet had an inspection report published;
- meeting the requirements of the EYFS,
 - meeting the needs of children with SEND, vulnerable and disadvantaged children
 - effective safeguarding and child protection

Where Ofsted has identified the need for training or quality improvement, the Local Authority will allow Providers to choose where and how they take this up, but Providers must access information, advice and training as agreed in their action plan for improvement if the setting is judged less than 'Good'.

- 2.47. Provision must be offered in accordance with the national parameters on quality as set out in Section A3 of Early Education and Childcare Statutory Guidance for Local Authorities, and the EYFS statutory framework.
- 2.48. The Local Authority will fund places for 2, 3 and 4 year olds at Providers judged 'good' or 'outstanding' by Ofsted, or at any childminder registered with an agency judged 'effective' by Ofsted.
- 2.49. The Local Authority will fund places for 3 and 4 year olds at Providers judged 'satisfactory' or 'requires improvement' by Ofsted. We will not usually fund places for 2 year olds at Providers in these categories, but may choose to do so to ensure sufficiency of funded places where there is not sufficient accessible 'good' or 'outstanding' provision in the local area.
- 2.50. The Local Authority will fund places for 2, 3 and 4 year olds at new Ofsted registered Providers until the first full Ofsted inspection judgment is published, when future funding will be based on the published inspection judgment.
- 2.51. The Local Authority will fund Providers with an Ofsted inspection judgment of 'met' until their Ofsted quality inspection judgment is published, when future funding will be based on the published inspection judgment. We will not fund Providers with an Ofsted inspection judgment of 'not met'.
- 2.52. The Local Authority will not fund Providers who do not actively promote fundamental British values of democracy, the rule of law, individual liberty, and mutual respect and tolerance of those of other faiths and beliefs, as detailed in the Early Education and Childcare Statutory Guidance for Local Authorities.

Business planning

- 2.53. Providers must adhere to the Local Authority's published timetable, and supply all the required documentation, to support timely payment and delivery of free entitlements.
- 2.54. The Local Authority will not charge Providers disproportionate penalties for providing late or incomplete information leading to additional administration in the processing of free entitlements. However, if Providers fail to meet funding deadlines it is likely that they will incur a delay in receiving payment.
- 2.55. The Local Authority will not carry out audit regimes which are disproportionate or are unnecessarily burdensome to Providers. The Council's audit processes are clearly set out in the Warwickshire County Council Requirements of Early Education Funding guide, which is sent to all Providers. Providers must carry out any actions identified at audit within the agreed timescales.
- 2.56. The Provider should ensure they submit timely and accurate information, including, but not limited to, headcount data, census and sufficiency data, data to support responses to Freedom of Information requests, copies of parental declarations and invoices, as per the Local Authority's financial guidelines. Failure to do so may result in inaccurate, delayed or suspended funding.
- 2.57. The Provider should maintain accurate financial and non-financial records relating to free entitlement places and must give the Council access on reasonable notice to all financial and non-financial records relating to free entitlement places funded under the Provider Agreement for financial monitoring and audit purposes, subject to confidentiality restrictions. Further detail on financial guidelines is available in the Warwickshire County Council Requirements of Early Education Funding guide.
- 2.58. Providers who have knowingly submitted fraudulent claims and received payment will have funding withdrawn immediately and will be reported to the appropriate authorities when such evidence exists to prove such fraud on the balance of probabilities.
- 2.59. The Provider is required to maintain a specific bank account for their provision, and funding will only be paid into this account.
- 2.60. The Provider must securely retain financial records regarding children for whom funding was claimed, for a minimum period of 6 years after the child has left the provision.
- 2.61. The Provider is solely responsible for submitting accurate details of children and claims on time as requested by the Local Authority. Failure to do so will result in payments to the Provider being delayed.
- 2.62. The annual Early Years Census must be completed in full by the Provider at the time requested by the Local Authority. Advance notice will be given to Providers. Failure to complete and return the Census in full and within the timeframe set by the Local Authority will result in funding to the Provider being withheld until the Census is completed in full and returned to the Local Authority.

- 2.63. The Provider must inform the Local Authority immediately if they are closing down or changing ownership, so payments can cease on the appropriate date. Any over payments made by the Local Authority due to the provision closing must be returned by the Provider.

Charging

- 2.64. Funded hours / sessions for two, three and four year olds must be delivered free of charge to parents.
- 2.65. The Provider must determine and publish details of their funded hours offer, including any admissions criteria and the times of day during which funded hours can be taken.
- 2.66. Government funding is intended to cover the cost to deliver 15 or 30 hours a week of free, high quality, flexible childcare. It is not intended to cover the cost of meals, consumables, additional hours or additional services.

The Provider can charge for meals and snacks as part of a free entitlement place and they can also charge for consumables such as nappies or sun cream and for services such as trips and specialist tuition. These charges must be voluntary for the parent. Where parents are unable or unwilling to pay for meals and consumables, Providers who choose to offer the free entitlements are responsible for setting their own policy on how to respond, with options including waiving or reducing the cost of meals and snacks or allowing parents to supply their own meals. Providers must have a policy or statement which clearly sets out their response to enquiries from parents about any charges they make while a parent is taking their free entitlement session. This could be incorporated into the setting's written terms and conditions.

- 2.67. It must not be a condition that Parents purchase additional hours, food, nappies, trips, food and drink or any other consumables or services in order to access funded provision. Voluntary contributions to the Provider must also not be a condition of gaining access for a funded place.
- 2.68. The Provider should deliver the free entitlements consistently so that all children accessing any of the free entitlements will receive the same quality and access to provision, regardless of whether they opt to pay for optional hours, services, meals or consumables. Providers must follow the requirements and guidelines of the EYFS at all times. It must be made clear to parents exactly what is being provided in exchange for the payment of any additional charges relating to the free entitlement.
- 2.69. The Local Authority will not intervene where parents choose to purchase additional hours of provision or additional services, providing that this does not affect the parent's ability to take up their child's free place. The Provider should be completely transparent about any additional charges, and these should be clearly stated on fee sheets and invoices and explained to parents when they first take up a place at the setting.

- 2.70. The Provider should publish their admissions criteria and ensure parents understand which hours/sessions can be taken as free provision. Not all Providers will be able to offer fully flexible places, but Providers should work with parents to ensure that as far as possible the pattern of hours offered are convenient for parents' working hours. Providers must clearly explain to parents when they first take up a place at the setting which sessions may be taken as part of the free entitlement.
- 2.71. The Provider can charge parents a deposit to secure their child's free place but should refund the deposit in full to parents within a reasonable time scale and, except in exceptional circumstances, by the end of the first month of attendance. Providers are entitled to retain the deposit if parents subsequently do not take up the place they have reserved. Providers cannot charge parents an 'administration fee' if their child moves to another setting and the Provider agrees to transfer the balance of the current term's funding to the new Provider.
- 2.72. The Provider cannot charge parents "top-up" fees (the difference between a Provider's normal charge and the funding they receive from the Local Authority to deliver free places) or require parents to pay a registration fee as a condition of taking up their child's free place.
- 2.73. Except as set out above, Providers cannot charge a registration fee/deposit as a condition of a child taking up a free place, although such a fee is at Providers' discretion for additional hours outside the free entitlement. All fee sheets and invoices should clearly show the number of hours a child is receiving via the free entitlement. Providers cannot show this as a monetary value as the hours must be 'free' to the parent. The Local Authority has developed a flowchart to guide Providers through this process, which is available on request and included as an Annex to the Requirements of Funding guide. However, it is based on the principles and requirements of the DfE Statutory and Operational Guidance and cannot provide definitive models, which remain at the discretion of each individual Provider.
- 2.74. The Provider must ensure their invoices and receipts are clear, transparent and itemised, allowing parents to see that they have received their free entitlement completely free of charge and understand fees paid for additional hours or services. The Provider must also ensure that invoices and receipts contain their full details so that they can be identified as coming from a specific Provider.

