

Notice of Meeting

Schools Forum

Monday, 23rd January 2017 at 5.00pm
at Shaw House Church Road Newbury
RG14 2DR

Date of despatch of Agenda: Tuesday, 17 January 2017

For further information about this Agenda, or to inspect any background documents referred to in Part I reports, please contact Jessica Bailiss on (01635) 503124
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Agenda - Schools Forum to be held on Monday, 23 January 2017 (continued)

Forum Members: Reverend Mark Bennet, Ben Broyd, Anthony Chadley, Jonathon Chishick, Catie Colston, Chris Davis, Paul Dick, Lynne Doherty, Antony Gallagher, Keith Harvey, Reverend Mary Harwood, Angela Hay, Jon Hewitt, Peter Hudson, Stacey Hunter, Brian Jenkins, Mollie Lock, Sheilagh Peacock, Derek Peale, Chris Prosser, David Ramsden, Graham Spellman (Vice-Chairman), Bruce Steiner (Chairman), Suzanne Taylor, Keith Watts and Charlotte Wilson

Agenda

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<i>Monday 6th of March 2017, 5pm at Shaw House</i> | |

Andy Day
Head of Strategic Support

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

SCHOOLS FORUM

**MINUTES OF THE MEETING HELD ON
MONDAY, 5 DECEMBER 2016**

Forum members Present: Reverend Mark Bennet, Ben Broyd, Jonathon Chishick, Catie Colston, Jackie Davies (Substitute) (In place of Stacey Hunter), Chris Davis, Paul Dick, Keith Harvey, Reverend Mary Harwood, Angela Hay, Jon Hewitt, Peter Hudson, Brian Jenkins, Sheilagh Peacock, David Ramsden, Graham Spellman (Vice-Chairman), Bruce Steiner (Chairman), Suzanne Taylor and Keith Watts

Also Present: Cathy Burnham (Principal Education Psychologist), Ian Pearson (Head of Education Service), Jane Seymour (Service Manager, SEN & Disabled Children's Team), Andy Walker (Head of Finance), Claire White (Finance Manager (Schools)) and Annette Yellen (Accountant for Schools Funding and the DSG), Councillor Anthony Chadley (Council Member), Councillor Lynne Doherty (Executive Portfolio: Children and Young People), Councillor Mollie Lock (Shadow Executive Portfolio: Education and Young People, Adult Social Care) and Jo Reeves (Policy Officer)

Apologies for inability to attend the meeting: Anthony Gallagher, Stacey Hunter, Derek People, Chris Prosser and Charlotte Wilson

PART I

50 Apologies

Apologies for inability to attend the meeting were received from Antony Gallagher, Stacey Hunter, Derek People, Chris Prosser and Charlotte Wilson.

51 Minutes of previous meeting dated 10 October 2016

The Minutes of the meeting held on 10th October 2016 were approved as a true and correct record and signed by the Chairman,.

52 Actions Arising from Previous Meetings

The progress against actions arising from previous meetings was noted.

Cathy Burnham provided an update against Action 1 regarding the impact of the Vulnerable Children's Fund. She had sent out a survey to all schools and received 7 replies. The majority of those responses explained that the fund was used on one-to-one support and the fund prevented 4 out of 7 exclusions. In response to a question from Keith Watts, Cathy Burnham explained that 46 schools had accessed the fund in the previous year.

An update regarding Action 2 would be covered under the Membership update later on the agenda.

Action 3 was covered by a report later on the agenda.

53 Declarations of Interest

There were no declarations of interest received.

54 Membership

Jonathon Chishick was welcomed to his first meeting of the Forum.

David Ramsden updated the Forum that he had asked his governing body if there was any interest in the secondary governor vacancy and a governor might put themselves forward in the New Year.

55 School Formula Proposals 2017/18

Claire White introduced the report (Agenda Item 6) to set out the proposal for the primary and secondary school funding formula for 2017/18, following the consultation held with schools. The formula agreed by the Schools' Forum would be submitted to the Council's Executive for decision in January.

As previously reported, the proposed change to a national school funding formula would not be going ahead in 2017/18 and had been put on hold for a year. No significant changes were therefore being made to the funding arrangements for primary and secondary schools in 2017/18.

Local authorities were, however, still required to review their formula and consult with schools. Following the review of the formula at the last meeting of the Schools' Forum, a briefing and consultation document was sent out to schools on 11th October. The closing date for responses was 8th November.

The Council's Executive would make the final decision on 19th January 2017 with submission of the formula due to the Education Funding Agency (EFA) on 20th January 2017.

Querying table 1 on page 16 of the agenda, Councillor Lynne Doherty asked why Secondary Key Stage 3 and Key Stage 4 were funded at the same rate when the national average suggested that they were funded at different rates. Claire White explained that about half of Local Authorities funded KS3 and 4 the same and when agreeing to the new formula in 2013, the Schools Forum agreed to use the same rate. This would mean that when pupil numbers changed there would not be a disruption to the schools' funding.

Reverend Mark Bennet asked whether the transfer of funding in 2016/17 from the Schools Block to the High Needs Block had led to a reduction in the per pupil funding rate received. Claire White advised that was correct, however the impact was a decrease of approximately £400k in the schools block but an increase in approximately £1m funding to the High Needs Block therefore overall West Berkshire had gained funding by this transfer.

RESOLVED that:

- **There be no change to the formula factors used.**
- **If there was a funding shortfall, this would be addressed by adjusting the basic entitlement rate (per pupil funding) downwards, so all schools had a proportional cut to their budgets according to the size of their school.**
- **If there was additional funding available, 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 was 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 would be added to the basic entitlement.**

56 Draft DSG Funding & Budget 2017/18

Claire White introduced the report (Agenda Item 7) which set out the position known so far on the Dedicated Schools Grant (DSG) funding and budget for 2017/18.

The Government was intending to reform the way funding for each block was allocated to local authorities. The reform of the school and high needs funding had been delayed by a year, and it was now proposed to take place from 2018/19. Second stage consultations and exemplifications were still outstanding and due by the end of the year. Changes to early years funding were due to take place from 2017/18, and the results of the consultation which closed in September had been received late the previous week after the agenda had been dispatched.

A clearer picture on the DSG funding allocations for 2017/18 would emerge in mid December when final allocations for the schools and high needs blocks are due, when the arrangements for early years funding were analysed, and when the official October 2016 census data was made available.

The draft 2017/18 budget requirement for each block was also set out, indicating where there could be differences between funding expected and expenditure, after taking into account likely carry forward of funds or deficits at the end of the 2016/17 financial year.

Final grant allocations were subject to the October 2016/January 2017 census data. Further work on the budget was also ongoing. The indications were, however, that there would be enough funding in the schools block, but further savings needed to be found in the high needs block.

Paul Dick asked what proportion of primary and secondary schools might set a deficit budget in 2017/18. Claire White responded that there were a handful of schools indicating a deficit for next year and it was likely that more could set deficit budgets in the next year, however until budget allocations were known it was difficult to predict.

Councillor Lynne Doherty asked whether the Early Years formula would still include a quality supplement. Claire White advised that the government had originally proposed that there would be no quality rate in the new early years formula, even though it was used in West Berkshire, however it was now proposed that there would be a quality rate but that it would be capped. This would mean that if West Berkshire chose to use the quality supplement, those providers who were to gain from the new formula would gain less, but those who might lose would lose less. Brian Jenkins raised the point that the area cost adjustment for West Berkshire remained low compared to our neighbouring authorities. Claire White advised that she had written to the Department for Education to ask how it had been calculated. The detail in the document released the previous week stated that rateable values would be reviewed periodically.

RESOLVED:

- **To allocate all schools block headroom to schools.**
- **Not to transfer any funding from the High Needs Block to the Schools Block.**
- **To note the position on the early years and high needs blocks, particularly in reference to other reports on this agenda.**

57 Draft High Needs Budget 2017/18

Ian Pearson introduced the report (Agenda Item 8) which set out the current financial position of the high needs budget for 2016/17 and the position known so far for 2017/18. Options in order to balance the budget in 2017/18 were listed.

The high needs budget for 2016/17 was set after taking a two year view, and many of the savings originally proposed towards closing a £1.9m funding gap did not go ahead. The two year view was taken with regard to the Government changing the funding formula for

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high needs from 2017/18 as set out in their March 2016 stage one consultation 'high needs funding formula and other reforms'. The Government recently announced that their proposed changes had been delayed, and a second stage consultation which should also provide an exemplification was still awaited. Paul Dick asked for further clarification on the reasoning behind this. Ian Pearson explained that if all the savings options were taken it was likely, from the information available at the time, that there would be a surplus balance in the High Needs Block at the end of 2017/18 so the budget was set to balance over two years to protect the long term position of the Block.

The Government had, however, rebased funding according to how much of the total allocated Dedicated Schools Grant (DSG) was being spent on high needs in 2016/17. This had therefore "locked" into the high needs block funding allocation the £858k of funding that was transferred in 2016/17 from the schools and early years block.

The Heads Funding Group had rejected Option 2 in the report to transfer money from the Schools Block to the High Needs Block.

There was still more high needs funding to be allocated by the Government for 2017/18, but it was not known whether West Berkshire will benefit or by how much. This would be announced by mid December.

Unless West Berkshire received additional funding in the December settlement, there remained a funding gap in 2017/18 for the following reasons:

- The planned over spend in the current year high needs block which would need to be met from next year's DSG.
- Pupil numbers and needs in the high needs block continue to rise.

Options for closing this gap will need to be considered.

Paul Dick expressed the view that more financial information was required before the Schools Forum could make decisions on the savings options. Jane Seymour agreed to provide figures for the next meeting in January 2017. Ian Pearson noted that Appendix B demonstrated the budget build for the High Needs Block and was a useful starting point for understanding the costs of services.

Suzanne Taylor expressed concern that the Early Years Block was already likely to be in deficit the following year and the impact would be more dramatic if option 3 was pursued to transfer early years high needs services to the Early Years Block.

Councillor Anthony Chadley noted the omission of the Pupil Referral Unit (PRU) reorganisation savings. Cathy Burnham indicated that there would be a discussion on the PRUs later on the agenda,

RESOLVED that the Schools Forum:

- **Rule out Option 2 - a transfer of funding from the Schools Block to the High Needs Block.**
- **All other options should remain, until a clearer picture emerges of the funding position and savings required for 2017/18.**

58 Criteria and Budget for Additional Funds 2017/18

Ian Pearson introduced the report (Agenda Item 9) which set out the current criteria and budgets for additional funds, for review by members of the Forum Group to ensure they were still relevant and met their purpose. No changes were proposed for 2017/18. However the criteria for each fund were included in the appendices for members of the group to review and to propose any amendments. The budget for each fund also needed to be agreed, and the proposed amounts were shown in Table 1.

Peter Hudson joined the meeting at 17.43.

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Reverend Mark Bennet asked what happened to the funding in each of the funds if it was not spent. Claire White advised that it could either be transferred back to the Schools Block or carried forward to the next year. The Schools Forum had chosen to build up the Growth Fund using underspends in previous years as a new school was anticipated, now in 2018. The government had proposed to include the Growth Fund in the national funding formula but there was uncertainty regarding these arrangements. Ian Pearson noted that Heads Funding Group had recommended a lower budget for the Growth Fund which was reflected in the figures contained within the report. Claire White explained that there was currently £144k in the Growth Fund carried forward from previous years.

David Ramsden asked what the forecast was for the Growth Fund; Claire White responded that based on the October 2016 school census it was likely that the allocated amount would be fully utilised.

David Ramsden asked what the forecast was for the Primary Schools in Financial Difficulty Fund; Claire White responded that £100k had been spent and she was unaware whether there would be more bids.

Paul Dick asked what schools were eligible for the Additional High Needs Fund. Claire White responded that historically small schools had qualified for funding but now there was no trend.

David Ramsden asked how the funds were allocated; Claire White explained that the criteria were laid out in the appendices to the report.

Chris Davis noted that in Appendix D, the table at 2.4 was missing. Claire White advised that the table would be inserted with the latest data when it was circulated to schools in the spring.

RESOLVED that:

- **The criteria for each fund be agreed as set out in the appendices.**
- **The funding to be set aside for each fund be agreed as set out in Table 1.**

59 De-delegation Proposals 2017/18

Ian Pearson introduced the report (Agenda Item 10) which set out the details, cost, and charges (de-delegations) to schools of the services on which primary and secondary maintained school representatives were required to vote (on an annual basis) on whether to de-delegate or not.

The services where maintained schools had the option to pool funding in 2017/18 were:

- Behaviour Support Services
- Ethnic Minority Support
- Trade Union Representation
- Schools in Financial Difficulty (primary only)
- Consortium of Local Education Authorities for the Provision of Science Services (CLEAPSS) (new for 2017/18)

Claire White advised that from 2017/18 the General Education Services Grant (ESG) of £1.472m was being cut. This grant was received by local authorities to provide some mainly statutory services to maintained schools. Academies also received this grant in order to pay for the same services, and would also have their grant phased out. A consequence of this was that maintained schools would be charged for these services, and academies would continue to pay for these services but no longer receive the grant to pay for them.

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It was assumed that the process of charging maintained schools for these services would work the same as de-delegations, in that the cost of these services would in part be deducted from school budget allocations, and would need to be agreed by the Schools Forum for each phase.

Regarding the School Improvement Service, statutory elements would now be met by a new transitional government grant and the remainder would be either a de-delegation or a buy-back. It had also been clarified that the Standing Advisory Council on Religious Education would be met by the retained element.

Regarding Health and Safety, a large element was statutory and another element was a buy-back; it was proposed that the two portions be combined into a de-delegated fund.

David Ramsden expressed concern at the use of the phrase 'mainly statutory services' and asked that the January 2017 report made it clear exactly each services were statutory.

RESOLVED that:

- **Maintained primary and secondary heads agree the de-delegations as set out in Table 7.**
- **The decision on services previously funded by the Education Services Grant be deferred until the January 2017 meeting of the Schools' Forum.**

60 Draft Early Years Budget 2017/18

Claire White introduced the report (Agenda Item 11), which set out the current financial position of the Early Years Block budget for 2016/17 and the possible position in 2017/18 based on the information received to date from the Government. Consultation results had been published late the previous week which meant that the options outlined in paragraph 6.1 were no longer applicable and the Early Years Funding Group would have to consider alternative models.

Peter Hudson noted that many of the reports on the meeting's agenda had made reference to detail and clarification pending from the Department for Education. He wondered how a school could begin setting their budget with so much information unknown. Claire White advised that schools would still receive their budget allocations by late January 2017. Peter Hudson asked whether schools could modify their budgets in-year. Claire White explained that schools could submit budget virements but she hoped that all the necessary information was known by the time schools set their budgets.

RESOLVED that the report be noted.

61 Alternative Provision: Joint Strategic Review of Pupil Referral Service

Ian Pearson introduced a report (Agenda Item 12), which sought comment and input on the proposals on *Alternative Education Provision: Education Plan for young people with additional needs*, arising from the public consultation.

The proposals as an outcome of the public consultation were :

- The reorganisation would proceed as per the original timetable.
- The two current services would merge to become one new Alternative Education Provision (AEP).
- Sites would reduce from 6-4, but the actual sites to be retained would be further reviewed

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- Pupil numbers to be further reviewed. It was noted that this was the most significant issue raised.
- That Home Education would 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.

Ian Pearson noted that for Home Education there was a £65k overspend forecasted by year-end. He also explained that the AEP will look at differing models of provision and move where possible to a proactive, rather than a reactive service and the number of pupil places did not necessarily represent the number of pupils whose needs can be met by the service. For example there would be 8 post-16 places but support could be offered to 12 pupils.

Jacque Davies explained that the delivery model was still to be determined, but there would be a greater emphasis on supporting pupils before exclusion to reduce demand and enable schools to support pupils with challenging behaviour themselves. In response to a question from Paul Dick, Jacque Davis explained that there would also be a need to move quicker to respond to the needs of schools and pupils.

RESOLVED that the report be noted.

62 Update on Schools in Financial Difficulty

The Schools Forum considered a report (Agenda Item 13), which provided an update from schools that had set a deficit budget in 2016/17.

Paul Dick and Suzanne Taylor left the meeting at 18.16.

The West Berkshire schools finance team reviewed the deficit recovery plans for each school, and the Head of Finance and Head of Education jointly wrote to each school at the end of the summer term setting out the conditions to adhere to whilst in deficit and any concerns/further work that they felt was required.

Most schools had received a visit during the autumn term from members of the school finance team to discuss their plans more fully, review progress, and offer advice. These meetings included attendance from key Governors and were well received. Each school will also be entitled to receive advice and support on their 2017/18 budget planning which will be paid for from the "Primary Schools in Financial Difficulty" contingency fund.

During October a training course on "effective financial management" was delivered jointly by school improvement and finance. This was well attended by all schools (heads, Governors, School Business Managers), it was not just for those in deficit.

Brian Jenkins left the meeting at 18.20.

Chris Davis queried the difference between the figure outlined in the table and the narrative provided by the schools. Claire White advised that the table outlined the position the schools had submitted in June 2016 and the narrative had been recently updated.

Graham Spellman noted that the 2016/17 closing balances for the schools did not include the Schools in Financial Difficulty Fund or its impact over subsequent years.

Reverend Mark Bennet commented that some schools were forecasting considerable surpluses as part of their five year view. Claire White responded that the forecasts were based on the assumptions that costs and expenditure remained the same over the five years, but the Schools Forum had received examples of where costs on schools would be increasing. David Ramsden expressed concern that John Rankin had received £68k from the Schools in Financial Difficulty Fund and were forecasting a budget surplus of

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£75k in four years. Bruce Steiner noted that budget forecasts were predictions and not fact.

Keith Watts sought assurance of the work offered by the Council to support schools in financial difficulty and stated that he hoped any school that found themselves with a surplus would find a way to spend the money on pupils. Claire White indicated that the report detailed the support and training offered to schools.

Catie Colston asked if triggers other than a school setting a deficit budget could be used to provide earlier support. Claire White advised that schools were required to set a three-year budget and those schools which anticipated a deficit in year two were contacted by the Schools Finance Team in the Autumn Term to clarify whether this was still the case. A handful of schools were still likely to be setting deficit budgets for 2017/18 and these schools would be provided with more support.

Reverend Mary Harwood left the meeting at 18.28.

Claire White further explained that schools had delegated budgets and governors must be responsible for providing challenge to schools management teams.

Keith Watts expressed the view that schools who received the financial difficulty fund were spending other schools money and it would be a concern if their financial position was a result of bad management,

Reverend Bennet left the meeting at 18.30.

Jonathon Chishick asked whether the Fund could be structured as a loan to mandate repayment if schools did realise substantial surpluses. Claire White advised that it had been considered in the past but Schools Forum members had previously felt that this would lead to future pupils receiving less while the school paid off the loan.

Ian Pearson noted that usually when a school asked for support the management team had changed from when the school entered financial difficulty. Funding was not granted lightly; schools' bids were scrutinised by officers, the Heads Funding Group and the Schools Forum.

Peter Hudson expressed the view that there needed to be a more proactive review of schools in financial difficulty, Claire White advised in January 2017 the schools finance team would carry out a Month 9 check of schools budgets, but it would not be possible to constantly scrutinise in detail the delegated budgets of all schools.

David Ramsden stated that in his experience West Berkshire Council offered a lot of support and agreed that the governing body should be key in having an overview of the school's finances and encouraging support to be sought if required. Schools wanted to keep control of their budgets but their options to ensure they set a balanced budget were decreasing over time as costs increased. Claire White stated that this had been the subject of the October 2016 training but attendees did not find some of the cost-reducing options palatable. The experience schools were having in attempting to set balanced budgets was a national issue.

RESOLVED that the report be noted.

Keith Harvey left the meeting at 18.39.

63 **DSG Monitoring 2016/17 Month 7**

The Forum considered a report (Agenda Item 14) regarding the DSG Monitoring for Month 7 of 2016/17.

RESOLVED that the report be noted.

64 Schools Funding Benchmarking Information

The Forum considered a report (Agenda Item 15), which set out key school funding benchmarking information for 2016/17.

David Ramsden noting Appendix J, requested the Unitary Authorities 2016-17 Individual School Budgets vs Progress 8 Score 2016. Claire White agreed to circulate it with the minutes of the meeting.

Councillor Lynne Doherty noted that West Berkshire was spending more than its statistical neighbours on High Needs and asked if any comparison had been made with how those authorities were managing. Peter Hudson enquired whether there was an opportunity to work with those authorities. Ian Pearson explained that neighbours such as Hampshire had a large variety of special schools in their areas; the main pressure on the High Needs Block budget was specialist placements.

