

2021

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





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# Section 1 – Introduction

## 1.1 Introduction

**COVID-19 Pandemic – Warwickshire County Council implemented some temporary changes in 2020 / 21 to the usual interim funding processes in response to the pandemic situation to aid financial planning and cash flow for providers. The changes to interim funding payments and the additional termly adjustment payment process for each term will remain for this academic year while the market rebalances and responds to any business changes and impacts.**

**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.**

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 recovery from 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 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 Guidance and Requirements of Early Education Funding document 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
- Independent Schools and Academies taking children aged two and over and which are exempt from registration with Ofsted as an early years provider OR
- A school taking children aged two and over and which is therefore exempt from registration with Ofsted as an early years provider

The 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 Entitlements, Sufficiency and Business 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 entitlements are 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 742233 / 01926 742218**

or [eyfunding@warwickshire.gov.uk](mailto: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 entitlements. 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 6.00am or after 8.00pm
- A maximum of 2 sites in a single day (separate provision on a school site is counted as one site)

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 (an additional 570 hours per year equating to 15 hours per week over 38 weeks) 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, including translated versions, can be obtained from the Early Years Funding Team and are also available on the website -

<https://schools.warwickshire.gov.uk/early-years-childcare-providers/early-education-funding-2-3-4-year-olds>

## 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.

**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 3<sup>rd</sup> 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 term after the child has attained the age of three; (2) that this is consistent with the child's care plan (3) the foster parent is taking up paid employment outside of their fostering role (see [Section 2.1.5](#) 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):

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

### **2.1.2 - Eligibility criteria for 2 year old funding:**

A child will be entitled to 2 year old funding 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 and a successful application has been completed.

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 and Health 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’](#))

### **Additional Information**

- Each child’s place is approved on an individual application basis. Families must meet the specific criteria as set out in the [‘Early Education and Childcare Statutory Guidance for local authorities’](#)
- Families can apply online at [www.warwickshire.gov.uk/childcarecosts](http://www.warwickshire.gov.uk/childcarecosts) or a paper application is available if the parent does not have access to the internet and can be requested from [2help@warwickshire.gov.uk](mailto:2help@warwickshire.gov.uk)
- If a parent does not have access to the internet they can contact their local Children and Family Centre for help. For more details visit: [www.warwickshire.gov.uk/childrenandfamilycentres](http://www.warwickshire.gov.uk/childrenandfamilycentres)
- If a family is eligible, they will be sent a Placement Confirmation letter via email or post by the Early Years Funding Team. This letter includes the EY voucher code that the provider will need to enter on to the Synergy Provider Portal to match with the records of eligibility
- The provider **MUST** see a copy of the Placement Confirmation letter 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 Synergy 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 funded hours until they become eligible for 3 and 4 year old funding
- Where the family circumstances improve or change, the place will not be removed
- Where a setting offers 2 year old funding, the setting’s details are added to a list of 2 year old funded Providers. This list is sent to parents with their place confirmation letter.

**Out of County arrangements** - Where eligibility has been confirmed by a Local Authority outside of Warwickshire, a copy of the confirmation letter will need to be attached to the funding application using the Document Upload facility in the Synergy Provider Portal.

### **2.1.3 - Eligibility Criteria for the 3 & 4 year old Universal and Extended (30 Hours) Entitlements:**

#### **3 & 4 Year old (Universal Entitlement)**

All 3 & 4 year olds are entitled to the 15 hours Universal Entitlement the term following their third birthday offering 570 hours a year over no fewer than 38 weeks. This equates to 15 hours a week for 38 weeks of the year. 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 or where the child is taking up a full time school place in reception).

There is **NO** application process required for the Universal Entitlement.

### 3 & 4 Year old (Extended Entitlement - 30 hours)

A child is entitled to the Extended Entitlement from the term following their third birthday or the start of the term after the 30 hour code validity start date, whichever is the latest. This equates to an additional 15 hours a week for 38 weeks of the year. 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 (total of 1140 hours where both the universal and extended hours are claimed) hours a year until the child reaches compulsory school age (the beginning of the term following their fifth birthday or where the child is taking up a full time school place in reception).

To be eligible for the Extended Entitlement parents must 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 per week 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.

#### Additional Information

- To check for eligibility and to make an application, parents should visit the HMRC website: [www.childcarechoices.gov.uk](http://www.childcarechoices.gov.uk) or visit [www.warwickshire.gov.uk/childcarecosts](http://www.warwickshire.gov.uk/childcarecosts)
- 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 may be liable for any costs in line with the providers contractual arrangements
- If a child starts after the Headcount date that does not meet the specified criteria stated in [Section 2.6.3](#) of this guidance they will not normally be entitled to funding until the start of the following term. The provider **MUST** contact the Early Years Funding Team to review if funding can be claimed due to exceptional circumstances prior to making a claim using the Adjustment process, see [Section 2.6](#)
- Providers should have 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 2.9](#) and [Annex B2](#) for more details.

In order to receive the 30 hours Extended Entitlement funding, the parent **MUST**:

- have applied through the HMRC's website: [www.childcarechoices.gov.uk](http://www.childcarechoices.gov.uk)
- have a current confirmation of eligibility from HMRC via their Gateway account
- 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, parents must have a temporary code beginning with 11
- have a valid code for the term in which they want to start the 30 hours funding
- ensure the code is renewed, as required by HMRC, usually every 3 months

Where a parent requires further guidance they should contact the Customer Interaction Centre at HMRC on 0300 123 4097.

Where the parent does not agree with the eligibility outcome, there is an appeal 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 the application process for the 30 hour code.**

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 early years 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 and signed by the parent
- On receipt of a code from the parent the provider must validate the code using the Eligibility Checker on the Synergy Provider Portal to confirm the validity dates of the code before a start date for the extended entitlement 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 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 as shown below, unless the Early Years Funding Team advise otherwise:

**Autumn term: a validity start date on or before 31<sup>st</sup> August**

**Spring term: a validity start date on or before 31<sup>st</sup> December**

**Summer term: a validity start date on or before 31<sup>st</sup> March**

- If a validity start date is dated after the start of term (1<sup>st</sup> 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 30 hours funding at your setting
- The code must be re-confirmed by parents usually **every 3 months**. The parent should be prompted by text or email from HMRC; however, providers should also prompt the parent prior to the validity end date

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

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

#### **Children claiming 30 hours between more than one setting:**

- The parent must complete the termly table on the Parental Declaration Form (PDF) to nominate how the funding will be allocated between settings
- The parent must decide which setting will be claiming the 15 Universal hours and which setting will be claiming the Extended hours and detail how these hours are going to be split on the termly table of the Parental Declaration Form (PDF)
- The hours should be entered on to the Synergy Provider Portal by the settings as they are shown on the PDF
- If the family do not have a valid 30 hours code for the term or the Grace Period has ended, the child will only be entitled to claim the 15 Universal hours at the setting where they have nominated to receive the Universal hours

**Please note:** the 15 Universal hours should be fully used first before a parent claims the Extended Entitlement hours.


#### **2.1.4 - The Grace Period**

The Local Authority will continue to fund a place for an existing funded 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 extended hours and they will not be funded for them in the following term.



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

The table below shows the grace period dates where 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 before the end of the current term. This is to avoid parents and providers from losing their 30 hours funding in the following term.

<b>Date Parent receives ineligible decision on reconfirmation:</b>	<b>LA audit date:</b>	<b>Grace Period End date:</b>
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 either
  - In single parent foster families, the foster parent engages in paid work outside their role as a foster parent, or
  - 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 per week at national minimum/living wage

The Local Authority who the child is Looked After by will allocate a 30 hour code to the foster carer, as the Government Childcare Service will not be able to make the relevant checks.

**Warwickshire foster carers with a Warwickshire foster child** - must contact their Social Worker for an application form. When completed, it is to be signed by the child’s Social Worker and sent with the required documentation to the Designated Administrator for checking, before being passed to the Designated Officer from the Fostering Team to be authorised.

**Warwickshire foster carers caring for a child from another Local Authority** - must contact the child’s Social Worker for an application form. This form must then be completed with the child's Local Authority, who are responsible for issuing a 30 hour code where the carers are eligible.

**Foster carers from outside of Warwickshire with a Warwickshire foster child** - must contact the child's Social Worker for an application form. When completed it is to be signed by the child's Social Worker and sent with the required documentation to the Designated Administrator from the Fostering Team for checking, before being passed to the Designated Officer from the Fostering Team to be authorised.

Once the necessary documentation has been received by the Early Years Funding Team details of the code will be sent to the foster carer by email. The email will have details of the validity start date, validity end date and re-confirmation date.

The code, starting with 400, is to be treated in the same way as a standard 30 hour code and will need to be re-confirmed every 3 months with the issuing Local Authority. The foster carer will need to contact either their own or the child's social worker to request re-confirmation every 3 months on or around the re-confirmation date. When the code is re-confirmed it must be passed to the nursery provider and treated the same as a standard 30 hour code.

## 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, based on the funded hours claimed, 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 or other qualifying criteria is met.

Providers are able to use this extra funding to support each eligible child to improve outcomes for them. Detailed information for each child 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 may 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

**Additional 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 Early Years Funding Team via the Document Upload service in the Synergy Provider Portal.

### **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 Provider Portal with the termly Headcount claim and the consent to check for EYPP box must be ticked.

EYPP payment will be made with the Actual payment for the term. Providers **must** check the Synergy Provider 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 shown in the **Weightings** column.

Following the processing of the funding claims, where a child **has not** had EYPP added as expected, it will mean that eligibility could not be confirmed using the ECS or the required information was not added to the Synergy Provider Portal as required.

Where this is the case providers must: -

- Check the information added to the Synergy Provider Portal for accuracy and advise the Early Years Funding Team of any changes that need to be made
- Check information for errors in the National Insurance number or date of birth etc.
- Contact the parent, where the details are confirmed as correct to request additional supporting information
  - Additional supporting information that can be provided is a Disability Living Allowance award letter, statement of benefits or credits etc.
  - A copy of the additional supporting information must be sent to the Early Years Funding Team, via the Document Upload service on the Synergy Provider Portal

- Information / changes must be received by the Early Years Funding Team by the end of the current funding term
- Information will be reviewed by the Early Years Funding Team and eligibility determined
- Providers must recheck their Synergy Provider Portal where any additional allocations will have been added to the weightings column.

**Important Note:**

It is recommended that all children that may qualify complete the EYPP application. Where eligibility is confirmed, this may provide additional support for a child when making their application for a primary school place. The Primary Schools admissions policy 2021/2022 Academic Year 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.*

**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.

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 Synergy 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.

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 annually 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 full DAF payment 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. It is paid the term after the 12 month anniversary they first received the DAF payment.

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.