Funding

- 2.75. The Local Authority pays all childminders monthly. Other Providers will continue to be paid twice a term. Any proposed changes will be discussed and agreed with Providers as appropriate.
- 2.76. The Provider must accurately complete and submit headcount and other necessary data returns by the agreed dates to support the Local Authority to make payment.

2.77. Warwickshire County Council pays funding based on a set number of weeks for each term – these are the same every year and do not always fit with school term dates:

Autumn term: 14 weeks

Spring term: 11 weeks

Summer term: 13 weeks

Funding must be claimed via the Synergy portal and all Providers should refer to the Local Authority Funding Guidance for more detailed information.

Funding is currently paid twice per term except for monthly payments for Childminders (see 2.75 above), the funding timetable is emailed to all funded Providers termly as part of the Funding Information letter containing:

- Term dates;
- Interim Payment dates;
- Headcount Day;
- Headcount submission deadline date; and
- Final/balance payment date

For 3 and 4 year olds

- Interim payment of 70% by the end of the first month of term (based on number of hours for the same term in the previous year). * See below

***COVID-19**

Temporary arrangements for 20 / 21 in response to COVID-19 impact:

- **Interim payment of 70% at the beginning of term using the estimated termly hours entered into the Estimates tab on the Synergy Provider Portal.**

- balancing payment approximately 6 weeks after headcount day

For 2 year olds

- Interim payment of 70% by the end of the first month of term (based on estimated number of hours supplied by Providers). * See below

*COVID-19

Temporary arrangements for 20 / 21 in response to COVID-19 impact:

- Interim payment of 70% at the beginning of term using the estimated termly hours entered into the Estimates tab on the Synergy Provider Portal.

- Balancing payment approximately 6 weeks after headcount day

If a child leaves before or starts after the headcount date, Providers will not normally receive funding. Providers will need to contact directly the other Provider(s) that the child attends, to agree between themselves any transfer of the proportionate amount of funding.

Compliance

- 2.78. The Local Authority will carry out checks and audits on Providers to ensure compliance with the requirements of this Funding Agreement.
- 2.79. Providers must ensure there are robust financial management procedures in place, as outlined in Warwickshire County Council's Requirements of Early Education Funding guide.
- 2.80. Providers must ensure that appropriate follow-up action and support takes place if a child fails to attend regularly (see also 2.14), and repay to Warwickshire County Council any funding claimed in respect of children who fail to attend, if required.
- 2.81. Full details of all compliance requirements can be found in Warwickshire County Council's Requirements of Early Education Funding guide, which must also be followed in full by the Provider to ensure compliance with this agreement.

Termination and withdrawal of funding

- 2.82. Suspension of registration by Ofsted or a breach of statutory requirements, or safeguarding issues, may result in the termination of the arrangement and withdrawal of funding. The Local Authority will withdraw funding with immediate effect if it is notified by Ofsted that they have suspended or terminated a Provider's registration.
- 2.83. The Local Authority will adhere to the requirements of the Early Education and Childcare Statutory Guidance when making a decision to withdraw or suspend funding.

- 2.84. The Local Authority may withdraw funding from a Provider following publication of an inspection judgment of 'inadequate', or an inspection judgment of a childminder agency of 'not effective'. When deciding whether to withdraw funding, and within what timescale, the Local Authority will take into account, non-exclusively, the reasons given for the judgment by Ofsted, the benefits of ensuring continuity of care for children already receiving their free entitlement, and Ofsted monitoring information.

The Local Authority will not usually allow any new funded children to be registered at the setting until it has been re-inspected and received a judgment of at least 'good' to admit new 2 year olds, or at least 'requires improvement' to admit new 3 and 4 year olds.

The Local Authority will withdraw funding immediately from a Provider following publication of a second consecutive judgment of 'inadequate' or 'not effective'.

The Local Authority will not withdraw funding before the Provider's Ofsted inspection judgment is published. The Local Authority will consider any information published by Ofsted about a Provider, including the recent history of childcare provision by a particular Provider, or childcare provision at a particular address. This may include, for example, where concerns exist that a Provider judged 'inadequate' by Ofsted may have re-registered their setting to avoid making the quality improvements required by Ofsted.

- 2.85. The Local Authority will secure alternative provision and withdraw funding for all children with immediate effect if any finding by Ofsted or any other agency, including Warwickshire County Council, concludes that children are not adequately safeguarded by the Provider and, as such, children are being placed at risk of harm.
- 2.86. The Local Authority reserves the right to suspend or withdraw funding should any material breach of this agreement be made by the Provider.

Dispute Resolution and Appeals process

- 2.87. If any dispute arises between the parties out of, or in connection with, this agreement, either party may at any time serve a notice in writing on the other party that a dispute has arisen. The notice must include sufficient information as to the nature of the dispute.
- 2.88. The parties shall use all reasonable endeavours to reach a negotiated resolution through the arranging of a meeting for the contract managers of the parties within fourteen days of service of the notice.
- 2.89. A Provider may be denied approval to offer the free entitlements or have their funding withdrawn as set out above. The Provider can appeal against that decision.

- 2.90. Providers who have their funding withdrawn, or are denied approval to offer the free entitlements, may appeal against the decision. In the first instance, Providers should write to the Early Years Funding Team, clearly stating the grounds for having the decision re-considered. Providers should take into account the requirements of the Early Education and Childcare Statutory Guidance for Local Authorities when considering this step.

If the original decision is upheld, Providers may then write to the Assistant Director, Education Services, Warwickshire County Council, who will review the case. No further appeals are available, but Providers have the option to write to the Local Government Ombudsman if they consider their case has not been correctly considered.

Complaints process

- 2.91. Parents may contact the Local Authority if they are not able to resolve their concern directly with the Provider, where they are not satisfied that their child has received their free entitlement in accordance with the legislation, or as set out in this agreement and in Early Education and Childcare Statutory Guidance for Local Authorities.
- 2.92. Parents should always try to resolve any complaints directly with the Provider before contacting us. We will not intervene unless this process has been completed and the dispute remains outstanding.
- 2.93. The Local Authority will not intervene where a dispute relates to additional hours of provision or additional services purchased by the parent, unless this affects the parent's ability to take up their child's free place.
- 2.94. Parents must put their complaint in writing to the Early Years Funding Team, stating clearly the particular circumstances they wish the Local Authority to investigate. The Local Authority will not disclose a parent's personal details to a setting if a parent asks it not to do so, but the Local Authority will need to make the setting aware that a complaint has been received so that we can investigate properly.
- 2.95. Parents may appeal in writing to the Assistant Director, Education Services, Warwickshire County Council if they are not satisfied that the complaint has been investigated correctly.
- 2.96. If a parent or Provider is not satisfied with the way in which their complaint has been dealt with by the Local Authority or believes the Local Authority has acted unreasonably, they can make a complaint to the Local Government Ombudsman. Such complaints will only be considered when the local complaints procedures have been exhausted.
- 2.97. The Provider should ensure they have a complaints procedure in place that is published and accessible for parents who are not satisfied their child has received their free entitlement in the correct way, as set out in this agreement and in Early Education and Childcare Statutory guidance for Local Authorities.

General Terms

- 2.98. No failure or delay by either party to exercise any right or remedy under this agreement shall be construed as a waiver of any other right or remedy.
- 2.99. Save where otherwise expressly stated, any person who is not a party to this agreement shall have no rights under the Contracts (Rights of Third Parties) Act 1999 to enforce any term of this agreement.
- 2.100. This agreement constitutes the understanding between the parties in respect of the matters dealt with in it and supersedes any previous agreement between the parties.
- 2.101. Both of the parties warrant to each other that each has full power and authority to enter into this agreement and carry out their obligations.

