

Notice of Meeting

Executive

Thursday, 19th January, 2017 at 5.00 pm

**in the Council Chamber, Council Offices,
Market Street, Newbury**

Date of despatch of Agenda: Thursday, 12 January 2017

For further information about this Agenda, or to inspect any background documents referred to in Part I reports, please contact Democratic Services Team on (01635) 519462

e-mail: executivecycle@westberks.gov.uk

Further information and Minutes are also available on the Council's website at www.westberks.gov.uk



Agenda - Executive to be held on Thursday, 19 January 2017 (continued)

To:	Councillors Dominic Boeck, Anthony Chadley, Jeanette Clifford, Hilary Cole, Roger Croft, Lynne Doherty, James Fredrickson, Graham Jones and Rick Jones
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Agenda

Part I	Page(s)
1. Apologies for Absence To receive apologies for inability to attend the meeting (if any).	
2. Minutes To approve as a correct record the Minutes of the meetings of the Committee held on 13 October 2016 and 22 December 2016.	5 - 12
3. Declarations of Interest To remind Members of the need to record the existence and nature of any personal, disclosable pecuniary or other registrable interests in items on the agenda, in accordance with the Members' Code of Conduct .	
4. Public Questions Members of the Executive to answer questions submitted by members of the public in accordance with the Executive Procedure Rules contained in the Council's Constitution. <i>(Note: There were no questions submitted relating to items not included on this Agenda.)</i>	
5. Petitions Councillors or Members of the public may present any petition which they have received. These will normally be referred to the appropriate Committee without discussion.	

Items as timetabled in the Forward Plan

	Page(s)
6. School Funding Formula (EX3053) (CSP: MEC1) Purpose: The School Finance Regulations require the local authority on an annual basis to review the school funding formula, consult with all schools on its proposals, and gain political approval. This report sets out the proposal for the primary and secondary school funding formula for the 2017/18 financial year.	13 - 40



7. **Alternative Provision for Young People with Additional Needs - Education Plan (EX3164)** 41 - 86
(CSP: BEC, P&S, HQL, MEC)

Purpose: To approve the configuration of alternative provision in West Berkshire from September 2017.

8. **Members' Questions**

Members of the Executive to answer questions submitted by Councillors in accordance with the Executive Procedure Rules contained in the Council's Constitution.

- (a) **Question to be answered by the Portfolio Member for Planning and Housing submitted by Councillor Lee Dillon**

"How much S106 money does the Council have in its accounts for affordable housing?"

- (b) **Question to be answered by the Portfolio Member for Planning and Housing submitted by Councillor Lee Dillon**

"Does the Executive believe that receiving 13 affordable housing units within the Market Street Development represents value for money for local taxpayers?"

- (c) **Question to be answered by the Portfolio Member for Highways and Transport submitted by Councillor Billy Drummond**

"What is the Council doing to support local businesses during the 9 weeks of road works on the A339?"

- (d) **Question to be answered by the Portfolio Member for Planning and Housing submitted by Councillor Lee Dillon**

"Has the Council changed its policy in terms of wanting a joint application for the Sandleford development?"

9. **Exclusion of Press and Public**

RECOMMENDATION: That members of the press and public be excluded from the meeting during consideration of the following items as it is likely that there would be disclosure of exempt information of the description contained in the paragraphs of Schedule 12A of the Local Government Act 1972 specified in brackets in the heading of each item. [Rule 8.10.4 of the Constitution refers.](#)



Part II

10. **Staffing Implications Associated with Savings put forward to deliver the 2017/18 Revenue Budget: Approval to Pay Redundancy Payments – Strand Two (EX3194)** 87 - 94

(Paragraph 1 - information relating to an individual)

(Paragraph 2 - information identifying an individual)

Purpose: To seek approval to make the redundancy payments associated with the required staffing implications associated with savings to deliver the 2017/18 revenue budget.

Andy Day
Head of Strategic Support

West Berkshire Council Strategy Aims and Priorities

Council Strategy Aims:

- BEC** – Better educated communities
- SLE** – A stronger local economy
- P&S** – Protect and support those who need it
- HQL** – Maintain a high quality of life within our communities
- MEC** – Become an even more effective Council

Council Strategy Priorities:

- BEC1** – Improve educational attainment
- BEC2** – Close the educational attainment gap
- SLE1** – Enable the completion of more affordable housing
- SLE2** – Deliver or enable key infrastructure improvements in relation to roads, rail, flood prevention, regeneration and the digital economy
- P&S1** – Good at safeguarding children and vulnerable adults
- HQL1** – Support communities to do more to help themselves
- MEC1** – Become an even more effective Council

If you require this information in a different format or translation, please contact Moira Fraser on telephone (01635) 519045.



Agenda Item 2.

DRAFT

Note: These Minutes will remain DRAFT until approved at the next meeting of the Committee

EXECUTIVE

MINUTES OF THE SPECIAL MEETING HELD ON THURSDAY, 13 OCTOBER 2016

Councillors Present: Dominic Boeck, Anthony Chadley, Jeanette Clifford, Hilary Cole, Lynne Doherty, Marcus Franks, James Fredrickson and Graham Jones (Vice-Chair, in the Chair)

Also Present: John Ashworth (Corporate Director - Environment), Nick Carter (Chief Executive), Andy Day (Head of Strategic Support), Peta Stoddart-Crompton (Public Relations Officer), Andy Walker (Head of Finance), Rachael Wardell (Corporate Director - Communities), Robert Alexander (Group Executive (Conservatives)), Councillor Lee Dillon, Moira Fraser (Democratic and Electoral Services Manager) and Councillor Alan Macro

Apologies for inability to attend the meeting: Councillor Roger Croft and Councillor Rick Jones

PART I

49. **Declarations of Interest**

There were no declarations of interest received.

50. **Efficiency Plan 2016/17 to 2019/20 - Summary Report (Urgent Item)**

The Executive considered a report (Agenda Item 3) which sought agreement of the Council's Efficiency Plan 2016/17 to 2019/20.

Councillor Anthony Chadley noted that in December 2015 Central Government had announced that they would be giving councils the opportunity to achieve greater certainty from a four year financial settlement. In March 2016 they made a clear commitment to provide minimum allocations for each year of the Spending Review period should councils agree to take up the offer. As part of the proposal councils were required to publish their Efficiency Plan on their website by the 14 October 2016. It was therefore proposed that the Council take up Central Government's offer and produce an Efficiency Plan.

The Efficiency Plan included information previously set out in the Council Strategy, Medium Term Financial Strategy (MTFS) and Efficiency Strategy for the Use of Capital Receipts. By the end of this MTFS period in 2019/20 the Council would no longer receive any Revenue Support Grant and it was therefore hoped that the Council would be able to retain 100% of its Business Rates so that the Council could be self sustainable. The authority had a history of strong financial management and had been able to set a balanced budget. This Plan reinforced that position.

As part of this process the Council was also seeking to identify other sources of income. Councillor Chadley was therefore pleased to announce that the Council was about to launch a joint venture with Greenham Common Trust to start investing in commercial properties. He noted that all Members were invited to attend the next Conservative Group meeting on the 17 November 2016 where they would be provided with more information and would have the opportunity to input into the discussion.

Councillor Alan Macro commented that, although he welcomed the four year strategy, he was surprised that this item was being considered under the urgency procedures at a special meeting, the day before the deadline for publication, when the Council had been

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aware of the proposal since March 2016. He noted that the Plan did not identify many efficiencies and he therefore queried whether Central Government would accept it as an Efficiency Plan. Councillor Macro also noted that the Council proposed to increase borrowing by a further £2.9m due to the low interest rates being offered by the Public Works Loan Board. He was concerned that the fluctuations in the value of the pound might mean that interest rates would increase and he was concerned about the impact this could have on the Council's borrowing.

Councillor Anthony Chadley stated Central Government had not set out any specific timescales, other than the publication date, for adopting the Efficiency Plan. The Executive had decided that they would like to align the adoption of the Plan with an announcement about the income generation scheme. Central Government had not issued any guidance on how to complete the Plan. Officers and Members had reviewed the document and were confident that it provided sufficient information. Andy Walker confirmed that the Department for Communities and Local Government had not provided much guidance on the required content of the Plan. He felt that they were more interested in authorities signing up to the four year settlement than the actual content of the Efficiency Plans.

Councillor Chadley, in response to Councillor Macro's final point, stated that the Council was required to set a balanced budget. This would be achieved through a number of activities and the Council was not reliant on a single approach. He noted that if interest on borrowing went up there would be a commensurate increase in interest on savings as well. There was a balance that would have to be struck and the Council would need to adapt its approach accordingly. Councillor Graham Jones reminded Members that the Plan was based on professional advice from Officers.

RESOLVED that the Efficiency Plan 2016/17 to 2019/20 be agreed.

Reason for the decision: To provide certainty and confidence around the Council's four year financial settlement.

Other options considered: The Council could choose not to accept the Government's offer of a four year settlement, removing the need to publish an efficiency plan. This would mean that the Council would have to wait for an annual financial settlement and accept the inherent uncertainty that this brings to medium term financial planning. In addition there is the underlying risk that future settlements could result in the withdrawal of Revenue Support Grant at a faster rate than that contained within the offer.

(The meeting commenced at 5.00pm and closed at 5.09pm)

CHAIRMAN

Date of Signature

DRAFT

Note: These Minutes will remain DRAFT until approved at the next meeting of the Committee

EXECUTIVE

MINUTES OF THE MEETING HELD ON THURSDAY, 22 DECEMBER 2016

Councillors Present: Dominic Boeck, Anthony Chadley, Roger Croft, Lynne Doherty, Marcus Franks, James Fredrickson, Graham Jones and Rick Jones

Also Present: John Ashworth (Corporate Director - Environment), Nick Carter (Chief Executive), Andy Day (Head of Strategic Support), June Graves (Head of Care Commissioning, Housing & Safeguarding), Peta Stoddart-Crompton (Public Relations Officer), Andy Walker (Head of Finance), Stephen Chard (Principal Policy Officer), Councillor Billy Drummond, Councillor Mollie Lock, Councillor Alan Macro and Jo Reeves (Principal Policy Officer)

Apologies for inability to attend the meeting: Councillor Jeanette Clifford, Councillor Hilary Cole and Rachael Wardell

75. Minutes

The Minutes of the meeting held on 24 November 2016 were approved as a true and correct record and signed by the Leader.

76. Declarations of Interest

There were no declarations of interest received.

77. Public Questions

There were no public questions submitted.

78. Petitions

There were no petitions presented to the Executive.

79. Council Performance Report 2016/17: Q2 (Key Accountable Measures and Activities) (EX3110)

The Executive considered a report (Agenda Item 6) concerning the Quarter Two outturns for the Key Accountable Measures which monitored performance against the 2016/17 Council Performance Framework. This report served to provide assurance to Members that the Strategic Priorities laid out in the Council Strategy and other areas of significance/importance across the Council were being delivered. The report also presented, by exception, those measures/milestones behind schedule or not achieved and cited any remedial action taken and the impact (if any) to allow the scrutiny and approval of the corrective or remedial action put in place. Amendments were also sought in the report to the targets for two measures.

Councillor Roger Croft highlighted that much positive progress had been made with improving educational attainment and closing the educational attainment gap.

Councillor Croft then stated that 26 of the 32 reported measures were reporting as either Green (22 measures) or Amber (four measures). Of the six Red measures, two were reporting Red due to relatively minor delays and it was these two areas where amendments were being requested.

Councillor Croft made the point that targets should be challenging and it should not be the expectation that all targets would be met.

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In terms of the amendments being sought, the first of these related to the submission of a detailed planning application to the Western Area Planning Committee for the Market Street Redevelopment. This was delayed and there was therefore a request to redefine the target as November 2016 which was achieved (delayed from September 2016).

The second change sought related to the measure to adopt the Housing Site Allocations Development Plan Document (HSA DPD) by December 2016. The request was to redefine the target date as June 2017; this followed the Planning Inspector asking for main modifications to the document which required further public consultation, meaning the original date could not be achieved.

Councillor Croft gave thanks to relevant Officers and Members for the achievements outlined in the report.

Councillor Marcus Franks advised that the Thatcham Vision had been signed off and an Action Plan was being produced.

Councillor Alan Macro queried whether there was confidence that the revised deadline to adopt the HSA DPD of June 2017 was achievable. Councillor Croft responded on this point by stating that the date for adoption of the HSA DPD was to a large extent in the hands of the Planning Inspector. He added the comment that work on the document was progressing well.

Councillor Macro then referred to the exception report for the amber measure to increase the number of West Berkshire premises able to receive Superfast Broadband. This noted that the contractor, Gigaclear, had overcome a number of technical challenges, but a three month delay had been caused and Councillor Macro queried if the target of 100% complete delivery before 31 December 2017 was realistic. Councillor Dominic Boeck stated that 100% delivery was the brief for Gigaclear, and they had a plan in place to recover the delay. Councillor Macro felt this would be a challenge.

Councillor Macro then turned to the delays with the Market Street Redevelopment. He felt that the issues identified with traffic modelling should have been identified at an earlier stage and the delay reduced or removed. Nick Carter responded on this point and explained that additional time was needed to fully analyse the traffic data. The delay was unfortunate but it was important to ensure that the application was right before being considered by the Planning Committee.

RESOLVED that:

- (1) Progress against the Council Strategy priorities for improvement be noted.
- (2) Those areas reporting as 'amber' or 'red' were reviewed to ensure that appropriate action was in place.
- (3) Targets for the following measures be amended:
 - i. Market Street Redevelopment: submit detailed planning application to WBC Planning Committee. Target redefined to November 2016 (previously September 2016) (for the reasons explained in the report and the minutes).
 - ii. Subject to Examination, adopt the Housing Site Allocations Development Plan Document by December 2016. Target redefined to June 2017 (for the reasons explained in the report and the minutes).

Other options considered: none.

80. Financial Performance Report 2016/17 - Quarter Two (EX3136)

The Executive considered a report (Agenda Item 7) regarding the latest financial performance of the Council as at Quarter Two of 2016/17. The current financial forecast

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was an overspend of £698k against a net revenue budget of £116.8m. The forecast overspend had reduced by £579k compared to the forecast position at Quarter One.

Councillor Alan Macro noted that the new Highwood Copse Primary School would not now be delivered until September 2018 and that places would be provided at Fir Tree Primary School temporarily; he queried whether catchment areas would be changed to accommodate this provision. Further, Councillor Macro noted the irony that the construction of the Tull Way Flood Alleviation Scheme was delayed as a result of wet weather.

Councillor Lynne Doherty advised that she was disappointed that the new primary school had been delayed but was of the view that Fir Tree Primary School was not too far a distance.

Councillor Roger Croft agreed that the delay to the Tull Way Flood Alleviation Scheme was ironic and advised that the surface water management plan was on target.

RESOLVED that the report be noted.

Other options considered: none.

81. **Birchwood Care Home – Options for future delivery (EX3201)**

The Executive considered a report (Agenda Item 8) which outlined options for the provision of care at Birchwood Care Home and sought approval of the preferred option whereby the care home would be taken in-house and delivered directly by the Council.

Councillor Roger Croft introduced the item by restating the point made at previous Executive meetings that public debate should take place where possible of Part II items to aid transparency of decision making. It was however important to respect where the debate should be kept confidential.

Councillor Rick Jones explained that Birchwood Care Home was a 60 bed home located between Newbury and Thatcham. The current contract for care was delivered by Care UK but this was due to expire on 1 April 2017. Three options had been considered as outlined in the report and these options had been explored in detail. The recommended option was to deliver the service in-house.

Councillor James Fredrickson was pleased to note the point made in paragraph 6.10 of the report that it was proposed that the ten ground floor beds would be used as step down beds to help facilitate hospital discharges.

Councillor Alan Macro sought assurance that it would be possible to adequately staff the care home. Councillor Rick Jones explained that it was proposed to TUPE staff from the existing provider to the Council. This would improve the Terms and Conditions of the staff concerned and help to stabilise service provision post transfer.

Councillor Macro raised concern that the ten ground floor beds might not be in full use currently and queried whether this had impacted negatively on Delayed Transfers of Care. Councillor Rick Jones stated that it was important to ensure these beds were fully utilised and this would be achieved from in-house delivery.

RESOLVED that Birchwood Care Home is taken in-house and delivered directly by the Council.

Other options considered:

There were three options for consideration:

- (1) Bring the care service in house to be delivered by ASC provider services
- (2) Tender for a new contract with third party provider.
- (3) Extend the current contract with Care UK for a further three years.

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All options are explored in detail in the report.

82. **Response to Council Motion on Short Breaks Funding (C3226)**

The Executive considered a report (Agenda Item 9) to respond to the Motion to Council proposed by Councillor Lee Dillon, "That this Council agrees to award transitional funding to the Short Breaks programme for the 2017/18 financial year to the value of £170,000."

Councillor Anthony Chadley reported that there had been 269 responses to the Council's recent consultation on its proposed Revenue Budget for 2017/18. These responses had not yet been analysed and they would be used to guide the allocation of transitional funding. The request to allocate funds to the Short Breaks programme was premature; the use of any Transitional Funding in 2017/18 would be announced as part of the Budget proposal at Council on 2 March 2017.

Councillor Doherty expressed her disappointment that the motion appeared to demonstrate a lack of understanding of the work that had been undertaken in the previous nine months. Meetings had been held with providers to assist them to make any structural changes and identify strategies to manage new funding models. A commitment had been made at Council to consider allocating transitional funding to Short Breaks and it was premature to suggest an amount.

Councillor James Fredrickson commented that the Liberal Democrats appeared to be willing to spend tax payers money and he hoped they would propose an alternative budget to demonstrate how they would save money. Councillor Macro responded that in the years the Liberal Democrats had control of the Council the Conservative opposition offered only one alternative budget. The Liberal Democrats had four Members and not 48 Members plus Council staff at their disposal.

Councillor Macro advised that the motion had not been intended as a criticism but there was concern that charities might have to make some staff redundant in order to maintain financial stability and notice would need to be given before 2 March 2017. Councillor Doherty advised that a charity's financial sustainability was down to the board of trustees and not its funders. Their viability would depend on the funding they could secure.

Councillor Graham Jones noted that the budgetary choices being faced were different to those of 10 to 15 years ago as budgets were not diminishing at that time. There was two-year transitional funding available and decisions regarding how that was spent needed to be fully informed and balanced. He commented that when he was Leader of the opposition he always submitted an alternative budget.

Councillor Croft acknowledged that the Local Government Finance Settlement had been released but was incomplete. They knew of the likely reduction to the New Homes Bonus but did not know of any increase for Adult Social Care.

RESOLVED that the use of any Transitional Funding in 2017/18 would be announced as part of the Budget proposal at Council on 2 March 2017.

Other options considered: none.

83. **Members' Questions**

A full transcription of the Member question and answer session is available from the following link: [Transcription of Q&As](#).

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(a) **Question to be answered by the Portfolio Holder for Corporate Services and External Affairs submitted by Councillor Lee Dillon**

A question standing in the name of Councillor Lee Dillon, asked in his absence by Councillor Alan Macro, on the subject of the Council's whistle-blowing policies was answered by the Portfolio Holder for Corporate Services and External Affairs.