### **How to claim:**

- Early years providers are responsible for identifying eligible children and should prompt parents to sign the Declaration on the Disability Access Fund (DAF) section of the 3 & 4 Year Old Parental Declaration Form (PDF)
- Providers will need to check eligibility by seeing evidence of the child's Disability Living Allowance (DLA) award letter
- A copy of the DLA award letter must be sent to the Local Authority using the secure **Document upload tab** on the Synergy Provider Portal during the Headcount period
- The following symbol will show next to the child's funding details if a document was attached 
- Where a copy of the DLA award letter is not attached to the Document upload tab, the claim for DAF cannot be approved
- Payment is made as an adjustment with the termly final (actual) payment and can be seen in the Adjustment Payments in the Summary tab in the Synergy 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 5<sup>th</sup> 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](http://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](http://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 are not eligible to receive the grant where 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](mailto:edassessmentteam@warwickshire.gov.uk)

## 2.4 Payment Arrangements

Current hourly rates are as follows:

- **2 year olds:**
  - all providers - £5.45 per hour
  
- **3 and 4 year olds:**
  - PVI sector including Childminders - £4.15 per hour
  - Maintained Nursery Classes – £4.15 per hour
  - Maintained Nursery Schools - £4.15 per hour (supplementary funding is provided by the Government until a national review of Nursery Schools funding is completed)
  - Early Years Pupil Premium (EYPP) £0.53 per hour
  - Deprivation Factor £0.53 per hour
  - Disability Access fund (DAF) £615 per year

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 up to 1140 hours per year if also claiming for the Extended entitlement. These entitlements can be taken in a variety of ways in order to meet the needs of the family.

### **2.4.1 - Patterns of Payments**

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:

<b>Autumn Term</b>	<b>14 weeks</b>
<b>Spring Term</b>	<b>11 weeks</b>
<b>Summer Term</b>	<b>13 weeks</b>

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

and can be found on the website: <https://schools.warwickshire.gov.uk/early-years-childcare-providers/early-education-funding-2-3-4-year-olds>

**Actual payment dates, and Headcount dates set by the Department for Education for the Academic Year 2021/2022:**

**Twice Termly Paid Providers**

Twice termly paid funded providers, PVI's, Academies and Maintained Nursery Schools and Classes

Term	Headcount Date	Deadline date for submissions	Interim Payment Date		Actual Payment Date	
			2 YO	3 & 4 YO	2 YO	3 & 4 YO
<b>Autumn Term 2021/2022</b>	7 <sup>th</sup> October 2021	15 <sup>th</sup> October 2021	17/09/2021	15/09/2021	19/11/2021	17/11/2021
<b>Spring Term 2021/2022</b>	20 <sup>th</sup> January 2022	28 <sup>th</sup> January 2022	21/01/2022	19/01/2022	11/03/2022	9/03/2022
<b>Summer Term 2021/2022</b>	19 <sup>th</sup> May 2022	27 <sup>th</sup> May 2022	06/05/2022	04/05/2022	24/06/2022	22/06/2022

**Interim payments:**

- Interim payments for 2, 3 & 4 year funding are calculated by using the hours entered onto the Estimates tab on the Synergy Provider Portal and sent before the submission deadline date, which is notified to you in the Termly Information letter
- The Synergy Provider Portal will open 2 weeks before the start of term for the setting to enter the Estimate hours
- The interim amount is 70% of the estimated payment amount
- Guidance on how to use the Estimates tab is included in the Estimate Funding Process Guide. See [Annex R](#).

**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.**

**Interim payments:**

- The interim payment will be made using the hours entered onto the Estimates tab on the Synergy Provider Portal before the interim hours submission deadline date at the start of the term which is notified to you in the Termly Information letter
- The provider portal will open 2 weeks before the start of term for childminders to enter the estimate hours



- Guidance on how to use the Estimates tab is included in the Estimate Funding Process Guide. See [Annex R](#)

### Monthly payments:

The **interim** payment will usually be split into 3 payments for the Autumn term, 2 payments in the Spring and 3 payments for the Summer term (\*The number of payments may vary depending on the number of weeks in the Summer term). The final payment will be the balance calculated after the Headcount claim has been completed.

- The interim payment will be 70% of the estimate payment amount, for 2, 3 & 4 year old funding entitlements
- The first 2 or 3\* payments will be calculated by dividing your interim payment(s) by 2 or 3\* equal amounts
- The interim hours will be obtained from the hours entered into the Estimates tab on the Synergy Provider Portal
- The final or balance payment will be made after the Headcount has been completed and will be based on the actual Headcount numbers that have been entered
- If the numbers increase at the Headcount, the additional funding will be paid in the final payment
- If there has been an overpayment of the interim funding, this final balance will be a minus amount and an invoice will be sent to the setting for repayment

The regular monthly payment dates for 2021/2022 will be as follows:

Term	Headcount Date	Deadline date for submissions	Interim Payment Dates			Actual Payment Date
			1 <sup>st</sup> Payment	2 <sup>nd</sup> Payment	3 <sup>rd</sup> Payment	4 <sup>th</sup> Payment
<b>Autumn Term 2021/2022</b>	7 <sup>th</sup> October 2021	15 <sup>th</sup> October 2021	15 <sup>th</sup> September 2021	15 <sup>th</sup> October 2021	15 <sup>th</sup> November 2021	15 <sup>th</sup> December 2021
<b>Spring Term 2021/2022</b>	20 <sup>th</sup> January 2022	28 <sup>th</sup> January 2022	17 <sup>th</sup> January 2022	15 <sup>th</sup> February 2022	-	15 <sup>th</sup> March 2022
<b>Summer Term 2021/2022</b>	19 <sup>th</sup> May 2022	27 <sup>th</sup> May 2022	14 <sup>th</sup> April 2022	13 <sup>th</sup> May 2022	15 <sup>th</sup> June 2022	15 <sup>th</sup> July 2022

Childminders can make changes to their Headcount until the submission deadline date where the hours claimed need to change.

### Actual or final payment

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

## 2.5 Entering the Headcount Claim

At a set point within each term providers must submit the settings Headcount claim via the Synergy Provider Portal to ensure that payments made to the setting are accurate and reflect all children in attendance and taking up a place.

To ensure settings are kept informed a **Termly Funding Information Letter** will be sent at the end of each term which includes all the important dates and deadlines needed to enter the Headcount claim for the next term.

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

Providers are responsible for inputting the Headcount return within the deadlines given by the Early Years Funding Team and to check the accuracy on completion at the end of each term.

The providers' Headcount claim, including EYPP and DAF, is made through 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 Early Years Funding Team
- Where a provider has not used the system before, please contact the Early Years Funding Team for sign in details, username and password and for a copy of the **Synergy Provider Portal Online Funding Guidance**
- To enter the Headcount claim correctly, settings must follow the **Synergy Provider Portal Online Funding Guidance**, which is emailed to providers when the provider joins the Directory of Providers and on an annual basis by the Early Years Funding Team.

A copy of the **Synergy Provider Portal Online Funding Guidance** is available to be downloaded or viewed on the Early Years & Childcare webpages -: <https://schools.warwickshire.gov.uk/early-years-childcare-providers/early-education-funding-2-3-4-year-olds>

The Headcount dates for each term are set by the DfE. For the Academic year 2021/2022 they are:

Term	Headcount Dates
Autumn Term 2021/2022	7th October 2021
Spring Term 2021/2022	20th January 2022
Summer Term 2021/2022	19th May 2022

### Claim process summary:

- The Synergy Provider Portal will open 2 weeks before the first day of each term and closes one week after Headcount day
- The provider must enter the details of all the children they are claiming funding for that term

and the number of funded hours which are to be taken from the details on the Parental Declaration Form (PDF)

- The provider must check that the child's details are accurate and in accordance to the legal name, date of birth and address on the PDF and make any necessary changes using the Edit facility
- Children are not always carried forward on the Synergy Provider Portal from term to term, you will need to check the children listed carefully for all funding types - 2, 3 & 4 year olds.  
**Note: Children will NOT be carried forward from Summer term to Autumn term**
- Only children attending the setting on Headcount date or within the week of the specified Headcount date, can be entered on to the Headcount claim. A claim should be made for the whole of the term, even where a child joins after the term has started. Where the provider agrees, this then enables the provider to pass a proportion of the funding to another Warwickshire provider if the child moves to another setting before Headcount or moves to another setting after Headcount. See [Section 2.6](#)
- The Synergy Provider Portal closes on the Submission Deadline date as notified in the Termly Information Letter. The Synergy Provider Portal will not allow any changes to be made to Headcounts after this date
- The provider **must** check the Synergy Provider Portal from 2 weeks after Headcount week, to check that the Headcount claim is correct, this includes information for all children, claimed hours and any additional allocations e.g. EYPP, DAF
- After the Headcount information is submitted, a detailed breakdown of funding allocated to each child will be shown on the Actuals tabs of the Synergy Provider Portal for 2, 3 & 4 year funding. The Universal hours and the Extended 30 hours for 3 & 4 year funding are shown separately

#### **Additional important information:**

- The Early Years Funding Team are not able to make any changes to funding after the end of a term. Adjustments, where agreed, can only be made during the current term
- The Local Authority may reclaim funding that has been overclaimed relating to any terms if identified at audit
- Funding will continue to be paid for inset days taken, up to a total of 5 days per school year however, it must be noted that **funding is paid for 38 weeks** per year and a school year is classed as **39 weeks including inset days**
- The Local Authority is required to secure a minimum of 38 weeks of pre-school education over the course of an academic year. Any phased induction for three year olds should usually be completed within the first three weeks of the term
- Information from your Headcount may be shared to ensure effective safeguarding and promote the welfare and protection of children

#### **Payment Summary:**

The Synergy Provider Portal must be used to check your final Headcount **Summary** at the end of each term.

This can be accessed using: <https://admissions.warwickshire.gov.uk/synergy/providers>

Selecting the Summary page on the Funding tab for the term will show the details for the Estimate, Actual, Adjustments and Weighting payments for the selected term. Summary information for all terms from the start of the setting's records in the system can be checked.

**The funding details on the Summary tab from the previous academic year is to be used for the settings Indicative Budget information.**

**Summer Term Sufficiency Return:** (Except Childminders)

The Local Authority collects 2, 3 and 4 year old place and vacancy information from funded Early Years providers in the Summer term during the Headcount period. The submission deadline date will be notified in the Termly Information letter.

The return is completed by selecting the **Sufficiency Tab** on the Synergy Provider Portal.

By completing this information, the setting is giving Warwickshire County Council an accurate insight into place sufficiency in the local area. Being able to follow the trends in sufficiency helps Warwickshire County Council to locate areas of high demand and investigate the need to create additional early years places to ensure parents can access their funding entitlement. Any information used for reporting purposes will be anonymised.

The Sufficiency return **MUST** be completed in line with the requirements in the Provider Agreement, there may be a delay to your final termly payment where a return is not completed.