Information Rights

- 2.102. To see how Warwickshire County Council uses personal data, and what your information rights are, please read our customer privacy notice at www.warwickshire.gov.uk/privacy which includes the contact details for queries about your information rights. Information may be shared to ensure effective safeguarding and promote the welfare and protection of children.

I understand that as a consequence of receiving Early Education Funding I will be required to comply with all requirements relating to the auditing and monitoring of children accessing funding in this setting.

I understand that Warwickshire County Council will take action which may result in the withdrawal of funding should the setting fail to meet the requirements set out in this agreement, or to make required alterations to its arrangements within the notified timescale.

I confirm the setting has put in place the requirements to access Early Education Funding.

Signed: _____ **Position:** _____

Print Name: _____ **Date:** _____

Name of setting: _____

Additional Explanatory Notes for Local Authorities and Providers from the DfE (replacement Fair Processing Notice) – Annex D

Additional Explanatory Notes for Local Authorities and Providers from the DfE

Data Protection

Data from which it is possible to identify children (in any medium, including within a MIS) is personal data. Such personal data must be managed in accordance with the requirements of the Data Protection Act 2018 (the Act) Data Controllers must ensure that their data handling rules comply with the Act and that staff understand these. Local authorities should advise providers about their responsibility to hold data in accordance with the Act including the requirement to issue parents with a fair processing notice explaining how their data and data about their child is to be used.

The Act puts in place in safeguards regarding the use of personal data by organisations, including the department, local authorities and schools. The Act gives rights to those (known as data subjects) about whom data is held, such as pupils, their parents and teachers. This includes:

- the right to know the types of data being held
- why it is being held
- to whom it may be communicated

A 'privacy notice' is a good way to be able to meet data subjects' rights and therefore the department recommends that these are used to explain to children and staff how their data is being used in the census collections including the school workforce, early years census and school census. The department (DfE) has drafted template [privacy notices](#) that providers and local authorities may wish to use. However, the template notices will need to be reviewed and, where necessary, amended to reflect business need. Ideally the privacy notice will include [this](#) to the gov.uk webpage on how the department collects and shares data.

It is strongly recommended that the privacy notice be included as part of an induction pack for staff and made available to parents via the provider's website, as well as potentially featured on the staff notice board / intranet. They do not need to be issued on an annual basis as long as new children and staff are made aware of the notices and they are readily available electronically or in paper format.

Legal Duties under the Data Protection Act 2018 (the Act): data security

Providers and local authorities have a legal duty under the Act to ensure that personal data is processed securely. Processing is the collection, handling (use), storage, transmission and deletion of data. Further information is available from the [Information Commissioners Office](#)

If personal data is not properly safeguarded it could damage your reputation and compromise the safety of individuals. Your responsibility as a data controller / processor extends to those who have access to your data beyond your organisation if working on 22 your behalf, that is, if external IT suppliers can remotely access your information. The ['10 steps to cyber security'](#) and ['Responsible for information'](#) pages provide further guidance and advice. It is vital that all staff with

access to personal data understand the importance of protecting it; that they are familiar with your security policy; and that they put security procedures into practice. It is recommended that you provide appropriate initial and refresher training. Further information on handling data securely is available in the [DfE guidance on data protection for schools consider cloud software services](#)

Health Check and Audit Booking Letter – Annex E



Business Support Officer
Warwickshire County Council
Early Years Sufficiency and Business Support
~~Saltsford~~ Office Park
Ansell Way
Warwick
CV34 4UL

Telephone: - 01926 742633

Dear

As you are aware, all providers registered to receive Early Education Funding (2, 3 and 4 year old funding), must grant access to members of the Early Years Team when requested, in order to confirm that all requirements of funding are in place and being met.

I am writing to confirm that the date of your Business Health Check and 2, 3 and 4 year old Funding Audit is:

Prior to the meeting taking place, the setting is required to ensure that the documents listed below are prepared for the meeting and ensure a suitable person is available, in order to review the paperwork provided.

On arrival a brief tour of the setting is helpful in order for the team to familiarise themselves with the layout of the setting and staff deployment. The Business Health Check process includes an opportunity to discuss the importance of Business Planning and Cash Flow Forecasting and this discussion should preferably take place with the Owner, or a member of the management committee. If they are not available, we will require assurances that this planning is taking place. A copy of the Health Check form, which will be completed by the Business Support Officer during the visit, is attached for your reference. This can also be found in your 'Guidance and Requirements of Early Education Funding for 2, 3 and 4 year olds' as Annex F.

The following documents will be required during the visit to complete the Early Education Funding Health check:

- Constitution, Memorandum and Articles of Association or Community Facility Powers information.
- Lease, Licence or rental agreement.
- Evidence of business planning.
- Evidence of cash flow forecasting (preferably 3 years).
- Procedure for record management.
- Fee collection procedure.

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- Debt management procedure.
- Prospectus or similar to indicate fee structure and opening hours, detailing Funded Entitlement sessions.
- Settings website, which will be viewed prior to the visit.

For the term to be audited (*specified term*):

- Parental Declarations Forms for every funded child.
- Copies of the register or signing in sheets.
- Procedure for recording absences e.g. key H = holiday.
- Copies of invoices for children claiming Funded Entitlement, including £0 invoices – paper or electronic.
- Copies of Bank Statements to show receipt of the Early Education Funding.
- Any correspondence relating to claim changes.

If you have any queries, please contact your Business Support Officer on the above number.

Please note that you must grant access to local authority officers as a condition of receiving Early Education Funding.

Yours sincerely,

Mandy Latham

Mandy Latham
Senior Officer
Early Years and Childcare Sufficiency & Business Support

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Business Health Check and Audit – Annex F

WARWICKSHIRE COUNTY COUNCIL EARLY EDUCATION FUNDING BUSINESS HEALTH CHECK

CONFIDENTIAL TO: The Setting and the Communities Group, WCC.

Full name and address of setting:		Telephone Number:		Date:	
		Email Address:			
		Number of Weeks open:			
Name of Owner:		Name of Nursery Manager:			
Age Registered For:		Number of Places Offered:			
Places offered:	Babies:	2 year olds	3/4 year olds	Older children	
Current occupancy levels?					
Is there an out of school club on site?		Is there a holiday club on site?			
Opening Times:	Mon	Tue	Wed	Thur	Fri
Constitution or Memorandum and Articles of Association					
Legal Status (VMC / Co. Ltd by Guarantee / Sole Trader/Community Facility Powers/Social Enterprise / CIO).			Copy Seen <input type="checkbox"/> YES <input type="checkbox"/> NO		
• Names and contacts of key officers			Agreed Actions:		
Not for Profit <input type="checkbox"/> Unincorporated <input type="checkbox"/> Not for Profit + Limited Liability <input type="checkbox"/> Charity <input type="checkbox"/> School Run <input type="checkbox"/> Private For Profit <input type="checkbox"/> Private – Limited <input type="checkbox"/> Company Number:			Comments: Agreed Actions:		

20/21



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Page 1

General Setting Information		
Latest Ofsted Inspection Date:	Outcome:	
Prospectus	<input type="checkbox"/> YES <input type="checkbox"/> NO	Copy Attached <input type="checkbox"/> YES (please tick)
Website	<input type="checkbox"/> YES <input type="checkbox"/> NO Comments	Actions Agreed, Date & by Whom:
Details of 15 hours Funded Entitlement offer including 2 Help:		Details of 30 hours Funded Entitlement:
Pupil Premium Policy in place: <input type="checkbox"/> YES <input type="checkbox"/> NO Comments:	Disability Access Fund: <input type="checkbox"/> YES <input type="checkbox"/> NO Comments:	
Lease/Licence/Rental Agreement: Landlord – WCC <input type="checkbox"/> Private <input type="checkbox"/> Expiry Date: -..... <ul style="list-style-type: none"> Accommodation type and condition Projects planned? 		Copy Seen <input type="checkbox"/> YES <input type="checkbox"/> NO Agreed Actions:

WARWICKSHIRE COUNTY COUNCIL REQUIREMENTS OF FUNDED ENTITLEMENT			
Financial Management, Audit and Additional Requirements			
Ensure that there are robust financial management procedures in place as outlined in Warwickshire County Council's Guidance and Requirements of Early Education Funding for 2, 3 and 4 years old. Comments:			<input type="checkbox"/> YES <input type="checkbox"/> NO
Procedure for record managements and retention of business and financial documents (7 years)? Comments:			<input type="checkbox"/> YES <input type="checkbox"/> NO
Business and Finance	Copy Seen	Comments	Actions Agreed, Date + by Whom.
Up to date business planning processes in place relating to delivery of Funded Entitlement. (Revised within last 12 months)	<input type="checkbox"/> YES <input type="checkbox"/> NO		
Working cash flow forecasting process in place, preferably 3 years, relating to delivery of Funded Entitlement.	<input type="checkbox"/> YES <input type="checkbox"/> NO		

Actions from previous Health Check and / or Audit: -	Notes: -

Early Education Funding Audit		
Parental Declaration Forms for every funded child for the term being audited <ul style="list-style-type: none"> • Correct form used • Session numbers / hours tally with claim • Contract signed by parents and setting • Signed + dated termly in advance by parents • Stretch / Term time offer – clear + correct • EYPP section completed, where claimed • DAF section • Unused 30 hr codes – any / why? • Any child attending more than one nursery 	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments:
Charging tariff as displayed or handed to parents to verify FE provided free at point of delivery <ul style="list-style-type: none"> • Charges clear and transparent – sheets for 2, 3 and 4 yr funded places – 15 / 30 hrs. • Charges for additional services clearly displayed inc number of funded hours • Funded models and sessions are clear and transparent inc £0 for funded hours. • Website refers to free entitlement + session times. • Average / stretch / term time – clearly written • Registration fees – clear not for funded only places • Deposits – clear and refundable after 1 month. • Session times displayed / notified to parents, establish the FE session within these • FE model offered corresponds to advertised session times 	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments:

Copies of register or signing in sheets <ul style="list-style-type: none"> • Child attendance matches claimed hours • Note key used for recording absence • Completed in pen • Confirm settings policy for contacting and managing poor absence (funding may be withdrawn or reduced) 	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments:
Copies of invoices / bills sent to parents showing FE free at point of delivery and additional hours are clear + link to fee / payment information. <ul style="list-style-type: none"> • Zero charge invoices <u>inc</u> funded only • No additional charges relating to FE • Additional charges match advertised rates and any payment arrangements e.g. annualised billing. • Setting name and address <u>inc</u> • Child specific funded hours shown 	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments:
Copies of bank statements to show receipt of Free Entitlement. <ul style="list-style-type: none"> • Funds used for business purposes 	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments:
Additional Information: - <ul style="list-style-type: none"> • Copies of correspondence where there has been a change to Headcount claim i.e. child is entitled to a late payment in line with Requirements of Early Education Funding 	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments:

Early Education Funding Audit – Child Samples					
Child's Full Name	PDF	Invoice	Register	Comments	
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					

Next Review Date:

The setting will receive a detailed Funded Entitlement Audit Summary and Action Plan following the meeting. Actions and timescales for completion will be agreed at the meeting.

The setting is responsible for ensuring that any actions are completed and returned to the Business Support Officer. In order to ensure there are no interruptions to the settings Funded Entitlement payments, actions must be submitted in line with the agreed action dates.

Name of Setting Representative:

Date:

Signature:

Name of Business Support Officer:

Date:

Signature:

Business - Audit ONLY– Annex G

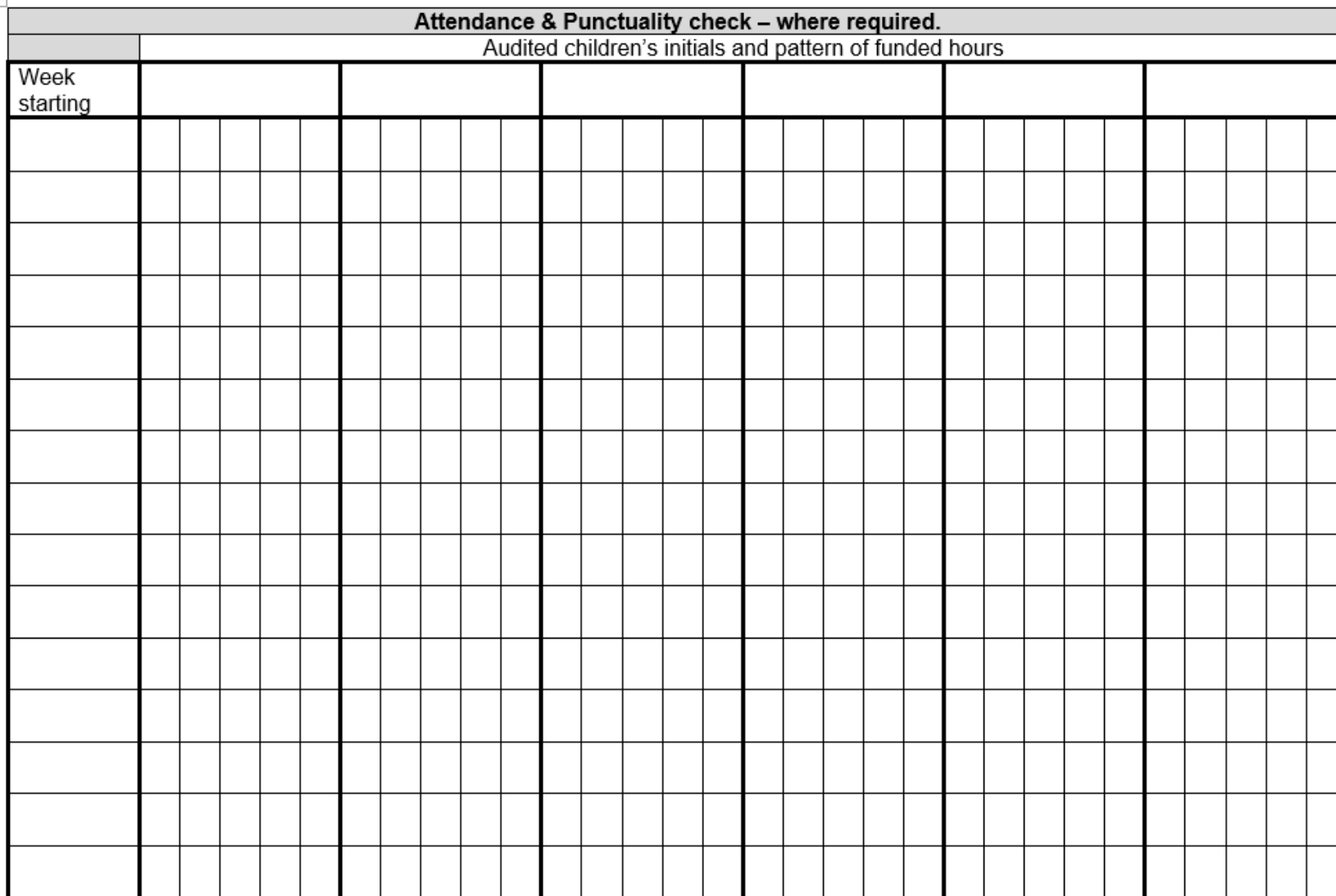
**WARWICKSHIRE COUNTY COUNCIL
EARLY EDUCATION FUNDING AUDIT**

CONFIDENTIAL TO: The Setting and the Communities Group, WCC.