(b) **Question to be answered by the Portfolio Holder for Children and Young People submitted by Councillor Lee Dillon**

A question standing in the name of Councillor Lee Dillon, asked in his absence by Councillor Alan Macro, on the subject of school standard and effectiveness visits was answered by the Portfolio Holder for Children and Young People.

(c) **Question to be answered by the Portfolio Holder for Highways and Transport submitted by Councillor Alan Macro**

A question standing in the name of Councillor Alan Macro on the subject of traffic issues in Newbury was answered by the Leader of the Council in the absence of the Portfolio Holder for Highways and Transport.

84. Exclusion of Press and Public

RESOLVED that members of the press and public be excluded from the meeting for the under-mentioned item of business on the grounds that it involves the likely disclosure of exempt information as contained in Paragraphs 2 and 3 of Part 1 of Schedule 12A of the Local Government Act 1972, as amended by the Local Government (Access to Information)(Variation) Order 2006. Rule 8.10.4 of the Constitution also refers.

85. Birchwood Care Home – Options for future delivery (EX3201)

(Paragraph 3 - information relating to financial/business affairs of particular person)

The Executive considered the exempt report (Agenda Item 12) which outlined options for the provision of care at Birchwood Care Home and sought approval of the preferred option.

RESOLVED that the recommendations in the exempt report be agreed.

Other options considered: as detailed in the exempt report.

86. Senior Management Review - Final Recommendations (EX3183)

(Paragraph 2 - information relating to an individual)

The Executive considered the exempt report (Agenda Item 13) which set out final recommendations with regard to the Council's senior management arrangements following two periods of internal consultation.

RESOLVED that the recommendations in the exempt report be agreed.

Other options considered: as detailed in the exempt report.

87. Staffing Implications associated with savings put forward to deliver the 2017/18 Revenue Budget - Strand One: Approval to pay redundancy payments (EX3170)

(Paragraph 2 - information relating to an individual)

The Executive considered an exempt report (Agenda Item 14) which sought approval to make the redundancy payments set out in the report associated with savings to deliver the 2017/18 revenue budget.

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RESOLVED that the recommendations in the exempt report be agreed.

Other options considered: as detailed in the exempt report.

(The meeting commenced at 5.00pm and closed at 5.45pm)

CHAIRMAN

Date of Signature

School Funding Formula 2017/18 - Summary Report

Committee considering report:	Executive
Date of Committee:	19 January 2017
Portfolio Member:	Councillor Lynne Doherty
Date Portfolio Member agreed report:	19 December 2016
Report Author:	Claire White
Forward Plan Ref:	EX3053

1. Purpose of the Report

- 1.1 The School Finance Regulations require the local authority on an annual basis to review the school funding formula, consult with all schools on its proposals, and gain political approval. This report sets out the proposal for the primary and secondary school funding formula for the 2017/18 financial year.

2. Recommendations

- 2.1 The formula factors for 2017/18 are to remain the same as those in 2016/17.
- 2.2 55% be added to the basic entitlement (per pupil funding) which equates to £8 per pupil, and 45% be added back to the lump sum which equates to £1,400. This is the same proportion to the deduction that was made to school budgets in 2016/17 to transfer funding to the high needs block.

3. Implications

- 3.1 **Financial:** School funding allocations are met from the Dedicated Schools Grant (DSG) and do not impact on the Council's corporate budget. The amount of funding that can be allocated to schools is therefore limited by the amount received through this grant.
- 3.2 **Policy:** None
- 3.3 **Personnel:** None
- 3.4 **Legal:** None
- 3.5 **Risk Management:** None
- 3.6 **Property:** None
- 3.7 **Other:** None

4. Other options considered

- 4.1 No other options were considered for the formula factors to be used or the amount of current funding that is put into each factor, mainly due to the fact that a national funding formula is due in 2018/19 and to make changes for one year only would cause unnecessary turbulence to school budgets.
- 4.2 There are various options available in distributing additional funding or reducing funding should this be required – through one factor only or a combination of factors. The proposal being recommended is following a discussion with head teachers on what they felt was fair, and this was agreed by Schools' Forum.

5. Executive Summary

- 5.1 The Department for Education (DfE) announced the funding arrangements for primary and secondary schools on 21st July 2016. The proposed move to a national funding formula has been delayed by a year, and therefore there are minimal changes for 2017/18, none of which effect West Berkshire schools.
- 5.2 Even if there are no changes being proposed, local authorities are still required to review their funding formula and consult with schools (this includes Academies as well as maintained schools). The review of the current formula took place with Schools' Forum at its meeting on 10th October. The consultation process with schools commenced on 11th October and the briefing & consultation document is attached in Appendix C. The closing date for comments from schools was 8th November. The few comments received were received by Schools' Forum on 5th December, and no changes were made to their original proposal. School Finance Regulations require Executive approval, with the final formula required to be submitted to the Education Funding Agency on 20th January 2017.
- 5.3 The proposal is that there should be no change to the current funding formula. The current formula is set out in Table 1 of Appendix C and the allowable funding factors are set out in Appendix E. The main reasons for proposing no changes to the current funding formula are as follows:
- To prevent any turbulence in school budget allocations and keep to what schools have been basing their longer term strategic financial planning on. To change the allocations could see some schools going into deficit for reasons completely outside their control.
 - The current formula is deemed to be a best fit for West Berkshire schools within the parameters allowed and funding available.
 - It makes no sense to make changes a year before national funding is due to be implemented.
 - The largest proportion of funding is allocated through the basic entitlement (per pupil rate) and lump sum and these rates are still relatively close to the national average, which we would not want to move away from (reduce further) if this is the direction of a national formula. The primary/secondary ratio is very close to average, so we would not want to move funding between the two sectors.
 - All our formula rates are below the national average, and we would need additional funding to get closer to these averages. In theory the national formula should deliver additional funding to bring WBC closer to the average, so in the meantime we should aim to keep our funding rates stable if at all possible.
- 5.4 The second consideration is how a change in the level of resources available for distribution should be dealt with. School funding allocations are met from the Dedicated Schools Grant (DSG), and the amount received will determine the funding rates used in the formula. More information on the DSG is in Appendix D and the reasons why the grant and the amount available for distribution to schools could go up or down are set out in paragraph 3.5 of Appendix C.
- 5.5 Reductions or additions can be dealt with by adjusting the rate of just one factor or through a combination of factors. The proposal agreed by Schools' Forum (after discussing the options with head teachers) is if there is a reduction in resources that

there be a deduction in the per pupil basic entitlement rate, as this will have a proportional impact on every school in accordance with their size. If there are additional resources available that for the first £848k, 55% be added to the per pupil basic entitlement and 45% be added back to the lump sum. This is in proportion to the deduction to the lump sum that was made to school budgets in 2016/17 to transfer funding to the high needs block. Any additional funding over this amount will be added to the basic entitlement.

- 5.6 The final school block funding allocation was received from the Government on 20th December 2016. After deducting central budget requirements and allocating funding to schools based on the current formula factors and funding rates, there is approximately £226k left to be allocated to schools. The breakdown of this calculation is shown in Table 1.

Table 1

Total DSG School Block Allocation for 2017/18	96,687,340
Add: Estimated Carry Forward of School Block DSG from 2016/17	300,000
Total Funds Available	96,987,340
Less: Centrally Retained Budgets (this includes £794k of services previously funded by the Council via the Education Services Grant)	1,490,690
Funds Available for Delegation	95,496,650
Formula Allocation on current funding rates (<i>including increase in business rates of £205k</i>)	95,270,920
Headroom	225,730

- 5.7 Distributing this as per the School Forum recommendation is an increase to the basic entitlement of £8 per pupil, and an addition to the lump sum received by all schools of £1,400.
- 5.8 The proposed formula and funding rates are shown in Appendix F, and the impact on each individual school is shown in Appendix G.

6. Conclusion

- 6.1 The proposals present minimal impact on school budgets. Schools losing funding are those with a reduction in pupil numbers, given that almost 89% of the formula is driven by pupil numbers. This proposal presents a final year of stability before the proposed national funding formula commences in 2018/19.

7. Appendices

- 7.1 Appendix A - Supporting Information

- 7.2 Appendix B – Equalities Impact Assessment
- 7.3 Appendix C – Briefing & Consultation Document for Schools
- 7.4 Appendix D – An Explanation of the Dedicated Schools Grant (DSG)
- 7.5 Appendix E – Allowable Funding Factors
- 7.6 Appendix F – 2017/18 Proposed School Formula
- 7.7 Appendix G – 2017/18 Indicative School Formula Allocations

Corporate Board's recommendation:

Proposals agreed.

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School Funding Formula 2017/18 – Supporting Information

1. Supporting Information

1.1 The detail is set out in Appendices C to G.

2. Consultation and Engagement

2.1 Ian Pearson.

2.2 Schools' Forum on 10/10/16 and 5/12/16.

2.3 The consultation document in Appendix C was sent to all primary and secondary schools (including Academies) on 11/10/16 for comment. Deadline for responses was 8th November 2016.

Background Papers:

Schools revenue funding 2017 to 2018 operational guide. EFA July 2016:

<https://www.gov.uk/government/publications/schools-funding-arrangements-2017-to-2018>

Schools Forum papers:

<http://decisionmaking.westberks.gov.uk/ieListMeetings.aspx?CId=335&Year=0>

The School and Early Years Finance (England) Regulations 2015:

<http://www.legislation.gov.uk/ukxi/2015/2033/contents/made>

Subject to Call-In:

Yes: No:

Wards affected:

All

Strategic Aims and Priorities Supported:

The proposals will help achieve the following Council Strategy aim:

BEC – Better educated communities

Officer details:

Name: Claire White
Job Title: Schools Finance Manager
Tel No: 01635 519037
E-mail Address: Claire.white@westberks.gov.uk

Appendix B

Equality Impact Assessment - Stage One

We need to ensure that our strategies, policies, functions and services, current and proposed have given due regard to equality and diversity.

Please complete the following questions to determine whether a Stage Two, Equality Impact Assessment is required.

Name of policy, strategy or function:	School Funding Formula
Version and release date of item (if applicable):	2017/18 financial year
Owner of item being assessed:	Claire White
Name of assessor:	Andy Walker
Date of assessment:	17/10/16

Is this a:		Is this:	
Policy	Yes	New or proposed	No
Strategy	No	Already exists and is being reviewed	Yes
Function	Yes	Is changing	No
Service	No		

1. What are the main aims, objectives and intended outcomes of the policy, strategy function or service and who is likely to benefit from it?	
Aims:	Funding of West Berkshire primary and secondary schools
Objectives:	To apply a method to fund all primary and secondary schools in an equitable and fair way
Outcomes:	All primary and secondary schools funded in an equitable and fair way
Benefits:	No school is disadvantaged financially compared to another

<p>2. Note which groups may be affected by the policy, strategy, function or service. Consider how they may be affected, whether it is positively or negatively and what sources of information have been used to determine this.</p> <p>(Please demonstrate consideration of all strands – Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion or Belief, Sex and Sexual Orientation.)</p>
--

Group Affected	What might be the effect?	Information to support this
None	N/A	Covers funding for pupils aged 4 to 16
Further Comments relating to the item:		
N/a		

3. Result	
Are there any aspects of the policy, strategy, function or service, including how it is delivered or accessed, that could contribute to inequality?	No
Please provide an explanation for your answer: equitable funding of schools via a formula	
Will the policy, strategy, function or service have an adverse impact upon the lives of people, including employees and service users?	No
Please provide an explanation for your answer: equitable funding of schools via a formula	

If your answers to question 2 have identified potential adverse impacts and you have answered ‘yes’ to either of the sections at question 3, or you are unsure about the impact, then you should carry out a Stage 2 Equality Impact Assessment.

If a Stage Two Equality Impact Assessment is required, before proceeding you should discuss the scope of the Assessment with service managers in your area. You will also need to refer to the Equality Impact Assessment guidance and Stage Two template.

4. Identify next steps as appropriate:	
Stage Two required	No
Owner of Stage Two assessment:	
Timescale for Stage Two assessment:	
Stage Two not required:	Yes

Name: Claire White

Date: 17/10/16

Please now forward this completed form to Rachel Craggs, the Principal Policy Officer (Equality and Diversity) for publication on the WBC website.

Primary and Secondary Schools Funding Proposed Funding Arrangements for 2017/18

Briefing & Consultation Document for Schools October 2016

1. Introduction

- 1.1 The Department for Education (DfE) launched a first stage consultation in March 2016, with the intention of reforming school funding, commencing April 2017. However, due to Political changes in June, this programme of change has been delayed. The second stage consultation is due in the autumn, with resultant changes due to be implemented from April 2018.
- 1.2 The schools revenue funding arrangements for 2017/18 were announced by the Government on 21st July 2016. As the expectation is for significant change from April 2018, there are no changes in respect of the primary and secondary formula that affect West Berkshire schools, other than some underlying data changes which may affect individual school allocations. There will however, be changes to early years funding and the formula for three and four year olds.
- 1.3 Although the Government is still upholding its manifesto pledge of “flat” cash year on year allocations per pupil, following a base lining exercise carried out by the DfE in March 2016, allocations for each of the three Dedicated Schools Grant (DSG) funding blocks have been rebased according to how each local authority is spending its in-year allocation. This has moved funding from the schools block and into the high needs block (for background and more detailed information on school funding, see **Appendix D** – An Explanation of the DSG).
- 1.4 The detail of the school revenue funding arrangements for 2017/18 can be accessed on this Government webpage:
<https://www.gov.uk/government/publications/schools-funding-arrangements-2017-to-2018>.
- 1.5 As well as this document providing a briefing on the proposed local arrangements for 2017/18, schools are also invited to make comments on five specific areas, as highlighted in boxes within the text. Please e-mail your response to Claire White, Schools’ Finance Manager claire.white@westberks.gov.uk by **8th November 2016**. In order for the Schools’ Forum to consider a suggestion for change, it should be accompanied by clear rationale on why your proposal is a better solution and fair and equitable for all schools in West Berkshire Council (WBC), and not just for your own individual school. You should also check that it falls within the current funding regulations.

2. Current Formula and 2016/17 Funding Rates

2.1 Table 1 shows the current WBC formula factors used and the relevant funding rates, alongside the 2016/17 average funding rate per factor for all local authorities and the range of rates used by the majority of LAs:

Table 1: West Berkshire Formula 2016/17 and Average Funding Rates Used by all LAs

Factor	WBC Funding Rate	Units (no. of pupils unless specified)	WBC Funding	Main Range (All LAs)	National Average (All LAs)
1.Basic Entitlement:					
Primary	£2,937	13,038	£38,292,606	£2,500 to £3,250	£3,044
Secondary KS3	£4,364	5,470	£23,871,080	£3,500 to £4,500	£4,197
Secondary KS4	£4,364	3,622	£15,806,408	£4,000 to £5,000	£4,714
2.Deprivation:					
Primary FSM Ever 6	£875	1,766.97	£1,546,103		
Primary IDACI Band 1 (0.2 – 0.25)	£40	409.73	£16,389		
Primary IDACI Band 2 (0.25 – 0.3)	£120	517.70	£62,124		
Primary IDACI Band 3 (0.3 – 0.4)	£240	190.79	£45,790		
Primary IDACI Band 4 (0.4 – 0.5)	£240	190.69	£45,766		
Primary IDACI Band 5 (0.5 – 0.6)	£240	0	£0		
Primary IDACI Band 6 (over 0.6)	£240	0	£0		
Secondary FSM Ever 6	£670	1,477.12	£989,668		
Secondary IDACI Band 1	£60	385.19	£23,111		
Secondary IDACI Band 2	£180	377.52	£67,954		
Secondary IDACI Band 3	£360	227.68	£81,965		
Secondary IDACI Band 4	£360	140.85	£50,706		
Secondary IDACI Band 5	£360	0	£0		
Secondary IDACI Band 6	£360	0	£0		
(Total deprivation funding allocated per FSM pupil)	(£903)			(£1,500 to £3,000)	(£1,748)
3.Prior Attainment:					
Primary	£284	3,328.91	£945,411	£500 to £1,000	£869
Secondary	£1,125	1,821.29	£2,048,951	£500 to £1,250	£1,094
4.Looked After Children					
Primary & Secondary	Not used	0	£0	Used by 91 LAs £500 to £1,250	£675
5.English as an Additional Language:					
Primary EAL 3	£345	745.94	£257,349	Used by 136 LAs £250 to £1,000	£511
Secondary EAL 3	£345	290.33	£32,763	£250 to £1,500	£1,255
6.Pupil Mobility:					
Primary	Not used	0	£0	Used by 68 LAs £250 to £1,250	
Secondary	Not used	0	£0	£250 to £1,250	
7.Sparsity					
Primary	Not used	0	£0	Used by 24 LAs £90k to £100k	
Secondary	£100,000	1 (school)	£100,000	£90k to £100k	
8.Lump Sum:					
Primary	£121,400	66 (school)	£8,012,400	£90k to £150k	£129,923
Secondary	£121,400	10 (school)	£1,214,000	£120k to £175k	£142,281
9.Split Sites					
Primary & Secondary	Not used	0	£0		
10.Rates:					
Primary	Actual		£685,467		
Secondary	Actual		£382,463		
11.Private Finance Initiative (PFI) contracts					
	N/A for WBC				
12. London Fringe					
	N/A for				

	WBC				
13.Exceptional Premises factors					
Joint use of leisure facilities – secondary schools	Actual	0	£0		
14.Minimum funding Guarantee (-1.5%)					
Primary			£473,389		
Secondary			£50,418		
TOTAL			£95,102,281		
Primary/Secondary Ratio			1.28	1.20 to 1.40	1.29
Percent of funding through basic entitlement			82.44%	75% to 80%	76.8%
Percent of funding through deprivation factors			3.1%	4% to 10%	7.6%
Percent of funding through lump sum			9.76%	6% to 10%	8.2%
Percent of funding through pupil Led			89.01%	88% to 94%	89.84%
Percent of funding allocated to notional SEN			4.8%	5% to 15%	10.0%

2.2 Compared to other local authorities, West Berkshire is not an outlier in terms of the formula factors used and the funding rates applied to the main factors, although our rate for every factor is below the average. Of the two main factors, the primary basic entitlement is £2,937 per pupil compared to the national average of £3,044; the secondary basic entitlement is £4,364 per pupil compared to the national (weighted) average of £4,404; the primary and secondary lump sum is £121,400 per school compared to the national averages of primary £129,923 and secondary £142,281. The primary:secondary funding ratio is just below the national ratio 1:1.29 (i.e. secondary schools receive 29% more funding than primary schools).

2.3 These comparisons are not as close as last year; the national averages have increased mainly due to additional funding that the lowest funded local authorities have received (West Berkshire now receives below average funding due to this uplift). Also, in order to maintain services in the high needs block the lump sum was reduced by £5k per school and transferred to the high needs budget in addition to the headroom arising in the schools block – so there were no increases to funding rates in 2016/17 compared to the 2015/16 rates.

