



NOTTINGHAM CITY COUNCIL
EXECUTIVE BOARD

Date: Tuesday, 21 February 2017

Time: 2.00 pm

Place: Ground Floor Committee Room - Loxley House, Station Street, Nottingham,
NG2 3NG

Councillors are requested to attend the above meeting to transact the following business

Corporate Director for Strategy and Resources

Governance Officer: James Welbourn, Constitutional Services
Direct Dial: 0115 8763288

AGENDA

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| 2 | DECLARATIONS OF INTERESTS | |
| 3 | MINUTES
Last meeting held on 17 January (for confirmation). | 3 - 6 |
| 4 | SCHOOL ADMISSION ARRANGEMENTS 2018/19 FOR COMMUNITY SCHOOLS - KEY DECISION
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| 6 | TREASURY MANAGEMENT 2017/18 STRATEGY
Report of Deputy Leader/Portfolio Holder for Resources and Neighbourhood Regeneration | 89 - 120 |
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ALL ITEMS LISTED 'UNDER EXCLUSION OF THE PUBLIC' WILL BE HEARD IN PRIVATE FOR THE REASONS LISTED IN THE AGENDA PAPERS. THEY HAVE BEEN INCLUDED ON THE AGENDA AS NO REPRESENTATIONS AGAINST HEARING THE ITEMS IN PRIVATE WERE RECEIVED

IF YOU NEED ANY ADVICE ON DECLARING AN INTEREST IN ANY ITEM ON THE AGENDA, PLEASE CONTACT THE GOVERNANCE OFFICER SHOWN ABOVE, IF POSSIBLE BEFORE THE DAY OF THE MEETING

CITIZENS ATTENDING MEETINGS ARE ASKED TO ARRIVE AT LEAST 15 MINUTES BEFORE THE START OF THE MEETING TO BE ISSUED WITH VISITOR BADGES

CITIZENS ARE ADVISED THAT THIS MEETING MAY BE RECORDED BY MEMBERS OF THE PUBLIC. ANY RECORDING OR REPORTING ON THIS MEETING SHOULD TAKE PLACE IN ACCORDANCE WITH THE COUNCIL'S POLICY ON RECORDING AND REPORTING ON PUBLIC MEETINGS, WHICH IS AVAILABLE AT WWW.NOTTINGHAMCITY.GOV.UK. INDIVIDUALS INTENDING TO RECORD THE MEETING ARE ASKED TO NOTIFY THE GOVERNANCE OFFICER SHOWN ABOVE IN ADVANCE.

NOTTINGHAM CITY COUNCIL

EXECUTIVE BOARD

MINUTES of the meeting held at Ground Floor Committee Room - Loxley House, Station Street, Nottingham, NG2 3NG on 17 January 2017 from 14.00 - 14.05

Membership

Present

Councillor Graham Chapman (Vice Chair)
Councillor Alan Clark
Councillor Jon Collins (Chair)
Councillor Nicola Heaton
Councillor Nick McDonald (from item 66)
Councillor David Mellen (from item 65)
Councillor Dave Trimble (from item 66)
Councillor Sam Webster

Absent

Councillor Alex Norris
Councillor Jane Urquhart

Colleagues, partners and others in attendance:

David Bishop	- Deputy Chief Executive/Corporate Director for Development and Growth
Candida Brudenell	- Corporate Director for Resources and Strategy /Assistant Chief Executive
Ian Curryer	- Chief Executive
Alison Michalska	- Corporate Director for Children and Adults
Glen O'Connell	- Corporate Director for Resilience
Paul Seddon	- Chief Planner
Gordon Thomson	- Director of Waste, Energy and Highways
Keri Usherwood	- Marketing and Communications Manager
Adam Volz	- Labour Group Assistant
Geoff Walker	- Director of Strategic Finance
James Welbourn	- Governance Officer

Call-in

Unless stated otherwise, all decisions are subject to call-in and cannot be implemented until **27 January 2017**.

62 APOLOGIES FOR ABSENCE

Councillor Alex Norris	-	work commitments
Councillor Jane Urquhart	-	work commitments

63 DECLARATIONS OF INTERESTS

None.

64 MINUTES

The minutes of the meeting held on 20 December 2016 were agreed as a true record and signed by the Chair.

65 DIGITAL MEDIA STRATEGY

The Portfolio Holder for Planning and Housing had given her apologies, so the Portfolio Holder for Energy and Sustainability introduced the Digital Media Strategy.

The Digital Media Planning Statement identifies possible first phase locations for digital screens in the City Centre, as well as setting out the matters to be considered when siting large digital screens in Nottingham.

RESOLVED to:

- (1) adopt the City Centre Digital Media Planning Statement as appended to the report in the agenda pack;**
- (2) support in principle the first phase locations for digital screens;**
- (3) establish a Nottingham Digital Advertising Forum.**

Reasons for Decisions

The Planning Statement will provide guidance to ensure that planning decisions on large digital screens can be made in a consistent and informed manner.

Other Options Considered

Not producing a Statement was rejected as digital media is increasingly being used for public advertising and communication, and guidance is required to allow applications for advertisement consent to be considered appropriately.

66 COUNCIL TAX - DETERMINATION OF THE 2017/18 TAX BASE

The Deputy Leader/Portfolio Holder for Resources introduced a report setting out the process and calculations to determine the Council Tax base for 2017/18 in accordance with the Local Authorities (Calculation of Council Tax Base) Regulations 2012. Council Tax revenue funds service delivery.

RESOLVED to:

- (1) approve a tax base of 63,368 for 2017/18;**
- (2) agree that a collection rate of 96.6% be used in the determination of the 2017/18 tax base.**

Reasons for Decisions

To enable the Council to estimate future changes to the current tax base during 2017/18 and apply an appropriate anticipated collection rate for the period, which takes into account collection trends and the prevailing economic environment so that the tax base figure can be set and used by the City Council and precepting authorities (i.e. Police and Fire Authorities) in their budget processes in February 2017 to determine the level of Council Tax for 2017/18.

Other Options Considered

None, as the Council is legally required to set a Council Tax base using objective calculations.

67 RENEWING THE NOTTINGHAM AND DERBY HIGHWAY FRAMEWORK CONTRACT

The Portfolio Holder for Business, Growth and Transport introduced a report outlining the renewal of the Nottingham and Derby Highway Framework Contract.

The existing contract will expire in July 2017 – the recommended procurement strategy to deliver highway improvement schemes for a four-year period between 2017 and 2021 is through procuring a multi-supplier Highways Framework Agreement.

RESOLVED to:

- (1) approve the procurement of a replacement Highways Framework Agreement in-line with Public Procurement Regulation 2015, in partnership with Derby City Council;**
- (2) delegate authority to both the Director of Energy, Waste and Highways and the Director of Traffic and Transport to call off contracts under the Highways Framework Agreement up to the value of £999,999.**

Reasons for Decisions

The Authority adopts a mixed approach to the delivery of highway work which utilises the Council's own skilled workforce and fully supports the City Council's ambitious commercialisation agenda.

Renewing the Highway Framework in partnership with Derby City Council results in the following advantages:

Renewing the Highway Framework in partnership with Derby City Council will result in the following advantages;

- Economies of scale by producing the contract in partnership with Derby City Council.
- A value-for-money delivery model with no fixed financial commitment to use the framework.
- Opportunities for local Small to Medium Enterprise (SME) companies to

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tender for the work.

- The potential for a local workforce either through direct employment or through regional SME sub-contractors.

The delivery model has a number of additional benefits including:

- Strong links to our corporate value and objectives
- A highly flexible and responsive structure to accommodate short term changes to design programmes.
- Local knowledge available in the planning and assessment of proposed works.

Other Options Considered

Not renewing the Nottingham and Derby Highway Framework Contract – there would be no authorised procurement in place for the provision of services and as such would this would not be compliant with Nottingham City Council's Financial Regulations and Public Procurement Regulation 2015.

Subject:	School Admission Arrangements 2018/19 for community schools
Corporate Director(s)/Director(s):	Alison Michalska, Corporate Director for Children and Adults
Portfolio Holder(s):	Councillor Sam Webster, Portfolio Holder for Education, Employment and Skills
Report author and contact details:	Jonny Kirk, Service Manager, Access to Learning 0115 8764620 jonny.kirk@nottinghamcity.gov.uk
Subject to call-in:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Key Decision:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Criteria for Key Decision:	
(a) <input type="checkbox"/> Expenditure <input type="checkbox"/> Income <input type="checkbox"/> Savings of £1,000,000 or more taking account of the overall impact of the decision	
and/or	
(b) Significant impact on communities living or working in two or more wards in the City <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Type of expenditure:	<input type="checkbox"/> Revenue <input type="checkbox"/> Capital
Total value of the decision: Nil	
Wards affected: All	
Date of consultation with Portfolio Holder(s): 12 July 2016	
Relevant Council Plan Key Theme:	
Strategic Regeneration and Development	<input type="checkbox"/>
Schools	<input checked="" type="checkbox"/>
Planning and Housing	<input type="checkbox"/>
Community Services	<input type="checkbox"/>
Energy, Sustainability and Customer	<input type="checkbox"/>
Jobs, Growth and Transport	<input type="checkbox"/>
Adults, Health and Community Sector	<input type="checkbox"/>
Children, Early Intervention and Early Years	<input checked="" type="checkbox"/>
Leisure and Culture	<input type="checkbox"/>
Resources and Neighbourhood Regeneration	<input type="checkbox"/>
Summary of issues (including benefits to citizens/service users):	
To consider and approve the Local Authority's proposed admission arrangements for the 2018/19 school year for community schools, which are unchanged from those approved for the 2017/18 school year, to ensure fair access to school places and to give priority to local children.	
The proposed admission arrangements are set out in Appendix 1. The proposed oversubscription criteria are attached as Appendix 2. Admission numbers for community schools are attached as Appendix 3. Maps showing catchment area for city community schools are set out in Appendix 4. A copy of the timetable for the 2018/19 admission year is set out in Appendix 5 and the City Council's Fair Access Protocol is set out in Appendix 6.	
Exempt information: State 'None' or complete the following	
None.	
Recommendation(s):	
1 To approve the Local Authority's proposed admission arrangements for the 2018/19 school year for community schools, which are unchanged from those approved for the 2017/18 school year.	

1 REASONS FOR RECOMMENDATIONS

- 1.1 For the reasons set out in paragraphs 2.1 and 2.2 it is proposed that no changes be made to the admission arrangements determined for 2017/18 so that they remain in place for the 2018/19 school year. These arrangements are set out in Appendix 1.
- 1.2 Maintaining the Local Authority's 2017/18 admission arrangements will enable the Local Authority to monitor the operation of the minor changes that were made to the 2016/17 arrangements, along with the arrangements of all admission authorities, including those of newly formed academies, in order to make any changes for subsequent years on an informed basis.

2 BACKGROUND (INCLUDING OUTCOMES OF CONSULTATION)

- 2.1 During the period 3 November 2014 and 2 January 2015 the Local Authority consulted on its proposed arrangements for admission to schools in the 2016/17 school year which included only minor amendments to the 2015/16 admission arrangements. These minor amendments were the amendment of the definition of previously Looked After Children to give highest priority to **all** children adopted from care and the inclusion of details of the process for requesting admission out of the normal age group. Both of these amendments were to comply with the revised School Admissions Code published in December 2014.
- 2.2 As the Local Authority is proposing no changes to the admission arrangements the authority was not required to consult publicly on its proposed admission arrangements. However, the Local Authority must consult the governing body of each community school about its proposal to keep the same admission number for that school. The consultation with governing bodies of community schools took place during the period 3 October 2016 and 25 November 2016. No responses to the consultation were received.

3 OTHER OPTIONS CONSIDERED IN MAKING RECOMMENDATIONS

- 3.1 No other options than continuing with the 2017/18 admission arrangements for the 2018/19 school year were considered.

The option to change the admission arrangements from those agreed for the 2017/18 school year was not felt to be necessary or viable. This is because maintaining the Local Authority's 2017/18 admission arrangements for a further year will enable the Local Authority to monitor the operation of the minor changes that were made to the 2016/17 arrangements, along with the arrangements of all admission authorities in Nottingham City, including those of newly formed academies, in order to make any changes for subsequent years on an informed basis.

4 FINANCE COMMENTS (INCLUDING IMPLICATIONS AND VALUE FOR MONEY/VAT)

- 4.1 There are no cost implications as a result of keeping the admission arrangements for 2018/19 the same as those for 2017/18. The funding for the Admissions service is from the Dedicated Schools Grant. This budget allocation was approved by Schools Forum and the City Council's Executive Board as part of the 2016/17 budget setting process.

5 LEGAL AND PROCUREMENT COMMENTS (INCLUDING RISK MANAGEMENT ISSUES, AND INCLUDING LEGAL, CRIME AND DISORDER ACT AND PROCUREMENT IMPLICATIONS)

5.1 Legal Implications

5.1.1 Consultation

5.1.2 Section 88C(1) of the School Standards and Framework Act 1998 (“SSFA”), states that the admission authority for a maintained school in England must, before the beginning of each school year, determine in accordance with this section of the SSFA the admission arrangements which are to apply for that year. Section 88C(2) of the SSFA requires the admission authority to carry out such consultation beforehand about the proposed arrangements as may be prescribed.

5.1.3 The relevant regulations under section 88C(2) of the SSFA are the School Admissions (Admission Arrangements and Co-ordination of Admission Arrangements) (England) Regulations 2012 (as amended) (“the Admission Arrangements Regulations”).

5.1.4 Regulations 14 and 15 deserve special attention here. They state the following:-

Matters about which consultation is not required

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(1) Subject to paragraph (2) an admission authority are not required to consult about a proposal to increase or keep the same admission number in any consultation on admission arrangements under section 88C(2) for the school year 2013–2014 or any subsequent years.

(2) Where the admission authority for a community or voluntary controlled school are the local authority they must consult the governing body of the school if they propose to increase or keep the same admission number.

Circumstances where consultation on admission arrangements is not required

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(1) This regulation prescribes for the purposes of section 88C(2) the circumstances in which an admission authority are not required to consult on their proposed admission arrangements.

(2) Subject to paragraphs (3) and (4) an admission authority are not required to consult on their proposed admission arrangements for the school year 2013–2014 and any subsequent admission year where they consulted on their proposed admission arrangements in accordance with section 88C(2) in any of the six preceding determination years, and the proposed arrangements are the same as those determined following the last such consultation.

(3) The proposed arrangements are treated as the same for the purpose of paragraph (2) if the only change made to the proposed admission arrangements is one or more of the following changes—

(a) an increase to the admission number in accordance with regulation 14, or

(b) a change made to comply with any mandatory requirement in the School Admissions Code or these Regulations.

(4) A consultation required under regulation 14(2) is not to be regarded as a consultation for the purpose of calculating whether an admission authority have consulted in any of the six preceding determination years in paragraph (2).

5.1.5 It is noted that this report refers to the following points:-

- A recommendation that Nottingham City Council's Executive Board approve that Nottingham City Council's admission arrangements determined for the 2017/18 school year, which were approved by Nottingham City Council's Executive Board on 23 February 2016, be maintained for the 2018/19 school year with no change.
- Non-statutory guidance published by the Department for Education ("DfE") in May 2014 stated that the DfE had adopted a wider interpretation of the then School Admissions Code (2012) in respect of previously Looked After Children. As a consequence of this the DfE expected admission authorities to give highest priority to all children adopted from care and not just those adopted from care under the Adoption and Children Act 2002 as set out in the then statutory School Admissions Code (2012).
- On 19 December 2014, the Secretary of State via the DfE issued a new School Admissions Code. This new School Admissions Code states at paragraph 1.7 that "...the highest priority **must** be given, unless otherwise provided in this Code, to looked after children and all previously looked after children. Previously looked after children are children who were looked after, but ceased to be so because they were adopted [i.e. children who were adopted under the Adoption Act 1976 and children who were adopted under the Adoption and Children Act 2002] (or became subject to a child arrangements order or special guardianship order). Further references to previously looked after children in this Code means such children who were adopted (or subject to child arrangements orders or special guardianship orders) immediately following having been looked after..."
- In addition, the new School Admissions Code states at paragraph 2.17: "Admission authorities **must** make clear in their admission arrangements the process for requesting admission out of the normal age group."
- Therefore, Nottingham City Council ("NCC") proposed only to amend the admission arrangements determined for the 2015/2016 school year to take account of the above two changes in the new School Admissions Code – otherwise NCC's proposed admission arrangements for the 2016/2017 school year would remain as before. NCC had consulted on the admission arrangements for the 2015/2016 school year from 2 December 2013 to 31 January 2014.

Following that consultation, on 20 March 2014 NCC's Executive Board had determined to implement those admission arrangements.

- From 3 November 2014 to 2 January 2015, NCC conducted consultation on the proposed admission arrangements for the 2016/2017 school year with only one response received from Nottinghamshire County Council, which was largely in the nature of a request for clarification.
- On 17 March 2015, NCC's Executive Board approved the admission arrangements for the 2016/2017 school year.

5.1.6 In view of the above, NCC's legal requirement to consult on its proposed admission arrangements for the 2016/2017 school year was technically limited. As the admission authority for the community schools it maintains, NCC was only required under regulation 14 of the Admission Arrangements Regulations to consult the governing bodies of those community schools on any proposal to increase or keep the same admission numbers. Beyond that, as NCC had consulted on its admission arrangements in accordance with section 88(C)(2) of the SSFA in the preceding six determination years and the proposed admission arrangements for the 2016/2017 school year were unchanged with the exception of changes to comply with any mandatory requirement in the School Admissions Code, by virtue of regulation 15 of the Admission Arrangements Regulations NCC was not required to consult on them.

5.1.7 The fact NCC did consult on its proposed admission arrangements for the 2016/2017 school year did no harm, however, and was undoubtedly beneficial in informing interested parties of NCC's intentions. NCC would also appear to have complied with the Admission Arrangements Regulations in terms of who to consult (regulation 12), the matters to which any consultation must relate (regulation 13) and the manner of consultation (regulation 16).

5.1.8 Therefore, since NCC now proposes to maintain the admission arrangements for the 2017/2018 school year for the 2018/2019 school year, NCC is not required to consult under the Admission Arrangements Regulations, other than as the admission authority of community schools NCC must consult with the governing bodies of each of those schools about the consequent proposal to keep their admission numbers as they are.

5.1.9 Regulation 17 of the Admission Arrangements Regulations states the following:-

(2) For the school year 2017-2018 and every subsequent school year, every admission authority must –

(a) carry out any consultation required by section 88C [of the SSFA] and these Regulations between 1st October and 31st January in the determination year;

(b) allow consultees at least six weeks to respond; and

(c) determine their admission arrangements on or before 28th February in the determination year.

5.1.10 Given NCC is not required to consult on the proposed admission arrangements for the school year 2018-2019, only regulation 17(2)(c) of the Admission Arrangements Regulations is relevant, which requires NCC to determine its admission arrangements on or before 28th February in the determination year. Regulation 2 of the Admission Arrangements Regulations states:-

“determination year”, in relation to the proposed admission arrangements for a school, means the school year beginning two years before the school year to which the arrangements relate;

5.1.11 Therefore, in relation to the proposed admission arrangements for the 2018-2019 school year, the determination year is the school year 2016-2017, so NCC must determine its admission arrangements for the 2018-2019 school year on or before 28 February 2017.

5.1.12 The proposed admission arrangements

5.1.13 The proposed admission arrangements generally accord with education law and guidance.

5.2 Union comments were sought, but no responses received.

5.3 Admission arrangements are set to enable all school age children to access a suitable school place at the appropriate time, as far as possible according to their parents' preference, so that they are not vulnerable to crime and disorder.

5.4 HR Comment: There are no people/staffing implications as a result of keeping the admission arrangements for 2018/19 the same as those for 2017/18.

6 STRATEGIC ASSETS & PROPERTY COMMENTS (FOR DECISIONS RELATING TO ALL PROPERTY ASSETS AND ASSOCIATED INFRASTRUCTURE)

6.1 Not applicable.

7 SOCIAL VALUE CONSIDERATIONS

7.1 Not applicable.

8 REGARD TO THE NHS CONSTITUTION

8.1 Not applicable.

9 EQUALITY IMPACT ASSESSMENT (EIA)

9.1 Has the equality impact of the proposals in this report been assessed?

No - an EIA is not required because the proposed admission arrangements are unchanged from those approved for the 2017/18 school year.

10 LIST OF BACKGROUND PAPERS RELIED UPON IN WRITING THIS REPORT (NOT INCLUDING PUBLISHED DOCUMENTS OR CONFIDENTIAL OR EXEMPT INFORMATION)

10.1 Report for Autumn term 2016 governing body agenda for community schools July 2016.

11 PUBLISHED DOCUMENTS REFERRED TO IN THIS REPORT

11.1 School Admissions Code 2014.

11.2 The School Admissions (Admission Arrangements and Co-ordination of Admission Arrangements) (England) Regulations 2012.

11.3 Report to Executive Board 23 February 2016 setting out the proposed school admission arrangements for the 2017/18 school year.

12 OTHER COLLEAGUES WHO HAVE PROVIDED INPUT

12.1 Jon Ludford-Thomas, Senior Solicitor, Legal Services.
Tom Stevens, Service Redesign Consultant, HR & Transformation
Kathryn Stevenson, Senior Commercial Business Partner, Finance Commercial

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Proposed Admissions Arrangements for 2018/19

- Parents/carers living in Nottingham City must apply for a school place online or on Nottingham City Council's common application form by 31 October 2017 for places in year 7 at secondary schools and places in year 10 at 14-19 academies, university technical colleges or studio schools; and by 15 January 2018 for places in reception year at infant or primary schools and year 3 at junior schools.
- Parents/carers may name up to 4 schools in order of preference for a place in year 7 at secondary schools or year 10 at 14-19 academies, university colleges or studio schools; up to 6 schools in order of preference for a place in reception year at infant or primary schools and up to 3 schools in order of preference for a place in year 3 at junior schools. Parents/carers are strongly encouraged to name the maximum number of preferences allowed to increase their chances of being offered a place at one of their named schools.
- Reference will be made to the parent/carer's ranked order of preference in order to determine the school for which a single offer of a place will be made.
- An email will be sent to all parents/carers who applied online by the closing date and a letter will be sent to all parents/carers who applied on a paper application form by the closing date advising of the single offer of a place on 1 March 2018 (national offer date) for places in year 7 at secondary schools and year 10 at 14-19 academies, university technical colleges or studio schools; and on 16 April 2018 (national offer date) for places in reception year at infant or primary schools and year 3 at junior schools.
- Parents/carers should confirm to the Local Authority whether or not they wish to accept the place offered within 14 days of receipt of their offer letter. Failure to do so will result in the place being withdrawn and it may be offered to another pupil.
- If a place has been offered in error or on the basis of a fraudulent or intentionally misleading application the offer may be withdrawn and the place offered to a pupil with a higher priority to that place.
- Late applications received after the closing date for places in year 7 at secondary schools and year 10 at 14-19 academies, university technical colleges or studio schools will be considered after 1 March 2018; and late applications received after the closing date for places in reception year at infant or primary schools and year 3 at junior schools will be dealt with after 16 April 2018. Under exceptional circumstances the Local Authority may be willing to accept applications which are received late but by no later than 5 pm on 5 January 2018 for places in year 7 at secondary schools and year 10 at 14-19 academies, university technical colleges or studio schools; and 5 pm on 16 February 2018 for places in reception year at infant or primary schools and year 3 at junior schools.
- In accordance with the Council's co-ordinated scheme for infant, primary and junior school applications and secondary school applications where it is not possible to offer a place at any of the schools named by parents/carers, the Local Authority will make an offer of an alternative school place where this is possible (known as alternative offers).
- Parents/carers living within the catchment area are not guaranteed a place. Parents/carers can check which is the catchment school for their home address by visiting the website (www.nottinghamcity.gov.uk/schooladmissions), emailing the School Admissions Team (schooladmissions@nottinghamcity.gov.uk) or by telephoning the Team (0115 841 5568).

- Attendance at a particular nursery does not guarantee admission to the main school for infant/ primary education. Parents/carers must make an application for admission to the main school as referred to in the first bullet point above.
- All applications for admission to community nursery schools must be made to the head teacher of the relevant nursery school.
- Applications for admission are considered against the planned admission number for the year group.
- Requests for in-year applications (i.e. transfers outside the time of normal transfer from one stage of education to another) are partially co-ordinated by the Local Authority. Parents/carers must apply to the Local Authority for a place at a city community school, and for a place at those schools/academies for whom the Local Authority co-ordinates in-year applications. For those schools/academies that the Local Authority does not co-ordinate in-year applications, parents/carers should contact that school/academy directly to find out how to apply for a place there. The Local Authority will strongly discourage parents/carers from transferring schools for their child where this is not as a result of a change of address. This is because if children change schools they are less likely to achieve educationally.
- The 2009 School Admissions Code required all local authorities to establish in-year fair access protocols to ensure that access to education is secured quickly for children who have no school place, and to ensure that all schools in an area admit their fair share of vulnerable and challenging children and young people. Nottingham City Council established a fair access protocol in October 2007. The fair access protocol for primary schools was updated in September 2013 and the fair access protocol for secondary schools was updated in January 2016.
- In accordance with the School Admissions Code, a waiting list will be maintained for the 2018 autumn term only for year 7 at Ellis Guilford School and Sports College. Thereafter, waiting lists for years 7 to 9 will be maintained at Ellis Guilford School and Sports College where it is oversubscribed for a period of 40 school days from the date of refusal of a place or until the last day of the 2019 summer half term, whichever is the sooner (no waiting list will be maintained for years 10 and 11).
- Waiting lists for reception year to year 5 will be maintained for community primary schools which are oversubscribed until the last day of the 2019 summer half term (no waiting list will be maintained for year 6).
- Children whose fifth birthday falls between 1 September 2018 and 31 August 2019 will be admitted to full-time school at the beginning of the 2018/19 school year regardless of the term start date.
- Some parents/carers may choose to defer the start of full-time education for their child until compulsory school age. If parents/carers wish to take up this option, they may arrange the details with the head teacher of the school. However, if their child's birthday falls between 1 April and 31 August, deferring admission until compulsory school age would result in the child being admitted into a different school year. In this case, the child could not be allocated a reception place at the school during the 2018/19 year and the parent would have to apply for a place during the 2019 summer term for admission into year 1 in September 2019. The Local Authority strongly recommends that parents/carers do not defer the start of their child's full-time education as children's learning chances are likely to be better if they start school with their peers at the beginning of the 2018/19 school year. Parents/carers can request that their child takes up a school place part-time until their child reaches compulsory school age.

- Parents/carers may request admission for their child outside their normal age group. In general, it is considered that children should be educated in their normal age group, with the curriculum differentiated as appropriate, and they should only be educated out of their normal age group in very limited circumstances. The decision to allow a child to repeat a year or to admit a child into a cohort outside their chronological year group, in most cases lies with the school or educational setting. However, the following requests must be referred to the School Admissions Team at Children and Adults for consideration and advice:
 1. for children on roll at community schools due to transfer from one phase of education to another (i.e. key stage 1 to key stage 2 or key stage 3 to key stage 4);
 2. for children who are chronologically due to start Reception/Foundation 2, regardless of which school they are applying for
 - a. parents are required to make an application for their child's normal age group at the usual time (by 15 January) but should also submit a request for admission out of the normal age group at the same time;
 - b. the relevant admission authority will be required to make a decision on which age group the child should be admitted to. One admission authority is not required to honour the decision made by another admission authority on admission out of the normal age group;
 - c. if the request is agreed by all admission authorities, the application for the normal age group may be withdrawn before a place is offered. Parents will then need to make a new application for reception/Foundation 2 as part of the main admissions round for the following year. The application will then be considered alongside other applications received and determined against the admission arrangements;
 - d. if the request to be admitted out of age group is refused, the parent must decide whether or not accept the offer of a place for the normal age group, or to refuse it.
 3. For children due to transfer from key stage 2 to key stage 3 (with the exception of pupils on roll at Nottingham Academy who wish to continue to attend the academy)
 - a. parents are required to make an application for their child's normal age group at the usual time (by 31 October) but should also submit a request for admission out of the normal age group at the same time;
 - b. the relevant admission authority will be required to make a decision on which age group the child should be admitted to. One admission authority is not required to honour the decision made by another admission authority on admission out of the normal age group;
 - c. if the request is agreed by all admission authorities, the application for the normal age group may be withdrawn before a place is offered. Parents will then need to make a new application for year 6 as part of the main admissions round for the following year. The application will then be considered alongside other applications received and determined against the admission arrangements;
 - d. if the request to be admitted out of age group is refused, the parent must decide whether or not accept the offer of a place for the normal age group, or to refuse it.

All requests should be forwarded or referred to the School Admissions Team at Children and Adults. Such requests will need to be made in writing and can be from the parent/carer of a child and/or the Head Teacher of the child's present school. The admission authority will make a decision on the basis of the circumstances of the case and in the best interests of the child concerned.

A copy of the Council's accelerated/delayed school admissions policy can be found at www.nottinghamcity.gov.uk/schooladmissions .

- Parents/carers are advised that they may be at risk of having to apply for a new school place if their child does not attend school for a period of 20 or more school days.

Admission criteria for Ellis Guilford School and Sports College: 2018/19

In the event of oversubscription within any of the criteria listed below, preference will be given to applicants who live closest to the school, as measured in a straight line (i.e. as the crow flies) from a point at the school campus to a point at the pupil's home, both identified by the Local Land and Property Gazetteer (by a computerised geographical information system). Where two or more pupils are equal in all respects, and it is therefore not possible to differentiate between them, a method of random allocation by drawing lots will be used to allocate places (supervised by someone independent of the School Admissions Team).

