

**Bath and North East Somerset – Local
Authority and Provider Agreement including
the Bath and North East Somerset
requirements on the Provision of the Early
Years Entitlement**

July 2012

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1. Introduction

Vision

Bath and North East Somerset's Children and Young People's Plan sets an ambitious vision as follows:

'We want all Children and Young People to enjoy childhood and to be well prepared for adult life'.

The national vision for the Early Years Entitlement (EYE) as set out in Statutory Guidance for Local Authorities on the Delivery of Free Early Education for Three and Four Year Olds and Securing Sufficient Childcare (referred to hereafter as 'national guidance') is:

"All eligible children are able to take up high quality early education regardless of their parents' ability to pay – benefiting their social, physical and mental development and helping to prepare them for school. Evidence shows that regular, good quality early education has lasting benefits for all children."

2. Criteria for Provider Eligibility for Funding

Bath and North East Somerset will consider funding a wide variety of provision offering the EYE provided that it meets:

- All requirements of revised Early Years Foundation Stage framework
- The criteria to meet the requirements of the Improving Quality and Outcomes in the Early Years Foundation Stage framework 2012. See section 3
- This Local Provider Agreement
- The national guidance.

The Council has a duty to ensure that there are sufficient places under the Childcare Act 2006. Early years providers support the Council in ensuring that there is both sufficiency and choice in provision across the whole area. However, while parents should be able to access an offer that most closely meets their need and have a choice of provider, they may not always be offered the full entitlement at the times they want and at their provider of choice.

Providers listed with Bath and North East Somerset's Family Information Service on 31st August 2012 as providers of the EYE will transfer to the new Provider Agreement subject to returning a signed copy of the document to the Early Years Team by 1st September 2012. Providers returning agreements after that date will have to reapply as a new provider as outlined in the following section.

Providers who have returned their signed agreement will continue to retain their eligibility for funding subject to the following criteria: -

- To be eligible for inclusion on the Directory, all providers must be registered on the relevant Ofsted Register or with the Independent Schools Inspectorate (ISI) and must be open to inspection by Ofsted or ISI as required. Whenever inspected, the provider must have been found to be delivering its service to the minimum level of satisfactory. (If a change is made to the inspection judgements, the new equivalent judgements will apply.) Providers on the Directory must continue to be registered with Ofsted or ISI and to be inspected by those bodies as necessary and be found to be offering at least satisfactory provision.
- The registered body must meet legal requirements and be registered with Ofsted. The Local Authority must be informed of all significant contact with Ofsted related to your registration e.g. complaints; concerns; compliance action; enforcement action; inspection. Members of the registered body must actively engage in support from Bath and North East Somerset and have sufficient knowledge of the requirements of the EYFS.
- Staffing ratios and qualification levels must meet the requirements of the EYFS at all times.
- Providers must keep the Early Years Team up to date with all contact details for the setting and with all staffing information including staff leaving, new staff, changes in job role and staff vacancies.
- Providers should keep the Family Information Service informed of childcare

vacancies.

- Provision of places as outlined in the conditions specified in both the national statutory guidance and the Local Provider Agreement
- Provision is required in order to meet local levels of sufficiency of places provided within Bath and North East Somerset.

Providers who subsequently do not adhere to either the national guidance or the Local Provider Agreement in the future will be considered for withdrawal from the scheme as outlined later in this document.

3. Quality – the requirements for Providers in Bath and North East Somerset

The national guidance (Section A3, 3.7 to 3.12) outlines the requirement that Local Authorities will identify the highest quality providers across all sectors by using quality improvement and support programmes to categorise the quality of Providers in their area. The purpose of assessing quality is to ensure that professional support can be provided which is appropriate to the needs of the provider in order to drive quality as the key to ensuring that each child obtains their maximum benefit from their entitlement.

Bath and North East Somerset have developed a tool linked to the national Early Years Quality Improvement Support Programme materials (EYQISP) which is called 'Improving Quality and Outcomes in the Early Years Foundation Stage' (Appendix 2). Every EYE provider will be evaluated using this framework in order to prioritise support and funding. Once assigned a support category, providers will be offered differentiated levels of support. In addition Bath and North East Somerset is enabled, under the terms of the national guidance and legislation covering sufficiency of places, to decide that, where there is an oversupply of provision, funding can be prioritised to providers rated good or above under our EYQISP categorisation process.

Bath and North East Somerset Council will only fund providers rated category 3 if they evidence a sustained commitment to improving the quality of their provision by engaging fully in an 18 month Quality Improvement support programme from the Early Years team. If improvement is not evidenced within this time-frame, funding will be withdrawn.

4. Affordability and Flexibility

The **free entitlement** is free early years provision for every eligible child, for 570 hours per year and during no fewer than 38 weeks in any year – for example, at least 15 hours per week over 38 weeks of the year. However, although this free provision must be available during at least 38 weeks of the year, the regulations also clarify that provision does not have to be available for 15 hours per week and can be stretched over more than 38 weeks, with fewer than 15 hours a week, to enable the entitlement to be delivered more flexibly. This supports the aim to ensure that local authorities can secure the availability of the free provision flexibly to meet parental demand.

In Bath and North East Somerset we are expecting our providers to offer flexibility where they can within the framework of the national guidance.

There will be a number of providers who are unable to make the full offer because they are unable to due to their premises or because that it is not the provision they intend to offer e.g. they intend to operate only within school pattern hours, during school term dates. This must be made clear to parents who should be made aware that there may be other providers within the area who can make an offer that most closely meets the family's needs. There may also be a limited number of providers who wish to define their own core hours within the framework because of how they structure their own individual provision. In doing so the expectation of informing parents also applies, especially with regard to lunch "breaks." Providers can only make these only if they have declared additional local conditions for using EYE.

The offer will be marketed to parents as up to 15 hours of free flexible entitlement per week, and the national guidance outlining a minimum and maximum number of hours per day that may be available will be widely advertised. At a local level some providers may decide to offer "core hours" i.e. a time during the day which is when they offer the free entitlement. This should be proportionate with the likely demands of families for use of their entitlement e.g. a provider only offering a block from 3pm to 6pm daily is likely to be considered to be setting unreasonable "core hours" and withdrawn from the scheme.

5. Withdrawal and/or Suspension of Provider's eligibility by Bath and North East Somerset

In order to ensure the best outcomes for children Bath and North East Somerset are permitted within the national guidance and our Local Provider Agreement to withdraw funding from providers in certain circumstances which are outlined below.

- 1) Failure to meet the Early Years Foundation Stage Statutory Guidance, the national guidance or the Local Provider Agreement.
- 2) Following an Ofsted inspection.