2.4 It should be noted that not all formula factors are used by all local authorities, and the average rates provided in the above table are derived based on those authorities that are using that factor – there is no expectation that an authority should aim for the average rate for each factor, as each authority is funded at a different level and it would be impossible to replicate this.

2.5 For further information, the report from the DfE on the 2016/17 funding formulae review for all local authorities and each local authority's data can be found on the following webpage: <https://www.gov.uk/guidance/schools-block-funding-formulae-2016-to-2017>

3. Proposal for 2017/18 Formula and Funding Rates

3.1 **Appendix E** is an extract from the Government's school revenue funding arrangements document, detailing the allowable funding factors for 2017/18. The only changes compared to 2016/17 are:

- New bandings for the Index of deprivation affecting children (IDACI). This has no impact on WBC schools as our funding rates for the higher bandings are the same.
- Removal of the post 16 funding factor. This has no impact, as this factor is not used by WBC.
- Using a national weighting for secondary low attainment figures (due to the new KS2 assessments). We do not yet have the data for this to assess the impact.

3.2 It is proposed that there should be no changes to the West Berkshire formula factors in 2017/18, and if at all possible the funding rates remain the same, for the following reasons:

- The current formula is deemed to be a best fit for West Berkshire schools within the parameters allowed and funding available. Our concerns about small school viability and suggestions for change have not to date been accepted by the Government.
- To prevent any turbulence in school budget allocations and keep to what schools have been basing their longer term strategic financial planning on. To change the allocations could see some schools going into deficit for reasons completely outside their control.
- Changing allocations would mean that more schools would qualify for minimum funding guarantee; this then has a knock on effect of reducing the funding available, unless a cap is placed on schools gaining funding. It makes no sense to do this a year before national funding is due to be implemented.
- The largest proportion of funding is allocated through the basic entitlement (per pupil rate) and lump sum and these rates are still relatively close to the national average, which we would not want to move away from (reduce further) if this is the direction of a national formula. The primary/secondary ratio is very close to average, so we would not want to move funding between the two sectors.
- All our formula rates are below the national average, and we would need additional funding to get closer to these averages. In theory the national formula should deliver additional funding to bring WBC closer to the average, so in the meantime we should aim to keep our funding rates stable if at all possible.

3.3 The funding rate that can be applied to each factor is subject to the amount of funding we receive through the Dedicated Schools Grant (DSG), which will be confirmed in December 2016 for 2017/18. The funding rate for 2017/18 has been reduced by £20 per pupil from £4,368 to £4,348 due to the fact that in 2016/17 we moved funding from the schools block to the high needs block.

3.4 The schools block is not ring fenced in 2017/18, and the proposed changes to the funding formula for the high needs block is not going ahead in 2017/18, so funding

pressures still remain in this block. The Government has not yet announced how any additional funding available for this block will be allocated to local authorities.

3.5 Although we already know the funding rate of the schools block DSG, there are a number of reasons why the total amount of funding available for allocation to schools may change compared to the £95.1m allocated to schools in 2016/17:

- The DSG is based on the number of pupils in the October census – this may be higher or lower than the previous year, affecting the total funding received. As the formula factors are not all related to number of pupils, e.g. the lump sum or rates, a reduction in pupil numbers will mean there is less money left to put through the factors based on pupil numbers, and vice versa.
- Some factors may increase by default, leaving less funding for the other factors e.g. if there are any claims for exceptional premises funding from qualifying schools (there were none in 2016/17), and if rates bills go up significantly (schools are funded on actual cost of rates).
- The Minimum Funding Guarantee (MFG) payment may go up or down. MFG is payable where a school's funding decreases by more than 1.5% *per pupil* and therefore protects schools where there is a change to the formula and/or funding rates that adversely affect the school.
- The amount of funding required for centrally retained services that are also funded from the schools block DSG may change. In 2017/18 services previously funded by the retained duties element of the Education Services Grant (ESG), mainly education welfare services and asset management, are moving into the DSG which may have an impact if there is a mismatch between funding added to the DSG (£15 per pupil) and the actual cost of these services.
- There is a new primary school to be funded (up to 60 pupils) from September 2017, for which no additional funding is provided; the cost will therefore be a top slice of funding from the schools block DSG (via the growth fund).
- There may be a further shortfall of funding in high needs, which would possibly need to be met from schools funding if other savings cannot be found.

3.6 If there is not enough funding to maintain the current rates, it is proposed that in order to balance the budget, an adjustment is made to the basic entitlement (per pupil funding) rate, as this is the only factor that will impact every school equally in relation to the size of school. If there is additional funding available, it is proposed that for the first £848k, 55% be added to the basic entitlement (per pupil funding) and 45% be added back to the lump sum. This is in proportion to the deduction that was made to school budgets in 2016/17 to transfer funding to the high needs block. Any additional funding over this amount be added to the basic entitlement

4. Formula Exemplification for 2017/18

4.1 **Appendix F** shows the formula exemplification for 2017/18 using the same pupil numbers as 2016/17, and assuming the same funding rates. As there are no changes proposed to the formula, the exemplification just shows schools the effect of the continuation of the MFG. The small increase is for the inflationary impact of the rates (NNDR) allocation. Actual individual school allocations will be dependent on the October 2016 census data.

4.2 This appendix is also available as a spreadsheet, and by entering the school cost centre in the orange box of the “school sheet” tab this will display the detailed formula for the school alongside the current funding received for each factor. Schools can also enter their expected/actual pupil numbers for October 2016 (yellow boxes) to see their likely funding for 2017/18 and beyond based on the current funding rates. The sheets do not include any high needs funding for individual pupils i.e. top ups, which is paid outside the formula, as top up funding is variable and follows the pupil.

1. Do you agree that the Council should keep to the current formula factors (as shown in Table 1)? If not, please let us know with your reasons why.

2. Do you agree that if there is additional funding available that for the first £848k, 55% will be added to the basic entitlement (per pupil funding) and 45% will be added back to the lump sum, with any additional funding over this amount being added to the basic entitlement. If there needs to be a reduction to funding rates that this is adjusted through the basic entitlement rate? If not, please let us know with your reasons why.

3. Do you think your school is eligible for exceptional premises funding? If yes, please let us know with your reasons why.

5. Future Changes to School Funding

5.1 The Government’s consultation in March 2016 proposed the following:

- The same formula factors and rates are to be applied to all schools in England, but with an area cost adjustment applied.
- In the first two years the allocations for individual schools will be aggregated and allocated to local authorities as the schools block DSG, and the local authority will determine the actual formula and funding rates to apply.
- In the third year all schools will receive their funding direct from the Government at the national rates.

5.2 Although schools are unlikely to see any inflationary increase to funding rates over the foreseeable future, given that WBC receives below average funding and our funding rates for each formula factor are lower than the average, in theory the new national formula proposed should deliver more funding to WBC schools.

5.3 More detailed proposals and an exemplification are expected in the second consultation, due sometime in the autumn.

6. Additional Funding Outside the School Formula

6.1 The current funding regulations allow for a few exceptional circumstances to be funded outside the formula and be top sliced from the DSG. For each fund the Schools’ Forum needs to agree the amount to set aside and clear criteria setting out the circumstances in which a payment could be made and the basis for calculating the sum to be paid. The current criteria for each fund each can be accessed via the WBC school funding web page:

<http://info.westberks.gov.uk/index.aspx?articleid=31483>. There is no proposal to change the criteria to access these funds.

6.2 The funds are as follows:

- Growth Fund – support for schools required to provide extra places in order to meet basic need within the authority – including pre-opening, diseconomy and reorganisation costs
- Falling Rolls Fund – to support good or outstanding schools with falling rolls where local planning data shows that the surplus places will be needed in the near future
- Schools with a disproportionate number of high needs pupils which cannot be reflected adequately in their formula funding. This needs to be made through a formula.

4. If you have any comments/suggestions on the criteria set to access the additional funds please provide details.

6.3 Note that schools may also receive funding from the following sources:

- Early year's formula funding for two, three, and four year olds.
- Sixth form funding (national formula).
- High needs place and top up funding.
- Pupil premium grant.
- PE and sports grant.
- Universal infant free school meal grant.

Information on each can be also be accessed via the WBC school funding web page.

7. De-delegations 2017/18

7.1 From 2013/14 schools received funding for newly delegated central services. For some services (where offered by the local authority), maintained primary and secondary schools can collectively opt for the service to be de-delegated – which means that the funding continues to be centrally retained for the benefit of all maintained primary and secondary schools, and individual schools cannot make that choice for themselves (Academies may be given the option to buy into the service, as can Nursery schools, Special schools and PRUs). The de-delegations need to be re-determined on an annual basis.

7.2 The relevant Schools' Forum representatives for each phase will vote on whether each service is to be de-delegated or not. The services currently de-delegated are as follows:

- Behaviour Support Service
- Support to underperforming ethnic minority groups and bilingual learners
- Trade Union Local Representation
- Contingency for schools in financial difficulty (primary schools only)

7.3 Information about these services were included in a report to the Schools' Forum on 11th July 2016, agenda item 8, which can be viewed on this website:

<http://decisionmaking.westberks.gov.uk/ieListMeetings.aspx?CId=335&Year=0> The amounts to be deducted from each school for 2017/18 will be different to those

shown in the report, as they will be based on the October 2016 census data (the current exemplification is based on the October 2015 census).

7.4 In addition, it is being proposed that CLEAPPS become a new de-delegated service rather than an individual buy back, which may result in savings for most schools.

7.5 From 2017/18 some local authority services carried out for maintained schools and previously funded by the general element of the ESG will be moved to the DSG (but with no funding added to the DSG) and be a deduction from maintained school budgets on a single per pupil rate. This includes school improvement and statutory requirements in respect of health & safety, finance, audit, and teachers pension administration. The financial impact of this will be brought to the December meeting of the Schools' Forum.

7.6 The final decision on each de-delegation will be made by the relevant Schools' Forum Members for each phase on 5th December 2016. Schools may wish to contact their Schools' Forum representative direct to express their view, or respond as part of this consultation.

5. If you do not agree with any of the above services being de-delegated, please let us know with your reasons why.

8. Timetable

8.1 The timetable for determining the school formula and schools budgets for 2017/18 is as follows:

Schools' Forum to review the 2017/18 school formula arrangements and agree on a proposal.	10 th October 2016
Briefing document to schools – with opportunity given to make comments on the proposals.	11 th October to 8 th November 2016
Heads Funding Group to consider the responses from schools and make a recommendation to Schools' Forum.	22 nd November 2016
Schools' Forum to agree on the formula and preferred funding rates to recommend to the Council. Vote taken on de-delegations and the criteria agreed for accessing the additional funds.	5 th December 2016
October census data issued by the DfE and final DSG funding allocation for schools and high needs blocks received. Final school formula rates determined according to funding available.	Mid December
Formal Political approval received.	Executive 19 th January 2017
2017/18 formula submitted to Education Funding Agency.	20 th January 2017
Schools' Forum to consider the overall DSG position and remaining budgets for all funding blocks.	23 rd January 2017
Confirmation of final budget allocations to maintained schools	By end of January 2017 (statutory deadline 28 th February 2017)
Schools' Forum to decide on the final budget for all DSG funding blocks	6 th March 2017

Appendix D

An Explanation of the Dedicated Schools Grant (DSG)

Background

1. Since April 2006, funding for schools has come from a ring-fenced grant known as the Dedicated Schools Grant (DSG). It comes direct from the Government and is totally separate from all other Council funding and spending.
2. The grant is paid to the Council on a financial year basis and since 2013/14 has been split into three funding blocks – schools, early years, and high needs. Although separate allocations are received for each, the blocks are currently not ring fenced.
3. The use of the grant is governed by school finance regulations, and this includes setting out what (limited) centrally retained services can be met from the grant. Therefore not all the grant is directly allocated out to schools; some funding is retained by the Council to provide central services to schools with particular needs.
4. Any unspent centrally retained grant at the end of the financial year is carried forward for allocation in the following financial year. If there is an over spend this is deducted from the following years DSG allocation.
5. The Council uses a formula to allocate funding out to schools from this grant. The formula is largely prescribed by the Government, though the Council is free to choose which factors to use and at what funding rates, though the funding rates are very much governed by the amount of grant received. The Council must consult with the Schools' Forum and all schools on any changes.
6. The DSG allocated to the Council includes the funding for Academies and Free schools. Once the school formula has been determined, the Government then recoup the exact formula amount back in order for them to fund these schools direct.
7. A national formula is proposed for schools and likely to commence from April 2018. This will initially attempt to standardise the funding rates that every Council receives and will eventually lead to the same formula and similar funding rates (subject to area cost adjustments) for all schools in England.
8. Sixth form funding is not included in the DSG (other than high needs top up payments) and is paid to schools separately by the Government using a national formula and national rates.

How the DSG is calculated

Schools Block

- Based on the previous October school census
- The calculation is the total number of primary and secondary pupils (year R to 11) x funding rate
- In 2016/17 this is 22,135 pupils x £4,368 = £96.686m. An additional £0.032m is paid for NQTs.
- The funding rate is historical and is different for every Council. In 2016/17 this ranges from £4,167 in Wokingham to £6,982 in Tower Hamlets (City of London £8,587).
- The funding rate has not increased since 2010/11, therefore schools have not seen any inflationary increases to their allocations

- However, in 2015/16 the Government allocated an additional £390m to the lowest funded Council's as a step towards closing the funding gap. West Berkshire received an additional £8 per pupil (0.2%).
- For 2017/18 the Government has rebased the funding rate according to how much of our allocation we are actually using in the schools block in 2016/17. The rate for 2017/18 has been confirmed as £4,348.
- The Government is currently consulting on a new methodology to allocate funding, as well as moving to a national formula, proposed to be in place 2018/19.

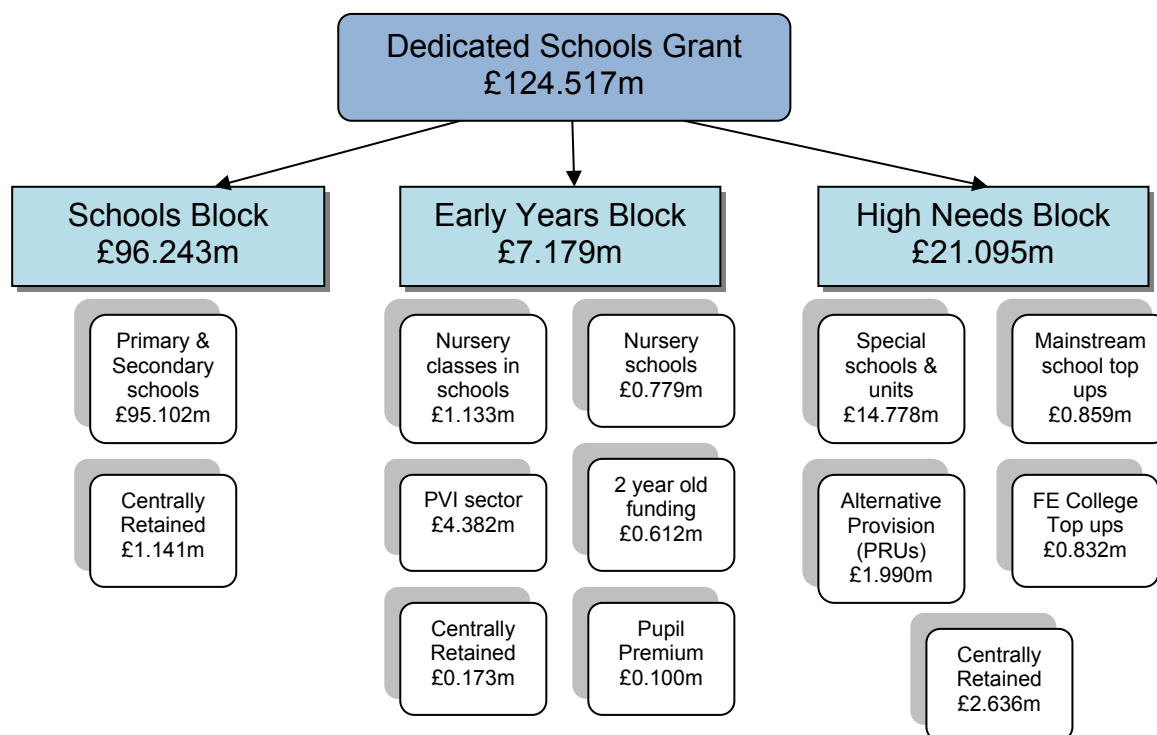
Early Years Block

- Based on the January school and early years census
- Calculated 5/12 of the previous January nursery pupils plus 7/12 of the following January nursery pupils x funding rate.
- Different funding rates used for 3 & 4 year olds and 2 year olds.
- For the 2016/17 grant we do not know what the allocation for the year will be until March 2017 at the earliest, so estimates have to be made. There is always a shortfall between funding received and actual payments made to providers.
- In 2016/17 the grant estimate is:
1,515 pupils x £3,911 = £5.925m for 3&4 year olds
120 pupils x £5,092 = £0.611m for 2 year olds
In addition, early year's pupil premium is estimated at £0.021m, and the adjustment in relation to the 2015/16 grant is a deduction of £0.091m.
- The funding rate for 3&4 year olds is historical, is different for every Council, and has not seen any increases. In 2016/17 the rate ranges from £3,080 in Solihull to £8,713 in Camden. The Government is currently consulting on a change to this formula. The rate for 2 year olds is standardised across all Councils and there is no proposal to change this formula. In 2016/17 the rate ranges from £4,607 to £5,766.
- The indicative rates given in the consultation for West Berkshire in 2017/18 are £4,465 for 3&4 year olds, and £5,453 for 2 year olds.

High Needs Block

- This is a fixed sum. In 2013/14 this sum was derived by how much each individual Council had spent on high needs in the previous year
- There has been a limited increase to this sum since then, and so increases in the number of pupils requiring support, increases in the level of support and general increases in cost have not been funded.
- For 2016/17 this sum is £20.079m compared to £19.101m in 2015/16, although new additional funding responsibilities came with and had to be met from the bulk of the increase.
- As there was a funding shortfall in this block in 2016/17, £848k was transferred from the Schools block and £10k from the early years block in order to maintain the statutory provision for high needs pupils.
- The Government is currently consulting on a new methodology to allocate high needs funding to local authorities. We do not know at this stage whether this will provide additional funding for West Berkshire, or when this will be implemented from.