Pupils who have a Statement of Special Educational Need or an Education, Health and Care Plan, where that school is named in the child's statement or plan will be admitted. In this event, the number of places that remain available for allocation will be reduced.

1. Places will first be allocated to a 'looked after child' or a child who was previously looked after but immediately after being looked after became subject to an adoption, child arrangements, or special guardianship order. A looked after child is a child who is (a) in the care of a local authority, or (b) being provided with accommodation by a local authority in the exercise of their social services functions in accordance with section 22(1) of the Children Act 1989 at the time of making an application to a school. An adoption order is an order under the Adoption Act 1976 (see section 12 adoption orders) and children who were adopted under the Adoption and Children's Act 2002 (see section 46 adoption orders). A 'child arrangements order' is an order settling the arrangements to be made as to the person with whom the child is to live under section 8 of the Children Act 1989 as amended by section 12 of the Children and Families Act 2014. Section 14A of the Children Act 1989 defines a 'special guardianship order' as an order appointing one or more individuals to be a child's special guardian (or special guardians).
2. Places will then be allocated to pupils who, at the closing date for applications, live within the catchment area*, whose parents have requested a place at the school and who, at the time of admission, will have a brother or sister attending the school.
3. Places will then be allocated to other pupils who, at the closing date for applications, live within the catchment area* and whose parents have requested a place at the school.
4. Places will then be allocated to pupils who live outside the catchment area, whose parents have requested a place at the school and who, at the time of admission, will have a brother or sister attending the school.
5. Places will then be allocated to other pupils who live outside the catchment area whose parents have requested a place at the school.

*This relates to those pupils living in the catchment area for the school set for the 2018/19 school year.

The above criteria (2-5) may be overridden and priority given to an applicant who can establish any of the following:

- pupils with special educational needs that can only be met at Ellis Guilford School and Sports College (e.g. where the school has specialist provision)**;

- children of travellers, pupils with exceptional medical, mobility, or social grounds that can only be met at Ellis Guilford School and Sports College **.

**Applications in these categories must be supported by a statement in writing from a doctor, social worker or other relevant professional. This is necessary because you will be asking the Authority to assess your child as having a stronger case than other children. Each case will be considered on its merits by Nottingham City Council.

Waiting lists will be maintained for the 2018 autumn term only for year 7 at the school. Thereafter, waiting lists for year 7 and for years 8 and 9 will be maintained for a period of 40 school days from the date of refusal of a place or until the last day of the 2019 summer half term, whichever is the sooner. Waiting lists will not be maintained for key stage 4 (years 10 and 11).

For admission purposes the Local Authority considers a sibling connection to relate to any of the following:

- a brother or sister who share the same parents;
- a half brother or sister, where two children share one common parent;
- a step brother or sister, where two children are related by a parent's marriage;
- adopted or fostered children or children living in the same household under the terms of a child arrangements or special guardianship order.

Where applications are received in respect of twins, triplets or children of other multiple births, the authority will endeavour to offer places at Ellis Guilford School and Sports College, admitting above the planned admission number where necessary. If this is not possible, the parent/carer will be asked which child(ren) should take up the place(s). The parent/carer will still have a right of appeal against a refusal of a place.

Any parent/carer whose child is refused a school place for which they have applied has the right of appeal to an independent appeals panel***. (Full details will be provided at the time of refusal).

***(Except, the parent/carer of a child who has been permanently excluded from two schools and where at least one of those exclusions took place after 1 September 1997. This applies to a twice excluded pupil for a period of two years beginning with the date the last exclusion took place).

The Local Authority does not operate a “feeder” arrangement. Attendance at a particular primary or junior school is not taken into account when places at Ellis Guilford School and Sports College are allocated.

First admission to primary schools criteria: 2018/19

In the event of oversubscription within any of the criteria listed below, preference will be given to applicants who live closest to the school, as measured in a straight line (i.e. as the crow flies) from a point at the school campus to a point at the pupil's home, both identified by the Local Land and Property Gazetteer (by a computerised geographical information system). Where two or more pupils are equal in all respects, and it is therefore not possible to differentiate between them, a method of random allocation by drawing lots will be used to allocate places (supervised by someone independent of the School Admissions Team).

Pupils who have a Statement of Special Educational Need or an Education, Health and Care Plan, where that school is named in the child's statement or plan will be admitted. In this event, the number of places that remain available for allocation will be reduced.

1. Places will first be allocated to a 'looked after child' or a child who was previously looked after but immediately after being looked after became subject to an adoption, child arrangements, or special guardianship order. A looked after child is a child who is (a) in the care of a local authority, or (b) being provided with accommodation by a local authority in the exercise of their social services functions in accordance with section 22(1) of the Children Act 1989 at the time of making an application to a school. An adoption order is an order under the Adoption Act 1976 (see section 12 adoption orders) and children who were adopted under the Adoption and Children's Act 2002 (see section 46 adoption orders). A 'child arrangements order' is an order settling the arrangements to be made as to the person with whom the child is to live under section 8 of the Children Act 1989 as amended by section 12 of the Children and Families Act 2014. Section 14A of the Children Act 1989 defines a 'special guardianship order' as an order appointing one or more individuals to be a child's special guardian (or special guardians).
2. Places will then be allocated to pupils who, at the closing date for applications, live within the catchment area*, whose parents have requested a place at the school and who, at the time of admission, will have a brother or sister attending the school, or Individual Needs Centre.
3. Places will then be allocated to other pupils who, at the closing date for applications, live within the catchment area* and whose parents have requested a place at the school.
4. Places will then be allocated to pupils who live outside the catchment area, whose parents have requested a place at the school and who, at the time of admission, will have a brother or sister attending the school or Individual Needs Centre.
5. Places will then be allocated to other pupils who live outside the catchment area whose parents have requested a place at the school.

*This relates to those pupils living in the catchment area for the school set for the 2018/19 school year.

The above criteria (2-5) may be overridden and priority given to an applicant who can establish any of the following:

- pupils with special educational needs that can only be met at a specific school (e.g. where the school has specialist provision)**;
- children of travellers, pupils with exceptional medical, mobility, or social grounds that can only be met at a specific school**.

**Applications in these categories must be supported by a statement in writing from a doctor, social worker or other relevant professional. This is necessary because you will be asking the Authority to

assess your child as having a stronger case than other children. Each case will be considered on its merits by Nottingham City Council.

Waiting lists will be maintained until the last day of the summer half term for reception year to year 5 (i.e. May 2019). Waiting lists will not be maintained for year 6.

For admission purposes the Local Authority considers a sibling connection to relate to any of the following:

- a brother or sister who share the same parents;
- a half brother or sister, where two children share one common parent;
- a step brother or sister, where two children are related by a parent's marriage;
- adopted or fostered children or children living in the same household under the terms of a child arrangements or special guardianship order.

Where applications are received in respect of twins, triplets or children of other multiple births, the authority will endeavour to offer places in the same school, admitting above the planned admission number where necessary. If this is not possible, the parent/carer will be asked which child(ren) should take up the place(s). The parent/carer will still have a right of appeal against a refusal of a place.

Any parent/carer whose child is refused a school place for which they have applied has the right of appeal to an independent appeals panel***. (Full details will be provided at the time of refusal).

***(Except, the parent/carer of a child who has been permanently excluded from two schools and where at least one of those exclusions took place after 1 September 1997. This applies to a twice excluded pupil for a period of two years beginning with the date the last exclusion took place).

Attendance at a particular nursery does not guarantee admission to the main school for primary education. All applications for admission to the main school must be made to the Local Authority and will be considered against the oversubscription criteria listed in 1-5 above.

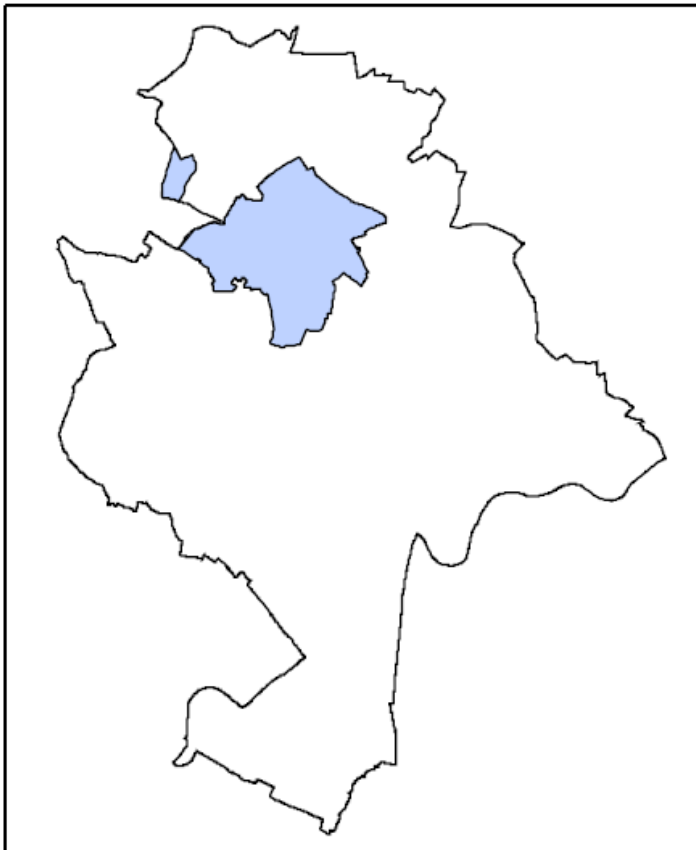
Name of Primary School	Proposed No.
Bentinck	30
Berridge	90
Cantrell	60
Carrington	30
Claremont	60
Crabtree Farm	60
Dovecote	60
Dunkirk	60
Fernwood	150
Forest Fields	90
Glade Hill	30
Greenfields	30
Haydn	60
Heathfield	100
Hempshill Hall	60
Henry Whipple	30
Melbury	30

Name of Primary School	Proposed No.
Mellers	60
Middleton	60
Rise Park	60
Robin Hood	60
Rufford	60
Scotholme	60
Seely	75
Snape Wood	30
Southglade	60
Southwold	30
Springfield	30
Stanstead	30
Walter Halls	60
Welbeck	45
Westglade	30
Whitegate	60
William Booth	30


Name of Secondary School	Proposed No
Ellis Guilford School and Sports College	270

Capacity assessments were undertaken by the Capital and Assets Team, Nottingham City Council using Department for Education guidance. Admission numbers are calculated by dividing the net capacity of the school by the number of year groups to be accommodated in the school.

Catchment area for Ellis Guilford School and Sports College



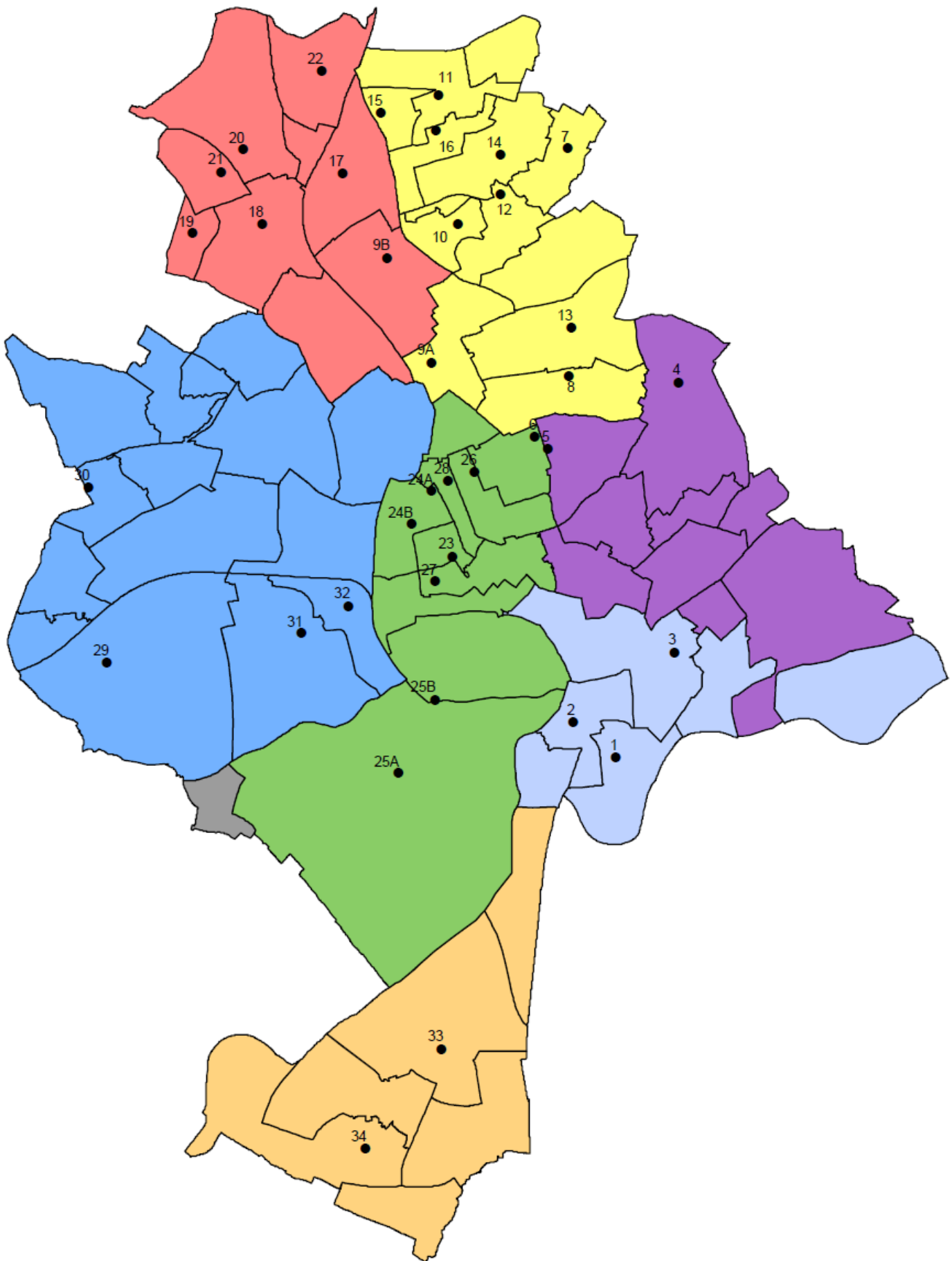
Key

 Ellis Guilford School and Sports College

There are other secondary schools in Nottingham responsible for making their own admission arrangements. These are:

The Bulwell Academy
Djanogly City Academy Nottingham
Fernwood School
Nottingham Academy
Bluecoat Beechdale Academy
Bluecoat Academy
Nottingham Emmanuel CofE (VA) School
Nottingham University Samworth Academy
The Trinity Catholic School
Nottingham Girls' Academy
Top Valley Academy
Farnborough Academy
Nottingham University Academy of Science & Technology
Nottingham Free School
The Oakwood Academy

Appendix 4B - Current Catchment Areas and School Locations



Key**Catchment areas for community primary schools****NG1****NG2**

- 1 Greenfields Community Primary & Nursery School
- 2 Welbeck Primary & Nursery School
- 3 William Booth Primary & Nursery School

NG3

- 4 Walter Halls Primary School (Nursery attached)

NG5

- 5 Carrington Primary & Nursery School
- 6 Claremont Primary & Nursery School
- 7 Glade Hill Primary & Nursery School
- 8 Haydn Primary & Nursery School
- 9A * Heathfield Primary & Nursery School (Scotland Road)
- 9B * Heathfield Primary & Nursery School (Kersall Drive)

- 10 Henry Whipple Primary & Nursery School
- 11 Rise Park Primary & Nursery School
- 12 Robin Hood Primary & Nursery School
- 13 Seely Primary and Nursery School
- 14 Southglade Primary & Nursery School
- 15 Stanstead Primary & Nursery School
- 16 Westglade Primary & Nursery School

NG6

- 17 Cantrell Primary & Nursery School

- 18 Crabtree Farm Primary & Nursery School
- 19 Hemphill Hall Primary & Nursery School
- 20 Rufford Primary & Nursery School
- 21 Snape Wood Primary & Nursery School
- 22 Springfield Primary School (Nursery attached)

NG7

- 23 Bentinck Primary & Nursery School
- 24A Berridge Primary School (Infant Site)
- 24B Berridge Primary School (Junior Site)
- 25A *Dunkirk Primary & Nursery School (Highfields Campus)

- 25B * Dunkirk Primary & Nursery School (Abbey Campus)

- 26 Forest Fields Primary & Nursery School
- 27 Mellers Primary & Nursery School
- 28 Scotholme Primary & Nursery School

NG8

- 29 Fernwood Primary School
- 30 Melbury Primary School
- 31 Middleton Primary & Nursery School
- 32 Southwold Primary School & Early Years Centre

NG11

- 33 Dovecote Primary & Nursery School
- 34 Whitegate Primary & Nursery School

* Dunkirk and Heathfield Schools have single catchment areas but also have two sites to which children may be admitted.

There are other primary schools in Nottingham responsible for making their own admission arrangements. These are:

Ambleside Primary School	Our Lady of Perpetual Succour Catholic Voluntary Academy
Blessed Robert Widmerpool Catholic Voluntary Academy	Portland Spencer Academy
Blue Bell Hill Primary & Nursery School	Radford Primary Academy
Brocklewood Primary School	Riverside Primary School & Early Years Unit
Bulwell St Mary's Primary & Nursery School	Robert Shaw Primary School
Burford Primary & Nursery School	Rosslyn Park Primary
Djanogly Northgate Academy	Sneinton St Stephen's CE Primary & Nursery School South
Djanogly Strelley Academy	Wilford Endowed CE Primary School
Edale Rise Primary & Nursery School	Southwark Primary School
Edna G Olds Academy	St Ann's Well Academy
Firbeck Academy	St Augustine's Catholic Voluntary Academy
Glapton Primary & Nursery School	St Margaret Clitherow Catholic Voluntary Academy
Glenbrook Primary	St Mary's Catholic Voluntary Academy
Highbank Primary & Nursery School	St Patrick's RC Primary & Nursery School
Hogarth Primary & Nursery School	St Teresa's Catholic Voluntary Academy
Huntingdon Academy	Sycamore Academy
Jubilee L.E.A.D Academy	The Milford Academy
Nottingham Academy	Warren Primary Academy
Old Basford School	Whitemoor Academy (Primary & Nursery)
Our Lady & St Edward's Catholic Voluntary Academy	Windmill LEAD Academy

Details of these schools/academies' proposed admission arrangements for 2018/19 should be on their own website. A copy may also be available at www.nottinghamcity.gov.uk/schooladmissions after 1 October 2016

DRAFT TIMETABLE FOR CO-ORDINATED ADMISSIONS PROCESS 2018/19

Please note that this timetable has not yet been confirmed as liaison has not yet taken place with Nottinghamshire County Council regarding our co-ordinated admissions schemes

2018/19 ADMISSION ROUND	Distribution of information from Local Authority to schools	Distributions of information by schools to parents/carers	Closing date	Decisions issued to parents/carers by:
Transfers from junior/primary to secondary school	By Wednesday 6 th September 2017	On Friday 8 th September 2017	Tuesday 31 st October 2017 (<i>national closing date</i>)	On Thursday 1 st March 2018 (<i>national offer date</i>)
First admission to infant/primary school and transfers from infant to junior school	By Wednesday 22 nd November 2017	On Friday 24 th November 2017 Local Authority to distribute for children not attending a nursery attached to a city infant or primary school	Monday 15 th January 2018 (<i>national closing date</i>)	Wednesday 18 th April 2018 (<i>national offer date</i>)
Transfers from secondary school to year 10 at 14- 19 academies, colleges or studio schools	N/A	On Friday 8 th September 2017	Tuesday 31 st October 2017 (<i>national closing date</i>)	On Thursday 1 st March 2018 (<i>national offer date</i>)



Secondary Fair Access Protocol

May 2016

1. Background

- 1.1. Fair Access Protocols have been successfully operating in Nottingham City since 2005 and include all primary and secondary mainstream schools and academies.
- 1.2. The School Admission Code (December 2014) requires each local authority (LA) to have a Fair Access Protocol in operation in which has been agreed with the majority of schools in the area to ensure that - outside the normal admissions round - unplaced children, especially the most vulnerable, are offered a place at a suitable school as quickly as possible. In agreeing a protocol, no school - including those with available places - is asked to take a disproportionate number of children who have been excluded from other schools, or who have challenging behaviour (School Admissions Code, 3.9).
- 1.3. The Fair Access Protocol exists to ensure that access to education is secured quickly for children who have no school place, but for whom a place at a mainstream school/Academy or alternative provision is appropriate, and to ensure that all schools/Academies in an area admit their fair share of children with challenging behaviour. Paragraph 3.10 of the school admissions code states that, "The operation of Fair Access Protocols is outside the arrangements of co-ordination and is triggered when a parent of an eligible child has not secured a school place under in-year admission procedures". However, our protocol seeks to intervene as quickly as possible and identify children applying through the in-year process to determine a placement quickly and ensure equitable distribution, therefore, pupils meeting the Fair Access triggers will not go through the normal admissions process first.
- 1.4. The Protocol ensures local authorities, schools and Academies to work together as mutual stakeholders to improve behaviour and tackle persistent absence. All admission authorities **must** participate in the Fair Access Protocol in order to ensure that unplaced children are allocated a school place quickly. This includes admitting children above the published admission number where the year group is already full or priority over waiting list or admission appeals for the school/academy. Although, the School Admissions Code stipulates that, "There is no duty for local authorities or admission authorities to comply with parental preference when allocating places through the Fair Access Protocol" (School Admissions Code, 3.11).
- 1.5. The School Admissions Code can be viewed in full at:
<https://www.gov.uk/government/publications/school-admissions-code--2>
- 1.6. Children with an Education, Health and Care Plan will not be considered through the Fair Access Protocol but through the Special Education Needs Team processes.

2. Key Principles

Balancing between a quick placement and the right placement

- 2.1. There must be a balance between finding a place quickly, when the place might be in an undersubscribed school/academy or one facing challenging circumstances, and finding a school/academy place that is appropriate for the

child. The principle of considering the individual circumstances of the pupil, in terms of what is best for them, whether they are ready for mainstream schooling and, if so, which mainstream school/academy will be best able to meet their needs should guide the operation of Fair Access Protocol.

Equitable distribution

- 2.2. The School Admissions Code states local authorities must ensure that no school/Academy, including undersubscribed schools/Academies, is asked to admit a disproportionate number of children who have been excluded from other schools/Academies or who have challenging behaviour (School Admissions Code 2014, paragraph 3.9).
- 2.3. Equitable distribution does not imply equal number of cases to each school. There may be circumstances where schools will have to admit more pupils according to need. However, the panel will take into account relevant contextual information¹ when considering placement, such as:
 - Numbers in context to other local schools
 - Context of numbers on roll
 - Number of exclusions and transfers into and out of the school
 - Location of pupils home address
 - Most appropriate school to meet a student's needs

Open, honest and relevant information sharing

- 2.4. It is expected that pupils on roll at a school or Academy within the City of Nottingham, considered at the Fair Access Panel (FAP), will have evidence of additional agency involvement, such as, support services, be open to the Team Around the Child (TAC) or have an active Common Assessment Framework Form (CAF). Information will be shared between schools, academies and other support services as required. It will be expected that information will be shared openly and honestly, whilst ensuring confidentiality.
- 2.5. If a pupil is not considered through the Fair Access Protocol, as a result of withheld or missing information, this will be challenged by the LA and the panel chair and raised at a subsequent panel meeting. If there are concerns, the LA and the chair will monitor any further applications made and may require more detailed evidence.

Working with other Admission Authorities and other local authorities

- 2.6. Whilst each protocol covers only the schools/Academies in its local authority area, the home Local Authority should contact neighbouring authorities to help secure a place in that area under their protocol. The protocol is in effect a safety net for where normal admission procedures for in year admission have failed. If there are illegal practices, the LA and chair will take appropriate action to challenge and resolve these situations.
- 2.7. For the protocol to operate in accordance with the statutory requirement:
- 2.8. Schools/Academies will continue to admit pupils whose parents apply for an available place, under normal admission arrangements.

¹ This is not an exhaustive list of all factors that may be taken into consideration

- 2.9. Pupils identified as Panel cases under the Fair Access Protocol will be given priority for admission over others on a waiting list or awaiting an appeal. Managed Moves will be given priority for admission, if they meet the criteria outlined in this protocol.

3. Exceptions

- 3.1. The School Admissions Code states in paragraph 3.8:

“Admission authorities must not refuse to admit children in the normal admissions round on the basis of their poor behaviour elsewhere. Where a child has been permanently excluded from two or more schools there is no need for an admission authority to comply with parental preference for a period of two years from the last exclusion.”

- 3.2. However, the School Admissions Code continues in paragraph 3.12:

“Where a governing body does not wish to admit a child with challenging behaviour outside the normal admissions round, even though places are available, it must refer the case to the local authority for action under the Fair Access Protocol. This will normally only be appropriate where a school has a particularly high proportion of children with challenging behaviour or previously excluded children. The use of this provision will depend on local circumstances and must be described in the local authority’s Fair Access Protocol. This provision will not apply to a looked after child, a previously looked after child or a child with a statement of special educational needs naming the school in question, as these children must be admitted.”

- 3.3. All schools and academies (required by their funding agreements) are to comply with the Admissions Code and the law relating to admissions, including full participation with the locally agreed Fair Access Protocol and to admit pupils who are hard to place.
- 3.4. The Fair Access Panel will consider any valid concerns about admission (e.g. a previous serious breakdown in the relationship between the school/Academy and the family or serious historical issues with other children at the preferred school/Academy). Consideration will also be given to the individual situation, and contextual data for each school or Academy, including, the number of pupils admitted through the panel and being supported by the school or academy.
- 3.5. If a school or academy refuses to comply with the Fair Access Panel decision, they must state their reasons in writing to the chair of the panel within 5 school days from the date of the panel decision. The chair will then determine a written view, based on evidence and contextual panel data and after consulting with the school/academy and the Local Authority for their views. The chair's final written view will confirm the panel decision and it is expected that all schools and academies will support the view and accept the decision of the panel. If a school/academies admission authority refuses to accept the decision of the Fair Access Panel and chair, the Local Authority will seek to enforce a direction or apply to the Education Funding Agency to direct admission on behalf of the Secretary of State, if required.

4. Criteria Fair Access Panel

- 4.1. A pupil placed under this Protocol is not necessarily a “challenging” pupil. Any child in this category is however potentially a vulnerable child as long as an appropriate educational placement has not been secured.
- 4.2. The School Admissions Code 2014 states 7 minimum categories² to include in a Fair Access Protocol. These categories identify a child as potentially “Hard to Place or vulnerable”. These are not meant to be exhaustive but provide an example of pupils who must be considered under the protocol. It is proposed that the City protocol monitors these pupils, but will have specific focus on the following criteria:
- 4.3. Fair Access Panel – Triggers
 - a) Children in Care.
 - b) Children attending Learning Centres who have been permanently excluded and who need to be reintegrated back into mainstream education. (See Reintegration Protocol below)
 - c) Children seeking an alternative to permanent exclusion with a history of intensive multi-agency support (Team around the child or CAF) and where alternative placements have been unsuccessful.
 - d) Children who have been out of mainstream education for longer than one school term (at point of initial application) or Children with a history of serious attendance problems (serious attendance problems would be below 50% attendance within a 12 month period)
 - e) Children fleeing domestic violence, where a school move is unavoidable
 - f) Children returning from the criminal justice system
 - g) Vulnerable groups which have been identified under exceptional circumstances by a government mandate, to ensure education provision is established as a matter of urgency. These cases would fall outside of any current admission processes i.e. WASP, in-year admissions etc.
- 4.4. Children who meet the Managed Move Protocol criteria (attached), as determined by the Inclusion Strategy Co-ordinator, will be considered under the wider Fair Access Protocol, and therefore will have similar priority over other in-year applications, waiting lists and appeals as outlined in The Schools Admissions Code 2014. Children who only meet the Managed Move criteria will not be considered as a Fair Access Panel case, and therefore will be recorded separately to cases taken through the Fair Access Panel.

²School Admissions Code 2014 – 7 Minimum Fair Access Criteria

- a) children from the criminal justice system or Pupil Referral Units who need to be reintegrated into mainstream education;
- b) children who have been out of education for two months or more;
- c) children of Gypsies, Roma, Travellers, refugees and asylum seekers;
- d) children who are homeless;
- e) children with unsupportive family backgrounds for whom a place has not been sought;
- f) children who are carers; and
- g) children with special educational needs, disabilities or medical conditions (but without a statement or Education, Health and Care Plan).

- 4.5. All other Fair Access categories will be considered through the in-year admissions process including Without a School Place (WASP) processes as required unless they meet the criteria for Fair Access Panel above.
- 4.6. Children in Care³, will be given the highest priority for admission and will be brokered prior to a panel meeting. The chair and the LA will establish in consultation with Social Care, the Virtual School and other agencies the preferred preferences for their education. The views of the schools preferenced and any potential prejudice as a result of the placement will always be considered. However, in most circumstances children in care will be offered and admitted, in agreement with school or Academy, regardless of the time of year or if the year group is oversubscribed if the offer is considered in their best interests. Once an offer has been made, the Social Worker will normally, but not always arrange a multi-agency meeting to bring together all the professionals that have been working with the child to support their transition into their new educational provision.
- 4.7. The LA will determine if a pupil meets the panel criteria. The in-year application form includes a request for additional information and reasons for seeking a transfer to enable consideration through Fair Access. All pupils who meet the criteria will be considered at a Fair Access Panel meeting. Background information will be collated by the LA to support any application to the panel and the pupil's subsequent admission. All schools and academies will ensure background information is shared without delay. If the pupil does not meet the above criteria, the application will be processed through the in-year admissions procedures, including year 10 and 11 pupils.