<div>+</div> Full name and address of setting:	Telephone Number:	Date:	Previous Audit Date:
	Email Address:		
	Number of Weeks open:		
Current occupancy levels: -	Number of Places Offered: -		
Actions from previous health check and / or audit: -		Comments: -	

Early Education Funding Audit		
Parental Declaration Forms for every funded child for the term being audited <ul style="list-style-type: none"> • Correct form used • Session numbers / hours tally with claim • Contract signed by parents and setting • Signed + dated termly in advance by parents • Stretch / Term time offer – clear + correct • EYPP section completed, where claimed • DAF section • Unused 30 hr codes – any / why? • Any child attending more than one nursery 	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments:
Charging tariff as displayed or handed to parents to verify FE provided free at point of delivery <ul style="list-style-type: none"> • Charges clear and transparent – sheets for 2, 3 and 4 yr funded places – 15 / 30 hrs. • Charges for additional services clearly displayed inc number of funded hours • Funded models and sessions are clear and transparent inc £0 for funded hours. • Website refers to free entitlement + session times. • Average / stretch / term time – clearly written • Registration fees – clear not for funded only places • Deposits – clear and refundable after 1 month. • Session times displayed / notified to parents, establish the FE session within these • FE model offered corresponds to advertised session times. 	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments:
Copies of register or signing in sheets <ul style="list-style-type: none"> • Child attendance matches claimed hours • Note key used for recording absence • Completed in pen Confirm settings policy for contacting and managing poor absence (funding may be withdrawn or reduced)	<input type="checkbox"/> YES <input type="checkbox"/> NO	Comments:

Early Education Funding Audit – Child Samples					
Child's Full Name	PDF	Invoice	Register	Comments	
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					



Next Review Date:

The setting will receive a detailed Funded Entitlement Audit Summary and Action Plan following the meeting. Actions and timescales for completion will be agreed at the meeting.

The setting is responsible for ensuring that any actions are completed and returned to the Business Support Officer. In order to ensure there are no interruptions to the settings Funded Entitlement payments, actions must be submitted in line with the agreed action dates.

Name of Setting Representative:

Date:

Signature:

Name of Business Support Officer:

Date:

Signature:

Health Check and Audit Action Plan – Annex H

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Early Education Funding Business Health Check + Audit - Summary and Action Plan

CONFIDENTIAL TO: The Setting and the Communities Group, WCC.



Name of Setting: -		Date: -	
Meeting held with:			
Business Support Officer (BSO): -			
Term Audited: -		Children Claimed: -	
		2 year olds:	3 / 4 year olds:
To be read in conjunction with the Early Education Funding Business Health Check and Audit Form completed at the visit.			
<u>Early Education Funding Audit</u>			
<u>Parental Declaration Forms (PDFs): -</u>			
<u>Charges, Sessions + Website: -</u>			
<u>Registers: -</u>			
<u>Invoices: -</u>			
<u>Bank Statements: -</u>			

<u>Early Education Funding Business Health check</u>	
<u>Business Plan and Cash Flow</u>	
<u>Additional information discussed: -</u>	
<u>Action Plan</u>	
<u>What</u>	<u>Completion date / by whom</u>
<u>Links to other meetings / information: -</u>	

Health Check and Audit Final Reminder Letter – Annex I



Communities Group

Mandy Latham
Senior Officer
Early Years, Sufficiency and Business
Support
Saltisford Office Park
Ansell Way
Warwick
CV34 4UL
Tel: 01926 742216
Fax: 01926 742083
mandylatham@warwickshire.gov.uk
www.warwickshire.gov.uk

Dear

Outstanding items following Business Health Check and / or Early Education Funding Audit

Despite reminders, the setting has still not completed the required actions outlined in the Action Plan dated ~~xxxxxx~~.

The Provider Agreement clearly states that the provider will complete and return information when requested for monitoring and audit purposes.

If the setting fails to comply with the Warwickshire Guidance and Requirements of Early Education Funding, then the setting risks being removed from the Directory of Providers and will no longer be eligible to claim and offer Early Education Funding for two, three and four year olds.

If the information outlined in the action plan is not received by ~~xxxxxx~~, the local authority will initiate procedures to review the payment of the setting's Early Education Funding. This is likely to result in the suspension of any further payments to the setting.

Please contact me or a member of the Early Years Business Support Team as soon as possible if there are ~~particular reasons~~ why you cannot provide the required information, or if you need further assistance to do so.

Yours sincerely,

Mandy Latham

Mandy Latham
Senior Officer
Early Years and Childcare Sufficiency & Business Support

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Warwickshire*

Business Support Team Record of Visit – Annex J



Business Support Team RECORD OF VISIT

CONFIDENTIAL TO: The Setting and the Communities Group



Name & Role of LA Personnel: Date of Visit: Time in Setting:	
Name & Address of setting: Telephone No: Email: Owners:	
Date of last Ofsted inspection:	
Outcomes of last Ofsted inspection:	
<u>Reason for Visit</u> <div style="border: 1px solid black; height: 150px; width: 100%;"></div>	

Agreed actions		
What?	Who?	By When?

Date next visit:

Early Years Advisory Team Record of Visit – Annex K



Early Years Advisory Team Record of Visit

CONFIDENTIAL TO: The setting and officers in the Communities Group

Name and role of LA Personnel: Date of visit: Time in Setting:		
Name and Address of setting: Telephone: E-mail: EY Number:		
Date of last Ofsted inspection:		Outcome of last Ofsted inspection:
Ofsted Inspection Action Points		Progress towards <u>Ofsted</u> actions



Focus of this visit and summary of discussion/activities.

|

Evaluation:

Actions		
What?	Who?	By When?
•		
•		

For office use:

In addition to the setting manager, this record of visit should be distributed to:

Mandy Latham – Acting Senior Officer Early Years Sufficiency & Business Support
Amanda King - Strategic Lead, Early Years

3 and 4 Year Old Free Places Leaflet – Annex L

Warwickshire County Council



EARLY EDUCATION AND CHILDCARE ENTITLEMENTS FOR 3 AND 4 YEAR OLDS

How to access your funded early education place

If your child is 3 or 4 they can access a funded early education place from the start of the school term after their 3rd birthday and until they reach statutory school age or start school reception class, whichever is the earliest

CHILDREN BORN BETWEEN:	FREE PLACES START FROM:
1st January - 31st March	Summer Term (from 1st April)
1st April - 31st August	Autumn Term (from 1st September)
1st September - 31st December	Spring Term (from 1st January)

THE EARLY YEARS ENTITLEMENTS ARE MADE UP OF:

- 15 Universal Hours
- 30 Extended Hours
- Early Years Pupil Premium (EYPP)
- Disability Access Fund (DAF)

WHERE CAN MY CHILD ACCESS A PLACE?

Your child can access their Early Years education place with an Early Years Provider such as:

- Full day care nurseries
- Pre-Schools
- Playgroups
- Childminders
- Nursery Schools and classes

These Early Years providers must be Ofsted registered. They are responsible for claiming the funding for your child's place directly from Warwickshire County Council and must be registered to do so.



UNIVERSAL ENTITLEMENT - 15 HOURS

All children are eligible for the Universal 15 Hours Entitlement from the term following their 3rd birthday. The Universal entitlement is for 570 hours per year, over a minimum of 38 weeks of the year (a maximum of 15 hours per week). This entitlement can be stretched over more than 38 weeks and up to 52 weeks by taking fewer hours over more weeks. Please refer to your Early Years Provider for information on how they offer the funded entitlements.