Where the DSG is allocated in 2016/17



Notes:

1. The figures above include expected carry forward of grant totalling £1.254m. The actual in-year grant allocation is £123.263m.
2. The main centrally retained services are:
 Schools Block – licences for all schools, growth fund for schools, school admissions service
 Early Years Block – quality monitoring & compliance, eligibility checking, sufficiency & sustainability planning
 High Needs Block – ASD advisory support, Home Tuition, Engaging Potential service, therapy services, sensory impairment support, inclusion support, applied behaviour support, vulnerable children support, early intervention
3. The figures include funding to Academies and post 16 high needs place funding which form part of our allocation but not our budget as they are paid direct by the EFA – this totals £33,687k

Appendix E

Allowable Funding Factors

Factor	Further information
<p>1. Basic entitlement A compulsory factor that assigns funding on the basis of individual pupils, with the number of pupils for each school or academy based on the October pupil census.</p>	<p>Funding allocated according to an age-weighted pupil unit (AWPU). A single rate for primary age pupils, which must be at least £2,000. There may be different rates for key stage 3 and key stage 4, with a minimum of £3,000 for each. Local authorities may choose to increase the pupil number count where schools had previously had higher reception pupil numbers in January 2016 than in the October 2015 census.</p>
<p>2. Deprivation A compulsory factor</p>	<p>Local authorities may choose to use free school meals and/or the Income Deprivation Affecting Children Index (IDACI). Free meals can be measured either at the previous October census or “ever 6”, which reflects pupils entitled to free meals at any time in the last 6 years, but not both. The IDACI measure uses 6 bands and different values can be attached to each band. Different unit values can be used for primary and secondary.</p> <p>Following the 2015 IDACI dataset update, we have redesigned the IDACI bands to return them to a similar size to previous years. The draft 2017 to 2018 APT will include data showing pupils matched to the new IDACI bands.</p>
<p>3. Prior attainment An optional factor (although it is used by almost all local authorities). It acts as a proxy indicator for low level, high incidence special educational needs</p>	<p>May be applied for primary pupils identified as not achieving the expected level of development within the early years foundation stage profile (EYFSP) and for secondary pupils not reaching the expected standard at KS2 in either English or maths. The EYFSP changed in 2013, so a weighting may be used to ensure that funding delivered through the primary prior attainment factor is not disproportionately affected by the year groups (years 1 to 4) assessed under the new framework. For pupils assessed using the old profile (years 5 and 6), local authorities will continue to be able to choose between two EYFSP scores, targeting funding to either all pupils who achieved fewer than 78 points; or all pupils who achieved fewer than 73 points on the EYFSP.</p> <p>For pupils assessed at KS2 up to 2011, eligible pupils are those who did not reach level 4 in either the English or Maths elements.</p>

	<p>For pupils assessed from 2011, eligible pupils are those who did not reach level 4 in any of the reading test, teacher assessed writing, or Maths. This reflects the new KS2 English assessment methodology which was introduced in 2012, to include separately a reading test and teacher assessed writing. The 2016 KS2 assessments are the first which assess the new, more challenging national curriculum. At a national level, a higher number of the year 7 cohort in financial year 2017 to 2018 will be identified as having low prior attainment. We intend to use a national weighting to ensure that this cohort does not have disproportionate influence within the overall total.</p> <p>The weighting will be confirmed in advance of finalising 2017 to 2018 allocations and included in the APT in December, having taken into account the latest data about year 7 pupils in the October census. Local authorities will not be able to change the weighting, but would be able to adjust their secondary low prior attainment unit value as usual. This will enable local authorities in most cases to maintain their low prior attainment factor at previous levels without significant turbulence.</p> <p>Low prior attainment funding will be allocated to all pupils identified as not reaching the expected standard at the previous phase, regardless of their year group. It does not only apply to those pupils in their first year of schooling.</p> <p>As with current funding arrangements, pupils who have not undertaken the assessment are given the average LPA score of their year group, so are taken into account when calculating a school's LPA average.</p>
<p>4. Looked-after children An optional factor</p>	<p>A single unit value may be applied for any child who has been looked after for one day or more as recorded on the local authority SSDA903 return at 31 March 2016. This data is mapped to schools using the January school census, enabling identification of the number of looked-after children in each school or academy.</p>
<p>5. English as an additional language (EAL) An optional factor</p>	<p>EAL pupils may attract funding for up to 3 years after they enter the statutory school system. Local authorities can choose to use indicators based on one, two or three years and there can be separate unit values for primary and secondary.</p>

<p>6. Pupil mobility An optional factor</p>	<p>This measure counts pupils who entered a school during the last three academic years, but did not start in August or September (or January for reception pupils). There is a 10% threshold and funding is allocated based on the proportion above the threshold – so if a school has 12% mobility, then 2% of pupils would attract funding.</p>
<p>Proportion allocated through pupil-led factors</p>	<p>Local authorities must allocate at least 80% of the delegated schools block funding through pupil-led factors (the factors in lines 1-6 above, and London fringe uplift where relevant).</p>
<p>7. Sparsity An optional factor</p>	<p>Schools that are eligible for sparsity funding must meet two criteria: first, they are located in areas where pupils would have to travel a significant distance to an alternative should the school close, and second, they are small schools. For the pupils for whom the school is their closest compatible school, the factor measures the distance (as the crow flies) from their home to their second nearest compatible school and the mean distance for all pupils is then calculated. Since the pupil population changes each year, it is possible for a school to be eligible for sparsity funding in one year but not in the next. In addition, the number of pupils in a school is divided by the number of year groups to determine the size of the average year group. Two qualification criteria for attracting sparsity funding must be met if schools are to attract sparsity funding: Primary schools qualify if the sparsity distance is greater than 2 miles and the average year group is less than 21.4. Secondary schools qualify if the sparsity distance is greater than 3 miles and the average year group is less than 120. Middle schools qualify if the sparsity distance is greater than 2 miles and the average year group is less than 69.2. All-through schools qualify if the sparsity distance is greater than 2 miles and the average year group is less than 62.5. Local authorities can reduce the pupil numbers and increase the distance criteria. The maximum amount which can be allocated to an individual school through this factor is £100,000 (including fringe uplift) and the value can be different for each</p>

	<p>phase of school.</p> <p>Local authorities can choose whether to use a single amount for all sparse schools, or to use a tapered amount which increases the smaller the school.</p> <p>Local authorities can apply for an exceptional factor to target up to an additional £50,000 of sparsity funding at very small secondary schools where the total number on roll is 350 or less, where the sparsity distance is 5 miles or more, and where pupils in years 10 and 11 are present.</p>
<p>8. Lump sum An optional factor (although it has been used by all local authorities)</p>	<p>Local authorities can set different lump sums for primary and secondary (middle schools receive a weighted average based on the number of year groups in each phase). The maximum lump sum is £175,000, including London fringe uplift.</p> <p>Where schools have amalgamated² during the financial year 2016 to 2017, or on 1 April 2017, they will retain the equivalent of 85% of two lump sums for the financial year 2017 to 2018 ie assuming a lump sum of £100,000, the additional payment would be £70,000 $((100,000 \times 2) \times 85\% - 100,000)$.</p> <p>Local authorities can apply to the EFA to reduce this in exceptional circumstances.</p> <p>Where schools amalgamate after 1 April 2017, the new school will receive funding equivalent to the formula funding of the closing schools added together for the appropriate proportion of the year. This means that they receive the combined lump sum for the remainder of the year and 85% in the following year, as outlined above.</p> <p>Local authorities may apply to provide a second year of protection. Applications must specify the level of protection sought, although in general we would not expect the additional protection to exceed 70% of the combined lump sums. Applications will be considered on a case by case basis.</p>
<p>9. Split sites An optional factor</p>	<p>The purpose of this factor is to support schools which have unavoidable extra costs because the school buildings are on separate sites. Allocations must be based on objective criteria, both for the definition of a split site and for how much is paid.</p>

<p>10. Rates An optional factor although it is used by all local authorities</p>	<p>These must be funded at the authority's estimate of the actual cost. Adjustments to rates may be made during the financial year but outside of the funding formula. For example, an additional allocation could be made to a school (e.g. from balances brought forward). This should be reflected in the Section 251 outturn statement and in each school's accounts. The effect on the school would be zero since any rates adjustment will be offset by a change in the cost of the rates.</p>
<p>11. Private Finance Initiative (PFI) contracts An optional factor</p>	<p>The purpose of this factor is to support schools which have unavoidable extra premises costs because they are a PFI school and/or to cover situations where the PFI "affordability gap" is delegated and paid back to the local authority.</p>
<p>12. London fringe An optional factor, but only for the five local authorities to which it applies (Buckinghamshire, Essex, Hertfordshire, Kent and West Sussex)</p>	<p>The purpose of this factor is to support schools which have to pay higher teacher salaries because they are in the London fringe area, and where only part of the authority is in this area. It is applied as a multiplier of 1.0156 to the relevant factors.</p>
<p>13. Exceptional premises factors Local authorities can apply to EFA to use exceptional factors relating to premises. The most frequently approved factors are for rents and for joint-use sports facilities.</p>	<p>The exceptional factors must relate to premises costs and applications should only be submitted where the value of the factor is more than 1% of a school's budget and applies to fewer than 5% of the schools in the authority's area. Any factors which were used in 2016 to 2017 can automatically be used for pre-existing and newly-qualifying schools in 2017 to 2018, provided that the qualification criteria are still met.</p>

Appendix F

Local Authority Funding Reform Proforma											
LA Name:		West Berkshire									
LA Number:		869									
Pupil Led Factors											
1) Basic Entitlement Age Weighted Pupil Unit (AWPU)		Reception uplift	Yes	Pupil Units			22.00				
		Description	Amount per pupil	Pupil Units		Sub Total	Total	Proportion of total pre MFG funding (%)	Notional SEN (%)		
		Primary (Years R-6)	£2,945.00	13,238.00		£38,985,910	£78,298,934	41.00%	2.07%		
		Key Stage 3 (Years 7-9)	£4,372.00	5,547.00		£24,251,484		25.50%	0.00%		
		Key Stage 4 (Years 10-11)	£4,372.00	3,445.00		£15,061,540		15.84%	0.00%		
		Description	Primary amount per pupil	Secondary amount per pupil	Eligible proportion of primary NOR	Eligible proportion of secondary NOR	Sub Total	Total	Proportion of total pre MFG Funding (%)	Primary Notional SEN (%)	Secondary Notional SEN (%)
2) Deprivation		FSM6 % Primary	£875.00		1,735.93		£1,518,935	£2,844,505	2.99%	50.05%	0.00%
		FSM6 % Secondary		£670.00		1,393.13	£933,394			0.00%	0.00%
		IDACI Band F	£40.00	£60.00	447.86	393.39	£41,518			0.00%	0.00%
		IDACI Band E	£120.00	£180.00	554.09	369.40	£132,981			0.00%	0.00%
		IDACI Band D	£240.00	£360.00	56.80	99.48	£49,444			0.00%	0.00%
		IDACI Band C	£240.00	£360.00	138.07	113.95	£74,159			0.00%	0.00%
		IDACI Band B	£240.00	£360.00	182.89	139.38	£94,073			0.00%	0.00%
		IDACI Band A	£240.00	£360.00	0.00	0.00	£0			0.00%	0.00%
3) Looked After Children (LAC)		LAC X March 16			77.93		£0	0.00%	0.00%		
4) English as an Additional Language (EAL)		EAL 3 Primary	£345.00		721.05		£248,763	£286,571	0.30%	0.00%	0.00%
		EAL 3 Secondary		£345.00		109.59	£37,808		0.00%	0.00%	0.00%
5) Mobility		Pupils starting school outside of normal entry dates			207.00		0.00	£0	0.00%	0.00%	0.00%
		Description	Weighting	Amount per pupil	Percentage of eligible pupils	Eligible proportion of primary and secondary NOR respectively	Sub Total	Total	Proportion of total pre MFG funding (%)	Primary Notional SEN (%)	Secondary Notional SEN (%)
g) Prior attainment		Low Attainment % new EFSF	100.00%	£284.00	31.46%	3,438.25	£976,463	£2,951,289	3.10%	100.00%	0.00%
		Low Attainment % old FSP 78			13.77%					0.00%	0.00%
		Secondary low attainment (year 7)	48.02%		21.53%	1,755.40	£1,974,826			0.00%	0.00%
		Secondary low attainment (years 8 to 11)		£1,125.00	19.09%					0.00%	100.00%
Other Factors											
Factor	Lump Sum per Primary School (£)	Lump Sum per Secondary School (£)	Lump Sum per Middle School (£)	Lump Sum per All-through School (£)	Total (£)	Proportion of total pre MFG funding (%)	Notional SEN (%)				
7) Lump Sum	£122,800.00	£122,800.00			£9,332,800	9.81%	0.00%	0.00%			
8) Sparsity Factor		£100,000.00			£100,000	0.11%	0.00%	0.00%			
Please provide alternative distance and pupil number thresholds for the sparsity factor below. Please leave blank if you want to use the default thresholds. Also specify whether you want to use a tapered lump sum for one or both of the phases.											
Primary distance threshold (miles)		Primary pupil number average year group threshold		Fixed or tapered sparsity primary lump sum?	Fixed						
Secondary distance threshold (miles)		Secondary pupil number average year group threshold		Fixed or tapered sparsity secondary lump sum?	Fixed						
Middle schools distance threshold (miles)		Middle school pupil number average year group threshold		Fixed or tapered sparsity middle school lump sum?	Fixed						
All-through schools distance threshold (miles)		All-through pupil number average year group threshold		Fixed or tapered sparsity all-through lump sum?	Fixed						
9) Fringe Payments					£0	0.00%					
10) Split Sites					£0	0.00%	0.00%				
11) Rates					£1,273,293	1.34%	0.00%				
12) PFI funding					£0	0.00%	0.00%				
13) Exceptional circumstances (can only be used with prior agreement of EFA)											
Circumstance					Total (£)	Proportion of total pre MFG funding (%)	Notional SEN (%)				
Additional lump sum for schools amalgamated during FY16-17					£0	0.00%	0.00%	0.00%			
Additional sparsity lump sum for small schools					£0	0.00%	0.00%				
Exceptional Circumstance 3					£0	0.00%	0.00%				
Exceptional Circumstance 4					£0	0.00%	0.00%				
Exceptional Circumstance 5					£0	0.00%	0.00%				
Exceptional Circumstance 6					£0	0.00%	0.00%				
Total Funding for Schools Block Formula (excluding MFG Funding Total) (£)					£95,087,392	100.00%	£4,519,052				
14) Minimum Funding Guarantee (MFG is set at -1.5%)					£409,547						
Apply capping and scaling factors? (gains may be capped above a specific ceiling and/or scaled)					No						
Capping Factor (%)		Scaling Factor (%)			£0						
Total deduction if capping and scaling factors are applied					£0						
MFG Net Total Funding (MFG + deduction from capping and scaling)					£409,547	0.43%					
High Needs threshold (only fill in if, exceptionally, a high needs threshold different from £6,000 has been approved)											
Additional funding from the high needs budget					£127,000.00						
Growth fund (if applicable)					£163,330.00						
Falling rolls fund (if applicable)					£40,000.00						
Total Funding For Schools Block Formula					£95,496,939						
% Distributed through Basic Entitlement					82.34%						
% Pupil Led Funding					88.74%						
Primary: Secondary Ratio					1 : 1.28						
Total funding for schools block formula contains funding from outside of the 2017-18 Schools Block allocation?					No						

Appendix G

2017/18 School Formula Allocations - January 2017 FINAL Compared to 2016/17 Actual Allocations