Bruce Steiner noted that the tables were not comparing like-for-like as each area had its own level of provision and challenges; he stated that Tower Hamlets might as well be in a different country for all its differences to West Berkshire.

Graham Spellman asked when information regarding the new funding formula might be known; Claire White responded that the government had advised it would be in the Autumn.

RESOLVED that:

- the benchmarking tables be noted.
- Claire White would circulate the Unitary Authorities 2016-17 Individual School Budgets vs Progress 8 Score 2016 with the minutes of the meeting.

65 Forward Plan

The Forum considered the forward plan for the next two meetings (Agenda Item 16). Jo Reeves noted that for the January meeting there would be the following changes:

- PRU Strategic Review Update to be removed.
- Education Services Grant De-delegation to be added.
- Early Years update to be added.

RESOLVED that the forward plan be noted.

66 Any Other Business

No other matters for discussion were raised.

67 Date of the next meeting

The next meeting would be held on Monday 23rd January, 5pm at Shaw House.

(The meeting commenced at 5.00 pm and closed at 6.51 pm)

CHAIRMAN

Date of Signature

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Agenda Item 3

ACTIONS ARISING FROM PREVIOUS SCHOOLS' FORUM MEETINGS

Shaded rows are completed actions.

Ref No.	Date – Item.	Action	Officer	Comment / Update
1.	10/10/16 Membership	Chris Prosser and David Ramsden would inform their respective Governing Bodies of the Secondary Governor vacancy on the Schools Forum.	Chris Prosser/ David Ramsden	David Ramsden had asked his governing body and one person might put themselves forward in the new year.
2.	05/12/16 Schools Funding Benchmarking Tables	Claire White would circulate the Unitary Authorities 2016-17 Individual School Budgets vs Progress 8 Score 2016 with the minutes of the meeting.	Claire White	Completed.

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Dedicated Schools Grant (DSG) Funding Settlement and Budget 2017/18

Report being considered by: Schools Forum

On: 23/01/2017

Report Author: Claire White

Item for: Discussion **By:** All Forum Members

1. Purpose of the Report

- 1.1 To set out the Government's funding settlement for the Dedicated Schools Grant (DSG) and the overall budget position for 2017/18.

2. Recommendation

- 2.1 To note the position, particularly in reference to other reports on this agenda.

Will the recommendation require the matter to be referred to the Council or the Executive for final determination?	Yes: <input type="checkbox"/>	No: <input checked="" type="checkbox"/>
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3. Introduction

- 3.1 The Dedicated Schools Grant (DSG) consists of three funding blocks, Schools, Early Years, and High Needs, each calculated in a different way. The blocks are not currently ring fenced, and it is possible to move funding between blocks.
- 3.2 The Government is reforming the way funding for each block is allocated to local authorities. The reform of the school and high needs funding blocks has been delayed by a year, and it is now proposed to take place from 2018/19. Second stage consultations and exemplifications were announced in December and the consultations will close on 22 March 2017. Changes to early years funding will take place from 2017/18.
- 3.3 This report sets out the 2017/18 funding allocations for each block, announced by the Government on 20 December 2016.
- 3.4 The draft 2017/18 budget requirement for each block is also set out, indicating where there are differences between funding and expenditure, after taking into account likely carry forward of funds or deficits at the end of the 2016/17 financial year.

4. Overall Position

- 4.1 Table 1 summarises the overall position. More detailed breakdowns are provided in Appendix A (DSG funding calculation) and Appendix B (DSG budget by Service).

TABLE 1	2016/17 Budget £	2016/17 Forecast £	2017/18 Estimate £
<u>Schools Block</u>			
DSG Funding	96,243,330	96,243,330	96,987,340
Expenditure Budget	-96,243,330	-95,943,330	-96,987,340
<i>Difference</i>	0	300,000	0
<u>Early Years Block</u>			
DSG Funding	7,275,940	6,972,360	8,892,320
Expenditure Budget	-7,179,010	-7,318,920	-8,892,320
<i>Difference</i>	96,930	-346,560	0
<u>High Needs Block</u>			
DSG Funding	20,301,350	20,301,350	19,613,430
Expenditure Budget	-21,094,620	-20,747,920	-20,208,230
<i>Difference</i>	-793,270	-446,570	-594,800
<u>TOTAL</u>			
DSG Funding	123,820,620	123,517,040	125,493,090
Expenditure Budget	-124,516,960	-124,110,250	--126,087,890
<i>Difference</i>	-696,340	-593,210	-594,800

4.2 The following paragraphs summarise the position on each block.

5. Schools Block

5.1 Schools block funding is simply calculated as the number of primary and secondary pupils (counted in the October census) multiplied by the funding rate. The base lining exercise has moved funding from the Schools Block to the High Needs Block due to the Schools' Forum decision to fund high needs pressures in 2016/17 from schools.

5.2 The Schools Block per pupil rate for 2017/18 is £4,348.43 compared to £4,368.03 in 2016/17 (this is after taking into account the transfer into the DSG of Education Services Grant funding at £15 per pupil). October 2016 pupil numbers are 22,235, resulting in a schools block allocation of £96.687m. Due to the increase in pupil numbers, this has resulted in the same level of grant as in 2016/17. It is assumed there will be a £300k under spend in 2016/17 in the growth and falling rolls fund which can be added to the 2017/18 amount available for allocation.

5.3 After taking into account centrally retained budgets, and running the school formula on the current funding rates for each factor, there is headroom of £226k. All headroom will be allocated to schools as per the method agreed at the last meeting of the Schools' Forum, subject to final approval by the Council's Executive on 19th January 2017. Further details on the schools block budget is in another report on this agenda.

6. Early Years Block

6.1 The funding rate for the early years block has been determined by a new funding formula. No change was made to West Berkshire's proposed funding rate following the consultation on the new formula, to reflect concerns that the premises area cost adjustment looked too low for West Berkshire. Detailed calculations have been requested from the DfE, but so far have not been received.

- 6.2 The new funding rates for West Berkshire are £5,453 compared to the current rate of £5,092 for two year olds, and £4,465 compared to the current rate of £3,911 for three and four year olds. Although this is a reasonable increase, the three and four year old rate for West Berkshire is below average when it should be well above average (which is the case for the two year old rate). Although this helps plug the current funding gap, many providers will see a reduction in funding due to the move to a single base funding rate.
- 6.3 Additional funding has been allocated for the increase to 30 hours of provision for eligible children from September 2017, although this will be adjusted based on actual numbers in the January 2018 census.
- 6.4 Allocations for pupil premium grant and the new Disability Access Fund are based on current estimates, but again will be updated according to actual numbers in the January 2018 census.
- 6.5 A fixed sum allocation for maintained nursery schools has been guaranteed until 2019/20, in order to minimise the loss to these schools.
- 6.6 In the first year, rates to providers are likely to be lower than they should be, in order to recover the deficit from 2016/17. The current year is currently forecasting an over spend due to lower January 2016 census numbers which has had an impact on the grant to be received, and higher hours of provision in the summer term 2016 compared to the budget and funding received. This will continue to be a problem under the new system, with funding being based on attendance on a single day in January, and not confirmed until after the end of the financial year.
- 6.7 Up to 7% of three and four year old funding in 2017/18 and 5% from 2018/19 can be set aside for centrally retained services, which can include services to support early year's children with high needs.
- 6.8 The early year's budget will be set according to what is affordable within this block.
- 6.9 Further details on the proposed local early year's formula to allocate three and four year old funding to providers is in another report on this agenda.

7. High Needs Block

- 7.1 Funding for this block is received as a lump sum. There have been minimal increases to this block of funding over the past few years. The base lining exercise has added funding in accordance to how we proposed to use the 2016/17 in year allocation of DSG, but not what we actually proposed to spend (planned overspend this year).
- 7.2 The 2017/18 settlement has added an additional £350k to the allocation, which is based on actual population and assumed population increases.
- 7.3 When doing a year on year comparison, it should be noted that adjustments have been made to the allocation, removing funding that the LA will no longer be responsible for, and adding funding that will become part of the LA allocation (but recouped); the net adjustment is a reduction of £1.39m to both funding and expenditure.

- 7.4 Although the high needs block grant has been uplifted following the transfer of funding from the schools block, and the current 2016/17 forecast is under budget, it is not enough to balance this block based on 2017/18 estimated expenditure. Further savings will need to be found in this block.
- 7.5 Further details on the high needs budget are in another report on this agenda.

8. Conclusion

- 8.1 Although primary and secondary schools will benefit from a small increase to their formula funding allocation, it falls short of the additional spending pressures they will have in 2017/18. Unfortunately it does not appear that the position for many West Berkshire schools will improve with the introduction of the national funding formula.
- 8.2 It is disappointing that West Berkshire has not come out well from the new Early Years funding formula, and many providers will see a reduction to their funding from 2017/18.
- 8.3 The pressures in the High Needs block continue with growing numbers and demand, and again it is disappointing that West Berkshire will probably not benefit from additional funding from the new funding formula in 2018/19. The savings required to be made in this block will have a significant impact on schools and pupils with and without additional needs.

9. Appendices

Appendix A – DSG Funding Calculation 2017/18 – Version 2

Appendix B – DSG Budget by Service 2017/18 – Version 2

DSG Funding Calculation - Adjustments to Baselines and Budget Estimate for 2017/18							
	June 16 SF	17/18		Jul-16			
	Revised 2016/17	BASELINE calculation	DfE Baseline 2017/18	Revised 2016/17	Base Budget 2017/18	Budget V1 2017/18	January '17 Final Budget 2017/18
	Oct '15 census		Oct '15 census	Oct '15 census	Oct '15 census	Oct '16 estimate	Oct '16 census
4 SCHOOLS BLOCK (final)							
5 Pupil Numbers							
6 School Census - Mainstream	22,226.0		22,226.0	22,226.0	22,226.0	22,446.0	22,335.0
7 AP census January 2015	2.0		2.0	2.0	2.0	0.0	0.0
8 Add: Reception Uplift	26.0		26.0	26.0	26.0	26.0	22.0
9 Less: Pupils/Places in Resource Units	-119.0		-119.0	-119.0	-119.0	-119.0	-122.0
10 Total Pupil numbers	22,135.0		22,135.0	22,135.0	22,135.0	22,353.0	22,235.0
11							
12 DSG Guaranteed Unit of Funding	£4,368.03		£4,348.43	£4,368.03	£4,348.43	£4,348.43	£4,348.43
13 DSG based on pupil numbers	£96,686,344	96,686,344	£96,252,498	£96,686,344	£96,252,498	£97,200,456	£96,687,341
14							
15 Plus: Adjustment for NQT	£32,000	32,000		£32,000			
16 Transfer Funding to HNB	-£848,000	-848,000		-£848,000			
17							
18 Baseline submitted		95,870,344					
19							
20 Add: ESG Retained Duties		382,000					
21							
22 In Year Allocation	£95,870,344			£95,870,344	£96,252,498	£97,200,456	£96,687,341
23							
24 ADD/SUBTRACT Carry Forward from Previous Yr	£372,990			£372,990			£300,000
25							
26 Total Schools Block including Academies	96,243,334	96,252,344	96,252,498	96,243,334	96,252,498	97,200,456	96,987,341
27							
28 EARLY YEARS BLOCK (Provisional)	Jan 2016 census			Jan 2016 census	Jan 2016 census	Jan 2016 census	Jan 2017 census
29 Three & Four Year Old Funding	estimate			actual	actual	actual	estimate
30 School Census - Mainstream	425.0			425.0	425.0	425.0	425.0
31 Early Years Census	1,131.0			1,090.0	1,090.0	1,090.0	1,090.0
32 Total Pupil numbers	1,556.0			1,515.0	1,515.0	1,515.0	1,515.0
33 Total assumed for additional 15 hours							580.8
34							
35 DSG Guaranteed Unit of Funding	£3,911.25			£3,911.25	£4,465.00	£4,465.00	£4,465.00
36 DSG based on census pupil numbers	£6,085,905	6,085,905	5,940,000	£5,925,544	£6,764,475	£6,764,475	£6,764,475
37 DSG based on assumed additional 15 hours (7/12)							£1,512,742
38 DSG adjustment for assumed pupil numbers	£0	19,560					
39							
40 Two Year Old Funding							
41 School Census - Mainstream	30.0			29.0	29.0	29.0	29.0
42 Early Years Census	94.0			91.0	91.0	91.0	91.0
43 Total Pupil numbers	124.0			120.0	120.0	120.0	120.0
44							
45 DSG Guaranteed Unit of Funding	£5,092.00			£5,092.00	£5,453.00	£5,453.00	£5,453.00
46 DSG based on census pupil numbers	£631,408			£611,040	£654,360	£654,360	£654,360
47 DSG adjustment for assumed pupil numbers	£0						
48							
49 Other							
50 Indicative Early Years PPG	£53,000			£21,147	£21,147	£21,147	£21,228
51 Transfer Funding to HNB	-£10,000	-10,000		-£10,000			
52 Unallocated funding		-158,059					
53 Nursery school supplement					287,700	287,700	267,622
54 Disability Access Fund							18,450
55 Difference in previous year				-£91,000			
56							
57 Baseline submitted		5,937,406					
58							
59 In Year Allocation	£6,760,313			£6,456,731	£7,727,682	£7,727,682	£9,238,877
60							
61 ADD/SUBTRACT Carry Forward from Previous Yr	£515,626			£515,626	-£346,560	-£346,560	-£346,560
62							
63 Total Early Years Block	7,275,939	5,937,406	5,940,000	6,972,357	7,381,122	7,381,122	8,892,317
64							
65 HIGH NEEDS BLOCK							
66 Previous Year High Needs Budget	19,100,554	19,100,554	19,710,000	19,100,554	19,710,000	19,710,000	19,710,000
67 Adjustments:	694,600	694,600		694,600			
68 Additional Funding	284,000	284,000		284,000			350,000
69 Transfer Funding from EYB	10,000	10,000		10,000			
70 Transfer Funding from SB	848,000	848,000		848,000			
71 Unallocated funding from EY block		158,059					
72 Remove NMSS		-1,960,000					
73							
74 Baseline submitted		19,135,213					
75							
76 Add: Post 16 Transfer		570,000					
77							
78 In Year Allocation	20,937,154			20,937,154	19,710,000	19,710,000	20,060,000
79							
80 ADD/SUBTRACT Carry Forward from Previous Yr	-635,800			-635,800	-£591,650	-£591,650	-£446,570
81							
82 Total High Needs Block	20,301,354	19,705,213	19,710,000	20,301,354	19,118,350	19,118,350	19,613,430
83							
84 TOTAL In YEAR DSG FUNDING	123,567,811			123,264,229	123,690,180	124,638,138	125,986,218
85							
86 TOTAL Carry Forward from Previous Yr	£252,816			£252,816	-£938,210	-£938,210	-£493,130
87							
88 TOTAL DSG FUNDING AVAILABLE	123,820,627	121,894,963	121,902,498	123,517,045	122,751,970	123,699,928	125,493,088

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DSG Budget for 2017/18 - Version 2 - January 2017

Table with columns A through R containing budget data for Schools Block, Early Years Block, and High Needs Block. Includes sub-totals for total expenditure, DSG grant, and net position over/under spend.

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Schools Block Budget Proposals 2017/18

Report being considered by: Schools Forum

On: 23/01/2017

Report Author: Claire White, Ian Pearson

Item for: Decision **By:** All Forum Members

1. Purpose of the Report

1.1 To set out the proposals for the schools block budget for 2017/18.

2. Recommendation(s)

2.1 To note the final school formula for 2017/18 and the individual school funding formula allocations for 2017/18.

2.2 To agree the centrally retained budgets as set out in Tables 2 and 3 (*by all Forum Members*).

2.3 To agree the additional de-delegations as set out in Tables 4 and 5 (*by primary and secondary maintained school members only*).

Will the recommendation require the matter to be referred to the Council or the Executive for final determination?	Yes: <input type="checkbox"/>	No: <input checked="" type="checkbox"/>
---------------------------------------------------------------------------------------------------------------------------	-------------------------------	-----------------------------------------

3. Introduction

3.1 The Dedicated Schools Grant (DSG) schools block allocation for 2017/18 was confirmed on 20 December 2016, and totals £96.7m. In addition, it is estimated that there will be an under spend of £300k in the Growth and Falling Rolls fund which can be carried forward and included within the amount available for allocation.

3.2 There are a few centrally retained services that are met from this block, but the majority of this funding is allocated to schools through the school formula.

3.3 The Government has made changes to how central education services previously funded through the Education Services Grant (ESG) are to be funded in 2017/18. Services attributable to all schools – maintained and academy – will be a charge to the schools block DSG, and additional funding (£15 per pupil) has been added to the DSG. Statutory services provided only to maintained schools will be a de-delegation from individual school budgets. No additional funding has been provided for this element. Academy schools will also have a cut to the grant they receive to pay for these services, but will still need to purchase them.

3.4 This report sets out how the funding to be allocated to schools through the formula has been determined; sets out proposals for the centrally retained budgets; and sets out proposals for the new de-delegations. The amounts to be centrally retained and de-delegated need to be agreed by the relevant Schools' Forum members.

4. School Formula Allocations

4.1 It was agreed at the previous meeting of the Schools’ Forum that there would be no change to the formula factors used, and all headroom within the schools block should be allocated to schools on the following basis:

If there is additional funding available, 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 will be added to the basic entitlement.

4.2 This proposal will be confirmed by the Council’s Executive on 19 January 2017.

4.3 Although pupil numbers have increased, the funding rate has decreased, and the total grant allocation has worked out the same as 2016/17. However, in 2016/17 £848k was transferred to the high needs block which will not recur in 2017/18, and there is an estimated £300k carry forward of funds from 2016/17, both of which create headroom.

4.4 The headroom however also needs to fund the central services previously funded by the ESG. The other pressure is the increase in school Business Rates to be met through the formula. Table 1 sets out the calculation of headroom.

Table 1

Total DSG Allocation for 2017/18	96,687,340
Add: Estimated Carry Forward of DSG from 2016/17	300,000
Total Funds Available	96,987,340
Less: Centrally Retained Budgets (see paragraph 5)	1,490,690
Funds Available for Delegation	95,496,650
Formula Allocation on current funding rates (including increase in business rates of £205k)	95,270,920
Headroom	225,730

4.5 Allocating the headroom as per the basis agreed by Schools’ Forum adds £1,400 to the lump sum and £8 to the per pupil rate.

4.6 The final school formula for 2017/18 is shown in Appendix A and the allocations per school are shown in Appendix B.

5. Centrally Retained Budget

5.1 The School Finance Regulations set out which services can be funded from the DSG and provided centrally by the local authority. These services are for the benefit of all schools, maintained and academy.

- 5.2 Table 2 sets out the existing centrally retained services and budgets which will continue to be met from the schools block DSG.

Table 2

Service	2016/17 Original Budget	2017/18 Proposed Budget
Growth Fund & Falling Rolls Fund	290,000	202,000
National Copyright Licences	126,780	128,940
School Admissions	309,070	301,990
Servicing of Schools Forum	42,220	64,090
TOTAL	768,070	697,020

- 5.3 Table 3 sets out the services previously funded by the Education Services Grant (ESG) that will now need to be met from the DSG (as per the amended School Finance Regulations), and partly for which additional funds have been added (£373k).

Table 3

Service	2017/18 Proposed Budget
Education Welfare Service	290,340
Asset Management	68,590
Statutory & Regulatory Duties	434,740
TOTAL	793,670

- 5.4 Appendix C sets out further details on the former ESG funded services to be centrally retained.
- 5.5 It is recommended that the centrally retained budgets set out in Tables 2 and 3 are agreed.

6. Additional De-Delegations from Maintained School Budgets

- 6.1 There are a few statutory services funded by the ESG received by the local authority for the benefit of maintained schools only. Academies receive the grant direct. From 2017/18 this grant is being cut. In order to continue to provide these statutory services, mainstream schools will have a single per pupil rate deducted

from their formula funding (de-delegation). The services and amounts are set out in Table 4. Non mainstream schools will also incur an equivalent charge (per place), not included in the figures below.

Table 4

Service	2017/18 Proposed Budget £	Amount per pupil to be de-delegated
Pension scheme administration	30,404	£1.96
Internal Audit of Schools	41,883	£2.70
Accountancy	30,953	£2.00
Health & Safety - Option 1	155,764	£10.06
- Option 2	113,222	£7.31
- Option 3	56,642	£3.66
TOTAL – Option 1	259,007	£16.72
- Option 2	216,462	£13.97
- Option 3	159,882	£10.32

- 6.2 Further information on the first three services is provided in Appendix D.
- 6.3 For health & safety there are three options. The first two options are to combine the current health and safety traded service with the de-delegated service from 2017/18. Otherwise the service will remain at two levels, a core de-delegated service plus an optional traded service. The detail is set out in detail in Appendix E.
- 6.4 In December, it was announced by the DfE that school improvement will continue to be a statutory requirement of local authorities for a transitional period. A “school improvement monitoring and brokering” grant is to be provided to each local authority from September 2017 towards their statutory intervention functions. Further funding for additional school improvement provision for maintained schools can be de-delegated.
- 6.5 Table 5 sets out the proposed cost of the school improvement de-delegated service in 2017/18. Due to the grant commencing from September 2017, the cost will be nil for the period September to March.