5. FAP Panel Membership

- 5.1. Membership of the panel is split between Core Membership, School Membership and Support Membership. Core members of the Fair Access Panel will attend each meeting. It is expected that at each meeting senior representatives from every school will also be in attendance, including appropriate support service representatives.
- 5.2. The collective panel membership will use their expertise and knowledge to secure a decision for each individual pupil that is best for them. Final decisions will rest with Core Panel Members. The Panel will need to balance between the pupil's needs and what school/Academy or provision can best meet their needs, whilst ensuring that the pupil is supported and that no school/Academy is asked to admit a disproportionate amount of pupils through the protocol.
- 5.3. All schools and Academies will provide educational expertise and knowledge as well as represent an overall educational perspective for the City. All schools and academies will be provided with case information 48 hours before a panel meeting, through secure File Transfer.
- 5.4. There will also be 3 representatives from Support Services across Children and Families that constitute the Support Membership of the panel. These representatives will attend on a rotational basis (See Appendix 1 attached). They

³ A 'looked after child' is a child who is (a) in the care of a local authority, or (b) being provided with accommodation by a local authority in the exercise of their social services functions (see the definition in Section 22(1) of the Children Act 1989) at the time of making an application to a school.

will be expected to represent their Service Area and provide relevant information about any involvement and support that can be offered. Case information will be provided to support services 5 working days before a panel meeting in order to provide a report at the panel meeting.

5.5. All Panel members are responsible for arranging for an informed colleague to attend in their place should they be unable to attend. All professionals must come fully prepared with information pertaining to the individual cases to be discussed. School/Academy representatives must have the power to make decisions regarding admissions on behalf of their school/Academy.

5.6. The core membership of the Fair Access Panel will be:

Core Panel Membership	
Fair Access Panel Chair	
Inclusion Officer	
Complex Case Co-ordinator	
Fair Access Co-ordinator	
Inclusion and Disability Service Representative	
School Panel Membership	
Bluecoat Academy	Designated Senior staff from every school/Academy that has the authority to make decision on behalf of the school/academy admission authority.
Bulwell Academy	
Denewood and Unity Learning Centre	
Djanogly City Academy	
Ellis Guilford School	
Emmanuel School	
Farnborough Academy	
Fernwood School	
Bluecoat Beechdale Academy	
Nottingham Academy	
Nottingham Girls Academy	
Nottingham University Samworth Academy	
Oakwood Academy	
Trinity Catholic School	
Top Valley Academy	
Nottingham Free School	
Nottingham University Academy Science and Technology	
Support Panel Membership	
Inclusive Education Service	Local Authority Education and Social Care Representation (Up to 4 representatives)
Special Educational Needs	
Behaviour Support Team	
Educational Psychology Service	
Child & Adolescent Mental Health Service	
Youth Offending Team	
Education Welfare	
Priority Families	
Children's Social Care	
Family Intervention Project	
Safeguarding	

6. Fair Access Panel Meetings

- 6.1. The Panel will meet at least each month with the exception of August each academic year. However, if there are limited cases to be considered a meeting may be cancelled and cases brokered outside of panel. The meetings will be scheduled for the entire academic year.
- 6.2. Key contextual information will be provided by all schools and Academies 1 week prior to the panel meeting. This will be collated by the LA and further analysis provided at the meeting regarding equitable distribution. Detailed statistics about Fair Access will be provided on a termly basis and shared with schools and Academies. In addition an annual report will be sent to the schools adjudicator.
- 6.3. All applications for Fair Access will be considered at the next available panel, however, Children in care and children who have recently experienced a traumatic family or domestic event or for whom there are clear medical grounds to support placement in a particular secondary school or Academy, will be considered prior to panel. Such cases will be discussed in detail between the LA, Fair Access Panel Chair and the Headteacher/Principal in order to agree placements as soon as possible and the decision will be ratified at the next available panel.
- 6.4. The LA has secured £190,000 through the Schools Forum to support the Secondary Fair Access protocol and provide needs led support funding to reduce barriers to admission. This funding is secured to support Fair Access pupils' integration back into education through, translation costs, assessments, purchasing support services and providing alternative provision for pupils who are not ready for mainstream schooling. Education for pupils who have been permanently excluded will be provided by the appropriate Learning Centre (see section below), and any costs recovered through agreed processes.

7. Post-Panel Expectations

- 7.1. Pupils considered at the Fair Access Panel and allocated a school/academy will receive a letter confirming the decision within 48hrs from the LA.
- 7.2. In order to meet the 10 days admission standard, it is expected that school representatives will inform their admissions teams about the allocation of pupils for their school from the panel in order to avoid any delays to the process. The Fair Access Panel Chair will inform, in writing, the Headteacher/principal of all schools/Academies and other stakeholders of the panel's decision within 48 hours of the panel meeting. The school or academy must admit the pupil within 10 working days of being informed. If the Panel agree that a multi-agency meeting take place before admission, schools/Academies will have 15 working days in which to admit the pupil.

8. Funding Method

8.1. There are currently three tiers for funding available through Secondary Fair Access:

TIER 1	<p>No funding allocated Students placed whose needs are met by mainstream school/Academy</p>
TIER 2	<p>Assessment and access funding Funding allocated to provide an assessment of needs to inform panel placement decisions (in particular where there are significant gaps in educational provision, students who speak English as an additional language (EAL) or those who have an incomplete SEND profile. Access funding provides for one off payments in extraordinary circumstances to remove barriers to admission and access to schools.</p>
TIER 3	<p>Support funding for alternative provision Subsidised funding agreed for an alternative provision to be managed by the allocated school. Students in year 11 placed on roll prior to the funding census (Oct) will receive 50% of the cost of alternative provision. Students in year 11 placed on roll following the funding census (Oct) will receive full cost recovery of alternative provision costs (up to £13000 cap) Students in all other year groups who require AP upon initial assessment will be able to access part funding up to a maximum of 5 terms (subject to a £13000 cap) The funding amount and length of support will be agreed by panel members at the meeting.</p>

8.2. Any funding agreed through panel for the support of pupils will be reported back to panel. If the placement is withdrawn, any remaining funding will return to the Fair Access budget.

9. Monitoring and Strategic Overview

9.1. Reports, data and monitoring information will be provided at meetings, after each term and annually to all schools, academies and stakeholders. This information will also be used to report to the Schools Adjudicator and local Schools Forum in order to comply with performance and accountability responsibilities.

9.2. The Fair Access protocol and strategy is the responsibility of the LA, however, this will supported by a termly consultation group of head teachers/principles from City schools/academies and local authority officers, which will review the performance of the panel, discuss strategic issues and make recommendations to improve services and drive change.

10. Learning Centre Reintegration

10.1. Pupils attending the City's Learning Centres, who have demonstrated readiness for reintegration will be managed through this protocol. Our Learning Centres work hard to identify pupils' needs, address behaviour, attitudes and academic underperformance to try and raise achievement and reintegrate permanently excluded pupils back into mainstream education. Reintegration into another

mainstream school/Academy is the right option for the majority of pupils in year 7, 8, 9.

- 10.2. Pupils will not usually be considered for reintegration into a mainstream school/Academy until their behavioural, social or emotional needs have been addressed and they are ready to return to a mainstream setting. The Executive Headteacher will identify and support pupils who are ready to reintegrate back into mainstream education from Denewood Learning Centre (DLC) or Unity Learning Centre (ULC). This will be supported by background information and evidence about the pupil and their progress whilst at the learning centre. This information will be monitored and reviewed by the head teacher of the learning centre, the LA and the panel chair before consideration at panel.
- 10.3. Pupils who live in the City boundary who have been permanently excluded will normally be placed on the roll of either Denewood or Unity Learning Centre. Permanently excluded pupils who move into the City, who are not ready for mainstream education will attend a Learning Centre until they are ready to be reintegrated back to mainstream education.
- 10.4. Fair Access Protocols must not require a school/Academy to automatically take another child with challenging behaviour in the place of a child excluded from the school. Although, all secondary schools and Academies will support to allocate at least 1 reintegration pupil, however, further reintegration pupils will be allocated through the panel based on equability, context and the needs of the pupil. Consideration will also be given to the number of permanent exclusions issued by the school/Academy.
- 10.5. Reintegration placements will be supported by staff from the Admissions and Reintegration Team (ART) at Denewood. A reintegration package will last between 6 to 10 weeks, from the date of the package starting and the circumstances of the pupil. The length of the package will be agreed between the learning centre and the allocated school. The reintegration package must start within the 10 days of the panel decision, unless an exception is agreed at the panel meeting. A meeting should be set up without delay to facilitate the start date, set appropriate targets and plan their reintegration package. There must be regular reviews and communication between all parties involved, which should be communicated in writing, ideally by email to named contacts.
- 10.6. A standard 6 week reintegration package would include:
 - Week 1** – Full time support with a member of staff from Denewood (DLC)
 - Week 2** – Full time support with a member of staff from Denewood (DLC)
 - Week 3** – Support in ‘hot spot’ lessons
 - Week 4** – Support in ‘hot spot’ lessons – if still required
 - Week 5** – Drop in sessions at various points through the week
 - Week 6** – No support in school (only for the final review)

This package will be subject to individually agreed changes according to pupil and school need.
- 10.7. It is anticipated that pupils will be successfully reintegrated through the support of school staff and the learning centre. Review meetings will take place regularly

through the reintegration process to acknowledge success, review support and raise concerns. If the review meetings are positive, their success will be confirmed at the final review meeting and the pupil will officially go on roll the school day after the package ends. However, as an additional measure to ensure success, Denewood will continue to monitor the pupil for 4 weeks after the pupil is on roll in order to facilitate support, or consider a return to Denewood, if appropriate and agreed by all parties.

10.8. If there are concerns about a pupil on a reintegration package, the school should initially communicate with the pupils named keyworker at Denewood Learning Centre to try and resolve the concerns. If a reintegration may be failing, then this cannot be terminated until an urgent review meeting is held with all relevant parties to determine if the allocation should be withdrawn, at which point arrangements would be made for their return to the learning centre.

10.9. Reintegration placements will be recorded and funded through the panel and will be able to access additional support, like other pupils considered at FAP, as agreed at panel meetings.

11. Other Key Documents:

11.1. NCSEP Managed Move Protocol v2.1

11.2. Going to School in Nottingham – Information about admissions

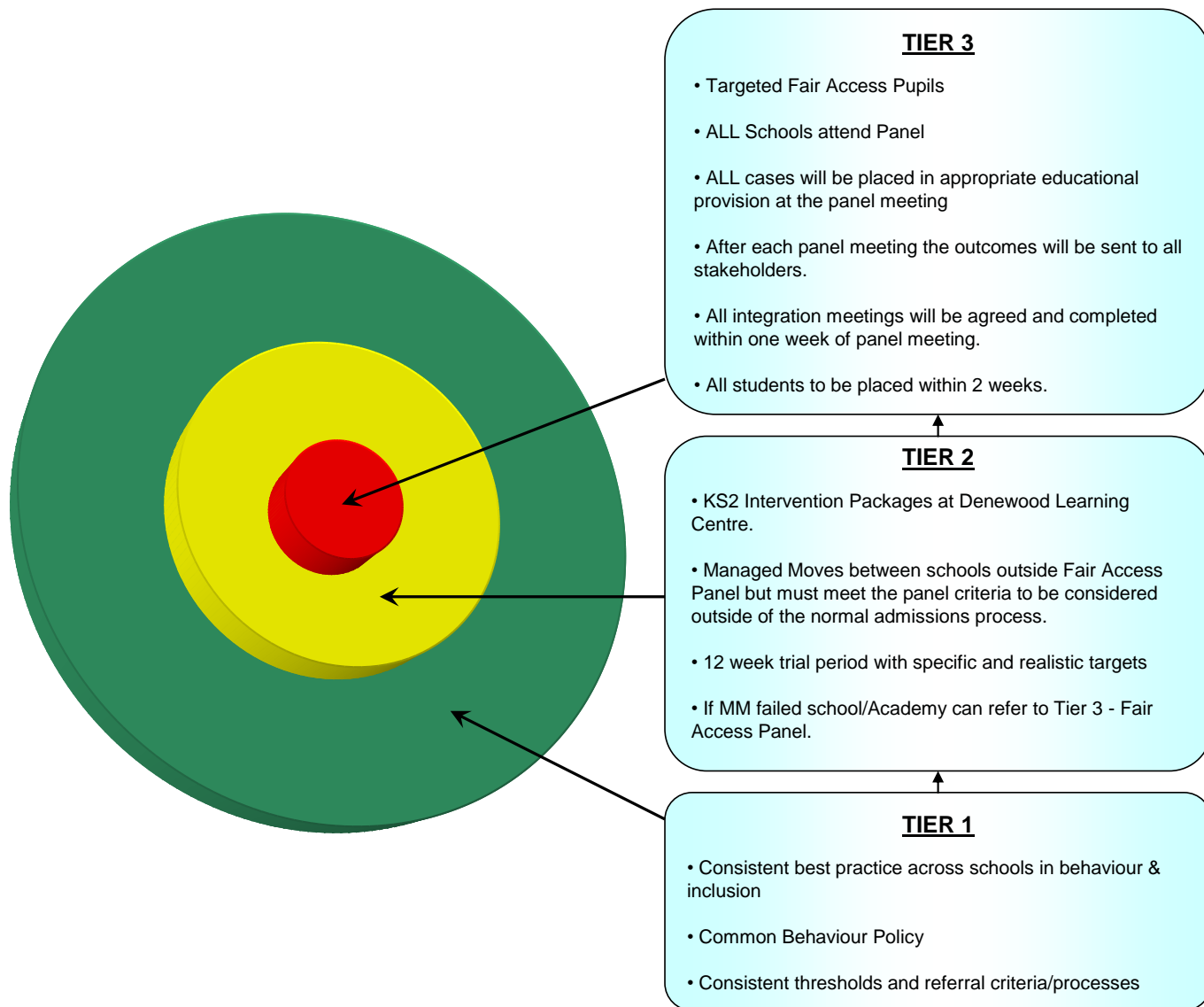
11.3. Schools Admissions Code – December 2014

Fair Access Protocol

Primary Key Stage 1 & 2

Updated: September 2013

Overview of Support Leading to the Fair Access Protocol



Fair Access Protocol

1. Background

- 1.1. The School Admission Code which came into force on 1 February 2012 and requires there to be a Fair Access Protocol in operation in every Local Authority which has been agreed with the majority of schools in the area to ensure that - outside the normal admissions round - unplaced children, especially the most vulnerable, are offered a place at a suitable school as quickly as possible. In agreeing a protocol, no school - including those with available places - is asked to take a disproportionate number of children who have been excluded from other schools, or who have challenging behaviour (School Admissions Code, 3.9).

This is issued under Sections 84 and 85 of the School Standards and Framework Act 1998.

The School Admissions Code can be viewed in full at

<http://media.education.gov.uk/assets/files/pdf/s/school%20admissions%20code%201%20february%202012.pdf>

- 1.2. The Fair Access Protocol (FAP) exists to ensure that access to education is secured quickly for children who have no school place, but for whom a place at a mainstream school/Academy or alternative provision is appropriate, and to ensure that all schools/Academies in an area admit their fair share of children with challenging behaviour. The operation of Fair Access Protocols is outside the arrangements of co-ordination
- 1.3. The Protocol encourages local authorities, schools and Academies to work together in partnership to improve behaviour and tackle persistent absence. There is no duty for local authorities or admissions authorities to comply with parental preference when allocating places through this protocol.
- 1.4. **All** Admissions Authorities **must** participate in the agreed Fair Access protocol (School Admissions Code 2012, paragraph 3.11) in order to ensure that unplaced children, especially the most vulnerable, are offered a place at a suitable school/Academy as soon as possible. This includes admitting children above the published admission number where the year group is already full. Nottingham City Council, Church of England and Catholic Diocesans, Academy Sponsors and Governing Bodies and their associated schools and Academies agree to comply with this protocol.
- 1.5. Children with statements of special educational need are **not** covered by this protocol as their needs are considered through a separate procedure.

2. Key Principles

- 2.1. There must be a balance between finding a place quickly, when the place might be in an undersubscribed school/Academy or one facing challenging circumstances, and finding a school/Academy place that is appropriate for the child. The principle of considering the individual circumstances of the pupil, in terms of what is best for them, whether they are ready for mainstream schooling and, if so, which mainstream school/Academy will be best able to meet their needs **should** guide the operation of Fair Access Protocol.
- 2.2. The School Admissions Code states local authorities **must** ensure that no school/Academy, including undersubscribed schools/Academies, is asked to admit a disproportionate number of children who have been excluded from other schools/Academies or who have challenging behaviour (School Admissions Code 2012, paragraph 3.9).

- 2.3. It is expected that pupils on roll at a school or Academy within the City of Nottingham, considered at the Reintegration and Placement Panel (RAP), under the Fair Access Protocol (FAP) will have a Common Assessment Framework Form (CAF) and be open to the Team Around the Child (TAC) process.
- 2.4. Whilst each protocol covers only the schools/Academies in its local authority area, the home Local Authority should contact neighbouring authorities to help secure a place in that area under the protocol. The protocol is in effect a safety net for where normal admission procedures for in year admission have failed.
- 2.5. For the protocol to operate in accordance with the statutory requirement:
 - 2.5.1. Schools/Academies will continue to admit pupils whose parents apply for an available place, under normal admission arrangements.
 - 2.5.2. Pupils identified as Panel cases under the Fair Access Protocol will be given priority for admission over others on a waiting list or awaiting an appeal. Managed Moves will not be given priority for admission, unless they meet the criteria outlined in section 4.2 below.

3. Exceptions

- 3.1. The School Admissions Code states in paragraph 3.8:

*“Admission authorities **must not** refuse to admit children in the normal admissions round on the basis of their poor behaviour elsewhere. Where a child has been permanently excluded from two or more schools there is no need for an admission authority to comply with parental preference for a period of two years from the last exclusion.”*

- 3.2. However, the School Admissions Code continues in paragraph 3.12:

*“Where a governing body does not wish to admit a child with challenging behaviour outside the normal admissions round, even though places are available, it **must** refer the case to the local authority for action under the Fair Access Protocol. This will normally only be appropriate where a school has a particularly high proportion of children with challenging behaviour or previously excluded children. The use of this provision will depend on local circumstances and **must** be described in the local authority’s Fair Access Protocol. This provision will not apply to a looked after child, a previously looked after child or a child with a statement of special educational needs naming the school in question, as these children **must** be admitted.”*

- 3.3. All schools and Academies will be expected to participate fully with the Fair Access Protocol and to admit pupils who are hard to place. The Local Authority and, if necessary, a Primary Reintegration and Placement Panel (P-RAP) will consider any valid concerns about admission (e.g. a previous serious breakdown in the relationship between the school/Academy and the family or serious historical issues with other children at the preferred school/Academy). Consideration will also be given to the individual situation, and contextual data for each school or Academy, including, the number of pupils admitted through the protocol and being supported by the school or Academy.
- 3.4. If a school or academy refuses to comply with the decision of the Local Authority or the P-RAP Panel, they must state their reasons in writing to the Inclusion Officer within 5 school days from the date of the decision. The Inclusion Officer will then determine a written view after consulting with the school/Academy and other agencies. All schools and academies will support the view

and decisions through the protocol. Additionally, the Local Authority or Secretary of State can enforce the protocol decision by using any powers of direction, if required.

4. Criteria for Priority Pupils

- 4.1. A pupil placed under this Protocol is not necessarily a “challenging” pupil. Any child in this category is however potentially a vulnerable child as long as an appropriate educational placement has not been secured.
- 4.2. The School Admissions Code 2012 states 7 minimum categories⁴ to include in a Fair Access Protocol. These categories identify a child as potentially “Hard to Place or vulnerable”. These are not meant to be exhaustive but provide an example of pupils who **must** be considered under the protocol. It is proposed that the City protocol monitors these pupils, but will have specific focus on the following criteria:

Priority Pupils - Triggers

1. Children in Public Care.
 2. Children attending Learning Centres who have been permanently excluded and who need to be reintegrated back into mainstream education. (See Section 7 below)
 3. Children seeking an alternative to permanent exclusion with a history of intensive multi-agency support (CAF) and where alternative placements have been unsuccessful e.g. managed move.
 4. Children who have been out of education for longer than one school term and/or have a history of serious attendance problems (below 50% attendance within a 12 month period)
 5. Children fleeing domestic violence
 6. Children returning from the criminal justice system
 7. Children whose parents have been unable to find them a school place because of a shortage of places:
 - after moving into the area
 - without a school place
 8. Children from unsupportive families where a place has not been sought.
- 4.3. Looked After Children⁵, will be given the highest priority for admission. The Inclusion Officer will establish in consultation with Social Care, the Virtual School and other agencies the preferred preferences for their education. The views of the schools preferenced and any potential prejudice as a result of the placement will always be considered. However, in most circumstances a Looked After Child will be offered, in agreement with school or Academy, even if the year group is oversubscribed if the offer is considered in their best interests. Once an offer has been made, the Lead professional will normally, but not always arrange a multi-agency meeting to bring together all the professionals that have been working with the child to support their transition into their new educational provision.

⁴School Admissions Code 2012 – 7 Minimum Fair Access Criteria

- a) children from the criminal justice system or Pupil Referral Units who need to be reintegrated into mainstream education;
- b) children who have been out of education for two months or more;
- c) children of Gypsies, Roma, Travellers, refugees and asylum seekers;
- d) children who are homeless;
- e) children with unsupportive family backgrounds for whom a place has not been sought;
- f) children who are carers; and
- g) children with special educational needs, disabilities or medical conditions (but without a statement).

⁵ A ‘looked after child’ is a child who is (a) in the care of a local authority, or (b) being provided with accommodation by a local authority in the exercise of their social services functions (see the definition in Section 22(1) of the Children Act 1989) at the time of making an application to a school.

- 4.4. The Inclusion Officer will determine if a pupil meets the Priority Pupils criteria (4.2). All pupils who meet the criteria will be considered as 'Priority Pupils' and background information (including a CAF or other relevant documentation) will be collated by Nottingham City Council. This information will be used to support any application to school and the pupil's subsequent admission. All schools and Academies participating in the protocol will ensure background information is shared without delay. If the pupil does not meet the above criteria, the application will be processed through the normal admissions procedures, however, if a place is not secured pupils may then be considered under point 7 above.
- 4.5. Pupils, who meet the above criteria, will be managed by the Inclusion Officer and consideration of a school place for Priority Pupils will be based on the school in their local area/catchment and the individual circumstances of the case. These cases will be brokered by the Local Authority with schools and admission authorities. However, if a resolution cannot be established a Primary Reintegration and Placement Panel will review the case and issue a decision. The decisions of the Primary Fair Access Protocol, for all schools, will be reported termly to Education Improvement Partnerships. In addition an annual report will be sent to the schools adjudicator.
- 4.6. Pupils who are considered through the normal admission round but are unable to secure a school placement may first be offered a mandatory offer through the School Admissions Team. However, if this cannot be arranged they will be considered as a Priority Pupil.
- 4.7. The 1998 School Standards and Framework Act determined that by September 2001, no infant child should be in a class above 30. The School Admissions Code states in paragraph 2.15 that:

2.15 Infant class size – Infant classes (those where the majority of children will reach the age of 5, 6 or 7 during the school year) **must not** contain more than 30 pupils with a single school teacher. Additional children may be admitted under limited exceptional circumstances. These children will remain an 'excepted pupil' for the time they are in an infant class or until the class numbers fall back to the current infant class size limit. The excepted children are:

- children admitted outside the normal admissions round with statements of special educational needs specifying a school;
- looked after children and previously looked after children admitted outside the normal admissions round⁶;
- children admitted, after initial allocation of places, because of a procedural error made by the admission authority or local authority in the original application process;
- children admitted after an independent appeals panel upholds an appeal;
- children who move into the area outside the normal admissions round for whom there is no other available school within reasonable distance;
- children of UK service personnel admitted outside the normal admissions round;
- children whose twin or sibling from a multiple birth is admitted otherwise than as an excepted pupil;
- children with special educational needs who are normally taught in a special educational needs unit attached to the school, or registered at a special school, who attend some infant classes within the mainstream school.

⁶ The School Admissions (Infant Class Sizes) (England) Regulations 2012. Previously looked after children are not excepted pupils for the purpose of these regulations until school year 2013/14.

Consideration will be given to the legal limit of class sizes in Key Stage 1. However, it may be necessary to admit pupils as exceptions through the Fair Access Protocol. If pupils do not meet one of the excepted pupil criteria, as stated in point 4.7 above, Priority Pupils will be given precedence for admission over others on a waiting list or awaiting an appeal.

4.8. Pupils transferring between City Schools and Academies in year 6 will be strongly discouraged.

5. Primary RAP Panel Meetings

- 5.1. If an admission cannot be brokered directly with schools or Academies the Local Authority will arrange a Primary Reintegration and Placement Panel Meeting as outlined in section 4.5 above. There will generally be three panels (North, Central and South, although, these may adapt according to circumstance) which will be held by exception for pupils living in their catchment areas. The collective panel membership will use their expertise and knowledge to secure a decision for each individual pupil that is best for them. The Panel will need to balance between the pupil's needs and what school can best meet their needs, whilst ensuring that both are supported and that no school is asked to admit a disproportionate amount of pupils through the protocol, including consideration of Infant Class Sizes. All schools and Academies will support the decision of the panel.
- 5.2. Panel membership will consist of both school/Academy and support services representatives. All Panel members are responsible for arranging for an informed colleague to attend in their place should they be unable to attend. All professionals must come fully prepared with information pertaining to the individual cases to be discussed.
- 5.3. Schools and Academies will be represented by 3 head teachers from a maintained, Academy and Voluntary Aided Schools. School or Academy representatives will provide educational expertise and knowledge as well as represent an overall educational perspective for the City. Head Teacher representatives will be selected to represent the area schools. If pupils to be considered at the panel live near neighbouring panel borders, panel members may be selected from both panel areas to give an accurate representation of schools and local knowledge to secure appropriate education.
- 5.4. There will also be representatives from Support Services across Children and Families. They will be expected to represent their Service Area and provide relevant information about any involvement and support that can be offered.
- 5.5. The panel members will be provided with case information 5 working days before a panel meeting. Schools being considered for allocation will already have considered the case and expressed concerns in writing. However, they may inform their representative at least 2 working days prior to the meeting of any additional school information to be considered at the panel.
- 5.6. The core membership of the Primary RAP Panel will be (please see next page):

Core Members
Inclusion Officer (Chair) Support Services Representative(s) Denewood Learning Centre Representative Educational Welfare Officer Head Teacher Representatives (See table below)

Schools & Academies		
NORTH Panel	CENTRAL Panel	SOUTH Panel
1x City School 1x Academy 1x VA School	1x City School 1x Academy 1x VA School	1x City School 1x Academy 1x VA School
<ul style="list-style-type: none"> - AMBLESIDE PRIMARY - BULWELL ST. MARY'S CE VA PRIMARY - BURFORD PRIMARY - CANTRELL PRIMARY - CARRINGTON PRIMARY - CRABTREE FARM PRIMARY - GLADE HILL PRIMARY - HAYDN PRIMARY - HEATHFIELD PRIMARY - HEMPSHILL HALL PRIMARY - HENRY WHIPPLE PRIMARY - OLD BASFORD SCHOOL - OUR LADY OF PERPETUAL SUCCOUR C.V. ACADEMY - RISE PARK PRIMARY - ROBIN HOOD PRIMARY - ROSSLYN PARK PRIMARY - RUFFORD PRIMARY - SEELY PRIMARY - SNAPE WOOD PRIMARY - SOUTHGLADE PRIMARY - SOUTHWARK ACADEMY - SPRINGFIELD PRIMARY - ST. MARGARET CLITHEROW - STANSTEAD PRIMARY - WARREN PRIMARY ACADEMY - WESTGLADE PRIMARY - WHITEMOOR ACADEMY 	<ul style="list-style-type: none"> - BENTINCK PRIMARY - BERRIDGE PRIMARY - BROCKLEWOOD PRIMARY - CLAREMONT PRIMARY - DJANOGLY NORTHGATE ACADEMY - DUNKIRK PRIMARY - EDNA G OLDS ACADEMY - FERNWOOD PRIMARY - FIRBECK ACADEMY - FOREST FIELDS PRIMARY - GLENBROOK PRIMARY - JUBILEE L.E.A.D. ACADEMY - MELBURY PRIMARY - MELLERS PRIMARY - MIDDLETON PRIMARY - PORTLAND SPENCER ACADEMY - RADFORD PRIMARY ACADEMY - ROBERT SHAW PRIMARY - SCOTHOLME PRIMARY - DJANOGLY STRELLEY ACADEMY - SOUTHWOLD PRIMARY - ST TERESA'S C.V. ACADEMY - ST. MARY'S C.V. ACADEMY 	<ul style="list-style-type: none"> - BLESSED ROBERT C.V. ACADEMY - BLUE BELL HILL ACADEMY - DOVECOTE PRIMARY - EDALE RISE PRIMARY - GLAPTON ACADEMY - GREENFIELDS PRIMARY - HIGHBANK PRIMARY - HOGARTH PRIMARY - HUNTINGDON ACADEMY - THE MILFORD ACADEMY - NOTTINGHAM ACADEMY (PRIMARY) - OUR LADY & ST EDWARD'S C.V. ACADEMY - RIVERSIDE PRIMARY - SNEINTON ST. STEPHEN'S V.A. - SOUTH WILFORD ENDOWED CE AIDED - ST PATRICKS V.A. PRIMARY - ST. ANN'S WELL ACADEMY - ST. AUGUSTINES C.V. ACADEMY - SYCAMORE ACADEMY - WALTER HALLS PRIMARY - WELBECK PRIMAY - WHITEGATE PRIMARY - WILLIAM BOOTH PRIMARY - WINDMILL L.E.A.D ACADEMY

6. RAP Panel Meetings

- 6.1. Panel meetings will be held as required. It is hoped that all but extremely exceptional cases can be brokered and placed through the main protocol. However, if there are serious concerns about an admission a Panel will be arranged to consider these cases.
- 6.2. Key contextual information will be provided by all schools and academies necessary prior to the panel meeting. This will be collated by the Admissions and Exclusion Team. Additionally, RAP statistics will be provided on a termly basis and shared with schools.
- 6.3. The Inclusion Officer will inform the Headteacher or Principal of the allocated school within 24 hours in writing of the Panel meeting. The school or academy must admit the pupil within 10 working days of being informed. If the Panel agree that a multi-agency meeting take place before admission, schools will have 15 working days in which to admit the pupil.
- 6.4. Funding is secured through the Schools Forum for the administration of the Primary Fair Access Protocol. This figure is currently £80,000. This funding is secured to support Fair

Access pupils' integration back into education through, translation costs, assessments, purchasing support services and other inclusion strategies. Pupils are to be allocated funding relevant to their need. Education for pupils who have been permanently excluded will be provided by the appropriate Learning Centre (see section 7 below), and any costs recovered through agreed processes.