For details on how to complete the Sufficiency return please refer to the **Synergy Provider Portal Guidance**.

## 2.6 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 (or within the week of the specified Headcount date), 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.

The Early Years Funding Team will notify settings of any allowed adjustments that can be made to the Headcount claim for the term in the Termly Information Letter. An Adjustment Form will be sent via email the week after half term to enter any allowed adjustments by the notified deadline date.

Payments for any adjustments are made to providers on the last week of the funding term where they have not been added to the Actual payment.

#### **2.6.1 - Child Leaving Before Headcount**

Where 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 mandatory.

### **2.6.2 - Child Leaving After Headcount**

Where 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 mandatory.

### **2.6.3 - Child starting After the Headcount**

Where a child starts the setting after the Headcount date and has moved from another setting where funding has been claimed they will not normally be entitled to further funding until the following term. See [Section 2.6.2](#).

If a child joins the setting after headcount and fits within the below specified categories a claim may be made via the adjustment payment process which is undertaken by the end of the term, as notified in the Termly Funding Letter.

Categories where adjustments may be made after the termly headcount:

- A house move into the area for the child or parent
- If the child's primary carer changes resulting in the need to change setting
- Where a sibling moves school and the child needs to move to attend adjacent/nearby nursery provision
- Military family posted in / out of the area
- Child protection and safeguarding reasons
- Where the child has not previously taken up a place and is a new starter eligible for funding
- Family requirements change and funded hours need to be increased e.g. change in parents working patterns

Children who are eligible for 2 year funding may 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 attendance for the funded entitlement that the parent and provider have agreed.

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

Adjustment payments will be made for the number of weeks in the term from when the change or start date occurred.

## 2.7 The 'Stretch' Offer

### Stretch and Averaging of Funding

Be aware of the difference between:

#### **2.7.1 - 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 the setting 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.

Stretch patterns must be reflected within the Parental Declaration Form (PDF), contracts and attended as specified.

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

#### **2.7.2 - 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 funded 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.***

## 2.8 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. Providers should make their policy clear in writing to parents prior to a child taking up a place.

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 or alternative arrangements made such as the parents providing their own meals e.g. a packed lunch.

If a child's attendance exceeds the funded entitlement, providers can 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. This information should clearly show where funded hours form part of a longer session or contractual arrangement and clearly include what the extra charges are for.**

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 as listed within the fee and session information provided.

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.

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

The Parental Declaration Form (PDF) is an agreement between providers and parents to commit to the provider the number of hours they claim for the whole of the term.

The Parent should be directed to [www.warwickshire.gov.uk/childcarecosts](http://www.warwickshire.gov.uk/childcarecosts) for full details of the funding entitlements and the Parental Declaration Form (PDF) terms and conditions of funding **before** signing the form.

**A Parental Declaration Form (PDF) must be fully completed as directed, 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. Do not send copies of Parental Declaration Forms (PDF) to the Early Years Funding Team unless they have been requested.

Providers should 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
- The 30 hour code must be re-confirmed every 3 months or as directed by HMRC
- 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
- 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 entitlements can be stretched by offering fewer hours per week over more weeks of the year up to the maximum entitlements
- Funding will only be paid for a child starting after Headcount day that meet the specified categories. See [Section 2.6](#)
- The parent must make sure that their child regularly attends the funded hours they are claiming for including the full session e.g. 8am start and 6pm finish



- 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
- Parents will be liable for the cost of any hours not covered by the funded entitlement for example if a child leaves before the Headcount date or use additional services.

## 2.10 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.

The Local Authority will review the PDF's in place at each provider prior to apportioning the amount of funding to each provider.

## 2.11 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 must be proactively managed by the provider and 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 and records 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 Team.

For further guidance on: -

- Warwickshire's Children Missing from Early Education can be found here: [www.safeguardingwarwickshire.co.uk/safeguarding-children/i-work-with-children-and-young-people/child-missing-from-education](http://www.safeguardingwarwickshire.co.uk/safeguarding-children/i-work-with-children-and-young-people/child-missing-from-education)
- 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 here: [www.safeguardingwarwickshire.co.uk/safeguarding-children/i-work-with-children-and-young-people/interagency-safeguarding-procedures](http://www.safeguardingwarwickshire.co.uk/safeguarding-children/i-work-with-children-and-young-people/interagency-safeguarding-procedures)

## 2.12 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.

Out of County Looked After Children (LAC) must be identified by the Provider. The LAC child's carer will need to show them evidence that the child is LAC or supply details of the child's social worker for the Early Years Funding Team to contact. It is requested that this information is sent via the Notes tab on the Synergy Provider Portal during the Headcount period. After the Headcount has been completed an email will be sent to providers requesting that the Synergy Provider Portal is checked, and that Early Years Pupil Premium (EYPP) has been allocated to all children as expected. The Early Years Funding Team will need to be contacted where there continues to be a query around allocations.

## 2.13 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 and school run provision (excluding maintained nursery classes and nursery schools). The Early Years Census is mandatory, and data must 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 in the Spring term. The Census form will be found under the 'Forms' tab at the start. Please refer to the **Synergy 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.

### **Process for Private, voluntary, independent providers, schools running governor run provision and childminders:**

#### ***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 Early Years Funding Team). The Early Years Census Form will be made available under the 'Forms' tab in the Synergy Provider Portal at the start of the Spring term to complete the provider's Census details. The online form **must** be 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 Early Years Funding Team.

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 'Present during Census' box **MUST** be ticked for all children that are on register and being funded during Census week.

The Early Years Census information is 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.

### **Process for Maintained Nursery Classes, Academies and Nursery Schools**

It is essential that schools continue to keep the SIMS or alternative reporting systems up to date, as this is 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.

- 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 or alternative reporting system
- Children attending the nursery class or school who are not within the statutory age range need to be counted as attending a 's27 Governor Run provision' (maintained settings) and included in the Early Years Census – an Early Years Census form must be completed via the Synergy Provider Portal in the Spring term
- For Schools who only have a maintained nursery class, (without s27 Governor Run provision), the children must 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 Provider Portal)

**IMPORTANT:** 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 or alternative system) if the child is a registered pupil of the school.

## 2.14 Information for Parents

Copies of the information leaflets for parents and providers are shown at [Annexes L](#) and [M](#). Further copies, including translated versions are available from the Early Years Funding Team on **01926 742233 / 01926 742218** or via the website: <https://schools.warwickshire.gov.uk/early-years-childcare-providers/early-education-funding-2-3-4-year-olds>

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](http://www.warwickshire.gov.uk/childcarecosts)

## 2.15 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 may have an impact on funding and access to the Synergy Provider Portal. A new Provider Agreement and new access to the Synergy 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](mailto: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](mailto:eyfunding@warwickshire.gov.uk)

**Childminder Funding** at: [childminderfunding@warwickshire.gov.uk](mailto:childminderfunding@warwickshire.gov.uk)

**Exchequer Services** at: [suppliermaintenance@warwickshire.gov.uk](mailto:suppliermaintenance@warwickshire.gov.uk)

**Ofsted** at: 0300 123 1231

## 2.16 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 directory of funded providers.

## 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 term's 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
- A school taking children aged 2 and over and therefore exempt from separate registration with Ofsted as an early years provider
- Independent School or Academy taking children aged two and over and which are exempt from registration with Ofsted as an Early Years Provider
- 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
- A school taking children aged 2 and over and therefore exempt from separate registration with Ofsted as early years providers
- Independent School or Academy taking children aged two and over and which are exempt from registration with Ofsted as an Early Years Provider
- 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 and Childcare Sustainability Officer to arrange completion of the current Provider Agreement ([Annex C](#)). Providers will then be issued with the full Guidance and Requirements of Early Education Funding.

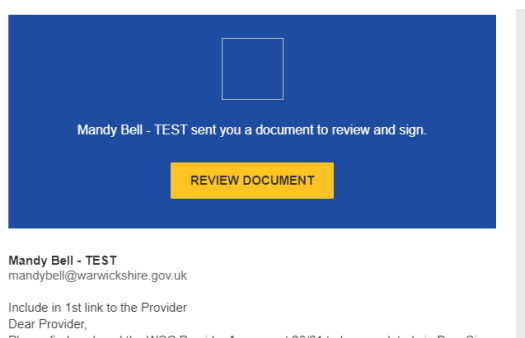
## 3.2 Provider Agreements & Local Authority Requirements

### Provider Agreement

All providers registered to claim funding for 2, 3 and 4 year old funded places must sign to agree to the annual Provider Agreement. This agreement is reviewed and reissued annually each academic year. 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.

#### For existing settings on the Directory of Providers:

The annual Provider Agreement will be sent electronically from DocuSign EU usually at the end of the summer term. 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

#### For new settings being added to the Directory of Providers:

To join the Directory of Providers a Provider Agreement must be requested and completed prior to offering places to parents.

- The provider will need to complete and return the Provider Agreement (see instructions above)
- The Early Years Funding Team will email 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 providers Ofsted Registration Number)

- The Early Years Funding Team will set up the new provider with access to the Synergy Provider Portal and supply passwords, links and guidance for how to claim using the Synergy Provider Portal, please refer to [Section 2.5](#)
- New Provider's details are added to the Agresso Finance System by the Early Years Funding Team
- Warwickshire County Council's Exchequer Services Department will send an email with a data capture form attached. This is to collect bank details to 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](mailto:suppliermaintenance@warwickshire.gov.uk) **Funding cannot be paid until this form is returned and processed**

### Local Authority 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 or



Childminder Agency 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 Warwickshire Early Years Teaching School as a part of the Lawrence Sheriff Teaching School hub. Providers can find more information at [www.warwickshireearlyyears.co.uk](http://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 2.11 Child Attendance](#) and Warwickshire's Children Missing Early Years Education guidance.

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 usually 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 usually 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 SENDCo (Special Educational Needs Co-ordinator) specific to the setting and based on site

- Regular professional development for the setting SENDCo and other staff to meet the needs of children with SEND. Providers must regularly attend SENDCo 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 SENDCo, support and training will be available from the IDS Specialist Early Years Teachers. All SENDCo's will be able to access general SEND support and advice when needed and will be expected to attend briefings and "SENDCo Surgeries" to update their knowledge and skills.

Setting managers, pre-school SENDCo's & 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 & Childcare Sustainability 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 Team 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

## 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 termly 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 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 Provider Portal (or any replacement Warwickshire County Council system)
  - Accurately complete the online sufficiency return in the summer term each year using the Synergy Provider Portal (or any replacement Warwickshire County Council system)
  - Accurately complete and submit online the Department for Education (DfE) Early Years Census Information using the Synergy Provider Portal (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. Where a provider does not complete all required forms and meet the specified deadlines funding may be delayed or withdrawn.