Cost Centre	SCHOOL	2016/17 ACTUAL ALLOCATION (prior to MFG)			2017/18 INDICATIVE (prior to MFG)			Change	MFG			Overall Change		
		Formula Budget	Pupil No's (Oct 2015)	Per Pupil Funding	Formula Budget	Pupil No's (Oct 2016)	Per Pupil Funding		Prior to MFG	2016/17	2017/18	Change	Including MFG	Excluding Rates
95200	Shefford Church of England Primary School	208,430	25	8,337.20	219,924	29	7,583.58	11,494	14,845	17,359	2,514	14,007	13,783	4
95600	Chaddleshworth St. Andrew's Church of England Primary School	218,263	27	8,083.81	227,256	29	7,836.40	8,993	3,930	700	-3,230	5,763	5,608	2
91700	Brimpton Church of England Primary School	258,937	43	6,021.79	286,237	50	5,724.74	27,300	15,503	14,083	-1,420	25,880	25,728	7
91300	Beedon Church of England Controlled Primary School	282,299	49	5,761.21	275,224	46	5,983.13	-7,075	10,228	8,032	-2,196	-9,271	-9,394	-3
92800	Enborne Church of England Primary School	313,650	60	5,227.49	331,691	65	5,102.94	18,042	142	0	-142	17,899	17,882	5
92700	The Isleys' Primary School	325,666	66	4,934.34	302,308	58	5,212.21	-23,358	2,548	0	-2,548	-25,906	-26,093	-8
93800	Inkpen Primary School	349,091	72	4,848.48	363,081	76	4,777.38	13,990	2,677	0	-2,677	11,313	11,161	4
97400	Yattendon Church of England Primary School	346,124	73	4,741.42	348,813	73	4,778.26	2,689	17,292	11,053	-6,239	-3,549	-3,590	0
97300	Woolhampton Church of England Primary School	396,865	90	4,409.61	403,718	92	4,388.24	6,853	12,564	7,801	-4,764	2,090	1,966	2
93500	Hampstead Norreys Church of England Primary School	411,029	91	4,516.80	404,801	88	4,600.01	-6,228	0	0	0	-6,228	-7,318	-3
96400	Streathley Church of England Voluntary Controlled Primary School	408,130	91	4,484.95	436,667	99	4,410.77	28,536	1,999	0	-1,999	26,537	25,894	8
95100	Shaw-cum-Donnington Church of England Primary School	418,423	92	4,548.07	430,457	95	4,531.13	12,035	50,981	41,419	-9,562	2,473	2,192	3
96700	Welford and Wickham Church of England Primary School	417,516	95	4,394.91	418,217	94	4,448.12	701	9,858	2,271	-7,587	-6,886	-7,593	-1
94900	Purley Church of England Infants School	440,724	100	4,407.24	486,276	112	4,341.75	45,551	782	0	-782	44,770	35,607	12
96500	Sulhamstead and Ufton Nervet Church of England Voluntary Controlled Primary School	438,005	102	4,294.17	434,635	101	4,303.32	-3,370	0	0	0	-3,370	-3,407	-1
91400	Beerham Primary School	453,815	102	4,449.17	395,997	82	4,829.23	-57,818	7,932	0	-7,932	-65,750	-66,879	-20
91600	Brightwalton Church of England Aided Primary School	436,766	103	4,240.44	429,227	100	4,292.27	-7,539	1,099	0	-1,099	-8,638	-8,811	-3
96300	Stockcross Church of England Primary School	431,714	103	4,191.40	428,993	101	4,247.46	-2,721	2,953	0	-2,953	-5,675	-5,697	-2
92300	Curridge Primary School	441,745	104	4,247.55	442,540	103	4,296.51	796	0	0	0	796	451	-1
92900	Englefield Church of England Primary School	441,553	105	4,205.27	425,512	98	4,341.96	-16,042	0	0	0	-16,042	-16,199	-7
91800	Bucklebury Church of England Primary School	502,564	121	4,153.42	530,934	129	4,115.77	28,370	5,509	0	-5,509	22,861	21,915	8
91500	Bradfield Church of England Primary School	542,615	132	4,110.72	572,267	142	4,030.05	29,652	5,401	1,169	-4,232	25,420	25,260	10
94200	Kinbury St. Mary's Church of England Primary School	559,727	137	4,085.60	572,532	140	4,089.51	12,805	26,887	18,397	-8,490	4,314	2,962	3
91100	Basildon Church of England Primary School	573,154	144	3,980.23	574,121	143	4,014.83	967	0	0	0	967	-109	-1
94500	Mrs. Bland's Infant & Nursery School	679,912	167	4,071.33	683,198	170	4,018.81	3,286	0	0	0	3,286	2,183	3
95800	Mortimer St. Johns Church of England Infant School	652,234	168	3,882.35	684,910	182	3,763.24	32,676	7,075	7,635	561	33,237	32,291	14
96800	Westwood Farm Infant School	674,202	173	3,897.12	672,623	172	3,910.60	-1,579	6,607	4,796	-1,811	-3,390	-5,069	-1
91000	Aldermaston Church of England Primary School	693,436	177	3,917.72	729,665	185	3,944.14	36,229	2,193	0	-2,193	34,036	31,082	8
97700	St. John the Evangelist Infant & Nursery School	684,975	179	3,826.68	684,490	180	3,802.72	-485	4,821	228	-4,593	-5,078	-5,359	-1
93100	Fir Tree Primary School & Nursery	743,932	179	4,156.05	787,621	193	4,080.94	43,689	23,286	16,412	-6,874	36,815	36,541	14
92200	Compton Church of England Primary School	691,933	181	3,822.84	709,864	185	3,837.10	17,931	2,000	0	-2,000	15,931	14,862	4
94300	Lambourn Church of England Primary School	741,598	185	4,008.64	793,951	196	4,050.77	52,353	833	0	-833	51,520	39,149	11
93600	Hermitage Primary School	716,491	188	3,811.12	748,123	196	3,816.96	31,632	453	0	-453	31,179	29,649	8
95900	Cold Ash St. Mark's Church of England Primary School	715,327	193	3,706.36	732,690	197	3,719.24	17,363	0	0	0	17,363	16,051	4
94100	Kennet Valley Primary School	773,932	193	4,010.01	779,143	194	4,016.20	5,211	0	0	0	5,211	3,885	1
91900	Burghfield St. Mary's Church of England Primary School	741,934	198	3,747.14	775,875	208	3,730.17	33,940	0	0	0	33,940	32,820	10
95700	St. Finian's Catholic Primary School	735,372	198	3,714.00	736,784	197	3,740.02	1,412	0	0	0	1,412	1,221	-1
94600	Pangbourne Primary School	759,352	199	3,815.84	785,442	205	3,831.43	26,090	0	0	0	26,090	23,346	6
97800	St. Joseph's Catholic Primary School	780,464	205	3,807.14	804,463	210	3,830.78	23,999	0	0	0	23,999	23,697	5
92400	Chieveley Primary School	775,229	210	3,691.57	782,595	209	3,744.48	7,366	0	0	0	7,366	4,098	-1
93400	Garland Junior School	810,351	211	3,840.53	837,818	217	3,860.91	27,467	0	0	0	27,467	26,101	6
92500	Downsway Primary School	789,367	212	3,723.43	787,208	209	3,766.54	-2,159	0	0	0	-2,159	-7,703	-3
96900	Westwood Farm Junior School	823,092	222	3,707.62	824,671	219	3,765.62	1,579	0	0	0	1,579	240	-3
97500	Mortimer St. Mary's Church of England Junior School	816,767	224	3,646.28	802,498	216	3,715.27	-14,268	0	0	0	-14,268	-14,539	-8
94400	Long Lane Primary School	832,334	228	3,650.59	778,698	208	3,743.74	-53,636	0	0	0	-53,636	-55,106	-20
95000	Robert Sandilands Primary School & Nursery	883,124	230	3,839.67	957,081	250	3,828.32	73,956	0	0	0	73,956	72,420	11
92000	Calcot Infant School & Nursery	941,884	241	3,908.23	884,175	230	3,844.24	-57,709	0	30,304	30,304	-27,405	-28,928	-20
94700	Parsons Down Infant School	891,271	241	3,698.22	817,188	217	3,765.84	-74,083	12,829	1,733	-11,097	-85,179	-86,922	-24
94000	John Rankin Junior School	909,660	250	3,638.64	1,025,077	280	3,660.99	115,417	0	0	0	115,417	106,987	30
96200	St. Nicolas Church of England Junior School	910,220	251	3,626.38	940,120	258	3,643.88	29,900	3,286	0	-3,286	26,614	26,378	7
96600	Theale Church of England Primary School	941,568	257	3,663.69	995,698	275	3,620.72	54,130	0	0	0	54,130	52,764	18
93900	John Rankin Infant & Nursery School	975,493	268	3,639.90	959,362	260	3,689.86	-16,131	0	0	0	-16,131	-22,755	-8
92100	Calcot Junior School	1,047,237	271	3,864.34	1,098,192	279	3,936.17	50,955	0	0	0	50,955	44,190	8
95300	Speenhamland Primary School	1,035,096	272	3,805.50	1,062,242	281	3,780.22	27,147	1,470	0	-1,470	25,676	36,940	9
97000	Whitelands Park Primary School	1,101,023	298	3,694.71	1,165,957	318	3,666.53	64,934	0	0	0	64,934	65,171	20
95400	Springfield Primary School	1,079,063	303	3,561.26	1,079,845	301	3,587.53	783	0	0	0	783	-1,791	-2
94800	Parsons Down Junior School	1,111,754	305	3,645.10	1,128,047	308	3,662.49	16,293	0	0	0	16,293	13,229	3
96100	St. Pauls Catholic Primary School	1,158,803	327	3,543.74	1,144,663	325	3,522.04	-14,140	0	0	0	-14,140	-14,465	-2
99400	The Wincombe School	1,237,393	332	3,727.09	1,424,769	391	3,643.91	187,376	140,409	149,653	9,244	196,620	192,671	59
98700	The Willows Primary School	1,306,020	334	3,910.24	1,331,459	344	3,870.52	25,439	18,088	22,187	4,099	29,538	20,755	10
99700	Thatcham Park Church of England Primary School	1,433,654	403	3,557.45	1,383,731	385	3,594.11	-49,923	0	0	0	-49,923	-51,341	-18
93700	Hungerford Primary School	1,445,669	409	3,534.64	1,410,500	393	3,589.06	-35,169	3,535	0	-3,535	-38,704	-43,027	-16
95500	Spurcroft Primary School	1,470,782	416	3,535.53	1,556,195	433	3,593.98	85,414	0	0	0	85,414	58,800	17
91200	Birch Copse Primary School	1,432,000	419	3,417.66	1,449,809	424	3,419.36	17,809	0	0	0	17,809	15,801	5
93000	Falkland Primary School	1,518,017	456	3,328.98	1,508,264	450	3,351.70	-9,754	0	0	0	-9,754	-13,724	-6
93200	Francis Baily Primary School	1,830,634	538	3,402.66	1,852,692	543	3,411.96	22,058	53,373	23,560	-29,813	-7,755	-16,507	5
99000	John O'Gaunt Community Technology College	1,989,871	348	5,718.02	1,828,643	336	5,442.39	-161,229	13,487	30,755	17,268	-143,961	-83,517	-12
99500	Theale Green Community School	3,330,774	666	5,001.16	2,717,549	537	5,060.61	-613,226	0	0	0	-613,226	-611,358	-129
99900	Trinity School & Performing Arts College	3,965,854	770	5,150.46	3,805,268	740	5,142.25	-160,586	8,177	0	-8,177	-168,763	-171,161	-30
99300	Park House School	3,824,161	771	4,960.00	3,924,020	793	4,948.32	99,859	0	0	0	99,859	108,981	22
99600	The Willink School	4,165,978	858	4,855.45	4,207,767	862	4,881.40	41,789	0	0	0	41,789	16,144	4
98900	Denefield School	4,401,708	884	4,979.31	4,561,017	919	4,963.02	159,308	28,754	0	-28,754	130,555	126,978	35
98800	The Downs School	4,257,919	898	4,741.56	4,265,350	898	4,749.83	7,432	0	0	0	7,432	5,138	0
99800	St. Bartholomew's School	5,915,952	1,248	4,740.35	6,109,197	1,264	4,833.23	193,245	0	0	0	193,245	80,323	16
99200	Little Heath School	6,122,320	1,276	4,798.06	6,211,649	1,281	4,849.06	89,329	0	0	0	89,329	75,912	5
99100	Kennet School	6,694,531	1,373	4,875.84	6,617,821	1,362	4,858.90	-76,710	0	0	0	-76,710	-49,833	-11
	PRIMARY TOTAL	49,909,405	13,038	3,828	50,838,826	13,2								

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Alternative Provision for Young People with Additional Needs - Education Plan: Summary and Full Report

Committee considering report:	Executive
Date of Committee:	19 January 2017
Portfolio Member:	Councillor Lynne Doherty
Date Portfolio Member agreed report:	29 November 2016
Report Author:	Caroline Simmonds
Forward Plan Ref:	EX3164

1. Purpose of the Report

- 1.1 To approve the restructuring of the Pupil Referral Units from two services, Reintegration Service and Alternative Curriculum, into a single service providing Alternative Education Provision. (Final title to be agreed)

2. Recommendations

- 2.1 That the 2 current services, Reintegration Service and Alternative Curriculum should merge to become a single Alternative Education Provision. Reduce the number of sites from 6 – 4, thus reducing duplication of management, building and administrative costs. To provide a single unified service which can offer consistent support and provision for pupils and schools.
- 2.2 To approve the savings that are to be delivered by scaling down the size of the Service from 84 to 66 pupil places thus delivering efficiencies in costs across budget lines, including staffing reductions; and by removing the Council contribution (centrally retained DSG) to the cost of pupil places. All savings will be within the DSG.
- 2.3 The council has traditionally funded places at the PRU's but over time funding has shifted to the schools. The proposal means that the Council will no longer contribute to placements commissioned directly by schools, thus making a saving to the High Needs Block, which will help reduce the pressure in this block.
- 2.4 That the new service commence in September 2017.

3. Implications

- 3.1 **Financial:** The council can no longer afford to deliver Alternative Provision in the same way, therefore funding for the new service will be restructured. The aim of the restructuring is to provide a budget saving to address other high need block pressures while still providing a good education for students out of school. There is a substantial proposed

budget saving which is as yet to be fully quantified.

3.2 Policy:

No policy implications.

3.3 Personnel:

As a result of the amalgamation it is expected that there will be a reduction in the number of staff, this will be based on a structural plan for the AEP developed by the provisional Head designate. In line with policy, there will be a consultation with staff and the unions between January and March 2017. There will then be formal recruitment process, in line with statutory guidance, for the staff from both services and based on their knowledge and skills.

3.4 Legal:

The council is responsible for providing suitable fulltime education for permanently excluded pupils and other pupils who because of illness or other reasons would not receive suitable education, the proposals will not affect the council's ability to meet this requirement. If the amalgamation is approved, a formal application will be made to the DFE for the closure of the Reintegration Service and changes to the Alternative Education including a change of name.

3.5 Risk Management:

The reduction in pupil places could place a pressure on schools and the AEP. However to alleviate this, the service will work in partnership with schools and schools will work in partnership with each other to support and integrate pupils with additional needs. In addition a Pupil Placement Panel will ensure that those pupils most in need are provided with places in the AEP.

The restructuring will lead to a reduction in staffing, there is a possibility that experienced staff might leave during a time of uncertainty. The provisional Headteacher designate and HR are working closely to reduce this risk by keeping the staff informed, involving staff in developing the new structure and ensuring a fair recruitment process.

3.6 Property:

Reduction in the number of sites from 6-4 with the proposal that the PRUs in the 2 shared buildings, which have been deemed by OFSTED as not fit for purpose, are closed. The sites are Moorside Community Centre in Thatcham and Riverside Community Centre in Clay Hill, Newbury. Alternative uses for these assets will be subject to review.

3.7 Other:

A public consultation has been undertaken and in general there was approval for the restructuring of the service, however there was concern expressed at the proposed reduction in places. As a consequence the number of KS4 places has been increased by 10 places from 36 to 46. However, the proposed number of places will be kept under review.

4. Other options considered

- 4.1 We have previously considered leaving the service, which is seen as OFSTED as good, unchanged but this is not financially sustainable in the current climate.

- 4.2 The Management Committee of the two services discussed the possibility of establishing an Academy but voted not to proceed down that route at this stage.
- 4.3 We considered passing all of the funding to schools to deliver Alternative Provision themselves, which would have removed the Council-maintained PRUS, and rely on the use of alternative provision providers from a range of sources. However, it was felt this would not provide the best arrangement for West Berkshire students and would not guarantee meeting the councils statutory duties. This was also the view expressed during the pre-consultation exercise with secondary Headteachers in Summer 2015.

5. Executive Summary

- 5.1 The proposal: To restructure the service for students who the council might become responsible for because of permanent exclusion or the risk of permanent exclusion.

- 5.2 The plan:

Is to change the way in which Alternative Provision is delivered in West Berkshire and for the schools to work in partnership with the new provision to enable students to learn in the setting that best suits them and their needs.

To achieve a DSG budget saving through the restructuring of the existing structure of the Pupil Referral Units. Currently there are 2 separate services Alternative Curriculum and Reintegration Service each of which has a separate DFE number and management structure. We propose that the services are amalgamated to form one Alternative Education Provision with one management team and one DFE number.

To achieve a budget saving by reducing management, staffing and administration costs through efficiencies, removing duplication and integrating service

To reduce the number of PRUs from 6 to 4 and the number of pupil places from 84 – 66 to achieve this, the proposed number of pupil places is.

- Primary 12 – no change from current numbers
- Secondary 46 – an increase of 10 from the original proposal and a reduction of 14 from current numbers
- Post 16 – 8 but as the students are not full time they will be able to support 12 students which is no different from current numbers.

To develop the structure of the proposed service to provide a co-ordinated and continuous service which will best support the needs of the students.

To provide brokerage service for schools to enable them to work with and support each other and the pupils within a mainstream setting.

- 5.3 Consultation:

The Consultation has been comprehensive and documents have been considered by the Joint Strategic Review Group which includes Councillors, mainstream school representatives, Council Officers, the two Headteachers from the current PRUS and the Chair and Vice Chair of the PRU Management Committee. The proposals have

also been considered, through public consultation, by service users or their carers, organisations, staff, Headteachers and schools.

A Joint Strategic Review was established in November 2014 to determine the future of Alternative Provision in West Berkshire.

A pre-consultation exercise was undertaken with secondary Headteachers in the summer 2015 and a paper was brought to The Schools Forum on 25th May 2016 to seek comment and input on the 'Alternative Provision: Education Plan for young people with additional needs'.

The proposals were shared with the staff from the Reintegration Service and Alternative Curriculum at meetings on the 5th July 2016 as the education plan was being published

After these meetings and discussions a formal consultation on Alternative Provision was posted on the West Berkshire website and closed on 27th September 2016 as a result of which some changes were made to the proposal.

A Statutory notice, reflecting these changes, was posted on the West Berkshire website on the 24th October and closed on 21st November 2016 no formal representations were received although two e-mails on the subject were considered.

6. Conclusion

- 6.1 The council can no longer afford to deliver Alternative Provision in the same way, we therefore propose that the current provision for pupils with additional needs should be restructured. We advise that the two existing services should be united to provide one service which would offer a budget saving while still providing a good education for students out of school. The savings will be achieved through a reduction of management, staffing and administration costs through efficiencies, removing duplication and integrating services. In addition the number of units will be reduced from 6 – 4 and pupil places reduced by 14 overall.
- 6.2 The service provided to students will be enhanced through there being a single co-ordinated service with one staffing structure. It will work in partnership with mainstream schools to ensure inclusion and enable students to learn in the setting that best suits them and their needs. The AEP will be proactive when working with schools and pupils and provide a brokerage service for schools so they can work together to meet the requirements of pupils with additional needs.
- 6.3 The proposed Alternative Education Provision will provide a budget saving to the DSG High Needs Block which will help to reduce pressure on this block.

7. Appendices

- 7.1 Appendix A – Consultation Document ' Alternative provision for young people with additional needs' Education Plan.
- 7.2 Appendix B – Feedback on Consultation
- 7.3 Appendix C – Equalities Impact Assessment

Consultation Document

Alternative provision for young people
with additional needs

Education Plan



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INTRODUCTION

Background

1. Some young people resist or are simply not suited to universal educational opportunities and find themselves marginalised from conventional schools. Some are permanently excluded; others simply disengage. Many have Special Educational Needs and Disabilities; some have social, emotional and mental health difficulties; others have challenging home circumstances. Some or all of these difficulties create barriers to accessing mainstream school.
2. West Berkshire Council and its schools are committed to taking collective responsibility for these students, working in partnership to enable students to learn in the setting that best suits them, making sure we keep the young person at the centre of everything we do. The right setting might be mainstream school, special school or alternative education provision, or a combination of these.
3. Making provision for such learners is challenging as each student requires different approaches at different times. All pupils should be helped and encouraged to achieve or exceed the standards of a good education.

Why do things need to change?

4. Like many councils, we have to make difficult decisions about how we spend money. The Schools Forum plays a key role in determining how alternative provision is funded. We can no longer afford to deliver Alternative Provision in the same way. We have explored how we could deliver education to vulnerable pupils differently.
5. We are proposing to change the way we deliver Alternative Provision in West Berkshire. Alternative Provision is currently delivered through the Pupil Referral Unit Service (PRUS).
6. We have built on the good work that our existing PRUS is doing. The PRUS is split into two services, known as the Alternative Curriculum Service and the Reintegration Service. Both are rated “Good” by Ofsted. (See Appendix A).

7. At a high level, we are consulting on a strategic proposal to:
 - Prioritise our resources where we will make the biggest difference to vulnerable pupils/students.
 - Extend the delivery of Alternative Provision by working in partnership with schools and building on their strengths and assets.
 - Contribute to improving the outcomes explained in paragraph 16.
 - Revise the membership and structure of the Management Committee which governs and monitors the Service which delivers alternative education provision.

8. We will not work on the detailed operational plans for the new Service until after a final decision has been made about the strategic direction. This is because the proposal may change as a result of the consultation, and a final strategic decision will not be made until January 2017.

What is Alternative Provision?

9. West Berkshire Council is currently responsible for arranging suitable full-time education for permanently excluded pupils, and for other pupils who – because of illness or other reasons – would not receive suitable education without such provision. This applies to all children of compulsory school age (5-16) resident in West Berkshire. This is called Alternative Provision.

10. When a student receives a fixed-term exclusion of more than five days or a permanent exclusion, the school (in the case of fixed-term exclusion) and the local authority (in the case of a permanent exclusion) must provide alternative education for the student from the sixth day. We provide this more quickly for Looked After Children or young people with Special Educational Needs and Disabilities and those in other vulnerable groups.

11. Statutory guidance¹ says good alternative provision includes:
 - Good academic attainment on par with mainstream schools –particularly in English, Maths and science (including IT) – with appropriate accreditation and qualifications.
 - That the specific personal, social and academic needs of pupils are properly identified and met in order to help them overcome any barriers to attainment.
 - Improved pupil motivation and self-confidence, attendance and engagement with education.
 - Clearly defined objectives, including next steps following the placement such as reintegration into mainstream education, further education, training or employment.

¹ Alternative Provision – Statutory guidance for local authorities, January 2013

Who contributed to this review?