Table 5

Service	2017/18 Proposed Budget £	Amount per pupil to be de-delegated
School Improvement – additional provision	255,817	£16.52

6.6 Appendix F sets out the detailed proposal and costs.

6.7 It is recommended that the de-delegations set out in Tables 4 (option 1) and 5 are agreed. The breakdown of the de-delegations on this basis per school is set out in Appendix G.

7. Conclusion

7.1 Although it is welcome that there is a small amount of headroom available to allocate to schools in 2017/18, the amount is lower due to the impact of meeting the costs of the services previously funded by the ESG, whether this be through a top slice of the DSG or through new de-delegations. The impact of the business rates revaluations is also significant.

7.2 It is likely that 2017/18 will be the final year of the local formula, with the national formula due to be implemented from 2018/19 meaning that formula rates will be nationally determined.

8. Appendices

Appendix A – West Berkshire School Formula 2017/18

Appendix B – School Formula Final Funding Allocations 2017/18

Appendix C – Former ESG Services to be Centrally Retained in 2017/18

Appendix D – Former ESG Services to be De-delegated in 2017/18

Appendix E – Health & Safety Service Proposed De-delegation 2017/18

Appendix F – School Improvement De-delegation 2017/18

Appendix G – New De-delegations breakdown per school 2017/18

West Berkshire School Formula 2017/18

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%	
2) Deprivation	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 (%)
	FSM6 % Primary	£875.00		1,735.93		£1,518,935	£2,844,505	2.99%	50.05%	
	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	£286,571	0.00%	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				
5) Mobility	Pupils starting school outside of normal entry dates			207.00	0.00	£0		0.00%	0.00%	0.00%
6) Prior attainment	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 (%)
	Low Attainment % new EFSP	100.00%	£284.00	31.46%		£976,463	£2,951,289	3.10%	100.00%	0.00%
	Low Attainment % old FSP 78			13.77%	3,438.25					
	Secondary low attainment (year 7)	48.02%		21.53%		£1,974,826				
Secondary low attainment (years 8 to 13)		£1,125.00	19.09%	1,755.40						
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%)										
Apply capping and scaling factors? (gains may be capped above a specific ceiling and/or scaled)					No					
Capping Factor (%)	Scaling Factor (%)									
Total deduction if capping and scaling factors are applied					£0					
					Total (£)	Proportion of Total funding (%)				
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)					£163,300.00					
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 C

Former ESG Services to be Centrally Retained in 2017/18

Education Welfare – Statutory Requirements
Description of Duties:
Tracking of children who can be legally removed from the school roll. Monitoring of elective home education. Issuing and monitoring of child work permits and performance licences. Attendance at core group meetings for specific pupils. Advice on keeping registers. Progress cases to court where appropriate. Maintain up to date knowledge of legal processes and proceedings so that culpable parents are prosecuted or issued with a fixed penalty notice i.e. Take legal action in Magistrates and Family Courts. There is a separate traded service for non statutory elements of the service, e.g. for visits, casework, and training.
Cost: £290,340
0.52 FTE Principal EWO 0.65 FTE Senior EWO 3.05 FTE EWO 0.65 FTE Assistant EWO 0.26 FTE Administrative Assistant Support service costs include modules on Capita One system
Asset Management – Statutory Requirements
Description of Duties:
Management of the schools capital programme. Preparation and review of the education asset management plan.
Cost: £68,589
0.53FTE Strategic Commissioning & Compliance Manager 0.5 FTE Commissioning & Compliance Data Co-ordinator
Statutory & Regulatory Duties
Description of Duties:
Strategic planning of the Education service as a whole - Head of Education and his PA with delegated responsibility from Director of Communities. DSG services budget preparation, monitoring, and year end.

Education services budget preparation, monitoring, and year end.
School funding formula and early years funding formula.
Administration of funding allocations to all schools for early years and high needs.
Statutory finance returns e.g. APT, S251, CFO deployment of DSG.
Education statutory returns to DfE.
Data analysis and reporting e.g. Exam results, performance.
School census administration and reports.

Cost: £434,740

0.80 FTE Head of Education
1.00 FTE Head of Education PA
0.55 FTE Finance Manager
0.4 FTE Senior Accountant
1.25 FTE Accountant
2.0 FTE Education Data Management Officer
Support service costs include modules on Capita One system

Former ESG Services to be De-delegated in 2017/18

Pension Scheme Administration – Statutory Requirements
Description of Duties:
Administration of Teachers and Local Government pension schemes in relation to staff working in maintained schools: Amending and updating employee records in relation to pensions Responding to queries from employees in relation to pensions Completion of statutory monthly returns to Teachers Pensions and Local Government pension scheme, including service and pay calculations.
Cost: £32,681
1.0 FTE Pensions Assistant
Internal Audit of Schools – Statutory Requirements
Description of Duties:
Annual internal audit of maintained schools according to level of risk - circa 15 schools are audited per year. Each audit takes up to 10 days. The audit covers Governance; financial planning and management; financial policy, processes and records; benchmarking and value for money; school fund, SFVS. Advice/investigation of financial irregularities.
Cost: £45,019
0.4FTE Senior Auditor 0.6 FTE Auditor
Accountancy – Statutory Requirements
Description of Duties:
Consolidation of school accounts into Council's year end statement of accounts. Overview of school budget submissions & budget monitoring reports. Monitoring of schools in deficit. Monitoring adherence to Scheme for Financing Schools. Returns to Central Government – CFR, CFO grants return. Administration of grants & other funding to maintained schools eg. PPG, budget allocations & adjustments.
Cost: £33,271
0.35 FTE Accountant

0.10 FTE Senior Accountant
0.15 FTE Finance Manager
Health & Safety – see Appendix E
School Improvement – see Appendix F

Proposal for the Health & Safety Service for Maintained Schools 2017/18

1. Purpose of the Report

- 1.1 This report considers the Health and Safety Service in line with the changes to the Education Services Grant (being that the statutory element of this service will now need to be met by schools) and how this fits in with the current traded service with maintained schools and academies.

2. Recommendations

- 2.1 To consider options for the future provision of the service as follows:

Option 1

- 2.2 Combine the costs of the provision of the schools health and safety service currently split and funded through the Education Services Grant and through buy back income, thus removing the differing levels of service and maintain current staff levels.
- 2.3 All schools will equally and equitably share the costs of the provision of the schools health and safety service. The three posts will provide an equivalent of the Level Two service to all maintained schools, although some site visits will be more evenly distributed so the fire, asbestos, legionella, play equipment review visits would move to 'at least every 2 years or more frequently as required'. This accommodates the extra 25 schools that would qualify for them as all schools would be paying but spreads the workload over 2 years with 3.2 FTE posts.

Option 2

- 2.4 Combine the costs of the provision of the schools health and safety service currently split and funded through the Education Services Grant and through buy back income, thus removing the differing levels of service but reduce current staff levels by 1FTE.
- 2.5 All schools will equally and equitably share the costs of the provision of the schools health and safety service. Two posts will provide an equivalent of the Level Two service to all maintained schools, although some site visits will be further spread so the fire, asbestos, legionella, play equipment review visits would move to 'at least every 3 years or more frequently as required'. This accommodates the extra 25 schools that would qualify for them as all schools would be paying but spreads the workload over 3 years with 2.2 FTE posts.

Option 3

- 2.6 Maintain the current choice based service options with all schools equally and equitably share the costs of the provision of the Level One schools health and safety service.
- 2.7 Those schools that decide to purchase the Level Two schools health and safety service will then be provided the comprehensive health and safety support service equivalent of the Level Two service to all schools at additional cost.

3. Introduction

- 3.1 The principle legislation in the United Kingdom for health and safety is the Health and Safety at Work Etc Act 1974. There is also a considerable amount of health and safety legislation under the Health and Safety at Work Etc Act 1974 including the Management of Health and Safety at Work Regulations
- 3.2 The Management of Health and Safety at Work Regulations set out that every employer shall appoint one or more competent persons to assist him in undertaking the measures he needs to take to comply with the requirements and prohibitions imposed upon him by or under the relevant statutory provisions and by Part II of the Fire Precautions (Workplace) Regulations 1997.
- 3.3 The regulations also state that the employer shall ensure that the number of competent persons appointed, the time available for them to fulfil their functions and the means at their disposal are adequate having regard to the size of his undertaking, the risks to which the employers employees are exposed and the distribution of those risks throughout the undertaking. It should be noted that the regulations do not suggest any limit or scope to the competent advice or how it should be delivered practically.
- 3.4 The regulations also state that where there is a competent person in the employer's employment, that person shall be appointed in preference to a competent person not in his employment.
- 3.5 The duties imposed by the health and safety at work Act 1974 and associated regulations apply to the Council as the employer in the majority of the Council's schools.
- 3.6 In the case of Foundation and Voluntary Aided schools the Governors are the employer. The Council also has the general "duty to educate", even where the Governors are the employer.

4. Health & Safety Support Service

- 4.1 The Council has an established, professional and well regarded Health and Safety Team that already supports West Berkshire schools, through two service options set out in Level One and Level Two. See Annex A.
- 4.2 The Level One service suggests compliance with the Management of Health and Safety at Work Regulations in terms of access to competent advice for health and safety. However, the Level One service includes for a health and safety needs assessment of schools on a three year basis but all other services are remote and

delivered by email and/or telephone contact. All other services set out in Level Two are not included or would require payment.

- 4.3 Schools health and safety needs assessments are completed less frequently for Level One schools and there is no additional support to improve on the areas identified in the needs assessment report. The schools are expected to make the improvements themselves without further access to competent advice and support. The issues discussed at 4.2 and 4.3 are not immediately compatible with 3.3 above.
- 4.4 The Level Two service is a comprehensive health and safety support service and covers all aspects of health and safety management and support including necessary health and safety training.
- 4.5 Two members of the health and safety team provide the Level Two service to the 50 schools that opt to take the service. It could also be argued that there is a potential conflict in performing a compliance / enforcement role with their customers.
- 4.6 The Health and Safety Team provide a compliance, advice and training role for schools. However, the work of the team relies on the buy-back which thus far has been reasonably stable but only just covers the costs of the posts.
- 4.7 This brings with it difficulty in future planning and the risk that if there was even a relatively small drop off in buy-back that one of the posts would be vulnerable. This in turn would make the service unviable as it would not be possible to maintain the Level Two service with one post/person.

5. Proposals

Option 1

- 5.1 To combine the costs of the provision of the schools health and safety service as shown in the table below and remove the differing levels of service.

Table 1

Service Costs Currently Funded by ESG (and will be required to be met by all schools from April 2017). Equivalent of 1.2 FTE post.	£61k
Service Costs Currently Funded by Schools Buy Back. Equivalent of 2 FTE posts (less buy back from academies).	£106k
Total Cost of Service to Schools	£167k
Less: Charge to maintained nursery, special, and PRU schools	-£11k
Total Cost of Service Proposed to be met by Maintained Primary and Secondary Schools	£156k
Rate per Pupil	£10.06

- 5.2 The three FTE posts will provide a comprehensive health and safety support service equivalent of the Level Two service to all schools but we would need to smooth the workload over more time, so the fire, asbestos, legionella, play equipment review visits would move to ‘at least every 2 years or more frequently as required’. This accommodates the extra 25 schools that would qualify for them as all schools would be paying but spreads the workload over 2 years with 3.2 FTE posts. (See Annex B)
- 5.3 All schools will equally and equitably share the costs of the provision of the schools health and safety service.

Option 2

- 5.4 Due to the internal promotion of one of the members of the Schools Health and Safety Team to a corporate role away from schools, an opportunity exists to offer a saving by not re-appointing to the vacant post. This would reduce the Schools Health and Safety Team 2.2 FTE.

Table 2

Service Costs Currently Funded by ESG (and will be required to be met by all schools from April 2017). Equivalent of 1.2 FTE post.	£61k
Service Costs Currently Funded by Schools Buy Back. Equivalent of 2 FTE posts (less buy back from academies).	£106k
Less 1FTE post	-£45k
Total Cost of Service to Schools	£122k
Less: Charge to maintained nursery, special, and PRU schools	-£9k
Total Cost of Service Proposed to be met by Maintained Primary and Secondary Schools	£113k
Rate per Pupil	£7.31

- 5.5 I have consulted the two existing Senior Schools Health and Safety Advisers and they are confident that they would be able to provide effective support to all schools although we would need to smooth the workload over more time, so the fire, asbestos, legionella and play equipment review visits would move to ‘at least every 3 years or more frequently as required’. This accommodates the extra 25 schools that would qualify for them as all schools would be paying but spreads the workload over 3 years with 2 FTE posts. (See Annex C)
- 5.6 The two FTE posts will provide a comprehensive health and safety support service equivalent of the Level Two service to all schools. (See Annex C)
- 5.7 All schools will equally and equitably share the costs of the provision of the schools health and safety service.

Option 3

- 5.8 Maintain the current choice based service options with all schools equally and equitably share the costs of the provision of the Level One schools health and safety service.
- 5.9 Those schools that decide to purchase the Level Two schools health and safety service will then be provided the comprehensive health and safety support service equivalent of the Level Two service to all schools at additional cost. Additional costs for the Level Two service will be charged similar to existing.

Table 3

Service Costs Currently Funded by ESG (and will be required to be met by all schools from April 2017). Equivalent of 1.2 FTE post for Level One service.	£61k
Less: Charge to maintained nursery, special, and PRU schools	-£4k
Total Cost of Service Proposed to be met by Maintained Primary and Secondary Schools	£56k
Rate per Pupil	£3.66
Service Costs Funded by Schools Buy Back. Equivalent of 2 FTE posts (less buy back from academies).	£106k

- 5.10 This is not a preferred option for the arguments set out above in 3.2, 3.3 and 3.4 in that it may not comply the spirit of the legislation.
- 5.11 The work of the team will rely on the buy-back which has in the recent few years only just covers the costs of the two posts. This brings difficulty in future planning and the risk that if there was even a relatively small drop off in buy-back that one of the posts would be vulnerable. This in turn could make the Level Two service unviable as it would not be possible to maintain the Level Two service with one post/person. The service will be delivered in the same format as Annex A

6. Conclusion

- 6.1 The Council recognises that safety is important but needs to be approached creatively and should not be seen as simply another legal burden or bureaucratic chore. A planned approach to managing risk should be seen as an enabler, not just to prevent accidents and work related health problems to both staff and pupils but to build a culture of sensible risk management, linked to a curriculum where teaching young people can develop their capability to assess and manage risk.
- 6.2 Risk is part of life but accidents do not need to be, so while schools need to make sure staff, pupils and visitors are safe, they also need to make sure that pupils are helped to become risk aware without becoming unnecessarily risk averse.

- 6.3 The Council will continue to support sensible and pro-active health and safety management in schools by providing a supportive infrastructure and service to all schools.

Annexes

Annex A – Health and Safety Service 2016/17 (existing and Option 3)

Annex B – Proposed Health and Safety Service 2017/18 (Option 1)

Annex C – Proposed Health and Safety Service 2017/18 (Option 2)

Health and Safety Service (Existing and Option 3)

Overview of Service

West Berkshire Council has a professional and dedicated Schools Health and Safety Team who provide support and advice to schools on all aspects of health and safety including policy development and effective implementation, user friendly guidance and information, support in completing risk assessments, a complete range of health and safety training, a regularly updated website, SLA online, safety alerts and health and safety newsletters.

West Berkshire Council Health and Safety

Level 1 Service	
Summary	
<p>The core elements (accident/incident reporting, advice and safety auditing) of the Level 1 Health and Safety Service are provided free to all WBC schools.</p> <p>Level 1 schools will be required to complete a regular return to WBC to confirm they have appropriate and effective health and safety management systems in place.</p> <p>Health and Safety Training can be purchased at exceptionally good value on a cost per person per course basis or schools can request a quotation via SLA Online for bespoke or onsite health and safety training.</p>	
Service Provided	Service Standard
1) Advice	This is a 'REMOTE' service i.e. no 'in depth' support on site. Services will generally only be provided via email and/or telephone.
2) Training	The Health and Safety Team run school specific health and safety courses, which are accessible to Level 1 schools and Academies for a fee. Further details of courses available and costs can be obtained from CYP Training http://info.westberks.gov.uk/index.aspx?articleid=29858 . Online health and safety courses can be accessed here http://intranet/index.aspx?articleid=19785
3) Health and Safety Audit (Needs Assessment)	<p>Schools will receive a health and safety audit designed to assess and measure levels of compliance with health and safety legislation and best practice. The associated action plan will help you prioritise your improvement plan.</p> <p>Health and Safety Needs Assessments will be completed for Level 1 school on a 3 yearly cycle. Schools will be required to complete a regular health and safety return to the Council.</p> <p>Health and Safety Audits are available to Academies for a fee.</p>
4) Webrisk	<p>The Webrisk system is provided to all schools to allow them to record and monitor incidents. Schools must use the system. Failure to use the Webrisk system appropriately may invalidate a schools insurance cover with the Council.</p> <p>Webrisk is not available to Academies</p>

Level 2 Service

Summary

The aim of this service is to provide schools with a named, dedicated and professional Health and Safety Adviser to provide 'on site support and advice' to the school, guiding and prioritising the integration of an effective and efficient safety management system and documentation in support of the School's Health and Safety Policy.

The Schools dedicated Health and Safety Adviser will begin by arranging and completing a Health and Safety Audit (Needs Assessment) of the school that will help to identify the strengths and areas for improvement in the schools existing arrangements. The Schools dedicated Health and Safety Adviser will then continue to work closely with the school to help plan, develop and implement your health and safety policy and the areas for improvement you need.

The Management of Health and Safety at Work Regulations require you to appoint someone competent to help you meet your health and safety duties. A competent person is someone with the necessary skills, knowledge and experience to manage health and safety.

West Berkshire Council, Schools Health and Safety Team will be your competent person and help ensure you meet your health and safety duties. Level 2 services are listed below in further detail.

Service Provided	Service Standard
1) Advice	Advice and support will be provided to the school on specific questions/issues. If required the schools dedicated Health and Safety Adviser will arrange to visit the school and meet with relevant persons to ensure the enquiry is resolved.
2) Health and Safety Needs Assessment	<p>Schools will receive a health and safety needs assessment designed to assess and measure levels of compliance with health and safety legislation and best practice. The associated action plan will help you prioritise your improvement plan.</p> <p>Your dedicated Health and Safety Adviser will then arrange to assist and support the school in progressing the recommendations to ensure continual improvement.</p> <p>Health and Safety Needs Assessments will be completed for Level 2 school on a 2 yearly cycle but schools can request an additional Health and Safety Needs Assessments if required.</p> <p>Health and Safety Needs Assessments are available to Academies for a fee.</p>
3) School Safety Policy:	<p>Review existing against a model H&S Policy that is school specific, in line with the LA Safety Policy, and conforms to appropriate local and legislative requirements.</p> <p>Ensure the Policy identifies key commitments with current signature.</p> <p>Ensure that the Policy, Organisation and arrangements are carried out and accurately reflect practice.</p>
4) Safety Organisation:	Review and provide documentation that identifies how health and safety is/shall become 'embedded' in daily operations at the school. Identify and/or nominate key staff tasked with health and safety responsibilities.