### 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 for 2, 3 and 4 year olds

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](mailto:advice@lgo.org.uk)  
Website: [www.lgo.org.uk](http://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](http://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](http://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 2.12](#)**

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 2.8](#) and [3.7](#)**

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 2.8 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 2.6](#)**

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 2.6.

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 2.10](#)**

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 2.10](#)**

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

Website: <https://schools.warwickshire.gov.uk/early-years-childcare-providers>

## **Mandy Latham**

Early Years & Childcare Entitlements, Sufficiency & Business Lead Commissioner

Tel: 01926 742216

Email: [mandylatham@warwickshire.gov.uk](mailto:mandylatham@warwickshire.gov.uk)

## **Early Years & Childcare Administrator**

Early Years & Childcare Entitlements, Sufficiency & Business Team

Tel: 01926 742633

Email: [earlyyearsadmin@warwickshire.gov.uk](mailto:earlyyearsadmin@warwickshire.gov.uk)

## **Early Years Funding Enquiries:**

PVI, Academies, Maintained Nursery Schools and Classes 2, 3 & 4 year Funding

Tel: 01926 742233

Email: [eyfunding@warwickshire.gov.uk](mailto:eyfunding@warwickshire.gov.uk)

Website: [Early Education Funding for 2, 3 & 4 year olds](#)

## **Childminder Funding Enquiries:**

Tel: 01926 742218

Email: [childminderfunding@warwickshire.gov.uk](mailto:childminderfunding@warwickshire.gov.uk)

Website: [Early Education Funding for 2, 3 & 4 year olds](#)

## **2 Year Funding Application Enquiries:**

Tel: 01926 742218

Email: [2help@warwickshire.gov.uk](mailto:2help@warwickshire.gov.uk)

## **Early Years & Childcare Business Support Enquiries**

Tel: 01926 742995

Email: [earlyyears@warwickshire.gov.uk](mailto:earlyyears@warwickshire.gov.uk)

Website: [Early Years & Childcare Business Support](#)

## **Early Years Advisors**

Tel: 01926 742547

Email: [earlyyearsadvisors@warwickshire.gov.uk](mailto:earlyyearsadvisors@warwickshire.gov.uk)

## **Integrated Disability Service (IDS) Birth to Five Team**

Tel: 01926 413737



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



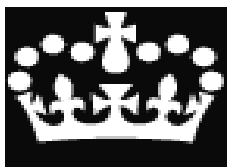
Tel: 01926 742274

Email: [fis@warwickshire.gov.uk](mailto:fis@warwickshire.gov.uk)

Website: [www.warwickshire.gov.uk/fis](http://www.warwickshire.gov.uk/fis)

## Department for Education

[www.gov.uk/government/organisations/department-for-education](http://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](http://www.gov.uk)

[www.gov.uk/government/organisations/ofsted](http://www.gov.uk/government/organisations/ofsted)

### HMRC

Apply for 30 hours code and Tax Free Childcare - [www.childcarechoices.gov.uk](http://www.childcarechoices.gov.uk)  
Customer Care Line: 0300 123 4097



[www.warwickshire.gov.uk](http://www.warwickshire.gov.uk)

[www.warwickshire.gov.uk/childcarecosts](http://www.warwickshire.gov.uk/childcarecosts)

## Childcare Choices

[www.childcarechoices.gov.uk](http://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 proprietor or 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 regularly in line with the settings policy/insurance on limits of cash onsite
- 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, committee members, trustees or directors
- 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 & Childcare Sustainability 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 Early Years 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 Funding 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 / trustees / directors for their review and approval



<i>Type of Organisation</i>	<i>Annual Accounts Requirement</i>
Private Providers and Independent Schools	<b>Independent</b> Audit
Unincorporated Associations	<b>Independent</b> Audit or accounts signed off by a <b>suitably qualified person</b>
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

## Parent / Guardian Declaration Form

FOR 2 YEAR OLD EARLY YEARS ENTITLEMENT(S) 2021/2022

For more details visit [www.warwickshire.gov.uk/childcarecosts](http://www.warwickshire.gov.uk/childcarecosts)



Please complete ALL parts of this form as appropriate  
(sections marked with \* are mandatory)

Only one form to be completed per  
academic year updated termly

*Provider Name: (Setting A)	
--------------------------------	--

Part 1 - Childs Details			
*Child's Legal First Name:	*Child's Legal Middle Name:	*Child's Legal Last Name:	Preferred Last Name:
*Address:			*Post Code:
*Child's Date of Birth (dd/mm/yyyy):			
*Gender:	Male <input type="checkbox"/> Female <input type="checkbox"/> Other – Please Specify:		
*Ethnicity – Put an 'X' in one box below			
White-British (WBRI)	<input type="checkbox"/>	Pakistani (APKN)	<input type="checkbox"/>
White - Irish (WIRI)	<input type="checkbox"/>	Bangladeshi (ABAN)	<input type="checkbox"/>
Traveller of Irish heritage (WIRT)	<input type="checkbox"/>	Any other Asian background (AOTH)	<input type="checkbox"/>
Any Other White Background (WOTH)	<input type="checkbox"/>	Black Caribbean (BCRB)	<input type="checkbox"/>
Gypsy/Roma (WROM)	<input type="checkbox"/>	Black - African (BAFR)	<input type="checkbox"/>
White and Black Caribbean (MWBC)	<input type="checkbox"/>	Any other Black background (BOTH)	<input type="checkbox"/>
White and Black African (MWBA)	<input type="checkbox"/>	Chinese (CHNE)	<input type="checkbox"/>
White and Asian (MWAS)	<input type="checkbox"/>	Any other ethnic group (OOTH)	<input type="checkbox"/>
Any other mixed background (MOTH)	<input type="checkbox"/>	Refused (REFU)	<input type="checkbox"/>
Indian (AIND)	<input type="checkbox"/>	Information not yet obtained (NOBT)	<input type="checkbox"/>

*\*Early years provider use only*

*Documentary proof of DOB: (e.g. Birth Certificate / Passport)	*Document recorded by: (Full name)	*Date Recorded: (dd/mm/yy)

2 Year EY Voucher code from emailed confirmation letter

*EY Voucher Code	*Start Date	*For provider Copy of confirmation letter / email taken
		YES <input type="checkbox"/> NO <input type="checkbox"/>

<b>Part 2 - Claim Details</b>								
<b>AUTUMN TERM – 14 Weeks funding (maximum 210 hours)</b>						<b>A</b>	<b>B</b>	<b>C</b>
Setting(s) Name List all settings your child attends (maximum of 2 in one day)	Funded hours used per day					Total number of hours per week (maximum equivalent of 15 hours over 38 weeks between all providers)	Number of weeks funded claimed per year: Term time: 38 weeks Stretched: up to 52 weeks	Provider use only Hours added to portal (A x B/38 = C)
A								
B								
C								
Total Daily Funded Hours								
Additional paid for hours – Setting A								

<b>SPRING TERM – 11 Weeks funding (maximum 165 hours)</b>							<b>A</b>	<b>B</b>	<b>C</b>
Setting(s) Name List all settings your child attends (maximum of 2 in one day)	Funded hours used per day					Total number of hours per week (maximum equivalent of 15 hours over 38 weeks between all providers)	Number of weeks funded claimed per year: Term time: 38 weeks Stretched: up to 52 weeks	Provider use only Hours added to portal (A x B/38 = C)	
									Mon
A									
B									
C									
Total Daily Funded Hours									
Additional paid for hours – Setting A									

<b>SUMMER TERM – 13 Weeks funding (maximum 195 hours)</b>							<b>A</b>	<b>B</b>	<b>C</b>
Setting(s) Name List all settings your child attends (maximum of 2 in one day)	Funded hours used per day					Total number of hours per week (maximum equivalent of 15 hours over 38 weeks between all providers)	Number of weeks funded claimed per year: Term time: 38 weeks Stretched: up to 52 weeks	Provider use only Hours added to portal (A x B/38 = C)	
									Mon
A									
B									
C									
Total Daily Funded Hours									
Additional paid for hours – Setting A									

### Part 3 – Terms, Parental Consent and Declaration

Please read all information before signing

#### **TERMS:**

WCC will fund eligible children for the 2 year funding entitlement for 570 hours. This equates to 15 hours per week for 38 weeks.

Children may take their entitlement over more than 38 weeks and up to 52 weeks if taking a stretched offer.

- A child will be eligible for the entitlement from **the term after** the child has reached the age of two
- The government's term dates used are:
  - Children born in the period 1<sup>st</sup> January to 31<sup>st</sup> March: the start of term beginning on or after **1st April** after the child's 2nd birthday
  - Children born in the period 1<sup>st</sup> April to 31<sup>st</sup> August: the start of term beginning on or after **1st September** after the child's 2nd birthday
  - Children born in the period 1<sup>st</sup> September to 31<sup>st</sup> December: the start of term beginning on or after **1st January** after the child's 2nd birthday
- The parent must show the confirmation email or letter from the Local Authority as evidence of their entitlement to their nursery provider before they can claim a funded place.
- The Local Authority will continue to fund a place, even if there is a change in circumstances, 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 aware of the nursery's admissions policy and understand the hours/sessions which can be taken as funded provision.
- The parent should have full details of the nursery's pricing tariff, in writing, for the additional services that should be paid for
- The parent should be given clear written information (invoice) to show how they have received their child's funded sessions
- The provider(s) where the child is in attendance on the Headcount Day, will receive the funding entitlement for the whole of the term.
- If a child leaves to attend another setting before or after Headcount Day, the providers should arrange to transfer a proportion of the funding to the other setting
- The funding for the term is calculated using the hours attended during Headcount week, the nursery will need to make arrangements with the funding office for any increased hours after this date
- 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 funding for and in the 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 the nursery will have to agree extended periods with the Early Years Funding office
- The parent should comply with any notice period requirement in line with the contract or agreement they have made with their nursery provider
- The parent must sign this form each term, 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

#### **Parent/Guardian Consent and 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 confirm that the Information I have provided can be shared with Warwickshire County Council and Department for Education, who will access information from other government departments to confirm my child's eligibility and enable this provider to claim the 2 Year funding entitlement
- I confirm that information may be shared to ensure effective safeguarding and promote the welfare and protection of children.
- I confirm that the provider named below can claim the 2 year old Early Years Entitlement on behalf of my child

\*Name of Provider:

TERM	Autumn	Spring	Summer
Name of Parent / Carer / Guardian with legal responsibility:			
Signature:			
Date:			

Providers Signature:			
Position:			
Date:			

**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.

**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](http://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](http://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.

## TO HAND TO PARENT/CARER

### 2 Year Old Early Years Entitlement Funding Terms and Parent/Carer Agreement

Warwickshire County Council's (WCC) terms to provide the Early Years Entitlement for eligible 2 year olds. It is important that the parent and the provider read it **BEFORE** signing the Parental Declaration Form (PDF) and the Early Years provider makes a funding claim on behalf of the child.