EXTENDED ENTITLEMENT - 30 HOURS

You can get a funded childcare place for up to 30 hours per week for 38 weeks per year for your 3 or 4 year old if you meet the following criteria:

- You are a working family and earn the equivalent of 16 hours per week paid at the national living wage.
- You earn less than £100,000 per year.
- The term following your child's 3rd birthday or the term following receipt of a valid 30 hour code, whichever is the earlier.

THE APPLICATION PROCESS FOR 30 HOURS:

- Apply online at www.childcarechoices.gov.uk the term before you want the place to start.
- If you are successful, HMRC will issue you with a 30 hours eligibility code through your secure account which you must give to your childcare provider.
- Your childcare provider will check that your code is valid. You can then reserve a 30 hours place for the following term. The code must have a validity start date on or before the last day of the previous term:
 - Autumn term: a validity start date on or before 31st August
 - Spring term: a validity start date on or before 31st December
 - Summer term: a validity start date on or before 31st March
- You need to reconfirm your eligibility every 3 months by logging into your secure account. You will be reminded by HMRC 4 weeks before the deadline.

For further information and to apply for a 30 hour code, please go to: www.childcarechoices.gov.uk

HOW DO I CLAIM MY EARLY YEARS ENTITLEMENT?

Early Years entitlements are paid directly to the Early Years Provider your child attends. They will claim the funding on your behalf when you complete a Parental Declaration Form (PDF) with them.

EARLY YEARS PUPIL PREMIUM

The Early Years Pupil Premium (EYPP) is additional funding, that can be claimed by providers who have children receiving the 3&4 year funding Universal entitlement and where the child's parents are in receipt of qualifying benefits.

A child will be eligible for the Early Years Pupil Premium if:

- Their parents are in receipt of one or more of the following benefits or credits
 - Income Support
 - Income-based Jobseekers Allowance
 - Income-related Employment and Support Allowance
 - Support under Part VI of the Immigration and Asylum Act 1999
 - The guaranteed element of State Pension Credit
 - Child Tax Credit, but not Working Tax Credit, with an annual gross income of no more than £16,190
 - Working Tax Credit run-on – paid for 4 weeks after you stop qualifying for Working Tax Credit
 - Universal Credit – if the parent is entitled to Universal Credit they must have an annual net earned income equivalent to and not exceeding £7,400, assessed on up to three of the parent's most recent Universal Credit assessment periods

OR

- The child has
 - Been Looked After by the local authority for at least one day
 - Been Adopted from care
 - Left care through Special Guardianship
 - A child arrangement order

HOW TO CLAIM

To claim for the Early Years Pupil Premium (EYPP), you must fully complete and sign the EYPP application section on the PDF (Parental Declaration Form) given to you by your early years provider.



DISABILITY ACCESS FUND (DAF)

To be eligible for DAF 3 & 4 year olds must meet the following criteria:

- the child is in receipt of Disability Living Allowance (DLA) – (a copy must be given to your childcare provider)

AND

- the child receives some or all of the universal 15 hours entitlement

HOW TO CLAIM

To claim for the Disability Access Fund (DAF), you must fully complete and sign the DAF application section on the PDF (Parental Declaration Form) given to you by your Early Years Provider.

EARLY YEARS ENTITLEMENTS:

FAQ'S

➤ CHARGES

The Early Years Entitlements are intended to deliver 15 or 30 hours a week of funded, high quality, flexible childcare. It is not intended to cover the cost of meals, other consumables, additional hours or additional services. You will have to pay for any additional services your child receives.

➤ CAN I CLAIM THE EARLY YEARS ENTITLEMENT AT MORE THAN ONE EARLY YEARS PROVIDER

Yes, up to a maximum of 2 sites in one day.

➤ CAN I CHANGE SETTINGS?

Funding will normally be paid for the whole term to the provider the child attends on Headcount day. If your child moves before or after the Headcount day, you will need to speak to your Early Years Provider to find out if they will agree to move any funding to the other provider.



For more information about childcare providers in Warwickshire please contact The Family Information Service on: 01926 742274 or www.warwickshire.gov.uk/fis

For general funding enquiries please contact the Early Years Funding Team on: 01926 742235 or www.warwickshire.gov.uk/childcarecosts

For eligibility and online application enquiries for 30 hours funding, please contact: HMRC's Customer Interaction Centre on 0300 123 4097 or www.childcarechoices.gov.uk



*Working for
Warwickshire*

2 Year Funding Leaflet – Annex M



Find out how you may be able to get a funded childcare place for your 2 year old

- up to 15 hours a week
- 38 weeks a year

You may be able to get a funded childcare place for your 2 year old if you are receiving one or more of the following benefits or credits:

- Income Support
 - Income based Job Seekers Allowance
 - Income-related Employment and Support Allowance
 - Support under part VI of the Immigration and Asylum Act 1999
 - The Guarantee element of the State Pension Credit
 - Child Tax Credit or Working Tax Credit, if your annual household income is less than £16,190
 - Universal Credit if your annual net earned income is less than £15,400
- OR
- The child is being looked after by the local authority
 - The child has left care through special guardianship or an adoption or child arrangement order
 - The child has a current statement of Special Educational Need, or an Education, Health and Care Plan
 - The child qualifies for Disability Living Allowance

Additional extended criteria introduced from September 2019 where parent(s) have one of the following types of immigration status:

- Zambrano carer (derivative right to reside in the UK under European law as the primary carer of a British child or a dependant adult), if you annual net earned income is less than £15,400
- Leave to remain with no recourse to public funds (NRPF) granted on family or private life (Article 8) grounds, if your annual net earned income is less than £15,400
- Been refused asylum in the UK and receiving support from the Home Office under section 4 of the immigration and Asylum Act 1999

Your childcare place will usually be for up to 15 hours a week, 38 weeks per year.

This could give you time to get help and advice, help you find out about your child's development and explore the learning and training opportunities available to you.

WHEN WILL MY CHILD BE ELIGIBLE?

Children usually have a place from the start of the school term after their 2nd birthday.

CHILDREN BORN BETWEEN:	FUNDED PLACES START FROM:
1st January - 31st March	Summer Term (from 1st April)
1st April - 31st August	Autumn Term (from 1st September)
1st September - 31st December	Spring Term (from 1st January)

FREQUENTLY ASKED QUESTIONS

HOW WILL MY PLACE BE PAID FOR?

The funding will be paid directly to the childcare setting your child attends. These settings are all registered with Warwickshire County Council and Ofsted.

HOW DO I APPLY?

You can apply online at www.warwickshire.gov.uk/childcarecosts.

For help or more information please contact the Early Years Funding Team:

Tel: 01926 742218 or 01926 742233

Email : 2help@warwickshire.gov.uk

or FIS (Family Information Service)

Tel: 01926 742274

Email: fis@warwickshire.gov.uk

WHAT HAPPENS ONCE AN APPLICATION IS MADE?

Your application is checked for eligibility using the Government's Eligibility Checking System. If you are eligible a confirmation letter, detailing your EY Voucher Code, will be emailed or posted to you to confirm a funded place. You will also be sent a list of childcare settings in your area who offer funded 2 year old places. You will need to show your chosen setting your confirmation letter and give them your EY Voucher Code. If your eligibility cannot be confirmed you will be asked for supporting evidence.