12. A Joint Strategic Review was established to determine the future of Alternative Provision in West Berkshire. The Joint Strategic Review group includes Councillors, mainstream school representatives, Council Officers, the two Headteachers from the current PRUS and the Chair and Vice Chair of the PRUS Management Committee.

What is the Proposal about?

13. Following informal consultation with schools and discussions with the Joint Strategic Review group, we have finalised the proposal:

1. We will work in partnership with schools, and schools will work in partnership with each other, to integrate education for students with additional needs.
2. We will ensure there is sufficient provision for those students who cannot attend mainstream school.
3. We will secure provision for those students that the Council may become responsible for – either because they are permanently excluded from school or to avoid them being permanently excluded. This will be achieved by creating a single Alternative Education Provision Service (AEPS).

14. We're committed to enabling every child and young person in West Berkshire to have the best start in life and the AEPS is a key part of our approach to delivering that commitment.

15. The proposal is built around:

- Extending the delivery of Alternative Provision by working in partnership with schools and building on their strengths and assets. Some vulnerable students will access Alternative Provision at their mainstream school, rather than on an AEPS site. We anticipate that most, if not all, secondary schools will develop some form of alternative provision.
- Delivering a range of positive outcomes through reshaping the service and working with schools to identify strengths and assets which can be developed to provide local solutions for local children.
- Ensure that there is provision for students with additional needs within schools and with other alternative education providers across West Berkshire, whilst retaining some provision on PRUS sites.
- Reducing the proportion of the budget spent on running buildings.
- Reducing management, staffing and administration costs by removing duplication and integrating service delivery.

16. The proposal will contribute to the Council's strategic priorities and to improving the outcomes set out below:

<p>Strategic outcomes</p> <ul style="list-style-type: none">• Reduction in (or eliminate) permanent exclusion at key stages 3 & 4.• Increase attendance.• Improve achievement of academic and vocational qualifications.• Reduce gap in achievement for children in care.• Reduction in pupils missing education.• Reduction in young people not in education, employment or training.• Reduction in substance misuse.• Reduction in offending and anti-social behaviour.• Reduction in teenage pregnancy.• Reduction in child sexual exploitation.	<p>Outcomes for children and young people</p> <ul style="list-style-type: none">• Intervene and offer support early.• Improve attendance.• Improve engagement in learning.• Improve emotional health and well-being including resilience.• Progress in learning.• Attain academic and/or vocational qualifications.• Are kept safe and feel safe.• Successful pathway to follow-on provision• Improve social skills and life-skills.• Improve employability and progression opportunities.
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17. There is a summary of the key points near the end of the document.

What is the shared vision for Alternative Provision?

18. The shared vision (agreed by the Joint Strategic Review) is to offer outstanding Alternative Provision in which each learner:

- *Achieves their highest possible educational outcomes.*
- *Develops a strong positive attitude.*
- *Makes the best possible positive contributions to the launch pad for their chosen future.*

19. *Our team of staff and governors, working collaboratively with our stakeholders, will provide a relevant and holistic curriculum, underpinned by strong leadership and teaching of the highest quality that inspires learners.* The full vision is at Appendix B.

What is the government's vision for Alternative Provision?²

20. The White paper states that [The Government's]...*vision is of a world-leading system of Alternative Provision where the best teachers work with the children who need them most. Mainstream school headteachers will commission expert provision for pupils with needs and behaviour that have become unmanageable within a mainstream setting. So that mainstream headteachers can commission the right services, local authorities will retain a role in ensuring sufficiency of Alternative Provision in their area...*
21. *Alternative Provision will meet defined needs including significant behavioural problems; complex medical or mental health conditions; and extreme vulnerability due to personal and social issues. We will expect the [Alternative Provision] AP provider to work with the mainstream school to put in place a tailored plan for each pupil to support them to achieve the high quality qualifications they need for adult life.*

² Educational Excellence Everywhere – Department for Education, White Paper, March 2016

THE DETAILED PROPOSAL

West Berkshire – the local landscape

22. This proposal aims to contribute to achieving:

West Berkshire Council Corporate Strategy 2015-2019

Aim	Priority for Improvement
Better education communities	Improve educational attainment. Close the educational attainment gap.
Protect and support those who need it	Good at safeguarding children and vulnerable adults.

23. Our role has changed significantly in recent years as schools have become more autonomous. Our core role is to be a champion for children, especially the more vulnerable. Inclusion is at the heart of a school-led system and we encourage schools to accept responsibility for pupil needs. Specialist education provision is managed and supported collectively, and all pupils access education appropriate to their needs. We make sure that schools and other partners are focused on safeguarding and promoting the welfare of children.

24. As at January 2016, there are 25,845 pupils in our schools.

	Boys	Girls	Total
Primary	6,985	6,632	13,617
Secondary	5702	5775	11,477
Special	274	115	389
PRU	50	40	90
Nursery	154	118	272
Total	13,165	12,680	25,845

25. There are 82 schools in West Berkshire:

	Maintained	Academy	Total
Primary	64	2	66
Secondary	4	6	10
Special	2	0	2
PRU	2	0	2
Nursery	2	0	2
Total	74	8	82

26. Based on the total population of pupils:

- The overall school attendance rate was 96.3%.
- 1,783 (6.9%) pupils were eligible for free school meals (and therefore are from a low income family).
- 1,834 (7.1%) pupils have English as an additional language.
- 3,334 (12.9%) pupils have Special Educational Needs and Disabilities.

27. Temporary and permanent exclusions data is collected through the school census. The data below shows all exclusions during the calendar year 2015. There were 968 exclusions in this period: 936 were fixed term exclusions. 773 / 936 fixed term exclusions (82.5%) were from secondary schools. 22 were permanent exclusions and all of these (100%) were from secondary schools. 10 were lunch-time exclusions and 9 / 10 of these (90%) were from primary schools. The reasons for exclusions were:

Reason	Nos.
Bullying	10
Drug & alcohol related	33
Persistent disruptive behaviour	337
Damage	17
Other	99
Physical assault against an adult	65
Physical assault against a pupil	158
Racist	21
Sexual Misconduct	6
Theft	5
Verbal abuse against an adult	178
Verbal abuse against a pupil	39
Total	968

Current capacity

28. The Council and West Berkshire schools/academies are the commissioners of alternative provision in West Berkshire.

29. The council commissions mainly full-time alternative learning for pupils who are permanently excluded from school. It secures provision by either:

- Commissioning places – this includes directly funding places in PRUS, and placing pupils in special schools instead of alternative provision where it is appropriate to do so.
- Procuring Alternative Provision – where the local authority enters into a contract with an independent alternative provider.

30. Schools and academies may commission full-time and part-time alternative provision for pupils both as an alternative to mainstream school and to complement mainstream school (e.g. outdoor activities, or vocational courses). The options for schools to secure provision are to:

- Provide it themselves or enter into an arrangement with another school to do it (i.e. where there is no payment to the other school).
- Procure alternative provision – where the school (or group of schools) enter into a contract and pays an alternative provider or another school to educate the pupil. The provider could be an independent school, independent provider, PRU, alternative learning free school/academy, or another mainstream or specialist school.

31. Provision may be:

- Full-time (long term and revolving door).
- Part-time (long term and revolving door).
- Preventative programmes within schools.

32. Schools use a range of targeted interventions to support students within school. There are also a range of providers providing part-time alternative learning. Most provision is commissioned by schools, often to complement academic studies and these students stay on the school roll. Specialisms and educational focus vary considerably across these provisions. Several have a clear vocational skills focus, others utilise team building and self-esteem development, using sports, physical activity, performing and creative arts, to promote re-engagement with formal teaching and learning.

33. Information about the provision offered by the current PRUS is in Appendix B. The PRUS has its own Management Committee with delegated authority to manage its own budget and staff.

34. The current PRUS is delivered on 6 sites, as shown in Appendix C.

	Site	No of places
Primary	The Oaks, Thatcham	12
Secondary	Badgers Hill, Calcot	60
	Bridgeway, Newbury	
	The Porch, Newbury	
	Kingfisher, Riverside Community Centre, Newbury	
	The Key, Moorside Community Centre, Thatcham	
Post - 16	The Porch, Newbury	12
Total		84

35. Most sites are centred in Thatcham and Newbury, with Badgers Hill located near Reading in the east of the district.

36. The PRUS is also funded (through the Dedicated Schools Grant) to deliver outreach support in schools.
37. Students may come to PRUS for short-term placements (i.e. at The Oaks, Kingfisher, The Key), or for a permanent placement (i.e. The Porch, Bridgeway or Badgers Hill). Therefore, where the placements are short-term, the place at the PRUS (as listed in the table above) could be filled by a number of young people over the course of the school year, as students come and go.
38. There are other providers who can also offer places for students requiring alternative provision. Commissioners of buyers (i.e. schools, the Council) determine the appropriate provider for the student's needs.

Future capacity

39. In considering the blueprint for the future, we have considered:
- A focus on effective assessment and identification of student's needs. This should take place as early as possible and before a young person's behaviour has deteriorated to the extent that permanent exclusion is the only option.
 - Alternative provision is selected to meet students' individual needs, rather than students just being sent to the places that are readily available. Also, in some cases, it will be appropriate to separate students across sites.
 - Information is shared between schools and alternative provision provider and there is ongoing monitoring of progress between the school and the provider. This leads to clear and realistic plans with baselines against which to measure progress (including towards reintegration into mainstream schooling, further education, or employment). Where students have Special Educational Needs and Disabilities, these plans will link to Education, Health and Care Plans.
 - Schools should develop strong relationships with alternative providers and share, rather than shift responsibility for the pupils they are unable to support. This could happen either through commissioning and accountability arrangements or by building school clusters, for example through federations and multi-academy trusts. (See the White Paper comments in paragraph 56).
 - Alternative providers are recognised as partners in delivery and valuable sources of expertise.

40. We want to better integrate mainstream schools, special schools and alternative education provision, including PRUs and independent provision, to share expertise across the system and to identify the right placements to meet individual pupils' needs. Some will remain in mainstream school, some will go to special schools and others may be permanently excluded and placed in a PRU or independent alternative provision.
41. There is shared view about the importance of identifying early any significant concerns about a pupil, carrying out assessments promptly and introducing effective early intervention.
42. The proposal encourages early intervention to reduce the need for alternative provision and to reduce the number of permanent exclusions, but nonetheless it is likely that demand for AEPS will continue. We propose a flexible, expandable model, which can adapt to the highs and lows of demand, and can offer a variety of provision, including outreach and short-term interventions as well as the traditional short-term and long-term placements on AEPS sites.
43. This approach tracks with the government's White Paper³, published in March 2016 (summarised in paragraphs 18 & 19 of this report). The White Paper explains that, in the future:
- We [the Government] will change accountability arrangements so that a pupil's mainstream school will retain accountability for their educational outcomes and will take a lead role in commissioning their provision, including when they have permanently excluded the pupil.*
- As they [schools] will also be responsible for commissioning and accountable for educational outcomes, they will have stronger incentives to take preventative approaches and achieve value for money when identifying the best and most suitable provision for any child that needs it.*
44. In terms of AEPS, the capacity for the future will be as follows. This is a reduction in the number of places for secondary students, from 60 to 36.

	Site	No of places
Primary	The Oaks, Thatcham	12
Secondary	Badgers Hill, Calcot Bridgeway, Newbury The Porch, Newbury	36
Post - 16	Bridgeway, Newbury The Porch, Newbury	12
Total		60

45. The reduction in capacity means that the amount of accommodation that is required is reduced, and therefore we will no longer use Moorside or Riverside Community Centres.

³ Educational Excellence Everywhere – Department for Education, White Paper, March 2016

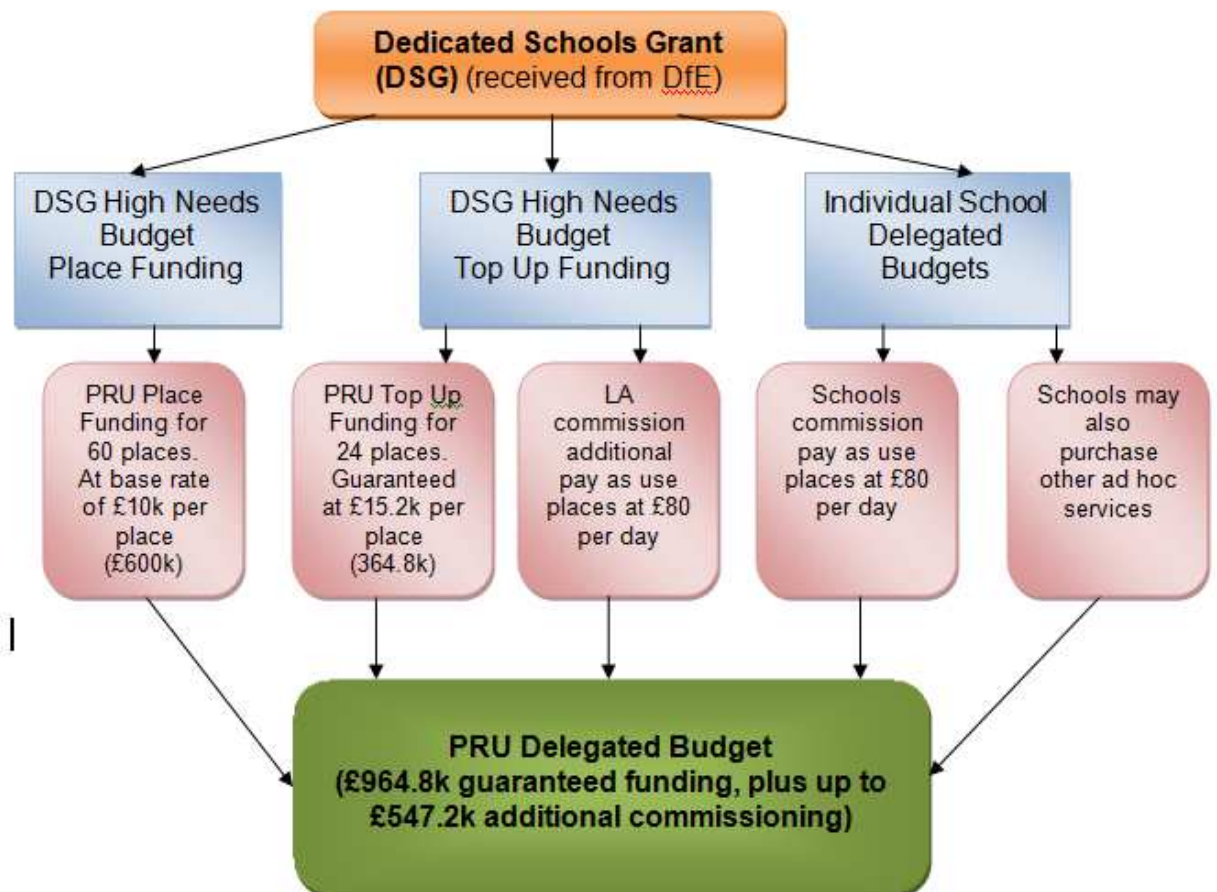
46. Future capacity is based on an analysis of the likely numbers of places we need for Looked After Children, students with Special Educational Needs and Disabilities and permanent exclusion, in order to meet our statutory duty to these young people. There is then a further allowance for schools to commission and the capacity is based on expected levels of demand.
47. In determining the level of provision in the AEPS, we have considered the alternative provision that schools may establish in their schools, and the potential for a range of interventions and approaches, either supported by AEPS or with alternative education providers.
48. Our aim is to ensure that there is sufficient provision within West Berkshire for those students who need additional help and support. This aim will be delivered in partnership with schools, the AEPS and alternative education providers.
49. The proposal provides:
- Further opportunities for schools to be leaders and partners in the designing and commissioning of alternative provision.
 - A greater focus on preventative work in primary schools and transition work between primary and secondary schools, with access to a wider range of support to address behavioural, social and mental health issues.
 - A continued emphasis on the importance of mainstream school attendance and reintegration wherever possible.
 - Closer partnership working between schools on behaviour and vulnerability issues, supported by a skilled workforce.
 - The ability to maintain the important focus on full-time education for students.
50. The proposal will not compromise outcomes for young people, particularly the most disadvantaged, as services will be linked to local need. We are re-shaping the service to meet a complex range of policy, financial and operational challenges, including changes to the funding framework, and to develop a delivery model more able to meet the requirements of schools. We will work with schools to identify strengths and assets which can be developed to provide local solutions for local children.
51. The proposal will rationalise our provision whilst ensuring that our statutory responsibilities are met.

Premises and location

52. We believe that services can be delivered without the need to run an expensive network of buildings. We will reduce building related costs, and reduce management, staffing and administration costs by removing duplication and integrating service delivery. This means the AEPS would be able use more of its budget for services to the most vulnerable pupils/students that need additional help.
53. In terms of AEPS and its dedicated provision, the number of sites will be reduced from 6 sites (see Appendix C) to 4 sites.
54. The existing purpose-built primary provision at The Oaks in Thatcham will be retained.
55. Secondary provision will continue to be provided at Badgers Hill, Calcot; Bridgeway, Newbury and The Porch, Newbury.
56. We will retain provision in the east of the district. The site at Badger's Hill is leased from Tilehurst Parish Council. For this site to continue beyond the current lease, the Parish Council has indicated that capital works would be needed. We need accommodation in the east. This could be either at Badgers Hill (under lease from the Parish Council) or within alternative accommodation.
57. Post-16 provision will be delivered across the two Newbury sites: Bridgeway, Newbury and The Porch, Newbury.
58. The provision at Riverside Community Centre and Moorside Community Centre will be de-commissioned. These are 'community' buildings and we will consider the most appropriate use for the buildings going forwards, in discussion with the relevant community.
59. Of course, the proposal also includes provision for students with additional needs within schools and with other alternative education providers, so there would be a network of Alternative Provision in many sites across West Berkshire.

Funding

60. The cost of Alternative Provision is mostly met from the Government funding received for the high needs block of the Dedicated Schools Grant (DSG). This funding is ring fenced and cannot be used for any other purpose than set out in the School Finance Regulations.
61. For each place the AEPS would receive the Base Rate (currently £10k p.a). We will provide 60 places at the AEPS, funded at the Base Rate. Places in the AEPS would be funded through the High Needs Funding Block.
62. Where the pupil/student has additional needs not covered by the Base rate, then a Top-Up payment is made. The Rates for Top-Ups are determined by the Schools Forum. This is a daily rate, which is then multiplied by the number of days that the student is being educated by the AEPS.
63. We will implement a Reserved Quota, securing a guaranteed number of places for the Council to use for Looked After Children, children with Special Educational Needs and Disabilities and permanent exclusions. We will provide the Top-Up funding for the Reserved Quota, to be met from the High Needs funding block.
64. Where we require additional places for Looked After Children or children with Special Educational Needs and Disabilities above our Reserved Quota, and there are Non-Reserved places available, we will pay the Top-Up. If the Non-Reserved provision is full, we will commission places with an alternative education provider, based on the student's needs.
65. For other non-reserved places, the AEPS will receive the Top-Up from the commissioning school.
66. The diagram overleaf explains the way the funding flows.



67. The AEPS may also focus on providing services to schools, including Outreach services. This would provide additional income for the AEPS.