#### Terms of funding:

- 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 child will be eligible for the entitlement from **the term after** the child has reached the age of two
- The government's eligibility term dates are:
  - Children born in the period 1<sup>st</sup> January to 31<sup>st</sup> March: the start of term beginning on or after **1st April** after the child's 2<sup>nd</sup> birthday
  - Children born in the period 1<sup>st</sup> April to 31<sup>st</sup> August: the start of term beginning on or after **1st September** after the child's 2<sup>nd</sup> birthday
  - Children born in the period 1<sup>st</sup> September to 31<sup>st</sup> December: the start of term beginning on or after **1st January** after the child's 2<sup>nd</sup> birthday
- 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
- The Local Authority will continue to fund a place, even if there are a change of circumstances, 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
- The funding for the term is calculated using the hours attended during Headcount week, the nursery will need to make arrangements with the funding office for any increased hours after this date
- If a child becomes eligible for funding after Headcount Day, the provider must arrange to claim 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
- The parent must sign the parental Declaration Form (PDF) form each term, 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 childcare 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](http://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](http://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.**

The Information provided will be shared with Warwickshire County Council and Department for Education, who will access information from other government departments to confirm the child's eligibility and enable the provider to claim the 2 Year funding entitlement

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

## Parent / Guardian Declaration Form

FOR 3 & 4 YEAR OLDS EARLY YEARS ENTITLEMENT(S) 2021/2022

For more details visit [www.warwickshire.gov.uk/childcarecosts](http://www.warwickshire.gov.uk/childcarecosts)



Please complete ALL parts of this form as appropriate  
(sections marked with \* are mandatory)

Only one form to be completed per  
academic year updated termly

*Provider Name: (Setting A)	
--------------------------------	--

Part 1 - Childs Details			
*Child's Legal First Name:	*Child's Legal Middle Name:	*Child's Legal Last Name:	Preferred Last Name:
*Address:			*Post Code:
*Child's Date of Birth (dd/mm/yyyy):			
*Gender:	Male <input type="checkbox"/> Female <input type="checkbox"/> Other – Please Specify:		
*Ethnicity – Put an 'x' in one box below			
White-British (WBRI)	<input type="checkbox"/>	Pakistani (APKN)	<input type="checkbox"/>
White - Irish (WIRI)	<input type="checkbox"/>	Bangladeshi (ABAN)	<input type="checkbox"/>
Traveller of Irish heritage (WIRT)	<input type="checkbox"/>	Any other Asian background (AOTH)	<input type="checkbox"/>
Any Other White Background (WOTH)	<input type="checkbox"/>	Black Caribbean (BCRB)	<input type="checkbox"/>
Gypsy/Roma (WROM)	<input type="checkbox"/>	Black - African (BAFR)	<input type="checkbox"/>
White and Black Caribbean (MWBC)	<input type="checkbox"/>	Any other Black background (BOTH)	<input type="checkbox"/>
White and Black African (MWBA)	<input type="checkbox"/>	Chinese (CHNE)	<input type="checkbox"/>
White and Asian (MWAS)	<input type="checkbox"/>	Any other ethnic group (OOTH)	<input type="checkbox"/>
Any other mixed background (MOTH)	<input type="checkbox"/>	Refused (REFU)	<input type="checkbox"/>
Indian (AIND)	<input type="checkbox"/>	Information not yet obtained (NOBT)	<input type="checkbox"/>

*\*Early years provider use only*

*Documentary proof of DOB: (e.g. Birth Certificate / Passport)	*Document recorded by: (Full name)	*Date Recorded: (dd/mm/yy)

Additional information if you are claiming Extended 30 hours:

Parent / Carer Forename and Surname	Parent / Carer National Insurance Number:	30 Hour Eligibility Code (11 digit number starting with 500)



Part 2 – Claim Details									
AUTUMN TERM – 14 Weeks funding (maximum 210 /420 hours)							A	B	C
Setting(s) Name List all settings your child attends (maximum of 2 in one day)	Funded Hours Type Universal hours no code required Extended hours 30 hours code required	Funded hours used per day					Total number of hours per week (maximum equivalent of 15 Universal and 15 Extended over 38 weeks between all providers)	Number of weeks funding claimed per year: Term time only: 38 weeks Stretched: up to 52 weeks	Provider use only 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 paid for hours – Setting A									

SPRING TERM – 11 Weeks funding (maximum 165 /230 hours)									
SPRING TERM – 11 Weeks funding (maximum 165 /230 hours)							A	B	C
Setting(s) Name List all settings your child attends (maximum of 2 in one day)	Funded Hours Type Universal hours no code required Extended hours 30 hours code required	Funded hours used per day					Total number of hours per week (maximum equivalent of 15 Universal and 15 Extended over 38 weeks between all providers)	Number of weeks funding claimed per year: Term time only: 38 weeks Stretched: up to 52 weeks	Provider use only 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 paid for hours – Setting A									

SUMMER TERM – 13 Weeks funding (maximum 195 /390 hours)									
SUMMER TERM – 13 Weeks funding (maximum 195 /390 hours)							A	B	C
Setting(s) Name List all settings your child attends (maximum of 2 in one day)	Funded Hours Type Universal hours no code required Extended hours 30 hours code required	Funded hours used per day					Total number of hours per week (maximum equivalent of 15 Universal and 15 Extended over 38 weeks between all providers)	Number of weeks funding claimed per year: Term time only: 38 weeks Stretched: up to 52 weeks	Provider use only 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 paid for hours – Setting A									

**Part 3 – Additional Entitlement DAF and EYPP****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 as a fixed annual rate of £615 per eligible child per calendar year.

Please tick if your child is eligible for DLA YES  NO

**If you have ticked Yes, you must provide a copy of the DLA Award letter 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 DAF

\*Name of Provider:

**Early Years Pupil Premium (EYPP)**

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.

For more details visit: [www.warwickshire.gov.uk/childcarecosts](http://www.warwickshire.gov.uk/childcarecosts)

**Q1: Family Income and Benefits**

Is your gross household income below £16,190 and you are in receipt of benefits (not Working Tax credit) or

Is your Net income below £7,400 and you receive Universal Credits?

YES  NO

A claim for EYPP will not affect your claim for benefit or credits

**Q2. Other**

Has your child left local authority care through Adoption, Special Guardianship Order or Child Arrangement Order ?

Children Looked After by Warwickshire County Council will automatically have EYPP applied

YES  NO

If you have answered Yes, please provide a copy of the relevant order to your nursery provider

**If you have answered Yes to either Q1 or Q2 please complete the following section:**

*Parent / Carer Surname:	*Parent / Carer Forename:	*Parent / Carer Date of Birth:	*Parent / Carer National Insurance No or NASS Reg No:
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Part 4 – Terms, Parental Consent and Declaration** | Please read all information before signing**TERMS**

WCC will fund eligible children for the Universal and Extended entitlements for 570 Universal or 1140 Extended hours per year. This equates to 15 Universal hours per week and 15 Extended hours (if eligible) for 38 weeks. Children may take their entitlement over more than 38 weeks and up to 52 weeks if taking a stretched offer.

- A child will be eligible for the Universal and Extended entitlement **from the term after** the child has reached the age of 3
- The government's term dates used are:
  - Children born in the period 1<sup>st</sup> January to 31<sup>st</sup> March: the start of term beginning on or after **1st April** after the child's 3<sup>rd</sup> birthday
  - Children born in the period 1<sup>st</sup> April to 31<sup>st</sup> August: the start of term beginning on or after **1st September** after the child's 3<sup>rd</sup> birthday
  - Children born in the period 1<sup>st</sup> September to 31<sup>st</sup> December: the start of term beginning on or after **1st January** after the child's 3<sup>rd</sup> birthday
- If a child is claiming the Extended 30 hours, they must also have a 30 hour code issued by HMRC with a validity start date the term **before** they wish to claim funding in line with the term dates above
- The parent **must** re-confirm the code every 3 months with HMRC
- The Local Authority will continue to fund a place if the code expires until the end of the code's Grace Period
- If the parent no longer meets the eligibility criteria for Extended hours or has not re-confirmed their code before 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 Early Years Entitlement 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 aware of the nursery's admissions policy and understand the hours/sessions which can be taken as funded provision.
- The parent should have full details of the nursery's pricing tariff, in writing, for the additional services that should be paid for
- The parent should be given clear written information (invoice) to show how they have received their child's funded sessions

- The provider(s) where the child is in attendance on the Headcount Day, will receive the funding entitlement for the whole of the term.
- 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, funding will not automatically be passed to the new provider. An agreement must be made between providers to transfer any funding if they agree.
- The funding for the term is calculated using the hours attended during Headcount week, funded hours cannot usually be increased after this date
- The parent must make sure that their child attends the hours/sessions that they are claiming funding for and in the 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 the nursery will have to agree extended periods with the Early Years Funding office
- The parent should comply with any notice period requirement in line with the contract or agreement they have made with their nursery provider
- The parent must sign this form each term, 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

**Parent/Guardian Consent and 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 confirm that the Information I have provided can be shared with Warwickshire County Council 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
- I confirm that information may be shared to ensure effective safeguarding and promote the welfare and protection of children.
- I confirm that the provider named below can claim the Early Years Entitlements on behalf of my child

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

TERM	Autumn	Spring	Summer
Name of Parent / Carer / Guardian with legal responsibility:			
Signature:			
Date:			

Providers Signature:			
Position:			
Date:			

**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.

**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](http://www.warwickshire.gov.uk/childcarecosts)  
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## TO HAND TO PARENTS/CARERS

### 3 & 4 Year old Early Years Entitlements Funding Terms and Parent/Carer Agreement

Warwickshire County Council's (WCC) terms to provide the Early Years Entitlements for eligible 3 & 4 year olds. It is important that the parent and the provider read it **BEFORE** signing the Parental Declaration Form (PDF) and the Early Years provider makes a funding claim on behalf of the child.

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. This equates to 15 hours per week for 38 weeks for each entitlement.

Children may take their entitlement over more than 38 weeks and up to 52 weeks of the year if taking a stretched offer. This can be outside of maintained school term times and at weekends.