<p>5) Planning and implementing:</p>	<p>Review the existing arrangements; ensure the school adequately documents the standards and procedures required for a safe place of work.</p> <p>Following written review and prioritisation of issues, help the school to progress the areas for improvement by providing support and guidance. Improvement will be achieved with the schools full commitment and involvement.</p>
<p>6) Health and Safety Risk Assessment:</p>	<p>Provide the school with initial or refresher training to nominated persons regarding completion of <i>local</i> Risk Assessments.</p> <p>Provide on-site review of the schools risk assessments, to support their completion.</p> <p>Provide basic refresher training to nominated groups of key staff. Ensure a practical understanding of the training by jointly completing several specific health and safety risk assessments required by the school.</p> <p>Provide support and guidance in terms of prioritising risk assessments to be completed or reviewed etc.</p>
<p>7) Telephone/Incident response:</p>	<p>Provide general telephone health and safety advice as required.</p> <p>Please note that where the topic is of a specific nature, additional time may be required for a detailed response following the initial call.</p> <p>Whilst every endeavour is made to provide an immediate answer to health and safety queries via telephone/email, requests may require additional research time. Therefore, where it is not possible to provide an answer of sufficient depth at the time of the call, or the same day, every endeavour shall be made to provide a follow-up call the next working day.</p> <p>Should the associated risk to safety or health warrant a school visit, this shall be arranged by the Health and Safety Team.</p>
<p>8) Health and Safety Training</p>	<p>The Health and Safety Team run school specific health and safety courses. All health and safety training is included in the Level 2 service.</p> <p>Further details of courses available and costs can be obtained from CYP Training http://info.westberks.gov.uk/index.aspx?articleid=29858.</p> <p>On-site training can also be arranged free of charge.</p>
<p>9) Fire Management</p>	<p>Level 2 schools will receive an annual visit to complete a review of the schools Fire Risk Assessment (FRA) with their Health and Safety Advisor.</p> <p>Your advisor will also: Complete a site inspection to verify recommendations have</p>

	<p>been implemented. Discuss any issues outstanding and how to address these. Your advisor will help schools to complete an assessment to ensure you have adequate numbers of appropriately trained staff to deal with fire safety issues.</p> <p>Your advisor can also provide Fire Awareness training to school staff at an agreed time and date on site.</p>
10) Asbestos Management	<p>Level 2 schools will receive an annual visit to complete a condition check of ACM (asbestos containing materials) with their Health and Safety Advisor.</p> <p>Your advisor will also review: The Asbestos Management Plan The Asbestos Register The Asbestos Survey</p> <p>Additionally any asbestos related risk assessment you may have in place will be reviewed to ensure it is correct and relevant.</p> <p>Your advisor can also provide tool box talks to your staff to allay any fears they may have regarding retained ACMs and also to highlight their responsibilities in respect of Health and Safety regarding asbestos.</p>
11) Legionella Management	<p>Level 2 schools will receive an annual site visit to complete a review of the legionella risk assessment with their Health and Safety Advisor.</p> <p>The advisor will also check that the school are working within the written scheme suggested and in line with the recommendations of the risk assessment.</p>
12) Playground Equipment	<p>Level 2 schools will receive an annual visit to complete a playground equipment inspection with their Health and Safety Advisor. This will be a guided check to ensure staff are confident with what should be checked, what should be recorded and what action to take.</p> <p>We will also review the playground equipment risk assessment with the school to ensure it is suitable and sufficient.</p> <p>This will give a specific opportunity for any concerns to be discussed and queries answered.</p> <p>We can also provide on-site training and support to staff if required.</p>
13) First Aid	<p>Level 2 schools will receive support and assistance to ensure the school's first aid risk assessments are in place and up to date and an appropriate number of staff are identified and trained to deliver first aid.</p>
14) Accident / Incident investigation and enforcement action	<p>Level 2 schools will receive full on-site support and advice from your named and dedicated Health and Safety Adviser during an accident investigation for a serious accident or enforcement action by an enforcing authority such as the Health and Safety Executive.</p>

<p>15) Webrisk</p>	<p>Webrisk is provided to all schools to allow them to record and monitor accidents/incidents. Schools must use Webrisk as failure to do so could invalidate insurance cover.</p>
<p>16) CHAS</p>	<p>Assessing health and safety competence can be a lengthy and time consuming process. CHAS assesses applicants: health and safety policy, their organisation for health and safety and their specific health and safety arrangements to a standard acceptable to our buyers and others. In essence, CHAS completes the initial health and safety application process for you.</p> <p>Using CHAS will help you select a competent contractor or supplier but you still need to check they are competent to carry out your project by checking they have appropriate experience and take references etc.</p>
<p>17) Safety Schemes In Partnership (SSIP)</p>	<p>An important feature of the SSIP Forum is the HSE's message that a buyer can be confident a supplier who is registered or accredited as compliant or approved with an SSIP member has been assessed to the Core Criteria standard.</p> <p>There are numerous pre-qualification health and safety schemes including CHAS, EXOR, SAFEcontractor etc. SSIP brings most of the pre-qualification schemes together under one umbrella via a 'deem to satisfy' agreement.</p> <p>This means that buyers using the SSIP database will have access to thousands of contractors who are accredited as compliant to the HSE's Core Criteria (stage one) standard.</p> <p>Using SSIP will help you select a competent contractor or supplier but you still need to check they are competent to carry out your project by checking they have appropriate experience and take references etc.</p> <p>Access to SSIP is included for Level 2 schools.</p>

Health and Safety Service (Option 1)

Overview of Service

West Berkshire Council has a professional and dedicated Schools Health and Safety Team who provide support and advice to schools on all aspects of health and safety including policy development and effective implementation, user friendly guidance and information, support in completing risk assessments, a complete range of health and safety training, a regularly updated website, SLA online, safety alerts and health and safety newsletters.

West Berkshire Council Schools Health and Safety

Standard Service

Summary

The aim of this service is to provide schools with a named, dedicated and professional Health and Safety Adviser to provide ‘on site support and advice’ to the school, guiding and prioritising the integration of an effective and efficient safety management system and documentation in support of the School’s Health and Safety Policy.

The Schools dedicated Health and Safety Adviser will begin by arranging and completing a Health and Safety Needs Assessment of the school that will help to identify the strengths and areas for improvement in the schools existing arrangements.

The Schools dedicated Health and Safety Adviser will then continue to work closely with the school to help plan, develop and implement your health and safety policy and the areas for improvement you need.

The Management of Health and Safety at Work Regulations require you to appoint someone competent to help you meet your health and safety duties. A competent person is someone with the necessary skills, knowledge and experience to manage health and safety.

Service Provided	Service Standard
Advice	Advice and support will be provided to the school on specific questions/issues. If required the schools dedicated Health and Safety Adviser will arrange to visit the school and meet with relevant persons to ensure the enquiry is resolved.
Health and Safety Needs Assessment	Schools will receive a health and safety needs assessment designed to assess and measure levels of compliance with health and safety legislation and best practice. The associated action plan will help you prioritise your improvement plan. Your dedicated Health and Safety Adviser will then arrange to assist and support the school in progressing the recommendations to ensure continual improvement. Health and Safety Needs Assessments will be completed on a 3 yearly cycle.
School Safety Policy:	Review existing against a model H&S Policy that is school specific, in line with the LA Safety Policy, and conforms to appropriate local and legislative requirements. Ensure the Policy identifies key commitments with a current signature and that the policy, organisation and arrangements are carried out and accurately reflect practice.

Safety Organisation:	Review and provide documentation that identifies how health and safety is/shall become 'embedded' in daily operations at the school. Identify and/or nominate key staff tasked with health and safety responsibilities.
Planning and implementing:	<p>Review the existing arrangements; ensure the school adequately documents the standards and procedures required for a safe place of work.</p> <p>Following written review and prioritisation of issues, help the school to progress the areas for improvement by providing support and guidance. Improvement will be achieved with the schools full commitment and involvement.</p>
Health and Safety Risk Assessment:	<p>Provide the school with initial or refresher training to nominated persons regarding completion of <i>local</i> Risk Assessments.</p> <p>Provide on-site review of the schools risk assessments, to support their completion.</p> <p>Provide basic refresher training to nominated groups of key staff. Ensure a practical understanding of the training by jointly completing several specific health and safety risk assessments required by the school.</p> <p>Provide support and guidance in terms of prioritising risk assessments to be completed or reviewed etc.</p>
Telephone/Incident response:	<p>Provide general telephone health and safety advice as required.</p> <p>Please note that where the topic is of a specific nature, additional time may be required for a detailed response following the initial call.</p> <p>Whilst every endeavour is made to provide an immediate answer to health and safety queries via telephone/email, requests may require additional research time. Therefore, where it is not possible to provide an answer of sufficient depth at the time of the call, or the same day, every endeavour shall be made to provide a follow-up call the next working day.</p> <p>Should the associated risk to safety or health warrant a school visit, this shall be arranged by the Health and Safety Team.</p>
Health and Safety Training	<p>The Health and Safety Team run school specific health and safety courses. All health and safety training is included in the Standard Service.</p> <p>Further details of courses available can be obtained from CYP Training http://info.westberks.gov.uk/index.aspx?articleid=29858.</p>
Fire Management	<p>The schools dedicated Health and Safety Adviser will visit on a regular basis (at least every 2 years or more frequent if required) to assist the school to complete a review of the schools Fire Risk Assessment (FRA).</p> <p>Your advisor will also:</p>

	<p>Complete a site inspection to verify recommendations have been implemented.</p> <p>Discuss any issues outstanding and how to address these. Your advisor will help schools to complete an assessment to ensure you have adequate numbers of appropriately trained staff to deal with fire safety issues.</p> <p>Your advisor can also provide Fire Awareness training to school staff at an agreed time and date on site.</p>
Asbestos Management	<p>The schools dedicated Health and Safety Adviser will visit on a regular basis (at least every 2 years or more frequent if required) to assist the school to complete a condition check of ACM (asbestos containing materials).</p> <p>Your advisor will review: The Asbestos Site Management Plan The Asbestos Register The Asbestos Survey</p> <p>Additionally any asbestos related risk assessment you may have in place will be reviewed to ensure it is correct and relevant.</p> <p>Your advisor can also provide tool box talks to your staff to allay any fears they may have regarding retained ACMs and also to highlight their responsibilities in respect of Health and Safety regarding asbestos.</p>
Legionella Management	<p>The schools dedicated Health and Safety Adviser will visit on a regular basis (at least every 2 years or more frequent if required) to assist the school to complete a review of the legionella risk assessment.</p> <p>The advisor will also check that the school are working within the written scheme suggested and in line with the recommendations of the risk assessment.</p>
Playground Equipment	<p>The schools dedicated Health and Safety Adviser will visit on a regular basis (at least every 2 years or more frequent if required) to assist the school to complete a playground equipment inspection. This will be a guided check to ensure staff are confident with what should be checked, what should be recorded and what action to take.</p> <p>We will also review the playground equipment risk assessment with the school to ensure it is suitable and sufficient. This will give a specific opportunity for any concerns to be discussed and queries answered. We can also provide on-site training and support to staff if required.</p>
First Aid	<p>The schools dedicated Health and Safety Adviser will assist the school to complete a review of the school's first aid risk assessment to ensure they are in place and up to date and an appropriate number of staff are identified and trained to deliver first aid.</p>
Accident / Incident investigation and enforcement action	<p>The schools dedicated Health and Safety Adviser will assist the school with on-site support and advice during an accident investigation for a serious accident or enforcement action by an enforcing authority such as the Health and Safety Executive.</p>

Webrisk	Webrisk is provided to all schools to allow them to record and monitor accidents/incidents. Schools must use Webrisk as failure to do so could invalidate insurance cover.
CHAS	<p>Assessing health and safety competence can be a lengthy and time consuming process. CHAS assesses applicants: health and safety policy, their organisation for health and safety and their specific health and safety arrangements to a standard acceptable to our buyers and others. In essence, CHAS completes the initial health and safety application process for you.</p> <p>Using CHAS will help you select a competent contractor or supplier but you still need to check they are competent to carry out your project by checking they have appropriate experience and take references etc.</p>
Safety Schemes In Partnership (SSIP)	<p>An important feature of the SSIP Forum is the HSE's message that a buyer can be confident a supplier who is registered or accredited as compliant or approved with an SSIP member has been assessed to the Core Criteria standard.</p> <p>There are numerous pre-qualification health and safety schemes including CHAS, EXOR, SAFE-contractor etc. SSIP brings most of the pre-qualification schemes together under one umbrella via a 'deem to satisfy' agreement.</p> <p>This means that buyers using the SSIP database will have access to thousands of contractors who are accredited as compliant to the HSE's Core Criteria (stage one) standard.</p> <p>Using SSIP will help you select a competent contractor or supplier but you still need to check they are competent to carry out your project by checking they have appropriate experience and take references etc.</p> <p>Access to SSIP is included for schools.</p>

School responsibilities

Whilst the duty to comply with statutory requirements cannot be delegated and remains with the Schools and the Local Authority, the tasks involved with the effective implementation of good health and safety management in schools has been delegated to the Head Teachers. For this approach to be successful, each school must do all that is reasonably practicable to ensure the health, safety and welfare at work of their staff, pupils and that of non-employees.

Operation of an effective health and safety management system at the school is central to achieving the above, with key areas being:

- The school Health and Safety Policy
- Organising for health and safety
- Planning and implementing safety controls
- Monitoring school health and safety performance
- Auditing and reviewing health and safety compliance and best practice.

Schools must also use the Council's Webrisk system to record accidents and incidents relating to the health and safety of their staff, pupils or visitors.

Health and Safety Service (Option 2)

Overview of Service

West Berkshire Council has a professional and dedicated Schools Health and Safety Team who provide support and advice to schools on all aspects of health and safety including policy development and effective implementation, user friendly guidance and information, support in completing risk assessments, a complete range of health and safety training, a regularly updated website, SLA online, safety alerts and health and safety newsletters.

West Berkshire Council Schools Health and Safety

Standard Service

Summary

The aim of this service is to provide schools with a named, dedicated and professional Health and Safety Adviser to provide ‘on site support and advice’ to the school, guiding and prioritising the integration of an effective and efficient safety management system and documentation in support of the School’s Health and Safety Policy.

The Schools dedicated Health and Safety Adviser will begin by arranging and completing a Health and Safety Needs Assessment of the school that will help to identify the strengths and areas for improvement in the schools existing arrangements.

The Schools dedicated Health and Safety Adviser will then continue to work closely with the school to help plan, develop and implement your health and safety policy and the areas for improvement you need.

The Management of Health and Safety at Work Regulations require you to appoint someone competent to help you meet your health and safety duties. A competent person is someone with the necessary skills, knowledge and experience to manage health and safety.

Service Provided	Service Standard
Advice	Advice and support will be provided to the school on specific questions/issues. If required the schools dedicated Health and Safety Adviser will arrange to visit the school and meet with relevant persons to ensure the enquiry is resolved.
Health and Safety Needs Assessment	Schools will receive a health and safety needs assessment designed to assess and measure levels of compliance with health and safety legislation and best practice. The associated action plan will help you prioritise your improvement plan. Your dedicated Health and Safety Adviser will then arrange to assist and support the school in progressing the recommendations to ensure continual improvement. Health and Safety Needs Assessments will be completed on a 3 yearly cycle.
School Safety Policy:	Review existing against a model H&S Policy that is school specific, in line with the LA Safety Policy, and conforms to appropriate local and legislative requirements. Ensure the Policy identifies key commitments with a current signature and that the policy, organisation and arrangements are carried out and accurately reflect practice.

Safety Organisation:	Review and provide documentation that identifies how health and safety is/shall become 'embedded' in daily operations at the school. Identify and/or nominate key staff tasked with health and safety responsibilities.
Planning and implementing:	<p>Review the existing arrangements; ensure the school adequately documents the standards and procedures required for a safe place of work.</p> <p>Following written review and prioritisation of issues, help the school to progress the areas for improvement by providing support and guidance. Improvement will be achieved with the schools full commitment and involvement.</p>
Health and Safety Risk Assessment:	<p>Provide the school with initial or refresher training to nominated persons regarding completion of <i>local</i> Risk Assessments.</p> <p>Provide on-site review of the schools risk assessments, to support their completion.</p> <p>Provide basic refresher training to nominated groups of key staff. Ensure a practical understanding of the training by jointly completing several specific health and safety risk assessments required by the school.</p> <p>Provide support and guidance in terms of prioritising risk assessments to be completed or reviewed etc.</p>
Telephone/Incident response:	<p>Provide general telephone health and safety advice as required.</p> <p>Please note that where the topic is of a specific nature, additional time may be required for a detailed response following the initial call.</p> <p>Whilst every endeavour is made to provide an immediate answer to health and safety queries via telephone/email, requests may require additional research time. Therefore, where it is not possible to provide an answer of sufficient depth at the time of the call, or the same day, every endeavour shall be made to provide a follow-up call the next working day.</p> <p>Should the associated risk to safety or health warrant a school visit, this shall be arranged by the Health and Safety Team.</p>
Health and Safety Training	<p>The Health and Safety Team run school specific health and safety courses. All health and safety training is included in the Standard Service.</p> <p>Further details of courses available can be obtained from CYP Training http://info.westberks.gov.uk/index.aspx?articleid=29858.</p>
Fire Management	<p>The schools dedicated Health and Safety Adviser will visit on a regular basis (at least every 3 years or more frequent if required) to assist the school to complete a review of the schools Fire Risk Assessment (FRA). Your advisor will also: Complete a site inspection to verify recommendations have been implemented.</p>

	<p>Discuss any issues outstanding and how to address these. Your advisor will help schools to complete an assessment to ensure you have adequate numbers of appropriately trained staff to deal with fire safety issues.</p> <p>Your advisor can also provide Fire Awareness training to school staff at an agreed time and date on site.</p>
Asbestos Management	<p>The schools dedicated Health and Safety Adviser will visit on a regular basis (at least every 3 years or more frequent if required) to assist the school to complete a condition check of ACM (asbestos containing materials).</p> <p>Your advisor will review: The Asbestos Site Management Plan The Asbestos Register The Asbestos Survey</p> <p>Additionally any asbestos related risk assessment you may have in place will be reviewed to ensure it is correct and relevant.</p> <p>Your advisor can also provide tool box talks to your staff to allay any fears they may have regarding retained ACMs and also to highlight their responsibilities in respect of Health and Safety regarding asbestos.</p>
Legionella Management	<p>The schools dedicated Health and Safety Adviser will visit on a regular basis (at least every 3 years or more frequent if required) to assist the school to complete a review of the legionella risk assessment.</p> <p>The advisor will also check that the school are working within the written scheme suggested and in line with the recommendations of the risk assessment.</p>
Playground Equipment	<p>The schools dedicated Health and Safety Adviser will visit on a regular basis (at least every 3 years or more frequent if required) to assist the school to complete a playground equipment inspection. This will be a guided check to ensure staff are confident with what should be checked, what should be recorded and what action to take.</p> <p>We will also review the playground equipment risk assessment with the school to ensure it is suitable and sufficient. This will give a specific opportunity for any concerns to be discussed and queries answered. We can also provide on-site training and support to staff if required.</p>
First Aid	<p>The schools dedicated Health and Safety Adviser will assist the school to complete a review of the school's first aid risk assessment to ensure they are in place and up to date and an appropriate number of staff are identified and trained to deliver first aid.</p>
Accident / Incident investigation and enforcement action	<p>The schools dedicated Health and Safety Adviser will assist the school with on-site support and advice during an accident investigation for a serious accident or enforcement action by an enforcing authority such as the Health and Safety Executive.</p>
Webrisk	<p>Webrisk is provided to all schools to allow them to record and monitor accidents/incidents. Schools must use Webrisk</p>

	as failure to do so could invalidate insurance cover.
CHAS	<p>Assessing health and safety competence can be a lengthy and time consuming process. CHAS assesses applicants: health and safety policy, their organisation for health and safety and their specific health and safety arrangements to a standard acceptable to our buyers and others. In essence, CHAS completes the initial health and safety application process for you.</p> <p>Using CHAS will help you select a competent contractor or supplier but you still need to check they are competent to carry out your project by checking they have appropriate experience and take references etc.</p>
Safety Schemes In Partnership (SSIP)	<p>An important feature of the SSIP Forum is the HSE's message that a buyer can be confident a supplier who is registered or accredited as compliant or approved with an SSIP member has been assessed to the Core Criteria standard.</p> <p>There are numerous pre-qualification health and safety schemes including CHAS, EXOR, SAFE-contractor etc. SSIP brings most of the pre-qualification schemes together under one umbrella via a 'deem to satisfy' agreement.</p> <p>This means that buyers using the SSIP database will have access to thousands of contractors who are accredited as compliant to the HSE's Core Criteria (stage one) standard.</p> <p>Using SSIP will help you select a competent contractor or supplier but you still need to check they are competent to carry out your project by checking they have appropriate experience and take references etc.</p> <p>Access to SSIP is included for schools.</p>

School responsibilities

Whilst the duty to comply with statutory requirements cannot be delegated and remains with the Schools and the Local Authority, the tasks involved with the effective implementation of good health and safety management in schools has been delegated to the Head Teachers. For this approach to be successful, each school must do all that is reasonably practicable to ensure the health, safety and welfare at work of their staff, pupils and that of non-employees.

Operation of an effective health and safety management system at the school is central to achieving the above, with key areas being:

- The school Health and Safety Policy
- Organising for health and safety
- Planning and implementing safety controls
- Monitoring school health and safety performance
- Auditing and reviewing health and safety compliance and best practice.

Schools must also use the Council's Webrisk system to record accidents and incidents relating to the health and safety of their staff, pupils or visitors.