Bath and North East Somerset will follow the Ofsted process where an inspection is inadequate with the additional following actions: -

- Inadequate Category 1. Funding will be suspended from the next due payment until an action plan covering the whole Ofsted report and not just the actions to improve is provided and approved by Bath and North East Somerset's Early Years Team.
 - Inadequate Category 2. Funding will be withdrawn.
- 3) Failure to accept the support recommended by the Early Years team after categorisation has taken place. Funding will be suspended from the next due payment until the Provider is working with the agreed level of support from Bath and North East Somerset's Early Years Team.
 - 4) As a result of the categorisation process, where the Provider is categorised as Category 3 and shows little capacity to improve and the Provider is in an area of oversupply of EYE places, providers will be given up to 18 months to improve from their initial categorisation. (Oversupply will be assessed by the current Childcare Sufficiency Report and additional local knowledge on developments in that area, e.g. 2 new providers opening since the last report.) If after 18 months the Provider is still categorised as Category 3 and the provider is in an area of oversupply of EYE places, funding will be withdrawn and a Provider will need to reapply to be considered as an EYE provider in Bath and North East Somerset by evidencing that they have improved to the level expected of a Category 2 provider, as a minimum standard, under the categorisation process.
 - 5) As a result of the categorisation process, where the Provider is categorised as Category 4 they will be given up to 6 months to improve from their initial categorisation. If after 6 months the Provider is still categorised as Category 4, funding will be withdrawn.
 - 6) In cases of gross misconduct e.g. Ofsted enforcement action, fraud or financial impropriety, where children are unsafe or not safeguarded effectively. Funding will be withdrawn.

6. Appeals

Provider Appeals

A provider may appeal regarding refusal to become a new EYE provider or withdrawal of their status as an existing EYE provider. The process for appealing is outlined below.

- The provider should send (in writing) reasons for the appeal within 14 working days of a decision being notified, and include any supporting documentation.
- Bath and North East Somerset will send an acknowledgement of receipt of the appeal within 5 working days.
- A panel of 3 officers in the Children's Service, who are independent of the original decision, will review the decision through a review of the supporting documentation and an interview with the provider within a further 10 working days of acknowledging the appeal.
- The provider will receive a written decision on the appeal within 4 working days of the appeal decision being made.

Corporate complaints procedure

Should you be unhappy with the appeals process Bath and North East Somerset have a corporate complaints procedure and details can be found at this internet address: -

<http://live.bathnes.gov.uk/services/your-council-and-democracy/complaints>

The Local Authority Ombudsman

If you are dissatisfied with your treatment under either the appeals procedure or the corporate complaints procedure, you may make a complaint to the Local Authority Ombudsman after the full appeals procedure with Bath and North East Somerset Council has been exhausted.

The address for the Local Authority Ombudsman is:

**The Oaks, Westwood Way, Westwood Business Park
Coventry CV4 8JB Telephone 0300 0610614**

Parent/Carer Appeals and/or Complaints

A parent/carers may appeal or complain if they are unable to access their full entitlement or where they may not be receiving their EYE within the terms of the national guidance and/or Local Provider Agreement.

Bath and North East Somerset's Children's Service procedure for can be found at the following internet address/link

<http://live.bathnes.gov.uk/services/your-council-and-democracy/complaints/complaints-about-childrens-services-0>

or by calling 01225 477931

7. Provider Declaration

I have read Bath and North East Somerset's Local Authority and Provider Agreement including the Bath and North East Somerset requirements on the Provision of the Early Years Entitlement. A copy is retained at my provision together with the national guidance. This signed and returned copy of Bath and North East Somerset's Local Authority and Provider Agreement including the Bath and North East Somerset requirements on the Provision of the Early Years Entitlement acknowledges receipt, understanding and adherence to both the national guidance and Local Provider Agreement.

Name of provision _____

Signature _____

Print name _____

Position _____

Date _____

Contact number _____

Please return to the Early Years Team, Floor 1 Riverside North, Temple Street, Keynsham, Bristol BS31 1LA

Appendix 1

Procedures for claiming the entitlement

Which providers can claim the Early Years Entitlement?

You need to be an Ofsted registered day care provider or an independent school registered with the DfE. This can include childminders if they are accredited. You will need to sign a copy of the Local Provider Agreement to accept the terms and conditions associated with receiving the Early Years Entitlement.

What is the Entitlement?

All eligible children will be entitled to 15 hours a week for 38 weeks of the year (570 hours) divided into three terms as follows:

Autumn (13 week term)	The basic entitlement is worth a maximum of 195 hours
Spring (12 week term)	The basic entitlement is worth a maximum of 180 hours
Summer (13 week term)	The basic entitlement is worth a maximum of 195 hours

Children who change hours mid-term

When a child decreases their hours part way through the term, Bath and North East Somerset will not remove the funding allocated at the start of term, however, if additional hours are claimed for another child, any decrease in funding will be offset against the increase.

When a child increases their hours part way through the term, if an amendment form is returned to Bath and North East Somerset by that term's amendment date, then these hours will be paid. If the form is returned after this date, payment may be deferred until the next full payment is due to be made to the provider although the provider should offer the EYE from the child's start date.

Children who change provider's mid-term

Bath and North East Somerset recognise the providers will have planned for the child attendance throughout the term, and the Headcount form is a signed contract by the parent that their child will attend the provider for the whole of term (unless otherwise stated on the form). Providers will therefore have to negotiate with each other if a child then moves and they wish to retain or transfer the remaining funding in respect of that child.

Any decision regarding transferring funding is at the provider's discretion, and cannot be enforced by Bath and North East Somerset. Parents should be made aware of this before they sign the Headcount form.

When a parent moves a child at the start of a new term without giving a notice period to a previous provider

- If they have not signed the headcount, the previous provider is still eligible to claim the funding until the end of their contracted notice period but only if a parent has signed a contract to this effect. Bath and North East Somerset will

require a copy of this contract as evidence for payment. If the parent has also signed to claim at a new provider then the funding may be split.

- If they have signed the headcount confirming their attendance for the whole term, the payment will be allocated to the previous provider for the whole term. If the parent has also signed to claim at a new provider then the funding will be split.

When a parent moves a child at the start of a new term giving a notice period, then the period of funding (e.g. 4 weeks as signed for in their contract) should be added to the headcount form and funding will be allocated to the previous provider for this period only. Bath and North East Somerset will require a copy of this contract as evidence for payment.

Children who are absent

Where a child attending has recurring absences or is absent for an extended period, providers should notify Bath and North East Somerset to discuss whether funding will be reduced accordingly. There is no obligation for a child to attend for all of their agreed attendance pattern however prolonged absences and failure to attend on a regular basis for agreed sessions should be notified as part of Bath and North East Somerset's audit procedure. The provider's contract with the family will be supported as this is how staffing levels and finances will have been planned. However, Bath and North East Somerset may wish to discuss with the provider reallocating the entitlement to a later starter, utilising the entitlement to cover an amendment or possibly refunding the entitlement once the contracted period has ended.

We therefore recommend that providers get parents to sign a parental contract to confirm this arrangement along with their terms and conditions.

Providers who forget to claim for a child/queries in funding allocations

There are occasions when children do get missed from the term's headcount or the provider does not agree with the funding allocated for a child. This can normally be investigated and adjusted if necessary by notification at amendment time. However, if the child is still missing from the information submitted on the next term's headcount form, the provider should inform us by that term's Headcount return date in order to allocate funding for the previous term (in addition to the current term). Failure to do so will result in payment only being made for the term in which the error was noticed. Similarly, any investigations required to funding allocations will only be made if this has been notified to Bath and North East Somerset by the Headcount return date of the following term.