7. Learning Centre Reintegration

- 7.1. Within the City we are supported by two Learning Centres rated by Ofsted as 'Good' which support intervention within the City and educate permanently excluded pupils. Our Learning Centres work hard to identify pupils' needs, address behaviour, attitudes and academic underperformance to try and raise achievement and reintegrate permanently excluded pupils back into mainstream education. Reintegration into another mainstream school/Academy is the right option for the majority of pupils.
- 7.2. Pupils will not usually be considered for reintegration into a mainstream school/Academy until their behavioural, social or emotional needs have been addressed and they are ready to return to a mainstream setting. The Executive Headteacher will identify and support pupils who are ready to reintegrate back into mainstream education from Denewood Learning Centre or Unity Learning Centre. This will be supported by background information about the pupil and their progress whilst at the learning centre. Permanently excluded pupils ready for reintegration, attending an alternative PRU/Learning Centre will be considered through the panel and a recommendation sought from the Headteacher regarding their readiness for reintegration.
- 7.3. Pupils who live in the City boundary who have been permanently excluded will normally be placed on the roll of either Denewood or Unity Learning Centre. Permanently excluded pupils who move into the City, who are not ready for mainstream education will attend a Learning Centre until they are ready to be reintegrated back to mainstream education.
- 7.4. All schools and Academies will take at least 1 reintegration pupil as required. Further reintegration pupils will be allocated through the panel and consideration will be given to the number of permanent exclusions issued by the school/Academy. Fair Access Protocols **must not** require a school/Academy to automatically take another child with challenging behaviour in the place of a child excluded from the school.
- 7.5. Reintegration placements should follow similar timelines to other panel pupils' admission. However, it is expected that the Denewood Learning Centre will continue to provide reintegration support for a specified period of time for any excluded pupils who are being reintegrated back into a mainstream school/Academy to ensure a smooth transition. Reintegration placements will be recorded and funded through the panel.

8. Other Key Documents

- 8.1. Other key documents are:
 - Going to School in Nottingham – Information about admissions
 - Schools Admissions Code – February 2012
 - Intervention Protocol – Denewood Learning Centre

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Autumn Term 2016 Governing Body Agenda

Proposed school admission arrangements for Nottingham city community schools – 2018/19

ACTION FOR GOVERNORS

Governors are recommended to:

- **note that the Local Authority is not consulting on its proposed admission arrangements and oversubscription criteria for 2018/19 set out in Appendices 1 and 2;**
- consider the proposed planned admission number for their own school (as set out in Appendix 3;
- read this report and discuss it at their governing body meetings;
- advise their governing body meetings of the draft timelines for the 2018/19 co-ordinated admissions process as set out in Appendix 4.

LA CONTACT OFFICER

Carol Prince
Admissions Manager
Access to Learning
Tel: (0115) 876 4627
E-mail: schooladmissions@nottinghamcity.gov.uk

SUMMARY OF REPORT

The purpose of this report is to initiate the annual consultation between governors and the Local Authority **regarding the proposed planned admission number** for their own school for the 2018/19 school year.

Clerks should note that there is no requirement for the Local Authority to consult publicly on its proposed school admission arrangements for the 2018/19 school year as no changes are proposed to those determined for the 2017/18 school year.

However, since the Local Authority is the admission authority for community schools it must consult the governing body of each school about its proposal to keep the same admission number for that school. That consultation cannot begin prior to 1 October 2016 and must be for a minimum of 6 weeks. The Local Authority is therefore consulting with governing bodies on their planned admission number during the period 3 October 2016 and 25 November 2016 inclusive. Any recommendations **relating to admission numbers only** for consideration by the Local Authority should therefore be made during the period 3 October 2016 and 25 November 2016.

In summary, the proposed arrangements remain unchanged from those approved for the 2017/18 school year to enable the Local Authority to monitor the operation of the changes that were made to the 2016/17 arrangements, along with the arrangements of all admission authorities, including those of newly formed academies, in order to make any changes for subsequent years on an informed basis.

BACKGROUND INFORMATION

1. The Local Authority is the admissions authority for community schools and is therefore responsible for determining the admission arrangements for these schools.
2. In academies, voluntary aided, foundation and trust schools, the governing body is the admissions authority and it must consult the local authority and other local admission authorities by 31 January 2017 in accordance with the statutory requirements (unless it is exempt from consulting in accordance with paragraph 1.42 of the School Admissions Code).

PROPOSED ADMISSION ARRANGEMENTS FOR 2018/19

1. During the period 3 November 2014 and 2 January 2015 the Local Authority consulted on its proposed arrangements for admission to schools in the 2016/17 school year which included only minor amendments to the 2015/16 admission arrangements. These minor amendments were the amendment of the definition of previously Looked After Children to give highest priority to **all** children adopted from care and the inclusion of details of the process for requesting admission out of the normal age group. Both of these amendments were to comply with the revised School Admissions Code published in December 2014.
2. For the reasons set out in paragraph 1 above no changes to the admission arrangements determined for 2017/18 are proposed so that they remain in place for the 2018/19 academic year. These arrangements are set out in Appendix 1.

Proposed Admissions Arrangements for 2018/19

- Parents/carers living in Nottingham City must apply for a school place online or on Nottingham City Council's common application form by 31 October 2017 for places in year 7 at secondary schools and places in year 10 at 14-19 academies, university technical colleges or studio schools; and by 15 January 2018 for places in reception year at infant or primary schools and year 3 at junior schools.
- Parents/carers may name up to 4 schools in order of preference for a place in year 7 at secondary schools or year 10 at 14-19 academies, university colleges or studio schools; up to 6 schools in order of preference for a place in reception year at infant or primary schools and up to 3 schools in order of preference for a place in year 3 at junior schools. Parents/carers are strongly encouraged to name the maximum number of preferences allowed to increase their chances of being offered a place at one of their named schools.
- Reference will be made to the parent/carer's ranked order of preference in order to determine the school for which a single offer of a place will be made.
- An email will be sent to all parents/carers who applied online by the closing date and a letter will be sent to all parents/carers who applied on a paper application form by the closing date advising of the single offer of a place on 1 March 2018 (national offer date) for places in year 7 at secondary schools and year 10 at 14-19 academies, university technical colleges or studio schools; and on 16 April 2018 (national offer date) for places in reception year at infant or primary schools and year 3 at junior schools.
- Parents/carers should confirm to the Local Authority whether or not they wish to accept the place offered within 14 days of receipt of their offer letter. Failure to do so will result in the place being withdrawn and it may be offered to another pupil.
- If a place has been offered in error or on the basis of a fraudulent or intentionally misleading application the offer may be withdrawn and the place offered to a pupil with a higher priority to that place.
- Late applications received after the closing date for places in year 7 at secondary schools and year 10 at 14-19 academies, university technical colleges or studio schools will be considered after 1 March 2018; and late applications received after the closing date for places in reception year at infant or primary schools and year 3 at junior schools will be dealt with after 16 April 2018. Under exceptional circumstances the Local Authority may be willing to accept applications which are received late but by no later than 5 pm on 5 January 2018 for places in year 7 at secondary schools and year 10 at 14-19 academies, university technical colleges or studio schools; and 5 pm on 16 February 2018 for places in reception year at infant or primary schools and year 3 at junior schools.
- In accordance with the Council's co-ordinated scheme for infant, primary and junior school applications and secondary school applications where it is not possible to offer a place at any of the schools named by parents/carers, the Local Authority will make an offer of an alternative school place where this is possible (known as alternative offers).
- Parents/carers living within the catchment area are not guaranteed a place. Parents/carers can check which is the catchment school for their home address by visiting the website (www.nottinghamcity.gov.uk/schooladmissions), emailing the School Admissions Team (schooladmissions@nottinghamcity.gov.uk) or by telephoning the Team (0115 841 5568).

- Attendance at a particular nursery does not guarantee admission to the main school for infant/ primary education. Parents/carers must make an application for admission to the main school as referred to in the first bullet point above.
- All applications for admission to community nursery schools must be made to the head teacher of the relevant nursery school.
- Applications for admission are considered against the planned admission number for the year group.
- Requests for in-year applications (i.e. transfers outside the time of normal transfer from one stage of education to another) are partially co-ordinated by the Local Authority. Parents/carers must apply to the Local Authority for a place at a city community school, and for a place at those schools/academies for whom the Local Authority co-ordinates in-year applications. For those schools/academies that the Local Authority does not co-ordinate in-year applications, parents/carers should contact that school/academy directly to find out how to apply for a place there. The Local Authority will strongly discourage parents/carers from transferring schools for their child where this is not as a result of a change of address. This is because if children change schools they are less likely to achieve educationally.
- The 2009 School Admissions Code required all local authorities to establish in-year fair access protocols to ensure that access to education is secured quickly for children who have no school place, and to ensure that all schools in an area admit their fair share of vulnerable and challenging children and young people. Nottingham City Council established a fair access protocol in October 2007. The fair access protocol for primary schools was updated in September 2013 and the fair access protocol for secondary schools was updated in January 2016.
- In accordance with the School Admissions Code, a waiting list will be maintained for the 2018 autumn term only for year 7 at Ellis Guilford School and Sports College. Thereafter, waiting lists for years 7 to 9 will be maintained at Ellis Guilford School and Sports College where it is oversubscribed for a period of 40 school days from the date of refusal of a place or until the last day of the 2019 summer half term, whichever is the sooner (no waiting list will be maintained for years 10 and 11).
- Waiting lists for reception year to year 5 will be maintained for community primary schools which are oversubscribed until the last day of the 2019 summer half term (no waiting list will be maintained for year 6).
- Children whose fifth birthday falls between 1 September 2018 and 31 August 2019 will be admitted to full-time school at the beginning of the 2018/19 school year regardless of the term start date.
- Some parents/carers may choose to defer the start of full-time education for their child until compulsory school age. If parents/carers wish to take up this option, they may arrange the details with the head teacher of the school. However, if their child's birthday falls between 1 April and 31 August, deferring admission until compulsory school age would result in the child being admitted into a different school year. In this case, the child could not be allocated a reception place at the school during the 2018/19 year and the parent would have to apply for a place during the 2019 summer term for admission into year 1 in September 2019. The Local Authority strongly recommends that parents/carers do not defer the start of their child's full-time education as children's learning chances are likely to be better if they start school with their peers at the beginning of the 2018/19 school year. Parents/carers can request that their child takes up a school place part-time until their child reaches compulsory school age.

- Parents/carers may request admission for their child outside their normal age group. In general, it is considered that children should be educated in their normal age group, with the curriculum differentiated as appropriate, and they should only be educated out of their normal age group in very limited circumstances. The decision to allow a child to repeat a year or to admit a child into a cohort outside their chronological year group, in most cases lies with the school or educational setting. However, the following requests must be referred to the School Admissions Team at Children and Adults for consideration and advice:
 1. for children on roll at community schools due to transfer from one phase of education to another (i.e. key stage 1 to key stage 2 or key stage 3 to key stage 4);
 2. for children who are chronologically due to start Reception/Foundation 2, regardless of which school they are applying for
 - a. parents are required to make an application for their child's normal age group at the usual time (by 15 January) but should also submit a request for admission out of the normal age group at the same time;
 - b. the relevant admission authority will be required to make a decision on which age group the child should be admitted to. One admission authority is not required to honour the decision made by another admission authority on admission out of the normal age group;
 - c. if the request is agreed by all admission authorities, the application for the normal age group may be withdrawn before a place is offered. Parents will then need to make a new application for reception/Foundation 2 as part of the main admissions round for the following year. The application will then be considered alongside other applications received and determined against the admission arrangements;
 - d. if the request to be admitted out of age group is refused, the parent must decide whether or not accept the offer of a place for the normal age group, or to refuse it.
 3. For children due to transfer from key stage 2 to key stage 3 (with the exception of pupils on roll at Nottingham Academy who wish to continue to attend the academy)
 - a. parents are required to make an application for their child's normal age group at the usual time (by 31 October) but should also submit a request for admission out of the normal age group at the same time;
 - b. the relevant admission authority will be required to make a decision on which age group the child should be admitted to. One admission authority is not required to honour the decision made by another admission authority on admission out of the normal age group;
 - c. if the request is agreed by all admission authorities, the application for the normal age group may be withdrawn before a place is offered. Parents will then need to make a new application for year 6 as part of the main admissions round for the following year. The application will then be considered alongside other applications received and determined against the admission arrangements;
 - d. if the request to be admitted out of age group is refused, the parent must decide whether or not accept the offer of a place for the normal age group, or to refuse it.

All requests should be forwarded or referred to the School Admissions Team at Children and Adults. Such requests will need to be made in writing and can be from the parent/carer of a child and/or the Head Teacher of the child's present school. The admission authority will make a decision on the basis of the circumstances of the case and in the best interests of the child concerned.

A copy of the Council's accelerated/delayed school admissions policy can be found at www.nottinghamcity.gov.uk/schooladmissions .

- Parents/carers are advised that they may be at risk of having to apply for a new school place if their child does not attend school for a period of 20 or more school days.

Admission criteria for Ellis Guilford School and Sports College: 2018/19

In the event of oversubscription within any of the criteria listed below, preference will be given to applicants who live closest to the school, as measured in a straight line (i.e. as the crow flies) from a point at the school campus to a point at the pupil's home, both identified by the Local Land and Property Gazetteer (by a computerised geographical information system). Where two or more pupils are equal in all respects, and it is therefore not possible to differentiate between them, a method of random allocation by drawing lots will be used to allocate places (supervised by someone independent of the School Admissions Team).

Pupils who have a Statement of Special Educational Need or an Education, Health and Care Plan, where that school is named in the child's statement or plan will be admitted. In this event, the number of places that remain available for allocation will be reduced.

1. Places will first be allocated to a 'looked after child' or a child who was previously looked after but immediately after being looked after became subject to an adoption, child arrangements, or special guardianship order. A looked after child is a child who is (a) in the care of a local authority, or (b) being provided with accommodation by a local authority in the exercise of their social services functions in accordance with section 22(1) of the Children Act 1989 at the time of making an application to a school. An adoption order is an order under the Adoption Act 1976 (see section 12 adoption orders) and children who were adopted under the Adoption and Children's Act 2002 (see section 46 adoption orders). A 'child arrangements order' is an order settling the arrangements to be made as to the person with whom the child is to live under section 8 of the Children Act 1989 as amended by section 12 of the Children and Families Act 2014. Section 14A of the Children Act 1989 defines a 'special guardianship order' as an order appointing one or more individuals to be a child's special guardian (or special guardians).
2. Places will then be allocated to pupils who, at the closing date for applications, live within the catchment area*, whose parents have requested a place at the school and who, at the time of admission, will have a brother or sister attending the school.
3. Places will then be allocated to other pupils who, at the closing date for applications, live within the catchment area* and whose parents have requested a place at the school.
4. Places will then be allocated to pupils who live outside the catchment area, whose parents have requested a place at the school and who, at the time of admission, will have a brother or sister attending the school.
5. Places will then be allocated to other pupils who live outside the catchment area whose parents have requested a place at the school.

*This relates to those pupils living in the catchment area for the school set for the 2018/19 school year.

The above criteria (2-5) may be overridden and priority given to an applicant who can establish any of the following:

- pupils with special educational needs that can only be met at Ellis Guilford School and Sports College (e.g. where the school has specialist provision)**;

- children of travellers, pupils with exceptional medical, mobility, or social grounds that can only be met at Ellis Guilford School and Sports College **.

**Applications in these categories must be supported by a statement in writing from a doctor, social worker or other relevant professional. This is necessary because you will be asking the Authority to assess your child as having a stronger case than other children. Each case will be considered on its merits by Nottingham City Council.

Waiting lists will be maintained for the 2018 autumn term only for year 7 at the school. Thereafter, waiting lists for year 7 and for years 8 and 9 will be maintained for a period of 40 school days from the date of refusal of a place or until the last day of the 2019 summer half term, whichever is the sooner. Waiting lists will not be maintained for key stage 4 (years 10 and 11).

For admission purposes the Local Authority considers a sibling connection to relate to any of the following:

- a brother or sister who share the same parents;
- a half brother or sister, where two children share one common parent;
- a step brother or sister, where two children are related by a parent's marriage;
- adopted or fostered children or children living in the same household under the terms of a child arrangements or special guardianship order.

Where applications are received in respect of twins, triplets or children of other multiple births, the authority will endeavour to offer places at Ellis Guilford School and Sports College, admitting above the planned admission number where necessary. If this is not possible, the parent/carer will be asked which child(ren) should take up the place(s). The parent/carer will still have a right of appeal against a refusal of a place.

Any parent/carer whose child is refused a school place for which they have applied has the right of appeal to an independent appeals panel***. (Full details will be provided at the time of refusal).

***(Except, the parent/carer of a child who has been permanently excluded from two schools and where at least one of those exclusions took place after 1 September 1997. This applies to a twice excluded pupil for a period of two years beginning with the date the last exclusion took place).

The Local Authority does not operate a “feeder” arrangement. Attendance at a particular primary or junior school is not taken into account when places at Ellis Guilford School and Sports College are allocated.

First admission to primary schools criteria: 2018/19

In the event of oversubscription within any of the criteria listed below, preference will be given to applicants who live closest to the school, as measured in a straight line (i.e. as the crow flies) from a point at the school campus to a point at the pupil's home, both identified by the Local Land and Property Gazetteer (by a computerised geographical information system). Where two or more pupils are equal in all respects, and it is therefore not possible to differentiate between them, a method of random allocation by drawing lots will be used to allocate places (supervised by someone independent of the School Admissions Team).

Pupils who have a Statement of Special Educational Need or an Education, Health and Care Plan, where that school is named in the child's statement or plan will be admitted. In this event, the number of places that remain available for allocation will be reduced.

1. Places will first be allocated to a 'looked after child' or a child who was previously looked after but immediately after being looked after became subject to an adoption, child arrangements, or special guardianship order. A looked after child is a child who is (a) in the care of a local authority, or (b) being provided with accommodation by a local authority in the exercise of their social services functions in accordance with section 22(1) of the Children Act 1989 at the time of making an application to a school. An adoption order is an order under the Adoption Act 1976 (see section 12 adoption orders) and children who were adopted under the Adoption and Children's Act 2002 (see section 46 adoption orders). A 'child arrangements order' is an order settling the arrangements to be made as to the person with whom the child is to live under section 8 of the Children Act 1989 as amended by section 12 of the Children and Families Act 2014. Section 14A of the Children Act 1989 defines a 'special guardianship order' as an order appointing one or more individuals to be a child's special guardian (or special guardians).
2. Places will then be allocated to pupils who, at the closing date for applications, live within the catchment area*, whose parents have requested a place at the school and who, at the time of admission, will have a brother or sister attending the school, or Individual Needs Centre.
3. Places will then be allocated to other pupils who, at the closing date for applications, live within the catchment area* and whose parents have requested a place at the school.
4. Places will then be allocated to pupils who live outside the catchment area, whose parents have requested a place at the school and who, at the time of admission, will have a brother or sister attending the school or Individual Needs Centre.
5. Places will then be allocated to other pupils who live outside the catchment area whose parents have requested a place at the school.

*This relates to those pupils living in the catchment area for the school set for the 2018/19 school year.

The above criteria (2-5) may be overridden and priority given to an applicant who can establish any of the following:

- pupils with special educational needs that can only be met at a specific school (e.g. where the school has specialist provision)**;
- children of travellers, pupils with exceptional medical, mobility, or social grounds that can only be met at a specific school**.

**Applications in these categories must be supported by a statement in writing from a doctor, social worker or other relevant professional. This is necessary because you will be asking the Authority to

assess your child as having a stronger case than other children. Each case will be considered on its merits by Nottingham City Council.

Waiting lists will be maintained until the last day of the summer half term for reception year to year 5 (i.e. May 2019). Waiting lists will not be maintained for year 6.

For admission purposes the Local Authority considers a sibling connection to relate to any of the following:

- a brother or sister who share the same parents;
- a half brother or sister, where two children share one common parent;
- a step brother or sister, where two children are related by a parent's marriage;
- adopted or fostered children or children living in the same household under the terms of a child arrangements or special guardianship order.

Where applications are received in respect of twins, triplets or children of other multiple births, the authority will endeavour to offer places in the same school, admitting above the planned admission number where necessary. If this is not possible, the parent/carer will be asked which child(ren) should take up the place(s). The parent/carer will still have a right of appeal against a refusal of a place.

Any parent/carer whose child is refused a school place for which they have applied has the right of appeal to an independent appeals panel***. (Full details will be provided at the time of refusal).

***(Except, the parent/carer of a child who has been permanently excluded from two schools and where at least one of those exclusions took place after 1 September 1997. This applies to a twice excluded pupil for a period of two years beginning with the date the last exclusion took place).

Attendance at a particular nursery does not guarantee admission to the main school for primary education. All applications for admission to the main school must be made to the Local Authority and will be considered against the oversubscription criteria listed in 1-5 above.

Admission Numbers 2018/19

Name of Primary School	Proposed No.
Bentinck	30
Berridge	90
Cantrell	60
Carrington	30
Claremont	60
Crabtree Farm	60
Dovecote	60
Dunkirk	60
Fernwood	120
Forest Fields	90
Glade Hill	30
Greenfields	30
Haydn	60
Heathfield	100
Hempshill Hall	60
Henry Whipple	30
Melbury	30

Name of Primary School	Proposed No.
Mellers	60
Middleton	60
Rise Park	60
Robin Hood	60
Rufford	60
Scotholme	60
Seely	75
Snape Wood	30
Southglade	60
Southwold	30
Springfield	30
Stanstead	30
Walter Halls	60
Welbeck	45
Westglade	30
Whitegate	60
William Booth	30

Name of Secondary School	Proposed No
Ellis Guilford School and Sports College	270

Capacity assessments were undertaken by the Capital and Assets Team, Nottingham City Council using Department for Education guidance. Admission numbers are calculated by dividing the net capacity of the school by the number of year groups to be accommodated in the school.

DRAFT TIMETABLE FOR CO-ORDINATED ADMISSIONS PROCESS 2018/19

Please note that this timetable has not yet been confirmed as liaison has not yet taken place with Nottinghamshire County Council regarding our co-ordinated admissions schemes

2018/19 ADMISSION ROUND	Distribution of information from Local Authority to schools	Distributions of information by schools to parents/carers	Closing date	Decisions issued to parents/carers by:
Transfers from junior/primary to secondary school	By Wednesday 6 th September 2017	On Friday 8 th September 2017	Tuesday 31 st October 2017 <i>(national closing date)</i>	On Thursday 1 st March 2018 <i>(national offer date)</i>
First admission to infant/primary school and transfers from infant to junior school	By Wednesday 22 nd November 2017	On Friday 24 th November 2017 Local Authority to distribute for children not attending a nursery attached to a city infant or primary school	Monday 15 th January 2018 <i>(national closing date)</i>	Wednesday 18 th April 2018 <i>(national offer date)</i>
Transfers from secondary school to year 10 at 14-19 academies, colleges or studio schools	N/A	On Friday 8 th September 2017	Tuesday 31 st October 2017 <i>(national closing date)</i>	On Thursday 1 st March 2018 <i>(national offer date)</i>

Subject:	SCHOOLS BUDGET 2017/18
Corporate Director(s)/Director(s):	Alison Michalska, Corporate Director, Children and Adults Geoff Walker, Director of Finance and Chief Finance Officer
Portfolio Holder(s):	Councillor Sam Webster, Portfolio Holder for Education, Employment and Skills
Report author and contact details:	Ceri Walters, Head of Commercial Finance Sarah Molyneux, Solicitor and Legal Services Manager
Subject to call-in:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Key Decision:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Criteria for Key Decision:	
(a) <input checked="" type="checkbox"/> Expenditure <input type="checkbox"/> Income <input type="checkbox"/> Savings of £1,000,000 or more taking account of the overall impact of the decision	
and/or	
(b) Significant impact on communities living or working in two or more wards in the City <input type="checkbox"/> Yes <input type="checkbox"/> No	
Type of expenditure:	<input checked="" type="checkbox"/> Revenue <input type="checkbox"/> Capital
Total value of the decision: £256.501m	
Wards affected: All	
Date of consultation with Portfolio Holder(s): January 2017	
Relevant Council Plan Key Theme:	
Strategic Regeneration and Development	<input type="checkbox"/>
Schools	<input checked="" type="checkbox"/>
Planning and Housing	<input type="checkbox"/>
Community Services	<input type="checkbox"/>
Energy, Sustainability and Customer	<input type="checkbox"/>
Jobs, Growth and Transport	<input type="checkbox"/>
Adults, Health and Community Sector	<input type="checkbox"/>
Children, Early Intervention and Early Years	<input type="checkbox"/>
Leisure and Culture	<input type="checkbox"/>
Resources and Neighbourhood Regeneration	<input type="checkbox"/>
Summary of issues (including benefits to citizens/service users):	
<p>This report presents the Council's Schools Budget for 2017/18. The Schools Budget has been prepared in line with the parameters agreed at Schools Forum and with the financial regulations issued by the Department for Education (DfE). Indicative budgets and guidance will be issued to schools on 28th February 2017 with final budgets being confirmed by 31st March 2017.</p> <p>Where applicable, the Medium Term Financial Plan (MTFP) incorporates the impact from the Dedicated Schools Grant (DSG).</p> <p>An explanation of the Schools Budget framework is outlined in detail in section 2 of this report.</p> <p>This report contains the following appendices:</p> <p>1. Appendices A i to v are the DfE Section 251 returns for 2015/16 outturn and 2016/17 budget requiring publication to ensure compliance with legislation requirement.</p>	
Exempt information: None	

Recommendation(s):
DSG
1. To note the overall indicative 2017/18 cost of the Schools, Early Years and High Needs blocks is £256.501m and the DSG funds £255.454m of this cost in 2017/18 as set out in Table 2 .
2 To approve the in-year budget transfers and payments to schools, Private and Voluntary Charitable and Independent settings and Academies totalling £242.158m as per Table 2 .
3 To approve external spend associated with centrally retained expenditure. This allocation is £14.343m, as per Table 2 .
4 To note that all DSG has been allocated to services however, if in year through updated settlements this position changes any unallocated DSG will be transferred to the Statutory School Reserve (SSR) as noted in section 4.5 .
5 To note the procurement of external placements will be in accordance with the financial regulations, gaining approval through the appropriate processes.
EDUCATION SERVICES GRANT
6 To approve the spend of £1.118m allocated to the LA for the following purposes: <ul style="list-style-type: none"> • £0.640m to support retained statutory functions of the LA for all pupils. • £0.478m transitional grant to support statutory functions for pupils in maintained schools. <p>The grant explanation is set out in section 2.5.</p>
PUPIL PREMIUM
7 To approve the allocation of Pupil Premium and Early Years Pupil Premium to settings in accordance with the grant conditions. <p>The grant explanation is set out in section 2.6.</p>
RESERVES
8 To approve use of the Statutory Schools Reserve (SSR) to support any increased costs in 2016/17 associated with High Needs educational provision. This will be summarised within the outturn report. See section 4.7 .
GENERAL
9 To delegate the authority to the Portfolio Holder for Education, Employment and Skills and the Corporate Director for Children and Adults to approve any final budget adjustments.

1 REASONS FOR RECOMMENDATIONS

- 1.1 To ensure an understanding of how and on what basis different DfE grants are allocated to the Local Authority (LA) and how they are then distributed to educational settings. This process enables the school's budgets to be established.
- 1.2 To provide the Executive Board (EB) with a summary budget position of the DSG based on the approvals gained in accordance with the Schools and Early Years Financial Regulations 2015.
- 1.3 To update EB on the impact of any new legislation on the Schools budgets.
- 1.4 To ensure the appropriate constitutional approvals are gained to spend the grants.