West Berkshire Council Maintained Schools

Proposal to De-Delegate Formula Funding 2017-18

School Improvement & Governor Support Team (SIGT)

Context of the Proposal

The changing national landscape of school improvement is one of transition from local authority led to a system-led model of school improvement with the subsequent reduction to local authority funding. This proposal concerns the support for transitional school improvement funding in two stages:

- From April to August 2017
- From September to March 2018 (reduced model)

Locally, the SIGT has developed a partially traded service and works in partnership with the Teaching Alliances to deliver CPD and broker school to school support as part of transitional arrangements to system-led delivery. All maintained schools also currently have access to significant free core SIA and governance support on top of what are statutory functions. (See Annex A)

As part of this transition, and as a consequence of the council needing to make a budget saving of circa £8 million in 2017/2018, a School Improvement reduction of £200,000 takes effect from April 1st 2017. In addition, a challenge for forward planning has been the short notification of LA funding from April 2017 onwards. (December 2016).

What are the issues?

Although national school improvement funding is reducing, the LA **has not lost any responsibility for its statutory functions** (see Statutory Functions p.3). It has also been nationally acknowledged by the National Schools' Commissioner that there is not yet enough capacity in the system for schools to be wholly responsible for supporting each other to raise standards and being the sole provider of CPD.

In response to this ambiguous position, the DfE has recently announced that there will be a contribution to transitional funding to support statutory functions from September 2017 to the equivalent of £1,800 per school per year. This sum does not fully meet the cost of transitional arrangements or the delivery of statutory functions. In particular, it would not adequately cover the need to provide support to schools currently "at risk" or to undertake preventative work to ensure that schools do not fall into Ofsted categories or decline in performance.

The LA currently has

- 2 primary schools below the floor standard in 2016
- 4 primary schools which meet the coasting criteria
- 10 schools which are RI, 2 of which are twice RI

- A further 16 schools which are categorized lower than category B for support

The LA has shown that it provides effective support to help schools improve. The percentage of schools judged good or better has risen from 75% in January 2015 to 87% in January 2017. No schools have been judged inadequate since February 2013.

What are the costs of the proposed transition model?

**School Improvement and Governance Service – 2017/18 Financial Year
Proposed Cost of Service for De-delegation**

	Calculation	Cost £
April to August 2017		(rounded)
4x fte Advisers; 2 Gov support officers; 2 Admin support/commissioned SI support	£468k x 5/12	£195k
Non staffing costs	£24k x 5/12	£10k
Total Cost April to August		£205k
September 2017 to March 2018		
Advisors/commissioned School Improvement and Curriculum Support Admin & Gov and SI support to cover statutory duties	£238k x 7/12	£139k
Non staffing costs	£8k x 7/12	£4k
Total Cost September to March		£143k
Less : school improvement grant	£1,800 x 71 x 7/12	-£143k
Net Total Cost September to March		£0k
Total Net Cost 2017/18 Financial Year		£205k
Add: Statutory cost (Moderation + SACRE)	£29k	£29k
Add: Support Service recharges		£33k
Less buy backs from non mainstream schools		-£11k
Total Net Cost for De-delegation		£256k
Cost/Charge per pupil	Divide by 15,487	£16.52

	2016-7 Budget	2017-8
Total	£620k	£267k
	57% decrease year on year	

What will schools continue to receive for this funding?

April 2017 to August 2017

The SIGT service will continue to provide an enhanced service, central support, advice and guidance to all schools.

All statutory functions will be carried out.

September 2017 to April 2018

The SIGT will be further reduced in capacity and the focus will be on the delivery of the statutory functions as well as the development and delivery of a quality traded service. The most immediate consequence of this will be a reduction of non – statutory core support to schools currently categorized A or B (core visit note categorization “securely” good or better school). However, schools will be able to buy back support if they wish through the current traded services agreement. The DfE has announced that a new £140m Strategic

School Improvement Fund to drive up standards will also be available for schools. LAs can support schools to make bids to the DfE for this funding.

In addition, we will also guarantee that **as well as fulfilling statutory duties**, we shall continue to:

- Maintain school categorisation for support for all maintained schools through monitoring and analysis of performance information, Ofsted reports, requests from schools themselves, and LA intelligence. Schools lower than category B will receive support/tailored SIA visits. Ensure that the LA’s successful preventative work continues so that no school “slips” unexpectedly.
- Ensure that schools which require improvement or where standards are too low have targeted local authority support and guidance to help them improve and “secure good”.
- Provide support during section 5 inspections and section 8 monitoring visits.
- Continue to provide training through traded arrangements for English, mathematics and assessment.
- Provide access to central expertise for governing boards.
- Provide induction for new headteachers/welcome pack.
- Provide induction for new governors.
- Support for Headteacher Forums.
- Support for curriculum networks.
- Access to advice and support on pupil and school performance data.
- Support for the induction of NQTs.
- Provide general telephone guidance and support for school improvement and governance.
- Continue to support the strategic development of school to school support and Teaching Alliances across West Berkshire.
- Support the writing of bids for school improvement funding from the DfE or National College.

What are the statutory functions for governance and school improvement?

Statutory Functions	
<p>School Governance section 22 of the 2002 Education Act LA’s are required to support:</p> <ul style="list-style-type: none"> • Setting out requirements for governing bodies: ensuring instruments of governance are in place for all maintained schools/advice and guidance to schools requiring a change to their formal constitution • Appointment of committees • Appointment/removal of LA governors • Advice and support for governors • Providing Information, including newsletters, signposting and training to enable governors to discharge their functions as governors • Maintaining records of governing body membership and terms of office • Procedures, advice and guidance to community and VC schools on 	

<ul style="list-style-type: none"> parent governor elections • Support of temporary governing boards • Support making arrangements to allow governing bodies to federate or collaborate • Support the writing of statements of action for schools in categories • Issuing Warning notices to governors as required/disband governing bodies/putting in IEBs (see school improvement) 	
<p>School Improvement Duties in relation to high standards and the fulfillment of potential From section 13A of Education Act 1996 “Duty to promote high standards and the fulfillment of potential”. When delivering school improvement functions, LAs must also have regard to the Schools Causing Concern statutory guidance. This guidance covers “Schools Causing Concern” but also other maintained schools which the LA has serious concerns about and needs to be addressed. To fulfill these requirements, the LA is required to have the expenditure to:</p> <ul style="list-style-type: none"> • Monitor all maintained schools (visit to schools at risk, data monitoring; categorization of support) • Have the resources to be able to take action where necessary to support the improvement of standards in particular, This includes issuing Warning Notices where there are concerns about standards, leadership, governance , finance or the safety of pupils. 	
<p>Monitoring National Curriculum Assessment Arrangements Expenditure on monitoring NC assessment arrangements required by orders made under section 87 of the 2002 Education Act. Under the Education (NC)(KS1 Assessment Arrangements) Order 2004, a local authority must:</p> <ol style="list-style-type: none"> 1. Moderate teacher assessments carried out at the end of KS1 by schools in at least 25% of maintained schools each year and ensure that every school will be subject to moderation at least once every 4 years. 2. Appoint a person who has recent experience of provision of the NC in primary schools. 3. LAs have equivalent duties in KS2 <p>(Currently costed at £25K per annum)</p>	
<p>Religious Education A local authority must :</p> <ol style="list-style-type: none"> 1. Set up a standing advisory council on religious education (section 390 Education Act 1996); and 2. Prepare an agreed syllabus of religious education in accordance with Schedule 31, Education Act 1996. <p>(currently costed at £4K per annum)</p>	

Will there be further consultation with schools over the future shaping of the school improvement and governance service?

Yes. This proposal is setting out the basic need to continue over the next year. The landscape is continually changing. We would be interested in further discussion with schools over time if there was a sense that retention of central school improvement services beyond statutory functions would be desirable.

Annex A

In addition to the core SIA and governance support, all maintained schools have a full core package which covers key statutory and non-statutory requirements and strategic elements for school development and improvement. This core package is outlined in full in the Prospectus of Support for West Berkshire schools and includes:

Current Non Statutory Core Offer at no cost to schools

- Three termly visits to each maintained school
- Additional support/"health checks" for schools below category B for curriculum and school improvement
- PP networks/reading network/maths network
- PP and governance reviews (free for some targeted schools)
- Support for induction and mentorship of new headteachers
- Support for short listing and appointment of new headteachers
- Support for section 5 inspections and section 8 monitoring visits
- Support for primary Headteacher Forums, Link groups and Leadership Forums
- Advice on school to school support
- Support for statutory data returns
- Support for NQT induction and assessment
- Access to advice and support on pupil and school performance data.
- General advice and guidance on request for governance and school improvement
- Support for induction of new chairs of governors
- Additional governor support for schools below category B
- Support for the development of school to school support/brokering with Teaching Alliances

Traded Services

The SIGT will continue to provide a traded service for schools, including the following services/ options

- LA as Awarding Body for NQTs
- Data Packages
- Headteacher performance management (primary)
- Value Package A
- Governance Improvement Package
- Governance Pay As you Use Package
- Subject support for mathematics and English
- "Health Checks" and Reviews (including governance)
- Ofsted support
- Pupil premium review
- Purchase of training against the SLA
- Tailored requests to meet the needs of schools and governing bodies

Schools will be contacted in January 2017 about the traded services on offer.

Breakdown of ESG Services for De-Delegation								
Cost Centre	School	Cost	School Improvement	Teachers Pension Scheme	Internal Audit	Accountancy	Health & Safety	
			£255,817	£30,404	£41,883	£30,953	£155,767	£514,825
ACTUAL Pupil No's			£16.52	£1.96	£2.70	£2.00	£10.06 Unit Rates	
Oct-16		Indicative Dedelegation for each Service by School						TOTAL
91000	Aldermaston Church of England Primary School	185	3,056	363	500	370	1,861	6,150
91100	Basildon Church of England Primary School	143	2,362	281	387	286	1,438	4,754
91300	Beedon Church of England Controlled Primary School	46	760	90	124	92	463	1,529
91400	Beenham Primary School	82	1,354	161	222	164	825	2,726
91200	Birch Copse Primary School	424	7,004	832	1,147	847	4,265	14,095
91500	Bradfield Church of England Primary School	142	2,346	279	384	284	1,428	4,720
91600	Brightwalton Church of England Aided Primary School	100	1,652	196	270	200	1,006	3,324
91700	Brimpton Church of England Primary School	50	826	98	135	100	503	1,662
91800	Bucklebury Church of England Primary School	129	2,131	253	349	258	1,297	4,288
91900	Burghfield St. Mary's Church of England Primary School	208	3,436	408	563	416	2,092	6,914
92000	Calcot Infant School & Nursery	230	3,799	452	622	460	2,313	7,646
92100	Calcot Junior School	279	4,609	548	755	568	2,806	9,275
95600	Chaddleshorth St. Andrew's Church of England Primary School	29	479	57	78	58	292	964
92400	Chieveley Primary School	209	3,452	410	565	418	2,102	6,948
95900	Cold Ash St. Mark's Church of England Primary School	197	3,254	387	533	394	1,981	6,549
92200	Compton Church of England Primary School	185	3,056	363	500	370	1,861	6,150
92300	Curridge Primary School	103	1,701	202	279	206	1,036	3,424
92500	Downs Way Primary School	209	3,452	410	565	418	2,102	6,948
92800	Enborne Church of England Primary School	65	1,074	128	176	130	654	2,161
92900	Englefield Church of England Primary School	98	1,619	192	265	196	986	3,258
93000	Falkland Primary School	450	7,433	883	1,217	899	4,526	14,959
93200	Francis Baily Primary School	543	8,969	1,066	1,468	1,085	5,461	18,051
93400	Garland Junior School	217	3,584	426	587	434	2,183	7,214
93500	Hampstead Norreys Church of England Primary School	88	1,454	173	238	176	885	2,925
93600	Hermitage Primary School	196	3,238	385	530	392	1,971	6,516
93700	Hungerford Primary School	393	6,492	772	1,063	795	3,953	13,064
92700	The Ilsleys' Primary School	58	958	114	157	116	583	1,928
93800	Inkpen Primary School	76	1,255	149	206	152	764	2,526
93900	John Rankin Infant & Nursery School	260	4,295	510	703	520	2,615	8,643
94000	John Rankin Junior School	280	4,625	550	757	560	2,816	9,308
94100	Kennet Valley Primary School	194	3,205	381	525	388	1,951	6,449
94200	Kintbury St. Mary's Church of England Primary School	140	2,313	275	379	280	1,408	4,654
94300	Lambourn Church of England Primary School	196	3,238	385	530	392	1,971	6,516
94400	Long Lane Primary School	208	3,436	408	563	416	2,092	6,914
95800	Mortimer St. Johns Church of England Infant School	182	3,006	357	492	364	1,831	6,050
97500	Mortimer St. Mary's Church of England Junior School	216	3,568	424	584	432	2,173	7,180
94500	Mrs. Bland's Infant & Nursery School	170	2,808	334	460	340	1,710	5,651
94600	Pangbourne Primary School	205	3,386	402	554	410	2,062	6,815
94700	Parsons Down Infant School	217	3,584	426	587	434	2,183	7,214
94800	Parsons Down Junior School	308	5,088	605	833	616	3,098	10,239
94900	Purley Church of England Infants School	112	1,850	220	303	224	1,126	3,723
95000	Robert Sandlands Primary School & Nursery	250	4,130	491	676	500	2,514	8,311
95100	Shaw-cum-Donnington Church of England Primary School	95	1,569	187	257	190	956	3,158
95200	Shefford Church of England Primary School	29	479	57	78	58	292	964
95400	Springfield Primary School	301	4,972	591	814	602	3,027	10,006
95500	Spurcroft Primary School	433	7,152	850	1,171	865	4,355	14,394
95700	St. Finian's Catholic Primary School	197	3,254	387	533	394	1,981	6,549
97700	St. John the Evangelist Infant & Nursery School	180	2,973	353	487	360	1,810	5,984
97800	St. Joseph's Catholic Primary School	210	3,469	412	568	420	2,112	6,981
96200	St. Nicolas Church of England Junior School	258	4,262	507	698	516	2,595	8,577
96100	St. Pauls Catholic Primary School	325	5,368	638	879	650	3,269	10,804
96300	Stockcross Church of England Primary School	101	1,668	198	273	202	1,016	3,357
96400	Streatley Church of England Voluntary Controlled Primary School	99	1,635	194	268	198	996	3,291
96500	Sulhamstead and Ufton Nervet Church of England Voluntary	101	1,668	198	273	202	1,016	3,357
99700	Thatcham Park Church of England Primary School	385	6,360	756	1,041	769	3,872	12,798
96600	Theale Church of England Primary School	275	4,543	540	744	550	2,766	9,142
96700	Welford and Wickham Church of England Primary School	94	1,553	185	254	188	945	3,125
96800	Westwood Farm Infant School	172	2,841	338	465	344	1,730	5,718
96900	Westwood Farm Junior School	219	3,617	430	592	438	2,203	7,280
98700	The Willows Primary School	344	5,682	675	930	688	3,460	11,435
99400	The Winchcombe School	391	6,459	768	1,057	781	3,933	12,998
97300	Woolhampton Church of England Primary School	92	1,520	181	249	184	925	3,058
97400	Yattendon Church of England Primary School	73	1,206	143	197	146	734	2,427
98800	The Downs School	898	14,833	1,763	2,429	1,795	9,032	29,852
99200	Little Heath School	1,281	21,160	2,515	3,464	2,560	12,884	42,583
99600	The Willink School	862	14,239	1,692	2,331	1,723	8,670	28,655
	PRIMARY TOTAL	12,446	205,585	24,434	33,659	24,875	125,181	413,734
	SECONDARY TOTAL	3,041	50,232	5,970	8,224	6,078	30,586	101,090
	TOTAL ALL SCHOOLS	15,487	255,817	30,404	41,883	30,953	155,767	514,825
	Gross cost of service		£267,000	£32,681	£45,019	£33,271	£167,430	£545,401
	Weighting:		£16.52	£2.02	£2.79	£2.06	£10.36	Unit Rates
	1.00 Charge to nursery schools (by actual no. on roll)	228	3,766	461	635	469	2,362	7,693
	2.00 Charge to special schools (places)	365	6,029	1,476	2,033	1,503	7,561	18,602
	2.00 Charge to PRUs (places)	84	1,388	340	468	346	1,740	4,281
	Sub Total	677	11,183	2,277	3,136	2,318	11,663	30,576
	Net cost to de-delegate	16,164	255,817	30,404	41,883	30,953	155,767	514,825

High Needs Block - Budget Proposals 2017/18

Report being considered by: Schools Forum
On: 23/01/2017
Report Author: Ian Pearson, Cathy Burnham, Jane Seymour
Item for: Decision **By:** All Forum Members

1. Purpose of the Report

- 1.1 This report is an update to provide the current financial position of the high needs block budget for 2016/17 and 2017/18. Details on options available in order to balance the budget over 2017/18 and 2018/19 are set out.

2. Recommendation(s)

- 2.1 To agree the savings strategy for the 2017/18 and 2018/19 high needs block budget as per the Heads Funding Group recommendations set out in Section 7 of this report.

Will the recommendation require the matter to be referred to the Council or the Executive for final determination?	Yes: <input type="checkbox"/>	No: <input checked="" type="checkbox"/>
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3. Introduction

- 3.1 The high needs budget for 2016/17 was set after taking a two year view, and most of the savings originally proposed towards closing a £1.9m funding gap did not go ahead. The two year view was taken with regard to the Government changing the funding formula for high needs from 2017/18 as set out in their March 2016 stage one consultation 'high needs funding formula and other reforms'. The Government recently announced the second stage consultation which runs until March 2017, with an implementation date of April 2018. The exemplification shows that West Berkshire does **not** gain additional funding through the new formula.
- 3.2 The Government has rebased funding according to how much of the total allocated Dedicated Schools Grant (DSG) is being spent on high needs in 2016/17. This has therefore "locked" into the high needs block funding allocation the £858k of funding that was transferred in 2016/17 from the schools and early years block. West Berkshire has also been allocated an additional £350k by the Government for 2017/18, based on population numbers and population growth.
- 3.3 However, there remains a funding gap in 2017/18 for the following reasons:
- The planned over spend in the current year high needs block which will need to be met from next year's DSG.
 - Pupil numbers and needs in the high needs block continue to rise.

Options for closing this gap will need to be considered.

- 3.4 The expenditure estimates for both 2016/17 and 2017/18 are *continually being refined*. The estimates for 2017/18 are based on all services continuing and at current staffing levels/contract costs, and funding rates for top ups remaining the same for the current and/or known number and funding level of pupils.

4. Summary Financial Position

- 4.1 Table 1 sets out the current position of the high needs block, including estimates for 2017/18 and 2018/19.

TABLE 1	2016/17 Budget £	2016/17 Forecast £	2017/18 Estimate £	2018/19 Estimate £
Place Funding	7,820,000	7,820,000	6,430,000	6,430,000
Top Up Funding	9,301,540	8,987,370	10,345,740	10,387,080
PRU Funding (top ups only)	1,033,340	1,033,340	875,870	375,870
Other Statutory Services	1,547,460	1,537,570	1,506,090	1,506,090
Non Statutory Services	865,570	842,930	867,380	867,380
Support Service Recharges	526,710	526,710	183,150	183,150
Total Expenditure	21,094,620	20,747,920	20,208,230	19,620,120
HNB DSG Allocation	20,079,150	20,079,150	20,060,000	20,060,000
HNB DSG C/F	-635,800	-635,800	-446,570	-594,800
Schools DSG Transfer	848,000	848,000		
Early Years DSG Transfer	10,000	10,000		
Total DSG Funding	20,301,350	20,301,350	19,613,430	19,465,200
Shortfall	-793,270	-446,570	-594,800	-284,370

- 4.2 The overall position for 2016/17 is a forecast shortfall of £447k (a significant £346k less than the original budget) which will need to be met from the 2017/18 DSG allocation. Taking this into account, there is a shortfall of £595k in 2017/18. Note that the Government has changed place funding responsibilities which have reduced both expenditure and funding in 2017/18 by £1,390k at nil effect. The main areas of pressure for 2017/18 are non maintained and independent special school placements, FE placements, Home Education and Hospital Tuition. The cost of a new primary ASD resource opening in September 2017 is also built in.
- 4.3 Under the Government's proposed high needs funding reforms, the exemplification for West Berkshire shows that it will be highly **unlikely** that more funding will be received from 2018/19 onwards, and this needs to be borne in mind when setting the budget.
- 4.4 At the previous meeting of the Schools' Forum it was agreed that there would be no transfer of funding from the schools block to the high needs block. The transfer of funding that occurred in 2016/17 has now been built into the baseline funding of the high needs block, and headroom in the schools block will all be allocated out to schools due to the funding pressures all mainstream schools are under.
- 4.5 The High Needs Block Working Group is currently developing proposals to reduce the demand for special school places, although these proposals may not provide savings in the short term and may require some invest to save expenditure.
- 4.6 As a result of the PRU strategic review there is a proposal to re-structure the service from September 2017 which should produce savings on pupil places and top ups. These savings **have not** been factored in to the 2017/18 estimate and are

not included in the options below. However, a **full year saving of £500k** has been built into the 2018/19 estimate shown in Table 1.