#### Terms of Funding:

- A child will be eligible for the Universal and Extended entitlement from **the term after** the child has reached the age of three.
- A child will be eligible for the Extended entitlement from **the term after** The child has attained the age of three and the parent has an eligible 30 hour code from HMRC
- The government's term dates used are:
  - Children born in the period 1<sup>st</sup> January to 31<sup>st</sup> March: the start of term beginning on or after **1st April** after the child's 3<sup>rd</sup> birthday
  - Children born in the period 1<sup>st</sup> April to 31<sup>st</sup> August: the start of term beginning on or after **1st September** after the child's 3<sup>rd</sup> birthday
  - Children born in the period 1<sup>st</sup> September to 31<sup>st</sup> December: the start of term beginning on or after **1st January** after the child's 3<sup>rd</sup> birthday
- If a child is claiming the Extended 30 hours, they must also have a 30 hour code issued by HMRC with a validity start date the term **before** they wish to claim funding, in line with the term dates above
- The parent **must** re-confirm their 30 hour code every 3 months with HMRC
- 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
- If the parent no longer meets the eligibility criteria for Extended 30 hours funding after the grace period has ended or if they do not re-confirm the code, they can continue to take up the child's Universal 15 hours entitlement at the provider of their choice as stated on the Parental Declaration Form (PDF)
- The Early Years Entitlement funded place should be delivered free of charge without paying 'top up' fees or registration fees as a condition of their funded place
- The parent must pay for any additional services provided which are not covered by the entitlements. Parents should be aware of the nursery's admissions policy and understand the hours/sessions which can be taken as funded provision

- 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 can only be increased after this date for exceptional circumstances
- 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
- The parent must sign the Parental Declaration Form (PDF) each term, any changes to the details in the 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](http://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](http://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.**

Information can be shared with Warwickshire County Council and Department for Education, who will access information from other government departments to confirm a child's eligibility and enable the provider to claim 30 Hours Funding, Early Years Pupil Premium (EYPP) or Disability Access Fund

# Early Years Provider Agreement 2021/22 – Annex C



Name of Setting:	
Name & Position of Main Contact:	
Full Address of Setting:	
Ofsted URN:	
Setting Telephone Number*:	
Setting Mobile Contact Number**:	
Contact Email Address*:	
<i>*This will be used as the main contact for the setting for ALL communications by: Early Years Funding Team, Early Years Business Support, Early Years Advisory Team and FIS. ** The mobile number will be used for deadline reminders, updates and for out of hours emergency contact.</i>	
<p><b>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.</b></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><b>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.</b></p>	

# Warwickshire County Council Provider Agreement

**Funded Early Years and Childcare  
Provision**

**September 2021 – August 2022**

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## Section 1: Overview

**COVID-19 Pandemic – Warwickshire County Council implemented some temporary changes in 2020 / 21 to the usual interim funding processes in response to the pandemic situation to aid financial planning and cash flow for providers. The changes to interim funding payments and the additional termly adjustment payment process for each term will remain for this academic year while the market rebalances and responds to any business changes and impacts.**

**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, 2021' 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 education 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 2021 to 31 August 2022, 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 two 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 2021
- Statutory framework for the early years foundation stage 2021
- 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 in Sections 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, 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 Partnership. 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 Warwickshire County Council's Education Services privacy notice at [www.warwickshire.gov.uk/childcarecosts](http://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 education 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 Warwickshire County Council's Guidance and Requirements of Early Education Funding for 2, 3 & 4 year olds.
- 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 Warwickshire County Council Funding Guidance.

**Table A:**

<b>Date Parent receives ineligible decision on reconfirmation:</b>	<b>LA audit date:</b>	<b>Grace Period End date:</b>
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 or do not reconfirm the code by the end date, which is usually within a 3 month period. 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 (ECS). 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 Provider 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:
- Local authorities and Providers
  - Providers working with other Providers, including childminders and schools
  - Providers and parents
  - 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 ("SENDCo"), 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 SENDCo specific to the setting and based on site.

There must be regular professional development for the setting SENDCo and other staff to meet the needs of children with SEND. It is expected that Providers will regularly attend SENDCo 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 (PDF) 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 via the Synergy Provider Portal.
- 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 inspectorates 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 with regards to:
- 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 Warwickshire County Council's Guidance and Requirements of Early Education Funding for 2, 3 & 4 year olds, 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 Warwickshire County Council's Guidance and Requirements of Early Education Funding for 2, 3 & 4 year olds.
- 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, including Parental Declaration Forms (PDFs), 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 that 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 Guidance and Requirements of Early Education Funding for 2, 3 & 4 year olds. 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 Provider Portal and all Providers should refer to the Guidance and Requirements of Early Education Funding for 2, 3 & 4 year olds 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 Termly Information Letter containing:

- Term dates
- Interim Payment dates
- Headcount Day
- Estimate submission deadline date
- 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 the term using the estimated termly hours entered in 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 the term using the estimated termly hours entered in 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 the other Provider(s) that the child attends, to agree between themselves any transfer of the proportionate amount of funding.

Adjustments to the termly Headcount should be made via the Adjustment Form that is emailed to Providers. This must be completed with the details of any children who meet the criteria of allowed adjustments and returned by the deadline given in the Termly Information Letter.

The following are the categories where adjustments may be made after the termly Headcount:

- A house move into the area for the child or parent
- If the child's primary carer changes resulting in the need to change setting
- Where a sibling moves school and the child needs to move to attend adjacent/nearby nursery provision
- Military family posted in / out of the area
- Child protection and safeguarding reasons
- Where the child has not previously taken up a place and is a new starter eligible for funding
- Family requirements change and funded hours need to be increased e.g. change in parents working patterns

## **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 Guidance and Requirements of Early Education Funding for 2, 3 & 4 year olds.
- 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 Guidance and Requirements of Early Education Funding for 2, 3 & 4 year olds, 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 Lead Commissioner for the Early Years & Childcare Entitlements, Sufficiency & Business 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 Lead Commissioner for the Early Years & Childcare Entitlements, Sufficiency & Business 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](http://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.

**All sections of the below table must be completed**

Setting Ofsted or Childminder Agency Grading:	Inspection Date:		
<b>Early Education Funding to be offered</b> <i>(Please tick relevant boxes and note requirements)</i>		<b>Yes</b>	<b>No</b>
<b>2 Year Old Funding</b> <i>(Good / Outstanding providers only or newly registered without grading)</i>		<input type="checkbox"/>	<input type="checkbox"/>
<b>3 &amp; 4 Year Old Funding - Universal Entitlement</b> <i>(Requires Improvement / Good / Outstanding providers only or newly registered without grading)</i>		<input type="checkbox"/>	<input type="checkbox"/>
<b>3 &amp; 4 Year Old Funding – Extended Entitlement</b> <i>(Requires Improvement / Good / Outstanding providers or newly registered without grading)</i>		<input type="checkbox"/>	<input type="checkbox"/>

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. For providers of all delivery types that offer funded 2 year old places, provider details and contact information will be included within delivery lists that are shared with eligible families.

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 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



Early Years & Childcare Sustainability Officer  
Warwickshire County Council  
Early Years & Childcare Entitlements, Sufficiency & Business Team  
Saltsford Office Park  
Ansell Way  
Warwick  
CV34 4UL

Telephone: - 01926 742633  
Email: - [earlyyears@warwickshire.gov.uk](mailto:earlyyears@warwickshire.gov.uk)

Dear

As you are aware, all providers registered to receive Early Education Funding for 2, 3 and 4 year olds, 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 such as the Owner, or a member of the management committee alongside the setting manager, where applicable.

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 Business Health Check and Audit form, which will be completed by the Early Years & Childcare Sustainability 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'.

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 (maintained school run provision).
- Lease, Licence or rental agreement.
- Evidence of business planning.

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Warwickshire*

- Evidence of cash flow forecasting (preferably 3 years).
- Procedure for record management.
- Fee collection procedure.
- 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*):

- Completed and signed 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.

Business Health Check and Audits form part of the Early Education Funding Provider Agreement conditions.

If you have any queries, please contact your Early Years & Childcare Sustainability Officer on the above number.

Yours sincerely,

*Mandy Latham*

**Mandy Latham**  
Early Years & Childcare Entitlements, Sufficiency & Business Lead  
Commissioner

*Working for  
Warwickshire*

# 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			Copy Seen <input type="checkbox"/> YES <input type="checkbox"/> NO Agreed Actions:		
Legal Status (VMC / Co. Ltd by Guarantee / Sole Trader/Community Facility Powers/Social Enterprise / CIO). • Names and contacts of key officers		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 <u>For</u> Profit <input type="checkbox"/> Private – Limited <input type="checkbox"/> Company Number:		Comments: Agreed Actions:	

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"> <li>Accommodation type and condition</li> <li>Projects planned?</li> </ul>		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. <b>Comments:</b>		<input type="checkbox"/> YES <input type="checkbox"/> NO	
Procedure for record managements and retention of business and financial documents (7 years)? <b>Comments:</b>		<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: -**



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

Early Education Funding Audit – Child Samples					
Child's Initials	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 Early Years & Childcare Sustainability 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 Early Years & Childcare Sustainability Officer:**

**Date:**

**Signature:**

# Business - Audit ONLY– Annex G

**WARWICKSHIRE COUNTY COUNCIL  
EARLY EDUCATION FUNDING AUDIT**

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



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



Early Education Funding Audit – Child Samples				
Child's Initials	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 Early Years & Childcare Sustainability 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 Early Years & Childcare Sustainability Officer:**

**Date:**

**Signature:**

# Health Check and Audit Action Plan – Annex H

*Working for Warwickshire*

## 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:			
Early Years & Childcare Sustainability Officer (EY&CSO): -			
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>			

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

# Health Check and Audit Final Reminder Letter – Annex I



Communities Group

Mandy Latham  
Early Years & Childcare Entitlements,  
Sufficiency & Business Lead  
Commissioner  
Education Services  
Saltisford Office Park  
Ansell Way  
Warwick  
CV34 4UL  
Tel: 01926 742216  
[mandylatham@warwickshire.gov.uk](mailto:mandylatham@warwickshire.gov.uk)  
[www.warwickshire.gov.uk](http://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 & Childcare Sustainability| 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**  
Early Years & Childcare Entitlements, Sufficiency & Business Lead Commissioner

*Working for  
Warwickshire*



# Business Support Team Record of Meeting – Annex J



## Business Support Team RECORD OF MEETING

CONFIDENTIAL TO: The Setting and the Communities Group



<p><b>Name &amp; Role of LA Personnel:</b></p> <p><b>Date of Meeting:</b></p> <p><b>Type of Meeting (<i>In person/Virtual</i>):</b></p> <p><b>Time in Meeting:</b></p>	
<p><b>Name &amp; Address of setting:</b></p> <p><b>Telephone No:</b></p> <p><b>Email:</b></p> <p><b>Owners:</b></p>	
<p><b>Date of last Ofsted inspection:</b></p>	
<p><b>Outcomes of last Ofsted inspection:</b></p>	
<p><u>Reason for Visit</u></p>	

Agreed actions		
What?	Who?	By When?