2 BACKGROUND (INCLUDING OUTCOMES OF CONSULTATION)

2.1 Construction of the 2017/18 DSG budget

The purpose of this report is to provide a 2017/18 summary budget position for Schools. Approvals required to allocate the DSG have all been gained at Schools Forum and incorporated into the budget setting process. A summary of the outcomes, in accordance with the Schools and Early Years Financial Regulations 2015, are set out in **Table 1** below:

TABLE 1: ANALYSIS OF APPROVALS		
	Status	SF Approval
De - Delegated Budgets		
Behaviour Support	Approved for Primaries only	3 November 2016
Ethnic Minority Achievement	Approved	
Trade Union Senior Representative Cover Time	Approved	
Building Maintenance Services	Approved	
Sports Safe Gym Maintenance Services	Approved	8 December 2016
Copyright Licensing Agreement/Music Publishing Association Licences	Education Funding Agency (EFA)	
Central Budgets		
Schools and Early Years	Approved	8 December 2016

Funding allocated by the LA to schools is made up from:

- a) DSG (see section 2.2)
- b) Pupil Premium (see section 2.3)

2.2 DSG funding

This is allocated over 3 blocks; Schools, Early Years and High Needs and split between central expenditure and delegated budgets. The budget comparison is set out in **Table 2** below:

TABLE 2: DSG ANNUAL BUDGET COMPARISONS

	Schools £m			Early Years £m			High Needs £m			TOTAL £m		
	2015/16	2016/17	2017/18	2015/16	2016/17	2017/18	2015/16	2016/17	2017/18	2015/16	2016/17	2017/18
Budgets	187.666	192.302	199.181	16.484*	16.777	20.632	20.330	21.275	22.345	224.480*	230.354	242.158
Central Expenditure	7.965	7.812	7.826**	1.159	1.092	1.195	4.677	4.972	5.322	13.801	13.876	14.343
Block Totals	195.631	200.114	207.007	17.643	17.869	21.827	24.702	26.247	27.667	234.646	244.230	256.501
Funding not included in DSG settlement											(1.108)	(1.042)
Early Years reserve											(0.537)	
leadroom											0	0
TOTAL DSG (after High Needs recoupment)										236.636*	243.280	255.459
AWPU												
Primary										3,050.15	3,126.58	3,123.25
Key stage 3										4,196.64	4,301.73	4,298.40
Key stage 4										4,893.07	5,015.57	5,012.24

* In the 2015/16 budget report this figure didn't include the 2 year old funding (£3.635m), which aligned to the EFA's funding schedule. For completeness and comparisons this figure has now been added.

** includes £0.640m retained former ESG funding.

2.3 Overall DSG funding has increased since 2016/17 indicative budgets **by £12.179m** (£255.459m - £243.280m). This increase is due to the reasons set out in **Table 3** below:

TABLE 3: 2017/18 BUDGET INCREASE ANALYSIS	
	£m
2016/17	
EY - 3 - 4 Year olds allocation updated to reflect the January 2016 census.	(0.260)
EY - 2 Year olds allocation updated to reflect the January 2016 census.	0.250
EYPP - 3 - 4 Year olds allocation updated to reflect the January 2016 census.	(0.280)
HN – Adjustment to the recoupment of high needs places	(0.064)
2017/18	
Schools - Increased pupil numbers (38,050 in 2016/17 to 39,373 in 2017/18)	6.307
Education Services Grant for (retained rate)	0.640
EY - Difference between 16/17 Early years initial allocation and the universal entitlement 3 - 4 Year olds initial allocation	2.250
EY - Additional universal entitlement for 3-4 year olds (pro-rated September 2017 to March 2018)	2.180
EY - Difference between initial 2 Year olds allocation in 16/17 and estimated 2 year old funding based on January 2016 census.	0.280
EY – Disability Access Group	0.080
HN - Uplift for population	0.538
HN - Uplift for population growth	0.258
TOTAL	12.179

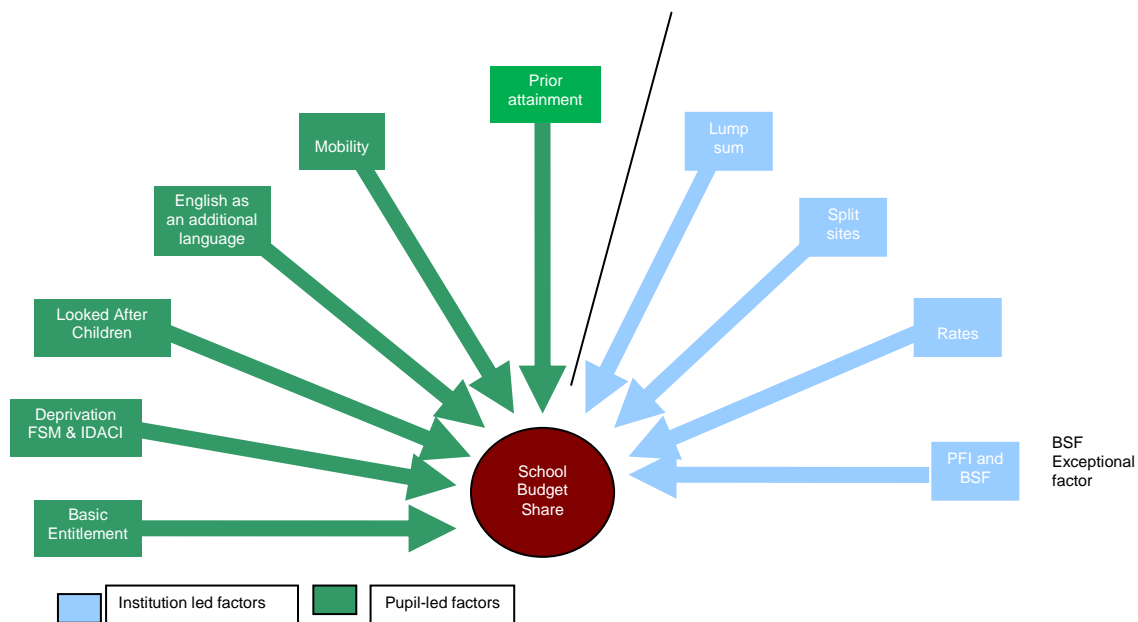
2.4 The impact on these changes to the individual blocks is described below in sections 2.4.1-2.4.3.

2.4.1 Schools Block

The schools block is currently totalling £207.007m, this is funded by:

- DSG £206.826m and
- Reimbursement of costs from academies of £0.181m.

The DSG budget allocation after central expenditure is allocated to schools based on pupil led factors and lump sums; the diagram below shows these factors.



As part of the move to the National Funding Formula (NFF) some of these factors have been adjusted in 2017/18 from 2016/17 a summary of which is as follows:

- a. The **removal of the Post 16 funding factor.**
- b. **New bandings for the index of deprivation** affecting children (IDACI).

Between the financial years 2016/17 and 2017/18 there has been an increase of 5.8% in pupils however, there has been an increase of 54.4% in funding passed through the IDACI factor. This is because the rates were uplifted in 2016/17 by 29% but the DfE have now re-banded pupils so that they roughly match in size to the percentage splits in each band in 2015/16.

The LA has decided not to reduce the rates as the IDACI rates in 2017/18 as the new NFF second consultation states that the IDACI rates are higher than we currently have so the LA has decided not to reduce them even further away from those stated in the consultation.

Overall the schools block has increased by £6.879m however there have been other movements within the block. **Table 4** below demonstrates these movements and how they have been funded.

TABLE 4: SCHOOLS BLOCK FUNDING MOVEMENTS

Factor	£m	Reason
AWPU	4.483	An increase in pupil numbers – 940 primary, 358 KS3 & 43 KS4.
IDACI	3.056	As referred to above.
English as an Additional Language	0.423	Increase in numbers in primary (2.5%) and secondary (3%) and costs.
Prior Attainment	0.073	Increase in numbers in primary (2.5%) and secondary however new national secondary weighting has reduced costs.
BSF/PFI	0.105	
Free School Meals	0.389	Secondary phase has increased by £0.389m with numbers increasing.
TOTAL	8.529	
FUNDED BY:		
Free School Meals	(0.423)	Even though there is an increase of 940 pupils in primary the number eligible for FSM has reduced from 6,711 to 6,484 (a reduction of 227 pupils). This has resulted in a reduction of £0.423m.
Business Rates	(0.130)	Rate revaluations.
Sixth Form Funding	(0.559)	Schools with sixth forms no longer receive this funding as the factor has been removed by the EFA.
Amalgamated Schools	(0.088)	One off funding dropped out in 2017/18.
Minimum Funding Guarantee	(0.441)	
DSG	(6.307)	Increase in pupil numbers from 38,050 to 39,373.
Central Expenditure reduction	(0.616)	
TOTAL	8.564	

The impact of the above on the pupil led factors has resulted in a **slight reduction in all 3 AWPU rates of £3.33 compared to 2016/17**; this is due to the increased costs per pupil. Despite this small reduction Nottingham still has an average AWPU rate significantly higher than other authorities, this is demonstrated in **Table 5** below:

TABLE 5: 2017/18 AWPU COMPARISONS				
	DfE average rates	Allocated to Nottingham Schools		
		Primary	KS3	KS4
Nottingham	5,252.99	3,123.25	4,298.40	5,012.24
Sheffield	4,518.38	2,724.78	3,417.84	4,166.75
Bristol, City of	4,684.02	2,937.00	4,191.00	4,420.00
Derby	4,366.82	2,655.14	3,719.21	4,163.98
Leicester	4,623.02	2,930.24	3,800.59	3,800.59

Table 6 below shows the schools % budget movement by sector from 2016/17 to 2017/18.

TABLE 6: % BUDGET MOVEMENTS IN SCHOOLS				
Phase	No. of schools with a loss greater than -5%	No. of schools with a budget movement of -5% to 0	No. of schools with a budget movement of 0 to 5%	Total number of schools
Primary	0	51	22	73
Secondary	1	9	6	16
Total	1	60	28	89

2.4.2 Early Years (EY)

The EY's block indicative value is £21.827m, this is funded by:

- DSG £21.549m and
- Reserve £0.278m

EY's DSG funding from April 2017 is based upon the new EY national funding formula (EYNFF) as announced by the EFA on 1 December 2016 and totals.

DSG - LA allocation

Within this provisional allocation there is funding for:

- a. 3 & 4 year old universal entitlement (£17.070m)
This includes a provisional allocation of £2.180m for the additional hours from September 2017 for children of working parents meeting the national eligibility criteria.

Their estimate for Nottingham **implies that 25% of pupils accessing the 3 & 4 year old universal entitlement will take up the additional hours.** Final allocations will be based on actual participation as above for the universal entitlement.

Funding rate is £4.92 per hour.

- b. 2 year old funding (£4.159m)
The funding rate for 2 year olds has increased from £4.88 to £5.23 per hour from April 2017.
- c. EY Pupil Premium (EYPP) (£0.240m)
The EYPP funding rate is unchanged at £0.53 per hour.
- d. Early Years disability access fund (£0.080m).

Distribution of EY funding

- a. 3 & 4 year olds - **Table 7** below set out the agreed rates for 2017/18:

TABLE 7: EY FUNDING FORMULA		
Formula element	Hourly rate £	Eligibility criteria
Base rate	4.25	Hourly base rate for all pupils/providers
Deprivation supplement	1.00	Additional hourly supplement for pupils eligible for EYPP
Flexibility supplement	0.10	Addition to the hourly rate attracted by settings open at least 50 weeks of the year

This formula was presented to Schools Forum on 8 December 2016 and 19 January 2017 after a consultation period.

- b. 2 Year old funding – Of the £5.23 LA allocation £5.03 (an increase of £0.15) will be allocated to providers with £0.20 retained by the LA.
- c. EYPP - indicative figure for 2017/18 is in line with take up in 2016/17. The significantly higher budget figure for 2016/17 reflects the original EFA over-estimate which was rolled forward from 2015/16.

2.4.3 High Needs (HN)

The HN block indicative value is £27.667m, this is funded by:

- DSG £26.907m and
- EFA income £0.760m

High Needs funding for 2017/18 is based upon LAs' planned spending levels in 2016/17 plus a national uplift allocated to LAs based on population and population growth. Nottingham's share of this uplift is £0.800m.

2.5 Education Services Grant (ESG)

In 2017/18 the former ESG grant has been split into 2 elements titled:

- i. Retained Duties – this is £117m nationally and is to fund the statutory duties the LA has to carry out for every pupil. This totals £0.640m for Nottingham and has to be approved by SF; this was undertaken on 17 January 2017.
- ii. General Duties – This is transitional ESG funding for general duties allocated directly to LA in 2017/18 and covers April to August. The reduced rates are set out in **Table 8** below and the indicative allocation is £0.478m.

TABLE 8: ESG GENERAL RATES PER PUPIL		
	Full Year Rate	2017/18 5/12ths Allocation Rate
ESG General Funding Rate for mainstream schools	£66.00	£27.50
ESG General Funding Rate for special schools	£280.50	£116.88
ESG General Funding Rate for PRUs	£247.50	£103.13

The duties covered by this grant are set out in **Table 9**.

TABLE 9: ESG GENERAL	
1	Functions of LA related to best value and provision of advice to governing bodies in procuring goods and services.
2	Budgeting and accounting functions relating to maintained schools.
3	Functions relating to the financing of maintained schools.
4	Authorisation and monitoring of expenditure in respect of schools which do not have delegated budgets, and related financial administration.
5	Monitoring of compliance with requirements in relation to the scheme for financing schools and the provision of community facilities by governing bodies.
6	Internal audit and other tasks related to the authority's chief finance officer's responsibilities under Section 151 of LGA 1972 for maintained schools.
7	Functions made under Section 44 of the 2002 Act.
8	Investigations of employees or potential employees, with or without remuneration to work at or for schools under the direct management of the Headteacher or governing body.
9	Functions related to local government pensions and administration of teachers' pensions in relation to staff working at maintained schools under the direct management of the Headteacher or governing body.
10	Retrospective membership of pension schemes where it would not be appropriate to expect a school to meet the cost.
11	HR duties, including: advice to schools on the management of staff, pay alterations, conditions of service and composition/organisation of staff; determination of conditions of service for non-teaching staff; appointment or dismissal of employee functions.
12	Consultation costs relating to staffing.
13	Compliance with duties under Health and Safety at Work Act.
14	Investigation and resolution of complaints relating to maintained schools.
15	Provision of information to or at the request of the Crown relating to schools.

16	School companies.
17	Functions under the Equality Act 2010.
18	Establish and maintaining computer systems, including data storage.
19	Appointment of governors and payment of governor expenses.
	<u>Education Welfare</u>
20	Inspection of attendance registers.
	<u>Asset management</u>
21	General landlord duties for all maintained schools (Sch 1, 10a (section 542(2) Education Act 1996; School Premises Regulations 2012) to ensure that school buildings have: <ul style="list-style-type: none"> • appropriate facilities for pupils and staff (including medical and accommodation) • the ability to sustain appropriate loads • reasonable weather resistance • safe escape routes • appropriate acoustic levels • lighting, heating and ventilation which meets the required standards • adequate water supplies and drainage • playing fields of the appropriate standards
22	General health and safety duty as an employer for employees and others who may be affected.
23	Management of the risk from asbestos in community school buildings.
	<u>Central Support Services</u>
24	Clothing grants.
25	Provision of tuition in music, or on other music-related activities.
26	Visual, creative and performing arts.
27	Outdoor education centres (but not centres mainly for the provision of organised games, swimming or athletics).
28	Dismissal or premature retirement when costs cannot be charged to maintained schools.
29	Monitoring of National Curriculum assessments.
30	Services set out in the table above will also include overheads relating to these services: <ul style="list-style-type: none"> • Ensuring payments are made in respect of taxation, national insurance and superannuation contributions. • Recruitment, training, continuing professional development, performance management and personnel management of staff. • Investigations of employees or potential employees, with or without remuneration. • Investigation and resolution of complaints. • Legal services related to education functions.

2.6 Pupil Premium (PP)

The total PP allocated to schools is made up of 3 of elements and each element has a different pupil criteria supporting, these are described below:

- Pupil Premium - Indicative allocation for all schools will be confirmed in summer 2017 based on the January census; it is assumed at the moment that the rate will probably remain the same as 2016/17, as set out in **Table 10** below.

TABLE 10: PUPIL PREMIUM COMPARISON				
	Primary	Secondary	Service Child	Looked after
	£	£	£	Child*
				£
2015/16, 2016/17 & 2017/18	1,320	935	300	1,900
2014/15	1,300	935	300	1,900

*Looked after Children and eligible pupils who have been adopted from care or leaving care under a special guardianship or residence order.

- Year 7 Catch up Premium Grant – The rate is unconfirmed but the rate in 2016/17 was £500 per Year 7 pupil. The basis for allocating the funding in 2017/18 has not been confirmed. In 2016 to 2017 schools will receive the same overall amount of year 7 catch-up premium funding they received in 2015 to 2016, adjusted to reflect the percentage change in the size of their year 7 cohort, based on the October 2016 census. The funding in 2015/16 was based upon pupils who did not achieve at least level 4 in reading and/or mathematics at Key Stage 2 in 2015. This grant is allocated to the LA for maintained schools for distribution and the conditions of the grant are that it must be spent for the purposes of the school for the educational benefit of pupils registered at the school, or for the benefit of pupils registered at other maintained schools and on community facilities.

3 OTHER OPTIONS CONSIDERED IN MAKING RECOMMENDATIONS

- 3.1 No other options are available as the recommendations align to the financial regulations issued by the DfE in relation to the allocation of the DSG and pupil premium.

4 FINANCE COMMENTS (INCLUDING IMPLICATIONS AND VALUE FOR MONEY/VAT)

- 4.1 As stated in section 2.3 the initial DSG budget allocation for Nottingham for 2017/18 is **£255.459m before academy recoupment**.
- 4.2 This is an **increase of £12.179m on 2016/17**; reasons for this increase are set out in **Table 3** above.
- 4.3 **Table 2** provides a summarised analysis of the DSG allocation.
- 4.4 The Schools and Early Years Blocks include funding for centrally retained services totalling; these have all been approved by SF in line with the Schools and Early Years Financial Regulations 2015 however there is a risk of gaining this approval in 2018/19.

- 4.5 Once the DSG has been confirmed any unallocated balance will be allocated to the DSG Statutory School Reserve.
- 4.6 The ESG allocation has gained approvals from SF where required and the allocation aligns to the 2017/18 MTFP.
- 4.7 Due to increase costs of High Needs in 2016/17 in relation to excluded children and Children in Care, there may be a requirement to support any unbudgeted costs from within the SSR. This report requests the approval to fund any in year pressure.

Any use of the SSR will be included in the 2016/17 Outturn report.

- 4.8 Funding guidance will be issued to schools along with their 2017/18 indicative budgets. This guidance related to mainstream schools and academies and Nottingham Nursery; there will be separate guidance issued for Special Schools and Pupil Referral Units.

The guidance explains:

- the factors being used to distribute the DSG and
- how other grants have been distributed.

- 4.9 **Appendix A** i-v are DfE Section 251 returns for 2015/16 outturn and the 2016/17 budget. The inclusion of these returns within this report ensures compliance with publication requirements.

5 LEGAL AND PROCUREMENT COMMENTS (INCLUDING RISK MANAGEMENT ISSUES, AND INCLUDING LEGAL, CRIME AND DISORDER ACT AND PROCUREMENT IMPLICATIONS)

- 5.1 The current law in force in this area is the School and Early Years Finance (England) Regulations 2015. However, these regulations apply for the financial year starting 1 April 2016 only and are updated annually. The 2016 draft regulations have not yet been produced but on the basis that the substance of the regulations will not change, in relation to the matters which are the subject of this report, from the 2015 Regulations, this report seeks to address the requirements of those Regulations. However, it will be necessary to review these proposals once 2016 regulations have been produced

6 STRATEGIC ASSETS & PROPERTY COMMENTS (FOR DECISIONS RELATING TO ALL PROPERTY ASSETS AND ASSOCIATED INFRASTRUCTURE)

- 6.1 There are no implications to Strategic Assets & Property.

7 SOCIAL VALUE CONSIDERATIONS

- 7.1 The allocation of the school's budget is set in accordance with the Schools and Early Years Financial Regulations 2015. These regulations ensure that the schools budget is allocated to educational settings on a fair and transparent basis.

8 REGARD TO THE NHS CONSTITUTION

- 8.1 There are no implications to the NHS constitution.

9 EQUALITY IMPACT ASSESSMENT (EIA)

9.1 Has the equality impact of the proposals in this report been assessed?

No



An EIA is not required because there are no implications from this report.

10 LIST OF BACKGROUND PAPERS RELIED UPON IN WRITING THIS REPORT (NOT INCLUDING PUBLISHED DOCUMENTS OR CONFIDENTIAL OR EXEMPT INFORMATION)

10.1 None.

11 PUBLISHED DOCUMENTS REFERRED TO IN THIS REPORT

11.1 Schools Forum – De-delegated reports 3 November 2016

11.2 Schools Forum – Sports Safe Gym Maintenance – 8 December 2016

11.3 Schools Forum – Central Expenditure – 8 December 2016 and January 2017.

11.4 Schools Forum – Early Years – 8 December 2016

11.5 Schools and Early Years Financial Regulations 2015

12 OTHER COLLEAGUES WHO HAVE PROVIDED INPUT

12.1 Sarah Molyneux, Solicitor and Legal Services Manager

2.2.3 Pension costs							621241	0	621241	759714	653720
2.2.4 Joint use arrangements							0	0	0	0	0
2.2.5 Insurance							0	0	0	0	0
2.3.1 Other Specific Grant							0	0	0	0	0
2.4.1 Total Other education and community expenditure							10680333	4538909	6141424	8232225	9022911
3 Capital Expenditure (excluding CERA)	0	0	0	0	0		0	0	0		485485

DEPARTMENT FOR EDUCATION DATA COLLECTION
Year 2015-16
Table A1 - CHILDREN'S AND YOUNG PEOPLE'S SERVICES

LA Name	Nottingham	LA No.	892
Contact	Dee Fretwell	Email	dee.fretwell@nottinghamcity.gov.uk
Tel No	01158763711		

	PROVISION BY OTHERS				TOTAL EXPENDITURE	INCOME	NET Current Expenditure	Govt. Grants Inside AEF	Govt. Grants Outside AEF	LEA NET Revenue Expenditure
	OWN PROVISION	PRIVATE	OTHER PUBLIC	VOLUNTARY						
	(a)	(b)	(c)	(d)	(k)	(l)	(m)	(n)	(o)	(q)
SURE START CHILDREN'S CENTRES AND EARLY YEARS										
1 Spend on individual Sure Start Children's Centres	3505339	0	0	0	3505339	15286	3490053	0	0	3490053
2 Spend for local authority provided or commissioned area wide services delivered through Sure Start Children's Centres	58126	0	0	0	58126	0	58126	0	0	58126
3 Spend on local authority management costs relating to Sure Start Children's Centres	0	0	0	0	0	0	0	0	0	0
4 Other early years expenditure	198050	0	0	0	198050	0	198050	0	0	198050
5 Total Sure Start Children's Centres and Early Years Expenditure	3761515	0	0	0	3761515	15286	3746229	0	0	3746229
CHILDREN LOOKED AFTER										
6 Residential care	4034403	10099444	0	0	14133847	44	14133803	0	0	14133803
7 Fostering services	4276587	10248573	0	0	14525160	3762	14521398	0	0	14521398
8 Adoption services	1037823	673167	0	0	1710990	335711	1375279	0	0	1375279
9 Special guardianship support	0	2163220	0	0	2163220	0	2163220	0	0	2163220
10 Other children looked after services	2592467	248244	0	0	2840711	1898473	942238	0	0	942238
11 Short breaks (respite) for looked after disabled children	0	261205	0	0	261205	0	261205	0	0	261205
12 Children placed with family and friends	1364625	0	0	0	1364625	400044	964581	0	0	964581
13 Education of looked after children	247073	0	0	0	247073	0	247073	0	0	247073
14 Leaving care support services	787595	0	0	0	787595	0	787595	0	0	787595
15 Asylum seeker services - children	658565	282868	0	0	941433	0	941433	336416	0	605017
16 Total Children Looked After	14999138	23976721	0	0	38975859	2638034	36337825	336416	0	36001409
OTHER CHILDREN AND FAMILIES SERVICES										
17 Other children and families services	360198	380000	0	0	740198	746113	-5915	0	0	-5915
SAFEGUARDING CHILDREN AND YOUNG PEOPLE'S SERVICES										
18 Social work (including LA functions in relation to child protection)	11968015	0	0	0	11968015	83041	11884974	0	0	11884974
19 Commissioning and Children's Services Strategy	5130696	0	0	0	5130696	505959	4624737	0	0	4624737
20 Local Safeguarding Children Board	336403	0	0	0	336403	336173	230	0	0	230
21 Total Safeguarding Children and Young People's Services	17435114	0	0	0	17435114	925173	16509941	0	0	16509941
FAMILY SUPPORT SERVICES										
22 Direct payments	1618371	0	0	0	1618371	126614	1491757	0	0	1491757
23 Short breaks (respite) for disabled children	1937234	0	0	0	1937234	37483	1899751	0	0	1899751
24 Other support for disabled children	375014	0	0	0	375014	219	374795	0	0	374795
25 Targeted family support	1438651	0	0	0	1438651	0	1438651	1444832	0	-6181
26 Universal family support	0	0	0	0	0	0	0	0	0	0
27 Total Family Support Services	5369270	0	0	0	5369270	164316	5204954	1444832	0	3760122
SERVICES FOR YOUNG PEOPLE										
28 Universal services for young people	1618371	0	0	0	1618371	126614	1491757	0	0	1491757
29 Targeted services for young people	0	0	0	0	0	0	0	0	0	0
30 Total Services for Young People	1618371	0	0	0	1618371	126614	1491757	0	0	1491757
YOUTH JUSTICE										
31 Youth Justice					2376623	1325618	1051005			
32 Capital Expenditure from Revenue (CERA) (Children's and young people services)					0	0	0			
33 Children and Young People's Services Expenditure(excluding CERA)					70276950	5941154	64335796			
34 Children and Young People's Services Expenditure(including CERA)					70276950	5941154	64335796			
MEMORANDUM ITEMS										
SERVICES FOR YOUNG PEOPLE										
35 Substance misuse services(Drugs, alcohol and volatile substances)(included in 28 and 29 above)					0					
36 Teenage pregnancy services(included in 28 and 29 above)					0					

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LA Table: FUNDING PERIOD (2016-17)

Department for Education Section 251 Financial Data Collection

Report produced on 13/05/2016 14:34:50

Local Authority 892 Nottingham

Description	Early Years	Primary	Secondary	SEN/ Special Schools	AP/ PRUs	Post School	Gross	Income	Net
1.0.1 Individual Schools Budget (before Academy recoupment)	16467337.00	111642268.00	80194377.00	5020000.00	1810833.00		215134815.00		215134815.00
1.1.1 Contingencies		180626.00	18277.00				198903.00	.00	198903.00
1.1.2 Behaviour support services		291104.00	.00				291104.00	.00	291104.00
1.1.3 Support to UPEG and bilingual learners		111017.00	2718.00				113735.00	.00	113735.00
1.1.4 Free school meals eligibility		.00	.00				.00	.00	.00
1.1.5 Insurance		.00	.00				.00	.00	.00
1.1.6 Museum and Library services		.00	.00				.00	.00	.00
1.1.7 Licences/subscriptions		19000.00	500.00				19500.00	.00	19500.00
1.1.8 Staff costs – supply cover excluding cover for facility time		.00	.00				.00	.00	.00
1.1.9 Staff costs – supply cover for facility time		80024.00	3583.00				83607.00	.00	83607.00
1.2.1 Top up funding - maintained schools	1133.00	1225833.00	234225.00	4856197.00	1981751.00		8299139.00	.00	8299139.00
1.2.2 Top-up funding – academies, free schools and colleges	.00	1245100.00	2132077.00	1184193.00	.00	996089.00	5557459.00	.00	5557459.00
1.2.3 Top-up and other funding – non-maintained and independent providers	.00	.00	.00	1737849.00	.00	.00	1737849.00	30282.00	1707567.00
1.2.4 Additional high needs targeted funding for mainstream schools and academies	17227.00	1323793.00	338078.00				1679098.00	.00	1679098.00
1.2.5 SEN support service	170465.00	1487383.00	886465.00	28201.00	10020.00	.00	2582534.00	82486.00	2500048.00
1.2.6 Hospital education services				.00	1428807.00		1428807.00	.00	1428807.00
1.2.7 Other alternative provision services	.00	80000.00	364830.00	.00	.00	.00	444830.00	4360.00	440470.00
1.2.8 Support for inclusion	41119.00	358783.00	213831.00	6803.00	2417.00	.00	622953.00	36187.00	586766.00
1.2.9 Special schools and PRUs in financial difficulty				.00	.00		.00	.00	.00
1.2.10 PFI/ BSF costs at special schools and AP/PRUs				745715.00	.00		745715.00	.00	745715.00
1.2.11 Direct payments (SEN and disability)	.00	.00	.00	.00	.00	.00	.00	.00	.00
1.2.12 Carbon reduction commitment allowances (PRUs)					11767.00		11767.00	.00	11767.00