YOUR INFORMATION RIGHTS

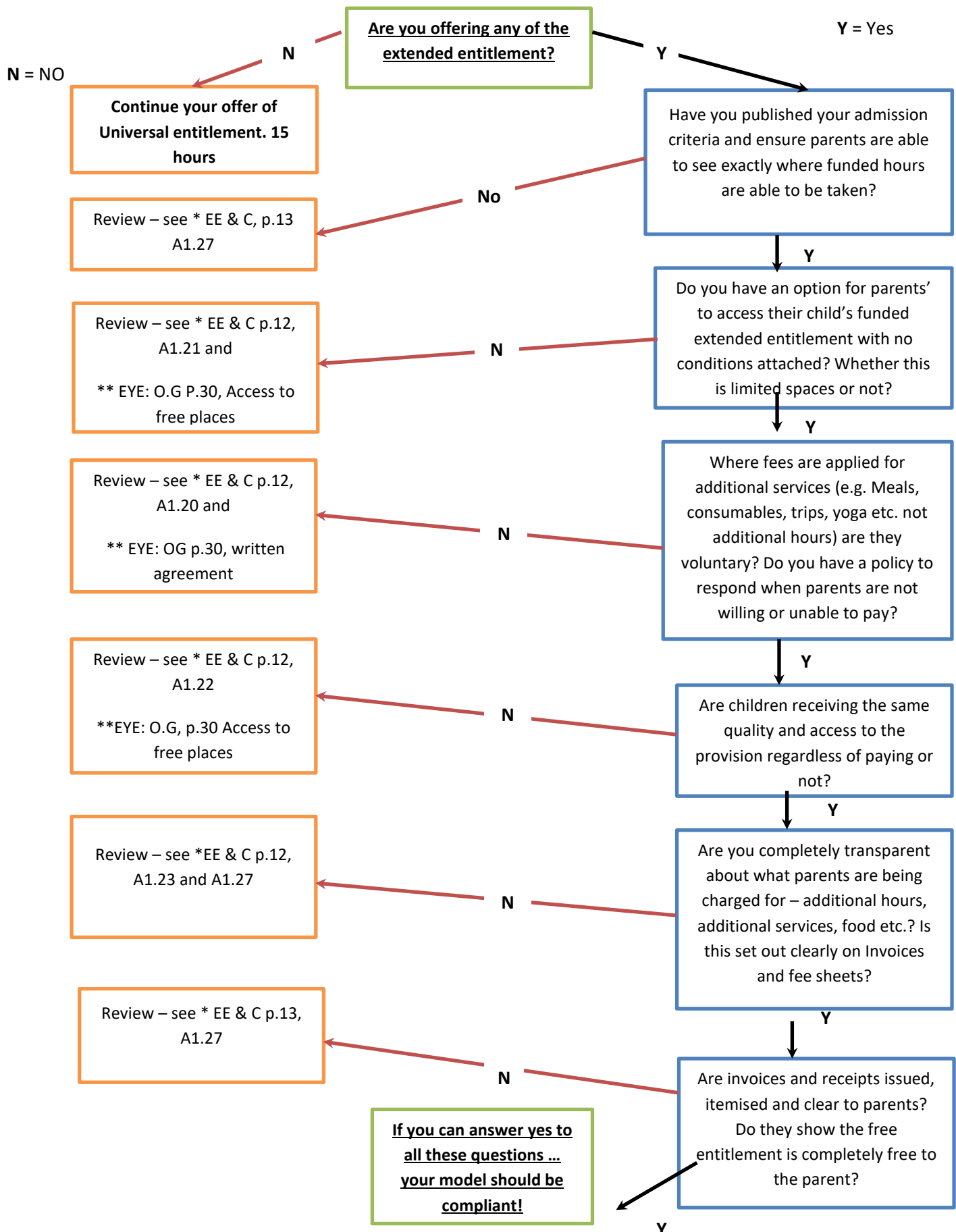
To see how we use your personal data and what your information rights are please read our customer privacy notice at www.warwickshire.gov.uk/privacy which includes contact details if you have a complaint about your information rights. For general enquiries, contact Warwickshire County Council customer services on 01926 410410.

Updated: March 2020



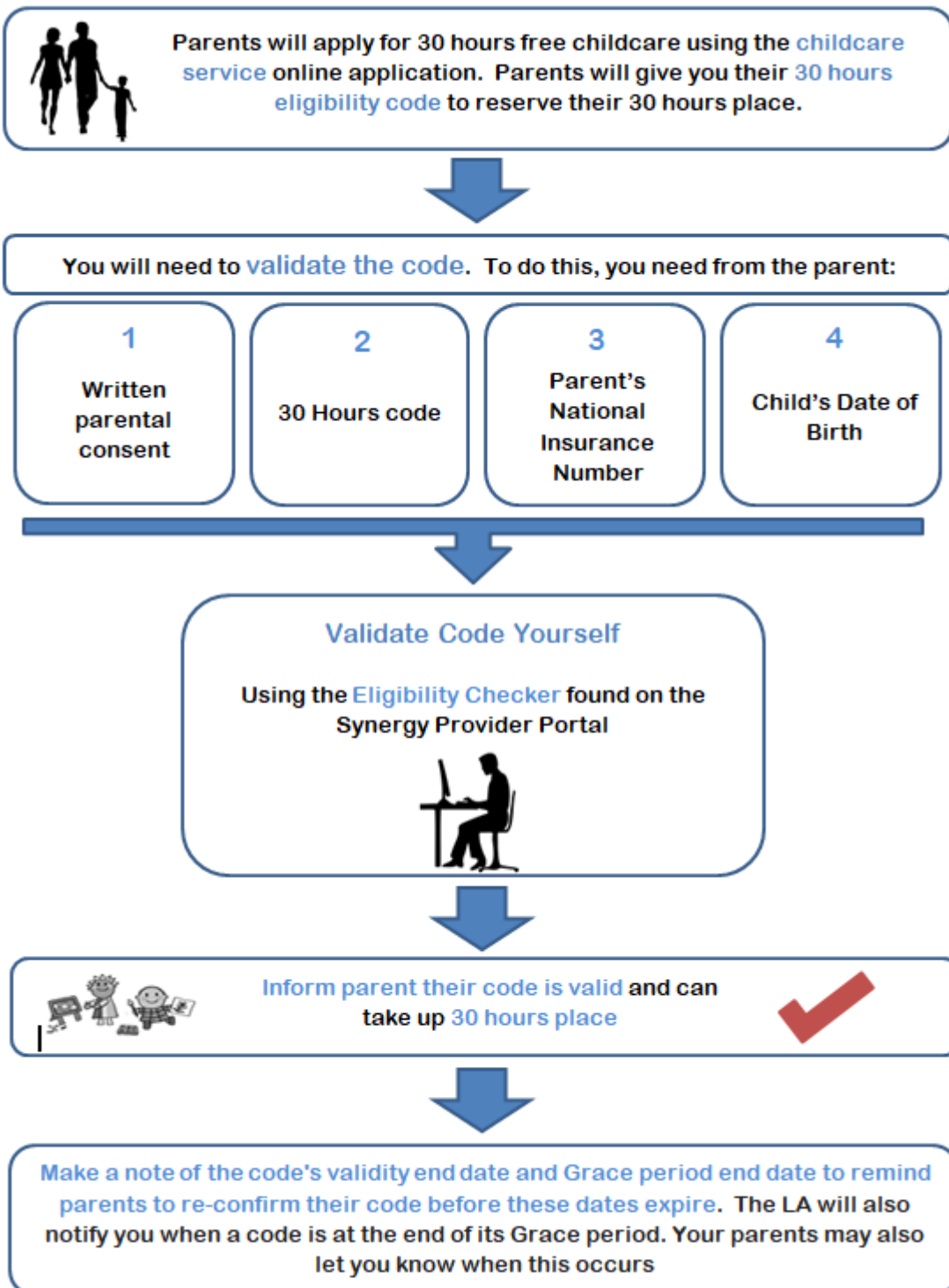
30 Hour Fee Guidance Flow Chart – Annex N