How much time will the Early Years Entitlement cover per day?

- Between 2.5 and 10 hours each day.

You can define 'core' hours at a provision level during which the entitlement can be taken, but this information must be made clear to parents.

- Up to 15 hours per week.

If 15 hours are offered, this must be taken over 2 days or more.

- Up to 38 weeks a year in school term times only.

Although the entitlement is for 38 weeks, if you are open for more weeks you can split the total annual hours funded (i.e. 38 x 15) over more weeks, but this is in agreement with the parent and not mandatory.

How to claim the Entitlement

Before the start of each term, the Bath and North East Somerset Early Years Team will send you an estimate form. You will need to indicate how many children you think will attend the following term and how many hours they will attend. After returning this, you will be paid 50% of the entitlement, based upon the information you provide. The final payment of the remaining balance will be paid to you following the traditional school half term.

Funding Splits

If a child attends 2 providers, the entitlement will be allocated to both providers in proportion to the number of hours they attend at each.

Examples -

A child attends Big Bears for 2 days (20 hours) and Little Bears for 1 morning (5 hours). The total hours attended is 25 hours so Big Bears will get 20/25th of the funding and Little Bears 5/20th.

If both providers can offer 15 hours with a 13 week term (195 hours), then hours will be allocated as follows:

- i) Big Bears 156 hours (20/25th of 15 hours x 13 weeks)
- ii) Little Bears 39 hours (5/25th of 15 hours x 13 weeks)

Total hours 156 + 39 = 195

Please note. If a child attends at one provider in Bath and North East Somerset and another in a different local authority, then the split of the hours between the 2 providers will be determined in discussion with the other provider and any rules they have imposed for allocation of the hours.

Paperwork

Headcount Form (EYE1)

At the start of each of the 3 terms, you will be sent a pre-populated form listing all children from the previous term. This will need to be signed by the parent /guardian of each child still attending and returned to Bath and North East Somerset along with any new starter forms.

If there are any changes to hours attended from that stated on the pre-populated forms, these can be noted on the same form and the parent can sign. If the child has changed address and/or name, this information should be entered on an amendment form (EYE3) and returned to Bath and North East Somerset with the EYE1 form.

New Starters

Full child details must be supplied once, when the child becomes eligible. This can either be supplied on an EYE2 starter form or via the SIMS system. You should also provide the parent with a Privacy Notice to indicate how this data may be used.

Please note. All forms must include an ethnicity monitoring code. There is an option code included for those who prefer not to state any ethnicity. Failure to provide this information will delay payments.

Amendment Form (EYE3)

If any changes are notified to the provider after the Headcount deadline date, these should be submitted to Bath and North East Somerset by the amendment return date as published in the "Information for Providers" leaflet. Each amendment must be signed by the parent/guardian, unless the child has left.

If any amendments are submitted later than the amendment date specified for each term, then the payment will take place in the following term and in addition, there will be no guarantee that the entitlement will be split as anticipated if a child is claiming at 2 providers.

All Forms

You must inform Bath and North East Somerset how many hours (in total) and how many days each child attends. The hours should be stated to the nearest ¼ hour. All forms submitted should be completed fully; failure to do so will result in late payment of the entitlement.

Notification to providers of funding allocated to individual children

All providers will be notified of how many hours funding has been allocated to individual children when the actual payment is made and any individual child amendment will be notified with the amendment payment. The provider is responsible for checking amounts are correct and notifying Bath and North East Somerset by the Headcount date of the following term. Any errors notified after this date will not be paid.

Auditing the Early Years Entitlement

Bath and North East Somerset will visit each provider claiming the entitlement approximately once a year to review the child attendance hours and billing procedures. Bath and North East Somerset may adjust funding as a result of findings in the audit as outlined in this code. In the event of severe discrepancies between submitted and actual records on children's attendance funding may be withdrawn.

The purpose of the audit is to verify the use of public money. The staff member carrying out the audit will offer support and guidance to the provider on their EYE processes.

Web Pages

The latest information and forms listed in this section will be made available on line on the Council's website.

Appendix 2

Parental charges and invoicing

The National Statutory Guidance states that the Local Authority should ensure that parents can clearly see, from the information they receive from their provider, that they have received their child's full 15 hour entitlement completely free. It also states that providers who charge for any goods or services, for example meals, optional extras or additional hours of provision outside of the free entitlement, do not do so as a condition of children accessing their free entitlement.

The provider must therefore prepare bills for parents which show what hours and services the child is accessing and how many hours are funded. The difference between the child's total bill at the provider and the funding provided must not be shown as a 'top-up'.

Examples of good billing practice are shown below.

Example 1 – Termly invoice for child attending 4 x 3-hours sessions, term-time only with 9 hours EYE

Period covered – 11 th June – 17 th July	Days attending M,T,W,F	
<u>Description</u>	<u>Quantity</u>	<u>Amount</u>
3 Hour EYE funded session	18	£0
3 Hour non-EYE session @ £10.65	4	£42.60
	TOTAL PAYABLE:	£42.60

Example 2 – Termly invoice for child attending 4 x 3-hours sessions, term-time only, with 10.5 hours EYE

For each 12 hour week, 1.5 hours will be chargeable.

Any voluntary contribution can be added to the invoice as long as it is clear that this is not compulsory.

Period covered – 11 th June – 17 th July	Days attending M,T,W,F	
<u>Description</u>	<u>Quantity</u>	<u>Amount</u>
EYE funded hours per week (10.5 hours x 6 weeks)	63	£0
1.5 Hour non-EYE per week @ £3.55/hour x 6 weeks	9	£31.95
Voluntary Contribution @ £4 pw	6	£24.00
	TOTAL PAYABLE:	£55.95
<p>The Voluntary Contribution fee contributes to providing a good quality healthy snack for your child and replacement of existing equipment. Although not obligatory, we hope that you will agree that a contribution is good value and worthwhile to maintain the standards of the pre-school. Please speak in confidence with xxx if you are unable – or unwilling – to pay this invoice.</p>		

Example 3 – Monthly Invoice for child attending for 3 full days (30 hours) of which 15 hours is funded - 5 hours on each of 3 days

Date	Description	Amount
Mon 4 th June	Full day (not funded week)	£40
Tues 5 th June	Full day (not funded week)	£40
Wed 6 th June	Full day (not funded week)	£40
Mon 11 th June	am ½ day including lunch pm 5 hours EYE	£22 £0
Tues 12 th June	am ½ day including lunch pm 5 hours EYE	£22 £0
Wed 13 th June	am ½ day including lunch am 5 hours EYE	£22 £0
Mon 18 th June	am ½ day including lunch pm 5 hours EYE	£22 £0
Tue 19 th June	am ½ day including lunch pm 5 hours EYE	£22 £0
Wed 20 th June	am ½ day including lunch am 5 hours EYE	£22 £0
Mon 25 th June	am ½ day including lunch pm 5 hours EYE	£22 £0
Tue 26 th June	am ½ day including lunch pm 5 hours EYE	£22 £0
Wed 27 th June	am ½ day including lunch am 5 hours EYE	£22 £0
	TOTAL PAYABLE:	£318