1.3.1 Central expenditure on children under 5	1401974.00						1401974.00	.00	1401974.00
1.4.1 Contribution to combined budgets	191430.00	1670313.00	995490.00	31669.00	11253.00		2900155.00	127348.00	2772807.00
1.4.2 School admissions	53050.00	462886.00	275876.00	8776.00	3118.00		803706.00	.00	803706.00
1.4.3 Servicing of schools forums	1980.00	17278.00	10298.00	328.00	116.00		30000.00	.00	30000.00
1.4.4 Termination of employment costs	108131.00	943493.00	562312.00	17889.00	6356.00		1638181.00	.00	1638181.00
1.4.5 Falling Rolls Fund	.00	.00	.00	.00	.00		.00	.00	.00
1.4.6 Capital expenditure from revenue (CERA)	52893.00	461514.00	275058.00	8750.00	3109.00		801324.00	.00	801324.00
1.4.7 Prudential borrowing costs	21500.00	187598.00	111806.00	3557.00	1264.00		325725.00	.00	325725.00
1.4.8 Fees to independent schools without SEN	.00	.00	.00	.00	.00		.00	.00	.00
1.4.9 Equal pay - back pay	.00	.00	.00	.00	.00		.00	.00	.00
1.4.10 Pupil growth/Infant class sizes	.00	1286844.00	.00	.00	.00		1286844.00	.00	1286844.00
1.4.11 SEN transport	.00	.00	.00	1000000.00	.00	.00	1000000.00	.00	1000000.00
1.4.12 Exceptions agreed by Secretary of State	.00	.00	.00	.00	.00	.00	.00	.00	.00
1.4.13 Other Items	14805.00	129183.00	76992.00	2449.00	870.00	.00	224299.00	.00	224299.00
1.5.1 Other Specific Grants	.00	.00	.00	.00	.00	.00	.00	.00	.00
1.6.1 TOTAL SCHOOLS BUDGET (before Academy recoupment)	18543044.00	123204040.00	86696793.00	14652376.00	5271681.00	996089.00	249364023.00	280663.00	249083360.00
1.7.1 Estimated Dedicated Schools Grant for 2016-17							243279075.00		
1.7.2 Dedicated Schools Grant brought forward from 2015-16							14257437.00		
1.7.3 Dedicated Schools Grant carried forward to 2017-18							(11526617.00)		
1.7.4 EFA funding							950967.00		
1.7.5 Local Authority additional contribution							764830.00		
1.7.6 Total funding supporting the Schools Budget (lines 1.7.1 to 1.7.5)							247725692.00		
1.8.1 Academy: recoupment from the Dedicated Schools Grant (please show any recoupment from the DSG)							(128497600.27)		
2.0.1 Therapies and other health related services							.00	.00	.00
2.0.2 Central support services							1121009.00	799563.00	321446.00
2.0.3 Education welfare service							902746.00	.00	902746.00
2.0.4 School improvement							483097.00	28450.00	454647.00
2.0.5 Asset management - education							24548.00	41000.00	(16452.00)
2.0.6 Statutory/ Regulatory duties - education							2325323.00	332335.00	1992988.00
2.0.7 Premature retirement cost/ Redundancy costs (new provisions)							527913.00	.00	527913.00

2.0.8 Monitoring national curriculum assessment							116159.00	25180.00	90979.00
2.1.1 Educational psychology service							590251.00	189665.00	400586.00
2.1.2 SEN administration, assessment and coordination and monitoring							301960.00	169417.00	132543.00
2.1.3 Independent Advice and Support Services (Parent partnership), guidance and information							107180.00	.00	107180.00
2.1.4 Home to school transport (pre 16): SEN transport expenditure	.00	.00	.00	674112.00	.00	.00	674112.00	.00	674112.00
2.1.5 Home to school transport (pre 16): mainstream home to school transport expenditure:	.00	30337.00	18379.00	.00	.00	.00	48716.00	.00	48716.00
2.1.6 Home to post-16 provision: SEN/ LLDD transport expenditure (aged 16-18)	.00	.00	.00	.00	.00	121296.00	121296.00	.00	121296.00
2.1.7 Home to post-16 provision: SEN/ LLDD transport expenditure (aged 19-25)	.00	.00	.00	.00	.00	30324.00	30324.00	.00	30324.00
2.1.8 Home to post-16 provision transport: mainstream home to post-16 transport expenditure	.00	.00	.00	.00	.00	.00	.00	.00	.00
2.1.9 Supply of school places							197828.00	.00	197828.00
2.2.1 Young people's learning and development			.00	.00	.00		.00	.00	.00
2.2.2 Adult and Community learning							.00	.00	.00
2.2.3 Pension costs							759714.00	.00	759714.00
2.2.4 Joint use arrangements							.00	.00	.00
2.2.5 Insurance							.00	.00	.00
2.3.1 Other Specific Grant							.00	.00	.00
2.4.1 Total Other education and community budget							8332176.00	1585610.00	6746566.00
3.0.1 Funding for individual Sure Start Children's Centres							6407958.00	1454800.00	4953158.00
3.0.2 Funding for local authority provided or commissioned area wide services delivered through Sure							584996.00	131000.00	453996.00
3.0.3 Funding on local authority management costs relating to Sure Start Children's Centres							.00	.00	.00
3.0.4 Other early years funding							130973.00	.00	130973.00
3.0.5 Total Sure Start Children's Centres and Early Years Funding							7123927.00	1585800.00	5538127.00
3.1.1 Residential care							12378495.00	271253.00	12107242.00
3.1.2 Fostering services							13495668.00	271253.00	13224415.00
3.1.3 Adoption services							3093232.00	33260.00	3059972.00
3.1.4 Special guardianship support							1343788.00	.00	1343788.00

3.1.5 Other children looked after services						1588835.00	14367.00	1574468.00
3.1.6 Short breaks (respite) for looked after disabled children						123304.00	.00	123304.00
3.1.7 Children placed with family and friends						.00	.00	.00
3.1.8 Education of looked after children	12415.00	108325.00	64561.00	2054.00	730.00	188085.00	.00	188085.00
3.1.9 Leaving care support services						1813785.00	.00	1813785.00
3.1.10 Asylum seeker services children						412661.00	204967.00	207694.00
3.1.11 Total Children Looked After	12415.00	108325.00	64561.00	2054.00	730.00	34437853.00	795100.00	33642753.00
3.2.1 Other children and families services						30190.00	.00	30190.00
3.3.1 Social work (including LA functions in relation to child protection)						8419558.00	53983.00	8365575.00
3.3.2 Commissioning and Children's Services Strategy						4928806.00	553560.00	4375246.00
3.3.3 Local Safeguarding Children's Board						391486.00	265958.00	125528.00
3.3.4 Total Safeguarding Children and Young People's Services						13739850.00	873501.00	12866349.00
3.4.1 Direct payments						818887.00	.00	818887.00
3.4.2 Short breaks (respite) for disabled children						1927841.00	105000.00	1822841.00
3.4.3 Other support for disabled children						54086.00	111.00	53975.00
3.4.4 Targeted family support						5432574.00	940575.00	4491999.00
3.4.5 Universal family support						.00	.00	.00
3.4.6 Total Family Support Services						8233388.00	1045686.00	7187702.00
3.5.1 Universal services for young people						1416818.00	163100.00	1253718.00
3.5.2 Targeted services for young people						.00	.00	.00
3.5.3 Total Services for young people						1416818.00	163100.00	1253718.00
3.6.1 Youth justice						1960282.00	.00	1960282.00
4.0.1 Capital Expenditure from Revenue (CERA) (Non-schools budget functions and Children's and young						.00	.00	.00
5.0.1 Total Schools Budget and Other education and community budget (excluding CERA) (lines 1.6.1 and 2.4.1)						257696199.00	1866273.00	255829926.00
5.0.2 Total Children and Young People's Services and Youth Justice Budget (excluding CERA)(lines 3.0.5 + 3.1.11 + 3.2.1 + 3.3.4 + 3.4.6 + 3.5.3 + 3.6.1)						66942308.00	4463187.00	62479121.00

6 Total Schools Budget, Other education and community budget, Children and Young People's Services and Youth Justice Budget (excluding CERA) (lines 5.0.1 + 5.0.2)						324638507.00	6329460.00	318309047.00
7 Capital Expenditure (excluding CERA)	.00	.00	.00	.00	.00	.00	.00	.00
8a.1 Substance misuse services (Drugs, Alcohol and Volatile substances)(included in 3.5.1 and 3.5.2)						.00	.00	.00
8a.2 Teenage pregnancy services (included in 3.5.1 and 3.5.2 above)						.00	.00	.00

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EY Pro Forma Table: FUNDING PERIOD (2016-17)

Department for Education Section 251 Financial Data Collection

LEA 892 Nottingham

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	Description	Unit Value (£)			Unit Applied Unit Type	Number of Units			Anticipated Budget (£)				Proportion of funding
		PVI	Nursery School	Primary Nursery Class		PVI	Nursery School	Primary Nursery Class	PVI	Nursery School	Primary Nursery Class	TOTAL	
1. EYSFF (three and four year olds) Base Rate(s) per hour, per provider type	A rate of £4 hour is paid to all providers for children attending up to 15 hours a week. Nurseries attached to schools are reduced by £0.41 as the schools has already received funding for premises costs through the national funding formula.	4	4	3.59	PerHour	906076	44172	1949794	3624304	176688	6999760.46	10800752.46	62.27
2a. Supplements (please supply a short note for your supplement payment) - Deprivation	Suppliment only applies to providers where more than 50% of pupils live in wards classified as amongst the 20% most deprived nationally. Schools qualify if they meet the 50% on either over a two year average.	0.1	0.1	0.1	PerHour	569885	44172	1422111	56988.5	4417.2	142211.1	203616.8	1.17
2b. Supplements (please supply a short note for your supplement payment) - Quality	If a provider receives an OFSTED score of 1 (Outstanding) they receive £0.10 an hour If a provider receives an OFSTED score of 2 (Good) £0.05 an hour; 3 (Requires Improvement) and 4 (Inadequate) receives no funding at all	0.1		0.1	PerHour	64244		331508	6424.4		33150.8	39575.2	0.23
		0.05	0.05	0.05	PerHour	733032	44172	1004719	36651.6	2208.6	50235.95	89096.15	0.51
2c. Supplements (please supply a short note for your supplement payment) - Flexibility	Where the settings have a flexible offer across the day and over at least 44 weeks.	0.1	0.1		PerHour	538320	44172		53832	4417.2		58249.2	0.34
2d. Supplements (please supply a short note for your supplement payment) -	No budget lines entered												0
3. Other formula factors and lump sums (if applicable)	To enable £0.05 contribution per child per session for healthy snacks	0.05	0.05		PerHour	906371	44172		45318.55	2208.6		47527.15	0.27
4. Additional funded free hours eg full time places (if applicable)	A rate of £4 per hour is paid to providers for children who attend above 15 hours but less than 25 hours a week at nursery schools and primary nursery classes. Nurseries attached to schools are reduced by £0.41 as the school has already received fund		4	3.59	PerHour		19088	265770		76352	954114.3	1030466.3	5.94
	A supplement is paid to nursery schools and primary nursery classes where more than 50% of pupils live in wards classified as amongst the 20% most deprived nationally. Schools qualify if they meet the 50% on either over a two year average. This rat		0.1	0.1	PerHour		19088	225022		1908.8	22502.2	24411	0.14
	If a provider receives an OFSTED score of 1 (Outstanding) they receive £0.10 an hour for hours than are provided above 15 hours but less than 25 hours per week.			0.1	PerHour			23565			2356.5	2356.5	0.01
	If a provider receives an OFSTED score of 2 (Good) £0.05 an hour; 3 (requires improvement) and 4 (inadequate) receives no funding at all.		0.05	0.05	PerHour		19088	150250		954.4	7512.5	8466.9	0.05
	Where the settings have a flexible offer across the day and over at least 44 weeks.		0.1		PerHour		19088			1908.8		1908.8	0.01
	To enable £0.05 contribution per child per session for healthy snacks for children attending over 15 hours to 25 hours		0.05		PerHour		19088			954.4		954.4	0.01
TOTAL FUNDING FOR EARLY YEARS SINGLE FUNDING FORMULA (3s									3823519.05	272018	8211843.81	12307380.86	70.96
5. Two year old Base Rate(s) per hour, per provider type	A rate of £4.88 hour is paid to all providers for children attending up to 15 hours a week.	4.88	4.88	4.88	PerHour	695371	21612	27817	3393410.48	105466.56	135746.96	3634624	20.96
6a. Two year old supplements Quality (if applicable)	No budget lines entered												0
6b. Two year old supplements Other supplements (if applicable)	No budget lines entered												0
TOTAL FUNDING FOR EARLY YEARS SINGLE FUNDING FORMULA									3393410.48	105466.56	135746.96	3634624	20.96
7a. Early years contingency funding - 2 Year Olds	Inclusive Support Grant (PVI's)											85000	0.49
7b. Early years contingency funding - 3 & 4 Years Old	Nursery Contingency - to cover costs not funded through the Early Years Single Funding Formula (EYSFF), for example catering, water and business rates, broadband connection etc.											225137	1.3
8a. Early years centrally retained spending - 2 Year Olds	Funding set aside for the management and administration costs associated with two year old placements, for example Training, Continual Professional Development (CPD) and support grants.											769232	4.44
8b. Early years centrally retained spending - 3 & 4 Years Old	Funding set aside for management and administration costs associated with 3-4 year old placements for example Training, Continual Professional Development (CPD) and support grants.											322605	1.86
TOTAL FUNDING FOR CENTRAL EXPENDITURE												1401974	8.08
9. Early years pupil premium allocation												525331	

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S251 Budget 2016-17 - School Table Report

S251 Budget 2016-17 Table 2: School table high needs & AP settings

Report produced on 13/05/2016 15:06:34

Local Authority 892 Nottingham

School Name	DfE Number	School Opening/ Closing	Date Opening Closing	Type of Establishment	Special Educational Needs (SEN) Places		SEN Place Funding	Alternative Provision (AP) Places		AP Place Funding	Hospital Education Places		Hospital Education Place Funding	Total Place Funding April 2016 To March 2017
					April 2016 to August 2016	September 2016 to March 2017		April 2016 to August 2016	September 2016 to March 2017		April 2016 to August 2016	September 2016 to March 2017		
Denewood Learning Centre	1104			PRU				53	53	530000				530000
Beckhampton Centre	1107	Closed	31/08/2016	PRU				12	0	50000				50000
Hospital and Home Education PRU	1109			PRU				5	5	50000				50000
Unity Learning Centre	1110			PRU				119	103	1096667				1096667
Woodlands School	7033			Special	63	65	641667							641667
Rosehill School	7035			Special	110	110	1100000							1100000
Westbury School	7040			Special	61	67	645000							645000
Oak Field School and Specialist Sports College	7042			Special	160	160	1600000							1600000

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Subject:	TREASURY MANAGEMENT 2017/18 STRATEGY
Corporate Director(s)/Director(s):	Geoff Walker, Strategic Director for Finance
Portfolio Holder(s):	Councillor Graham Chapman, Deputy Leader/Portfolio Holder for Resources and Neighbourhood Regeneration
Report author and contact details:	Theresa Channell, Head of Strategic Finance and Deputy S151 Officer 0115 8763649 theresa.channell@nottinghamcity.gov.uk
Subject to call-in:	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Key Decision:	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Criteria for Key Decision:	
(a) <input type="checkbox"/> Expenditure <input type="checkbox"/> Income <input type="checkbox"/> Savings of £1,000,000 or more taking account of the overall impact of the decision	
and/or	
(b) Significant impact on communities living or working in two or more wards in the City <input type="checkbox"/> Yes <input type="checkbox"/> No	
Type of expenditure:	<input type="checkbox"/> Revenue <input type="checkbox"/> Capital
Total value of the decision: Nil	
Wards affected: All	
Date of consultation with Portfolio Holder(s): 01 February 2017	
Relevant Council Plan Key Theme:	
Strategic Regeneration and Development	<input checked="" type="checkbox"/>
Schools	<input checked="" type="checkbox"/>
Planning and Housing	<input checked="" type="checkbox"/>
Community Services	<input checked="" type="checkbox"/>
Energy, Sustainability and Customer	<input checked="" type="checkbox"/>
Jobs, Growth and Transport	<input checked="" type="checkbox"/>
Adults, Health and Community Sector	<input checked="" type="checkbox"/>
Children, Early Intervention and Early Years	<input checked="" type="checkbox"/>
Leisure and Culture	<input checked="" type="checkbox"/>
Resources and Neighbourhood Regeneration	<input checked="" type="checkbox"/>
Summary of issues (including benefits to citizens/service users):	
This report sets out the Treasury Management and Investment strategies for 2017/18 including the debt repayment strategy and the associated Prudential Indicators shown within appendices to the strategy report.	
Exempt information: None	
Recommendation(s):	
1 To endorse and recommend for approval by the City Council at its meeting on 6 March 2017 the overall Treasury Management Strategy for 2017/18 (Appendix 1), and, in particular: <ul style="list-style-type: none"> a. the strategy for debt repayment (Minimum Revenue Provision) in 2017/18 (Appendix 4); b. the Investment Strategy for 2017/18 (within Appendix 1); c. the prudential indicators and limits for 2016/17 to 2019/20 (Appendix 3); d. adopt the current Treasury Management Policy Statement (Appendix 5). 	

1 REASONS FOR RECOMMENDATIONS

1.1 Approval of a Treasury Management Strategy is a legal requirement, to comply with:

- Financial Regulations and the Chartered Institute of Public Finance and Accountancy (CIPFA) Code of Practice on Treasury Management by submitting a policy and strategy statement for the ensuing financial year;
- guidance issued by the Secretary of State under section 15(1) (a) of the Local Government Act 2003 in approving, at Council, an Annual Investment Strategy before 1 April;
- guidance issued by the Secretary of State under the Local Authorities (Capital Finance and Accounting) (England) (Amendment) Regulations 2008 which requires the preparation of an annual statement of the Council's policy on making a Minimum Revenue Provision (MRP) for the repayment of debt.

2 BACKGROUND (INCLUDING OUTCOMES OF CONSULTATION)

- 2.1 Treasury management is a term used to describe the management of an organisation's borrowing, investments and other financial instruments, their associated risks and the pursuit of optimum performance or return consistent with those risks.
- 2.2 The treasury management function is governed by provisions set out under Part 1 of the Local Government Act 2003, whereby the Council must have regard to the CIPFA Prudential Code and the CIPFA Treasury Management Code of Practice. The Council formally adopts the current requirements of these codes as part of its Treasury Management Policy Statement.
- 2.3 External advisors are retained to provide additional input on treasury management matters. The service provided includes economic and interest rate forecasting, advice on strategy, portfolio structure, debt restructuring, investment policy, creditworthiness, credit ratings and other counterparty criteria and technical assistance on other related matters, as required.
- 2.4 The Treasury Management and Investment Strategies will be considered by Audit Committee on 24 February 2017, as part of the scrutiny process required by the CIPFA Code of Practice.
- 2.5 Treasury Management and Investment Strategy 2017/18
- 2.5.1 The Treasury Management Strategy sets the strategic context, within the Council's planning cycle, for how treasury management activity will take place. The various aspects of the Strategy (i.e. treasury, investment and debt) are set out at Appendix 1. The objectives of the strategy are:
- to achieve the lowest net interest rate costs on the Council's external debt, whilst recognising the risk management implications;
 - to protect the Medium Term Financial Plan (MTFP) from the unbudgeted financial impact of fluctuations in interest rates and to prevent the need for excessive borrowing in future years when rates may be unfavourable;
 - to maintain the security and liquidity of external investments, and within those parameters, to seek to maximise the return on such investments;
 - to manage the Council's cash flows such that sufficient cash is available to meet creditor and other requirements and to minimise the cash balance held in the Council's current bank account each day without incurring bank overdraft charges.
- 2.5.2 Department for Communities and Local Government (DCLG) guidance on local authority investments also requires an annual investment strategy to be in place

before the financial year in which it applies. This is incorporated within the Treasury Management Strategy and sets out how investments will be managed to protect the Council's financial position and the value of funds invested, whilst ensuring that the returns obtained are appropriate, given the stated attitude to risk. The DCLG guidance reiterates security and liquidity as the primary objectives of a prudent investment policy. These are principles embraced by the Council.

2.6 Prudential Indicators (Appendix 3)

2.6.1 The Prudential Code, issued by CIPFA and adopted formally by the Council, requires a series of Prudential Indicators (PIs) to be set and approved for the forthcoming and following two financial years. These financial indicators are derived from proposed treasury management activity and provide insight into the financial impact of such activities.

2.6.2 Appendix 3 within the Treasury Management Strategy (Appendix 1) sets out the indicators for 2015/16 to 2019/20 that are expected to be generated by the proposed strategies. Explanatory notes for each indicator are also provided.

2.7 Debt Repayment Strategy (Appendix 4)

2.7.1 Minimum Revenue Provision (MRP) arises because there is statutory requirement for local authorities to set aside some of their revenue resources as provision for reducing the underlying need to borrow (Capital Financing Requirement - CFR), i.e. the borrowing taken out in order to finance capital expenditure.

2.8 Treasury Management Policy Statement (Appendix 5)

2.8.1 The Prudential Code, issued by CIPFA and adopted formally by the Council, requires the Treasury Management Policy Statement to be adopted annually alongside the Treasury Management Strategy. This details the policies that are used as the cornerstones for effective treasury management.

3 OTHER OPTIONS CONSIDERED IN MAKING RECOMMENDATIONS

3.1 The approval of a Treasury Management Strategy is a legal requirement. The CLG Guidance and the CIPFA Code do not prescribe any particular treasury management strategy for local authorities to adopt. The Chief Financial Officer, having consulted the portfolio holder, believes that the proposed strategy represents an appropriate balance between risk management and cost effectiveness. Some alternative strategies, with their financial and risk management implications can be found in Appendix 7.

4 FINANCE COMMENTS (INCLUDING IMPLICATIONS AND VALUE FOR MONEY/VAT)

4.1 Net treasury management expenditure comprises interest charges, interest receipts and a revenue provision for debt repayment. A proportion of the Council's debt relates to capital expenditure on council housing and from 1 April 2012 separate arrangements have been established for the HRA. The remaining costs are included within the treasury management section of the General Fund budget, although there remain a number of recharges between the General Fund and the HRA.

Table 1 summarises the estimate for 2017/18:

TABLE 1: TREASURY MANAGEMENT - REVENUE BUDGET POSITION	
DESCRIPTION	BUDGET 2017/18 £m
External interest	28.861
Less: HRA interest	(12.145)
Debt repayment provision	31.962
General Fund expenditure	48.679
Investment interest	(0.075)
Other financing income	(1.767)
NET GENERAL FUND POSITION	46.837

- 4.2 The Treasury Management forecast outturn for 2016/17 is reflected within the Corporate Budget report elsewhere on this agenda.
- 4.3 The budget for 2017/18 is based on the financial implications of the various proposed strategies, as detailed in Appendix 1. The estimate of £46.837m is included within the Medium Term Financial Plan (MTFP).
- 4.4 The councils MTFP reflects the capital schemes within the approved capital program and a number of schemes in development which will significantly increase this programme to reflect the potential investment in the City Centre.
- 4.5 The Council's level of net external debt is anticipated to be £945.903m including £225.719m of Private Finance Initiative (PFI) liabilities as at 31 March 2017. This is expected to increase to £1,017.2m including £215.8m PFI debt by 31 March 2018. The cost of interest payments on debt are expected to increase by £0.728m in 17/18.
- 4.6 The 2017/18 strategy continues to be to fund the borrowing requirement from short term interest rates, balances and reserves whilst still allowing the Council to take advantage of longer term funding opportunities. The low interest rate funding environment is expected to continue for at least the next couple of years. This strategy does increase the Council's exposure to changes in long term interest rates, however this exposure is considered manageable given that £578m of the Council's long term loan portfolio is at fixed rates and funded at less than 3.8% with a good spread of maturities.

The treasury management budget assumes the anticipated borrowing requirement will be financed by long term loans, together with an element of short term loans in 2017/18 to take the opportunity afforded by the low interest rates.

The strategy balances the risk that future interest rates will rise, reducing the benefit accrued from this policy. For example the initial costs are up to £0.225m lower per £10m borrowed short term at 0.25% (Bank Rate) vs 25 year PWLB debt at 2.50%; this balanced against the financial impact of for each 0.25% rise there is an extra £0.025m per annum in interest cost. Should £40m be taken using short term loans it is anticipated that around £0.9m be released and transferred into the Treasury Management Reserve for 'Interest equalisation' subject to the prevailing economic conditions at the time.

This would mean the forecast level of net variable interest rate exposure would be c.£190m including existing debts maturing in 17/18, the remaining 16/17 financing requirements and £24m Lender's Option Borrower's Option (LOBO) loans with options in 17/18, however these are unlikely to be exercised.

This strategy will be kept under regular review and will use the support of our external treasury advisors, the latest economic and interest rate forecasts and funds will be maintained within the Treasury Management Reserve to protect the MTFP from unanticipated interest cost increases. Appendix 2 shows Arlingclose's Economic and Interest Rate Forecast.

5 LEGAL AND PROCUREMENT COMMENTS (INCLUDING RISK MANAGEMENT ISSUES, AND INCLUDING LEGAL, CRIME AND DISORDER ACT AND PROCUREMENT IMPLICATIONS)

5.1 Risk management plays a fundamental role in treasury activities, due to the value and nature of transactions involved. The management of specific treasury management risks is set out in the Manual of Treasury Management Practices and Procedures and a risk register is maintained for the treasury function.

5.2 The key strategic risk relating to treasury management is SR17 'Failure to protect the Council's investments'. The current rating for this risk is 5.04 (Likelihood = unlikely, Impact = moderate). Full details of the Risk Management Action Plan are maintained and reviewed at least quarterly by Treasury Panel. This document will be submitted to Audit Committee for scrutiny as part of the Treasury Management Strategy Report.

6 STRATEGIC ASSETS & PROPERTY COMMENTS (FOR DECISIONS RELATING TO ALL PROPERTY ASSETS AND ASSOCIATED INFRASTRUCTURE)

6.1 Not applicable

7 SOCIAL VALUE CONSIDERATIONS

7.1 Not applicable

8 REGARD TO THE NHS CONSTITUTION

8.1 Not applicable

9 EQUALITY IMPACT ASSESSMENT (EIA)

9.1 An EIA is not needed as the report does not contain proposals for new or changing policies, services, or functions.

10 LIST OF BACKGROUND PAPERS RELIED UPON IN WRITING THIS REPORT (NOT INCLUDING PUBLISHED DOCUMENTS OR CONFIDENTIAL OR EXEMPT INFORMATION)

10.1 None.

11 PUBLISHED DOCUMENTS REFERRED TO IN THIS REPORT

11.1 PWLB records, working papers.

12 OTHER COLLEAGUES WHO HAVE PROVIDED INPUT

12.1 Glyn Daykin, Senior Accountant - Treasury Management, Tel: 0115 8763724,
E-mail: glyn.daykin@nottinghamcity.gov.uk

NOTTINGHAM CITY COUNCIL

TREASURY MANAGEMENT STRATEGY 2017/18

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Executive Board 21 February 2017
Audit Committee 24 February 2017
City Council 6 March 2017

Introduction

In March 2012 the Council adopted the Chartered Institute of Public Finance and Accountancy's *Treasury Management in the Public Services: Code of Practice 2011 Edition* (the CIPFA Code) which requires the Council to approve a treasury management strategy before the start of each financial year.

In addition, the Department for Communities and Local Government (CLG) issued revised *Guidance on Local Authority Investments* in March 2010 that requires the Council to approve an investment strategy before the start of each financial year.

This report fulfils the Council's legal obligation under the *Local Government Act 2003* to have regard to both the CIPFA Code and the CLG Guidance.

The Council has borrowed and invested substantial sums of money and is therefore exposed to financial risks including the loss of invested funds and the revenue effect of changing interest rates. The successful identification, monitoring and control of risk are therefore central to the Council's treasury management strategy.

External Context

Economic background: The major external influence on the Authority's treasury management strategy for 2017/18 will be the UK's progress in negotiating a smooth exit from the European Union. Financial markets, wrong-footed by the referendum outcome, have since been weighed down by uncertainty over whether leaving the Union also means leaving the single market. Negotiations are expected to start once the UK formally triggers exit in early 2017 and last for at least two years. Uncertainty over future economic prospects will therefore remain throughout 2017/18.

The fall and continuing weakness in sterling and the near doubling in the price of oil in 2016 have combined to drive inflation expectations higher. The Bank of England is forecasting that Consumer Price Inflation will breach its 2% target in 2017, the first time since late 2013, but the Bank is expected to look through inflation overshoots over the course of 2017 when setting interest rates so as to avoid derailing the economy.

Credit outlook: Markets have expressed concern over the financial viability of a number of European banks recently. Sluggish economies and continuing fines for pre-crisis behaviour have weighed on bank profits, and any future slowdown will exacerbate concerns in this regard.

Bail-in legislation, which ensures that large investors including local authorities will rescue failing banks instead of taxpayers in the future, has now been fully implemented in the European Union, Switzerland and USA, while Australia and Canada are progressing with their own plans. The credit risk associated with making unsecured bank deposits has therefore increased relative to the risk of other investment options available to the Authority; returns from cash deposits however continue to fall.

Interest rate forecast: The Authority's treasury adviser Arlingclose's central case is for UK Bank Rate to remain at 0.25% during 2017/18. The Bank of England has, however, highlighted that excessive levels of inflation will not be tolerated for sustained periods. Given this view and the current inflation outlook, further falls in the Bank Rate look less likely. Negative Bank Rate is currently perceived by some policymakers to be counterproductive but, although a low probability, cannot be entirely ruled out in the medium term, particularly if the UK enters recession as a result of concerns over leaving the European Union.