Extended Entitlement – Fee and Charging Guidance



30 Hours How to Apply – Annex O

Appendix A: Providers verifying 30 hours eligibility codes



Stretched Funding Guidance – Annex P

EARLY EDUCATION FUNDING – STRETCHED OFFER GUIDANCE

Stretching funded hours

1. The LA has a statutory duty to 'enable parents to take up their child's free place in patterns of hours that 'stretch' their child's entitlement by taking fewer hours a week over more weeks of the year, where there is provider capacity and parental demand'. (DfE Early Education and Childcare: Statutory Guidance for Local Authorities June 2018, A2.12, page 16)
2. There is no requirement on any individual provider to deliver a stretched offer and parents do not have the right to demand one.
3. There are advantages and disadvantages of stretching – some entitlement may be lost by providers or parents or both – see **other considerations** below.
4. Maximum funded hours available **570** or **1140** (38 weeks x 15/30 hours). Maximum weekly funded hours available **15/30**.
5. You need to decide which period you are stretching funding over and for how many weeks: -
 - 12 months/3 terms (up to max of 52 weeks)
 - 2 terms (35 weeks maximum for Spring and Summer)
 - 1 term (22 weeks maximum for Summer)
6. Settings can only stretch funded hours over their published opening hours and weeks e.g. 48, 50 or 51 weeks.

Stretching process and examples

1. **Example stretching over 52 weeks (Autumn, Spring & Summer terms - equivalent to 38 weeks funding)**

A	B	C	D
Maximum funded hours available	Weeks attending	Funded Hours per week <i>Col A / Col B</i>	Funded Hours to be entered onto the portal <i>Col B x Col C / 38</i>
570	52	10.96	15
1140	52	21.92	30

Child Attending 10 Hours per week

A	B	C	D
Weekly Hours attended	Weeks attending	Hours attended per year <i>Col A x Col B</i>	Funded hours to be entered on to the portal <i>Col C / 38 weeks</i>
10	52	520	13.68
20	52	1040	27.37

2. **Example Stretching over 35 weeks (Spring & Summer terms – equivalent to 24 weeks funding)**

A	B	C	D
Maximum funded hours available	Weeks attending	Funded Hours per week <i>Col A / Col B</i>	Funded Hours to be entered onto the portal <i>Col B x Col C / 24</i>
360	35	10.29	15
720	35	20.57	30

Child Attending 10 Hours per week

A	B	C	D
Weekly Hours attended	Weeks attending	Hours attended per year <i>Col A x Col B</i>	Funded hours to be entered on to the portal <i>Col C / 24 weeks</i>
10	35	350	14.58
20	35	700	29.17

3. **Example Stretching over 22 weeks (Summer term – equivalent to 13 weeks funding)**

A	B	C	D
Maximum funded hours available	Weeks attending	Funded Hours per week <i>Col A / Col B</i>	Funded Hours to be entered onto the portal <i>Col B x Col C / 13</i>
195	22	8.86	15
390	22	17.73	30

Child Attending a 10 Hours per week Stretch Model – WARNING - There are a maximum of 195 funded hours for the Summer term. Settings will have to charge for the additional hours attended at their standard fees.

A	B	C	D
Weekly Hours attended	Weeks attending	Hours attended per year <i>Col A x Col B</i>	Funded hours to be entered on to the portal <i>Col C / 13 weeks</i>
10	22	220	15 (1.92 hours to be charged at standard rate)
20	22	440	30 (3.85 hours to be charged at standard rate)

Other considerations: -

- Depending on when a child starts in an academic year, not all children will attend for a full 52 weeks in their second year of claiming – when stretching over less than a 52 week period you will need to reduce the number of funded hours offered and shown on invoices.

- Stretched funding for leavers is particularly difficult as it will vary depending where a child is up to in their stretched cycle. If a child leaves and has stretched their funding, early education funding paid should match the funded hours allocated on your invoices. This may need to be adjusted according to when the child leaves in the stretched cycle.

For example, if a child leaves before Headcount in the 3rd term of an expected 3 terms stretch, you may have been paid more funding than would have been due for the whole of the year because of accumulated funding from previous terms. You will need to contact the funding office to arrange for funding to be re-paid.

In the event that the funded hours are less than the hours allocated on your invoices for stretch i.e. a child starts in the Summer term and leaves at the end of the term, please be aware that you will need to charge the parents for the difference see example 3. (Maximum funding is dictated by the funding caps in place – Autumn 210/420, Spring 165/330 and Summer 195/390 hours).

Funding would have been accumulated in subsequent terms had the child stayed for 3 terms.

- Please be aware that there may be different funding implications for each term. It is the responsibility of the setting to notify parents of any charges that may apply.
- The same Headcount rules will apply to children on a stretch offer as the term-time offer. A child must be on role for the hours that you are claiming for the whole of the term at the Headcount date, as advised by the LA. We will not be able to increase funded hours after the Headcount date.
- If a child has moved settings and stretched their funding at their previous setting, please contact the Funding Team (01926 742233) for confirmation of individual amounts available for funding as stretched periods may differ across the settings.
- Stretch models must be clearly written into Fee information for parents with the specific models available stating number of weeks available, funded hours offered and cost for any additional services.
- Parents may choose to vary their child's funded hours each term throughout the year. It is necessary to have robust systems in place to manage the calculations that will need to be made to ensure that claimed hours are correct and parents receive the correct number of funded hours for their child. Children must have accumulated sufficient funded hours.
- Funding can be shared between a maximum of two sites in a single day. Communications may be required with the other settings to ensure that all settings are clear on who will be claiming which hours and how many.
- Parental Declaration Forms (PDF's) must show the correct number of stretched hours and include all providers and models on the form.
- Averaging for invoicing purposes e.g. spreading annual funded hours and charges over equal monthly amounts is NOT the same as stretch.
- Be transparent and consistent to ensure parents / carers are clear on how they are being charged and funded hours given. Fee information must be reflected on invoices.
- Extended periods of absence may affect a child's funding and the stretch may need to be re-calculated

- Please ensure that as a setting the team dealing with funding, charging and invoicing fully understand the models that the service offers.

*Thank you for working with us to ensure parents can access their
funded hours in a way that best suits their needs.*

For further information or queries please contact:

Funding Office:

3 & 4 Year funding - 01926 742233 or 01926 742235

2 Year funding and Childminders - 01926 742218

Early Years Business Support Officer:

Jessica Holderness – Tel: 01926 742995

Disclaimer: *This guidance is provided to support settings to develop a stretched offer. Settings can choose whether to use this guidance or develop their own offer and are responsible for ensuring their offer meets the statutory guidance.*

Tax Free Childcare Leaflet – Annex Q



HELP PAYING FOR CHILDCARE

Childcare
Choices



MONEY TOWARDS CHILDCARE

Any **one** of the following schemes...

Age
0-11
Or 16 if disabled

Get up to
£2000 per child
For working families

TAX-FREE CHILDCARE

Age
0-16

Claim back up
to **85%** of costs
For working families

UNIVERSAL CREDIT

Age
0-15
Or 16 if disabled

Claim back up
to **70%** of costs
For working families

TAX CREDITS



AVAILABLE IN UK

... **can** be used with

FREE HOURS OF CHILDCARE

Age
2

For families getting
**certain government
support**

15 HOURS FREE CHILDCARE

Age
3 & 4

For **all** families

15 HOURS FREE CHILDCARE

Age
3 & 4

For **working** families

30 HOURS FREE CHILDCARE



AVAILABLE IN ENGLAND

For offers in Wales, Scotland and Northern Ireland check childcarechoices.gov.uk
Speak to your provider about any additional charges that may apply

For full details visit

childcarechoices.gov.uk

Getting childcare vouchers?

Go to GOV.UK to find out more