Example 4 – Monthly Invoice for child attending for 3 full days (30 hours) of which 15 hours is funded. EYE is shown as a reduction from the total bill but must be at the provider’s hourly rate. Meal charges can be added

Date	Description	Quantity	Amount
4 th , 5 th , 6 th June	Full day including meal @ £40	3	£120
11 th , 12 th , 13 th June	Full day @ £40	3	£120
	Lunch @ £4	3	£12
	15 hours EYE		-£60
18 th , 19 th , 20 th June	Full day @ £40	3	£120
	Lunch @ £4	3	£12
	15 hours EYE		-£60
25 th , 26 th , 27 th June	Full day @ £40	3	£120
	Lunch @ £4	3	£12
	15 hours EYE		-£60
	TOTAL PAYABLE:		£336

Example 5 – Monthly Invoice for child attending for 2 full days (20 hours) of which 15 hours is funded. EYE is spread throughout the year by dividing the total funded hours for the year by 12 and is shown as a reduction from the bill at the providers hourly rate

Date	Description	Quantity	Amount
4 th , 6 th June	Full day @ £40	2	£80
	Lunch/tea @5	2	£10
11 th , 13 th June	Full day @ £40	2	£80
	Lunch/tea @5	2	£10
18 th , 20 th June	Full day @ £40	2	£80
	Lunch/tea @5	2	£10
25 th , 27 th June	Full day @ £40	2	£80
	Lunch/tea @5	2	£10
June	EYE per month (570hrs/12)	47.5	-£190
	TOTAL PAYABLE:		£170

Appendix 3

**Bath & North East
Somerset Council**

Bath and North East Somerset 
Primary Care Trust

Improving Quality and Outcomes in the Early Years Foundation Stage 2011-13

A categorisation framework for Early Years settings in Bath and North East Somerset
to guide self-evaluation and prioritise Local Authority support

Name of setting:

Completed by:

Contents:

Guidance notes

Section 1 : Leadership and management

Section 2: Inclusion

Section 3: Learning and development

Section 4: Working in Partnership

Section 5: Transitions

Section 6: Business

The following documents can be sent to you by request to help with completion of the framework:

'Observing Interactions' a checklist to support observations of adult/child interactions. See Section 3b

'Food for Thought' to support Section 3 f

'Guidance for food and drink provision in Early Years settings' to support section 3f

'The UK Physical Activity Guidelines for Early Years' to support section 3g

Guidance notes

Key principles:

Research* shows that it is high quality provision that really makes a difference for children, especially those from disadvantaged backgrounds. Children who experience high quality early years provision have better social and emotional development and capacity to learn - qualities that are crucial for school and adulthood. The research also shows that poor quality provision has no impact and for some children may even have a negative effect on some aspects of their development.

*Effective Provision of Pre-school Education (EPPE)

“Quality is not ... a ceiling that is reached, or a line that is crossed, but it is a continuous and ongoing journey of improvement against outcomes for children.”

Bertram and Owen June 2007

Aims:

- to support each setting to evaluate the quality of its provision
- to support the LA, in partnership with settings, to identify settings which would benefit from focused Quality Improvement support

Completing the document:

The document is in 6 sections 1-6. Each section has a number of sub-sections (a, b, c etc.) further divided into bullet points

Work with your colleagues to evaluate your provision as follows:

- Look at each section in turn.
- Starting with the first sub section, read each bullet pointed statement in the **category 3 column**
- If you can show that your setting either meets or exceeds the standard described, indicate this by highlighting the statement. Note briefly where supporting evidence can be found, in the 'evidence' column. If you know your practice does not yet match any statement, do not highlight it. Instead, highlight next to it in the category 4 column. This will remind you it is an area of

development for your setting. If your setting has a number of different rooms you will need to make a best-fit judgement, perhaps noting any areas where you will want to develop consistency of practice over the setting.

- If you have highlighted a statement, then look across to the statement in the category 2 column to see whether you can show that your provision matches this description. If so, highlight it and look at the category 1 statement, if not leave it unmarked.
- Work through all sections and subsections in this way, remembering to take brief notes of where you have the evidence to support the statements you have highlighted. This is important so you can use these notes as reference when we visit to discuss this self-evaluation with you at the Quality Conversation visit. **It is recommended that you add to the document through the year as you continue to develop your provision.**
- N.B. If you are a Childminder, unless you have assistants, please ignore 1c, 1d, 2d, as these statements do not apply

Please Note:

- 1) In order that this is a meaningful process, it is important to be as accurate as possible in matching your provision to the descriptive statements. The completed framework should be a useful self-evaluation tool to help inform your setting's development plan as well as forming the basis of a discussion with the Early Years Team about the quality of your provision
- 2) In addition to support offered through the categorisation process, support from Bath & North East Somerset Council will be prompted by the following key indicators:

- **Welfare requirement concerns (please see note below)**
- **High numbers of children with additional needs /at risk of learning delay or children/families with complex needs**
- **A high turnover of staff**
- **A change in management**
- **Actions arising from an Ofsted Inspection**

N.B. If a setting in any category is found not to be meeting the statutory welfare requirements as set out in the Early Years Foundation Stage framework, it is highly likely to have its category changed to category 4 until required actions are completed.

A setting will also be judged to be in category 4 if it is not meeting a significant number of quality standards in category 3. Where the setting is categorised as category 4, "providers will be given 6 months to improve from this initial categorisation" (Local Code of practice July 2010 Section 6 'Withdrawal and/or suspension of Provider's eligibility by Bath and North East Somerset Council'. P.19.) Please see the Local Code for further information.

Section 1 - Leadership and Management				
Category 4	Category 3 Consider each statement and highlight if the provision meets or exceeds it	Category 2 In addition to statements highlighted in category 3 column	Category 1 In addition to statements highlighted in category 2 column	Examples of evidence Brief notes of evidence for highlighted statements
Section 1a) Welfare and Safeguarding requirements				
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> All the Specific legal requirements set out in the EYFS are met. 	<ul style="list-style-type: none"> Some of the additional 'Statutory guidance to which providers should have regard' are also met. 	<ul style="list-style-type: none"> All of the additional 'Statutory guidance to which providers should have regard' are also met. 	
Section 1b) vision and values				
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> The setting is developing a shared vision and set of values to share with all practitioners, children and families 	<ul style="list-style-type: none"> The setting has a clearly written vision and set of values shared with all practitioners, children and families All practitioners work together to put vision and values into practice 	<ul style="list-style-type: none"> All practitioners reflect together to ensure that vision, and values are continually reviewed and developed 	

Additional notes:

Section 1c) Key person approach				
Category 4	Category 3	Category 2	Category 1	Examples of evidence
Highlight here any area not yet category 3.	<p>Consider each statement and highlight if the provision meets or exceeds it</p> <ul style="list-style-type: none"> • Each child has an allocated key person who is known to them • Parents are introduced to their child's key person and have a working relationship with them. • Leaders and managers introduce the key person role to all new staff. 	<p>In addition to statements highlighted in category 3 column</p> <ul style="list-style-type: none"> • The key person has responsibility for the wellbeing and personal care needs of their key children • There are ongoing conversations between the child's key person and family ensuring continuity of care • Leaders/managers appoint back up key persons to embed the key person approach. • The key person role is part of staff job descriptions and is nurtured through induction, support and supervision and on-going CPD 	<p>In addition to statements highlighted in category 2 column</p> <ul style="list-style-type: none"> • Each Key Person is responsive to the ongoing development and learning needs of their key children. • The key person has developed warm working partnerships with their key children and their families • The daily routines and planning processes support the development of these key relationships 	<p>Brief notes of evidence for highlighted statements</p>

Additional notes:

Section 1d) Self evaluation				
Category 4	Category 3	Category 2	Category 1	Examples of evidence
	Consider each statement and highlight if the provision meets or exceeds it	In addition to statements highlighted in category 3 column	In addition to statements highlighted in category 2 column	Brief notes of evidence for highlighted statements
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> • A Self-evaluation process has started • Some actions have been identified and progress is being monitored 	<ul style="list-style-type: none"> • All practitioners are engaged in the self-evaluation process and involved in taking forward agreed developments • Progress towards actions is regularly reviewed and new developments are benefiting children, families and practitioners 	<ul style="list-style-type: none"> • Practitioners, parents and children are actively involved in the self-evaluation process a. The setting is actively involved in an ongoing Quality Improvement programme 	
Section 1e) Staff Appraisals				
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> • Annual appraisals and reviews take place for all staff. 	<ul style="list-style-type: none"> • Annual appraisals are linked to setting training plans. 	<ul style="list-style-type: none"> • Appraisals are focused and effective and clearly linked to individual ,as well as setting, development plans 	
Section 1f) Staff supervision				
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> • Supervision sessions are in place for all practitioners. They include discussion of sensitive issues and concerns about the welfare and safety of children. 	<ul style="list-style-type: none"> • Supervision sessions provide opportunities for support and coaching. They enable practitioners to discuss issues or concerns, and identify solutions, promoting the interests of children. 	<ul style="list-style-type: none"> • Supervision sessions are effective in supporting children, families and practitioners and are closely linked to child, practitioner and setting development plans. 	

Additional notes:

Section 2 - Inclusion				
Category 4	Category 3 Consider each statement and highlight if the provision meets or exceeds it	Category 2 In addition to statements highlighted in category 3 column	Category 1 In addition to statements highlighted in category 2 column	Examples of evidence Brief notes of evidence for highlighted statements
Section 2a) Inclusive Ethos				
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> Some strategies are implemented to ensure children and families are included and the setting sometimes contacts outside agencies (including EYFS team) for advice and support. Statutory policies and procedures are in place 	<ul style="list-style-type: none"> Practitioners implement a range of strategies to ensure barriers to inclusion are overcome and all children and families can be included Statutory policies and procedures are in place and inform everyday practice and the setting plans for individual children's needs. 	<ul style="list-style-type: none"> The setting shows willingness to make reasonable adjustments so that all children and families are included and barriers to inclusion are overcome. Statutory and other relevant policies and procedures are in place and are embedded and visible in everyday practice The Setting is anticipatory in planning for children with disabilities/SEN 	

Additional notes:

Section 2b) Early identification and support				
Category 4	Category 3	Category 2	Category 1	Examples of evidence
Highlight here any area not yet category 3.	<p>Consider each statement and highlight if the provision meets or exceeds it</p> <ul style="list-style-type: none"> Records and planning show that practitioners use some knowledge of child development to identify signs of learning delay, disability and SEN Practitioners have some understanding of how to identify vulnerable children and show some support to children and their families 	<p>In addition to statements highlighted in category 3 column</p> <ul style="list-style-type: none"> Practitioners are proactive in identifying key indicators of learning delay, disability and SEN, based on their knowledge of child development Vulnerable children and families are identified and given effective early support 	<p>In addition to statements highlighted in category 2 column</p> <ul style="list-style-type: none"> All practitioners identify those children in their setting at risk of learning delay, disability and SEN and work together to address their needs Vulnerable children and families are identified and given effective early support delivered in a way that values their individual needs 	<p>Brief notes of evidence for highlighted statements</p>
Section 2c) SEN Code of Practice				
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> Setting begins to identify and support children on the graduated response and this is met to minimum requirements 	<ul style="list-style-type: none"> SENCo supports staff in identifying and supporting children on the graduated response 	<ul style="list-style-type: none"> All key persons understand the graduated response and effectively implement it to support their key children. 	

Additional notes:

Section 2d) Training N.B. If you are a child minder, your Child-minding Co-ordinator is your SENCo, so some statements will not apply

Category 4	Category 3 Consider each statement and highlight if the provision meets or exceeds it	Category 2 In addition to statements highlighted in category 3 column	Category 1 In addition to statements highlighted in category 2 column	Examples of evidence Brief notes of evidence for highlighted statements
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> • Setting attends compulsory SENCo training and attends specified targeted training as identified by the EYFS team to meet the needs of individual children. • Childminders may attend relevant SENCo training to meet the needs of children in their care 	<ul style="list-style-type: none"> • Setting attends compulsory SENCo training and there is evidence of impact of this professional development on inclusive practice. • Setting attends specified targeted training as identified by the EYFS team to meet the individual needs of children and there is evidence this training is effectively used to improve inclusion for all children. 	<ul style="list-style-type: none"> • Full attendance at SENCo training with impact evident throughout setting • Additional integrated working/disability training is attended by key staff • Practitioners know about the Equality Act 2010 and its implications for staff, children and families 	

Additional notes:

Section 2e) Inclusive Environment				
Category 4	Category 3	Category 2	Category 1	Examples of evidence
	Consider each statement and highlight if the provision meets or exceeds it	In addition to statements highlighted in category 3 column	In addition to statements highlighted in category 2 column	Brief notes of evidence for highlighted statements
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> • There are some resources which positively reflect diversity e.g. books, images and home corner • There are some resources that reflect the community and culture of children attending the setting and the wider world • Practitioners use some different communication methods with children who need it 	<ul style="list-style-type: none"> • An audit of resources which reflect ethnic, cultural, and linguistic diversity has been undertaken and plans are in place to provide a variety of such resources throughout the setting • Resources clearly reflect the community and culture of children attending the setting and the wider world • Practitioners use some different communication methods with some children e.g. visual timetable/ Makaton • The environment is planned to meet the individual needs of children as identified by the EYFS team/other agencies 	<ul style="list-style-type: none"> • High quality, culturally diverse resources are fully accessible to children as part of everyday provision and evidence of children's backgrounds are reflected • When purchasing new resources care is given to ensure diversity is reflected and valued • Different communication methods are embedded in everyday practice e.g. visual timetable/ Makaton • Evidence of an anticipatory approach to planning for an inclusive environment i.e. accessibility plan in place 	

Additional notes:

Section 3 - Learning and development

Category 4	Category 3 Consider each statement and highlight if the provision meets or exceeds it	Category 2 In addition to statements highlighted in category 3 column	Category 1 In addition to statements highlighted in category 2 column	Examples of evidence Brief notes of evidence for highlighted statements
Section 3a) Enabling environment				
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> • On-going observations of children show that some practitioners identify children's individual needs and interests. • The environment is planned so that experiences support children's learning in all areas of learning and development. • Most resources are in good condition and children are able to access some resources independently • All children have daily access to an outdoor learning environment 	<ul style="list-style-type: none"> • On-going observations of children show that most practitioners identify children's individual needs and interests. • Practitioners reflect on their observations of children and use this knowledge to plan challenging and enjoyable experiences for children across all areas of learning and development • All resources are in good condition and are organised into different interest areas, where children can access them independently for some of the day/session • A well-resourced outdoor environment supports all areas of children's learning and development, including opportunities for physical challenge. Children have access to this for much of the session/day. 	<ul style="list-style-type: none"> • On-going observations of children show that all practitioners identify their children's individual needs and interests. • Practitioners have a systematic approach to observing children in order to inform planning for individuals and the environment ; plans are flexible and are adapted to meet the needs and interests of individual children • A wide range of high quality resources are organised into different interest areas, where children can access them independently for most of the day/session • A well-resourced outdoor environment supports all areas of children's learning and development, including opportunities for physical challenge. Children have free-flow access to this for much of the session/day. 	

Section 3b) Quality of interactions- You may wish to use Appendix 1 'Observing Interactions' check list to gather evidence for this area
Observations of adult/child interactions show that:

Category 4	Category 3 Consider each statement and highlight if the provision meets or exceeds it	Category 2 In addition to statements highlighted in category 3 column	Category 1 In addition to statements highlighted in category 2 column	Examples of evidence Brief notes of evidence for highlighted statements
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> • Some practitioners have responsive, respectful interactions with children; the practitioner allows the child to lead the communication and shows enjoyment with tone of voice, body language, facial expression and positive comments. • Some practitioners encourage sustained verbal and non verbal interactions with children e.g. by showing interest, asking open ended questions and commenting on children's play as they play alongside them • Some experiences are planned to support and extend children's communication skills • Practitioners observe and assess some children's communication development, using the Early Communication Guide 	<ul style="list-style-type: none"> • Most practitioners have many responsive, respectful interactions with children; the practitioner allows the child to lead the communication and shows enjoyment with tone of voice, body language, facial expression and positive comments. • Most practitioners encourage sustained verbal and non verbal interactions with children e.g. by showing interest, asking open ended questions and commenting on children's play as they play alongside them • Regular indoor and outdoor experiences are planned for 1 to 1, small or larger groups of children, to support and extend communication skills • Practitioners observe and assess all children's communication development, using the Early Communication Guide and this informs planning 	<ul style="list-style-type: none"> • All practitioners have responsive, respectful interactions with children; the practitioner allows the child to lead the communication and shows enjoyment with tone of voice, body language, facial expression and positive comments. • All practitioners encourage sustained verbal and non verbal interactions with children e.g. by showing interest, asking open ended questions and commenting on children's play as they play alongside them • The Key Person plans experiences to support and extend their children's communication skills and meet their individual needs. • Practitioners use the Early Communication Guide and the Early Language Monitoring Tool * to assess all children's communication development. 	

*NB Currently only settings engaged in the Every Child a Talker project collect and submit this data to the LA. There will be future opportunities for all settings to find out how to do so, in line with new recommendations from the revised EYFS framework.

Section 3c) Supporting children's listening skills

Category 4	Category 3 Consider each statement and highlight if the provision meets or exceeds it	Category 2 In addition to statements highlighted in category 3 column	Category 1 In addition to statements highlighted in category 2 column	Examples of evidence Brief notes of evidence for highlighted statements
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> Adults share a story and songs/rhymes with the children at least once each day Some practitioners are familiar with Letters and Sounds Phase 1 and use it to help children listen to and talk about a range of different kinds of sounds. 	<ul style="list-style-type: none"> As well as whole group story and song/rhyme times, adults informally share stories, songs/rhymes with small groups or individuals during the day. Most practitioners are familiar with Letters and Sounds Phase 1 and offer their key children opportunities to participate in all 7 aspects of the programme. 	<ul style="list-style-type: none"> Children are encouraged to take an active part in story and song/rhyme times e.g. by joining in with words and actions, talking about the story and linking it to their experiences. Practitioners working with 3-4 year old children support their understanding of alliteration and oral blending and segmenting (Aspects 5 & 7) Children's progress in these aspects is noted and shared on the Moving on transition record for school. 	

Additional notes:

Section 3 d) Encouraging Positive Behaviour

Category 4	Category 3 Consider each statement and highlight if the provision meets or exceeds it	Category 2 In addition to statements highlighted in category 3 column	Category 1 In addition to statements highlighted in category 2 column	Examples of evidence Brief notes of evidence for highlighted statements
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> • A behaviour policy is in place explaining how positive behaviour is encouraged and how challenging behaviour is managed. There is a clear system for referral to outside agency • All practitioners are familiar with the setting policy • Expectations for behaviour are appropriate for the age and stage of development of the children. • Some practitioners model and encourage positive social relationships • Some practitioners recognise and reward the smallest of achievements by their positive responses. 	<ul style="list-style-type: none"> • The behaviour policy informs everyday practice. Staff take collective responsibility for behaviour and are consistent in their responses to children • Explicit expectations for behaviour are shared with children, parents and carers. • The environment and daily routine is organised to encourage positive behaviour and avoid conflict. • Most practitioners model and encourage positive social relationships • Most practitioners recognise and reward the smallest of achievements by their positive responses. 	<ul style="list-style-type: none"> • Children are encouraged and supported to make positive choices about their behaviour • Small group circle times are planned to support children's understanding of the needs and feeling of others. • Children are actively encouraged and supported to resolve their own conflicts. • All practitioners model and encourage positive social relationships • All practitioners recognise and reward the smallest of achievements by their positive responses. 	

Additional notes:

Section 3e) Monitoring children's progress in learning and development				
Category 4	Category 3	Category 2	Category 1	Examples of evidence
	Consider each statement and highlight if the provision meets or exceeds it	In addition to statements highlighted in category 3 column	In addition to statements highlighted in category 2 column	Brief notes of evidence for highlighted statements
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> Practitioners can show that their key children are making some progress in their learning and development Leaders / Managers are aware of children's progress and those who may be at risk of learning delay 	<ul style="list-style-type: none"> All practitioners can show that their key children are making progress over time across all areas of learning and development Practitioners know if any of their key children are not making progress in any area of learning and development and plan experiences to support them. Information on children's progress and any concerns is shared with parents Leaders/ managers have an overview of all children's progress and systems are in place to support children who are not progressing as expected 	<ul style="list-style-type: none"> Practitioners know their key children's learning and development starting points on entry to the setting/ room. Individual records show children' progress over time Where progress is not being made, plans are in place and regularly reviewed, to support individual children's learning and development. There are regular opportunities to discuss children's progress and any concerns with parents Leaders/managers regularly monitor the progress of all children to ensure provision is planned to meet their needs. 	