68. The table shows an example of how the number of places could be split between Reserved and non-reserved places, although the Council’s drawdown of its Reserved Quota may be more flexibly applied based on the needs of individual students:

	Reserved Quota	Non-reserved quota
Primary	6	6
Secondary	12	24
Post - 16	6	6
Total	24	36

69. The implementation of the Reserved Quota provides a guaranteed base budget for AEPS.

70. We will review the level of the Reserved Quota in advance of budget setting for the following financial year and write to the AEPS if we want to make changes (increase/ decrease).

71. The government is exploring a national funding formula and therefore, the way in which AEPS is funded in the future may change. It appears that the commissioners of Alternative Provision places will be responsible for funding and therefore schools commissioning places will need to pay for Top Ups from their budget. Schools funding will be as per the new national formula, with no local flexibility.
72. We have looked at the current levels of income and expenditure and built a cost model for the AEPS. The new cost model also removes the subsidy which currently exists for places in the PRUS. For the AEPS, the cost of placing a student will be the same for the Council and for schools. We are satisfied that the overall structure we are proposing is fit for purpose going forward, whilst delivering financial savings. The likely savings are:

Summary of Savings	
Reduction in annual expenditure (compared to 2015/16)	Full year effect - £1,138,878 2017/18 financial year - £664,345 2018/19 financial year - £474,533
Reduction in annual Top Up rate (paid by whoever commissions the place (Council or school))	£4,418 per place (reduction of £23 per school day)
Savings in the High Needs Funding Block will be:	£819,913 2017/18 financial year - £478,283 2018/19 financial year - £341,630

Teaching and Learning

73. AEPS would determine curriculum provision, based on the needs of the students and the needs of the commissioning schools, managing the curriculum provision within the available budget. This could include flexible provision and outreach work.
74. Capacity is based on an outline staffing ratio of one teacher to 6 students, although this could be flexibly applied, based on the needs of the students.
75. Students benefit from personalised time-tabling, and a combination of on-site and off-site activities. Careful planning of the AEPS provision will ensure that vulnerable students are appropriately catered for.
76. We expect the good standard of the current PRUS provision could be maintained, and even exceeded, in the new plan. The AEPS would be subject to Ofsted Inspection.

Monitoring and Governance

77. The AEPS would be accountable to its Management Committee. The PRUS already has a Management Committee and this will continue into the new AEPS Service, but with a revised constitution and membership.
78. It is expected that our secondary schools would have a higher profile on the AEPS Management Committee, due to their enhanced role in delivering local in-house provision for some pupils.
79. Over time, there could be a formal 'commissioning group of Headteachers' who directly influenced the size and costs of the AEPS. This would be particularly relevant when the AEPS is required to operate within a demand-led, market-driven environment.

Staffing

80. We believe that management, staffing and administration costs can be reduced by removing duplication and integrating service delivery. The current PRUS comprises 2 schools, each with a Headteacher, delivering the service on 6 sites. The AEPS will comprise a single school, with a single Headteacher, delivering the service on 4 sites.
81. An outline staffing structure has been used to establish that the funding rationale (as described in the Funding section) is sufficient to cover the base budget.
82. The AEPS would determine staffing structures based on the needs of the students, within their budget, in the same way as other schools do. We believe that the proposal will result in an overall reduction in staffing numbers. Once the plan has been finalised, there will be a formal consultation process with staff and Trades Unions about staffing structures. This is due to begin in January 2017.
83. The line management of the Home Education Service currently sits with the PRUS. We propose that we will manage the Home Education Service in the future, and it would not be part of the new AEPS.
84. The Council's Behaviour Support Service is outside of the scope of the proposals.

SUMMARY: KEY POINTS OF THE PROPOSAL

85. The key points are:

- West Berkshire Council and its schools are committed to taking collective responsibility for students with additional needs, working in partnership to enable students to learn in the setting that best suits them.
- We need to change the way we deliver Alternative Provision in West Berkshire as we can no longer afford to deliver this in the same way.
- Alternative Provision is currently delivered through the Pupil Referral Unit Service (PRUS).
- We will not compromise outcomes for young people, particularly the most disadvantaged, and we will keep the young person at the centre of everything we do.
- We will ensure there is the right provision for those students who cannot attend mainstream school, with a personal focus on their individual needs.
- We will work in partnership with schools, and schools will work in partnership with each other, to integrate education for students with additional needs.
- Together, we will contribute to delivering a range of positive student outcomes.
- We will secure provision for those students that the Council may become responsible for – either because they are permanently excluded from school or to avoid them being permanently excluded.
- We will create the new Alternative Education Provision Service (AEPS), which will be accountable to a Management Committee. The AEPS will comprise a single school, with a single Headteacher, delivering the service on 4 sites.
- We will retain the people, skills and expertise necessary to deliver a good quality AEPS service, building on the quality provided by the existing PRUS.
- We have also taken account of the alternative provision that schools may establish and the potential for a range of interventions and approaches, either supported by AEPS or with alternative education providers. We anticipate that most, if not all, secondary schools will develop some form of alternative provision.
- We will reduce the number of places, buildings and staff at the AEPS compared to the current PRUS. This is because the new plan will be delivered in partnership with schools, the AEPS and alternative education providers. This change will make the AEPS financially sustainable and deliver savings for the Council and schools.
- We propose to directly manage the Home Education Service from September 2017.
- The Behaviour Support Service is outside of the scope of the proposals.

APPENDIX A - Pupil Referral Unit Service (PRUS)

The PRUS is split into two Services:

The Alternative Curriculum Service - a pupil referral unit for students between the ages of 14 and 19. Students are referred to the unit from schools across West Berkshire because they are at risk of being excluded or have been permanently excluded from mainstream secondary schools. Some students have had their secondary schooling severely disrupted for a variety of reasons and are referred directly by the local authority.

The Alternative Curriculum was inspected in February 2015 and graded as a Good school. Ofsted said:

- *The Leadership and management are good.*
- *Teaching is very well led...the quality of teaching is good.*
- *Students behaviour, attendance, and progress is good...and very effectively monitored*
- *Parents and carers...greatly value the commitment of staff and the range of opportunities available.*

Locations: The Porch, Badger's Hill and Bridgeway (see Appendix C)

The Reintegration Service - provides short-term placements for students who do not have a place in a mainstream school, the reasons for which include fixed-term and permanent exclusions, but might also be for a variety of reasons such as a student in the care of the local authority arriving in the area without a school place, or a student waiting for a specialist place to become available. The Oaks is for primary-aged learners, Kingfisher (at Riverside Community Centre) covers Key Stage 3, with The Key (at Moorside Community Centre) being for students at Key Stage 4. The Home Education service is a separate part of the service working with students of school age who are unable to attend school for medical reasons, which include mental health issues.

The Reintegration Service was inspected in June 2014 and graded as a Good school. Ofsted said:

- *The headteacher and other leaders work well together in a service that is committed to providing the best possible education for students.*
- *The effectiveness of spiritual, moral, social and cultural provision is reflected in the fact that students develop much better social skills and attitudes.*
- *The focus is always on meeting the needs of students.*
- *Parents and carers are very positive about the service, particularly liking the regular contact so that they know how their children are getting on.*

Locations: The Oaks, Kingfisher, and The Key (see Appendix C)

APPENDIX B – The Shared Vision

By 2018 we will be able to say that:

We offer outstanding alternative educational provision in which each of our learners:

- Achieves their highest possible educational outcomes.
- Develops a strong positive attitude.
- Makes the best possible positive contributions to the launch pad for their chosen future.

Delivering the Vision

Our team of staff and governors, working collaboratively, with our stakeholders, will provide a relevant and holistic curriculum, underpinned by strong leadership and teaching of the highest quality that inspires learners.

Our team will:

- Teach, challenge and encourage our learners to meet and exceed target grades in all their subjects.
- Provide a relevant and holistic curriculum that enables learners to achieve nationally recognised qualifications.
- Ensure high levels of numeracy, literacy and communication skills for every learner.
- Engender a strong sense of personal responsibility and respect for others.
- Make effective use of data to drive self-evaluation and improvement of learner outcomes.
- Be passionate about focusing energies, technology and other resources to create and maintain an engaging learning environment appropriate to each learner and each subject.
- Be passionate about learning and the creation of a positive learning ethos and culture that fosters key life skills, including independence, communication, resilience, flexibility, integrity and self-discipline.
- Place our provision in the top 10% nationally on average data for achievement of value added outcomes.

We will rely on

- All team members – learners, staff, governors and stakeholders, having clear accountabilities.
- Parents and carers being well informed and engaged with our provision.

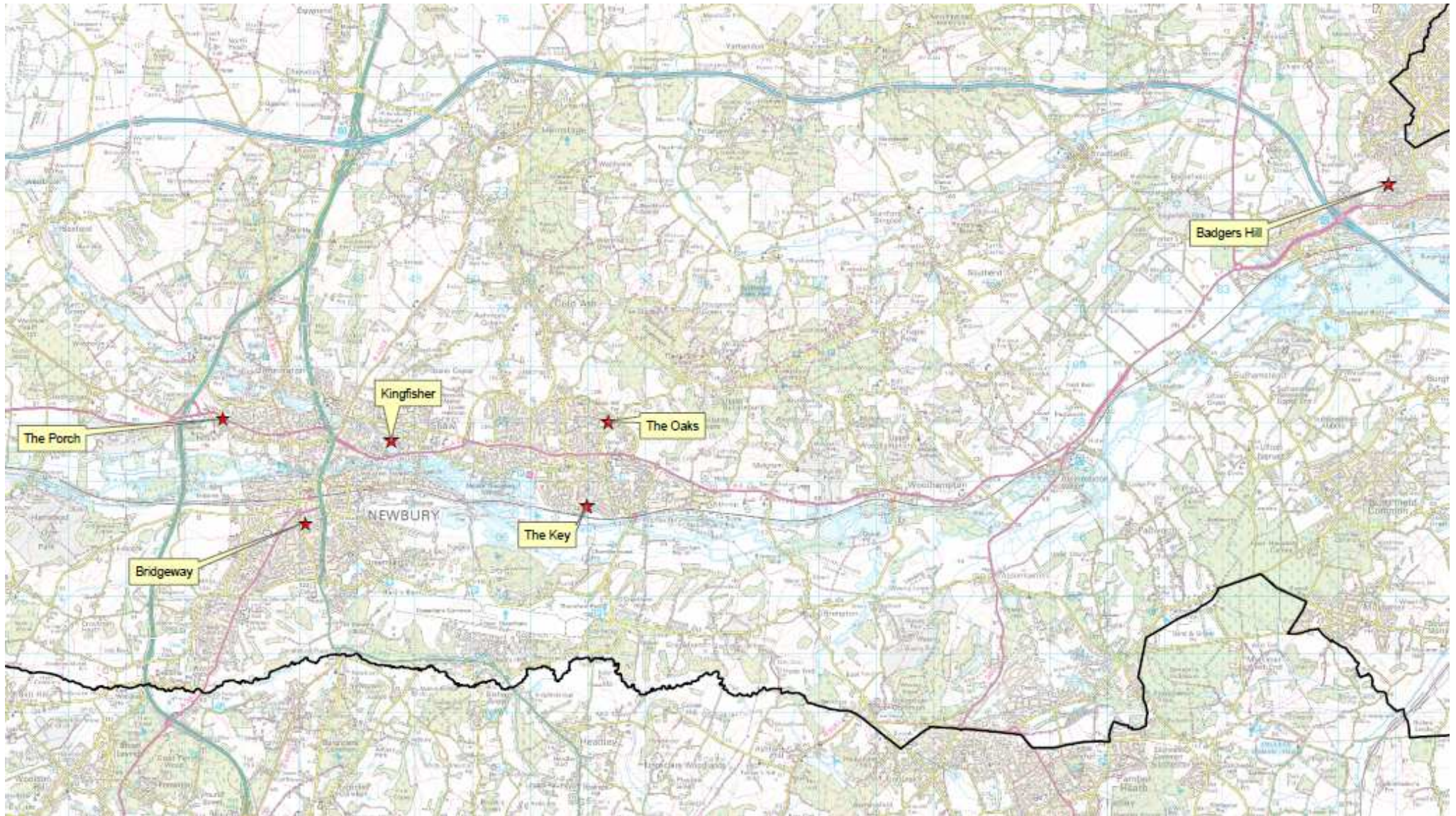
Our culture and ethos

- Help every learner do the very best they can.
- Inspire students and staff alike.
- Actively engage all our stakeholders.
- Works constantly to meet the needs of current and future learners.

Above all...

We are a vibrant community to which learners, staff and governors are proud to belong.

APPENDIX C – Map of Alternative Educational Provision Buildings – as at July 2016



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Appendix B.

Feedback on consultation on the Education Plan for Alternative Provision for JSR.

The consultation was posted on the West Berkshire website. 45 responses have been received of those 13 were either service users or someone who cares for a service user and 28 were non service users. 4 did not state their relationship.

In addition, to ensure that the voice of the child was heard six young people were interviewed and asked 'what has the Reintegration Service and Alternative curriculum done for you'?

The table below gives a breakdown of the responses to the questions and the percentage of support or otherwise for each of the 6 main questions.

	Strongly agree –	Agree –	Neither agree nor disagree –	Disagree –	Strongly disagree –	Don't know –	Total	Weighted Average –
–								
A network of providers offering alternative provision for vulnerable students Comments (28)	38.71% 12	16.13% 5	12.90% 4	16.13% 5	16.13% 5	0.00% 0	31	2.55
–								
Amalgamate the 2 existing services into a single service Comments (30)	12.50% 4	28.13% 9	9.38% 3	15.63% 5	34.38% 11	0.00% 0	32	3.31
–								
Reduce the number of on-site places for secondary-aged students in the Alternative Education Provision Service (AEPS) to 36 (from 60 in the current schools) Comments (31)	0.00% 0	3.13% 1	6.25% 2	21.88% 7	65.63% 21	3.13% 1	32	4.59
–								
Reduce the number of sites from 6 sites to 4 sites (in the new AEPS) Comments (29)	12.50% 4	18.75% 6	21.88% 7	9.38% 3	31.25% 10	6.25% 2	32	3.47
–								
Reduce the management, staffing and administration costs through efficiencies, by removing duplication and integrating service delivery within the new AEPS Comments (26)	16.67% 5	36.67% 11	10.00% 3	13.33% 4	20.00% 6	3.33% 1	30	2.93
–								
The LA will directly manage the Home Education Service as part of its ongoing statutory functions Comments (26)	19.35% 6	16.13% 5	16.13% 5	9.68% 3	25.81% 8	12.90% 4	31	3.45

The detail for each section is set out below:

Network of providers for Alternative Provision

Responses to this question often focused on mainstream schools and if they could meet the needs of these pupils they did not consider a broader range of providers. However, where alternative providers were considered concerns were expressed that there may not be sufficient providers to meet the needs of vulnerable pupils.

Some responses focused on the Reintegration Service and how it has been able to respond to young people and their needs and the fact that the Reintegration Service has been full to capacity.

As a result of the consultation no specific action or changes were planned to the proposal.

Amalgamate two existing services into a single service

The responses to this question focused on three main areas: firstly, that the two schools provide different services and meet the needs of different groups of pupils and how this would be catered for under the proposed structure. Secondly there was support for the amalgamation of the services though several of the comments came with a caveat which related to pupil places and buildings. Finally there was strong representation from the survey and direct communication from secondary school Headteachers, expressing their concern about the proposed reduction in pupil places.

As a result of the consultation the Education Service will consider the comments and review the number of places.

Reduce the number of on-site places for secondary-aged students in the Alternative Education Provision (AEP) to 36 (from 60 in the current schools)

The majority of the responses to this section cautioned against a reduction in places within the service especially if the service is not involved with brokerage. However, there was a view that it would be better for pupils to stay in mainstream school if they have the facilities and trained staff to meet their needs. Any reduction in places should not result in a reduction to the breadth of support and solutions provided.

As a result of the consultation The Education Service will consider the number of places that the new service offers in the light of the clear view that places should not be reduced.

Reduce the number of sites from 6 sites to 4 sites (in the new AEP)

There is general agreement that the number of sites should be reduced, however there is also some pressure for purpose-built facilities and for the sites chosen for closure to be reconsidered. There are also some comments relating to the reduction of sites leading to the reduction of places. The ability to access the buildings on public transport is seen as a central feature in choosing which buildings to retain.

As a result of the consultation the number of sites will reduce from 6-4, but the actual sites for closure to be further reviewed.

Reduce the management, staffing and administration costs through efficiencies, by removing duplication and integrating service delivery within the new AEP

Many of the respondents believed that reviewing the budget was good and that staffing could be reduced. Several reasons were given: the reduction in students, the reduction of sites and the removal of duplication. However the need for pupil places to be maintained was raised. There was strong pressure for there to be a single site or for some bits of the service to move into a new site. This was seen as reducing duplication. Anxiety was expressed that as two of the Reintegration Service's buildings were proposed for closure and the way the consultation has been structured that the Reintegration Service staff might face redundancy and job loss.

As a result of the consultation and once the new structure has been developed and been consulted on, the service will ensure a fair recruitment process in line with statutory guidance, will be undertaken. This process will be the same for all staff from both branches and will be based on the knowledge and skills of the staff and not where they currently work.

The LA will directly manage the Home Education Service as part of its ongoing statutory functions

Some respondents felt the Home Education Service should remain as part of the new AEP or attached to a school, giving staff who are working in the service greater access to curriculum, resources and training. Moving the service to be managed directly by the Local Authority as an ongoing statutory function was not seen as providing a cost saving or any other significant benefit.

As a result of the consultation Home Education will remain as part of the new Alternative Education Provision service for 2017/18 but may be reviewed again to ensure efficient use of resources and best outcomes for young people.

Other comments and proposals

Suggestions for making significant savings:

The responses in this section focus mostly on the buildings with the recommendation to sell one of the existing buildings and use the money to develop Moorside. One asked why consideration had not been given to the creation of a multi academy trust from the two current services (though the new entity would only be one school).

How might the proposals impact on people?

This section gave respondents the opportunity to express their concern for pupils and staff and the broader community. The reduction in PRU places is seen as likely to be detrimental to young people, their families, mainstream schools and put pressure on community services such as: police, YOT, Fire Service, Community Wardens, PCSO's, Social Services, CAMH's and Health Services.

How can we reduce any possible impact on those affected?

Again this section focuses on the staff, students, mainstream schools and community services. There is advice that the number of places should not be reduced but if the process continues any savings should be redirected to community services and to reinstate some of the services already lost such as Connexions, The Edge and youth services. With a recommendation for closer working between the service, Children's Services and schools with disadvantaged and LAC pupils.

How can your organisation contribute to alleviating the impact?

The YOT and IYSS will continue work with providers and schools to give support and assistance as required and Newbury College which is already registered to work with KS4, will be pleased to work with a partnership of providers. The Secondary Heads will collaborate to make the new system work and support the new Headteacher.

Other suggestions:

One comments, 'why mend something when it is not broken,' and another urges a focus on the young people rather than money and raises the possible impact on the community of young people out of education. There is a proposal to invest in a special school to save expenditure on out of county placements and a recommendation that Moorside should be passed to Thatcham Youth.