Gilt yields have risen sharply, but remain at low levels. The Arlingclose central case is for yields to decline when the government triggers Article 50. Long-term economic fundamentals remain weak, and the quantitative easing (QE) stimulus provided by central banks globally has only delayed the fallout from the build-up of public and private sector debt. The Bank of England has defended QE as a monetary policy tool, and further QE in support of the UK economy in 2017/18 remains a distinct possibility, to keep long-term interest rates low. A more detailed economic and interest rate forecast provided by Arlingclose is attached at Appendix 2.

For the purpose of setting the budget, it has been assumed that new investments will be made at an average rate of 0.30%, short-term loans will be borrowed at an average of 0.40% and that new long-term loans will be borrowed at an average rate of 3.00%.

Local Context

The Council currently has £745.4m of borrowing and £63.9m of investments. This is set out in further detail at Appendix 6. Forecast changes in these sums and the estimated future borrowing requirement are shown in the balance sheet analysis in table 1 below.

Table 1: Balance Sheet Summary and Forecast

	31.3.16	31.3.17	31.3.18	31.3.19	31.3.20
	Actual	Estimate	Estimate	Estimate	Estimate
	£m	£m	£m	£m	£m
General Fund CFR	915.1	977.3	1039.3	1112.3	1097.5
HRA CFR	280.8	280.3	280	279.3	278.8
Total CFR	1195.9	1257.6	1319.3	1391.6	1376.3
Less: Other debt liabilities *	-236.3	-225.7	-215.8	-208.7	-198.5
Borrowing CFR	959.6	1031.9	1103.5	1182.9	1177.8
Less: External borrowing **	-690.4	-694.1	-677.4	-642.1	-588.3
Internal borrowing	269.2	337.8	426.1	540.8	589.5
Less: Usable reserves	-252.5	-211.9	-201.9	-197.5	-203.8
Less: Working capital	-99.9	-99.9	-99.9	-99.9	-99.9
Investments or (New borrowing)	83.2	-26.0	-124.3	-243.4	-285.8

* finance leases and PFI liabilities that form part of the Council's debt

** shows only loans to which the Council is committed and excludes optional refinancing

The underlying need to borrow for capital purposes is measured by the Capital Financing Requirement (CFR), while usable reserves and working capital are the underlying resources available for investment. The Council's current strategy is to maintain borrowing and investments below their underlying levels, sometimes known as internal borrowing, subject to holding a minimum investment balance of around £30m.

The Council has an increasing CFR due to the capital programme, but minimal investments and will therefore be required to borrow up to £286m over the forecast period.

CIPFA's *Prudential Code for Capital Finance in Local Authorities* recommends that the Council's total debt should be lower than its highest forecast CFR over the next three years. Table 1 shows that the Council expects to comply with this recommendation during 2017/18.

Borrowing Strategy

The Council currently holds £745.4m of loans (excluding £225.7m PFI debt), an increase of £55.0m on the previous year, as part of its strategy for funding previous years' capital programmes. The balance sheet forecast in table 1 shows that the Council expects to borrow up to £124.3m by the end of 2017/18 at which point external debt will be around £801.7m (£1,017.5 including PFI debt).

The Council may also commit to borrow additional sums at fixed rates to pre-fund future years' requirements, to reduce its level of internal borrowing or for additional capital schemes that are not yet in the approved capital program providing this does not exceed the authorised limit for borrowing of £1,147 million.

Objectives: The Council's chief objective when borrowing money is to strike an appropriately low risk balance between securing low interest costs and achieving cost certainty over the period for which funds are required. The flexibility to renegotiate loans should the Council's long-term plans change is a secondary objective.

Strategy: Given the significant cuts to public expenditure and in particular to local government funding, the Council's borrowing strategy continues to address the key issue of affordability without compromising the longer-term stability of the debt portfolio.

The Council will look to fund the borrowing requirement from short term loans at low interest rates whilst still allowing flexibility to take advantage of longer term funding opportunities. Any borrowing will be subject to the Council's limits on the net exposure to fixed and variable interest rates shown in the Prudential Indicators shown in Appendix 3.

When borrowing, the Council usually pays a margin above prevailing central government funding costs (gilt yields). For PWLB loans, this margin is fixed at 0.80% for the majority of funding. However, when funding via the money markets, via short-term loans with a maturity date of than less than 1 year, little or no margin is applied by local authorities that are depositing surplus cash. In addition, short-term rates are based on prevailing Bank of England

“Bank Rate”, currently 0.25% while longer term loans will reflect longer-term trends and other market factors. Consequently, it is currently significantly cheaper to borrow short-term debt from other local authorities than borrow PWLB loans.

The saving against 25 year PWLB debt is currently (2.50% - 0.25%) = £225,000 per annum for every £10m borrowed; the impact of each 0.25% rise in Bank Rate is an £25,000 extra cost per annum. While there is the risk of not finding sufficient short term funding, local authorities currently have £37bn available to invest and the PWLB also provides a liquidity back stop.

In this way the Council will be able to reduce net borrowing costs and reduce overall treasury risk. The benefits of short-term borrowing will be monitored regularly against the potential for incurring additional costs by deferring borrowing into future years when long-term borrowing rates are forecast to rise modestly. Our treasury advisors will assist the Council with this ‘cost of carry’ and breakeven analysis. Its output may determine whether the Council borrows additional sums at long-term fixed rates in 2017/18 with a view to keeping future interest costs low, even if this causes additional cost in the short-term.

The Council may arrange forward starting loans during 2017/18, where the interest rate is fixed in advance, but the cash is received in later years. This would enable certainty of cost to be achieved without suffering a cost of carry in the intervening period.

In addition, the Council may borrow further short-term loans to cover unplanned cash flow shortages.

Sources: The approved sources of long-term and short-term borrowing are:

- Public Works Loan Board (PWLB) and its successor body
- any institution approved for investments (see below)
- any other bank or building society authorised to operate in the UK
- UK public and private sector pension funds (except Nottinghamshire County Council Pension Fund)
- capital market bond investors
- UK Municipal Bonds Agency plc and other special purpose companies created to enable local authority bond issues

In addition, capital finance may be raised by the following methods that are not borrowing, but may be classed as other debt liabilities:

- operating and finance leases
- hire purchase
- Private Finance Initiative
- sale and leaseback

The Council has previously raised the majority of its long-term borrowing from the PWLB but it continues to investigate other sources of finance, such as the European Investment Bank (EIB), local authority loans and bank loans, that may be available at more favourable rates.

European Investment Bank (EIB): The EIB is the world's largest multilateral development bank. The Bank is a not for profit institution and has a relatively low cost of funding which now represents an attractive funding source for authorities with a sufficiently large capital programme. The product range allows a more sophisticated approach to risk management incorporating forward starting loans, sculpted repayment profiles and a mix of fixed and floating rate debt can be utilised to complement the existing debt portfolio.

Municipal Bond Agency: UK Municipal Bonds Agency plc was established in 2014 by the Local Government Association as an alternative to the PWLB. It plans to issue bonds on the capital markets and lend the proceeds to local authorities. This will be a more complicated source of finance than the PWLB for two reasons: borrowing authorities will be required to provide bond investors with a joint and several guarantee to refund their investment in the event that the agency is unable to for any reason; and there will be a lead time of several months between committing to borrow and knowing the interest rate payable. Any decision to borrow from the Agency will therefore be the subject of a separate report.

LOBOs: The Council holds £34m of LOBO (Lender's Option Borrower's Option) loans where the lender has the option to propose an increase in the interest rate as set dates, following which the Council has the option to either accept the new rate or to repay the loan at no additional cost. £24m of these LOBOS have options during 2017/18, and although the Council understands that lenders are unlikely to exercise their options in the current low interest rate environment, there remains an element of refinancing risk. The Council will take the option to repay LOBO loans at no cost if it has the opportunity to do so.

Short-term and Variable Rate loans: These loans leave the Council exposed to the risk of short-term interest rate rises and are therefore subject to the limit on the net exposure to variable interest rates in the treasury management indicators below.

Debt Rescheduling: The PWLB allows authorities to repay loans before maturity and either pay a premium or receive a discount according to a set formula based on current interest rates. Other lenders may also be prepared to negotiate premature redemption terms. The Council may take advantage of this and replace some loans with new loans, or repay loans without replacement, where this is expected to lead to an overall cost saving or a reduction in risk.

Forward Starting Loans: In order to minimise the risk of the uncertainty of future interest rates, we will consider the use of 'Forward Starting loans' to fix the rate of interest for a specific loan where the cash will be taken at a set future date. These will be considered where it clearly demonstrates a reduction in the overall financial risk the council is exposed to commensurate to the financial impact of the deal.

Investment Strategy

The Council holds invested funds, representing income received in advance of expenditure plus balances and reserves held. In the past 12 months, the

Council's investment balance has ranged between £41m and £110m, but investment balances are expected to be maintained at a balance of around £30m in the forthcoming year.

Objectives: Both the CIPFA Code and the CLG Guidance require the Council to invest its funds prudently, and to have regard to the security and liquidity of its investments before seeking the highest rate of return, or yield. The Council's objective when investing money is to strike an appropriate balance between risk and return, minimising the risk of incurring losses from defaults and the risk receiving unsuitably low investment income.

Negative Interest Rates: If the UK enters into a recession in 2017/18, there is a small chance that the Bank of England could set its Bank Rate at or below zero, which is likely to feed through to negative interest rates on all low risk, short-term investment options. This situation already exists in many other European countries. In this event, security will be measured as receiving the contractually agreed amount at maturity, even though this may be less than the amount originally invested.

Strategy: Given the increasing risk and continued low returns from short-term unsecured bank investments, the Council aims primarily to avoid credit risk by holding a minimum level of investments for cash flow liquidity purposes only. The majority of the Council's surplus cash is currently invested in highly liquid short-term unsecured bank deposits and money market funds.

Should investment balances increase for a sustained period the Council will aim to diversify further into secured asset classes.

Approved Counterparties: The Council may invest its surplus funds with any of the counterparty types in table 2 below, subject to the cash limits (per counterparty) and the time limits shown.

Table 2: Approved Investment Counterparties and Limits

Credit Rating	Banks Unsecured	Banks Secured	Government
UK Govt	n/a	n/a	£ Unlimited 50 years
AAA	£10m 5 years	£15m 20 years	£15m 50 years
AA+	£10m 5 years	£15m 10 years	£15m 25 years
AA	£10m 4 years	£15m 5 years	£15m 15 years
AA-	£10m 3 years	£15m 4 years	£15m 10 years
A+	£10m 2 years	£15m 3 years	£15m 5 years
A	£10m 13 months	£15m 2 years	£15m 5 years
A-	£10m 6 months	£15m 13 months	£15m 5 years
None	n/a	n/a	£15m 25 years
Pooled funds	£10m per fund		

This table must be read in conjunction with the notes below:-

Lloyds Bank: The Council's own bank, will be subject to the limits in table 2 for investment balances, but also accommodate necessary short-term cash management balances for periods of up to 4 days with no maximum sum.

Credit Rating: Investment limits are set by reference to the lowest published long-term credit rating from Fitch, Moody's or Standard & Poor's. Where available, the credit rating relevant to the specific investment or class of investment is used, otherwise the counterparty credit rating is used. However, investment decisions are never made solely based on credit ratings, and all other relevant factors including external advice will be taken into account.

Banks Unsecured: Accounts, deposits, certificates of deposit and senior unsecured bonds with banks and building societies, other than multilateral development banks. These investments are subject to the risk of credit loss via a bail-in should the regulator determine that the bank is failing or likely to fail.

Banks Secured: Covered bonds, reverse repurchase agreements and other collateralised arrangements with banks and building societies. These investments are secured on the bank's assets, which limits the potential losses in the unlikely event of insolvency, and means that they are exempt from bail-in. Where there is no investment specific credit rating, but the collateral upon which the investment is secured has a credit rating, the highest of the collateral credit rating and the counterparty credit rating will be used to determine cash and time limits. The combined secured and unsecured investments in any one bank will not exceed the cash limit for secured investments.

Government: Loans, bonds and bills issued or guaranteed by national governments, regional and local authorities and multilateral development banks. These investments are not subject to bail-in, and there is an insignificant risk of insolvency. Investments with the UK Central Government may be made in unlimited amounts for up to 50 years.

Pooled Funds: Shares in diversified investment vehicles consisting of the any of the above investment types, plus corporate bonds, commercial paper, equity shares and property. These funds have the advantage of providing wide diversification of investment risks, coupled with the services of a professional fund manager in return for a fee.

Short-term Money Market Funds that offer same-day liquidity and very low or no volatility will be used as an alternative to instant access bank accounts, while pooled funds whose value changes with market prices and/or have a notice period will be used for longer investment periods.

Risk Assessment and Credit Ratings: Credit ratings are obtained and monitored by the Council's treasury advisers, who will notify changes in ratings as they occur. Where an entity has its credit rating downgraded so that it fails to meet the approved investment criteria then:

- no new investments will be made,
- any existing investments that can be recalled or sold at no cost will be, and full consideration will be given to the recall or sale of all other existing investments with the affected counterparty.

Where a credit rating agency announces that a credit rating is on review for possible downgrade (also known as "rating watch negative" or "credit watch negative") so that it may fall below the approved rating criteria, then only investments that can be withdrawn on the next working day will be made with that organisation until the outcome of the review is announced. This policy will not apply to negative outlooks, which indicate a long-term direction of travel rather than an imminent change of rating.

Other Information on the Security of Investments: The Council understands that credit ratings are good, but not perfect, predictors of investment default. Full regard will therefore be given to other available information on the credit quality of the organisations in which it invests, including credit default swap prices, financial statements, information on potential government support and reports in the quality financial press. No investments will be made with an organisation if there are substantive doubts about its credit quality, even though it may meet the credit rating criteria.

When deteriorating financial market conditions affect the creditworthiness of all organisations, as happened in 2008 and 2011, this is not generally reflected in credit ratings, but can be seen in other market measures. In these circumstances, the Council will restrict its investments to those organisations of higher credit quality and reduce the maximum duration of its investments to maintain the required level of security. The extent of these restrictions will be in line with prevailing financial market conditions. If these restrictions mean that insufficient commercial organisations of high credit quality are available to invest the Council's cash balances, then the surplus will be deposited with the UK Government, via the Debt Management Office or invested in government

treasury bills for example, or with other local authorities. This will cause a reduction in the level of investment income earned, but will protect the principal sum invested.

Specified Investments: The CLG Guidance defines specified investments as those:

- denominated in pound sterling,
- due to be repaid within 12 months of arrangement,
- not defined as capital expenditure by legislation, and
- invested with one of:
 - the UK Government,
 - a UK local authority, parish council or community council, or
 - a body or investment scheme of “high credit quality”.

The Council defines “high credit quality” organisations and securities as those having a credit rating of A- or higher that are domiciled in the UK or a foreign country with a sovereign rating of AA+ or higher. For money market funds and other pooled funds “high credit quality” is defined as those having a credit rating of A- or higher.

Non-specified Investments: Any investment not meeting the definition of a specified investment is classed as non-specified. The Council does not intend to make any investments denominated in foreign currencies, nor any that are defined as capital expenditure by legislation, such as company shares. Non-specified investments will therefore be limited to long-term investments, i.e. those that are due to mature 12 months or longer from the date of arrangement, and investments with bodies and schemes not meeting the definition on high credit quality. The limit for non-specified investments is shown in table 3 below.

Table 3: Non-Specified Investment Limit

	Cash limit
Total non-specified investments	£30m

Investment Limits: The Council’s revenue reserves available to cover investment losses are forecast to be c.£160 million on 31st March 2017. In order that no more than 10% of available reserves will be put at risk in the case of a single default, the maximum that will be lent to any one organisation (other than the UK Government) will be £15 million. A group of banks under the same ownership will be treated as a single organisation for limit purposes. Limits will also be placed on fund managers, investments in brokers’ nominee accounts, foreign countries and industry sectors as below. Investments in pooled funds and multilateral development banks do not count against the limit for any single foreign country, since the risk is diversified over many countries.

Table 4: Investment Limits

	Cash limit
Any single organisation, except the UK Central Government	£15m each
UK Central Government	unlimited
Any group of organisations under the same ownership	£10m per group
Any group of pooled funds under the same management	£20m per manager
Negotiable instruments held in a broker's nominee account	£50m per broker
Foreign countries	£10m per country
Money Market Funds	£50m in total

Other Items

There are a number of additional items that the Council is obliged by CIPFA or CLG to include in its Treasury Management Strategy.

Liquidity Management: The Council uses purpose-built cash flow forecasting software to determine the maximum period for which funds may prudently be committed. The forecast is compiled on a prudent basis, with receipts underestimated and payments over-estimated to minimise the risk of the Council being forced to borrow on unfavourable terms to meet its financial commitments.

Policy on Use of Financial Derivatives: Local authorities have previously made use of financial derivatives embedded into loans and investments both to reduce interest rate risk (e.g. interest rate collars and forward deals) and to reduce costs or increase income at the expense of greater risk (e.g. LOBO loans and callable deposits). The general power of competence in Section 1 of the *Localism Act 2011* removes much of the uncertainty over local authorities' use of standalone financial derivatives (i.e. those that are not embedded into a loan or investment).

The Council will only use standalone financial derivatives (such as swaps, forwards, futures and options) where they can be clearly demonstrated to reduce the overall level of the financial risks that the Council is exposed to. Additional risks presented, such as credit exposure to derivative counterparties, will be taken into account when determining the overall level of risk. Embedded derivatives, including those present in pooled funds and forward starting transactions, will not be subject to this policy, although the risks they present will be managed in line with the overall treasury risk management strategy.

Financial derivative transactions may be arranged with any organisation that meets the approved investment criteria. The current value of any amount due from a derivative counterparty will count against the counterparty credit limit and the relevant foreign country limit.

Policy on Apportioning Interest to the HRA: On 1st April 2012, the Council notionally split each of its existing long-term loans into General Fund and HRA pools. In the future, new long-term loans borrowed will be assigned in their

entirety to one pool or the other. Interest payable and other costs/income arising from long-term loans (e.g. premiums and discounts on early redemption) will be charged/ credited to the respective revenue account. Differences between the value of the HRA loans pool and the HRA's underlying need to borrow (adjusted for HRA balance sheet resources available for investment) will result in a notional cash balance which may be positive or negative. This balance will be measured and interest transferred between the General Fund and HRA at the average 3 month UK Government Treasury Bill interest rate to reflect a credit risk free return.

Investment Training: The needs of the Council's treasury management staff for training in investment management are assessed as part of the staff appraisal process, and additionally when the responsibilities of individual members of staff change.

Staff periodically attend training courses, seminars and conferences provided by our treasury advisors and CIPFA. Relevant staff are also encouraged to study professional qualifications from CIPFA, the Association of Corporate Treasurers and other appropriate organisations.

Investment Advisers: The Council has appointed Arlingclose Limited as treasury management advisers and receives specific advice on investment, debt and capital finance issues. The current contract is due to expire in March 2017 and so the council is to go through a re-tender exercise for future services commencing from April 2017.

Investment of Money Borrowed in Advance of Need: The Council may, from time to time, borrow in advance of need, where this is expected to provide the best long term value for money. Since amounts borrowed will be invested until spent, the Council is aware that it will be exposed to the risk of loss of the borrowed sums, and the risk that investment and borrowing interest rates may change in the intervening period. These risks will be managed as part of the Council's overall management of its treasury risks.

The total amount borrowed will not exceed the authorised borrowing limit of £1,147 million. The maximum period between borrowing and expenditure is expected to be two years, although the Council is not required to link particular loans with particular items of expenditure.

Management of Risk: Risk management plays a fundamental role in treasury activities, due to the value and nature of transactions involved. Details of the specific risks identified in respect of treasury management within the Council are adopted to form a Risk Management Action Plan. This Plan is reviewed at regular intervals at meetings of the Treasury Management Panel and is reported to Audit Committee for scrutiny as part of the Treasury Management Strategy Report.

Arlingclose Economic & Interest Rate Forecast December 2016

Underlying assumptions:

- The medium term outlook for the UK economy is dominated by the negotiations to leave the EU. The long-term position of the UK economy will be largely dependent on the agreements the government is able to secure with the EU and other countries.
- The global environment is also riddled with uncertainty, with repercussions for financial market volatility and long-term interest rates. Donald Trump's victory in the US general election and Brexit are symptomatic of the popular disaffection with globalisation trends. The potential rise in protectionism could dampen global growth prospects and therefore inflation. Financial market volatility will remain the norm for some time.
- However, following significant global fiscal and monetary stimulus, the short term outlook for the global economy is somewhat brighter than earlier in the year. US fiscal stimulus is also a possibility following Trump's victory.
- Recent data present a more positive picture for the post-Referendum UK economy than predicted due to continued strong household spending.
- Over the medium term, economic and political uncertainty will likely dampen investment intentions and tighten credit availability, prompting lower activity levels and potentially a rise in unemployment.
- The currency-led rise in CPI inflation (currently 1.0% year/year) will continue, breaching the target in 2017, which will act to slow real growth in household spending due to a sharp decline in real wage growth.
- The depreciation in sterling will, however, assist the economy to rebalance away from spending. The negative contribution from net trade to GDP growth is likely to diminish, largely due to weaker domestic demand. Export volumes will increase marginally.
- Given the pressure on household spending and business investment, the rise in inflation is highly unlikely to prompt monetary tightening by the Bank of England, with policymakers looking through import-led CPI spikes to the negative effects of Brexit on economic activity and, ultimately, inflation.
- Bank of England policymakers have, however, highlighted that excessive levels of inflation will not be tolerated for sustained periods. Given this view and the current inflation outlook, further monetary loosening looks less likely.

Forecast:

- Globally, the outlook is uncertain and risks remain weighted to the downside. The UK domestic outlook is uncertain, but likely to be weaker in the short term than previously expected.
- The likely path for Bank Rate is weighted to the downside. The Arlingclose central case is for Bank Rate to remain at 0.25%, but there is a 25% possibility of a drop to close to zero, with a very small chance of a reduction below zero.

- Gilt yields have risen sharply, but remain at low levels. The Arlingclose central case is for yields to decline when the government triggers Article 50.

	Dec-16	Mar-17	Jun-17	Sep-17	Dec-17	Mar-18	Jun-18	Sep-18	Dec-18	Mar-19	Jun-19	Sep-19	Dec-19
Official Bank Rate													
Upside risk	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	0.25	0.25	0.25	0.25	0.25
Arlingclose Central Case	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25
Downside risk	0.25	0.25	0.25	0.25	0.25	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50
3-month LIBID rate													
Upside risk	0.05	0.05	0.10	0.10	0.10	0.15	0.25	0.25	0.25	0.25	0.25	0.25	0.25
Arlingclose Central Case	0.25	0.25	0.25	0.30	0.30	0.30	0.30	0.30	0.30	0.30	0.30	0.30	0.30
Downside risk	0.20	0.25	0.25	0.25	0.30	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40
1-yr LIBID rate													
Upside risk	0.10	0.10	0.15	0.15	0.15	0.20	0.30	0.30	0.30	0.30	0.30	0.30	0.30
Arlingclose Central Case	0.60	0.50	0.50	0.50	0.50	0.50	0.50	0.60	0.70	0.85	0.90	0.90	0.90
Downside risk	0.10	0.15	0.15	0.15	0.20	0.30	0.30	0.30	0.30	0.30	0.30	0.30	0.30
5-yr gilt yield													
Upside risk	0.25	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40
Arlingclose Central Case	0.50	0.40	0.35	0.35	0.35	0.40	0.40	0.40	0.45	0.50	0.55	0.60	0.65
Downside risk	0.30	0.45	0.45	0.45	0.45	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50
10-yr gilt yield													
Upside risk	0.30	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40
Arlingclose Central Case	1.15	0.95	0.85	0.85	0.85	0.85	0.85	0.90	0.95	1.00	1.05	1.10	1.15
Downside risk	0.30	0.45	0.45	0.45	0.45	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50
20-yr gilt yield													
Upside risk	0.25	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40
Arlingclose Central Case	1.70	1.50	1.40	1.40	1.40	1.40	1.40	1.45	1.50	1.55	1.60	1.65	1.70
Downside risk	0.40	0.55	0.55	0.55	0.55	0.60	0.60	0.60	0.60	0.60	0.60	0.60	0.60
50-yr gilt yield													
Upside risk	0.25	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40
Arlingclose Central Case	1.60	1.40	1.30	1.30	1.30	1.30	1.30	1.35	1.40	1.45	1.50	1.55	1.60
Downside risk	0.40	0.55	0.55	0.55	0.55	0.60	0.60	0.60	0.60	0.60	0.60	0.60	0.60

Appendix 3

PRUDENTIAL INDICATORS 2015/16 – 2019/20					
	2015/16 Act £m	2016/17 Est £m	2017/18 Est £m	2018/19 Est £m	2019/20 Est £m
1. PRUDENCE INDICATORS					
i) Capital Expenditure					
General Fund	201.2	178.5	167.7	160.3	50.8
HRA	51.0	57.9	63.3	43.5	34.6
	252.2	236.4	231.0	203.8	85.4
ii) CFR at 31 March					
General Fund	678.8	751.6	823.5	903.7	899.0
HRA	280.8	280.3	279.8	279.3	278.8
PFI-related debt	236.3	225.7	215.8	208.7	198.5
	1,195.9	1,257.6	1,319.1	1,391.6	1376.3
iii) External Debt at 31 March					
Borrowing	690.4	750.2	831.5	915.1	904.8
Other (PFI debt)	236.3	225.7	215.8	208.7	198.5
Gross Debt	926.7	975.9	1,047.2	1,123.8	1,103.3
Less Investments	-82.7	-30.0	-30.0	-30.0	-30.0
Net Debt	844.0	945.9	1,017.2	1,093.8	1,073.3
2. AFFORDABILITY INDICATORS					
i) Ratio of financing costs to net revenue stream					
General Fund		14.52%	15.44%	17.05%	18.48%
HRA		12.06%	12.29%	12.92%	13.27%
ii) Impact of capital investment decisions		£	£	£	£
Council Tax Band D (per annum)		36.18	48.11	12.74	25.66
HRA rent (per week)		0.00	0.00	0.10	0.40
iii) Authorised limit for external debt		£m	£m	£m	£m
iv) Operational Boundary for ext. debt		1,081.2	1,147.2	1,223.8	1,203.3
v) HRA limit on indebtedness		1,041.2	1,107.2	1,183.8	1,163.3
HRA CFR		280.3	279.8	279.3	278.8
HRA Debt Cap (CLG prescribed)		319.8	319.8	319.8	319.8
Difference - headroom		39.5	40.0	40.5	40.0
3. TREASURY MANAGEMENT INDICATORS					
i) Upper limit on NET variable interest rate exposure	22.0	250.0	300.0	300.0	300.0
ii) Upper limit on NET fixed interest rate exposure	585.6	800.0	900.0	900.0	900.0
iii) Fixed Debt maturity structure					
- under 12 months	8%	0-25%	0-25%	0-25%	0-25%
- 12 months to 2 years	3%	0-25%	0-25%	0-25%	0-25%
- 2 to 5 years	12%	0-25%	0-25%	0-25%	0-25%
- 5 to 10 years	18%	0-25%	0-25%	0-25%	0-25%
- 10 to 25 years	32%	0-50%	0-50%	0-50%	0-50%
- 25 to 40 years	23%	0-50%	0-50%	0-50%	0-50%
- 40 years and above	6%	0-25%	0-25%	0-25%	0-25%
iv) Sums invested for >364 days					
- in-house limit	£0m	£50m	£20m	£20m	£20m
v) Adoption of the CIPFA Code of Practice for Treasury Management	YES				
vi) Credit risk	Provided in Appendix 1,				

NOTES TO THE SCHEDULE OF PRUDENTIAL INDICATORS

1) Prudence Indicators

- i) *'Estimate of total capital expenditure'* – a “reasonable” estimate of total capital expenditure to be incurred in the next 3 financial years, split between the General Fund and the HRA.
 - This estimate takes into account the current approved asset management and capital investment strategies.
- ii) *'Capital financing requirement' (CFR)* – this figure constitutes the aggregate amount of capital spending which has not yet been financed by capital receipts, capital grants or contributions from revenue, and represents the underlying need to borrow money long-term. An actual figure at 31 March each year is required, together with estimates for the next three financial years.
 - This approximates to the previous Credit Ceiling calculation and provides an indication of the total long-term debt requirement.
 - The figure includes an estimation of the total debt brought 'on-balance sheet' in respect of PFI schemes and finance leases.
- iii) *'External debt'* - the actual level of gross borrowing (plus other long-term liabilities, including the notional debt relating to on-balance sheet PFI schemes and leases) calculated from the balance sheet, with estimates for the next three financial years.

2) Affordability Indicators

- i) *'Ratio of financing costs to net revenue stream'* – expresses the revenue costs of the Council's borrowing (interest payments and provision for repayment) as a percentage of the total sum to be raised from government grants, business rates, council and other taxes (General Fund) and rent income (HRA). From 1 April 2012, the General fund income figure includes revenue raised from the Workplace Parking Levy.
 - These indicators show the impact of borrowing on the revenue accounts and enable a comparison between years to be made. The increase in the General Fund ratio reflects the falling grant from government and the impact of existing and proposed capital expenditure.
- ii) *'Incremental impact of capital investment decisions'* – expresses the revenue consequences of future capital spending plans to be met from unsupported borrowing and not financed from existing budget provision, on both the level of council tax and weekly housing rents.
 - This is a key indicator, which provides a direct link between the capital programme and revenue budget and enables the revenue impact of additional unsupported capital investment to be understood.
- iii) *'Authorised limit for external debt'* – this represents the maximum amount that may be borrowed at any point during the year. An estimate for the next three financial years is required.
 - This figure allows for the possibility that borrowing for capital purposes may be undertaken early in the year, with a further sum to reflect any temporary borrowing as a result of adverse cash flow. This represents a 'worst case' scenario.