Additional notes:

Section 3 f) Snack and mealtimes You may wish to refer to Appendix 2 'Food for Thought' guidance and Appendix 3 'Guidance for food and drink provision in early years settings' to support your evidence gathering in this area

Category 4	Category 3 Consider each statement and highlight if the provision meets or exceeds it	Category 2 In addition to statements highlighted in category 3 column	Category 1 In addition to statements highlighted in category 2 column	Examples of evidence Brief notes of evidence for highlighted statements
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> • Some practitioners sit and talk with the children at every snack and mealtime. • Every child has some opportunities to select, serve and feed themselves at some snack and mealtimes. • All meal menus are planned and displayed in advance. Setting is working towards all food and drink meeting nutritional guidance as set out in Appendix 3. • Timing of some snack and mealtimes is evenly spaced, with approx. 2 – 2 ½ hours in between each so that children have regular energy intake. 	<ul style="list-style-type: none"> • Most practitioners sit with the children at every snack and mealtime; there is evidence of enjoyable interactions between adults and children. • Every child has some opportunities to select, serve and feed themselves at every snack and mealtime. • All meal menus and some snack menus are planned and displayed in advance, offering some variety across a rolling programme. Most food and drink meets nutritional guidance as set out in Appendix 3 and all snack times have more than one food group on offer. • Timing of most snack and mealtimes is evenly spaced, with approx. 2 – 2 ½ hours in between each. Children are not 	<ul style="list-style-type: none"> • Snack and mealtimes are valued and planned for as key times of the day for encouraging enjoyable interactions, following the interests of the children. • Children prepare, serve and feed themselves where appropriate at every snack and mealtime. Practitioners support and manage portion sizes appropriately. • All snack and meal menus are planned and displayed in advance and are interesting and varied across a rolling programme. All food and drink meets nutritional guidance as set out in Appendix 3. • Timing of every snack and mealtimes is evenly spaced, with approx. 2 – 2 ½ hours in between each, with each lasting no more than 30-40 	

		<p>rushed or expected to wait for long periods of time before and after eating.</p>	<p>minutes. There is a balance between respecting others and waiting for them to finish and children expected to wait for too long.</p> <ul style="list-style-type: none">• The 'Food for Thought' guidance has been considered when reflecting on and planning snack and meal times.	
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Additional notes:

Section 3 g) Physical Activity

This section is based on ‘The UK Physical Activity Guidelines for Early Years’, referenced in Appendix 4. These guidelines are set out in two documents, one referring to walkers and the other to non-walkers, which will support your self-evaluation in this area. Please also see note below.

Category 4	Category 3 Consider each statement and highlight if the provision meets or exceeds it	Category 2 In addition to statements highlighted in category 3 column	Category 1 In addition to statements highlighted in category 2 column	Examples of evidence Brief notes of evidence for highlighted statements
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> Space is planned and utilised creatively to offer children opportunities to be physically active inside and/or outside some times each day, supporting children towards achieving the recommended 3 hours activity per day. Some adult led physical activity is planned for all children on most days. All children who cannot yet walk unaided are encouraged to be physically active through ‘unrestricted’ floor play for some of the day, other than when sleeping, feeding or being transported in buggies/car seats. 	<ul style="list-style-type: none"> Space is planned and utilised creatively to offer children opportunities to be physically active inside and/or outside at regular times throughout the day supporting children towards achieving the recommended 3 hours activity per day A variety of adult led activities are planned for all children on most days. All children who cannot yet walk unaided are encouraged to be physically active through ‘unrestricted’ floor play, for most of the day, other than when sleeping, feeding or being transported in buggies/car seats. 	<ul style="list-style-type: none"> Space is planned and utilised creatively to offer children opportunities to be physically active inside and/or outside at all times of the day, supporting children towards achieving the recommended 3 hours activity per day A variety of adult led activities are planned for all children on every day. All children who cannot yet walk unaided are encouraged to be physically active through ‘unrestricted’ floor play for the all of the day, other than when sleeping, feeding or being transported in buggies/car seats. 	

N.B. The Guidelines do not discuss issues of inclusion. All children should be encouraged to be more active and less sedentary to a level appropriate to their ability. Where any individual requirements have been identified regarding physical activity, advice should be sought from children’s parents/carers and/or from healthcare professionals, to identify the type and amount of physical activity suitable and how best to minimise sedentary activity where appropriate.

Section 4 Working in partnership with parents, carers and partner professionals

Category 4	Category 3	Category 2	Category 1	Examples of evidence
	Consider each statement and highlight if the provision meets or exceeds it	In addition to statements highlighted in category 3 column	In addition to statements highlighted in category 2 column	Brief notes of evidence for highlighted statements

Section 4a) Engaging and involving parents

Highlight here any area not yet category 3.	<ul style="list-style-type: none"> Information about the setting and early years practice is provided to parents when they start in the setting All parents are offered opportunities to discuss their child's learning and development with the setting 	<ul style="list-style-type: none"> A range of methods are used to share current information about the setting and early years practice with parents The setting has strategies to engage and involve parents in their child's learning and development 	<ul style="list-style-type: none"> Information about the setting and early years practice is shared regularly with parents and this is done flexibly to meet the needs of the child, family and setting The setting uses a flexible range of strategies to actively engage and involve all parents as partners in their child's learning and development 	
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Section 4b) Links with other settings

Highlight here any area not yet category 3.	<ul style="list-style-type: none"> The key person knows of other settings that their children attend and some information is shared 	<ul style="list-style-type: none"> There are regular information sharing opportunities between the key person and other settings that share the care of a child. The setting ensures that parents are informed of the importance of this practice. 	<ul style="list-style-type: none"> Key Practitioners have regular planned communication with other settings where care for a child is shared and this ensures a shared plan for supporting the child's learning and development. Parents are actively involved in this practice. 	
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Section 4c) Linking with other professionals and support services

Category 4	Category 3 Consider each statement and highlight if the provision meets or exceeds it	Category 2 In addition to statements highlighted in category 3 column	Category 1 In addition to statements highlighted in category 2 column	Examples of evidence Brief notes of evidence for highlighted statements
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> The Setting is aware of the range of support available for families and how services can be accessed, including those through Children's Centres The Setting provides some information to families who may benefit from additional support. 	<ul style="list-style-type: none"> The Setting is actively engaged with some support services The Setting identifies families who find services hard to access and is sometimes able to support them to engage with other services. 	<ul style="list-style-type: none"> The Setting has strong working relationships with a range of partner professionals and is actively working with them for the benefit of children and families. The Setting is active in supporting some parents to access a range of services 	

Additional notes:

Section 5 – Supporting Transitions

Category 4	Category 3	Category 2	Category 1	Examples of evidence
	Consider each statement and highlight if the provision meets or exceeds it	In addition to statements highlighted in category 3 column	In addition to statements highlighted in category 2 column	Brief notes of evidence for highlighted statements
Highlight here any area not yet category 3.	<ul style="list-style-type: none"> • There are plans in place to support children through some transition experiences • Transition plans/ documentation is completed by the key person • Some children are supported by transition planning appropriate for their level of need (Universal, targeted and specialist) • A staff member from the setting taking the lead for transition • There is some information sharing and planning with parents, other settings and agencies involved with the child, to support transition 	<ul style="list-style-type: none"> • There are plans in place to support children through all types of transitions • Transition documents reflect the child’s ‘voice’ and record their individual interests and needs • Most children are supported by transition planning appropriate for their level of need (Universal, targeted and specialist) • The key person s supported to lead transitions • There is detailed information sharing and planning with parents, other settings and services involved with the child, to support transition 	<ul style="list-style-type: none"> • Plans for supporting all types of transitions are in place and effectively implemented by all staff • Planning for all transitions is child-centred and focuses on the individual circumstances and needs of the child and family • All children are supported by transition planning appropriate for their level of need(Universal, targeted and specialist) • The setting has taken a lead professional role in supporting targeted/specialist transition cases • The setting is proactive in networking and information sharing with parents, other settings and services involved with the child, to support transition 	

Section 6- Business

Category 4	Category 3 Consider each statement and highlight if the provision meets or exceeds it	Category 2 In addition to statements highlighted in category 3 column	Category 1 In addition to statements highlighted in category 2 column	Examples of evidence Brief notes of evidence for highlighted statements
<p>Provider has no evident ownership/management or committee structure to run the provision. There is no business planning and as a result: -</p> <p>a) business is failing;</p> <p>b) users are leaving the provision as a result of the evident lack of management</p> <p>c) Early Years Entitlement claims are late, not completed correctly or wrong. Users do not know what or if their entitlement is being claimed;</p>	<p>Provider has frequent changes in ownership/management or committee structure (or fails to attract sufficient committee members) and there is no continuity between these changes. Business planning is short term, 6 months to a year if it exists resulting in: -</p> <p>a) no direction for the business;</p> <p>b) change being implemented without user consultation, whether it is beneficial for the business or not;</p> <p>c) flexibility restrictions on the families using their Early Years Entitlement funding, either in terms of the number of hours, or flexibility;</p>	<p>Provider has changes in ownership/management or committee structure on a regular basis e.g. at least once a year however there is an element of continuity in personnel. Business planning is in the medium term (2 to 4 years) to enable: -</p> <p>a) short term objectives rather a vision;</p> <p>b) occasionally consults with users before implementing changes;</p> <p>c) delivers the majority of the flexibility requirements placed on providers in receipt of Early Years Entitlement funding;</p>	<p>Provider has a stable ownership/management or committee structure who provide a long term business plan (at least 5 years) to –</p> <p>a) deliver the vision of the organisation;</p> <p>b) to regularly assess and meet the needs of their users (both families and children);</p> <p>c) delivers in full the flexibility requirements placed on providers in receipt of Early Years Entitlement funding;</p>	

<p>d) Financial situation is chaotic, resulting in staff going without wages, paying to maintain the provision with their own money and financial liabilities are putting the business at risk of insolvency with its creditors.</p>	<p>d) Ongoing financial difficulties in sustaining the business, meeting immediate payroll, Inland Revenue or other financial commitments, and no reinvestment in reserves or resources to support their legal commitments as a business.</p>	<p>d) is financially stable but finds it difficult to generate a surplus to invest in both the business and build reserves</p>	<p>d) provides financial stability with sufficient reserves to meet legislative requirements on employers</p>	
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**Appendix 4
New Early Years Group Based Provider Registration Process**

Contact made with B&NES

- Enquiry passed to Family Information Service (FIS) who will send out letter from Early Years Team to include: signposting to EYFS Guidelines, sufficiency report, Ofsted registration process, links to National and Local Code including key appendices, Improving Quality and Outcomes in Early Years Settings document (IQ framework), information and funding cycle
- FIS will email key Early Years team members to inform about enquiry

Early Years Team meeting 1 to co-ordinate and agree time-frame for support

Support visits from Early Years Team to help setting meet requirements for new providers

- Provider will receive support from LA Early Years team members e.g. EY Development Officer, Early Years Advisory Teacher, Area SENCo Advisory Teacher and Planning and Performance Team
- Early Years Team members will offer support with for example: check list of pre-registration requirements, check list of useful documents e.g. Equalities Act, EYFS, Welfare and Safeguarding, health and safety, recruitment procedures, clarifying expectations of role of SENCo, Observation, assessment and planning systems, environment/continuous provision, key person, parent partnership, transition, business planning ,financial forecasting, business support organisations
- Provider will be given copies or links to Child Protection File, SENCo Folder, Equal Opportunities Folder, Transition support, the Childcare Sufficiency Report, Early Years Entitlement process and conditions

Early Years Team meeting 2 to check progress on new provider

EYFS Team member monitoring visit to setting prior to opening

- Visit to ensure New Provider requirements of the IQ framework are met or evidence provided of how they will be met through Setting 's Quality Improvement Development Plan
- Provisional 2 terms EYE funding given if Local Code requirements are met

Post Ofsted Registration Support- during first 2 terms of funding.
This will include:

- Setting attending training as recommended by Early Years Team, including Manager and SENCo attending new SENCo training
- Monitoring progress against targets in Setting's Development Plan
- EYE process and billing

This may include:

- Welfare and Safeguarding Audit
- ECERS/ITERS and/or observation visit from Early Years Team

First Official Ofsted Inspection

Early Years Team meeting
Preparation for Quality Conversation visit

Post Ofsted visit

- Add Ofsted recommendations to On-going SEF / Quality Improvement Development Plan
- Provider to attend identified training

Quality Conversation Visit
(after 3rd term)

- Quality Conversation visit
- LA Support Category confirmed

Requirements for New Providers

This table sets out the quality standards new providers are required to evidence that they meet in order to be eligible to be in receipt of EYE. The Sections 1-6 and sub-sections (a, b, c etc) refer to the sections set out in 'Improving Quality and Outcomes 2012' framework.

Aspect of Practice	Category 2 subsections	Category 1
Section 1 Leadership and management	a	
	b*	
	c	
	d*	
	e*	
	,f*	
Section 2 Inclusion	a,	
	b*,	
	c*,	
	d*,	
	e	
Section 3 Learning and development	a*,	
	b*,	
	c*	
	d	
	e*	
	f	
	g	
Section 4 Working in Partnership	a*,	
	b,	
	c*	
Section 5 Transitions	All*	
Section 6 Business	c, d	a, b

* In the sections marked with an asterisk we would expect to see that the setting has strategies to ensure this level of quality can be achieved and that once their provision is open, they meet Category 2 or 1 Standards across the 'Improving Quality and Outcomes framework

In order to confirm that the setting has implemented the planned strategies to meet the standards of the asterixed criteria once the setting has opened, a Quality Conversation visit will be arranged prior to the summer headcount date. At this, we will ask you to evidence how you are now meeting these criteria and discuss your plans for on-going quality improvement