Caroline Simmonds 04/11/2016

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Appendix C

Equality Impact Assessment - Stage One

We need to ensure that our strategies, policies, functions and services, current and proposed have given due regard to equality and diversity.

Please complete the following questions to determine whether a Stage Two, Equality Impact Assessment is required.

Name of policy, strategy or function:	Alternative Provision for young people with additional needs – Education Plan.
Version and release date of item (if applicable):	
Owner of item being assessed:	Caroline Simmonds
Name of assessor:	Caroline Simmonds
Date of assessment:	24/11/16

Is this a:		Is this:	
Policy	No	New or proposed	Yes
Strategy	Yes	Already exists and is being reviewed	Yes
Function	No	Is changing	Yes
Service	Yes		

1. What are the main aims, objectives and intended outcomes of the policy, strategy function or service and who is likely to benefit from it?	
Aims:	To re-design alternative provision, maintaining a focus on quality of delivery and the needs of the young people, whilst delivering a financially sustainable model for the future. We are re-shaping the service to meet a complex range of policy, financial and operational challenges, including changes to the funding framework, and to develop a delivery model more able to meet the requirements of schools.
Objectives:	Extending the delivery of Alternative Provision by working in partnership with schools and building on their strengths and assets. Some vulnerable students will access Alternative Provision at their mainstream school, rather than on an AEPS site.

	<p>2. Delivering a range of positive outcomes through reshaping the service and working with schools to identify strengths and assets which can be developed to provide local solutions for local children.</p> <p>3. Delivering a financially sustainable model for the future by reducing the proportion of the budget spent on running buildings and reducing management, staffing and administration costs by removing duplication and integrating service delivery.</p>
<p>Outcomes:</p>	<p>We want to better integrate mainstream schools, special schools and alternative education provision, including PRUs and independent provision, to share expertise across the system and to identify the right placements to meet individual pupils' needs. Some will remain in mainstream school, some will go to special schools and others may be permanently excluded and placed in a PRU or independent alternative provision. We will ensure that there is sufficient provision within West Berkshire for those students who need additional help and support.</p> <p>The Plan will not compromise outcomes for young people, particularly the most disadvantaged, as services will be linked to local need.</p> <p>We will work with schools to identify strengths and assets which can be developed to provide local solutions for local children.</p>
<p>Benefits:</p>	<p>Greater opportunities for schools to be leaders and partners in the designing and commissioning of alternative provision</p> <ul style="list-style-type: none"> • A greater focus on preventative work in primary schools and transition work between primary and secondary schools, with access to a wider range of support to address behavioural, social and mental health issues. • A continued emphasis on the importance of mainstream school attendance and reintegration wherever possible • Closer partnership working between schools on behaviour and vulnerability issues, supported by a skilled workforce. • The ability to maintain the important focus on fulltime education for students.

2. Note which groups may be affected by the policy, strategy, function or service. Consider how they may be affected, whether it is positively or negatively and what sources of information have been used to determine this.

(Please demonstrate consideration of all strands – Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion or Belief, Sex and Sexual Orientation.)

Group Affected	What might be the effect?	Information to support this
Age	<p>The current PRUs provide alternative provision for primary, secondary and post-16 students. The coverage across the age spectrum is retained in the proposed AEPS Positive Effect</p> <p>The number of places for secondary students is reduced in line with a new delivery model. Potential for negative effect</p>	<p>West Berkshire Council is currently responsible for arranging suitable full-time education for permanently excluded pupils, and for other pupils who – because of illness or other reasons – would not receive suitable education with out such provision. This applies to all children of compulsory school age (5-16) resident in West Berkshire.</p>
Disability	<p>The proposal recognises the Council’s responsibilities and has specifically retained a guaranteed number of places (Reserved Quota) for Looked After Children or young people with Special Educational Needs and Disabilities and those in other vulnerable groups. The proposal also makes provision for the Council to purchase additional places above the Reserved Quota if needed. In addition, by working with mainstream schools and other providers, the Council could procure alternative provision outside of AEPS if this was the right solution for an individual student.</p>	<p>West Berkshire Council is currently responsible for arranging suitable full-time education for permanently excluded pupils, and for other pupils who – because of illness or other reasons – would not receive suitable education without such provision. This applies to all children of compulsory school age (5-16) resident in West Berkshire.</p> <p>When a student receives a fixed-term exclusion of more than five days or a permanent exclusion, the local authority must provide alternative</p>

	The Council has stated its commitment to enable students to learn in the setting that best suits them, making sure the young person is at the centre of everything we do. The right setting might be mainstream school, special school or alternative education provision, or a combination of these.	education for the student from the sixth day. We provide this more quickly for Looked After Children or young people with Special Educational Needs and Disabilities and those in other vulnerable groups.
Gender Reassignment - Marriage and Civil Partnership - Pregnancy and Maternity - Race - Religion and Belief - Sex - Sexual Orientation	This may be a factor for an individual student, and would be covered by the commitment to enable students to learn in the setting that best suits them, making sure the young person is at the centre of everything we do.	
Further Comments relating to the item:		

3. Result	
Are there any aspects of the policy, strategy, function or service, including how it is delivered or accessed, that could contribute to inequality?	Yes
Will the policy, strategy, function or service have an adverse impact upon the lives of people, including employees and service users?	No
<p>The proposal will affect employees in terms of a future staff re-structuring which will include a reduction in staffing. However, at this stage, while the structure for the new service is in development, the Plan may change and evolve over time. The plan will be influenced by feedback from corporate decision making and the staff consultation which will take place from January. Therefore, there is no direct impact at this point in the process for staff until the final decision is made.</p> <p>Students could be affected but the focus of the proposal is on considering the individual needs of the student, and creating personalised timetabling and education provision to support their specific needs, which will include mainstream and alternative providers.</p>	

If your answers to question 2 have identified potential adverse impacts and you have answered 'yes' to either of the sections at question 3, or you are unsure about the impact, then you should carry out a Stage 2 Equality Impact Assessment.

If a Stage Two Equality Impact Assessment is required, before proceeding you should discuss the scope of the Assessment with service managers in your area. You will also need to refer to the Equality Impact Assessment guidance and Stage Two template.

4. Identify next steps as appropriate:	
Stage Two required	Yes
Owner of Stage Two assessment:	Caroline Simmonds
Timescale for Stage Two assessment:	28/11/16
Stage Two not required:	

Name: Caroline Simmonds

Date: 24/11/16

Please now forward this completed form to Rachel Craggs, the Principal Policy Officer (Equality and Diversity) for publication on the WBC website.

Equality Impact Assessment Template – Stage Two

Please complete this template if completion of the Stage 1 template has identified that a full Equality Impact Assessment (EIA) is required.

Before proceeding with this EIA, you should discuss the scope of the analysis with service managers in your area and you will need to refer to the equality impact assessment guidance. A couple of examples of Stage 2 EIAs are provided as an appendix to the guidance.

Name of item being assessed:	Alternative Provision for young people with additional needs – Education Plan
Version and release date of item (if applicable):	Version 2
Budget Holder for item being assessed:	Cathy Burnham
Name of assessor:	Caroline Simmonds
Name of Service & Directorate	Education, Communities
Date of assessment:	24/11/16
Date Stage 1 EIA completed:	24/11/16

Any actions identified whilst completing this EIA should be recorded in the Action Plan at Step 7.

STEP 1 – Scoping the Equality Impact Assessment

1. What data, research and other evidence or information is available which will be relevant to this Equality Analysis? Please tick all that apply.			
Service Targets		Performance Targets	
User Satisfaction		Service Take-up	x
Workforce Monitoring		Press Coverage	
Complaints & Comments		Census Data	
Information from Trade Union		Community Intelligence	
Previous Equality Impact Analysis	x	Staff Survey	
Public Consultation	x	Other (please specify)	
		<ul style="list-style-type: none"> • OFSTED • White Paper • LCSB Audit 	

2. Please summarise the findings from the available evidence for the areas you have ticked above.	
<p>The PRUs are inspected by Ofsted and both are judged to be Good. The PRUs are well-used by West Berkshire schools.</p> <p>Statutory guidance explains what good alternative provision must look like and the proposals take account of these expectations.</p> <p>The proposals track with the aspirations of the government White Paper - Educational Excellence Everywhere (Department for Education, White Paper, March 2016).</p> <p>In December 2015 West Berkshire LSCB Board conducted a multi-professional audit of school exclusions in West Berkshire occurring during the period September 2015 and December 2015.</p> <p>There was an excellent range of partner agency contributions. The audit recognised the value that alternative provision provided, and also made recommendations on how the service could be further developed to meet the needs of schools and young people. The findings of the audit are in line with the direction of travel outlined in the Alternative Provision Education Plan.</p> <p>The paper was developed after a Joint Strategic Review was established and after a pre consultation with Headteachers. A public consultation has taken place and the plan amended to reflect the views this mostly relates to an increase in the number of pupil places in the proposed service. A Statutory Notice has been published and received no formal responses. The paper was also shared with staff prior to consultation.</p>	
3. If you have identified any gaps in the evidence provided above, please detail what additional research or data is required to fill these gaps? Have you considered commissioning new data or research eg a needs assessment?	
If 'No' please proceed to Step 2.	
No	

STEP 2 – Involvement and Consultation

1. Please outline below how the findings from the evidence summarised above when broken down, will affect people with the 9 protected characteristics. Where no evidence is available to suggest that there will be an impact on any specific group, please insert the following statement '<i>There is no evidence to indicate that there will a greater impact on this group than on any other.</i>'	
Target Groups	Describe the type of evidence used, with a brief summary of the responses gained and links to relevant documents

<p>Age – relates to all ages</p>	<p>West Berkshire Council is currently responsible for arranging suitable fulltime education for permanently excluded pupils, and for other pupils who – because of illness or other reasons – would not receive suitable education without such provision. This applies to all children of compulsory school age (5-16) resident in West Berkshire.</p> <p>The current PRUs provide alternative provision for primary, secondary and post -16 students. The coverage across the age spectrum is retained in the proposed AEPS. Positive Effect</p> <p>The number of places for secondary students is reduced. Potential for a negative effect.</p> <p>Actions to mitigate impact As a result of the consultation we have increased the secondary pupil places by 10. We are working with schools to develop alternative provision in mainstream school settings, and also considering the use of other providers, where it is appropriate to do so. West Berkshire will have a broader range of provision to meet the varying needs of students.</p> <p>In addition, the new service will be remodelling its delivery to ensure appropriate and sufficient secondary provision.</p>
<p>Disability - applies to a range of people that have a condition (physical or mental) which has a significant and long-term adverse effect on their ability to carry out 'normal' day-to-day activities. This protection also applies to people that have been diagnosed with a progressive illness such as HIV or cancer.</p>	<p>West Berkshire Council is currently responsible for arranging suitable fulltime education for permanently excluded pupils, and for other pupils who – because of illness or other reasons – would not receive suitable education without such provision. This applies to all children of compulsory school age (5-16) resident in West Berkshire. Positive Effect</p> <p>When a student receives a fixed-term exclusion of more than five days or a permanent exclusion, the school (in the case of fixed-term exclusion) and</p>

	<p>the local authority (in the case of a permanent exclusion) must provide alternative education for the student from the sixth day. We provide this more quickly for Looked After Children or young people with Special Educational Needs and Disabilities and those in other vulnerable groups.</p> <p>Positive Effect</p> <p>The Council’s commitment to enable students to learn in the setting that best suits them, making sure the young person is at the centre of everything we do. The right setting might be mainstream school, special school or alternative education provision, or a combination. Positive Statement</p> <p>The number of places for secondary students is reduced however it has been increased as a result of the consultation by 10 (from 36 – 46). Potential for a negative effect.</p> <p>Actions to mitigate impact</p> <p>The number of pupil places has been increased by 10 for secondary aged pupils.</p> <p>The proposal recognises the Council’s responsibilities and has specifically retained a guaranteed number of places (Reserved Quota) for Looked After Children or young people with Special Educational Needs and Disabilities and those in other vulnerable groups. The proposal makes provision for the Council to purchase additional places above the Reserved Quota if needed. By working with mainstream schools and other providers, the Council could procure alternative provision outside of AEPS if this was the right solution for an individual student.</p> <p>The proposal recognises the role of secondary Headteachers as commissioners of provision from a variety of providers.</p>
<p>Gender reassignment - definition has been expanded to include people who chose to live in the opposite gender to the gender assigned to them at birth by removing the previously legal requirement</p>	<p>This may be a factor for an individual student, and would be covered by the commitment to enable students to learn in the setting that best suits them, making sure the young person</p>

for them to undergo medical supervision.	is at the centre of everything we do.
Marriage and Civil partnership – protects employees who are married or in a civil partnership against discrimination. Single people are not protected.	This may be a factor for an individual student, and would be covered by the commitment to enable students to learn in the setting that best suits them, making sure the young person is at the centre of everything we do.
Pregnancy and Maternity - protects against discrimination. With regard to employment, the woman is protected during the period of her pregnancy and any statutory maternity leave to which she is entitled. It is also unlawful to discriminate against women breastfeeding in a public place	This may be a factor for an individual student, and would be covered by the commitment to enable students to learn in the setting that best suits them, making sure the young person is at the centre of everything we do.
Race - includes colour, caste, ethnic / national origin or nationality.	This may be a factor for an individual student, and would be covered by the commitment to enable students to learn in the setting that best suits them, making sure the young person is at the centre of everything we do.
Religion and Belief - covers any religion, religious or non-religious beliefs. Also includes philosophical belief or non-belief. To be protected, a belief must satisfy various criteria, including that it is a weighty and substantial aspect of human life and behaviour.	This may be a factor for an individual student, and would be covered by the commitment to enable students to learn in the setting that best suits them, making sure the young person is at the centre of everything we do.
Sex - applies to male or female.	This may be a factor for an individual student, and would be covered by the commitment to enable students to learn in the setting that best suits them, making sure the young person is at the centre of everything we do.
Sexual Orientation - protects lesbian, gay, bi-sexual and heterosexual people.	This may be a factor for an individual student, and would be covered by the commitment to enable students to learn in the setting that best suits them, making sure the young person is at the centre of everything we do.

2. Who are the main stakeholders (eg service users, staff etc) and what are their requirements?

The main stakeholders are **young people aged 5-16** resident in West Berkshire. We also support some post-16 students. There is a clear focus on considering the individual needs of the student, and creating personalised timetabling and education provision to support their specific needs.

Staff are another stakeholder group, as are **parents/carers**.

3. How will this item affect the stakeholders identified above?

Young people aged 5-16 and their parents/carers: The focus on the individual needs of the young person remains. This is not changing. However, the method of delivery a personalised timetable and education provision may change. This could be because:

- the provider is different (the provider could be AEPS, a school, another alternative provider),
- the location is different (the location could be within a mainstream school, or on a different AEPS site, or at the location of an alternative provider).
- The provision may be different (there are many approaches to support a young person. It is not one size fits all, and different providers may offer different personalised solutions).

Staff: The proposal will affect employees in terms of a future staff re-structuring. However, the new structure will not be finalised until after the council committee processes are complete and the plan may change and evolve over time, as it is influenced by feedback.

STEP 3 – Assessing Impact and Strengthening the Policy

What are the measures you will take to improve access to this item or to mitigate against adverse impact?

Young people aged 5-16: The focus will remain firmly on the needs of the young person, and any change will be evaluated (with remedial action or minor tweaking if necessary) to ensure that the young person's needs are met. Concentrating on personalisation of provision to the specific needs of a young person means that mitigation actions can be taken swiftly to minimise any potential impact that arises.

Staff: Before a formal decision on the final Plan is made, there will be a corporate paper with a revised EIA the process for staff will take full account of the Council's Organisational Change process and procedure. HR have advised and are supporting the provisional Headteacher designate with advice throughout the process, and have assigned a dedicated HR Manager to support the project. A consultation process will be undertaken with staff and unions once the plan has received council approval. Human Resources are working closely with the provisional Headteacher designate to ensure a fair and equitable recruitment process for staff from both strands of the service.

STEP 4 – Procurement and Partnerships

Is this item due to be carried out wholly or partly by contractors?

Yes/No (please delete)

If 'yes', will there be any additional requirements placed on the contractor? Have you done any work already to include equality considerations into the contract? You should set out how you will make sure that any partner you work with complies with equality legislation.

If it is in a young person's best interests for the Council to procure alternative provision from another provider, this would be done under our current procurement rules and would be subject to the Council's legal contract, which include equalities requirements.

STEP 5 – Making a Decision

Summarise your findings and make a clear statement of the recommendation being made as a result of the assessment. This will need to take into account whether the Council will still meet its responsibilities under the Equality Duty.

The focus of the review, and the high-level principles which are the subject of the consultation are fit for purpose and chime with the direction of travel outlined by the government, the statutory requirements and the local expectations of those commissioning the service. The Council will still meet its responsibilities under the Equality Duty if it adopts the principles in the proposal.

A further Stage 2 EqIA will be written and when the final design of the future Service has been determined following the council processes have been completed and the staff and union consultation has been completed. This will take account of any equalities concerns which have been raised during the consultation, and any which have been identified by the Council.

STEP 6 – Monitoring, Evaluating and Reviewing

Before finalising your action plan, you must identify how you will monitor this item following the Equality Impact Assessment and include any changes of proposals you are making.

Once the change has taken place, how will you monitor the impact on the 9 protected characteristics?

The paper has been developed to reflect the outcome of the public consultation It will be further reviewed once the council processes have been completed and the structure for the service is finalised.

At this stage we are seeking council approval for the Alternative Provision for young people with additional needs – Education Plan. Once this has been approved and the staffing structure agree a consultation will undertaken with staff and the unions. This will take account of any equalities concerns which have been raised during the consultation and any which have been identified by the council.

STEP 7 – Action Plan

Any actions identified as an outcome of going through Steps 1-6 should be mapped against the headings within the Action Plan. You should also summarise actions taken to mitigate against adverse impact.

	Actions	Target Date	Responsible Person
Involvement & consultation	Corporate decision making process including consideration of Consultation Report findings.	6 th December 2016 22 nd December 2016 19 th January 2016	
	Consultation with	30 th January 2017 – 7 th April 2017	

	staff and unions		
Data collection	Consultation with staff and unions	30 th January 2017 – 7 th April 2017	
Assessing impact	Consultation with staff and unions	30 th January 2017 – 7 th April 2017	
Procurement & partnership			
Monitoring, evaluation and reviewing	The proposal will be reviewed in light of the outcome of the corporate process and the Consultation with staff and unions.	30 th January 2017 30 th April 2017	

STEP 8 – Sign Off

The policy, strategy or function has been fully assessed in relation to its potential effects on equality and all relevant concerns have been addressed.

Contributors to the Assessment		
Name: Caroline Simmonds	Job Title: Interim Service Manager	Date: 24/11/16

Head of Service (sign off)		
Name: Ian Pearson	Job Title: Head of Education	Date: 24/11/16

Please email a copy of the EIA to Rachel Craggs, Principal Policy Officer (Equality & Diversity): Rachel.craggs@westberks.gov.uk

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