- iv) *'Operating boundary for external debt'* – this indicator is a working limit and represents the highest level of borrowing is expected to be reached at any time during the year - It is recognised that this operational boundary may be breached in exceptional circumstances.
- v) *'HRA limit on indebtedness'* – from 1 April 2012, a separate debt portfolio has been established for the HRA. The CLG have imposed a 'cap' on the maximum level of debt for individual authorities and the difference between this limit and the actual HRA CFR represents the headroom available for future new borrowing.

3) **Treasury Management Indicators**

- i) *'Upper limit on NET variable interest rate exposure'* - is set to control the Authority's exposure to interest rate risk. The upper limits on variable rate interest rate exposures, expressed as the amount of net principal borrowed for the next three financial years are required.
 - A high level of variable rate debt presents a risk from increases in interest rates. This figure represents the maximum permitted exposure to such debt.
- ii) *'Upper limit on NET fixed interest rate exposure'* - is set to control the Authority's exposure to interest rate risk. The upper limits on fixed interest rate exposures, expressed as the amount of net principal borrowed for the next three financial years are required.
 - Fixed rate borrowing provides certainty for future interest costs, regardless of movements in interest rates.
- iii) *'Upper and lower limits with respect to the maturity structure of the Council's borrowing'* – this shows the amount of fixed rate borrowing maturing in each period, expressed as a percentage of total fixed rate borrowing.
 - This indicator is designed to be a control over having large amounts of fixed rate debt falling to be replaced at the same time.
- iv) *'Total sums invested for periods of greater than 364 days'* – a limit on investments for periods longer than 1 year. A three-year estimate is required.
 - This indicator is designed to protect the liquidity of investments, ensuring that large proportions of the cash reserves are not invested for long periods.
- v) *'The adoption of the CIPFA Code of Practice for Treasury Management in the Public Services'*. This is not a numerical indicator, but a statement of good practice.
 - The Council adopted the Code on 18 February 2002. Revised Codes, issued in 2009 and 2011, have subsequently been incorporated within the Council's strategy and procedures.
- vi) *'Credit risk'* – The Council monitors a range of factors to manage credit risk, detailed in its annual Treasury Management Strategy.

Annual Minimum Revenue Provision Statement 2017/18

Where the Council finances capital expenditure by debt, it must put aside resources to repay that debt in later years. The amount charged to the revenue budget for the repayment of debt is known as Minimum Revenue Provision (MRP), although there has been no statutory minimum since 2008. The Local Government Act 2003 requires the Council to have regard to the Department for Communities and Local Government's *Guidance on Minimum Revenue Provision* (the CLG Guidance) most recently issued in 2012.

The broad aim of the CLG Guidance is to ensure that debt is repaid over a period that is either reasonably commensurate with that over which the capital expenditure provides benefits, or, in the case of borrowing supported by Government Revenue Support Grant, reasonably commensurate with the period implicit in the determination of that grant.

The CLG Guidance requires the Council to approve an Annual MRP Statement each year, and recommends a number of options for calculating a prudent amount of MRP. The following statement only incorporates options recommended in the Guidance as well as locally determined prudent methods.

- For capital expenditure incurred before 2007/08, and for supported capital expenditure incurred on or after that date, MRP policy will be to charge 2% of the balance at 31 March 2016 on a straight line basis so the whole debt is repaid after 50 years. This policy was introduced in 2016/17 and represents a prudent adaptation to Option 1 in the guidance.
- For unsupported capital expenditure incurred after 2007/08, MRP will be determined by charging the expenditure over the expected useful life of the relevant assets in equal instalments *or* as the principal repayment on an annuity, starting in the year after the asset becomes operational. MRP on purchases of freehold land will be charged over 50 years. MRP on expenditure not related to fixed assets but which has been capitalised by regulation or direction will be charged over 20 years. (*Option 3 in the guidance*)
- For assets acquired by finance leases or the Private Finance Initiative, MRP will be determined as being equal to the element of the rent or charge that goes to write down the balance sheet liability.
- Where loans are made to other bodies for their capital expenditure, MRP will be charged or reduce the outstanding debt in line with the principal repayment profile in the 3rd party agreement.
- No MRP will be charged in respect of assets held within the Housing Revenue Account.
- Voluntary MRP may be made at the discretion of the Director of Finance.

- Capital receipts maybe voluntarily set-aside to clear debt and replace with future prudential borrowing to temporarily reduce the MRP charge. This use of capital receipts will be at the discretion of the Director of Finance.

Capital expenditure incurred during 2017/18 will not be subject to a MRP charge until 2018/19.

NOTTINGHAM CITY COUNCIL TREASURY MANAGEMENT POLICY STATEMENT

The following treasury management policy statement was formally adopted by the City Council on 5 March 2012.

1. INTRODUCTION AND BACKGROUND

1.1 The Council adopts the key recommendations of CIPFA's Treasury Management in the Public Services: Code of Practice (the Code), as described in Section 5 of the Code.

1.2 Accordingly, the Council will create and maintain, as the cornerstones for effective treasury management:-

- A treasury management policy statement, stating the policies, objectives and approach to risk management of its treasury management activities
- Suitable treasury management practices (TMPs), setting out the manner in which the Council will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities.

1.3 The Council (i.e. full Council) will receive reports on its treasury management policies, practices and activities including, as a minimum, an annual strategy and plan in advance of the year, a mid-year review and an annual report after its close, in the form prescribed in its TMPs.

1.4 The Council delegates responsibility for the implementation and monitoring of its treasury management policies and practices to Executive Board and for the execution and administration of treasury management decisions to the Chief Financial Officer, who will act in accordance with the organisation's policy statement and TMPs and CIPFA's Standard of Professional Practice on Treasury Management.

1.5 The Council nominates Audit Committee to be responsible for ensuring effective scrutiny of the treasury management strategy and policies.

2. POLICIES AND OBJECTIVES OF TREASURY MANAGEMENT ACTIVITIES

2.1 The Council defines its treasury management activities as:

"The management of the Council's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks."

2.2 This Council regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the organisation, and any financial instruments entered into to manage these risks.

2.3 This Council acknowledges that effective treasury management will provide support towards the achievement of its business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management, and to employing suitable performance measurement techniques, within the context of effective risk management.”

2.4 The Council’s borrowing will be affordable, sustainable and prudent and consideration will be given to the management of interest rate risk and refinancing risk. The source from which the borrowing is taken and the type of borrowing should allow the Council transparency and control over its debt.

2.5 The Council’s primary objective in relation to investments remains the security of capital. The liquidity or accessibility of the Council’s investments followed by the yield earned on investments remain important but are secondary considerations.

Existing Investment & Debt Portfolio Position

	At 31 December 2016 Actual Portfolio £m	Average Rate %
External Borrowing:		
PWLB – Fixed Rate	570.576	4.16
PWLB – Variable Rate	54.295	0.65
Local Authorities	70.000	0.27
Market Loans inc LOBO's	49.000	4.35
Bonds/Stock	0.619	3.00
Other	0.895	0.25
Total External Borrowing	745.385	3.55
Other Long Term Liabilities:		
PFI & Finance Leases	225.700	
Total Gross External Debt	971.085	
Investments:		
Short-term investments		
- Banks	10.000	0.58
- Other LA's	10.000	1.40
Long-term investments	0.00	
Money Market/Pooled Funds	41.600	0.26
Total Investments	61.600	0.50
Net Debt	827.428	

Other Options Considered

The CLG Guidance and the CIPFA Code do not prescribe any particular treasury management strategy for local authorities to adopt. The Chief Financial Officer, having consulted the portfolio holder, believes that the above strategy represents an appropriate balance between risk management and cost effectiveness. Some alternative strategies, with their financial and risk management implications, are listed below.

Alternative	Impact on income and expenditure	Impact on risk management
Borrow additional sums at long-term fixed interest rates	Debt interest costs will rise; this is unlikely to be offset by higher investment income	Higher investment balance leading to a higher impact in the event of a default; however long-term interest costs will be more certain
Invest in a wider range of counterparties and/or for longer times	Interest income will be higher	Increased risk of losses from credit related defaults, but any such losses will be smaller
Invest in a narrower range of counterparties and/or for shorter times	Interest income will be lower	Lower chance of losses from credit related defaults, but any such losses will be greater
Repay existing long term debt early using short term loans	Debt interest will reduce, however debt repayment premiums apply that will largely offset financial benefit	Overall debt levels do not reduce, increased exposure to interest rate changes so long term interest cost less certain.

GLOSSARY OF TREASURY MANAGEMENT TECHNICAL TERMS	
TERM	DEFINITION
Bank Rate	The official interest rate set by the Bank of England's Monetary Policy Committee and what is generally termed at the "base rate".
Capital Expenditure	Expenditure on the acquisition, creation or enhancement of capital assets.
Capital Financing Requirement (CFR)	The Council's underlying need to borrow for capital purposes representing the cumulative capital expenditure of the local authority that has not been financed.
Certainty Rate (PWLB)	A 0.20% discount offered on new loans from PWLB in return for submission of information on future borrowing requirements.
Certificates of Deposit	Tradeable debt instrument issued by financial institution with fixed interest rate and maturity.
CNAV	See Money Market Funds
Credit Default Swaps	A financial instrument for swapping the risk of debt default; the buyer effectively pays an insurance premium against the risk of default.
Credit Rating	A formal opinion issued by a registered rating agency of a counterparty's (or a country's) future ability to meet its financial liabilities; these are opinions only and not guarantees.
Debt maturity	The date when an investment or loan is scheduled to be repaid.
Debt maturity profile	An analysis of the maturity dates of a range of loans/investments.
Diversification	The spreading of investments among different types of assets or between markets in order to reduce risk.
European Investment Bank (EIB)	A non-profit bank created by the European Union principally to make or guarantee loans to EU members for projects contributing to regional development within the Union. Funding is raised through the issuance of bonds, guaranteed by member states.
Funding For Lending Scheme	A Government/Bank of England scheme to provide banks with cheaper funding with the aim of increasing banks' overall net lending activity.
Government Gilts	Bonds issued by the UK Government. They take their name from 'gilt-edged': being issued by the UK government, they are deemed to be very secure as the investor expects to receive the full face value of the bond to be repaid on maturity.
Int. Financial Accounting Standards (IFRS)	Guidelines and rules set by the International Accounting Standards Board that companies and organisations follow when compiling financial statements.
Minimum Revenue Provision	An annual provision that the Council is statutorily required to set aside and charge to the Revenue Account for the repayment of debt associated with expenditure incurred on capital assets
Money Market Funds (MMF)	Pooled funds which invest in a range of short term assets providing high credit quality and high liquidity.
MMFs - CNAV	Constant Net Asset Value - a term used in relation to the value of a unit share in a pooled fund. The value of a share is always £1.
MMFs or Pooled Funds - VNAV	Variable Net Asset Value - a term used in relation to the value of a unit share in a pooled fund. A proportion of the assets may be valued at market value, rather than purchase price, reducing the value of the share on a temporary basis.
Negotiable Instruments	Term used for instruments such as Certificates of Deposits, Covered Bonds, Medium Term Notes and Corporate Bonds, where it is possible to realise the investment on the secondary market before maturity.
Non-Specified Investments	Term used in the CLG guidance. It includes any investment for periods greater than one year or those with bodies that do not have a high credit rating, use of which must be justified.
Pooled funds	Funds in which several investors collectively hold units or shares. The assets in the fund are held as part of a pool.
Premiums and Discounts	A penalty or payment arising from the premature repayment of debt. The calculation is dependent on the relative level of interest rates for the

	existing loan and current market rates.
Private Finance Initiative	A way of funding major capital investments, without immediate recourse to the public purse. Private consortia are contracted to design, build, and in some cases manage new projects. Contracts can typically last for 30 years, during which time the asset is leased by a public authority.
Prudential Code	Developed by CIPFA as a professional code of practice to support local authority capital investment planning within a clear, affordable, prudent and sustainable framework and in accordance with good professional practice.
Prudential Indicators	Indicators determined by the local authority to define its capital expenditure and asset management framework. They are designed to support and record local decision making in a manner that is publicly accountable; they are not intended to be comparative performance indicators.
PWLB	Public Works Loans Board. A statutory body operating within the United Kingdom Debt Management Office, an Executive Agency of HM Treasury. The PWLB's function is to lend money from the National Loans Fund to local authorities and other prescribed bodies, and to collect the repayments.
Quantitative Easing	The process used by the Bank of England to directly increase the quantity of money in the economy. The Bank buys assets from private sector institutions and credits the seller's bank account. The seller has more money in their bank account, while their bank holds a claim against the Bank of England (known as reserves). The end result is more money out in the wider economy.
Revenue Expenditure	Expenditure to meet the continuing cost of delivery of services including salaries and wages, the purchase of materials and capital financing charges.
Specified Investments	Term used in the CLG Guidance for Local Authority Investments. Investments that offer high security and high liquidity, in sterling and for no more than 1 year. UK government, local authorities and bodies that have a high credit rating.
Supranational Bonds	Debt issued by international organisations such as the World Bank, the Council of Europe and the European Investment Bank
Term Deposits	Deposits of cash with terms attached relating to maturity and rate of return (interest).
Treasury Bills	Government-issued short-term loan instrument
Treasury Management Code	CIPFA's Code of Practice for Treasury Management in the Public Services.
Unsupported Borrowing	Borrowing which is self-financed by the local authority. This is also sometimes referred to as Prudential Borrowing.

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Subject:	REMOURBAN & Domestic Energy Efficiency Programme
Corporate Director(s)/Director(s):	David Bishop, Corporate Director of Development and Growth Andy Vaughan, Corporate Director of Commercial and Operations
Portfolio Holder(s):	Councillor Alan Clark, Portfolio Holder for Energy and Sustainability Councillor Jane Urquhart, Portfolio Holder for Housing
Report author and contact details:	Jane Lumb, Head of Energy and Sustainability Policy, 0115 8764786; jane.lumb@nottinghamcity.gov.uk Graham de Max, Housing Partnership and Strategy Manager, 0115 8763538; graham.demax@nottinghamcity.gov.uk
Subject to call-in:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Key Decision:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Criteria for Key Decision:	
(a) <input checked="" type="checkbox"/> Expenditure <input type="checkbox"/> Income <input type="checkbox"/> Savings of £1,000,000 or more taking account of the overall impact of the decision	
and/or	
(b) Significant impact on communities living or working in two or more wards in the City <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Type of expenditure:	<input type="checkbox"/> Revenue <input checked="" type="checkbox"/> Capital
Total value of the decision: £5.57m	
Wards affected: St Ann's and Dales	
Date of consultation with Portfolio Holder(s): 5th December 2016	
Relevant Council Plan Key Theme:	
Strategic Regeneration and Development	<input type="checkbox"/>
Schools	<input type="checkbox"/>
Planning and Housing	<input checked="" type="checkbox"/>
Community Services	<input type="checkbox"/>
Energy, Sustainability and Customer	<input checked="" type="checkbox"/>
Jobs, Growth and Transport	<input type="checkbox"/>
Adults, Health and Community Sector	<input type="checkbox"/>
Children, Early Intervention and Early Years	<input type="checkbox"/>
Leisure and Culture	<input type="checkbox"/>
Resources and Neighbourhood Regeneration	<input type="checkbox"/>
Summary of issues (including benefits to citizens/service users):	
<p>The City Council has been awarded £2.23m of European grant money, to be spent on energy efficiency measures on Council Houses. This is supplemented by £2.83m of HRA (already earmarked for energy measures), £0.07m General fund, ECO and private contributions totalling £0.430m to build an overall scheme budget of £5.57m.</p> <p>Approval is sought to spend this £5.57m on the energy improvement scheme set out in the report and to delegate authority to the Director of Waste, Energy and Highways to procure the necessary contracts to comply with internal procurement and EU funding rules.</p> <p>This overall programme will see innovative and integrated energy efficiency measures installed on 366 properties.</p>	

Exempt information: State 'None' or complete the following

None.

Recommendation(s):

- 1** To note the Leader's Key Decision of December 2014 to accept the RemoUrban grant, which included elements relating to funding energy efficiency and energy innovation measures, which this report now seeks to enable.
- 2** To note that 366 homes will benefit from significant home energy improvements which, in turn, will see householders' energy bills reduce significantly.
- 3** To revise the capital programme in accordance with paragraph 4.1 and approve spend in accordance with this profile.
- 4** To delegate approval to the Director for Waste, Energy and Highways to award contracts, within the financial limits described in this report

1 REASONS FOR RECOMMENDATIONS

- 1.1 The Executive Board is asked to approve the funding allocations set out within this report, which in turn, allows the accessing of EU funding to support home energy improvements in 366 homes within the city.
- 1.2 In addition, Executive Board is asked to delegate all associated contract and procurement decisions to the Director of Waste, Energy and Highways to allow delivery of this programme within the specified timescales.

2 BACKGROUND (INCLUDING OUTCOMES OF CONSULTATION)

2.1 RemoUrban

- 2.1.1 The City Council entered into a partnership with Nottingham City Homes, Nottingham Trent University, SASIE, Nottingham Energy Partnership and InfoHub to submit a bid for European funding under the Horizon 2020 funding programme.
- 2.1.2 In 2014 the City Council was notified that it had been successful and was awarded 4.5m Euros for a variety of 'smart city' initiatives, part of which related to energy.
- 2.1.3 In December 2014, the Leader of the Council took a Key Decision to accept this grant and commit initial expenditure and this report seeks approval to implement remaining the funding award related to energy measures in housing.

2.1.4 The scheme funds the following initiatives.

	Bronze	Silver	Gold
Number of Properties	263	94	9
Energy Measures	External Wall Insulation LED lighting	External Wall Insulation LED Lighting Solar PV Battery Storage Low Temperature District Heating	A variety of innovative energy measures, to be determined through the procurement process, which results in an energy consumption of no more than £200 pa.

2.1.5 To comply with the funding rules, these improvements need to be complete and funding claimed by 30 November 2017.

2.2 Funding Arrangements

2.2.1 The funding table is set out below

		Properties			Cost			Funding					
REMOURBAN		Council Homes	Lease Holders	TOTAL	Council Homes	Lease Holders	TOTAL	HRA	Lease/h Not Chg'd	Lease Holders	EU Funding	ECO Funding	TOTAL
Cost / Funding Table		No.	No.	No.	£'m	£'m	£'m	£'m	£'m	£'m	£'m	£'m	£'m
Bronze	Already complete	122		122	0.81	0.00	0.81	0.64	0.00	0.00	0.12	0.05	0.81
	O/s	105	36	141	0.71	0.24	0.95	0.29	0.01	0.08	0.51	0.06	0.95
		227	36	263	1.51	0.24	1.76	0.92	0.01	0.08	0.63	0.11	1.76
Silver		81	13	94	2.57	0.35	2.92	1.16	0.03	0.13	1.49	0.11	2.92
Gold		9	0	9	0.59	0.00	0.59	0.48	0.00	0.00	0.10	0.01	0.59
Other Items					0.28	0.03	0.31	0.27	0.03	0.00	0.01	0.00	0.31
TOTAL		317	49	366	4.94	0.63	5.57	2.83	0.07	0.21	2.23	0.22	5.57

2.2.2 Approval is sought to:

2.2.3 Confirm the £2.83m HRA allocation towards this scheme (see table in paragraph 6.1). This is earmarked in the Public Sector Housing (HRA) capital programme for energy improvements.

2.2.4 Confirm the arrangements with leaseholders and note that the contribution towards the overall scheme cost will be met by owner occupiers.

2.2.5 Confirm an addition to the General Fund capital programme of £0.280m, which is to be primarily financed by recharges to householders (£76k isn't able to be recovered) through direct payments, loans or a charge on the property.

2.2.6 The leaseholder policy is being finalised with finance and legal colleagues and will be approved using the normal procedures. This is based on other Councils, such as Camden, and Housing Providers such as Longhurst. There is a risk that not all costs will be recovered.

2.2.7 Confirm the application of ECO funding (to be determined following discussion with energy suppliers)

2.2.8 Confirm the allocation of £2.23m EU funding as part of this initiative.

2.3 Contractual Arrangements

2.3.1 A procurement process is already underway for the 9 Gold properties and this procurement process will determine the measures to be installed.

2.3.2 Framework contractors or compliant standard procurement exercises will be utilised for all other measures.

2.3.3 The precise contractual arrangements will be authorised by the Director of Waste, Energy and Highways and ensure compliance with internal procurement and EU procurement rules.

3 OTHER OPTIONS CONSIDERED IN MAKING RECOMMENDATIONS

3.1 Do Nothing - Rejected, the funding in question has already been allocated to energy efficiency improvements as part of the Horizon 2020 funding stream. Not agreeing to the use of this funding in the way set out in this report would mean that the Remourban funding from the European Commission would not be able to be drawn down and the greater energy savings planned would not be achieved.

4 FINANCE COMMENTS (INCLUDING IMPLICATIONS AND VALUE FOR MONEY/VAT)

4.1 The overall cost of the REMOURBAN (housing related) project is £5.570m of which £4.943m is on council owned homes and £0.627m is on leaseholder properties. The impact on the capital programme will be as follows:

	2016/17 £m	2017/18 £m	Total cost £m
Public Sector Housing (HRA) – Energy Efficiency - RemoUrban	1.114	3.828	4.943
Public Sector Housing (HRA) – Energy Efficiency – no fines	(1.114)	(3.828)	(4.943)
General Fund – RemoUrban (leaseholders)	0.000	0.627	0.627
Impact on capital programme	0.000	0.627	0.627

4.2 The scheme is financed as follows:-

	Existing £m	New £m	Total £m
HRA capital resources - MRR	2.828	0.000	2.828
EU funding	1.893	0.339	2.232
ECO funding	0.222	0.000	0.222
Private contributions - leaseholders	0.000	0.212	0.212
General Fund capital receipts	0.000	0.076	0.076
Total financing	4.943	0.627	5.570

4.3 The EU and ECO funding elements are best estimates of the grant available but will fluctuate due to the EU grant being valued in euros and the ECO grant being dependent on the agreement made with the energy supplier concerned. The terms and conditions of the grants do not raise concerns over compliance. The project officers have experience of operating within these standard terms and conditions. The EU grant conditions require that the works are completed by November 2017, therefore the risk to the council is if these are not completed on time.

4.4 The private contributions will be a mix of repayments for works over a specific time period to be determined with each individual leaseholder.

4.5 The project contains an element of work on the district heating system that will be funded by the HRA to a maximum value of £71k. A decision has been taken to finance this as the project contains wider benefits for tenants and will seek to identify further energy saving initiatives that will benefit HRA tenants through developing and testing a Pay As You Save model.

Finance comments provided by Geoff Walker – Strategic Director of Finance

5 LEGAL AND PROCUREMENT COMMENTS (INCLUDING RISK MANAGEMENT ISSUES, AND INCLUDING LEGAL, CRIME AND DISORDER ACT AND PROCUREMENT IMPLICATIONS)

5.1 The procurement team has no significant concerns with the recommendations set out in the report and will support the client through the procurement phase to ensure compliance with Public Contract Regulations and that value for money is achieved.

Legal comments provided by Andrew James, Team Leader (Contracts and Commercial)

6 STRATEGIC ASSETS & PROPERTY COMMENTS (FOR DECISIONS RELATING TO ALL PROPERTY ASSETS AND ASSOCIATED INFRASTRUCTURE)

- 6.1 The proposed works are designed to improve the energy efficiency of the properties and the quality of life of the residents. The improvements will not necessarily increase the value of each property by the cost of the works to that property. If any of the properties to which works have been carried out are subsequently sold under the Right to Buy the investment in the property will be protected by Cost Floor provisions for 10 years. Where possible it is proposed to recharge leaseholders the cost of works.

7 SOCIAL VALUE CONSIDERATIONS

- 7.1 Cold homes are linked to a wide range of health issues, from mental health to asthma and respiratory issues, to trips and falls, some of which are responsible for excess winter deaths and excess winter hospital admissions as stated in the Fuel poverty report commissioned for the Government. The impact of these on the NHS has been estimated at £145m per annum.
- 7.2 Jobs and training opportunities will be created for Nottingham residents through the delivery of this project. The successful bidders for each project will be required to provide traineeships and local employment opportunities.

8 REGARD TO THE NHS CONSTITUTION

- 8.1 These works will improve health and wellbeing of residents living in the homes due to reduced fuel poverty and warmer homes.

9 EQUALITY IMPACT ASSESSMENT (EIA)

- 9.1 Has the equality impact of the proposals in this report been assessed?

(a) not needed (report does not contain proposals for new or changing policies, services or functions, financial decisions or decisions about implementation of policies development outside the Council)

(b) No

(c) Yes – Equality Impact Assessment attached

No

An EIA is not required because:

(Please explain why an EIA is not necessary)

Yes

Attached as Appendix x, and due regard will be given to any implications identified in it.

10 LIST OF BACKGROUND PAPERS RELIED UPON IN WRITING THIS REPORT (NOT INCLUDING PUBLISHED WORKS OR THOSE DISCLOSING DOCUMENTS OR CONFIDENTIAL OR EXEMPT INFORMATION)

10.1 None

11 PUBLISHED DOCUMENTS REFERRED TO IN THIS REPORT

11.1 Domestic Energy Efficiency Programme – report and minutes of Executive Board
16 July 2013

11.2 Delegated Decision to award contracts – May 2015

11.3 Leader’s Key Decision: Acceptance of REMOURBAN grant, December 2014

12 OTHER COLLEAGUES WHO HAVE PROVIDED INPUT

Emily Braham, Heat of Sustainable Energy, Nottingham City Homes
Emily.Braham@nottinghamcityhomes.org.uk

Wayne Bexton, Head of Energy Projects
Wayne.bexton@nottinghamcity.gov.uk

Julie Dorrington, HRA Finance
0115 8763740
Julie.dorrington@nottinghamcity.gov.uk

Sue Oliver, Procurement
0115 8764194
Sue.oliver@nottinghamcity.gov.uk

Andrew James, Team Leader Contracts and Commercial
0115 8764431
andrew.james@nottinghamcity.gov.uk

Name and brief description of proposal / policy / service being assessed				
REMOURBAN and Energiesprong roll out; delivery of energy efficiency measures and renewable energy and storage with new financial models				
Information used to analyse the effects on equality				
Discussions with the Equality and Diversity Team. NCH data.				
	Could particularly benefit (X)	May adversely impact (X)	How different groups could be affected: Summary of impacts	Details of actions to reduce negative or increase positive impact (or why action not possible)
People from different ethnic groups	<input type="checkbox"/>	<input type="checkbox"/>	<p>This scheme will improve the energy efficiency of existing homes through measures such as insulation and new windows, these improvements will reduce energy bills thus reducing fuel poverty and carbon emissions. People who are in during the day and people who are more sedentary will benefit more from this work, and these are people who tend to be older, people with disabilities or families with young children.</p> <p>The occupiers will feel more comfortable, and be better able to heat their homes, therefore protecting against cold related illness and poor health. However the leaseholders will need to pay for the cost of the works, and some of our elderly leaseholders particularly may find this difficult.</p> <p>The external wall insulation work is primarily undertaken from outside the property, but scaffold is erected throughout the build period, and some residents can find this disruptive. The higher standard works will be more disruptive as they will require more internal access.</p>	<p>We will continually assess the impact of the measures to citizens that are directly affected, this assessment shall include indicators such as fuel poverty, energy bill reduction analysis, health benefits etc.</p> <p>Our proposal is that a range of payment options will be provided, which will include spreading the cost across several years, or as a last resort putting an equity charge on the property so that the leaseholder does not pay until they sell their home.</p> <p>NCH standard services such as Helping Hands will be offered to vulnerable residents to ensure they are able to take up the energy efficiency works. Tenant liaison officers from NCH will oversee contractor resident liaison officers (RLOs) who deliver day to day support and information for residents. All information is available in a range of languages as required and the information is clear and easy to understand. All residents receive an induction from the RLO, which NCH has recently increased in time to</p>
Men, women (including maternity/pregnancy impact), transgender people	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
Disabled people or carers	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
People from different faith groups	<input type="checkbox"/>	<input type="checkbox"/>		
Lesbian, gay or bisexual people	<input type="checkbox"/>	<input type="checkbox"/>		
Older or younger people	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
Other (e.g. marriage/civil partnership, looked after children, cohesion/good relations, vulnerable children/adults)	<input checked="" type="checkbox"/>	<input type="checkbox"/>		

				<p>ensure that residents' needs can be identified.</p> <p>It is proposed that the first property to receive the gold standard works could be vacated for a couple of days, subject to agreement with the tenant who would be offered a hotel accommodation.</p>
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Outcome(s) of equality impact assessment:

No major change needed Adjust the policy/proposal Adverse impact but continue Stop and remove the policy/proposal

Arrangements for future monitoring of equality impact of this proposal / policy / service:

Assessment to be reviewed at time of regular scheduled audits of the systems

<p>Approved by (manager signature):</p> 	<p>Date sent to equality team for publishing: November 2016</p>
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