<b>Date next visit:</b>
-------------------------

# 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

<b>Name and role of LA Personnel:</b> <b>Date of visit:</b> <b>Time in Setting:</b>	
<b>Name and Address of setting:</b>  <b>Telephone:</b>  <b>E-mail:</b>  <b>EY Number:</b>	
<b>Date of last Ofsted inspection:</b>	<b>Outcome of last Ofsted inspection:</b>
<b>Ofsted Inspection Action Points</b>  <ul style="list-style-type: none"> <li>•</li> </ul>	<b>Progress towards Ofsted actions</b>

<b>Actions from previous meeting:</b>

<b>Focus of this visit:</b>
<b>Summary of discussion</b>

Actions		
What?	Who?	By When?
•		
•		
•		
<b>Date and focus of next visit:</b>		

For office use:

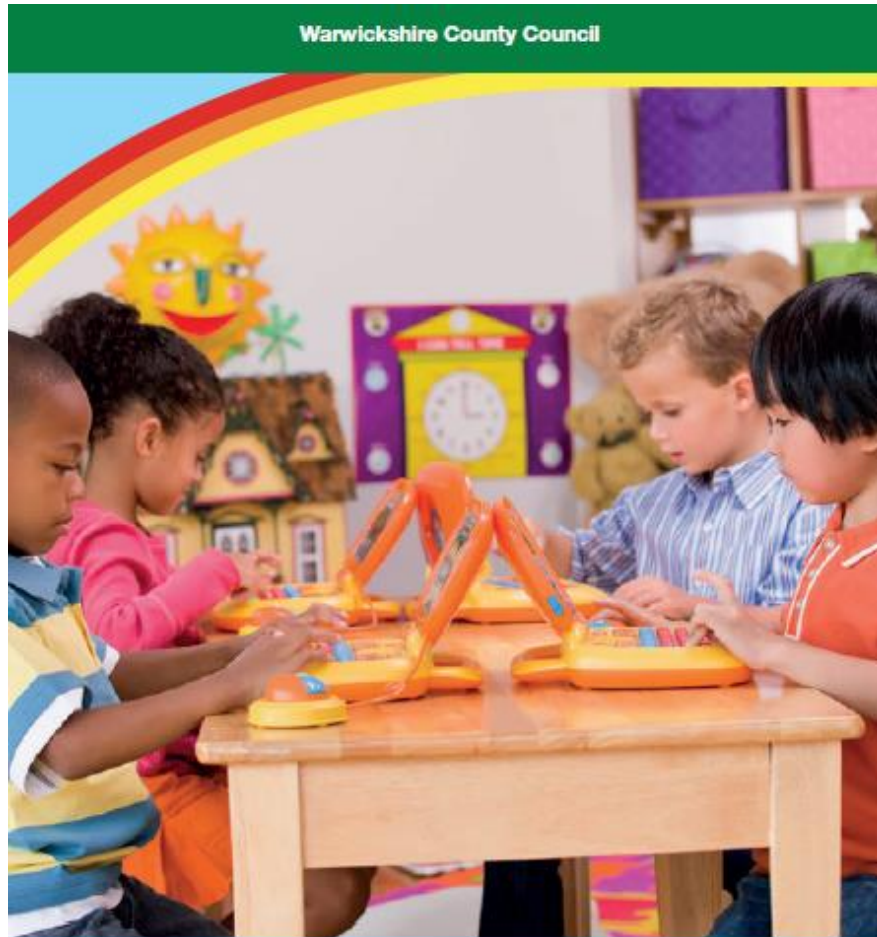
**Privacy Summary**

***We will treat all information you provide confidential and treat it in accordance with General Data Protection Regulations.***

**How this record is shared:**

- *A copy of the record will be issued to the setting.*
- *A copy of the record will also be shared with the following officers:*
  - **Mandy Latham - Interim Senior Officer Early Years Sufficiency & Business Support**
  - **Amanda King - Strategic Lead; Early Years**
  - **Sonia Waszczak - Early Years and Safeguarding Advisory Teacher**
- *For administrative purposes the record is uploaded to Warwickshire County Council Nexus system and can be viewed by members of the Early Years and Education Senior Leadership within the Communities Directorate.*

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



## 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 3<sup>rd</sup> 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](http://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](http://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](http://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](http://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](http://www.childcarechoices.gov.uk)



# 2 Year Funding Leaflet – Annex M

## 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](http://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](mailto:2help@warwickshire.gov.uk)

or FIS (Family Information Service)

Tel: 01926 742274

Email: [fis@warwickshire.gov.uk](mailto: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](http://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.



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 dependent adult), if your 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
- Claimed asylum in the UK and are waiting for a decision (known as 'part 6') or been refused asylum in the UK (known as 'section 4') and are getting support under the Immigration and Asylum Act 1999
- Receiving support under Section 17 of the Children Act 1989 because you have a child in need and no recourse to public funds (NRPF), with an annual net earned income of less than £15,400

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)

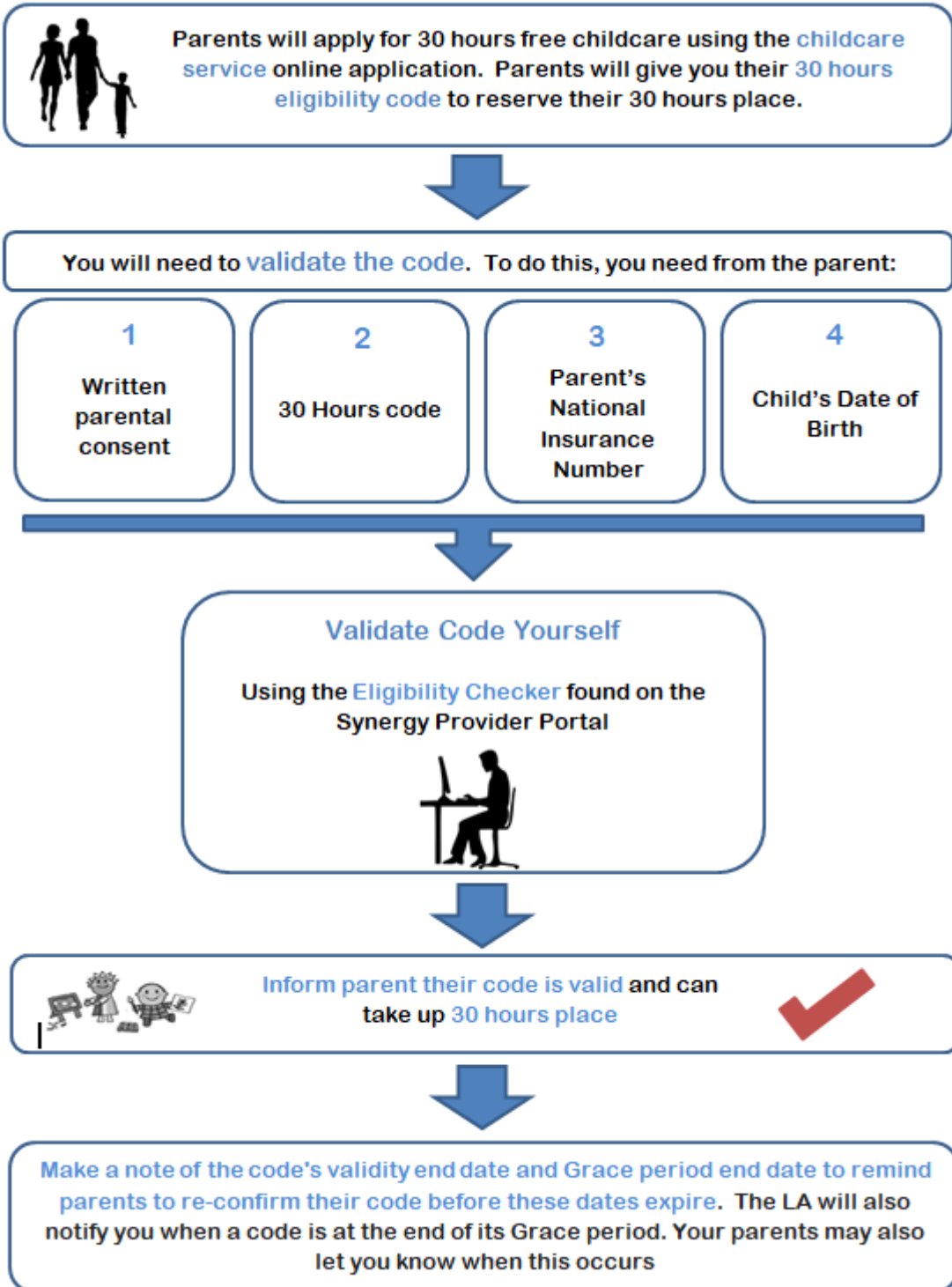






# 30 Hours How to Apply – Annex O

## Appendix A: Providers verifying 30 hours eligibility codes



# Stretched Funding Guidance – Annex P

## Communities Group

### EARLY EDUCATION FUNDING – STRETCHED OFFER GUIDANCE

#### Stretching funded hours

- 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)
- There is no requirement on any individual provider to deliver a stretched offer and parents do not have the right to demand one.
- There are advantages and disadvantages of stretching – some entitlement may be lost by providers or parents or both – see **other considerations** below.
- Maximum funded hours available 570 or 1140 (38 weeks x 15/30 hours). Maximum weekly funded hours available 15/30.
- 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)
- Settings can only stretch funded hours over their published opening hours and weeks e.g. 48, 50 or 51 weeks.