5. Options to Consider for 2017/18 Budget

5.1 Details of the services paid for from the high needs budget and the corresponding budget information are set out in **Appendix A**. The following paragraphs set out options to meet any shortfall in high needs funding in 2017/18. The total saving from all these options (if taken in full) is £630k. It needs to be determined which options should be pursued (note that these options exclude the PRU strategic review which may produce in year savings).

5.2 Option 1 – Set a deficit budget in 2017/18

This approach was taken in 2016/17 to avoid cutting services prior to knowing the results of the high needs funding reform consultation which *may* have resulted in additional funding for West Berkshire. As West Berkshire is unlikely to receive more funding in the future, it would be advisable to plan to balance the budget over no more than two years. A longer term savings plan could justify a deficit being set in the short term. Given that the PRU Strategic Review should deliver significant savings from September 2017, this would be a reasonable approach to take. Assuming the savings will be in the region of £500k for a full year, this would halve the savings required to be made by the end of 2018/19. However, this assumes no reduction in the high needs block funding allocation in 2018/19, and no further increase in demand and costs other than those currently known.

5.3 Option 2 – Transfer early years high needs services to the early years block

A new formula to determine early years funding is going ahead from 2017/18 and this includes a cap of 5% on central spend (7% in 2017/18). Central spend can include high needs costs in relation to early years pupils. The current central spend is below this cap, so it would be possible to move eligible services out of the high needs block to be funded from the early years block. This could include SEN support for pre-school children. The budget is currently £50,210 but would need to be increased to approximately £65,000 to allow for the fact that some families of children with SEND would be eligible to claim up to an additional 15 hours per week of early year's provision. This would be a saving of **£50,210**.

It is also proposed that the £85,000 cost of the Early Development and Inclusion Team (previously known as Pre School Teacher Counsellors) should be met from the early years block. This would be a saving of **£40,000**.

5.4 Option 3 – Reduce number of places eligible for place funding

If the number of pupils on roll at special schools/resourced units is consistently below the number of places being funded, there is the option to reduce the number of places being funded and to transfer this place funding to special schools/units that are consistently above their place numbers e.g. the special schools. This would then reduce the additional top up payments that are made for additional places and included in the budget figures. However, most resourced units are full or over numbers. There is only one resourced unit where there may be a possibility of reducing planned places. This is currently under discussion. The maximum which could be saved is **£29,166**.

Implications / Risks:

- (1) Redundancy costs would be incurred.
- (2) The number of pupils needing a placement may go back up and experienced staff will have been lost. Possible placements for September 2017 will need to be considered very carefully before a decision is made.

5.5 Option 4 – Reduce top up funding

Although possible, any reduction to top up funding would be subject to minimum funding guarantee.

If mainstream top up rates were reduced by 1.5% the saving would be **£10,630**
If resourced unit top up rates were reduced by 1.5% the saving would be **£14,130**
If special school top up rates were reduced by 1.5% the saving would be **£46,720**

Implications / Risks:

- (1) Impact on school budgets as provision set out in Statements/EHC Plans would still have to be made.
- (2) Possible difficulty in placing high needs pupils.
- (3) Significant risk of legal challenge/judicial review if schools reduced provision for pupils with Statements / EHC Plans as a result of reduced top up funding.

5.6 Option 5 – Sensory Impairment

A saving equivalent to 10% of the total budget has been achieved in 2016-17 through the following measures:

- Reducing the number of visits for non statemented / EHC children with hearing impairment from 4 or 5 to 3 per annum and providing training for schools to meet more needs themselves
- Reorganising staffing so that a higher proportion of support for children with visual impairment is delivered by trained TAs rather than teachers
- Reducing support for some individuals who no longer require such a high level of support, through annual reviews
- Rationalising the number of visits provided to special schools

It is not possible to make further reductions without compromising the needs of children with sensory impairment. Visits for pupils who do not have a Statement or EHC Plan have already been reduced to a minimum level which is acceptable. Visits for children who have Statements or EHC Plans have been set at a level which is deemed necessary to give them access to the curriculum.

The only potential option for savings would appear to be charging schools for the SCS service which is provided for children who do not have a Statement or EHC Plan. This could raise income of approximately **£27,000**.

Implications / Risks:

(1) This could create a perverse incentive for schools and parents to seek EHC assessments / plans for children who have a sensory impairment, with associated costs.

(2) Additional pressure on schools budgets.

5.7 Option 6 – Engaging Potential

Engaging Potential has 14 places for students who have a Statement or EHC Plan and who have significant behavioural difficulties. This provision was set up as an alternative to more costly out of area placements. Pupils may have previously attended mainstream schools, Pupil Referral Units or specialist schools.

The current contract runs until 2018, but can be varied with 6 months' notice.

We have been successful in selling two places to other Local Authorities which is why the budget required for this service next year is less than the current budget. The remaining 12 places are all occupied by West Berkshire pupils. Some of these pupils will leave at the end of this academic year, but we always have a number of new West Berkshire referrals every year so there is no guarantee that it will be possible to sell more than 2 places in 2017-18.

Engaging Potential caters for young people with very significant social, emotional and mental health needs who cannot be placed elsewhere. The unit cost per pupil is £38,590 which compares very favourably with the costs of other independent or non maintained SEMH special schools (which start at around £70,000 per annum).

The majority of the budget is allocated for staffing and off site activities which are part of the students' individual educational programmes. Staffing has been rationalised in recent years to reduce management and administrative capacity.

Scope for further cost reduction is therefore very limited. A small reduction in administrative costs could be made which would save **£8,100**.

Implications / Risks:

(1) Engaging Potential would have no scope left in its budget for contingencies and may seek additional top up funding from the Local Authority for pupils with the most complex needs

5.8 Option 7 – Equipment

The budget for equipment in schools for children with SEND is currently £20K and is always fully spent.

The budget could be reduced by **£10,000** if schools funded 50% of the cost of equipment for pupils with Statements / EHC plans.

Implications / Risks:

(1) Increased funding pressures on schools

(1) Risk of budget overspend e.g. if a small school genuinely can't fund an expensive item and there is a statutory duty to provide it

5.9 Option 8 – Therapy Services

The service includes speech and language therapy and occupational therapy for children with Statements / EHC Plans. There is a statutory duty to provide these services to children who have a need for speech and language therapy or occupational therapy written in to their Statement or Education, Health and Care Plan as an educational need. The NHS has no duty to provide therapy in these situations. A saving equivalent to 10% of the total budget has been achieved in 2016-17 by reducing the frequency of therapists' visits to schools.

There is no scope to reduce overhead costs. These were assessed in detail as part of a previous savings exercise and were considered to be very low.

It may be possible to make further reductions in visits to children in schools.

It may be possible to reduce speech and language therapy to two resourced units which are under numbers currently, (a reduction of half a day of therapy per week each) which could save **£13,000** per annum.

Consideration could be given to reducing speech and language therapy to the special schools by half a day of therapy each, which would make an additional saving of **£13,000**.

Implications / Risks

- (1) If numbers in the two resourced schools were to go back up, therapy would need to be reinstated to current levels
- (2) Special schools would have their therapy provision reduced by 12%. There would be more reliance on staff in the special schools to deliver therapy targets through the curriculum
- (3) Possible challenge by parents

5.10 Option 9 – Home Tuition

Home Tuition on medical grounds is a statutory requirement, currently commissioned by WBC from the Reintegration Service which manages the service. This was part of the PRU consultation and a subsequent decision has been made to retain the link with the Reintegration Service in 2016/17, and then the new PRU in 2017/18, whilst consideration is given its longer term future and delivery model.

Currently the Home Education budget is forecasting an overspend of approximately £65k due to increased numbers. If premises can be improved then savings could be made to staffing budgets as pupils can be taught together.

In 2017/18 an estimated saving of **£20,000** could be made by using other premises and creating group tuition.

Implications/Risks:

The service is a statutory requirement and therefore cannot be removed entirely.

The risks of moving it to another setting or organisation will be considered when it is reviewed in 2017/18.

If the budget is reduced for 2017:

- (1) Pupils may not received their statutory entitlement to 'as close to full-time' as they can manage
- (2) Individual tuition will be reduced and education will be accessed on-line. This could have an impact on KS4 results.
- (3) Young people will receive less input from trained adults aiming to reintegrate them into their mainstream schools by developing social and emotional skills and reducing anxiety.

5.11 **Option 10 - Language and Literacy Units (LALs)**

LALs offer specialist part time provision for primary pupils with significant specific literacy difficulties.

It would be possible to close both LALs which would generate a saving of **£67,783** in 2017-18 and £116,200 in future financial years.

Another option would be to close one LAL or retain both LALs but operate them on a part time (50%) basis. This option would generate a saving of **£33,891** in 2017-18 and £58,100 in future years.

Another option would be to retain the LALs but make them self funding with places purchased by schools, but this would create another funding pressure on schools.

Implications / Risks:

- (1) LAL places would be lost altogether or reduced by 50%. There is a risk of increased EHC requests from parents and schools for children who are unable to access a LAL place. This is considered to be a high risk and would impact directly on the Mainstream School Top Up budget.
- (2) Risk of appeals to the SEND Tribunal for specialist school placements, with associated costs.
- (3) Risk of increased cost to schools in making specialist provision for children who would have attended LAL.
- (4) Risk that children will not have their needs met if schools are not able to replicate the quality and intensity of provision with LALs offer.
- (5) Redundancy costs would be incurred.
- (6) Feedback suggests that LALs are highly regarded by parents and schools. Their closure would create significant negative publicity.

5.12 **Option 11 – Specialist Inclusion Support Service**

This service supports children with learning difficulties and associated needs in mainstream schools. Consideration could be given to removing or reducing this service.

Removal of the service would generate a saving of **£70,000**.

Reducing the service by half would generate a saving of **£35,000**.

Another option would be to retain the service but make it self funding with provision purchased by schools, but this would create another funding pressure on schools.

Implications / Risks:

- (1) Possibility of schools / parents seeking more special school placements, with associated costs.
- (2) Children / staff in mainstream schools unable to access suitable support.
- (3) Additional pressure on other SEN services such as CALT and the ASD Service.

5.13 Option 12 – PRU outreach

From Sept 2017 an outreach facility will be part of the new PRU arrangements dependent on capacity.

A cut of £80k was made to this separate budget in 2015/16, with the PRU absorbing the cost. Further savings or removal of this budget is possible.

The total budget is currently £117k. A further cut of **£40,000** could be made by amalgamating the outreach function into the new PRU arrangements, and carrying out a needs assessment with schools to gauge their requirements.

Implications/Risks

- (1) Schools to support pupils on reintegration into their schools without additional help, reduce the number of outreach sessions they receive, or pay in full for these sessions.
- (2) Less support to schools in reintegrating young people who have been permanently excluded from another school
- (3) Greater costs on Reintegration Service budget

5.14 Option 13 – CALT Team

The CALT Team has been working to an income target since April 2015 which has achieved a saving in the HNB. The team may not meet its full income target in 2016-17 (although the impact of any shortfall will be on the Education Service budget rather than DSG). Evaluations of the service are consistently very positive, but some schools report they cannot afford to buy the service or to buy as much support as they would like.

A restructuring process is already underway which will reduce staffing to bring the expenditure in the trading budget in line with the likely income to be generated by the team.

It is not therefore realistic to set an increased income target. Savings could only be made by reducing the size of the service. A reduction in one full time member of the team would save **£55,000**.

Implications / Risks:

- (1) The core service provided free to all schools who do not buy in would be reduced or removed
- (2) Reduced support for children and impact on levels of SEN expertise and training of staff in schools.
- (3) Possible increase in EHC requests, with associated costs.

5.15 Option 14 – ASD Teachers

The ASD Advisory Service provides advice, support and training for mainstream schools on meeting the needs of children with Autistic Spectrum Disorder. The purpose of the service is to enable children with ASD to be successfully included in mainstream schools wherever possible.

Given that the greatest pressure on the HNB is children moving from mainstream to specialist ASD schools, it is strongly recommended that this service is not reduced.

A reduction in one full time member of the team would save **£55,000**.

Implications / Risks if the service were to be reduced:

- (1) No or reduced support for schools in meeting the needs of children with ASD. Evidence suggests that children with ASD present the greatest challenge to mainstream schools compared to children with other types of SEND.
- (2) Pressure for EHC Assessments and Plans for children with ASD who are not currently statemented, with associated costs
- (3) Increase in demand for placements in specialist ASD schools, with associated costs. This is considered to be a very high risk.

5.16 Option 15 – Vulnerable Children

The Vulnerable Children's Fund of £60k p.a is a highly appreciated, relatively small fund, especially for small schools who have unexpected additional financial pressures due to in-year admissions of children with challenging behaviour. It is specifically devised to promote social inclusion, reduce exclusions and take the pressure off SEN budgets by providing temporary funding.

The budget was reduced in 2015/16 from £80k to £60k. It is possible to remove completely or reduce the fund i.e. only being available for primary schools and / or funding given for shorter periods, or no funding extensions.

The criteria have been strengthened this year, with funding allocated for shorter periods and fewer extensions.

Impact: A survey monkey was sent out to all VCF recipients. There were 7 replies. All 7 reported that VCF was a significant support. 8 out of 11 pupils had no more exclusions. All pupils made both social and academic progress if they remained in school.

Previously, Heads Funding Group has indicated its reluctance to further reductions of this fund.

Implications/ Risks:

If schools, particularly smaller primary schools, cannot access this support in the future it could lead to:

- (1) Increased movement between schools, with schools being asked to admit more pupils with behaviour difficulties
- (2) Higher exclusion figures
- (3) Pressure on the Reintegration Service as more schools ask for primary placements at The Oaks
- (4) Greater pressure on the costs associated with EHC plans and expensive statutory provision
- (5) Increased pressure on the capacity of specialist support services

However, there are no staffing costs associated with this fund so removing it would be simple.

6. Conclusion

- 6.1 With no additional funding forthcoming in the future, options for savings will have to be agreed. All of these options have implications for schools and pupils with SEN and Disabilities.

7. Heads Funding Group Recommendation

- 7.1 To set a balanced budget over two years, taking into account savings from the PRU strategic review when they are known, and based on the February 2017 forecast of carry forward from 2016/17.
- 7.2 If further budget savings are required, they are considered in priority order (A to C) as per the following table:

Option	A Saving Agreed	B Possible saving subject to further discussion	C Avoid making if at all possible	D Not agreed – option to be removed
Transfer early years high needs services to the early years block	50,210			40,000
Reduce number of places eligible for place funding		29,166		
Reduce top up funding by 1.5%			Up to 71,480	
Charging schools for sensory impairment services			27,000	

Administrative cost savings at Engaging Potential service	8,100			
Reduction in equipment budget (schools to seek grant funding)	10,000			
Reducing speech and language therapy sessions	26,000			
Staff savings in Home Tuition	20,000			
Removal or reduction of Language and Literacy Units			Up to 67,783	
Reduce/remove Specialist Inclusion support Service or charge schools		Up to 70,000		
Reduce PRU outreach		40,000		
Reduce staffing/service from CALT team			55,000	
Reduce number of ASD teachers			55,000	
Reduce or remove the Vulnerable Childrens Fund			Up to 60,000	
TOTAL	114,310	139,166	336,263	40,000

8. Appendices

Appendix A – High Needs Budget Detail

High Needs Budget Detail

1. Place Funding - STATUTORY

- 1.1 Place funding is agreed by the Education Funding Agency (EFA) and has to be passed on to the institution, forming their base budget. Academy and post 16 places are included in the initial HNB allocation but the agreed place numbers are then deducted and paid to the institution direct (DSG top slice). From the 2017/18 financial year the funding will exclude Non Maintained Special Schools (i.e. places at Mary Hare School), but will include all places at further education colleges (i.e. Newbury College). As a result of these changes there will be an adjustment to the funding received in 2017/18, though this is based on 2016/17 places so won't necessarily have a neutral impact.
- 1.2 The EFA is not funding any overall increases to places, although in West Berkshire the actual number of places is greater than the number funded and there continues to be an increase in demand for places in special schools. **Table 1** currently shows no increase to special school planned places, as there is no additional planned place funding to allocate unless there is surplus planned place funding in other institutions which can be reallocated. If no place funding can be released from other institutions, and if it is decided that additional planned places should be funded at the special schools, this is a pressure on the High Needs Block.

TABLE 1 – Place Funding Budgets	2016/17 Budget			2017/18 Estimate		
	No. of Places Funded by EFA	£	Current No. of Places	No. of Places Funded (from 1/9/17)	£	Forecast No. of Places
Special Schools – pre 16 (90540)	286	2,860,000	303	286	2,860,000	
Special Schools – post 16 (DSG top slice)	79	790,000	84	79	790,000	
Resource Units Maintained – pre 16 (90584)	50/45	470,830	21	45	450,000	
Resource Units Academies – pre 16 (DSG top slice)	69/74	719,170	72	74	740,000	
Mainstream Maintained – post 16 (DSG top slice)	8	48,000	2	8	48,000	
Mainstream Academies – post 16 (DSG top slice)	22	132,000	15	22	132,000	
NMSS – pre 16 (DSG top slice)	148	1,480,000	N/A	No longer part of LA budget		
NMSS – post 16 (DSG top slice)	48	480,000	N/A	No longer part of LA budget		
Further Education	Not part of LA budget in 16/17		95?	95	570,000	
PRU Place Funding (90320)	84	840,000	84	84	840,000	60
TOTAL	794	7,820,000	676	693	6,430,000	
Funding Adjustment to DSG					-1,390,000	

- 1.3 Work is currently underway to determine, as far as possible, the likely numbers in special schools, resourced schools and mainstream sixth forms in September 2017. These figures can never be totally accurate as assumptions have to be made about which pupils will leave and which will join. Estimated 2017 numbers will be reported to the next meeting.
- 1.4 When the September 2017 position is clearer, it may be necessary to consider whether planned places at any of the resourced units should be reduced, if numbers have been consistently below planned places.
- 1.5 There may be scope to reduce planned place numbers in some mainstream sixth forms.
- 1.6 The number of places in PRUs may reduce as a result of the service review. This would release planned places for redistribution to other institutions.

2. Top Up Funding – STATUTORY

- 2.1 Top up funding is paid to the institutions where we are placing pupils who live in West Berkshire (we do not pay our institutions for pupils who live outside West Berkshire). **Table 2** shows the budget and forecast for 2016/17 and the estimate for 2017/18. The forecast for top up funding in 2016/17 is based on pupils currently receiving this funding (autumn term) and assumes no change in numbers to the end of the financial year.
- 2.2 The main areas of pressure in the top up budgets for 2017-18 are likely to be independent and non maintained special schools and FE college placements. The predictions of cost for 2017-18 take in to account known pupils whose needs can no longer be met in local schools, together with some cases which are due to go to the SEND Tribunal. It is not possible to predict all pupils who may need placements in 2017/18. The figures assume a middle ground between the best case scenario and the worst case scenario (financially) in terms of Tribunal outcomes.
- 2.3 There will be additional top up costs associated with the new Fir Tree ASD Resource, opening in September 2017. These have been taken in to consideration.

TABLE 2 Top Up Budgets	2015/16 Budget		2016/17 Budget			2017/18
	Budget £	Outturn £	Budget £	Forecast £ (Month 9)	Over/ (under)	Estimate
Special Schools Maintained (90539)	2,730,940	2,815,857	3,142,550	3,113,160	-29,390	3,114,680
Non WBC special schools (90548)	735,240	1,067,954	1,068,100	936,890	-131,210	1,086,890
Resource Units Maintained (90617)	329,230	341,228	367,910	303,220	--64,690	203,640
Resource Units Academies (90026)	419,730	418,346	546,760	483,100	-63,660	796,080
Resource Units Non WBC (90618)	27,860	36,768	50,000	38,190	-11,810	55,000
Mainstream Maintained (90621)	459,980	477,633	480,420	522,630	42,210	519,390

Mainstream Academies (90622)	213,240	181,648	184,790	189,940	5,150	189,290
Mainstream Non WBC (90624)	62,150	77,129	66,220	59,600	-6,620	66,960
Non Maintained Special Schools (90575)	905,320	829,669	750,950	741,860	-9,090	891,130
Independent Special Schools (place & top up) (90579)	1,583,850	1,527,967	1,683,500	1,722,620	39,120	2,012,700
Further Education (90580)	990,040	937,842	832,650	759,430	-73,220	1,309,980
Disproportionate HN Pupils (90627)	50,000	87,966	127,690	116,730	-10,960	100,000
TOTAL	8,507,580	8,800,007	9,301,540	8,987,370	-314,170	10,345,740

2.4 The LA has a statutory duty to pay top ups according to a pupil's Statement or EHC plan. The only option for reducing spend on top ups in West Berkshire schools is to reduce the value of top up bandings. This would impact on individual school budgets. It would also have statutory implications as Statements and EHC Plans include either a number of hours of TA support or a funding band value.

3. Pupil Referral Units (PRU) – STATUTORY

3.1 **Table 3** shows the budgets for PRU top ups. The decision by Schools' Forum for 2016/17 was to reduce the top up rate and increase the charge made to schools to reduce actual spend from the high needs block. This change was effective from September 2016. The 2017/18 estimate includes the full year effect of this change.

TABLE 3	2015/16 Budget		2016/17 Budget			2017/18
PRU Budgets	Budget £	Outturn £	Budget £	Forecast £ (Month 9)	Over/ (under)	Estimate
PRU Top Up Funding (90625)	1,061,000	1,267,764	1,033,340	1,033,340	0	875,870
Non WBC PRU Top Up Funding (90626)	0	11,800	0	0	0	0
TOTAL	1,061,000	1,279,564	1,033,340	1,033,340	0	875,870

3.2 The Strategic Review will inform funding arrangements from September 2017, and should deliver further savings not taken into account in the above figures.

4. Other STATUTORY Services

4.1 **Table 4** details the budgets for other statutory services. The pressure in the current year relates to the Home Tuition Service and the Hospital Tuition Service, although these pressures have been largely offset by savings in other areas.

TABLE 4	2015/16 Budget		2016/17 Budget			2017/18
Other Statutory Services	Budget £	Outturn £	Budget £	Forecast £ (Month 9)	Over/ (under)	Estimate
Applied Behaviour Analysis (90240)	110,730	75,193	76,130	76,130	0	76,000

Sensory Impairment (90290)	227,440	244,083	238,800	207,310	-31,490	215,710
Engaging Potential (90577)	540,260	495,274	540,260	502,830	-37,430	463,260
Equipment for SEN Pupils (90565)	20,000	20,535	20,000	20,000	0	20,000
Therapy Services (90295)	315,430	324,932	324,430	293,460	-30,970	293,460
Elective home Education Monitoring (90288)			27,840	27,840	0	27,660
Home Tuition Service (90315)	300,000	338,487	300,000	365,000	65,000	365,000
Hospital Tuition (90610)	0	19,363	20,000	45,000	25,000	45,000
TOTAL	1,513,860	1,517,867	1,547,460	1,537,570	-9,890	1,506,090

4.2 **Applied Behaviour Analysis (ABA)**

- 4.2.1 This budget supports a small number of children with Statements / EHC Plans for whom the Authority has agreed an ABA programme as part of their statement. ABA is an intensive intervention programme for children with autism which aims to modify behaviours which are typical of ASD in order to allow children to function more successfully in school and in society.
- 4.2.2 This budget also covers the cost of children with Statements / EHC Plans accessing other bespoke educational packages where this is the most appropriate and cost effective way of meeting their needs.

4.3 **Sensory Impairment**

- 4.3.1 Support for children with hearing, visual and multi sensory impairments is purchased from the Berkshire Sensory Consortium Service. This includes support from qualified teachers of HI and VI, audiology and mobility support. The service supports both stated and non stated children.
- 4.3.2 West Berkshire Council has a contract with the Sensory Consortium Service which is due for renewal in April 2017.

4.4 **Engaging Potential**

- 4.4.1 Engaging Potential is a commissioned service providing alternative educational packages for 14 young people in Key Stage 4 with statements for behavioural, emotional and social difficulties whose needs cannot be met in any other provision. West Berkshire Council's contract with Engaging Potential was renewed in July 2015 for 3 years. When the contract was retendered, the only organisation which put in a bid was Engaging Potential.

4.5 **Equipment for SEN Pupils**

- 4.5.1 This budget funds large items of equipment such as specialist chairs and communication aids for stated pupils.
- 4.5.2 This budget was reduced to £20k in 2015/16. Equipment is now only purchased for children attending mainstream and resourced schools, and special schools are expected to fund these large items of equipment from their own budgets.

4.6 **Therapy Services (Contract with Berkshire Healthcare Foundation Trust)**

4.6.1 Therapy Services covers the costs for children with SEN who have speech and language therapy or occupational therapy in their Statements or EHC Plans. This budget moved to the HNB in 2015/16.

4.6.2 Therapy services are provided by the Authority solely to children who have the need for a service stipulated and quantified in their Statement or EHC Plan.

4.7 Elective Home Education Monitoring

4.7.1 Elective home education monitoring service consists of one part time teacher who monitors children who are electively home educated. There is a statutory duty to monitor arrangements for EHE made by parents.

4.8 Home Tuition

4.8.1 The Home Tuition Service is a statutory service providing home tuition to children with medical conditions and illness that prevent them accessing full-time school. It is currently commissioned by WBC from the Reintegration Service which provides all management.

4.9 Hospital Tuition

4.9.1 Hospital tuition is a recent addition to HNB funding. WBC is now obliged to pay the educational element of specialist hospital placements, usually for severe mental health issues. These placements are decided by NHS colleagues and we have little influence over the placement or duration of stay. We are negotiating with the settings to ensure we are only charged for the education a young person actually receives and would benefit from.

5. NON STATUTORY Services

5.1 **Table 5** details the non statutory service budgets for 2015/16, 2016/17 and estimates for 2017/18. The latest forecast is that in the majority of cases these budgets should be on-line. These services are non statutory so there is more potential scope to make savings, although a reduction in any of these budgets is likely to increase pressure on statutory budgets.

5.2 The table shows the budget for these services in 2017/18 assuming that these services continue and there are no changes to staffing levels. The only exception to this is the SEN Pre School Support budget which will need to increase in line with the entitlement to 30 hours early years education with effect from September 2017.

5.3 In addition there is a proposal that the cost of the Pre School Teacher Counsellor Service, at £85,000 is met from £45,000 in the Early Years Block and £40,000 in the HNB.

5.4 No budget is shown in 17-18 for independent travel training as it is understood that this funding was given as a one off for 2016-17 only.

TABLE 5 Non Statutory Services	2015/16 Budget		2016/17 Budget			2017/18
	Budget £	Outturn £	Budget £	Forecast £ (Month 9)	Over/ (under)	Estimate
Language and Literacy Centres LALs (90555)	134,600	134,600	116,200	116,200	0	116,200
Specialist Inclusion Support Service (90585)	70,000	70,000	70,000	70,000	0	70,000
PRU Outreach Service (90582)	117,000	117,000	117,000	117,000	0	117,000

SEN Pre School Children (90238)	50,210	55,888	50,210	50,210	0	50,210
Cognition & Learning Team (90280)	291,270	283,010	272,440	272,440	0	274,640
ASD Advisory Service (90830)	135,490	133,035	139,720	139,720	0	139,330
Vulnerable Children (90961)	60,000	58,836	60,000	60,000	0	60,000
Pre School Teacher Counselling Service			Met by EY block	N/A	N/A	40,000
Learning Independence for Travel (LIFT)			40,000	17,360	-22,640	0
TOTAL	858,570	852,369	865,570	842,930	-22,640	867,380

5.5 **Language and Literacy Centres (LALs)**

5.5.1 This budget funds the primary LALs at Theale and Winchcombe schools. The LALs provide intensive literacy support for primary children with severe specific literacy difficulties. 48 places per year are available across the two LALs.

5.5.2 Referrals for LAL places usually exceed places available by approximately 24 per year.

5.6 **Specialist Inclusion Support Service**

5.6.1 This service provides outreach support from West Berkshire's special schools to mainstream schools to support the inclusion of children with learning and complex needs in their local mainstream schools.

5.6.2 This budget was reduced by £36k in 2015/16 with the special schools providing the service absorbing the cost.

5.7 **PRU Outreach**

5.7.1 The PRU Outreach Service offers consultancy / outreach support mainly to students who have been attending the Reintegration Service and are starting to attend a mainstream school. Schools may request Outreach for any pupil causing concern but it is dependent on capacity.

5.8 **SEN Pre School Children**

5.8.1 This budget provides one to one support to enable children with SEN to access non maintained and voluntary pre- school settings.

5.9 **Cognition and Learning Team**

5.9.1 The Cognition and Learning Team (CALT) provides advice, support and training to mainstream schools to help them to meet the needs of children with SEN.

5.9.2 Many primary schools are reliant on this service to supplement their own SEN provision and expertise, especially schools where the Head has to act as SENCO or where there is an inexperienced SENCO.

5.10 **ASD Advisory Service**

5.10.1 The ASD Advisory Service provides advice, support and training for mainstream schools on meeting the needs of children with Autistic Spectrum Disorder. The purpose of the service is to enable children with ASD to be successfully included in mainstream schools wherever possible.

5.10.2 The context for this service is vastly increasing numbers of children with ASD diagnoses and mainstream schools having more and more difficulty meeting the needs of these children. The majority of our placements in non West Berkshire special schools, independent special schools and non maintained special schools are for children with ASD.

5.11 **Vulnerable Children**

5.11.1 The Vulnerable Children Fund is a small budget used to help schools support their most vulnerable pupils on an emergency, unpredicted or short term basis.

5.11.2 The Vulnerable Children Fund is a small budget used to help schools support their most vulnerable pupils on an emergency, unpredicted or short term basis.

5.11.3 The budget was reduced in 2015/16 from £80k to £60k. Impact: The criteria has been strengthened this year, with funding allocated for shorter periods and fewer extensions.

5.11.4 A survey monkey was sent out to all VCF recipients. There were 7 replies. All 7 reported that VCF was a significant support. 8 out of 11 pupils had no more exclusions. All pupils made both social and academic progress if they remained in school.

5.12 **Pre School Teacher Counselling Service**

5.12.1 The service comprises of 1.7 teachers who are specialists in early years and SEND. Children under 5 who are identified by Health professionals as having significant SEND are referred to this service. Staff initially visit children in their homes (if they are not yet in an early years setting) in order to promote their educational development and model strategies and resources for parents to use to support their child's progress.

5.12.2 PSTCs also assist with the transition to early years settings and schools, providing support and training for staff to help them to meet the child's needs, and continuing to visit for a period of time to provide ongoing support and advice.

5.12.3 PSTCs also help to coordinate support which the family is receiving from other professionals.

5.12.4 The service is currently supporting approximately 100 children.

Dedicated Schools Grant Monitoring Report 2016/17 – Month 9

Report being considered by: Schools Forum
On: 23/01/2017
Report Author: Ian Pearson
Item for: Information **By:** All Forum Members

1. Purpose of the Report

1.1 This report sets out the current financial position of the services funded by the Dedicated Schools Grant (DSG), highlighting any under or over spends.

2. Recommendation(s)

2.1 That the report be noted.

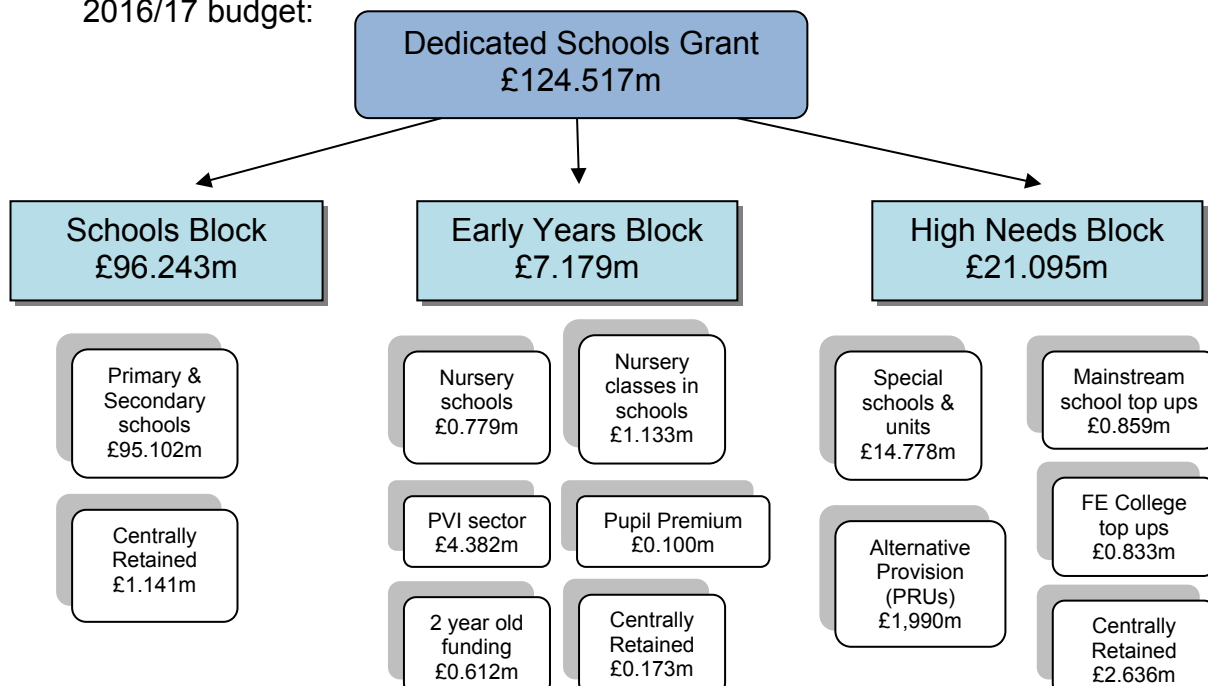
<b style="color: #008080;">Will the recommendation require the matter to be referred to the Council or the Executive for final determination?	Yes: <input type="checkbox"/>	No: <input checked="" type="checkbox"/>
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3. Background

3.1 The Dedicated Schools Grant (DSG) is a ring fenced specific grant which can only be spent on school/pupil activity as set out in The School and Early Years Finance (England) Regulations 2015.

3.2 The grant is split into three funding blocks. Although separate allocations are received for each, the blocks themselves are not ring fenced.

3.3 The following diagram shows what is funded out of each of the three blocks in the 2016/17 budget:



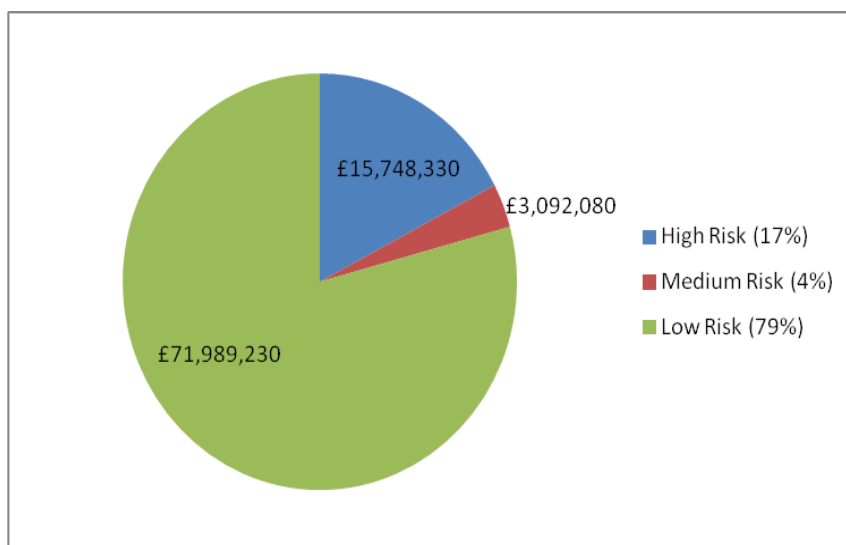
Notes:

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, 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.

3.4 Overspends, unless funded from outside the DSG, are carried forward and top sliced from the following year’s DSG allocation. Under spends must be carried forward to support the school’s budget in future years.

3.5 The Authority and Schools’ Forum are responsible for ensuring that the DSG is deployed correctly according to the Regulations, and monitoring of spend against the grant needs to take place regularly to enable decision making on overspends/underspends and to inform future year budget requirements.

3.6 The following chart illustrates the proportion and value of the DSG budget that is volatile and high risk due to regulations requiring funding to follow the pupil according to their individual needs (top up funding, early years funding), and where increases are largely outside the control of officers:



Medium risk relates mainly to contracts with external providers where the charge may vary or where staffing budgets may vary, and low risk is for budgets such as school delegated funding and high needs place funding which is fixed and will not vary at all in year.

4. Monitoring Position as at Month 9 (31 December 2016)

4.1 The forecast under or over spend position at the end of December is shown in Table 1 below. A more detailed position per cost centre is shown in Appendix A.

Table 1

DSG Block	Total Net Budget	Forecast (under) / over spend					Change from last report
		Month Three	Month Five	Month Seven	Month Nine	Year End	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Schools Block (inc ISB)	66,043	0	0	0	0		0
Early Years Block	7,147	0	0	140	140		0
High Needs Block	16,919	0	0	-202	-333		-131
Total Net Expenditure	90,109	0	0	-62	-193		-131
Support Service Recharges	721	0	0	0	0		0
Total Expenditure	90,830	0	0	-62	-193		-131
DSG Grant Expected	-90,830	697	1,000	1,000	1,000		0
Net Position	0	697	1,000	938	807		-131

4.2 As at the end of December 2016 there were further variances occurring in the high needs spending block.

4.3 The forecast over spend on DSG grant income is partly (£697k) as per the decision made by the Schools' Forum when the budget was set in March 2016 to allocate out more grant than that expected to enable the continuation of some key high needs services. This decision was taken after consideration of the two year position whereby it was forecast that the 2016/17 overspend can be met from the 2017/18 DSG allocation, assuming costs overall do not significantly increase and our DSG allocation remains at a similar level.

4.4 The remaining £303k variance on grant income is due to the January 2016 early years PVI census returning a lower number than that estimated in the budget. This was notified to the local authority in July and has resulted in a claw back of funding relating to 2015/16 (91k), and a lower estimate of funding for 2016/17.

4.5 The final DSG grant position for the financial year won't be known until after the January 2017 census, when the early years block DSG can be forecast based on the census count.

5. Schools Block

5.1 Although not shown in Table 1, the Schools Block is expected to under spend by approximately £300k on the growth and falling rolls fund. Rather than carry this

forward and add to next year's fund, this is to be allocated out to primary and secondary schools via the formula in 2017/18. All other budgets are expected to be on-line, with any under or over spend's in the de-delegated services (including the primary schools in financial difficulty budget), being ring fenced and carried forward to 2017/18, not impacting on the overall position of the DSG. There may be variations on the delegated primary and secondary budgets due to rating revaluations, but this will not be significant and will be offset by John O'Gaunt's transfer to Academy and receiving charitable relief on their rates bill.

6. Early Years Block

- 6.1 The early years block is difficult to predict due to the volatile nature of both early years block funding (the final grant allocation will be determined by the January 2017 census), and payments to providers (payments are made according to actual number of hours of provision each term). Summer term payments to providers were greater than budgeted, but lower numbers in the autumn term have helped mitigate this position, with an overall over spend of £180k on two, three and four year old payments. The January 2017 census numbers will be crucial in determining whether or not the final DSG allocation for the year will offset the over spend.

7. High Needs Block

- 7.1 The High Needs Block is currently showing an under spend, £333k, with £282k of this in top up budgets and £51k in centrally provided services. The top up budgets are based on the current placements and assume no further changes between month nine and the end of the financial year other than those already known about. However, there is a significant pressure emerging in PRU top up funding which is currently being investigated and has not been included in the figures in Table 1. Although savings have been made in some central services such as Engaging Potential and therapy services, there are pressures in home tuition and charges for hospital tuition (in private settings).

8. Conclusion

- 8.1 The variance in the early years block (including the DSG funding) is dependent on the spring term numbers and it is impossible to predict whether the position will improve or not. The savings in the high needs block depend on whether there will be any further placements and demands for services that are not currently known about, and following the review on the PRU budget position.