#### Stretching process and examples

- 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 3<sup>rd</sup> 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 Early Years 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:

**Early Years Funding Team:**

3 & 4 Year funding - 01926 742233

2 Year funding - 01926 742218

[eyfunding@warwickshire.gov.uk](mailto:eyfunding@warwickshire.gov.uk)

**Early Years & Childcare Sustainability Team:**

Jessica Holderness - 01926 742995 |

[earlyyears@warwickshire.gov.uk](mailto:earlyyears@warwickshire.gov.uk)

***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.*

WEEKS PER YEAR	HOURS PER WEEK	2	3	4	5	6	7	8	9	10	11	12	13	14	15
	38	78	114	152	190	228	266	304	342	380	418	456	494	532	570
	39	78	117	156	195	234	273	312	351	390	429	468	507	546	585
	40	80	120	160	200	240	280	320	360	400	440	480	520	560	600
	41	82	123	164	205	246	287	328	369	410	451	492	533	574	615
	42	84	126	168	210	252	294	336	378	420	462	504	546	588	630
	43	86	129	172	215	258	301	344	387	430	473	516	559	602	645
	44	88	132	176	220	264	308	352	396	440	484	528	572	616	660
	45	90	135	180	225	270	315	360	405	450	495	540	585	630	675
	46	92	138	184	230	276	322	368	414	460	506	552	598	644	690
	47	94	141	188	235	282	329	376	423	470	517	564	611	658	705
	48	96	144	192	240	288	336	384	432	480	528	576	624	672	720
	49	98	147	196	245	294	343	392	441	490	539	588	637	686	735
	50	100	150	200	250	300	350	400	450	500	550	600	650	700	750
	51	102	153	204	255	306	357	408	459	510	561	612	663	714	765
	52	104	156	208	260	312	364	416	468	520	572	624	676	728	780

WEEKS PER YEAR	HOURS PER WEEK	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30
	38	608	646	684	722	760	798	836	874	912	950	988	1026	1064	1102	1140
	39	624	663	702	741	780	819	858	897	936	975	1014	1053	1092	1131	
	40	640	680	720	760	800	840	880	920	960	1000	1040	1080	1120		
	41	656	697	738	779	820	861	902	943	984	1025	1066	1107			
	42	672	714	756	798	840	882	924	966	1008	1050	1092	1134			
	43	688	731	774	817	860	903	946	989	1032	1075	1118				
	44	704	748	792	836	880	924	968	1012	1056	1100					
	45	720	765	810	855	900	945	990	1035	1080	1125					
	46	736	782	828	874	920	966	1012	1058	1104						
	47	752	799	846	893	940	987	1034	1081	1128						
	48	768	816	864	912	960	1008	1056	1104							
	49	784	833	882	931	980	1029	1078	1127							
	50	800	850	900	950	1000	1050	1100								
51	816	867	918	969	1020	1071	1122									
52	832	884	936	988	1040	1092										

# Tax Free Childcare Leaflet – Annex Q

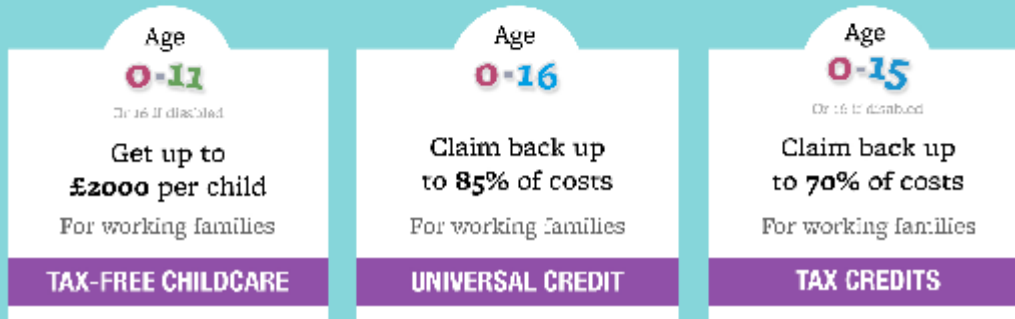


## HELP PAYING FOR CHILDCARE



### MONEY TOWARDS CHILDCARE

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



AVAILABLE IN UK

... **can** be used with

### FREE HOURS OF CHILDCARE



AVAILABLE IN ENGLAND  
For offers in Wales, Scotland and Northern Ireland check [childcarechoices.gov.uk](http://childcarechoices.gov.uk)  
Speak to your provider about any additional charges that may apply

For full details visit

[childcarechoices.gov.uk](http://childcarechoices.gov.uk)

Getting childcare vouchers?

Go to GOV.UK to find out more

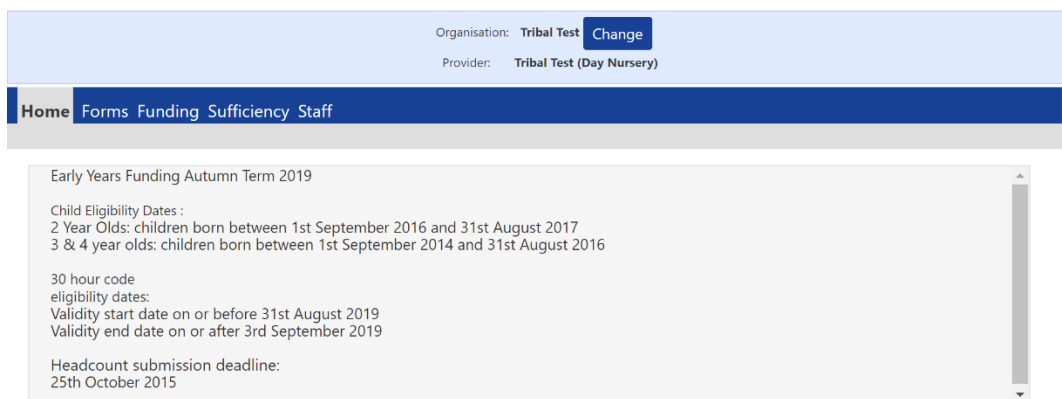


# Synergy Provider Portal – Estimates Funding Process – Annex R

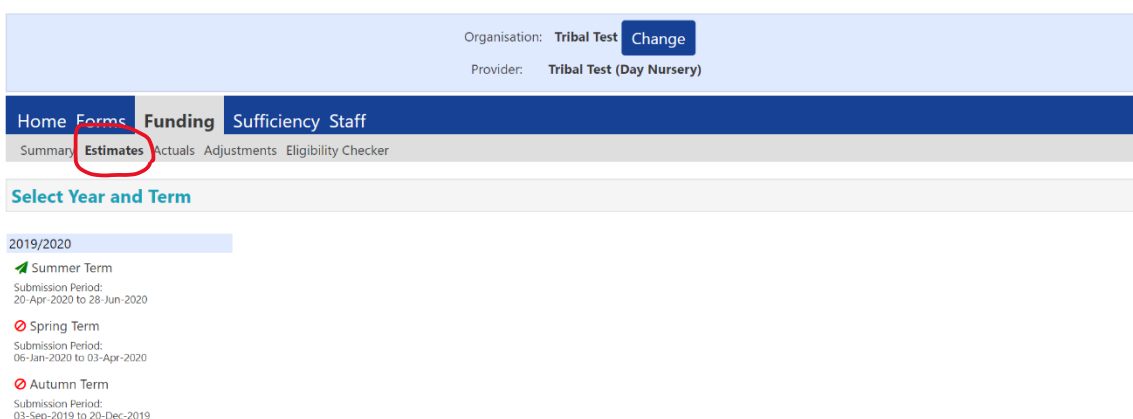
## Early Years Funding Interim Payment calculation for the Academic Year 2021/2022

To enable us to make accurate interim payments, for the academic year 2021/2022 following the COVID-19 pandemic, we will be using the Estimates tab on the Synergy Provider Portal to obtain provider's estimate hours to calculate the Interim Payments.

1. To enter your estimated hours, you will need to sign in to the Synergy Provider Portal in the usual way as if you were entering your Headcount.



2. Select the Funding tab and the Estimates tab will show as an option as seen below:



3. Select the correct term - it will have a green arrow next to it (this example uses the Summer term):

Organisation: Tribal Test [Change](#)  
 Provider: Tribal Test (Day Nursery)

[Home](#) [Forms](#) [Funding](#) [Sufficiency Staff](#)

Summary [Estimates](#) [Actuals](#) [Adjustments](#) [Eligibility Checker](#)

**Estimates Head Count Records for 2019/2020 - Summer Term**

2019/2020	Funding Type	Office use only	
		Ready To Process	Processed
Summer Term Submission Period: 29-Apr-2020 to 28-Jun-2020 Spring Term Submission Period: 06-Jan-2020 to 03-Apr-2020 Autumn Term Submission Period: 03-Sep-2019 to 20-Dec-2019	3 & 4 Year Olds 3		

The following page will appear:

Organisation: Tribal Test [Change](#)  
 Provider: Tribal Test (Day Nursery)

[Home](#) [Forms](#) [Funding](#) [Sufficiency Staff](#)

Summary [Estimates](#) [Actuals](#) [Adjustments](#) [Eligibility Checker](#)

**Submit Estimate: 2019/2020 Summer Term - 3 & 4 Year Olds 3** [CHANGE](#)

Number of Weeks for this Term   
 Estimate Number of Funded Hours Per Week for this Term   
 Please enter both numbers, click 'Calculate', then 'Send Claim'

[Calculate](#) [Send Claim](#)

4. Enter the total number of weekly hours that you are expecting to be claiming for\*. This is calculated by working out how many children you are expecting multiplied by the number of hours that they are expecting to be claiming for (Universal hours and Extended hours will need to be added together).

Examples:

a. If you are expecting to have 10 children attending your setting all for 15 hours you will need to enter:  
 $10 \times 15 = 150$  hours to enter as you weekly hours

(10 children claiming 30 hours (15 universal and 15 extended) = **300** hours to enter

Or

b. 10 children expected to attend of which there are **5 attending 15 hours, 3 at 10 hours and 2 at 6 hours**, you would enter:

$5 \times 15 = 75$

$3 \times 10 = 30$

$2 \times 6 = 12$

Total weekly hours to enter:  $75 + 30 + 12 = 117$

## \*Maintained Nursery Class or School

Note: If you also have a governor run (s27) setting for children that are not within your class numbers (PAN), you will need to calculate each provision separately and add the numbers to the correct setting on the Synergy Provider Portal. The Governor run (s27) setting will have 'SFGR' annotated in its name.

The hours entered in the example below are for 150 weekly hours.

You then need to click on the 'Calculate' button and this will give you the number of termly hours your interim payment will be based on.

Organisation: Tribal Test [Change](#)  
Provider: Tribal Test (Day Nursery)

Home Forms **Funding** Sufficiency Staff

Summary **Estimates** Actuals Adjustments Eligibility Checker

Submit Estimate: 2019/2020 Summer Term - 3 & 4 Year Olds 3 [CHANGE](#)

Number of Weeks for this Term   
Estimate Number of Funded Hours Per Week for this Term  There are 1,950.00 Hours in this Term  
Please enter both numbers, click 'Calculate', then 'Send Claim'

5. Click on the 'Send Claim' button. Make sure that you see the green box with Submission Successful, before you leave the page:

Organisation: Tribal Test [Change](#)  
Provider: Tribal Test (Day Nursery)

Home Forms **Funding** Sufficiency Staff

Summary **Estimates** Actuals Adjustments Eligibility Checker

Submission Successful

Submit Estimate: 2019/2020 Summer Term - 3 & 4 Year Olds 3 [CHANGE](#)

Number of Weeks for this Term   
Estimate Number of Funded Hours Per Week for this Term  There are 1,950.00 Hours in this Term  
Please enter both numbers, click 'Calculate', then 'Send Claim'

Once your claim has been sent successfully, the Early Years Funding Team will check the details and accept your claim.

Your interim payment will be based on 70% of the calculated termly hours at the funding rate.

For this example:

1,950 termly hours (see above) multiplied by the funding rate (£4.09) x 70%

Please make sure that your claim is submitted within the timescales issued on the Termly Information Letter to avoid a delay in receiving your Interim payment.

If you have any queries, with this process, please contact the Early Years Funding Team at [eyfunding@warwickshire.gov.uk](mailto:eyfunding@warwickshire.gov.uk)