9. Appendices

Appendix A – DSG 2016-17 Budget Monitoring Report Month 9

Dedicated School's Grant (DSG) 2016-17 Budget Monitoring Month 9								
Budget manager	Cost Centre	Description	Original Budget	Net Virements in year	Amended Budget	Forecast	Variance	Comments
Ian Pearson	90019	DSG Servicing of Schools' Forum	42,220		42,220	42,220	0	
Ian Pearson	90020	Primary Schools	47,945,750		47,945,750	47,945,750	0	
Ian Pearson	90025	Secondary Schools	16,477,900	-964,730	15,513,170	15,513,170	0	
Maxine Slade	90035	LAC Pupil Premium	0		0	0	0	
Ian Pearson	90038	Pupil Premium -	0		0	0	0	
Rob O'Reilly	90112	Special Costs Primary - closed	34,790	-34,790	0	0	0	
Rob O'Reilly	90117	Special Costs Secondary - closed	11,970	-11,970	0	0	0	
Rob O'Reilly	90113	Trade Union Costs - New	0	46,760	46,760	46,760	0	
Ian Pearson	90230	Schools in Financial Difficulty	117,320	215,280	332,600	332,600	0	
Ian Pearson	90235	School Delegated Contingency	290,000	143,920	433,920	433,920	0	
Ian Pearson	90236	Managed Moves/Exclusions	0		0	0	0	
Maxine Slade	90255	Virtual School Service	229,130	3,150	232,280	232,280	0	
Cathy Burnham	90349	Behaviour Support - DSG	203,890	10,640	214,530	214,530	0	
Caroline Corcoran	90583	CLA/MFA Licences	126,780		126,780	126,780	0	
Caroline Corcoran	90743	Admissions	190,400		190,400	190,400	0	
Schools Block Total			65,670,150	-591,740	65,078,410	65,078,410	0	
Ian Pearson	90010	Nursery Schools	779,380		779,380	779,380	0	
Avril Allenby	90017	Early Years Support Team	95,960		95,960	95,960	0	
Avril Allenby	90018	Expenditure on 2 year olds	611,450		611,450	671,450	60,000	Based on Summer & Autumn Term Payments plus Spring Term Estimate
Avril Allenby	90036	Early Years Funding for PVI	4,382,000		4,382,000	4,452,000	70,000	Based on Summer & Autumn Term Payments plus Spring Term Estimate
Ian Pearson	90037	Early Yrs Funding Maintained Sector	1,133,080		1,133,080	1,183,080	50,000	Based on Summer and Autumn Term Payments
Avril Allenby	90051	Early Years Funding - Contingency	0		0	0	0	
Avril Allenby	90052	Early Years PFG & Deprivation Funding	100,000		100,000	60,000	-40,000	Based on Summer & Autumn Term Payments plus Spring Term Estimate
Rhian Ireland	90287	Pre School Teacher Counselling	45,000		45,000	45,000	0	
Early Years Block Total			7,146,870	0	7,146,870	7,286,870	140,000	
Nicola Ponton	90026	Academy Schools RU Top Ups	546,760		546,760	483,100	-63,660	Fewer EHC Plans requiring Top Up Funding
Nicola Ponton	90539	Special Schools - Top Up Funding	3,142,550		3,142,550	3,114,870	-27,680	Based on current demand
Nicola Ponton	90548	Non WBC Special Schools - Top Up Funding	1,068,100		1,068,100	935,650	-132,450	Alternative settings used due to TVFS being full.
Nicola Ponton	90575	Non LEA Special School (OofA)	750,950		750,950	797,060	46,110	Based on current demand
Nicola Ponton	90579	Independent Special School Place & Top Up	1,683,500		1,683,500	1,674,090	-9,410	Based on current demand
Nicola Ponton	90580	Further Education Colleges Top Up	832,650		832,650	761,140	-71,510	Reduced costs negotiated by SEN Team
Nicola Ponton	90617	Resourced Units top up Funding Maintained	367,910		367,910	307,090	-60,820	Lower number of pupils than budgeted
Nicola Ponton	90618	Non WBC Resourced Units - Top Up Funding	50,000		50,000	39,150	-10,850	One Pupil less than in budget.
Nicola Ponton	90621	Mainstream - Top Up Funding maintained	480,420		480,420	527,070	46,650	Increased Top Up funding for Nursery places.
Nicola Ponton	90622	Mainstream - Top Up Funding Academies	184,790		184,790	189,940	5,150	Based on current demand
Nicola Ponton	90624	Non WBC Mainstream - Top Up Funding	66,220		66,220	74,130	7,910	Additional pupils
Cathy Burnham	90625	Pupil Referral Units - Top Up Funding	1,033,340		1,033,340	1,033,340	0	
Nicola Ponton	90627	Disproportionate No: of HN Pupils NEW	127,690		127,690	116,730	-10,960	Based on Summer & Autumn Term Actuals plus a Spring Term Estimate.
Jane Seymour	90237	Special Needs Delegated Contingency	0		0	0	0	
High Needs Block: Top Up Funding Total			10,334,880	0	10,334,880	10,053,360	-281,520	
Cathy Burnham	90320	Pupil Referral Units	840,000		840,000	840,000	0	
Ian Pearson	90540	Special Schools	2,860,000		2,860,000	2,860,000	0	
Nicola Ponton	90584	Resourced Units - Place Funding (70)	470,830		470,830	470,830	0	
High Needs Block: Place Funding Total			4,170,830	0	4,170,830	4,170,830	0	
Rhian Ireland	90238	Sen Pre School Childrn	50,210		50,210	43,210	-7,000	Unexpected low uptake in the Autumn Term
Nicola Ponton	90240	Applied Behaviour Analysis	76,130		76,130	81,080	4,950	Based on current demand.
Rhian Ireland	90280	Cognitive and Learning Team	300,280	-27,840	272,440	272,440	0	
Rhian Ireland	90288	Elective Home Education Monitoring - New	0	27,840	27,840	24,840	-3,000	Exam Grant uptake from parents lower than expected.
Jane Seymour	90289	Learning Independence for Travel	40,000		40,000	17,360	-22,640	Recruitment to post later than expected.
Jane Seymour	90290	Sensory Impairment	238,800		238,800	207,310	-31,490	Due to Joint Arrangement costs negotiations. Underspend of £8.5k in relation to FY 2014/15
Jane Seymour	90295	Therapy Services	324,430		324,430	293,460	-30,970	Due to Contract negotiations.
Cathy Burnham	90315	Home Tuition	300,000		300,000	365,000	65,000	Due to high numbers of pupils increase in Supply Teachers' costs.
Rhian Ireland	90555	LAL Funding	116,200		116,200	116,200	0	
Nicola Ponton	90565	Equipment For SEN Pupils	20,000		20,000	8,190	-11,810	Based on current demand
Jane Seymour	90577	SEN Commissioned Provision	540,260		540,260	502,830	-37,430	One place funded by another LA
Cathy Burnham	90582	FRU Outreach	117,000		117,000	117,000	0	
Jane Seymour	90585	HN Outreach Special Schools	70,000		70,000	70,000	0	
Nicola Ponton	90610	Hospital Tuition	20,000		20,000	45,000	25,000	Based on an estimate for demand.
Rhian Ireland	90830	ASD Teachers	139,720		139,720	137,720	-2,000	Employees Savings
Cathy Burnham	90961	Vulnerable Children	60,000		60,000	60,000	0	
High Needs Block: Non Top Up or Place Funding			2,413,030	0	2,413,030	2,361,640	-51,390	
High Needs Block Total			16,918,740	0	16,918,740	16,585,830	-332,910	
Total Expenditure across funding blocks			89,735,760	-591,740	89,144,020	88,951,110	-192,910	
SUPPORT SERVICE RECHARGES			720,890		720,890	720,890	0	
TOTAL DSG EXPENDITURE			90,456,650	-591,740	89,864,910	89,672,000	-192,910	

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Growth Fund and Falling Rolls Fund 2016/17

Report being considered by: Schools Forum

On: 23/01/2017

Report Author: Claire White

Item for: Information **By:** All School representatives

1. Purpose of the Report

1.1 To inform School Forum Members of payments made to schools from the Growth Fund and Falling Rolls Fund budget in 2016/17.

2. Recommendation(s)

2.1 To note the payments made.

<b style="color: #008080;">Will the recommendation require the matter to be referred to the Council or the Executive for final determination?	Yes: <input type="checkbox"/>	No: <input checked="" type="checkbox"/>
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3. Introduction

3.1 Under current school funding regulations, Local Authorities are allowed to top slice from the Dedicated Schools Grant (DSG) funding for a Growth Fund and Falling Rolls Fund with the approval of their Schools' Forum.

3.2 The Growth Fund is to support primary and secondary maintained schools and Academies *required* to provide extra places/classes in order to meet basic need within the authority, and funding schools where very limited pupil number growth requires an additional class *as set out by infant class size regulations*. It is not payable where schools have chosen to put on an additional class, but actual pupil numbers do not require them to do so. The Schools' Forum agreed the criteria for the 2016/17 Growth Fund at its meeting on 28th September 2015, and set aside a budget of £250,000.

3.3 The Falling Rolls Fund is to support good and outstanding primary and secondary schools with temporary falling rolls due to a population dip and where numbers are expected to rise again in 2 to 3 years time. The purpose is to provide funding to enable the school to continue with their existing number of classes (but where current pupil numbers dictate that the number should be reduced) if population data suggests that this number of classes will be required again in the near future, thus avoiding a redundancy in the short term. The Schools' Forum agreed the criteria for the 2016/17 Growth Fund at its meeting on 28th September 2015, and set aside a budget of £40,000

3.4 Following the receipt of the October 2016 Census data, all schools were invited to make a funding request if they felt that their circumstances met the growth fund criteria. A review of the relevant pupil number data by Finance also identified schools that may potentially qualify for funding. To support their applications,

schools were asked to submit information regarding increases in class and teacher numbers between the two academic years.

4. Budget and Payments Made 2016/17

4.1 Four schools meet the Growth Fund criteria and the relevant payments have been approved by the Head of Education as follows (the detailed calculations are in Appendix A):

Calcot Junior £13,421
 Winchcombe £29,167
 John Rankin Junior £29,167
 Theale Primary £29,167

4.2 One school (The IIsleys) is eligible for the Falling Rolls fund, but this payment (£23,325) will be made from the 2017/18 budget as it relates to the (temporary) lower October 2016 pupil numbers driving a lower 2017/18 funding allocation in the new financial year.

4.3 The overall position on these budgets for 2016/17 is as follows:

	Growth Fund	Falling Rolls Fund
DSG Budget Set Aside (including carry forward of £143,920 from 2015/16)	£393,920	£40,000
Less Payments Made	-£100,921	-£0
Unspent Balance	£292,999	£40,000

4.4 It is possible that an application for the Spring term may be made, so after taking this into account, £300k of the current £333k unspent balance has been added to next year’s resources available for distribution through the primary and secondary formula funding. This is on the assumption that as part of the Government’s proposals for a national funding formula, the required growth funding from 2018/19, including for new schools, will be included. The current regulations require the additional costs to be met from existing DSG funds in the first year of a new school or as year groups are added, due to the fact that funding is based on the previous year pupil numbers. As a new primary school in West Berkshire is expected to open in September 2018 and the cost could be significant, the fund was, up until now, being built up. The discussion at the previous meeting of the Schools’ Forum determined that this funding should now be allocated to schools.

5. Appendices

Appendix A – Growth Fund Applications, Calculations and Payments 2016/17

Growth Fund Applications and Payments 2016/17

Criteria:

Infant Class size - Additional class required in autumn term as total number of R, yr 1 and yr 2 pupils has now exceeded a multiple of 30
 OR
 Extra class in September to meet basic need
 OR
 Increase in Admission number in September by 5 or more

Funding:

Infant Class Size - £40,000 per class pro rata from September 2016 (7/12 for maintained schools)
 OR (for extra class) OR (for increase in admission number)
 50% AWPU pro rata from September 2016 to March 2017:
 Primary £2,876 x 7/12 = £1,678 per pupil in additional class Primary £2,876 x 7/12 x 50% = £839 per additional pupil
 Secondary: £4,364 x 7/12 = £2,546 per pupil in additional class Secondary: £4,364 x 7/12 x 50% = £1,273 per additional pupil
 (Maximum set at £50,000 x 7/12 = £29,167) (Maximum set at £25,000 x 7/12 = £14,583)

Calcot Junior

Year Group:	Pupil Numbers			No. of Classes			No. of Teachers FTE		
	Oct-16	Oct-15	Change	Oct-16	Oct-15	Change	Oct-16	Oct-15	Change
Reception			0			0			0
Year 1			0			0			0
Year 2			0			0			0
SUB TOTAL Infant Classes	0	0	0	0	0	0	0	0	0
Year 3	79	84	-5	3	3	0	3	3	0
Year 4	76	77	-1	3	3	0	3	3	0
Year 5	71	57	14	3	2	1	3	2	1
Year 6	53	53	0	2	2	0	2	2	0
TOTAL All Classes	279	271	8	11	10	1	11	10	1

Classes Required (assuming 30 pupils per class)

Infants	0	0	0
Total	10	10	0

Funding Options:	No.	Rate	Funding	No. Mths	Payment	Max Payable per class:
Infant Class Funding		£40,000	0	7	£0	£23,333
or						
Additional class	8	£2,876	23,008	7	£13,421	£29,167
or						
Increase in PAN		£1,438	0	7	£0	£14,583

Reason for funding approved or for not meeting criteria:

Increasing to 3 form entry to meet basic need, with agreement from LA, but classrooms have capacity for 27 rather than 30 pupils. Therefore 11 classes are required.

Funding Approved:

£13,421

Robert Sandilands

Year Group:	Pupil Numbers			No. of Classes			No. of Teachers FTE		
	Oct-16	Oct-15	Change	Oct-16	Oct-15	Change	Oct-16	Oct-15	Change
Reception	30	51	-21	1	2	-1	1	2	-1
Year 1	60	30	30	2	1	1	2	1	1
Year 2	33	30	3	1	1	0	1	1	0
SUB TOTAL Infant Classes	123	111	12	4	4	0	4	4	0
Year 3	32	30	2	1	1	0	1	1	0
Year 4	33	29	4	1	1	0	1	1	0
Year 5	28	32	-4	1	1	0	1	1	0
Year 6	30	27	3	1	1	0	1	1	0
TOTAL All Classes	246	229	17	8	8	0	8	8	0

Classes Required (assuming 30 pupils per class)

Infants	5	4	1
Total	9	8	1

Funding Options:	No.	Rate	Funding	No. Mths	Payment	Max Payable per class:
Infant Class Funding		£40,000	0	7	£0	£23,333
or						
Additional class		£2,876	0	7	£0	£29,167
or						
Increase in PAN		£1,438	0	7	£0	£14,583

Reason for funding approved or for not meeting criteria:

Although under infant class size criteria school would be eligible if operating an additional class, the school is not doing so, so does not qualify for funding.

Funding Approved:

£0

The Winchcombe									
Year Group:	Pupil Numbers			No. of Classes			No. of Teachers FTE		
	Oct-16	Oct-15	Change	Oct-16	Oct-15	Change	Oct-16	Oct-15	Change
Reception	89	58	31	3	2	1	3	2	1
Year 1	60	59	1	2	2	0	2	2	0
Year 2	60	60	0	2	2	0	2	2	0
SUB TOTAL Infant Classes	209	177	32	7	6	1	7	6	1
Year 3	60	56	4	2	2	0	2	2	0
Year 4	60	44	16	2	2	0	2	2	0
Year 5			6			0			0
Year 6	76	70	0	3	3	0	3	3	0
TOTAL All Classes	405	347	58	14	13	1	14	13	1
Classes Required (assuming 30 pupils per class)									
Infants	7	6	1						
Total	14	12	2						
Funding Options:	No.	Rate	Funding	No. Mths	Payment	Max Payable per class:			
Infant Class Funding	1	£40,000	40,000	7	£23,333	£23,333			
or									
Additional class	32	£2,876	92,032	7	£53,685	£29,167			
or									
Increase in PAN		£1,438	0	7	£0	£14,583			
Reason for funding approved or for not meeting criteria:							Funding Approved:		
School has an additional class which is required under both categories - pay the higher of the two							£29,167		

Spurcroft									
Year Group:	Pupil Numbers			No. of Classes			No. of Teachers FTE		
	Oct-16	Oct-15	Change	Oct-16	Oct-15	Change	Oct-16	Oct-15	Change
Reception	72	73	-1	2	2	0	2	2	0
Year 1	69	68	1	2	2	0	2	2	0
Year 2	66	66	0	3	3	0	3	3	0
SUB TOTAL Infant Classes	207	207	0	7	7	0	7	7	0
Year 3	64	61	3	2	2	0	2	2	0
Year 4	59	58	1	2	2	0	2	2	0
Year 5	58	46	12	1.5	1.5	0	1.5	1.5	0
Year 6	45	44	1	1.5	1.5	0	1.5	1.5	0
TOTAL All Classes	433	416	17	14	14	0	14	14	0
Classes Required (assuming 30 pupils per class)									
Infants	7	7	0						
Total	15	14	1						
Funding Options:	No.	Rate	Funding	No. Mths	Payment	Max Payable per class:			
Infant Class Funding		£40,000	0	7	£0	£23,333			
or									
Additional class		£2,876	0	7	£0	£29,167			
or									
Increase in PAN		£1,438	0	7	£0	£14,583			
Reason for funding approved or for not meeting criteria:							Funding Approved:		
The school is not operating an additional class (class sizes greater than 30) so does not qualify for funding.							£0		

John Rankin Junior									
Year Group:	Pupil Numbers			No. of Classes			No. of Teachers FTE		
	Oct-16	Oct-15	Change	Oct-16	Oct-15	Change	Oct-16	Oct-15	Change
Reception			0			0			0
Year 1			0			0			0
Year 2			0			0			0
SUB TOTAL Infant Classes	0	0	0	0	0	0	0	0	0
Year 3	85	79	6	3	3	0	3	3	0
Year 4	76	56	20	3	2	1	3	2	1
Year 5	58	57	1	2	2	0	2	2	0
Year 6	61	58	3	2	2	0	2	2	0
TOTAL All Classes	280	250	30	10	9	1	10	9	1
Classes Required (assuming 30 pupils per class)									
Infants	0	0	0						
Total	10	9	1						
Funding Options:	No.	Rate	Funding	No. Mths	Payment	Max Payable per class:			
Infant Class Funding		£40,000	0	7	£0	£23,333			
or									
Additional class	30	£2,876	86,280	7	£50,330	£29,167			
or									
Increase in PAN		£1,438	0	7	£0	£14,583			
Reason for funding approved or for not meeting criteria:							Funding Approved:		
The school is growing by 1 form per year due to basic need and has an additional class and teacher							£29,167		

Theale Primary									
Year Group:	Pupil Numbers			No. of Classes			No. of Teachers FTE		
	Oct-16	Oct-15	Change	Oct-16	Oct-15	Change	Oct-16	Oct-15	Change
Reception	45	45	0			0			0
Year 1	43	42	1	3	3	0	3	3	0
Year 2	45	39	6	2	1.5	1	2	1.5	1
SUB TOTAL Infant Classes	133	126	7	5	5	1	5	5	1
Year 3	42	47	-5	3	1.5	2	3	1.5	2
Year 4	47	31	16		1	-1		1	-1
Year 5	32	31	1	1	1	0	1	1	0
Year 6	31	32	-1	1	1	0	1	1	0
TOTAL All Classes	285	267	18	10	9	1	10	9	1
Classes Required (assuming 30 pupils per class)									
Infants	5	5	0						
Total	10	9	1						
Funding Options:	No.	Rate	Funding	No. Mths	Payment	Max Payable per class:			
Infant Class Funding		£40,000	0	7	£0	£23,333			
or									
Additional class	18	£2,876	51,768	7	£30,198	£29,167			
or									
Increase in PAN		£1,438	0	7	£0	£14,583			
Reason for funding approved or for not meeting criteria:							Funding Approved:		
The school is operating an additional class and with an additional teacher, as required for the total number of pupils.							£29,167		

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Schools Forum Forward Plan

	Item	HFG Deadline	Heads Funding Group	SF Deadline	Schools Forum	Comments	Author
Term 4	Work Programme 2017/18	15/02/17	21/02/17	24/02/17	06/03/17	Decision	Jessica Bailiss
	Final DSG Budget 2017/18	15/02/17	21/02/17	24/02/17	06/03/17	Decision	Claire White
	Final High Needs Budget 2017/18	15/02/17	21/02/17	24/02/17	06/03/17	Decision	Jane Seymour & Cathy Burnham
	Final Early Years Budget 2017/18	15/02/17	21/02/17	24/02/17	06/03/17	Decision	Avril Allenby
	School and High Needs Consultation	15/02/17	21/02/17	24/02/17	06/03/17	Discussion	Claire White
	DSG Monitoring 2016/17 Month 10			24/02/17	06/03/17	Information	Ian Pearson
	PRU Strategic Review Update	15/02/17	21/02/17	24/02/17	23/01/17	Discussion	Caroline Corcoran

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